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ISLAMIC REPUBLIC OF AFGHANISTAN

Ministry of Finance

Environmental and Social Management Framework (ESMF)

For the

Public-Private Partnerships and Public Investment Advisory Project

May 10, 2018

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Abbreviations/Acronyms

ALCS	Afghanistan Living Standards Survey
ANDMA	Afghanistan National Disaster Management Authority
ANDS	Afghanistan National Development Strategy
AP	Affected Person
ARAZI	Afghan Land Authority
ARTF	Afghanistan Reconstruction Trust Fund
CDC	Community Development Council
CHMP	Cultural Heritage Management Plan
CITES	Convention on International Trade of Endangered Species
CoC	Certificate of Compliance
CPA	Central Partnership Authority
CSC	Construction Supervision Consultant
CSO	Central Statistics Organization
DC	Development Council
DFAT	Australian Department for Foreign Affairs and Trade
DFID	U.K. Department for International Development
DRRD	Department of Rural Rehabilitation and Development
EA	Environmental Assessment
EC	Environmental Clearance
ECOP	Environmental Code of Practices
EHS	Environmental Health and Safety
EHSG	Environmental Health and Safety Guidelines
EHS-MP	Environmental Health and Safety Management Plan
EIA	Environmental Impact Assessment
EIDF	Extractive Industries Development Framework
EMA	External Monitoring Agent
EMC	Environmental Monitoring Consultant
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Safeguards
ESSF	Environmental and Social Screening Form
FAO	Food and Agriculture Organization of the United Nations
FCCL	Fiscal Commitments and Contingent Liabilities
FCV	Fragility, Conflict, and Violence
FDG	Focus Group Discussion
GII	Gender Inequality Index
GoIRA	Government of the Islamic Republic of Afghanistan
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
ICR	Implementation Completion and Results Report
IDP	Internally Displaced Person
ILO	International Labor Organization
IPPF	Infrastructure Project Preparation Facility
ISDS	Integrated Safeguards Data Sheet
MACA	Mine Action Centre for Afghanistan
MAIL	Ministry of Agriculture, Irrigation, and Livestock
MAPA	Mine Action Program for Afghanistan
MDG	Millennium Development Goal

MFD	Maximizing Finance for Development
MoF	Ministry of Finance
MoFPD	Ministry of Finance Policy Department
MoMP	Ministry of Mines and Petroleum
LAC	Land Acquisition Committee
ND-GAIN	Notre Dame Global Adaptation Index
NDMC	National Disaster Management Commission
NEPA	National Environmental Protection Agency
NGO	Nongovernmental Organization
NRVA	National Risk and Vulnerability Assessment
OHSMP	Occupational Health and Safety Management Plan
PAD	Project Appraisal Document
PAP	Project-Affected Person
PCU	Project Coordination Unit
PDF	Project Development Fund
PDO	Project Development Objective
PI&APs	Project-Interested and Affected Parties
PIM	Public Investment Management
PMP	Pest Management Plan
PMU	Project Management Unit
PO	Project Owner
PPE	Personal Protective Equipment
PPP	Public-Private Partnership
PPIAF	Public-Private Infrastructure Advisory Facility
PPIAP	Public-Private Partnerships and Public Investment Advisory Project
PSD	Private Sector Development
PSR	Project Supervision Report
RAP	Resettlement Action Plan
ROW	Right-of-Way
RPF	Resettlement Policy Framework
RSA	Regional Safeguard Advisor
SEC	Social and Environmental Clauses
SIA	Social Impact Assessment
SMEs	Small and Medium Enterprises
SOP	Standard Operation Procedure
SPL	Sound Power Level
TA	Technical Assistance
ToR	Terms of Reference
TSS	Total Suspended Solid
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
UNICEF	United Nations Children's Fund
UXO	Unexploded Ordnance
WHO	World Health Organization

AFGHANISTAN

Environmental and Social Management Framework for the Public-Private Partnerships and Public Investment Advisory Project

EXECUTIVE SUMMARY

Project Context

Project Context: Public Private Partnerships (PPP) provide a mechanism for the Government of Afghanistan (GoIRA) to attract private investment and leverage private sector efficiencies and innovation, by transferring responsibility for financial and technical aspects of project implementation to the private sector. This allows GoIRA to focus on overseeing and regulating project implementation and frees up scarce public resources for other priority government programs. In the absence of a robust enabling environment, Afghanistan's experience with PPPs to date has been mixed. The PPIAP project therefore considers the lessons learned and the GoIRA's limited PPP capacity and adopts a flexible approach that enables private investment to expand the provision of infrastructure services. The PPIAP will help develop an integrated Public Investment Management (PIM)-PPP framework to support optimal allocation of public and donor finances, maximize private investment, and address challenges related to institutional and technical capacity in the Ministry of Finance (MoF) and relevant sponsoring line agencies.

The proposed PPIAP has been rated Category A under the World Bank Operational Policy on Environmental Assessment (OP4.01).

Project Development Objective is to develop a pipeline of feasible private and publicly funded projects.

The Project has three components. Component 1 will strengthen the institutional framework and technical capacity of relevant agencies. Component 2 will establish and capitalize an Infrastructure Project Preparation Facility (IPPF) to support project appraisal and preparation. Component 3 will cover project management. This Project will not support the implementation, whether construction of works or any other implementation activities, of projects prepared under the IPPF.

Project Area: The PPIAP is national in coverage and will focus on building institutional and technical capacity of GoIRA and support the preparation of pre-feasibility and feasibility studies for private and publicly funded projects.

National Policy and Legal Regulatory Context which anchors the ESMF within the PPIAP

- The Constitution of Afghanistan (2004)
- The Environment Law of Afghanistan (2007)
- National Regulations for Environmental and Social Impact Assessment (ESIA) (2017)
- The Law on Preservation of Afghanistan's Historical and Cultural Heritages (2004)
- Afghan Land Policy (2017)
- The Law on Land Acquisition (2017)
- Land Management Law (2017)
- Labor Law (2007)

World Bank Operational Policies triggered by PPIAP

Safeguard Policies Triggered by the Project	Yes	No
Environmental Assessment (OP/BP 4.01)	[X]	[ ]
Natural Habitats (OP/BP 4.04)	[X]	[]
Pest Management (OP/BP 4.09)	[X]	[]
Physical Cultural Resources (OP/BP 4.11)	[]	[X]
Involuntary Resettlement (OP/BP 4.12)	[X]	[ ]
Indigenous Peoples (OP/BP 4.10)	[ ]	[X]
Forests (OP/BP 4.36)	[ ]	[X]
Safety of Dams (OP/BP 4.37)	[X]	[ ]
Projects in Disputed Areas (OP/BP 7.60)	[ ]	[X]
Projects on International Waterways (OP/BP 7.50)	[X]	[ ]

OP/BP 4.11 is not triggered but Chance Find Procedures, aligned with national legislation, are in place.

Current Environmental and Social Risk Assessment Rating: ***Substantial*** primarily due to weak regulatory environment and very limited capacity within line ministries.

Potential Environmental and Social Impacts and Risks: Under component 2b the PPIAP will finance the design and initial funding of an IPPF, which will fund the preparation of feasibility studies, environmental and social safeguards documents. The Project will also finance detailed design and tender documents for PPP projects. If during implementation, a request is received for the financing of detailed designs and engineering studies regarding projects that may involve the use or potential pollution of international waterways, riparian notification will be undertaken either by the recipient or by the Bank on the recipient's behalf, prior to such financing, as is required under OP 7.50. The overall social safeguards risks and impacts are likely to be Low to Moderate. Although implementation of public or PPP projects is outside the scope of this Project, the World Bank Operational Policy on Involuntary Resettlement (OP 4.12) is triggered because some of the public and PPP projects prepared under Component 2, should they subsequently be implemented outside the scope of the Project, could result in land acquisition and resettlement. The Project itself will not, however, finance these investments. The Environmental and Social Management Framework (ESMF) includes provisions for conducting due diligence on social safeguards.

Institutional Responsibility: The Ministry of Finance (MoF) through the Central Partnership Authority (CPA) has overall responsibility for the proposed PPIAP, including ensuring compliance with ESMF and RPF requirements, while the Sponsoring Ministries together with their private sector partners will take primary responsibility for project preparation including conducting environmental and social assessments as an integral part of the preparation of pre-feasibility and feasibility studies.

The Environmental and Social Management Framework (ESMF)

Objective of the ESMF is to avoid or mitigate potential adverse environmental and social impacts and to enhance benefits arising from PPP and publicly funded project activities.

Table E.1: Safeguards Requirements by Component

Components	Activities to Be Financed by the Project	Safeguards Instruments	Timing for Preparation and Implementation of Safeguards Instruments
Overall Project level	Components 1–3	ESMF and RPF	Prepared during project preparation and implemented in the project
Component 1: Strengthening Institutional and Technical Capacity			
Subcomponent 1A: Improving and integrating the PIM-PPP framework	TA	None	n.a.
Subcomponent 1B: Strengthening GoIRA institutional and technical PIM-PPP capacity and awareness	TA	None	n.a.
Component 2: Infrastructure Project Preparation Facility			
Subcomponent 2A: Design and establishment of the IPPF	TA	None	n.a.
Subcomponent 2B: Initial Funding of the IPPF	TA	Environmental & Social Impact Assessments ESIAs, ESMP, RAP, ECOP application	Environmental and Social Impact Assessments, ESIAs, ESMPs, full RAP and Abbreviated RAPs (where needed) prepared during project implementation.
Component 3: Project Management	TA services	None	n.a.

Note: ESIA = Environmental and Social Impact Assessment; ESMP = Environmental and Social Management Plan; RAP = Resettlement Action Plan; ECOP = Environmental Code of Practices.

Approach to environmental and social management: A framework approach is adopted as project investments under sub-Component 2b are not intended to be identified at the time of project appraisal but rather throughout the course of the PPIAP. The approach takes account of lessons learned from other projects, sets out a range of screening and review tools for use at both pre-feasibility and feasibility levels to identify and assess potential negative environmental and social impacts of projects and includes guidelines for preparing relevant mitigation management plans. The approach highlights the importance of citizen engagement and environmental codes of practice in effective environmental and social management.
Incorporating lessons learned in Safeguards Compliance: Several important insights gleaned from implementing safeguards in other projects in Afghanistan have resonance for the proposed PPIAP and have been considered in the development of this ESMF. These include: a) the need to build capacity in all relevant line ministries to identify, manage and monitor safeguards issues; b) the importance of timely and systematic consultation with all stakeholders; c) the need to establish a Grievance Redress Mechanism (GRM) at the outset of the project which will also act as an 'early warning system' for project management and help preserve project funds and project reputation; d) need to make adequate budgetary provision to ensure the effective implementation and management of all safeguards elements in the ESMF and RPF.

Citizen Engagement – a key underpinning of the ESMF: Within the proposed PPIAP, citizen engagement (CE) is based on a three-way interaction and dialogue between government, private investors and citizens. CE for this project includes stakeholder and public consultations, a GRM, including an effective grievance hotline, set up and administered by the MoF, and local communities' involvement in

Third Party or independent monitoring. Consultation with project beneficiaries and affected families will start at the pre-feasibility stage and continue throughout a project's preparation. Emphasis will be placed on seeking the views of vulnerable groups, especially women. The ESMF and RPF include detailed mechanisms for consultation and obtaining timely feedback. Stakeholder representatives will have an opportunity to review key findings from draft feasibility studies (pre-feasibility and feasibility) and their feedback on findings and recommendations from these studies will influence final plans and design of projects.

The ESMF sets out a process for grievance handling, including responsibilities of key stakeholders to address public concerns. The CPA will be responsible for ensuring that an effective GRM is established for each PPP and publicly funded project, which would include: (i) raising public awareness among local communities on how to use GRM services, (ii) establishing of multiple channels and locations for submitting of grievances, (iii) proper registration of all grievances related to project activities to enable tracing and review and (iv) feedback on the outcome of complaints. The extent of citizen engagement and beneficiary feedback throughout the timeframe of a project will be a key indicator in assessing its results.

Capacity Building: The objective will be to build and strengthen the institutional capacity of the CPA, the sponsoring ministries and private sector partners to better support the development and integration of social and environmental measures during preparation and implementation of PPP and publicly funded projects. A cascade approach to capacity development will be employed within the PPIAP. Emphasis will be placed on building the capacity of designated safeguards staff within the CPA to manage safeguards effectively. The designated safeguards staff, supported by specialists, will then work to build the capacity of safeguards staff within sponsoring ministries and private sector partners and increase awareness and knowledge of environmental and social issues. Sponsoring line Ministries will in turn work with local Community Development Councils to organize practical training to build knowledge and awareness of local communities, including women, on social and environmental issues related to proposed project activities.

Safeguards screening procedures: Environmental and Social screening of all projects will take place at pre-feasibility stage to collect information and assess key environmental and social concerns and identify issues for consideration in more detailed assessments at the feasibility stage. Preliminary safeguards screening at pre-feasibility stage also provides opportunities to establish a dialogue with stakeholders and involve them, especially local communities, in determining factors to be further assessed and helps facilitate early agreement on contentious issues. Feasibility level environmental and social impact assessments and social impact assessment (ESIAs/SIAs) are relatively more detailed, comprehensive and rigorous than pre-feasibility level screening and will be conducted in parallel with required technical studies so that findings from the ESIA/SIA can inform final project design and plan. These documents will, *inter alia,* determine whether a proposed project will comply with the GoIRA's and World Bank's regulations and policies, evaluate alternatives and designs appropriate mitigation, management and monitoring plans. Preliminary safeguards assessment studies at pre-feasibility stage and EIA/SIA, site-specific Environmental and Social Management Plans (ESMPs) including the Occupational Health and Safety Plan, and Resettlement Action Plans (where needed) during feasibility-stage will be prepared for all projects and would be subject to local disclosure and consultation as per the national law and WB safeguards policies. The scope of the PPIAP does not extend to the implementation phase of the projects.

Social Safeguards Risk is rated Substantial: Although implementation of public or PPP projects is outside the scope of this Project, the World Bank Operational Policy on Involuntary Resettlement (OP 4.12) is triggered because some of the public and PPP projects prepared under Component 2, should they subsequently be implemented outside the scope of the Project, could result in land acquisition and resettlement. The overall social risks ratings are likely to be Substantial (S). Labor influx related risks are expected to be substantial, because the most private and publicly funded projects are expected to hire labour from outside the project area, especially skilled labour. The SIA will include labour influx risk assessment study to assess labour influx risks, including child labour issues, community safety, disruption to local community. The ESMP will include a labour influx risk mitigation plan and the employees' code of conduct applicable to all sub-projects.

Furthermore, the CPA will conduct social screening of all projects that will take place at pre-feasibility stage. Consulting firms will be engaged to collect information and assess/identify key social risks for consideration in more detailed assessments at the feasibility stage. Identification of risks and impacts, preliminary social screening and scoping at pre-feasibility stage and ESIA, site-specific ESMPs and Resettlement Action Plans (where needed) during feasibility-stage will be prepared for all projects and would be subject to local disclosure and consultation as per the national law and WB safeguards policies. These social safeguards studies will also be subject to review by the WB. However, the implementation of the projects is outside the scope of the PPIAP.

Table E.2: Overview of Environmental and Social Screening Process and Responsibilities

No.	Project Screening and Review	Corresponding Safeguards Requirements	Responsibility
1.	Preparation of pre-feasibility studies	Citizen Engagement Environmental and Social Screening (annex 1b)	Sponsoring Ministry
2.	Pre-feasibility studies review	- checking against Negative attributes list (annex 1a.) - pre-feasibility studies screening checklist (annex 1c)	CPA safeguards staff
3.	Feasibility studies relevant mitigation plans prepared	Citizen Engagement Social and Environmental Impact Assessments EIA/SIA (annexes 2a, 2b and 2c) ESMP and OHSMP (annex 3) Abbreviated RAP or Full RAP, if required (annexes 4 & 5)	Sponsoring Ministries (transaction advisory team/ safeguards unit)
4.	Feasibility studies for PPP projects reviewed	Reviewed to ensure Compliance with GoIRA laws/regulations and WB policies as set out in the ESMF ESMPs and OHSMP/Abbreviated RAPs - Full RAPs approved/Cleared	CPA safeguards staff WB safeguards specialists.

Preparation and review of Safeguards documents: The ESMF contains guidelines on the preparation of site-specific safeguards documents such as an ESMP and, where necessary, a chance find procedure for heritage resources. The Abbreviated RAP or Full RAP will be prepared in accordance with the standalone Resettlement Policy Framework (RPF) developed for the PPIAP. The ESMP is the key document for managing and monitoring safeguards and should include a brief description of (i) adverse impacts (ii) mitigation measures (iii) monitoring plans (iv) institutional responsibilities (v) capacity building and (vi) associated costs. It should also include labor influx mitigation plan and the employee code of conduct. It will be developed by the sponsoring ministry and reviewed by the safeguards team within the CPA prior to submission to National Environmental Protection Authority (NEPA) and the WB. Capacity Building and Monitoring and Evaluation plans will be developed as part of the ESMP and OHSMP process. Upon clearance by NEPA and the WB the ESMP will be used by the project implementing partners - both public and private - to manage all potential environmental and social impacts for each project.

ESMF Institutional Arrangements: The overall responsibility for ensuring compliance with environmental and social safeguards requirements as set out in the ESMF rests with the Ministry of Finance who has delegated this responsibility to the Director General of the CPA within the Ministry of Finance. A Project Management Unit (PMU) has been established within the CPA which will have overall

responsibility for the PPIAP. Two Environmental and Social Safeguards staff are being recruited by the PMU and will be responsible for ensuring that all proposed projects submitted under sub-Component 2b of the project comply with the GoIRA and World Bank's relevant regulatory and policy framework. The PMU safeguards staff will be responsible for reviewing pre-feasibility and feasibility level environmental and social assessments. They will support designated safeguards staff within the sponsoring line ministries at national and regional levels whose responsibilities will include facilitating pre-feasibility and feasibility level environmental and social assessments, enabling consultations with stakeholders, and development of ESMPs.

Reporting Requirements: The project sponsor will submit project specific monthly environmental and social progress reports to the sponsoring ministries and the CPA. The CPA will be responsible for ensuring that comments on the monthly reports are discussed with relevant parties. The CPA will prepare and submit quarterly progress reports to the WB.

Access to Information and Communication: An Access to Information and Communications Plan will be developed to help increase the overall effectiveness of the project and maintain an up to date awareness of it by stakeholders and the public.

Budget*:* The total cost for ESMF implementation cannot be estimated as the number of projects to be submitted under sub-Component 2b is currently unknown. Key elements of the ESMF requiring a cost budget are highlighted and indicative unit costs are shown. These need to be reviewed and revised as necessary and will cover among other expenses the cost of Occupational Health and Safety Management Measures and equipment.

I. PROJECT CONTEXT

1.1 Background

1. Public-private partnership (PPP) provides a mechanism for the Government of Afghanistan (GoIRA) to attract private investment and leverage private sector efficiencies and innovation, by transferring responsibility for technical and financial aspects of project implementation to the private sector. Despite the challenging environment, Afghanistan has had some positive PPP experiences. Experience suggests that relatively light PPP structures are suitable in the given context as a starting point to build experience. These include projects where the government and/or donors finance capital and even operating expenses or where multilaterals provide guarantees against payment risk to enhance private sector confidence to invest. The private sector is engaged with the objectives of benefiting from efficiencies, knowledge, and management.

2. One potential area for private sector engagement in infrastructure is in power generation, distribution, and transmission. For example, projects such as the Mazar-e-Sharif and Bayat Gas-to-Power Projects and the Kajaki Hydropower Project were begun by the private sector, while others such as Kandahar Solar independent power producer project and DABS Kandahar Management Support Contract attracted a wide pool of potential bidders during the tender process.

3. The private sector is already a successful provider of telecom services—through contracts awarded to Afghan Wireless, Roshan, MTN, Etisalat, and Wasel. These contracts were competitively tendered, were monitored by the Afghanistan Telecom Regulatory Authority, produced over US$2 billion in private investment, and lowered tariffs by 95 percent since 2002. Thus, 75 percent of the public can subscribe to mobile services. As a result, the number of mobile telephone subscriptions has increased to over 20 million, compared to less than 60,000 a few years ago, and 50 percent of rural households now having access to telecom services. However, the contracts' commercial viability is doubtful, due to falling sector revenues (largely due to the military drawdown) and increased taxes on mobile phones.

4. A 2011 World Bank-supported study identified three main roadblocks to PPPs in Afghanistan.[1] These were gaps in policies/regulations, a lack of GoIRA institutional capacity, and a weak investment climate that discourages private finance. In response to these findings, the World Bank and other donors have been providing technical assistance (TA) to resolve these obstacles. Following a GoIRA request, World Bank TA financed by a Public-Private Infrastructure Advisory Facility (PPIAF) was launched in October 2015, and a second phase was begun in June 2017. The aim is to support a sustainable PPP program, building on earlier support from the U.K. Department for International Development (DFID). The World Bank's TA is creating a PPP legal and policy framework, strengthening institutions, launching the Central Partnership Authority (CPA), and building capacity and training for the GoIRA.

5. Building on foundations developed by previous and ongoing interventions, the proposed project will help develop a PPP and public investment support system and prepare bankable PPP projects that meet development priorities and infrastructure gaps. It will also support better allocation of public finances and maximize private investment. It will address challenges related to institutional and technical capacity in the Ministry of Finance (MoF) and relevant sponsoring line agencies and establish an Infrastructure Preparation Facility to ensure a robust preparation of public infrastructure development projects and PPPs to adopt maximizing finance for development (MFD) within the overall budget process.

6. The Project will benefit from the World Bank's experience in accessing global knowledge and expertise to support PPPs in fragile environments, introducing tested solutions for private sector efforts,

[1] http://blogs.worldbank.org/ppps/making-ppps-work-fragile-situations.

including operating PPP units, trying innovative approaches to structure PPPs and public projects to attract investors in Afghanistan (mobilizing private and donor capital), and developing market infrastructure. The project will also build on the World Bank's experience of supporting PPPs and public infrastructure investments in Afghanistan and globally.

1.2. Overview of Environmental and Socioeconomic Baseline of Afghanistan[2]

1.2.1 Environmental Baseline

7. Afghanistan is a semiarid landlocked country in the center of Asia, covering an area of about 652,000 square kilometers. The country's climate is continental, with big differences in temperature from day to night, from one season or region to the next, ranging from 20–45°C in summer in the lowlands to −20–40°C in winter in the highlands. The overall average annual rainfall of about 250 mm conceals stark variations between different parts of the country, from 1,200 mm in the higher altitudes of the northeast to only 60 mm in the southwest. Due to its mountainous relief and the convergence of several climate systems, Afghanistan boasts an impressive diversity of ecosystems, land cover, and water sources.

8. Almost 80 percent of the country's population (19 million people) live in rural areas. This portion of the population relies heavily on productive natural resources, which makes it extremely vulnerable to the impacts of local and global phenomena (such as droughts, natural disasters, climate change, and desertification) and the degradation of natural resources through erosion and pollution of soil and water. Water is one of Afghanistan's most important resources. However, its unequal distribution may lead to increasingly severe water security in some regions threating livelihoods and compounding adverse humanitarian conditions. More than 80 percent of the country's water resources originate in the Hindu Kush mountains and provide a source of water. The Amu Darya River Basin, a focus of the Project, covers approximately 15 percent of the surface area of Afghanistan and holds more than 55 percent of the country's water resources. However, climate change with the resulting melting of glaciers, severe droughts, and poor management of water resources, including depleted aquifers through over exploitation of tube wells for agricultural purposes, are threating water security. Water resources are also being polluted by both industrial and domestic users.[3]

9. Afghanistan has been severely affected by land degradation for decades. This in turn is a significant contributing factor to increased ecological migration and further stress on the ecosystem. Environmental degradation together with high population growth and returning refugees are together constraining the amount of available productive land and increasing competition for land in both rural areas (for agriculture) and urban areas (for construction). The amount of agricultural land under cultivation or pasture has dropped significantly over the last couple of decades either because of abandonment (lack of water availability or damaged irrigation systems) or degradation (due to soil erosion, salinization, or reduced soil fertility). Soil fertility is being degraded by poor agricultural practices; traditional grazing patterns have been disrupted due to conflict, land claims, and drought; and irrigation systems have been affected by silting and flooding.

[2] This section draws substantially on the Afghanistan Living Conditions Survey (ALCS) 2014. Specific provincial-level sources are limited and most data are fragmented and aligned to specific collecting agency requirements. It is informed by previous studies, including the ALCS 2013–2104, the National Risk and Vulnerability Assessment (NRVA) by the Central Statistics Organisation (CSO) 2016, Afghanistan's Environment 2008 by the National Environmental Protection Agency (NEPA) and United Nations Environment Programme (UNEP), Afghanistan Post-Conflict Environmental Assessment by UNEP 2002, and Afghanistan Humanitarian Needs Overview 2015. More comprehensive baseline information is provided in annex 10. Project-specific environmental and social information will be collected as part of the environmental and social screening process and will inform the development of project proposals.

[3] Afghanistan Environment, 2008 UNEP.

This in turn has resulted in mass migration from the country side to urban areas. Sustaining livelihoods in Afghanistan in future will depend to a significant extent on appropriate environmentally sound management of land resources.[4]

10. Afghanistan is a disaster-prone country subject to earthquakes, flooding, drought, landslides, and avalanches. Over three decades of conflict, coupled with environmental degradation and insufficient investment in disaster risk reduction strategies, have contributed to increasing vulnerability of the Afghan people to natural disasters. High levels of poverty, lack of livelihood and income generating opportunities, chronic health problems, and poor state of the infrastructure add to the burden of natural disasters. Afghanistan ranks 176 on the Notre Dame Global Adaptation Index (ND-GAIN), which ranks 177 countries according to vulnerability and ability to cope with climate change.[5] Drought and mismanagement of groundwater have caused the water table to drop across most parts of the country, including Kabul. Ecosystems, soil water content, and rangelands are thought to be most at risk from climate change.

1.2.2 Socioeconomic Baseline

11. Afghanistan remains one of the poorest countries in the world. In 2013, Afghanistan was ranked 169 out of 185 countries in the United Nations Development Programme (UNDP) Human Development Index; despite significant achievements in the first decade of this century, Afghanistan remains among the most poorly developed countries in the world according to almost all development indicators covered by the ALCS 2013–2014.

12. The share of the population living below the poverty line has increased from 36.5 percent in 2011–2012 to 39.1 in the present survey. The results also indicate that the poorer segments of the population suffered more from per capita consumption decline than the better-off population, which suggests an increase in inequality. Around one-third of the Afghan population is estimated to suffer from food insecurity, with 9.3 million people facing chronic or transitory food insecurity and some 3.4 million severely food insecure. Both quantitative and qualitative food indicators suggest better conditions in urban areas than in rural areas.

13. According to the ALCS 2013–2014, of all sectors the health sector shows the most consistent improvement. The most impressive improvements are observed for maternal health indicators. Afghanistan has achieved its Millennium Development Goal (MDG) target for antenatal care coverage (50 percent in 2020) far ahead of schedule. The general trend in skilled birth attendance suggests that the MDG 2015 target of 50 percent is within reach. Physical access to health facilities and costs involved in obtaining health services remain major obstacles for many people to obtain the care they need.

14. According to the ALCS, the net attendance ratio for primary education showed a decline to 55 percent, after a peak of 57 percent in 2011–2012. The school attendance information suggests that 2.3 million primary school age children and 2 million secondary school age children miss out on education and on the opportunity to learn basic life skills. Transition rates indicate that the problem of Afghanistan's education system is not so much retention and dropout as starting school. An Afghan child of 6 years can expect to spend on average 7.7 years of his or her life in education, a very short period from an international perspective.

15. The age structure of Afghanistan's population shows that population growth remains a critical element in Afghanistan's development process. The proportion of persons under age 15 (47.5 percent) is one of the highest in the world. In the next five years, close to 4 million young people will reach working

[4] Afghanistan Environment 2008, UNEP.
[5] Afghanistan Humanitarian Needs Overview, 2015.

age in a labor market that is already characterized by high levels of unemployment and underemployment. Afghanistan's labor market is under considerable stress, with 39 percent not gainfully employed and a youth unemployment rate of 30 percent. Around 90 percent of the working population is employed in low-skilled occupations. The average household size in Afghanistan is around 7.4 persons. The households are almost exclusively headed by men. Female-headed households make up only 1 percent of the total number.

16. Achieving gender equality remains one of the major challenges in Afghan society. Within an overall poor development context, women and girls face especially deprived conditions. Various indicators signify a subordinate and dependent position in the household, leaving little negotiating power in terms of household decisions, sexuality, and fertility. Three-quarters of women do not leave their homes without the company of another person and about half leave the house four times or less per month. Female decision making on spending money is quite restricted, with only 34 percent deciding independently how to spend money they earned themselves.

17. Other vulnerable groups include the *Kuchis* or traditional nomadic people from Southern and Eastern Afghanistan who have been greatly affected by conflict and drought, increasing numbers of internally displaced persons (IDPs) due to ongoing conflict and economic hardship, and people with disabilities who have limited access to appropriate health care education and livelihood opportunities.

1.3 Need for the Environmental and Social Management Framework

18. To comply with the World Bank's safeguard policies, a programmatic framework approach is adopted as investment activities likely to be supported under Subcomponent 2B of the Public-Private Partnerships and Public Investment Advisory Project (PPIAP) could not be identified at the time of appraisal. The preparation of an Environmental and Social Management Framework (ESMF) ensures that the proposed Project has concrete procedures and processes in place to avoid, minimize, and/or mitigate potential adverse environmental and social impacts of project investments that may be made based on the feasibility and preparation support provided by the project, should a decision be made to implement those projects (outside the scope of the PPIAP). The proposed PPIAP has been rated Category A under the World Bank's operational policy on Environmental Assessment (OP 4.01). For a Category A Project, the borrower retains independent Environmental Assessment (EA) experts not affiliated with the project to carry out the EA.

19. A stand-alone Resettlement Policy Framework (RPF), which provides detailed guidance on Involuntary Resettlement (OP/BP 4.12) has also been developed as an integral element of this ESMF. The purpose of the RPF is to clarify principles for asset acquisition, resettlement, and compensation, as well as organizational arrangements, to be applied as necessary by future projects. Strict adherence to the RPF procedures will not only ensure consistency in land/asset acquisition and resettlement planning but also develop the capacities of the implementing and supervising agencies.

20. This ESMF is a legally binding document to be included in the Financing Agreement of the PPIAP.

1.4. Methodology

21. This ESMF was informed by (a) an extensive review of documents related both to the proposed PPIAP and other relevant World Bank-funded projects in Afghanistan and elsewhere, (b) discussions with senior managers within the CPA, (c) the outcome of consultations on the draft ESMF/RPF with a range of stakeholders, and (d) regular interaction with the World Bank task team and social and environmental specialists.

II. OVERVIEW OF THE PPIAP

2.1 Project Objective

22. The Project Development Objective is to develop a pipeline of feasible private and publicly funded projects.

2.2 Project Components

23. The Project has three components: Component 1 will strengthen the institutional framework and technical capacity of relevant agencies, Component 2 will establish and capitalize an Infrastructure Project Preparation Facility (IPPF) to support project appraisal and preparation, and Component 3 will cover project management.

24. **Component 1: Strengthening Institutional and Technical capacity (US$5.0 million).** This component strengthens the capacity of relevant institutions and supports development of a Public Investment Management (PIM)-PPP Framework through, among others, (a) development of standardized project appraisal documents, (b) capacity-building programs, (c) review and revision of relevant laws and regulations, (d) development of rules of procedure to the Public-Private Partnership Law, (e) preparation of relevant fiscal commitments and contingent liabilities framework, (f) financing of resident advisers, (g) strengthening of project preparation appraisal in the CPA and selected ministries, and (h) awareness building campaign.

25. **Component 2: Infrastructure Project Preparation Facility (US$40 million).** The component supports establishment and operation of an IPPF, including development of its governance structure, institutional roles, and responsibilities, through capacity-building activities, and provides initial funding for its (a) Appraisal Window to finance pre-feasibility studies for all publicly funded or PPP projects as well as detailed feasibility studies for publicly-funded projects (including environmental and social safeguards assessments necessary at the feasibility stage) and (b) a Project Development Fund (PDF) Window to finance detailed feasibility studies including any safeguard assessments required at the feasibility stage. The Component will also finance detailed design and tender documents for PPP projects. However, if during implementation, a request is received for the financing of detailed designs and engineering studies regarding projects that may involve the use or potential pollution of international waterways, riparian notification will be undertaken either by the recipient or by the Bank on the recipient's behalf, prior to such financing, as is required under OP 7.50.

26. **Component 3: Project Management (US$5.0 million).** It supports the operations of the Project Management Unit (PMU) to carry out its monitoring, management, and implementation obligations under the Project until it is mainstreamed into the Afghan civil service.

2.3 Project Beneficiaries

27. The project will benefit two main groups of stakeholders:

(a) Government institutions, in the form of TA and capacity-building training, mainly to the MoF CPA and Policy Department, relevant Community Development Councils (CDCs), and other agencies sponsoring PPPs

(b) Large, medium, and small private investors by helping identify and prepare infrastructure and other projects and addressing investor concerns

2.4 Project Area

28. The PPIAP will be national in coverage and will respond to priorities identified in the GoIRA's National Infrastructure Plan (2017–2021).

2.5 Project Implementation Approach

29. The proposed PPIAP would build on the lessons learned from the World Bank Group PPP TA program to the MoF and incorporate generalized experience of the task team working in Afghanistan and other fragility, conflict, and violence (FCV) contexts. Key lessons learned include the need to (a) incorporate sufficient flexibility in program design to take account of the highly unpredictable nature of local events including the challenging security context, regular changes to key administrative staff, and evolving national priorities and strategies; (b) ensure high-level oversight to facilitate inter-ministerial coordination; (c) simplify the project design; (d) have modest goals for new activities and scale up if successful; (e) include sufficient budget for program management and administrative costs as implementation support will be substantial; (f) invest in a comprehensive communication and public relations strategy for the project to ensure two-way information flow between stakeholders and counter rumors and provide systematic opportunities for consultation of all stakeholders, especially within affected communities, including Grievance Redress Mechanism (GRM) information; (g) be aware of the government's vulnerability to capture by private sector interest; and (h) ensure donor coordination.

30. The MoF will be responsible for the overall implementation of the project through the CPA.

31. In infrastructure projects where simple civil works are being implemented and the Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) are not needed, only the Environmental Code of Practices (ECOP) will be applied. This will save time while applying relevant measures to ensure site cleaning and proper use of resources. The ECOP will be finalized during the preparation of an ESMP. The final ECOP will be incorporated into bidding and contract documents and applied to all rehabilitation works of project investments or other works to be conducted under the PPIAP. The ECOP was developed based on the principle that the potential negative impacts of works could create similar potential impacts (increased in air, noise, vibration, waste generation, safety risks, local traffic, and so on) and could be mitigated through good environmental management practices; however, the scale and level of issues and the required mitigations and its associated cost are different and require different efforts and expertise during supervision and monitoring.

32. Environmental and social management need standard procedures and behavioral changes that could happen when procedures and practices are applied and used repeatedly and become a norm. Also, it is important to apply a proportionality principle and pay attention to assessment and allocation of resources based on the severity of potential environmental impacts.

33. ECOP requirements are divided into two parts: (1) general provision and planning and (2) construction management and monitoring. Part 1 describes roles and responsibility of the project investment owner, contractor, and supervisor including the basic principles for contractor to consider during the construction planning or development of the contractor's standard operation procedures (SOPs) while Part 2 describes standard requirements during execution of works to reduce potential impacts on air, noise, vibration, water, and so on, including monitoring indicators and monitoring requirements (if needed). Modifications to the generic ECOP can be made to suit specific issues/conditions observed/agreed during the transect walk or the preparation of the ESMP. For the sake of clarity, 'construction' in this document includes all site preparation, demolition, spoil disposal, materials, and waste removal and all related engineering and construction activities.

34. The contractor is responsible for making best effort to reduce and mitigate the potential negative impacts on local environment and local resident including making payment for all damages that may occur. Performance of the contractor will be closely supervised and monitored by the construction supervision consultant (CSC) and/or qualified field engineer as well as periodic monitored by a qualified consultant to be assigned by the project investment owner. Results of the ECOP compliance monitoring will be included as part of the construction progress report. Compliance with ECOP will be part of the contractor's construction compliance. More details are available in annex 6b and 6c, which would be applied for such projects.

35. This ESMF document provides, in annex 10, a questionnaire to be used for understanding and checking the awareness of the relevant private sector entities and contractors staff to reveal their level of understanding and knowledge of environmental and social issues in relevant infrastructure project implementation. This will help find the gaps in their knowledge and come up with relevant capacity-building efforts. This should happen at the beginning of the project implementation as well as if there is a need at any time during project implementation.

2.6 Potential Environmental and Social Impacts

2.6.1. Overall Impacts

36. Subcomponent 2B of the proposed PPIAP will finance preparatory TA activities for infrastructure projects that will be identified or selected by the CPA based on their strategic fit with the GoIRA's national development and infrastructure priorities. The PPIAP will not finance these projects; however, should they be implemented (beyond the scope of the PPIAP), the future investment activities are expected to have major impacts or substantial environmental or social risks. Each pre-feasibility study will be a stand-alone document designed to allow the GoIRA to make an informed decision on whether to proceed with a PPP project.

2.6.2 Potential Environmental Impacts

37. The proposed Project will not have significant direct environmental impacts, but the potential indirect and downstream impacts due to the potential future implementation of infrastructure projects prepared under Subcomponent 2B may be substantial. Potential environmental impacts of projects that might be implemented later (beyond the scope of the PPIAP) might include

(a) Soil erosion because of earth moving and heavy machinery and equipment;

(b) Increased demands on the ecosystem and natural resources;

(c) Loss, reduction, or disturbance to natural habitat and wildlife caused by clearance of land for construction site, barrow pits, and quarry sites from which materials used in construction are extracted;

(d) Poor air quality and noise pollution due to material extraction and transport movement in and close to construction sites;

(e) Congested and heavy use of existing road networks due to the frequent movement of heavy construction vehicles on roads during construction;

(f) Health and safety hazards from inadequate disposal of dangerous waste from construction camps as well as construction materials; and

(g) Occupational health and safety issues for labor and communities.

38. The severity of potential environmental impacts both in terms of their intensity and scale will be evaluated as part of the feasibility studies in ESIA and mitigated and managed through ESMPs. Also, application of the World Bank EHS Guidelines (http://www.ifc.org/ehsguidelines) for the relevant subsectors as well as the country national regulation related to labor laws.

39. In compliance with World Bank's safeguards policies and Afghanistan Environmental Law and Regulations, projects with significant adverse impact should receive Environmental Clearance (EC) from the NEPA.

2.6.7 Potential Social Impacts/Risks

40. The TA activities will not themselves have any major social impacts and risks, but the indirect and downstream impacts due to the potential future implementation of infrastructure projects prepared under Subcomponent 2B may be substantial. The key drivers of social risks for the PPIAP may include (a) potential land acquisition impacts from anticipated infrastructure projects that will be included in feasibility studies; (b) labor influx risk and community safety risks associated with labor camp and workers coming into area, which are expected to occur during implementation and operation of PPIAP projects; (c) low capacity of local companies to conduct social safeguards studies; and (d) existing land and water disputes that may be fueled by infrastructure development and disrupt project development. Selection of investments will be screened at feasibility stage to avoid this latter situation.

41. Labor-influx-related risks are expected to be substantial, because the private sector companies are expected to hire laborers from outside the area where the project is being implemented, especially skilled labor. The Social Impact Assessment (SIA) will include a labor influx risk assessment to assess labor influx risks, including child labor issues, community safety, and disruption to local community. The ESMP will include labor influx mitigation plan and the employees' code of conduct applicable to each site.

42. Furthermore, the CPA will conduct social screening of all proposed PPP projects that will take place at the pre-feasibility stage. Consulting firms will be engaged to collect information and assess/identify key social risks and identify issues for consideration in more detailed assessments at the feasibility stage. More specifically, with regard to identification of risks and impacts, preliminary social screening and scoping at the pre-feasibility stage and SIA, site-specific Social Management Plans (ESMPs) and Resettlement Action Plans (RAPs) (where needed) during the feasibility stage will be prepared for each project and would be subject to local disclosure and consultation as per the national law and World Bank safeguards policies.

43. A stand-alone RPF has been developed for this project and sets out procedures for managing land acquisition, asset loss, and resettlement. The ESMF also includes guidelines for identifying and assessing the impacts of potential investments on existing heritage structures and sites (annex 2). Where required, the RAP includes systematic involvement of local people, including women and other vulnerable groups, throughout the planning and implementation of projects, which will underpin the identification and implementation of any mitigation measures to be included in ESMPs and RAPs.

44. PPP activities are expected to provide increased employment opportunities and enhanced household incomes within local communities. This in turn may lead to improved health status of families and more children attending school in the project locality.

2.7 Project Environmental and Social Risk Assessment

45. Overall environmental and social risks are rated High.

Table 1: Risk Assessment Matrix

Description of Key Risks	Risk Rating	Proposed Risk Management Measures
1. Limited safeguards management capacity within the MoF and sponsoring ministries together with weak capacity of local firms to carry out SIAs and environmental impact assessments (EIAs) and prepare RAPs	Substantial	1. Adequate budget included in project proposals to enable compliance with ESMF requirements 2. Establishment of safeguards unit within the MoF and dedicated safeguards staff in each sponsoring ministry at national and provincial levels 3. Responsibility for safeguards allocated to a senior ministerial position within the MoF to ensure support for/coordination with safeguards staff within sponsoring ministries 4. Systematic capacity building for safeguards staff and sponsoring ministries and private sector partners' management teams 5. Capacity building plan developed as part of the ESMP
2. Degradation of natural habitats, soil erosion, poor waste management, water and air pollution	Low	1. Environmental screening and assessment as part of pre-feasibility and feasibility studies 2. Adherence to Afghan laws and international good practice 3. Avoidance/mitigation measures included in final design of projects and ESMPs 4. Close cooperation with the NEPA
2. Negative impact on ecosystem	Moderate	1. Environmental screening and Assessment as part of pre-feasibility and feasibility studies. 2. Adherence to Afghan Laws and international good practice. 3. Avoidance/mitigation measures included in final design of Projects and ESMPs. 4. Close cooperation with the NEPA
3. Disputes between local communities and project management resulting in delays to project development	Substantial	1. Stakeholder engagement strategy prepared as part of feasibility-level studies 2. Build capacity of sponsoring ministries to conduct and document consultations 3. Systematic consultations with all groups of stakeholders, especially project-affected persons (PAPs) from the project's outset 4. Establishment and maintenance of functional GRMs
4. The concerns of women and other vulnerable groups such as the landless and disabled are not properly taken account of in project development and may be further disadvantaged by it.	Substantial	1. Appointment of women in safeguards teams in the MoF and sponsoring ministries 2. Consultations with women and other vulnerable groups take place throughout the project cycle at an appropriate time and venue for each group
5. Labor influx during construction phase leading to (a) conflict arising from increased demand on services and existing	Substantial	1. Setting up and maintaining functional GRMs, including establishing dedicated hotline for grievance redressal

infrastructure, (b) increase in communicable diseases, and (c)increase in gender-based violence and child labor		2. Stakeholder engagement plan - systematic liaison with community representatives. 3. Support to community services e.g. healthcare. 4. Identification and compensation of PAPs 5. Strict adherence to Labor Law and application of ECOP.
6. Damage or destruction of cultural resources, for example, shrine and burial grounds and historical heritage sites	Low	1. Guidelines for Chance Find Procedures in line with national Afghan Law will be followed.

III. LEGAL, REGULATORY, AND POLICY FRAMEWORK ANCHORING THE ESMF

3.1 Key National Laws and Regulations

46. The primary relevant laws and regulations framing social and environmental issues of the PPIAP are the Environment Law of Afghanistan (2007), National Regulations for Environmental and Social Impact Assessment (2017), the Constitution of Afghanistan (2004), Afghan Land Policy (2017), the Labor Law (2007), the Law on Land Acquisition (2017), the Land Management Law (2017), the Water Law (2009) and Water Sector Strategy (2012), the Law on the Preservation of Afghanistan's Historical and Cultural Heritage (2004), and the National Disaster Management Law (2012). Key provisions of these laws/regulations are highlighted as follows:

- **The Environmental Law of Afghanistan (2007).** The law was developed based on international standards considering the environmental conditions in Afghanistan and is considered comprehensive. It stipulates that the active involvement of local communities in decision-making processes is required for the sustainable use, rehabilitation, and conservation of biological diversity, forests, land, and other natural resources as well as for prevention and control of pollution, conservation, and rehabilitation of the environment quality. It also states that the affected persons must be given the opportunity to participate in each phase of the project. The law requires the proponent of any development project, plan, policy, or activity to apply for an environmental permit (called the Certificate of Compliance [CoC]) before implementation of the project by submitting an initial EIA to the NEPA to determine the associated potential adverse effects and possible impacts. The law also establishes a Board of Experts that reviews, assesses, and considers the applications and documents before the NEPA could issue or not issue the permit. The EIA Board is appointed by the General Director of the NEPA and is composed of not more than eight members. The EIA Board of Expert's decision can be appealed.

- **National Regulations for Environmental and Social Impact Assessment (2017).** These update the EIA Regulations (2008) and grant the NEPA formal oversight responsibility for the SIA in addition to the EIA. There are now merged into a single ESIA process. The updated regulations set out the administrative procedures for conducting ESIAs. The regulations provide examples of projects expected to create adverse impacts (Category 1) and those that may create significant negative impacts (Category 2) before describing specific processes and procedures, as well as the required documents for each category. After receipt of the application form and other relevant documents, the NEPA will, according to the requirements, (a) issue a CoC, with or without conditions, (b) advise the applicant in writing to review the technical reports and address the concern of the NEPA, or (c) refuse the CoC with written reasons. Once permission is granted, the proponent must implement the project within three years, failing which the permit expires. Implementation constraints include (a) effective application of ESIA procedures by private and public proponents; (b) monitoring of the

implementation of the ESMP; (c) the expertise and means for quality analysis necessary to determine compliance reports; (d) the ownership of the EIA process by line ministries; (e) limited knowledge, experience, and capacity of staff; and (f) the coordination, monitoring, and harmonization of various requirements by international agencies involved in technical and financial supports.

- **The Constitution of Afghanistan (2004)** contains some articles that relate specifically to compensation and resettlement issues. These include Article 40 'No one's property shall be confiscated without the order of the law and decision of an authoritative court. Acquisition of private property shall be legally permitted only for the sake of public interests and in exchange for prior and just compensation.

- **The Law on Preservation of Afghanistan's Historical and Cultural Heritage (2004).** According to the law, operations that cause destruction or harm to record historical and cultural sites or artifacts are prohibited (Article 11, Article 16). The law provides guidelines for how to deal with chance finds. This is considered consistent with the World Bank's OP 4.11 on Physical Cultural Resources. ESIAs will include screening for existence of physical cultural resources in the potential area of impact.

- **Labor Law (2007)** contains a number of articles relevant to infrastructure development. Article 30 states that an organization 'can increase or decrease the hours of work during the week provided that the total working hours during a week do not exceed 40 hours'. Articles 107–119 in Chapter 10 of the Law set out a range of specific requirements to ensure health and occupational safety conditions in a workplace. For example, Article 112 requires that when working in 'conditions harmful to health', special clothing/footwear and so on should be put at the disposal of employees free of charge. Article 114 requires that First Aid Medical kits should be available and the treatment of an employee's illness should be at the employer's expense.

- **An Afghan Land Policy** was approved by the Cabinet in 2017. Important relevant provisions of the current policy include the following:

  (a) **Land Tenure/Land Acquisition:** (i) Land policy provides that compensation for the expropriation of ownership or of rights over land as enshrined in the Constitution be strictly enforced by law. Property rights may only be expropriated under defined legal procedures and for defined legal purposes. (ii) It also provides that no law may permit arbitrary deprivation of property rights. If the government decides to implement a development project in the interest of the public, the value that the land had before the announcement of the expropriation will form the basis for the amount of monetary compensation to the owners of the property.

  (b) **Protection of Property Rights:** (i) It is a national policy that the national and provincial governments take measures to protect citizens including residents of informal settlements from arbitrary and forcible eviction. Eviction and relocation of unplanned settlement residents shall be undertaken with community involvement only for necessary spatial rearrangement that should take effect in accordance with the public's interest. (ii) Compensation for expropriation of rights over land must be provided equitably in accordance with the law.

- **The Law on Land Acquisition (2017)** replaces the Law on Land Expropriation (2009) in providing the legal basis for land acquisition and compensation. Article 4 confirms

municipalities in urban areas and Afghan Land Authority (ARAZI) in rural arears as the enforcement authorities of the law. Article 5 sets out the range of public interest projects, including a range of infrastructure projects, for which an individual's property and assets may be expropriated. Article 6 reconfirms the types of properties (cultural and historic) and land (required for environmental protection) where expropriation is either prohibited or limited. Articles 9–12 set out the various responsibilities of the expropriating authority, affected person, and evaluation committee. Articles 13–18 describe the different types of expropriation. The arrangements for transfer of government property to enable a project are described in Articles 19–21. Articles 22–37 are devoted to a set of issues around the valuation of expropriated properties including the establishment of a Panel of Developing Bill of Valuation of Expropriated Properties in every province (Article 22), appraisal of compensation for different assets (Articles 25–33). Articles 36 and 37 deal respectively with expropriation of property of an absent person and timing of compensation payments. Articles 38–41 set out the resettlement procedures and responsibilities of the Resettlement Committee. Various miscellaneous provisions related to land acquisition including assessment of property related conflicts and enforcement are set out in Articles 42–53.

- The new **Land Management Law (2017)** replaces the Law on Managing Land Affairs (2008) and aims to create a legislated unified, reliable land management system. This law also aims to provide a standard system for land titling, land segregation, and registration; prevent illegal land acquisition and distribution; provide access to land to people; and provide conditions for appropriation of lands. Under the new law, the judiciary will no longer have a dominant role in land registration, issuance of land documents, and land titling, thus removing any potential conflict of interest with its key role in dispute resolution.

- **The National Disaster Management Law (2012).** The new law regulates activities related to response, preparedness, and risk reduction for natural and manmade disasters including the institutional arrangement responsible for implementation. The National Disaster Management Commission (NDMC) and the Afghanistan National Disaster Management Authority (ANDMA) are responsible for decision making, regulation, and coordination of disaster preparedness, response, and enforcement. At provincial and district levels, a separate commission is established to implement the decisions made by the NDMC. With assistance from international communities, several policy and planning documents necessary for guiding directions in disaster risk management have been prepared.

3.2 Key International Environmental Conventions and Agreements

47. Afghanistan is a signatory of many international environmental agreements, treaties, and conventions. The NEPA and Ministry of Agriculture, Irrigation, and Livestock (MAIL) play important roles as the focal points for these agreements.[6] Afghanistan has signed but not ratified the Basel Convention regarding transboundary movement and disposal of hazardous waste and is in the process of acceding to the Convention on Migratory Species and the Ramsar Convention on Wetlands.

[6] The NEPA is the focal point for the ozone treaties, the Vienna Convention and the Montreal Protocol, and the United Nations Framework Convention on Climate Change (UNFCCC) while the MAIL is the focal point for the United Nations Convention on Biological Diversity (UNCBD), the United Nations Convention to Combat Desertification (UNCCD), and the Convention on International Trade of Endangered Species (CITES).

3.3 World Bank Safeguard Policies Triggered by the PPIAP

Table 2: Safeguard Policies

Safeguard Policies Triggered by the Project	Yes	No
Environmental Assessment (OP/BP 4.01)	[X]	[ ]
Natural Habitats (OP/BP 4.04)	[X]	[ ]
Pest Management (OP/BP 4.09)	[X]	[ ]
Physical Cultural Resources (OP/BP 4.11)	[ ]	[X]
Involuntary Resettlement (OP/BP 4.12)	[X]	[ ]
Indigenous Peoples (OP/BP 4.10)	[ ]	[X]
Forests (OP/BP 4.36)	[ ]	[X]
Safety of Dams (OP/BP 4.37)	[X]	[ ]
Projects in Disputed Areas (OP/BP 7.60)	[ ]	[X]
Projects on International Waterways (OP/BP 7.50)	[X]	[ ]

3.3.1 World Bank Safeguards Policies and GoIRA Regulations

48. The objective of the ESMF is to ensure that relevant World Bank safeguards policies and GoIRA environmental and social regulations are strictly adhered to. The project has triggered 5 of the World Bank's 10+2 safeguards policies, namely, Environmental Assessment (OP/BP 4.01), Natural Habitats (OP 4.04), Pest Management (OP 4.09), Involuntary Resettlement (OP/BP 4.12), Safety of Dams (OP/BP 4.37), and Projects on International Waterways (OP 7.50) and will adhere to the World Bank Group General Environmental, Health, and Safety Guidelines.

3.3.2 Selection and Screening of Infrastructure Projects

49. As part of the ESMF, a social and environmental screening process will help (a) determine which construction or rehabilitation activities are likely to have potential negative environmental and/or social impacts; (b) determine the level of environmental and social work required, including whether an ESIA/ESMP or a freestanding ESMP will be required or not; (c) determine appropriate mitigation measures for addressing adverse impacts; (d) incorporate mitigation measures into the projects financed by the PPIAP; (e) indicate the need for the preparation of an RAP, which would be prepared in line with the RPF, prepared for the project; (f) facilitate the review and approval of the construction and rehabilitation proposals; and (g) provide guidance for monitoring environmental and social parameters during the implementation and operation of project activities.

50. Given the multisectoral and complex nature of the PPIAP, and to ensure appropriate implementation and monitoring of social and environmental issues, the ESMF requires the recruitment of (a) two social and environmental safeguard specialists to be co-located in the project office in Kabul and (b) a communications officer with a good knowledge of environmental and social safeguards (ESS) for the Project Coordination Unit (PCU) based in Kabul to timely liaise with these two safeguards specialists. These three staff will work closely with the project officials at both central and provincial levels and be responsible for the proper handling of environmental, social, and communication dimensions of the project throughout its life cycle. These staff will be trained by World Bank safeguards specialists.

51. Both World Bank safeguards policies and national regulations will be applied to ensure that potential negative environmental and social impacts on land resources, soils, water resources, biodiversity, vegetation, local communities, and the society at large are adequately managed and positive impacts are enhanced.

52. The rationale for triggering the above policies is set out below:

- **Environmental Assessment (OP/BP 4.01).** This OP covers impacts on the natural environment, human health and safety, transboundary, and global environmental concerns. It is triggered because the proposed Project will finance preparatory TA activities, including prefeasibility and feasibility studies of potentially significant infrastructure investments across a range of sectors. Although they are not financed by the PPIAP, these future investments should they be implemented may potentially lead to significant and widespread adverse environmental and social impacts if capacity in the relevant agencies and in the private entities is not enhanced. The nature, type, and physical locations of future investment projects will be determined by feasibility studies to be carried out during implementation of the proposed Project. Through the ESMF, the borrower will ensure a process is put in place that would ensure the required environmental and social assessments and plans are prepared when these investments are identified, in compliance with Afghanistan's own requirements and with OP 4.01 and other triggered World Bank safeguards policies.

  The extent and type of environmental and social assessment required is based on its screening category. The World Bank classifies projects into one of three categories (A, B, and C), depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental and social impacts.

Table 3: World Bank EA Screening Categories

Category A	An ESIA is always required for projects that are in this category. Impacts are expected to be 'adverse, sensitive, irreversible, and diverse with attributes such as pollutant discharges large enough to cause degradation of air, water, or soil; large-scale physical disturbance of the site or surroundings; extraction, consumption, or conversion of substantial amounts of forests and other natural resources; measurable modification of hydrological cycles; use of hazardous materials in more than incidental quantities; and involuntary displacement of people and other significant social disturbances. For a Category A project, the borrower retains independent EA experts not affiliated with the project to carry out the EA.
Category B	When the project's adverse environmental impacts on human populations or environmentally important areas (including wetlands, forests, grasslands, and other natural habitats) are less adverse than those of Category A projects. Impacts are site specific; few, if any, of the impacts are irreversible; and in most cases, mitigation measures can be designed more readily than for Category A projects. The scope of environmental and social assessment for a Category B project may vary from project to project, but it is narrower than that of a Category A subproject. It examines the project's potential negative and positive environmental and social impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance.
Category C	If the project is likely to have minimal or no adverse environmental impacts. Beyond screening, no further EA action is required for a Category C project.

The PPIAP is rated as Category A. For a Category A project, the borrower retains independent EA experts not affiliated with the project to carry out the EA. This ESMF will serve as the overall project-level instrument required by OP 4.01. The ESMF detailed requirements and processes for full ESIAs and ESMPs will be prepared by consulting firms subject to review by the World Bank.

Some of the projects may have significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. Feasibility-level ESIAs will identify and examine potential negative and positive environmental and social impacts and through relevant plans (ESMP, Occupational Health and Safety Management Plan [OHSMP], RAP, Cultural Heritage Management Plans [CHMPs]) recommend measures to avoid, mitigate, or compensate adverse impacts and enhance positive outcomes. Generic terms of reference

(ToR) for limited environmental and social assessments and a more detailed ESIA are included under annex 2. OP/BP 4.01 requires that the ESMF be subject to participatory and culturally appropriate consultations in the project areas and publicly disclosed in both Dari and Pashto languages, locally and at the World Bank's external website, before appraisal of the project.

- **Involuntary Resettlement (OP/BP 4.12).** This policy covers not only physical relocation but any loss of land or other assets resulting in (a) relocation or loss of shelter, (b) loss of or access to assets, and (c) loss of income sources or means of livelihood if affected people must move to another location. It is triggered because, although no direct land acquisition and resettlement is anticipated because of this TA project, the feasibility studies for future PPP projects may recommend some land acquisition, resulting in asset loss and resettlement. As the nature, type, and physical locations of the PPP projects for full feasibility studies cannot be identified before project appraisal, the borrower has prepared an ESMF and a stand-alone RPF for the proposed Project to guide preparation of environmental and social assessments, ESIA, and RAP(s) (where needed.) The ESMF includes provisions for carrying out environment and social due diligence. The RPF sets out procedures for handling land acquisition and resettlement in prospective projects and provides detailed guidance on developing RAPs and abbreviated RAPs (annexes 4 and 4b).

- **Physical Cultural Resources** (OP/BP 4.11) is not triggered but chance find procedures, aligned with national legislation, are in place (see annex 5).

- Safeguard policies also require compliance with the World Bank group's EHS (annex 6: ECOP, section 1.5).

- **Pest Management (OP 4.09)** is triggered. The GoIRA indicated that agriculture projects are one of their priorities, and thus, feasibility studies will include consideration of the need for IPM and pesticide management in preparing plans for scheme development and operation. As needed, individual scheme pest management plans (PMPs) will be prepared and then evaluated during the EA studies. The ESMF includes a generic ToR for preparation of a PMP and IPM approach for such projects in annex 2.

- **Safety of Dams (OP/BP 4.37)** is triggered. The reason is that the project-relevant documents indicate that the client will most likely propose pre-feasibility and feasibility studies of hydropower and water reservoir projects. These studies will be subject to technical oversight as prescribed by the policy when the feasibility studies are complete. The ESMF specifies appropriate procedures, generic ToR for a panel of dam safety specialists, and so on, for ensuring dam safety according to the policy requirements.

- Projects on International Waterways (OP 7.50) is triggered insofar as the PPIAP project will support the preparation of pre-feasibility and feasibility studies for private and publicly funded projects as well as detailed design and tender documents of PPP projects that might be on any of the international waterways shared with one or more of the other riparian countries. An exception to the requirement of notifying other riparians has been approved by the Regional Vice President on the basis that the project may finance upstream feasibility studies for projects that may involve international waterways. The exception memo also confirms to the Regional Vice President that should the need arise to prepare detailed design and tender documents for projects that may involve the use or potential pollution of international waterways, the project details of such projects would be shared with the riparian

countries through the riparian notification process, thus meeting the requirements of the World Bank's policy on Projects on International Waterways (OP 7.50).

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3.3.4 Screening of Project Activities and Sites

53. The screening process will be used to determine the appropriate types of environmental follow-up measures, depending on the nature, scope, and significance of the expected environmental and social impacts from each of the project activities.

54. Both the Environmental and Social Screening Form (ESSF) (annexes 1b and 1c) and the national ESIA regulation are applicable. The screening forms, when correctly completed, will facilitate the

- Identification of potential environmental and social impacts and the identification of health and safety risks;
- Identification of potential air, soil, and groundwater issues, impacts, contaminations;
- Determination of their significance;
- Assignment of the appropriate environmental category; and
- Determination of the need to conduct an ESIA/ESMP, a freestanding ESMP, and/or to prepare RAPs where required or determine that no action need to be taken.

55. The responsible agency will need to confirm the abovementioned screening process to comply with World Bank safeguards policies and the national environmental legislation; the screening process will be conducted in the following manner:

- Preparation activities for the screening process will include a desk appraisal of the intervention (for example, construction/rehabilitation and operation plans) for project-related infrastructure.
- After the desk appraisal of the interventions, the initial screening of the proposed project activities will be verified in the field, with the ESSF prepared by the project safeguard staff. Subsequently, the NEPA will also oversee the preparation and implementation of the required measures.

Assigning the Appropriate Environmental and Social Categories

56. The ESSF, when completed, will provide information on the assignment of the appropriate environmental and social category to a project by the NEPA according to national regulations. It is expected that some of the projects might be Category 1, 2, or 3, which are equivalent to the World Bank's Categories A, B, and C.

57. Category A project activities would have significant and long-term adverse environmental and social impacts and therefore would require an ESIA/ESMP and/or RAP, in accordance with Afghan legal requirements. Category B projects are those with one or a few potentially significant adverse impacts, which would require an ESMP to address specific impacts during project construction or operation but not a full ESIA. Category C projects would not involve any significant adverse environmental impacts; they would

therefore not require an ESIA or a specific ESMP, but they would require adherence to good environmental practices, including any applicable Environmental and Social Clauses to be included in the contractor's contracts and application of the ECOP, which is provided in this ESMF.

58. The assignment of the appropriate environmental category will be based on the provisions of the World Bank's Operational Policy on Environmental Assessment (OP/BP 4.01) and the Afghan ESIA Regulation.

59. The ESIA, ESMP, or RAP should be disclosed in-country at the project sites and on the relevant ministries' website and the World Bank InfoShop before commencement of any project construction activities. In addition, PAPs should have been compensated before any construction activity can start since the World Bank policies will apply under this Project.

60. After reviewing the information provided in the ESSF and the Preliminary Environmental Information Sheets and having determined the appropriate environmental and social category, the World Bank and the NEPA will determine whether (a) the application of simple mitigation measures outlined in the Environmental and Social Checklist, ECOP, and Environmental and Social Clauses and Guidelines for Contractors will suffice (Category C); (b) an ESMP (but no ESIA) needs to be prepared to address specific environmental impacts (Category B); or (c) a full ESIA/ESMP will need to be carried out (Category A).

3.3.5 Environmental and Social Checklist

61. The Environmental and Social Checklist in annexes 1a, 1b, and 1c will be completed by the twoqualified environmental and social specialists of the project. Some projects will not require a full ESIA and will benefit from the application of mitigation measures outlined in the checklist. In situations where the screening process identifies the need for land acquisition, an RAP shall be prepared and disclosed consistent with OP/BP 4.12 guidelines.

62. Certain projects will be found to require an ESIA. In such a case, the ESIA would identify and assess the potential environmental and social impacts of the proposed activities, evaluate alternatives, as well as design and implement appropriate mitigation, management, and monitoring measures. These measures would be captured in the ESMP, which will be prepared as part of the ESIA document.

63. Where required, preparation of the ESIA that includes an ESMP and the preparation of the RAP will be carried out by the borrower in consultation with the relevant stakeholders, including potentially affected persons. Environmental and social specialists of the Project Implementation Units, in close consultation with NEPA relevant staff, will arrange for the (a) preparation of ESIA/ESMP orRAP ToR based on the generic ToR in the annex to this ESMF; (b) recruitment of a consultant to carry out the ESIA/ESMP or RAP; (c) public consultations and participation; and (d) review and approval of the ESIA/ESMP or RAP following the national ESIA and RAP approval process. ESIAs, ESMPs, and RAPs also need to be sent to the World Bank for approval and disclosure.

3.3.6 Infrastructure Project Review and Approval

64. The environmental and social specialists at the project team will fill in the ESSFs and identify the mitigation measures presented in the Environmental and Social Checklists or additional ones not mentioned in the checklists to classify the project. Where an ESIA/ESMP or a freestanding ESMP has been prepared, the environmental and social specialists, in collaboration with the NEPA relevant staff, will review the reports to ensure that all environmental and social impacts have been identified and that effective mitigation measures have been proposed, including institutional arrangements for the implementation of the ESMP and a budget.

65. Based on the results of the above review process, and discussions with the relevant stakeholders and potentially affected persons, the environmental and social specialists, for projects that do not require an ESIA/ESMP or a freestanding ESMP, will make recommendations to the project director to go ahead with the project implementation and only use simple ECOP procedures.

66. Government capacity in the country is either nonexistent or weak for conducting the ESIA/ESMP processes. To ensure that all stages of the process, including the verification of screening forms, are completed correctly for the various project locations and activities, training will be provided to members of the relevant agencies as well as the project-relevant team members and safeguards focal officers. Technical advice and training on the ESIA and implementation of mitigation measures will be provided by a contracted safeguards specialist in cooperation with the environmental and social specialists of the project with assistance of World Bank safeguard specialists.

3.3.7 Participatory Public Consultation and Disclosure

67. Local people and communities as well as their representatives need to be continuously involved in the decision making related to the project interventions. The various pieces of Afghan legislation and the relevant World Bank policies place public consultation and participation at the top of the agenda. The project will ensure that the provisions in those regulatory documents are strictly followed.

68. The public participation process is an intrinsic component of the ESIA/ESMP process with the following main objectives:

- Keep project-interested and project-affected parties (PI&APs) informed about key issues and findings of each stage of the ESIA.
- Gather concerns and interests expressed by various project stakeholders.
- Obtain contributions/opinions of stakeholders in terms of avoiding/minimizing possible negative impacts and maximize positive impacts of the project.
- Finally, support the social dialogue and identify from the onset stakeholders' perceptions and expectations, which can contribute to the action planning and effective communication to minimize the impacts of the project. The process also allows for rethinking the project's technical aspects.

69. For the public participation process to be effective, there are norms and procedures to be observed throughout. The ESIA/ESMP process emphasizes the clear need for frequent interaction and communication between the public, parties affected by the proposed Project, local nongovernmental organizations (NGOs), external interested and concerned organizations, and project safeguards specialists and engineers.

70. Each aspect of the technical investigations generally includes a data collection and verification phase, followed by analysis and evaluation, and then synthesis and conclusions. The findings of each phase are communicated as appropriate to external parties.

71. In terms of the ESIA regulations in force in the national ESIA as well as in the World Bank safeguards policies, it is mandatory to have public consultation meetings at the end of each main phase, for example, scoping and definition of ToR as well as a public consultation on the draft final ESIA document. These should be announced at least 15 days before the meeting day. In addition to being invited by public notices, a certain number of participants to these meetings should be directly invited by letters of invitation

drafted by the consultant, issued and distributed by the project developers. In this case, the PCU would be at the forefront in ensuring that relevant stakeholders are invited and participate in the meetings

72. It is the fundamental objective to create jobs, construct infrastructure, and introduce modern technologies, but if not planned and conducted properly, they can also contribute to increase and make local food insecurity worse, cause environmental damages, stimulate rural-urban migration, and so on, which are project outcomes to be avoided.

73. In compliance with both the Afghan regulation and World Bank guidelines, before a project is approved, the applicable documents (ESIA, ESMP, and/or RAP) must be made available for public review at a place easily accessible to beneficiary communities (for example, at a local government offices) and in a form, manner, and language that can be easily understood, including the nontechnical summaries of the main documents. They must also be forwarded to the World Bank for approval and disclosure at the Public Information Center in Kabul and at the World Bank external website in Washington, DC. especially as part of ESIAs/ESMPs and RAPs public consultation and participation processes. Afghan guidelines also have similar prerequisites, which should be strictly followed under the Project.

74. During the preparation of the ESMF, public consultation was carried out. Two main phases were considered. The first was during the initial stage as a way of getting the preliminary views from main stakeholders on possible project characteristic and impacts as well as on issues that should deserve attention. The second took place after the draft of the ESMF, PMP, and RPF, with the aim of informing stakeholders about the project structure and contents to get their views on issues to be reexamined, the project's possible environmental and social impacts, and possible ways of mitigating them. The feedback received from stakeholders has been integrated in many sections of the documents including the ESMF and is also summarized in annex 1. It also includes the names of the people who have been consulted. As stated earlier, the final ESMF will be redisclosed in-country and on the World Bank website before appraisal.

IV. ESMF: OBJECTVIES AND MANAGEMENT APPROACH

75. The overall purpose of the ESMF is to ensure that investments and activities (TA) to be financed under the PPIAP and anticipated future PPP investments will not create adverse impacts on either local communities or their environment and that any potential adverse impacts will be adequately mitigated in line with national regulations and the World Bank's safeguard policies and potential benefits enhanced.

76. The objectives of the framework are to help ensure that activities under the Project and anticipated future PPP investments will

- Protect human health and safety;
- Prevent or compensate any loss of livelihood;
- Prevent environmental degradation as a result of either individual proejcts or their cumulative effects;
- Enhance positive environmental and social outcomes; and
- Ensure compliance with Afghanistan's laws and regulations and World Bank safeguard policies.

Table 4: Safeguards Requirements Component by Component

Components	Activities to Be Financed by the Project	Safeguards Instruments	Timing for Preparation and Implementation of Safeguards Instruments
Overall project level	Components 1–3	ESMF and RPF	Prepared during project preparation and implemented in the project.
Component 1: Strengthening Institutional and Technical Capacity			
Subcomponent 1A: Improving and integrating the PIM-PPP framework	TA	None	n.a.
Subcomponent 1B: Strengthening GoIRA institutional and technical PIP-PPP capacity and awareness	TA	None	n.a.
Component 2: Infrastructure Preparation Facility			
Subcomponent 2A: Design and establishment of the IPPF	TA	None	n.a.
Subcomponent 2B: Initial funding of the IPPF	TA	Environmental & Social Impact Assessments ESIAs, ESMP, RAP, ECOP application	Environmental and Social Impact Assessments, ESIAs, ESMPs, full RAP and Abbreviated RAPs (where needed) prepared during project implementation
Component 3: Project Management	TA services	None	n.a.

4.1. Approach to the ESMP in the PPIAP

77. A framework approach is adopted as all project investments under Subcomponent 2B could not be identified at the time of project appraisal. Consistent with existing national legislation, the ESMF prescribes policies, guidelines, procedures, and codes of practice to be considered during project planning and implementation. The framework sets out a range of screening tools to assess potential negative environmental and social impacts of projects and guidelines for preparing relevant mitigation management plans. The approach takes account of lessons learned in other projects, highlights the importance of citizen engagement and access to information and communication in underpinning effective environmental and social management, and describes screening procedures.

4.1.1. Incorporating Lessons Learned on Safeguard Compliance

78. In addition to lessons learned set out in section 2.4, several important insights gleaned from implementing safeguards in other projects in Afghanistan have resonance for the PPIAP and future project investments and have informed the development of this ESMF. These include the following:

- Adequate provision for building the capacity of ministry staff responsible for ESMF compliance within the project budget. Lack of capacity to identify potential adverse environmental and social impacts and determine, manage, and monitor appropriate mitigation measures poses a substantial risk of achieving successful outcomes of future PPP projects.

- Timely and systematic public consultation is a key mitigation measure for participatory problem-solving, managing expectations, and decision making.

- Priority should be given to outreach to, and consultations with, all stakeholders, especially women and other vulnerable groups.

- An effective GRM, including an MoF-level hotline for grievance handling, established at the outset of project development acts as an 'early warning system' for project management and helps preserve project funds and project reputation.

- If a project requires land acquisition and/or settlement of people,

    - All land acquisition must be categorized (involuntary acquisition of private land and government land), documented, and available for review. It is important to note that voluntary land donations are not acceptable under location-specific investments as envisaged under the PPIAP;

    - The number of PAPs must be agreed by relevant agencies and communities;

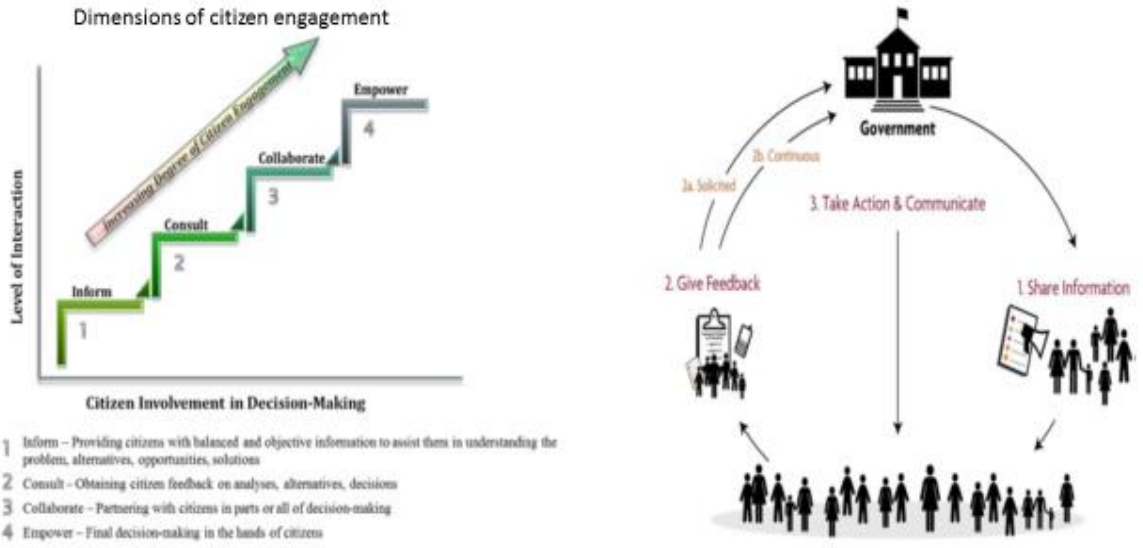
    - Systematic monitoring is required to ensure that agreed compensation is paid to PAPs on time to avoid misunderstanding and distrust building between a project and local communities; and

    - All compensation payments must be recorded.

4.1.2. Citizen Engagement

79. Within the PPIAP, citizen engagement is a two-way interaction between citizens and governments and/or the private sector that gives citizens an informed say about proposed infrastructure investment while enabling PPP management teams to hear public perceptions/concerns and suggestions. Involving various stakeholders from the beginning of a project development helps avert problems and costly delays and can create important support for a project. It is anticipated that initial stakeholder consultations will be enhanced throughout project implementation to facilitate learning and feedback and smooth adjustments to projects as necessary. Key elements of citizen engagement within the PPIAP include **stakeholder consultations** during the development and implementation of all projects supported under the PPIAP, the effective implementation of **a GRM**, which needs to be established by the MoF and cover all projects, development of a citizen feedback mechanism, and the involvement of communities in **third-party monitoring**.

Figure 1: Closing the Feedback Loop



Source: Strategic Framework for Mainstreaming Citizen Engagement, World Bank.

Stakeholder Consultations

80. Wide-ranging consultations are essential at all stages of the proposed investments from appraisal to evaluation. Such consultations help (a) ensure that people, including vulnerable groups, especially women, are made aware of a project and can comment on it; (b) improve responsiveness, accountability, and transparency on the part of project management; (c) promote better decision making; and (d) increase cooperation between communities and government/private investors during project design and implementation. Consultation mechanisms include

(a) Public meetings;

(b) Focus group meetings;

(c) Key informant interviews;

(d) Public hearings; and

(e) One-to-one meetings with PAPs.

81. Initial meetings with stakeholders provide a forum not just for dissemination of information about a project and its potential impacts but also constitute an important opportunity to hear people's concerns, manage their expectations, and take on board their recommendations to the extent possible in project design. These meetings also will lay the foundations for systematic consultation and participation of the community in all subsequent stages of an investment scheme's development. For the PPIAP, consultations are also critical in assessing whether key business assumptions of future investment projects, for example, payment of tariffs and fees, are realistic and enforceable.

82. Stakeholders fall into two categories: (a) direct stakeholders who will be directly affected by an investment scheme, for example, local communities and local businesses, and (b) indirect stakeholders who

have an interest in the project or who could influence its outcome, for example, national and local government agencies, donors, NGOs, and private companies.

83. Following stakeholder identification, participatory methods such as focus group discussions, semi-structured interviews, key informant interviews will be used by safeguards staff within the sponsoring agency to conduct meetings with representatives from each group—both to inform the development of safeguards instruments and to consult stakeholders through the lifetime of a project. Meetings will be arranged at times to ensure the maximum participation of stakeholders.

84. Separate meetings will be held with women and other marginalized groups. Project management will ensure that either female safeguard staff or a woman is recruited to enable outreach and effective consultation with women interested in or already working in small and medium enterprises (SMEs). It is essential that women's views and concerns are properly taken account of in the final plans and designs of a project.

85. The prevailing security context is likely to determine the location of most meetings. All meetings with stakeholders must be properly documented and filed for easy retrieval.

86. Consultation with indirect stakeholders will be conducted in parallel to those with communities. These will include meetings with representatives from relevant government departments/programs and agencies including District Governors, the NEPA, and representatives from other related projects, private sector investors, and NGOs working in the target areas to enhance consistency and potential positive impacts of the PPIAP.

87. The communication and awareness building campaign (Subcomponent 1B) of the PPIAP emphasizes the critical importance of frequent communication with and systematic outreach to various stakeholders including local communities to build consensus on the proposed project. Under this component, broader principles and practice of public-private dialogue will be introduced to the MoF and other government-sponsoring agencies and private investors in line with the those set out in the Public-Private Dialogue Charter (http://www.publicprivatedialogue.org/charter/PPD_Charter.pdf).

88. Consultations on this ESMF were held in Kabul on December 17, 2017, to deepen various stakeholders' understanding of the ESS procedures, including the GRM. Key aspects of the discussions are reflected in the final version of the revised ESMF, and the minutes of these consultations are attached as annex 12.

GRM

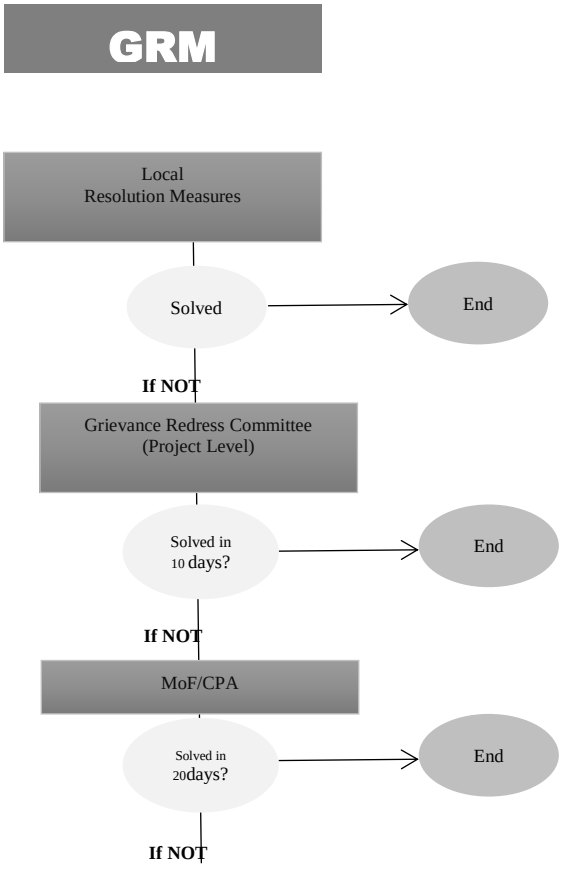
89. Safeguards staff within the MoF/CPA and the sponsoring agencies, together with local government representatives, must inform community representatives about the GRM and explain the various ways of accessing it during initial meetings. Safeguards staff should explain that a range of mitigation measures to reduce potential negative environmental and social impacts of project activities on communities, including the concept of just compensation for any involuntary acquisition of land a/or assets, will be discussed and agreed with community representatives as an integral part of project development. These will be included within a project's ESMP and should reduce the number of potential grievances.

GRM Process

90. The project director of the PMU will be responsible for ensuring that each project establishes an effective multi-level GRM to handle all grievances related to project activities. The GRM will function at three levels: at the community level where every effort will be made to resolve the issue and at the project

level where a Grievance Redress Committee (GRC) will be established as an appeal mechanism at the national level.

Figure 2: GRM Process



If still unresolved, PAPs may choose to exercise their right under Afghanistan law to refer the matter to a court of law.

91. In addition, the MoF will set up a grievance 'hotline' within the ministry allowing anonymous telephone reporting of grievances by telephone, as well as reporting by e-mail and the web. This service will most probably be contracted out to an external supplier such as independent call center, which will operate a manned telephone hotline around the clock, 7 days a week, and 365 days a year. This service will cover all World Bank-MoF-supported projects, including public concerns relating to MoF services.

92. Where an individual has a grievance regarding a specific investment activity, she or he should, in the first instance, be encouraged to make use of existing local-level structures (for example, in rural areas CDCs and village leaders and neighborhood or *gozar*-level structures in urban areas) to try to resolve quickly any concerns or grievances related to project development and implementation.

93. If intermediation at the local level is unsuccessful, the individual or PAP can take his or her complaint to a formal GRC at the project level, which will record the grievance and try and resolve issues relating specifically to the implementation of a project. (annex 9). A GRC will include the AP, the sponsoring agency's representative at the provincial level, a representative from local government, a

representative from the AP's community CDC, which may be a representative from a women's CDC, a local NGO representative, and the contractor.

94. The AP (or his/her representative) may submit his or her complaint in several ways, for example, by written letter, phone, SMS messages, and e-mail to the GRC or raise his or her voice in a public or individual meeting with project staff. Alternatively, the AP may prefer to use the grievance 'hotline' in the MoF. A very simple grievance form in local language will also be available at each project site to be filled in by the complainant.

95. The GRC will meet to try and resolve the matter at the community level and make a recommendation usually within 7–10 working days from receipt of complaint. If there is no decision after 10 days, the AP can refer the complaint to the CPA in Kabul. The Director General of the CPA will chair an Appeals Committee, which will then examine and provide feedback to the AP on the outcome of her or his complaint within 20 days. It is recognized that some complaints may take longer to resolve due to their complexity. For example, those related to land disputes.

96. All submitted complaints and grievances will be registered at the project level and added to a database within the PMU, which will be updated regularly by designated staff. Each complaint and grievance should be ranked, analyzed, and monitored according to type, accessibility, and degree of priority. The status of grievances submitted and grievance redress will be reported to the project manager of the PMU through the monthly report.

97. Project management as well as staff in the CPA/PMU and sponsoring ministries will receive training on the development and effective implementation of GRMs.

98. Key indicators for monitoring the implementation of a GRM-citizen engagement include the following:

(a) Grievance responded and or resolved within the stipulated service standard for response time: 80 percent

(b) Beneficiaries (private sector companies and other beneficiaries and stakeholders) reporting satisfaction with key aspects of consultation process (pre-feasibility and feasibility studies): 80 percent

(c) Percentage of project beneficiaries that have access to a GRM: 100 percent

99. The MoF will engage a consulting firm or individual to conduct a survey to measure beneficiaries' satisfaction in relation to these citizen engagement indicators.

Third-Party Monitoring and Independent Technical Audits

100. A third-party monitoring agent will produce regular reports on selected projects and will assess safeguards compliance using indicators included in site-specific ESMPs and RAPs, if prepared. The agency's reports will be informed by field observation visits and, crucially, discussions with community representatives and various members of the project team.

4.1.3. Access to Information and Communication

101. Subcomponent 1B of the PPIAP includes a focus on communication and awareness building. It is anticipated that this component will complement and reinforce the priority this ESMF places on access to

information and communication through (a) consultations with a range of stakeholders on the development of safeguards instruments and (b) liaison with government officials and other development actors on environment, social development, and gender issues at both national and regional levels. A communication strategy, including a public awareness campaign to inform local communities of their legal entitlements, rights, and responsibilities in respect of projects developed under the PPIAP, will be developed. It is anticipated the PMU safeguards unit will liaise closely with the staff responsible for developing and implementing the communication and awareness building campaign.

102. To ensure that affected communities are made aware of changes and can comment on it and to reduce possible misinformation about proposed activities, it is vital that a communication strategy is put in place early in the project's implementation. Key objectives of the communication strategy will be to

(a) Provide relevant and up-to-date information to affected communities about the project through appropriate communication channels;

(b) Facilitate a meaningful two-way exchange of information with different groups of stakeholders throughout the lifetime of the project;

(c) Build trust between project staff and communities and promote collaboration among all stakeholders;

(d) Facilitate collaborative relationships with local and national government departments, private partners, and other development agencies; and

(e) Build awareness of the project with the public.

103. The strategy will give priority to communication through relevant media channels: The PMU's safeguards unit will liaise closely with safeguards staff in the national and regional focal teams and the private sector management teams to assess community and other stakeholder's access to, and use of, broadcast and print media and explore how the most appropriate outlets might be used to raise awareness of, and provide feedback on, the project. Key activities may include, but are not limited to,

(a) Distribution of easily understood information to all affected communities;

(b) Communication through locally relevant channels. Safeguards officers will identify trusted ways in which different groups within communities, particularly poor and vulnerable groups, receive and communicate information (for example, village meetings, mosques, female and male CDCs, and markets) and will make use of these channels to convey and receive information, consult and hold dialogues with the different groups throughout the life of the project;

(c) Liaison with relevant provincial government departments and other agencies: provincial safeguards staff will meet regularly with government staff in key regional departments, such as the NEPA, Department of Rural Rehabilitation and Development (DRRD), Department of Health, and DAIL; and

(d) Meetings with the public to enhance awareness of the project and the role of PPP in national development.

4.1.4 Safeguards Screening Procedures

104. Pre-feasibility and feasibility studies will be developed and submitted by sponsoring ministries to the CPA/PMU under the PPP PDF window of Subcomponent 2B. Environmental and social screening of all projects will take place at the pre-feasibility stage to collect information and assess, among others, key environmental and social concerns and identify issues for consideration in more detailed assessments at the feasibility stage. Screening at the pre-feasibility stage also provides opportunities to establish a dialogue with stakeholders and involve them, especially local communities, in determining factors to be further assessed and helps facilitate early agreement on contentious issues (see annexes 1b and 1c). Feasibility-level EIAs/SIAs are more detailed, comprehensive, and rigorous than pre-feasibility-level screening and will be conducted in parallel with required technical studies so that findings from the ESIA can inform final PPP project designs and plans. ESIAs will determine whether a proposed project will comply with the GoIRA's and World Bank's regulations and policies, evaluate alternatives, and design appropriate mitigation, management, and monitoring plans (see annexes 2a, 2b, and 2c).

Table 5: Overview of Screening and Assessment Process and Responsibilities

Project Screening and Assessment Process		Corresponding Safeguards Requirements	Responsibility
1.	Preparation of Pre-feasibility studies.	Citizen Engagement Environmental and Social Screening (annex 1b)	Sponsoring ministry (through consulting firms)
2.	Pre-feasibility studies screened	- checking against Negative attributes list (annex 1a.) - pre-feasibility studies screening checklist (annex 1c)	CPA/PMU safeguards staff
3.	Feasibility studies relevant mitigation plans prepared	Citizen Engagement Social and Environmental Impact Assessments EIA/SIA (annexes 2a, 2b and 2c) ESMP and OHSMP (annex 3) Abbreviated RAP or Full RAP, if required (annexes 4 & 5)	Sponsoring ministries (transaction advisory team/safeguards unit)
4.	Feasibility Studies for PPP projects reviewed	Reviewed to ensure Compliance with GoIRA laws/regulations and WB policies as set out in the ESMF ESMPs and OHSMP/Abbreviated RAPs - Full RAPs approved/Cleared	CPA/PMU safeguards staff World Bank safeguards specialists

105. The CPA/PMU, together with project focal teams in sponsoring agencies and private sector partners, will apply the relevant ESMF requirement as set out in Table 5.

V. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

106. Where relevant, site-specific ESIA with a costed ESMP or just an ESMP will be prepared so that the project (a) **avoids activities** that could result in adverse environmental and social impacts on resources or areas considered as sensitive; (b) **prevents the occurrence** of negative environmental and social impacts; (c) **prevents any future actions** that might adversely affect environmental and social resources; (d) **limits or reduces the degree**, extent, magnitude, or duration of adverse impacts by scaling down, relocating, and redesigning elements of the project; (e) **repairs or enhances affected resources**, such as natural habitats or water resources, particularly when previous development has resulted in significant resource degradation; (f) **restores affected resources** to an earlier and possibly more stable and productive state,

typically 'background/pristine' condition; and (g) **creates**, **enhances, or protects** the same type of resources at another suitable and acceptable location, compensating for lost resources.

107. Moreover, the ESMF includes standard Environmental and Social Clauses, which will be included in all bidding documents and in the various contracts (contractual clauses) for the design, construction, and appropriate operation of the interventions to be adopted for simple projects. Contractors for simple projects will be responsible for the implementation of these Environmental and Social Clauses during construction and will need to recruit qualified staff, responsible for environment/social and health and safety issues, to do this. Contractors for more complex projects will need to prepare and implement their own ESIA and associated ESMP (Contractor ESMP). Contractors will need to employ qualified environmental/social, health and safety specialist(s) for this purpose. In all cases, the Supervising Engineer will be required by contractual arrangement to supervise the adequate implementation of the Environmental and Social Clauses and the Contractor ESMPs. Once it is reviewed and cleared by the World Bank, the ESMF will be publicly disclosed both in-country and online.

108. An ESMP sets out feasible and cost-effective measures to address all identified potential negative environmental and social impacts. It will be required for each PPP Project and will be informed by the findings from environmental and social assessments and consultations with various stakeholders, especially community groups. The ESMP should include brief description of (a) adverse impacts, (b) mitigation measures, (c) monitoring plans, (d) institutional responsibilities, (e) capacity building, and (f) associated costs. The costs of mitigation measures need to be well defined and included in the project implementation costs. The ESMP will also include the OHSMP, labor influx mitigation plan, and the employee CoC.

109. The ESMP will be developed by designated safeguards staff in the sponsoring ministry although this responsibility may be shared later with the private sector partner. The ESMP will be reviewed by the safeguards team within the CPA/PMU before submission to the NEPA. Upon clearance by the NEPA and the World Bank, the ESMP will be used by both the sponsoring ministry and the private sector implementing partners to manage all potential environmental and social impacts for each project investment (annex 4 and 4b).

5.1. Key Elements of an ESMP

5.1.1. Capacity Building

110. The overall objective is to build and strengthen the institutional capacity of

(a) The CPA/MoF to better support the preparation, implementation, supervision, monitoring, and reporting of safeguard performance in PPP projects and

(b) Designated staff within sponsoring ministries to effectively apply ESMF guidelines to the preparation, management, and monitoring of PPP projects.

Approach to Capacity Development

111. The first step will be to identify the capacity gaps and needs of the various stakeholders. Capacity building should be viewed as more than training. It is human resource development and includes the process of equipping individuals with the understanding, skills, and access to information, knowledge, and training that enables them to carry out their responsibilities effectively. Capacity building will mostly be in the form of workshops, seminars, and on-the-job training.

112. A cascade approach to capacity development will be employed within the project. The World Bank ESS specialists will support the MoF to strengthen/build the capacity of its designated safeguards staff within the CPA/PMU to manage safeguards effectively within the PPIAP. They in turn will work to build the capacity of safeguards staff within sponsoring ministries and private sector partners and increase awareness and knowledge of environmental and social issues within management teams.

113. A training manual will be developed by the PMU. Safeguard training for relevant staff within the PMU, sponsoring ministries, and private sector companies will initially prioritize the preparation, implementation, and supervision of ESMPs and the development and implementation of the GRM. Additional training to improve understanding and enhance knowledge of key issues such as ECOPs will be introduced. Involvement of other key project staff and the NEPA in the process of safeguard training and capacity building will be strengthened throughout the project implementation process.

114. The target groups for capacity building are the MoF/CPA/PMU, sponsoring ministries at national and provincial levels, private sector companies, local government, the NEPA, and other relevant agencies and communities.

Table 6: Key Trainings/Awareness Raising Directly Linked to Implementation of the ESMF

	PMU/ CPA	Sponsoring Ministries	Private Sector	Local Government	Other Agencies Including NEPA	Local Communities
Role of the ESMF and RPF in the PPIAP	A	A	A	A	A	A
Policy and Regulatory Environment - GoIRA and World Bank	A	A	A	A	A	
Use and application of ESMF, RPF tools (screening checklists, environmental and social assessments, ESIA, RAP)	T	T	T	T	T	A
Reviewing application of ESMF and RPF tools - implementation and enforcement	T	T	T	A	A	A/T
Citizen engagement: • Conducting consultations with and providing feedback to local communities and other stakeholder groups • Developing and maintaining functional GRMs including setting up 'hotline' to the MoF • Developing relevant citizen feedback mechanisms	T	T	T	T	T	A/T
Collecting baseline information and conducting environmental and social scoping/assessments	T	T	T	T	T	A
Identification of environmental and social	T	T	T	T	T	T

	PMU/ CPA	Sponsoring Ministries	Private Sector	Local Government	Other Agencies Including NEPA	Local Communities
impacts - determining negative and positive impacts of investment projects						
Identification of mitigation measures and development Environmental Management Plans	T	T	T	T	T	T
Monitoring implementation of ESMPs - identification of indicators	T	T	T	T	T	T
Reporting	T	T	T	T	T	

Note: T = Training; A = Awareness building.

115. The training and capacity-building exercises will consider, during their development, the integration and fulfilment of the requirements of the GoIRA and the World Bank's legal, regulatory, and policies related to social and environmental policies. Where institutional capacity is currently inadequate, the project will ensure qualified support for this through hiring of appropriately qualified staff to provide necessary expertise.

116. Training directly linked to the implementation of the ESMF and RPF should be undertaken first and subsequently followed with regular interval training on aspects influencing success of the ESMF.

117. **Private sector partners.** A preliminary assessment of awareness and knowledge of safeguards among selected local private enterprises was carried out as part of the ESMF and RPF preparation. A more comprehensive knowledge and skills gap analysis of the sector will be carried out by the PMU team during the first year of the project and the findings used to develop a capacity-building strategy, which will be incorporated into the safeguards training schedule for the project.

118. **Local communities and local authorities.** Safeguard staff from sponsoring ministries at provincial and municipal levels will work through local CDCs and other relevant forums to organize practical training to build the knowledge and awareness of local authorities and local communities, including women, on social and environmental issues related to proposed project activities. Training will also be provided to build the skills of local people to participate actively in identifying appropriate mitigation measures to avoid or reduce potential negative impacts of project activities.

119. **Contractors and supervision consultants** as part of best practice, and to comply with international standards for occupational health and safety, will be provided with awareness raising and environmental and occupational health and safety training on-site. Contractual bidding documents will also indicate a requirement for ESMF compliance.

5.1.2. Monitoring and Evaluation

120. To ensure effective implementation of measures in the ESMP, the PMU will put in place the following monitoring and evaluation system, which includes both internal monitoring and reporting and external monitoring and evaluation.

Internal Monitoring and Reporting

121. At the provincial/municipal level, designated safeguards officers within the sponsoring ministries, together with local (district and village) government, local communities, and PPP project management, will be responsible for monitoring the implementation of mitigation measures, set out in the ESMPs. Relevant practical indicators to enable effective monitoring will be identified by safeguards staff in close liaison with community representatives during consultations on possible impacts of project activities during project preparation and included in ESMPs.

122. Monitoring information together with other information collected from various stakeholders (for example, representatives of men and women's CDCs, local government officials in project locations, local NGOs, and contractors) together with observations of project activities will be reported monthly to safeguards staff in the relevant sponsoring ministry at the national level in Kabul using standard reporting forms.

123. Monthly monitoring reports from provincial/municipal-level safeguards staff, informed by reports from private sector partners where relevant, will include

(a) List of consultations held, including locations and dates, name of participants, and occupations;

(b) Main points arising from consultations including any agreements reached;

(c) A record of grievance applications and grievance redress;

(d) Monitoring data on environmental and social measures detailed in ESMPs;

(e) Number of construction supervision reports that include assessment of the contractor's compliance with safeguards in accordance with the ECOP; and

(f) Number of trainings of community groups in environmental and social issues.

124. Safeguards staff at the national level within the sponsoring ministry will prepare consolidated quarterly monitoring reports on all PPP projects which, in addition to the above data, will include

(a) Number of national, provincial/municipal staff and counterparts trained on ESMF compliance;

(b) Number of consultations and groups consulted;

(c) Progress on environmental and social assessments/ESIAs;

(d) Number of cleared ESMPs; and

(e) Update on grievances including pending cases.

125. These reports will be submitted to the PMU director and filed to permit easy retrieval, and indicators will be incorporated into the overall PPIAP monitoring and evaluation system.

VI. RESETTLEMENT ACTION PLAN

126. A RAP is required when project activities displace people from land or productive resources, which result in the loss of shelter, the loss of assets or access to assets, and the loss of income sources or means of livelihood if the affected persons must move to another location. An abbreviated RAP, where fewer than

200 people will be affected by a proposed project, is designed to ensure that impacts arising from land acquisition, displacement, and relocation are avoided, minimized, or mitigated at least to restore the livelihoods of affected people to the pre-project level. In addition, the pre-feasibility studies may identify areas where there may be restrictions to natural resources and livelihoods. The abbreviated RAP, informed by policies and procedures detailed in the RPF, included as a stand-alone annex to this ESMF, focuses on people affected by land acquisition, asset loss, relocation, and restriction of access and defines a strategy for formalizing arrangements and mitigating negative impacts. The contents of a full and abbreviated RAP are included in annexes 4a and 4b.

VII ESMF IMPLEMENTATION ARRANGEMENTS

7.1 Institutional Responsibilities

127. The overall responsibility for ensuring compliance with ESS requirements as set out in the ESMF rests with the Director General of the CPA within the MoF.

128. **National PMU.** At the national level, a PMU will be established within the CPA and will act as project coordinator and project focal point. The project director of the PMU will report directly to the Director General of the CPA. Three ESS staff, at least one of whom will be female, will be in included within the PMU and report directly to the unit's project director. Specific responsibilities of the PMU safeguards staff will include

(a) Liaising with designated ESS staff in focal teams in each of the GoIRA ministries and agencies that are sponsoring PPP projects selected for preparatory support under the PDF;

(b) Conducting regular trainings on ESMF guidelines for both management and designated safeguards staff within the sponsoring ministries. Priority will be given initially to conducting environmental and social assessments, establishing GRMs, developing and implementing ESMPs, and implementing ECOP;

(c) Review of environmental and social assessments conducted as part of pre-feasibility and feasibility studies for selected subprojects under the PDF;

(d) Facilitating ESIAs and, if required, full RAP or abbreviated RAPs and CHMPs including developing relevant ToRs and reviewing consultants' interim and final reports;

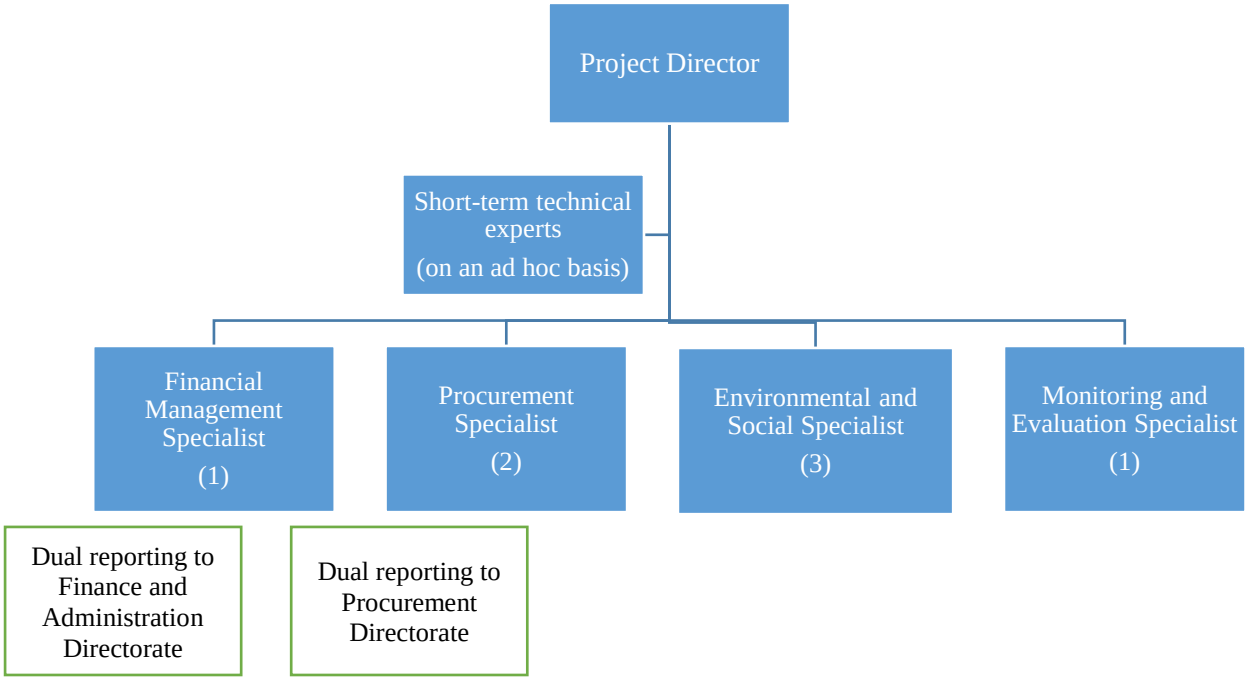
(e) Coordinating implementation of the PPIAP's environmental and social commitments and initiatives with relevant government agencies including the NEPA and ARAZI;

(f) Clearing and monitoring ESMPs prepared by safeguards team/designated safeguards staff within the sponsoring ministries;

(g) Monitoring GRM—review of registered grievances and their resolution; and

(h) Coordinating with, and receiving feedback and recommendations from, the independent third-party monitoring agency.

Figure 3: Proposed PPIAP PMU Structure



129. **National sponsoring ministries.** Specific responsibilities of designated ESS staff, of which at least one will be female, within the sponsoring ministries will include

(a) Liaising with PMU safeguards staff and designated staff of private partner on all aspects of ESMF compliance;

(b) Ensuring that environmental and social screening and scoping forms part of all pre-feasibility studies;

(c) Prior screening of environmental and social content of pre-feasibility studies before submission to the CPA against the ESMF negative checklist;

(d) Liaising with relevant procurement teams to recruit appropriately suitable expertise/qualified consultants to conduct environmental and social assessments and develop ESMPs, liaising with and providing support to consultants, and so on;

(e) Initial review of environment and social assessments;

(f) Ensuring systematic liaison with provincial/municipal-level staff to ensure that all stakeholders are identified, consultations on the proposed PPP takes place with each group of stakeholders, and findings from consultations inform ESMP development;

(g) Supervision of ESMP implementation within the PPP by provincial/municipal-level government team and/ or private sector partners;

(h) Establishing functional GRMs in each PPP—review of registered grievances and their resolution at regular intervals; and

(i) Training designated staff within provincial/local government teams, private sector partners, and local community representatives on relevant environmental and social issues, including ESMP development and implementation and the GRM.

130. **Provincial/municipal level.** Specific responsibilities of designated female and male safeguards staff within the sponsoring ministry and the private sector partner will include

(a) Facilitating the work of consultants conducting environmental and social assessments;

(b) Identifying stakeholders and holding consultations with different groups of stakeholders especially local communities, including vulnerable groups, especially women, and local government officials on impacts of proposed interventions;

(c) Establishing (at the outset of a project) a GRM and ensuring its effective functioning;

(d) Ensuring systematic consultation with communities and other local-level stakeholders throughout the life cycle of the project;

(e) Supervising and monitoring implementation of mitigation measures in ESMPs; and

(f) Providing monthly reports on safeguards matters to the national safeguards team within the sponsoring ministry.

131. Designated safeguards staff in the PMU, sponsoring ministry staff at national and provincial levels and their private sector partners, and project management will receive training to enable them to carry out their responsibilities to ensure safeguards compliance with an acceptable standard.

132. The CPA will ensure that mechanisms are put in place both within the PMU and CPA more widely to foster knowledge sharing across the MoF and sponsoring ministries: (a) the benefits of including ESS in planning and implementing PPP projects and (b) the content and requirements of the PPIAP ESMF. Consultant organizations and/or NGOs hired to conduct project studies and surveys will be required to include women as members of their consultancy teams to ensure women's involvement in the various assessments at the community level. A partnership will be formed with an appropriate NGO to work with the PMU and focal teams in the sponsoring ministries on the development, implementation, and monitoring of any RAPs.

7.1.1 Role and Responsibilities of the Contractors

133. The ESIAs and the relevant ESMPs will clarify the responsibilities and rules of the contractors with regard to safeguards implementation. Moreover, the ESMF includes standard Environmental and Social Clauses, which will be included in all bidding documents and in the various contracts (contractual clauses) for the design, construction, and appropriate operation of the interventions to be adopted for simple projects. Contractors for simple projects will be responsible for the implementation of these Environmental and Social Clauses during construction and will need to recruit qualified staff, responsible for environment/social and health and safety issues, to do this. Contractors for more complex projects will need to prepare and implement their own ESIA and associated ESMP (Contractor ESMP). Contractors will need to employ qualified environmental/social, health, and safety specialist(s) for this purpose. In all cases the supervising engineer will be required by contractual arrangement to supervise the adequate implementation of the Environmental and Social Clauses and the Contractor ESMPs. Once it is reviewed and cleared by SAR (the South Asia Regional Safeguards Advisory Unit), the ESMF will be publicly disclosed both in-

country and online before the project appraisal. Annexes 6 and 12 provide more details of contractual clauses as well as detailed contractual responsibilities during the project implementation.

7.2. Reporting

134. Provincial/municipal safeguards teams will submit project specific monthly environmental and social progress reports to the national safeguards team in the sponsoring ministry who will discuss any issues noted in these reports with private sector counterparts. The national safeguards team will report monthly to the PMU's safeguards team. The PMU will prepare and submit quarterly progress reports to the World Bank on compliance with safeguards requirements.

7.3 Key Elements of a Budget for ESMF Compliance

135. The total cost for ESMF implementation cannot be estimated because the number of projects submitted under Subcomponent 2B is unknown. Table 7, however, highlights the key elements of the ESMF that require a cost budget. Indicative unit costs are included, but these need to be reviewed and confirmed. The costs of preparing and implementing ESMPs, RAPs, and CHMPs would be included in relevant PPP project budgets.

Table 7: Key Elements of an ESMF Budget

Activity	Description	Unit Cost, US$	No.	Total Cost, US$
Environmental and Social Assessments				
Conducting pre-feasibility-level environmental and social screening and scoping and preparing report	Recruitment of consultants to prepare studies	15,000		
Conducting feasibility-level ESIAs, preparing assessment reports and related safeguard management plans (for example, ESMP, abbreviated RAPs, full RAP, CHMPs)	Recruitment of consultant specialists to prepare and review environmental and social assessments	40,000		
Capacity Building and Awareness Raising				
Conducting skills assessment in the MoF and sponsoring ministries, preparation of ESS capacity-building plan	Recruitment of consultants to conduct skills assessment/identify gaps, prepare capacity-building plan and training manual	40,000		
Capacity building for the MoF/CPA, sponsoring ministries, and private sector partners	Training workshops/seminars	200,000		
Study tours	Regional study tours to related or similar sites for environmental and social champions participating in the PPIAP	200,000		
Development of a communications strategy to raise awareness about the PPIAP and the ESMF	Communications strategy would reflect the ways in which different stakeholders access and communicate information and would also include mechanisms to raise	30,000		

Activity	Description	Unit Cost, US$	No.	Total Cost, US$
	broader awareness of the project			
Awareness raising for PPP project management staff and contractors	Raising awareness of ESMF and related issues	10,000		
Awareness raising of local communities	Raising awareness of communities about the PPP project and training on how to engage with project management on environmental and social issues that directly affect them	10,000		
Awareness raising of general public	Use of a range of mechanisms including radio, TV discussions, newspaper advertisements on issues relating to the ESMF	50,000		
Translation				
ESMF and RPF	Translation into Dari and Pashto	10,000		
Training manuals and other training materials	Translation into Dari and Pashto	20,000		

7.4 Disclosure

136. This ESMF was developed by the MoF. This updated ESMF and RPF were cleared by the World Bank on January 9, 2018, and redisclosed in-country on the MoF website and on the World Bank's external website on January 10, 2018.

137. Since the PPIAP has been upgraded from EA Category B to A, the MoF had made consequential edits to the versions of the RPF and ESMF. The revised versions were circulated/shared on April 3, 2017, with all participants from both consultation meetings (January 25, 2017, and December 17, 2017) for their feedbacks and comments. No additional comments or feedback have been provided related to the new changes. It means that the new changes to the revised versions are acceptable.

138. The revised RPF and ESMF for this Category A were shared with the World Bank's Regional Safeguard Advisor for review and clearance on March 22, 2018, which requested some additional changes, which have already been made. The revised RPF and ESMF were cleared by the World Bank's RSA on April 24, 2018, and redisclosed in-country on the MoF website and the World Bank's external website on May 4, 2018.

Annex 1: Screening and Checklist for Investment Schemes

1. This annex comprises three sub annexes that will be applied to **all civil works investment schemes** to be implemented under Component 2 of the PPIAP. Annex 1a provides a list of attributes that cannot be affected by activities that are eligible for PPIAP financing. Annex 1b and annex 1c provide the screening forms and guidelines for preparation of an ESMP.

Annex 1a: Attributes of Ineligible projects

No.	**Attributes of Ineligible projects**
1	Involves the significant conversion or degradation of critical natural habitats, including, but not limited to, any activity within • Ab-i-Estada Waterfowl Sanctuary; • Ajar Valley (Proposed) Wildlife Reserve; • Dashte-Nawar Waterfowl Sanctuary; • Pamir-Buzurg (Proposed) Wildlife Sanctuary; • Bande Amir National Park; and • Kole Hashmat Khan (Proposed) Waterfowl Sanctuary.
2	Will significantly damage nonreplicable cultural property, including, but not limited to, any activities that affect the following sites: • Monuments of Herat (including the Friday Mosque, ceramic tile workshop, Musallah complex, Fifth Minaret, Gawhar Shah mausoleum, mausoleum of Ali Sher Navaii, and the Shah Zadehah mausoleum complex) • Monuments of Bamiyan Valley (including Fuladi, Kakrak, Shar-I Ghulghular and Shahr-i Zuhak) • Archaeological site of Ai Khanum • Site and monuments of Ghazni • Minaret of Jam • Mosque of Haji Piyada/Nu Gunbad, Balkh province • Stupa and monastry of Guldarra • Site and monuments of Lashkar-i Bazar, Bost • Archaeological site of Surkh Kotal • Other conservation hot spots
3.	Affected land is under dispute.

Annex 1b: Pre-feasibility Safeguard Scoping/Screening Checklist

(a) The following checklist will be completed for all projects to assess environmental and social impacts and determine the resulting safeguards instruments and management approaches. The screening aims to ensure that the proposed activities will not create adverse negative impacts on local environment and local people and will not fall into the list of attributes provided in annex 1a as well as will comply with the government's EIA regulations.

(b) During the project screening process or pre-feasibility stage, citizen engagement or such meaningful consultation and community participation to ensure their views and those of other professional bodies are taken into considerations when relevant. The result of consultation with stakeholders, including their feedbacks should be incorporated into the relevant project documents. This methodology should be applied to site selection to all relevant projects.

(c) Local people and communities as well as their representatives need to be continuously involved in the decision making related to the diversity of project interventions. The various pieces of Afghan legislation and the relevant World Bank policies place public consultation and participation at the top of the agenda. The project will ensure that the provisions in those regulatory documents are strictly followed. Local people/communities and their representatives are properly placed to take care of the needs of local stakeholders and to promote the local resource management capacity.

(d) The public participation process is an intrinsic component of the ESIA/ESMP process with the following main objectives:

- Keep project interested and affected parties (PI&APs) informed about key issues and findings of each stage of the ESIA.
- Gather concerns and interests expressed by various project stakeholders.
- Obtain contributions/opinions of stakeholders in terms of avoiding/minimizing possible negative impacts and maximizing positive impacts of the project.
- Finally, support the social dialogue and identify from the onset stakeholders' perceptions and expectations, which can contribute to the action planning and effective communication to minimize the impacts of the project. The process also allows for rethinking the project's technical aspects.

(e) For the public participation to be effective, there are norms and procedures to be observed throughout. The ESIA/ESMP process emphasizes the clear need for frequent interaction and communication between the public, parties affected by the proposed project, local NGOs, external interested and concerned organizations, as well as project safeguards specialists and engineers.

(f) Each aspect of the technical investigations generally includes a data collection and verification phase, followed by analysis and evaluation, then synthesis and conclusions. The findings of each phase are communicated as appropriate to external parties.

(g) In terms of the ESIA regulations in force in the national ESIA as well as in the World Bank safeguards policies, it is mandatory to have public consultation meetings at the end of each main phase, for example, scoping and definition of terms of reference as well as a public consultation on the draft final ESIA document. These should be announced at least 15 days prior to the meeting day. In addition to being invited by public notices, a certain number of participants to these meetings should be directly invited by

letters of invitation drafted by the consultant and issued and distributed by the project developers. In this case the PCU would be at the forefront in ensuring that relevant stakeholders are invited and participate in the meetings.

(h) During the meetings, the ESIA team in collaboration with the developers' (project team/relevant government agency) representatives and the engineering team keeps PI&APs informed of the main issues and findings of each phase and collects concerns and interests expressed by the various project stakeholders. Public meetings are nontechnical in nature and are expected to contribute to get stakeholders' inputs in terms of avoiding/minimizing possible negative impacts and optimizing the positive impacts of the project.

ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST
(Filled and Prepared by Environmental and Social Safeguards Advisor or Contracting Authority)

PPIAP Project: Select relevant Project

Project Investment name [type here]

Location [type here]
Estimated cost (US$) [type here]

TYPE OF PROJECT OR ACTIVITY

Infrastructure/Other Project Type: for example

- ☐ Construction of Roads
- ☐ Construction of Multipurpose dams
- ☐ Construction of Water Supply Pipelines
- ☐ Construction of Hydropower Dams
- ☐ Construction of Flood Control and Mitigation Canals/Dykes
- ☐ Construction of Bridges
- ☐ Construction of Ports
- ☐ Construction of Roads and Railways
- ☐ Construction of Housing infrastructure

Please give more details: [type here]

For all projects, an Environmental and Social Management Plan (ESMP) will be required. In addition, the following studies may be required:		
Will this project affect vulnerable and marginalized groups? If yes, a Vulnerable and Marginalized Groups' Plan will be required	☐	☐
Will the project require land for its development, and therefore displace individuals, families or businesses from land that is currently occupied, or restrict people's access to crops, pasture, fisheries or forests, even, whether on a permanent or temporary basis. If yes, a Resettlement Action Plan will be required	☐	☐
Will the investment project involve the construction of dams?	☐	☐

Will the Project:	**Yes**	**No**
Adversely affect natural habitats nearby, including forests, rivers or wetlands?	☐	☐
Require large volumes of construction materials (for example, gravel, stone, water, timber, firewood)?	☐	☐
Use water during or after construction, which will reduce the local availability of groundwater and surface water?	☐	☐
Affect the quantity or quality of surface waters (for example, rivers, streams, wetlands), or groundwater (for example, wells, reservoirs)?	☐	☐
Be located within or nearby environmentally sensitive areas (for example, intact natural forests, mangroves, wetlands) or threatened species?	☐	☐
Lead to soil degradation, soil erosion in the area?	☐	☐
Create waste that could adversely affect local soils, vegetation, rivers and streams or groundwater	☐	☐
Create pools of water that provide breeding grounds for disease vectors (for example malaria or bilharzia)?	☐	☐
Involve significant excavations, demolition, and movement of earth, flooding, or other environmental changes?	☐	☐
Affect historically important or culturally important site nearby?	☐	☐
Require land for its development, and therefore displace individuals, families or businesses from land that is currently occupied, or restrict people's access to crops, pasture, fisheries, forests or cultural resources, whether on a permanent or temporary basis?	☐	☐
Result in human health or safety risks during construction or later?	☐	☐
Involve inward migration of people from outside the area for employment or other purposes?	☐	☐
Will the project:	**Yes**	**No**
Result in conflict or disputes among communities?	☐	☐
Affect nomadic people, *kuchis*, or be located in an area occupied by *kuchis*?	☐	☐
Be located in or near an area where there is an important historical, archaeological or cultural heritage site?	☐	☐
Result in a significant change/loss in livelihood of individuals?	☐	☐
Adversely affect the livelihoods and /or the rights of women?	☐	☐

If you have answered Yes to any of the above, please describe the measures that the project will take to avoid or mitigate environmental and social impacts

[type here]

What measures will the project take to ensure that it is technically and financially sustainable?

[type here]

If the answer to any of questions "Yes", please use the indicated Annexes C to G or sections(s) of the ESMF for guidance on how to avoid or minimize typical impacts and risks.

When considering the location of an investment, rate the sensitivity of the proposed site in the following table according to the given criteria. Higher ratings do not necessarily mean that a site is unsuitable. They do indicate a real risk of causing undesirable adverse environmental and social effects, and that more substantial environmental and/or social planning may be required to adequately avoid, mitigate or manage potential effects.

Note: The Annex 1a of the ESMF is a negative list which describe that certain protected areas including Natural Habitats will not be included in the projects list.

Site Sensitivity Rating

Issues		Site Sensitivity		Rating (L, M, H)
	Low (L)	Medium (M)	High (H)	
Natural habitats	No natural habitats present of any kind	No critical natural habitats; other natural habitats occur	Critical natural habitats present	
Water quality and water resource availability and use	Water flows exceed any existing demand; low intensity of water use; potential water use conflicts expected to be low; no potential water quality issues	Medium intensity of water use; multiple water users; water quality issues are important	Intensive water use; multiple water users; potential for conflicts is high; water quality issues are important	
Natural hazards vulnerability, floods, soil stability/ erosion	Flat terrain; no potential stability/erosion problems; no known volcanic/seismic/ flood risks	Medium slopes; some erosion potential; medium risks from volcanic/seismic/flood/ hurricanes	Mountainous terrain; steep slopes; unstable soils; high erosion potential; volcanic, seismic or flood risks	
Cultural property	No known or suspected cultural heritage sites	Suspected cultural heritage sites; known heritage sites in broader area of influence	Known heritage sites in project area	
Involuntary resettlement	Low population density; dispersed population; legal tenure is well-defined; well-defined rights	Medium population density; mixed ownership and land tenure; well-defined rights	High population density; major towns and villages; low-income families and/or illegal ownership of land; communal properties; unclear rights	

Nomadic people - *kuchis*	Kuchis never visit the area	Kuchis are present in the area for under 30 days each year	Kuchis are present in the area for more than 30 days	

CONCLUSION

Which course of action do you recommend?

□ **ENVIRONMENTAL AND SOCIAL ASSESSMENT** □ **FULL ESIA** □ **ESMP** □ **RAP/Abbreviated RAP** □ **CHMP**

□ There are no environmental or social risks

COMPLETED BY:

Name:
Position:
Date:

Annex 1c: Screening Checklist Review Form (Prepared by Environmental and Social Safeguards Staff in CPA/PMU)

o Local people and communities as well as their representatives need to be continuously involved in the decision making related to the diversity of project interventions. The various pieces of Afghan legislation and the relevant World Bank policies place public consultation and participation at the top of the agenda. The project will ensure that the provisions in those regulatory documents are strictly followed. The PPIAP is a Category A project and for a Category A project, the borrower retains independent EA experts not affiliated with the project to carry out EA.

o The public participation process is an intrinsic component of the ESIA/ESMP process with the following main objectives:

- Keep project-affected people (PAP) informed about key issues and findings of each stage of the EIA/SIA and RAP;
- Gather concerns and interests expressed by various project stakeholders;
- Obtain contributions/opinions of stakeholders in terms of avoiding/minimizing possible negative impacts and maximizing positive impacts of the project.
- Finally, support the social dialogue and identify from the onset stakeholders' perceptions and expectations, which can contribute to the action planning and effective communication to minimize the impacts of the project. The process also allows for rethinking the project's technical aspects.

o For the public participation to be effective there are norms and procedures to be observed throughout. The EIA/SIA/ESMP process emphasizes the clear need for frequent interaction and communication between the public, parties affected by the proposed project, local NGOs, external interested and concerned organizations, as well as project safeguards specialists and engineers.

o Each aspect of the technical investigations generally includes a data collection and verification phase, followed by analysis and evaluation, then synthesis and conclusions. The findings of each phase are communicated as appropriate to external parties.

o In terms of the national ESIA regulations as well as in the World Bank safeguards policies, it is mandatory to have public consultation meetings at the end of each main phase, for example, scoping and definition of terms of reference as well as a public consultation on the draft final ESIA document. These should be announced at least 15 days prior to the meeting day. In addition to being invited by public notices, a certain number of participants to these meetings should be directly invited by letters of invitation drafted by the consultant and issued and distributed by the project developers. In this case the PCU would be at the forefront in ensuring that relevant stakeholders are invited and participate in the meetings. The PPIAP is a Category A project from the World Bank safeguards perspective. As mentioned before, for a Category A project, the borrower retains independent EA experts not affiliated with the project to carry out EA

o During the meetings, the ESIA team in collaboration with the developers' (project team/relevant government agency) representatives and the engineering team keeps PI&APs informed of the main issues and findings of each phase and collects concerns and interests expressed by the various project stakeholders. Public meetings are nontechnical in nature and are expected to contribute to get stakeholders' inputs in terms of avoiding/minimizing possible negative impacts and optimizing the positive impacts of the project.

	Yes	No
Based on the location and type of investment, please indicate whether the proponent's responses are satisfactory	☐	☐
Their description of the compliance of the investment with relevant planning documents	☐	☐
Their responses to the questions on environmental and social impacts	☐	☐
If ''No' please explain:		

Their proposed mitigation measures/plans ☐ ☐

If 'No' please explain	
Their proposed measures to ensure sustainability ☐ ☐	
If 'No' please explain	

REVIEWER'S CONCLUSION

Which course of action do you recommend?

☐ **ENVIRONMENTAL AND SOCIAL ASSESSMENT** ☐ **FULL ESIA** ☐ **ESMP** ☐ **RAP/Abbreviated RAP** ☐ **CHMP**

☐ There are no environmental or social risks

If a RAP is required, will the investment displace or restrict access for less than 200 individuals?
If yes, Prepare an abbreviated RAP
If no, Prepare a full RAP

Full details of resettlement requirements are set out in the accompanying Resettlement Policy Framework. If this differs from the Sponsoring Ministry/agency's recommended course of action, please explain

☐ **Reject**

Review form completed by: [type here]
Name: [type here]
Position / Community: [type here]

Annex 2: Feasibility-Level Assessment

1. This annex comprises two sub annexes to enable the appropriate level of environmental and social assessment at the feasibility stage for each proposed project. Annexes 2b and 2c provide generic ToR for environmental and social assessments. A generic ToR for a more detailed ESIA is attached as annex 2c to be used when pre-feasibility findings indicate a need for more detailed investigation of the type and magnitude of impact of a proposed project.

Annex 2b:

Generic Terms of Reference
For
Social Assessment

Scope

At local and provincial levels, social screening will collect information on the following:

- Demographic factors: number, names, and location of villages within the footprint of a proposed dam—command, reservoir and catchment areas, total number of households (HHs) in villages

- Vulnerable groups including number of female-headed HHs in each village, number of landless HHs in each village, number of the disabled

- Livelihoods in each of the upstream (catchment), reservoir and downstream areas, including agriculture, off-farm employment, outward migration from the area, factors affecting income and productivity, such as risk aversion of the poorest groups, land tenure (land usage/land ownership including individual and communal land rights, common property usage, for example, forests and pastoral lands, existing water management systems, access to productive inputs and markets, and access to labor/income opportunities

- Energy status within the proposed project area

- Infrastructure within the proposed project area, that is, roads, water supply, irrigation, communications

- Social organization: organization and capacity at the HH and community levels affecting participation in local-level institutions as well as access to services and information

- Identifying stakeholders, including traditional authority and community structures, and developing an engagement strategy for stakeholder participation at all stages of dam development

- Assess presence of nomadic people *kuchis* in proposed dam area

- Mapping of communication systems, including ways of accessing information, used by all stakeholder groups, including the most vulnerable, in the project area

- Literacy and skills: to identify the skills levels of the people in the project area

Scoping at the National Level Will Include Desk Review of

(a) Applicable national laws, regulations, good international practice[7]

(b) Relevant secondary source materials[8]

Alternative Options to Project

Assist with the early identification and consideration of alternative options should be discussed between the environmental and social and the technical teams when the investment in the proposed project is weighed against other options. These should consider river basin management plans or any agreements related to the water body.

Specific Tasks

Task 1: Collect the following preliminary baseline information:

(a) Number and names of villages located within the footprint of the proposed dam whose lives and livelihoods may be affected by the project: the total number of HHs in each village, identify vulnerable groups, number of Female Headed HHs, number of landless and disabled HHs; identify ethnic groups and tribes. The use of GPS and other satellite imagery can be used to establish all settlements

(b) Stakeholders: who are the key stakeholders? What specific interests do they have and how can the participation of the poor and vulnerable groups (especially women and landless) be enhanced?

(c) Gender: identification of the different productive roles of men and women within the HHs and critical issues and concerns of men and women;

(d) Energy: type and usage in each village, preferred energy type, willingness to pay for energy including electricity

(e) Livelihood and coping strategies: what are the key livelihood bases in the proposed project area (pastoralism, agriculture, fishing, and so on)?

(f) Social networks: what are the key formal and informal social networks of local people including those of vulnerable groups such as women and the landless?

(g) Land tenure: identify land tenure systems (land usage and land ownership including individual and communal land rights) including those of nomadic people (*Kuchis)*. Attention should be paid to the extent of cultivable area.

(h) Cultural resources: what are some of the key physical cultural resources in the project area?

(i) Status of roads, electricity, water supply, and other basic infrastructure

[7] The Constitution of Afghanistan (2004); The Law on the Preservation of Afghanistan's Cultural and Historical Artefacts (2004); The Law on Managing Land Affairs (2008); The Law on Land Acquisition 2017; The Water Law (2009); and Water Sector Strategy (2012).
[8] For example, ALCS 2016–2017; NRVA 2014; Citizen Charter Engagement Project documentation.

(j) Health: access to health care in each village

(k) Education: access to primary and secondary education

(l) Institutions: what are the significant formal and informal institutions at village and district level? What constraints and barriers are there and what does this mean to community mobilization mechanisms and overall project success opportunities? Which agencies' NGOs are operating in the area?

(m) Planned development: document and review current and planned development activities within the project area.

Task 2: **Vulnerability Issues**

(a) Identify vulnerable and marginalized groups; who is particularly vulnerable or marginalized within the proposed project area?

(b) Define requirements for consultations with groups identified and documentation of views and findings. Identify what processes are needed to conduct free, prior and informed consultations with these affected groups.

(c) Identify institutions that relate and interact with these groups including local NGOs.

(d) Documentation of land and natural resource access and implications to vulnerable and marginalized groups.

(e) Assess capacity of the relevant stakeholders and their ability to manage social effects relevant to the dam project.

Task 3: Risk Analysis

(a) Conduct a preliminary analysis to establish level of risk—high, substantial, or low—at this early stage of dam development.

Task 4: Stakeholder Engagement Plan

(a) Develop a plan for involving different groups of stakeholders throughout the dam development process.

Task 5: Access to Information and Communication Strategy

(a) Develop an access to information and communication strategy which will facilitate a two-way information exchange and dialogue between various groups of stakeholders and dam management.

Note: Special targeted consultations with marginalized groups will be important because these groups are often the most adversely affected by the negative impacts of a project and the least equipped to benefit from positive changes that may come about with the project. Consultation and participation of men, wealthier people in the community, or people from ethnic majority and nonindigenous communities may not always highlight the special conditions or concerns of vulnerable groups.

Approach/Methodology

The methodology should include quantitative and qualitative data collection, sampling design, and analysis plan for any preliminary data collection and must take account of any security constraints in the proposed project area. It must also be sensitive to cultural and religious traditions and practices in the area. The qualitative data collection may include focus group discussions (FGDs), semi-structured interviews, and key informant interviews. MEW staff, partner organizations, and/or consultants will then develop a methodology for field activities and carry out field work in the project areas. This will involve consultations with communities, key actors, and other relevant stakeholders in the project area. Groups that do not routinely participate in government decision making because of cultural, linguistic, and economic barriers must be included in the assessment.

Note: The methodology must take account of the existing security constraints in the proposed dam area. It must also be sensitive to cultural and religious traditions and practices in the area. In addition, a confidentiality statement may be added to the questionnaires and the facilitating partner (survey field staff) should inform community members that their names and identity will not be disclosed to the public.

In terms of the ESIA regulations in force in the national ESIA as well as in the World Bank safeguards policies, it is mandatory to have public consultation meetings at the end of each main phase, for example, scoping and definition of ToR as well as a public consultation on the draft final ESIA document. These should be announced at least 15 days before the meeting day. In addition to being invited by public notices, a certain number of participants to these meetings should be directly invited by letters of invitation drafted by the consultant and issued and distributed by the project developers. In this case, the PCU would be at the forefront in ensuring that relevant stakeholders are invited and participate in the meetings.

Suggested Time Schedule and Deliverables

Key Milestone	Indicative Time Frame
Signing of contract	To be determined
Inception report[a]	1 week after commencement
Draft report to be presented in a workshop	8 weeks after Inception Report
Final report	2 weeks after workshop

Note: a. The inception report entails a clear methodology including questionnaires/data collection tools, specific outcomes, and work plan on carrying out the survey.

Report Content

The Social Assessment (main report not to exceed 30 pages—additional information to be included as annexes) will include the following:

(a) Executive Summary (maximum 8 pages)

(b) Background

(c) Methodology

(d) Preliminary baseline information on the demographic, social, cultural, and political characteristics of the project communities

(e) Identification of the key stakeholders and the elaboration of a culturally appropriate process for consulting with the communities at each stage of the preparation and implementation

(f) Description of ways in which different stakeholder groups currently access information and communicate

(g) Preliminary risk analysis

Annexes will include the following:

(a) A stakeholder engagement plan (maximum 10 pages)

(b) An access to information and communication strategy (maximum 10 pages)

Conducting the Social Assessment: a Mix of Local and International Competences

To ensure proper consideration of the local context and the application of good international practice a balanced mix of local and international specialists should be involved in conducting the SIA process. The social development specialist(s) are expected to work closely with their environmental counterparts throughout and liaise systematically with the technical team.

Methodology

The social specialists will set out an appropriate methodology to conduct the assessment at both national and local levels. Several factors are likely to determine the methodology for data collection at the local level—not least security within the proposed project area. Different sources will be used to validate data collected at the local level.

All consultations with stakeholders must be documented and include the list of participants, date of consultations, and issues raised. Documented consultations must be attached to the baseline survey.

Annex 2c: Generic ToR for an Environmental and Social Impact Assessment of the PPP Project

1. Objectives of the ToR

This is a generic draft ToR and should be updated according to specific sectoral, size, and context of different relevant projects and should be refined during the scoping stage of each projects ESIA studies. It should prescribe the process and its timing of project preparation, design, and implementation stages to adequately address World Bank safeguards and national regulations issues. Further, it should identify constrains (adequacy of existing baseline data and need for additional data) and provide and the exact development schedule.

2. Background Information

The ToR should provide a pertinent background for preparing the ESIA. This would include a brief description of

- Statement of the project objectives;
- Implementing agency/sponsor and their requirements for conducting an ESIA;
- Project components, especially those that will finance projects;
- Anticipated types of projects/components and what types will not be financed by the project;
- Ares of influence to be assessed (description plus good map);
- Summary of environmental/social setting; and
- Applicable World Bank safeguards policies and consequent project preparation requirements, as specified in the approved ISDS.

The ToR should also include a brief history of the project, including alternatives considered, its current status, and timetable, and the identities of any associated projects. Also include a description of other project preparation activities underway (for example, legal analysis, institutional analysis, economic analysis, social assessment, baseline study) since the consultant preparing the ESIA will need to coordinate with other teams to ensure an effective and efficient information exchange.

3. EA Requirements/Regulations

This paragraph should identify any regulations and guidelines that will govern the conduct of the assessment or specify the content of its report. They may include any or all the following:

- National laws and/or regulations on EAs
- Regional, provincial, or communal EA regulations
- EA regulations of any other financing organizations involved in the project
- Relevant international environmental agreements/conventions to which the country is party

- World Bank OP 4.01 ‘Environmental Assessment’, OP 4.04 ‘Natural Habitats’, OP 4.11 ‘Cultural Property’, OP 4.12 ‘Involuntary Resettlement’, OP 4.10 ‘Indigenous People’, and other pertinent operational policies and guidelines

This OP 4.01 covers impacts on the natural environment, human health and safety, transboundary, and global environmental concerns. The project will finance preparatory TA activities, including pre-feasibility and feasibility studies of potentially significant infrastructure investments across a range of sectors. Although most will not be financed by the PPIAP, these future investments when implemented may potentially lead to significant and widespread adverse environmental and social impacts if capacity in the relevant agencies and in the private entities is not enhanced. The nature, type, and physical locations of future investment projects will be determined by feasibility studies to be carried out during implementation of the proposed project. Through the ESMF for the PPIAP, the borrower will ensure a process is put in place that would ensure the required environmental and social assessments and plans are prepared when these investments are identified, in compliance with Afghanistan's own requirements and with OP 4.01 and other triggered World Bank safeguards policies.

The extent and type of environmental and social assessment required is based on its screening category. The World Bank classifies projects into one of three categories (A, B, and C), depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental and social impacts.

The PPIAP is a Category A project. For a Category A project, the borrower retains independent EA experts not affiliated with the project to carry out EA.

4. Study Area and Likely Major Impacts

Specify the area involved and the boundaries of the study area for the assessment (for example, water catchment). Where appropriate, specify the right-of-way (ROW) width and alignment for pipelines. Similarly, specify locations for transmission substations, pumps and identify adjacent or remote areas that should be considered with respect to impacts of particular aspects of the project.

5. Scope of Work

In some cases, the tasks to be carried out by a consultant will be known with sufficient certainty to be specified completely in the ToR. In other cases, information deficiencies need to be alleviated or specialized field studies or modelling activities performed to assess impacts, and the consultant will be asked to define tasks in more detail for contracting agency review and approval.

Task 1. Description of the Proposed Project. Provide a brief description of the relevant parts of the project, using maps (at appropriate scale) and including the following information: location of all project-related development sites and ROWs, including off-site investments; general layout; flow diagrams/drawings of facilities/operation design basis, size, capacity, flow-through of unit operations, including pollution control technology; preconstruction activities; construction activities; schedule; staffing and support; facilities and services; commissioning, operation, and maintenance activities; required offsite investments; and life expectancy for major components.

Note: There may be types of information appropriate in the description of the project category you are concerned with. Please specify them here.

Include the need for any resettlement plan or indigenous people development plan. Provide maps at appropriate scales to illustrate the general setting of project-related development sites and ROWs, as well

as surrounding areas likely to be affected. These maps should include topographic contours, as available, as well as locations of major surface waters, roads, railways, town centers, parks and reserves, and political boundaries. Also provide, as available, maps to illustrate land use, including industrial, residential, commercial, and institutional development, agriculture, and so on.

Task 2. Description of the Environment and Socioeconomic Context (Baseline Condition). Assemble, evaluate, and present baseline data on the relevant physical, biological, and socioeconomic characteristics of the development area and area of influence. Include information on any changes anticipated before the project commences. (Annotate or modify the lists below to show the critical information for this project category or that which is irrelevant to it. You should particularly avoid compiling irrelevant data.)

(a) **Physical environment:** geology (for example, stratigraphy and seismic history of development areas, integrity of geological layers protecting portable groundwater supplies); topography (for example, drainage patterns around construction areas); soils (for example, agricultural value); climate and meteorology; ambient air quality; existing sources of air emissions; surface and groundwater hydrology (for example, soil erosion and sedimentation potential, flood hazard potential); water resources (for example, adequacy of water supply); coastal and oceanic parameters; existing water pollution discharges; and receiving water quality (for example, ability to assimilate effluent discharges and maintain water quality standards for desired uses).

(b) **Biological environment:** flora (for example, types and diversity); fauna (for example, resident and migratory); rare or endangered species within or in areas adjacent to project-related development sites or ROWs; sensitive habitats, including parks or preserves, significant natural sites, and so on; species of commercial importance; and species with potential to become nuisances, vectors, or dangerous.

(c) **Sociocultural environment (include both present and projected where appropriate):** population; land use (for example, year-round and seasonal); planned development activities; community structure; employment; distribution of income, goods and services; recreation; public health; cultural properties (for example, archeological and historically significant sites); indigenous peoples and traditional tribal land; and customs, aspirations, and attitudes.

Task 3. Legislative and Regulatory Considerations. Describe the pertinent regulations and standards governing environmental quality, health and safety, protection of sensitive areas, protection of endangered species, siting, land use control, and so on, at international, national, regional, and local levels (the TOR should specify those that are known and require the consultant to investigate for others.) If transboundary impacts are likely, relevant international conventions should be described.

Task 4. Determination of the Potential Impacts of the Proposed Project. Predict and assess all significant impacts that the project is likely to generate, in quantitative terms as far as possible. Assess the impacts from changes brought about by the project on baseline environmental conditions as described under Task 2. In this analysis, distinguish between significant positive and negative impacts, direct, indirect, and cumulative impacts, and immediate and long-term impacts. Identify impacts that may occur due to accidental events. Identify impacts that are unavoidable or irreversible. Wherever possible, describe impacts quantitatively, in terms of environmental costs and benefits. Assign economic values when feasible. Impact analyses for projects should be divided between construction impacts and operational impacts. Characterize the extent and quality of available data, explaining significant information deficiencies, and any uncertainties associated with predictions of impact. If possible, give the ToR for studies to obtain the missing information. (Identify the types of special studies likely to be needed for this project category.) For information not obtainable until after execution, provide ToR for studies to monitor operations over a given time and to modify designs and/or operational parameters based upon updated impact analysis.

Task 5. Analysis of Alternatives to the Proposed Project. Describe alternatives that were examined during developing the proposed project and identify other alternatives that would achieve the same objectives. The concept of alternatives extends to siting, design, technology selection, construction techniques and phasing, and operating and maintenance procedures. Compare alternatives in terms of potential environmental impacts; capital and operating costs; suitability under local conditions; and institutional, training, and monitoring requirements. When describing the impacts, indicate which are irreversible or unavoidable and which can be mitigated. To the extent possible, quantify the costs and benefits of each alternative, incorporating the estimated costs of any associated mitigating measures. Include the alternative of not constructing the project to demonstrate environmental conditions without it. Alternatives should include the following: the 'no action' alternative (as mentioned above); alternative means of meeting the energy requirements; the alternative of upgrading existing facilities; alternative routes and sites; alternative design; and alternative methods of construction, including costs and reliability.

Task 6. Development of an ESMP. Recommend feasible and cost-effective measures to prevent or reduce significant negative impacts to acceptable levels. Include measures to address emergency response requirements for accidental events. Estimate the impacts and costs of those measures and of the institutional and training requirements to implement them. Consider compensation to affected parties for impacts which cannot be mitigated. Prepare a management plan including proposed work programs, budget estimates, schedules, staffing and training requirements, and other necessary support services to implement the mitigating measures. Provide environmental protection clauses for application by contractors and consultants.

The ToR should state that the concerned and affected parties should agree mitigating measures before they are submitted as recommendations in the ESMP.

Task 7. Identification of Institutional Needs to Implement EA Recommendations. Review the authority and capability of institutions at local, provincial/regional, and national levels and recommend steps to strengthen or expand them so that the management and monitoring plans in the EA can be implemented. The recommendations may extend to new laws and regulations, new agencies or agency functions, intersectoral arrangements, management procedures and training, staffing, operation and maintenance training, budgeting, and financial support.

Task 8. Development of a Monitoring Plan. Prepare a detailed plan to monitor the implementation of mitigating measures and the impacts of the project during construction and operation. Include in the plan an estimate of capital and operating costs and a description of other inputs (such as training and institutional strengthening) needed to implement the plan.

Depending upon local conditions and predicted impacts upon communities/individuals, there may be a need for an RAP.

Task 9. Assist in Inter-Agency Coordination and Public/NGO Participation. Assist in coordinating the EA with other government agencies, in obtaining the views of local NGO's and affected groups, and in keeping records of meetings and other activities, communications, and comments and their disposition. (The ToR should specify the types of activities; for example, interagency scoping session environmental briefings for project staff and interagency committees, support to environmental advisory panels, public forum.) Review the authority and capability of institutions at local, provincial/regional, and national levels and recommend steps to strengthen or expand them so that the management or monitoring plans in the EA are likely to be implemented. The recommendations may extend to new laws and regulations, new agencies or agency functions, inter-sectoral arrangements, management procedures and training, staffing, operation and maintenance training, budgeting, and financial support.

In terms of the ESIA regulations in force in the national ESIA as well as in the World Bank safeguards policies, it is mandatory to have public consultation meetings at the end of each main phase, for example, scoping and definition of ToR as well as a public consultation on the draft final ESIA document. These should be announced at least 15 days before the meeting day. In addition to being invited by public notices, a certain number of participants to these meetings should be directly invited by letters of invitation drafted by the consultant and issued and distributed by the project developers. In this case, the PCU would be at the forefront in ensuring that relevant stakeholders are invited and participate in the meetings.

Relevant material will be provided to affected groups on time before consultation and in a form and language that is understandable and accessible to the groups being consulted. The consultant should maintain a record of the public consultation and the record should indicate: means other than consultations (for example, surveys) used to seek the views of affected stakeholders; the date and location of the consultation meetings, a list of the attendees, and their affiliation and contract address; and summary minutes.

6. Report

The environmental and social assessment report should be concise and limited to significant environmental issues. The main text should focus on findings, conclusions, and recommended actions, supported by summaries of the data collected and citations for any references used in interpreting those data. Detailed or uninterpreted data are not appropriate in the main text and should be presented in appendices or a separate volume. Unpublished documents used in the assessment may not be readily available and should also be assembled in an appendix. It is suggested that the ESIA report is organized according to the outline below. *(This is the format suggested in OP 4.01; the ToR may specify a different one to satisfy national agency requirements if the topics required in the World Bank's operational policy are covered)*

- Executive Summary
- Policy, Legal, and Administrative Framework
- Description of the Proposed Project
- Baseline Data (Description of the Environment)
- Significant Environmental Impacts
- Analysis of Alternatives
- Environmental Management Plan
- Environmental Management and Training
- Environmental Monitoring Plan
- Interagency Coordination and Public/NGO Participation
- Appendices: List of Environmental Assessment Preparers References Record of Interagency/Forum/Consultation Meetings (This is the format suggested in OD 4.01; the ToR may specify a different one to satisfy national agency requirements if the topics required in the World Bank's directive are covered.)

7. Consulting Team

EA requires interdisciplinary analysis. The general skills required of an environmental and social assessment team are environmental management planning, ecology, hydrology/hydrogeology, sociologist, community participation, resettlement specialist, and gender.

(Identify in this paragraph which specializations ought to be included on the team for the project category.) Note: The team will be required to work closely with specialists undertaking the social analysis and to define arrangements for the final report, especially if the EA and social analysis are to be combined in one report. For a category A project, the borrower retains independent EA experts not affiliated with the project to carry out EA.

8. Services, Facilities, and Materials to be Provided by the Client

The ToR should specify what services, facilities, and materials will be provided to the consultant by the World Bank and the borrower, for example,

- The project ISDS and draft Project Appraisal Document (PAD);
- Relevant background documentation and studies;
- Example ESMFs that demonstrate best practice, especially from the region or country; and
- Making all necessary arrangements for facilitating the work of the consultant and to provide access to government authorities, other project stakeholders, and project sites.

9. Schedule and Deliverables

Specify dates for the consultancy deliverables (for example, detailed work plan within 2 weeks, interim report within 7 weeks, and final draft report within 10 weeks of contract signature) and the overall duration of the consultancy (for example, 15 weeks from contract signature).

10. Technical Proposal Contents

The ToR should require a technical proposal that at least:

- Demonstrates that the consultant understands the overall scope and nature of the ESIA preparation work and what will be required to respond satisfactorily to each component of the ToR;
- Demonstrates that the consultant and his or her proposed team have relevant and appropriate experience to carry out all components of the ToR. Detailed curriculum vitae for each team member must be included;
- Describes the overall methodology for carrying out each component of the ToR, including desk and field studies and data collection and analysis methods; and
- Provides an initial plan of work, outputs, and staff assignments with levels of effort by task.

11. Budget and Payments

The ToR should indicate if there is a budget ceiling for the consultancy. The ToR should specify the payment schedule (for example, 10 percent on contract signature, 10 percent on delivery of detailed work plan, 40 percent on delivery of interim report, 30 percent on delivery of final draft ESIA, and 10 percent on delivery of final ESIA).

12. Other Information

Include here lists of data sources, project background reports and studies, relevant publications, and other items to which the consultant's attention should be directed.

Annex 3: ESMP Template

Annex 3a: Environmental and Social Management Plan

1. An ESMP will be prepared for all investment projects prepared under Subcomponent 2b of the PPIAP and will form an integral part of each project investment proposal. The sponsoring ministry is responsible for preparation of the ESMP while the MoF/CPA will be responsible for clearance of all ESMPs.

World Bank OP 4.01 Annex C describes the following:

A Project's environmental management plan (EMP) consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation to eliminate adverse environmental and social impacts, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures.[1] Management plans are essential elements of EA reports for Category A Projects; for many Category B Projects, the EA may result in a management plan only. To prepare a management plan, the borrower and its EA design team (a) identify the set of responses to potentially adverse impacts; (b) determine requirements for ensuring that those responses are made effectively and in a timely manner; and (c) describe the means for meeting those requirements.[2] More specifically, the EMP includes the following components.

Mitigation

2. The EMP identifies feasible and cost-effective measures that may reduce potentially significant adverse environmental impacts to acceptable levels. The plan includes compensatory measures if mitigation measures are not feasible, cost-effective, or sufficient. Specifically, the EMP

(a) identifies and summarizes all anticipated significant adverse environmental impacts (including those involving indigenous people or involuntary resettlement);

(b) describes—with technical details—each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;

(c) estimates any potential environmental impacts of these measures; and

(d) provides linkage with any other mitigation plans (e.g., for involuntary resettlement, indigenous peoples, or cultural property) required for the Project.

Monitoring

3. Environmental monitoring during Project implementation provides information about key environmental aspects of the Project, particularly the environmental impacts of the Project and the effectiveness of mitigation measures. Such information enables the borrower and the Bank to evaluate the success of mitigation as part of Project supervision, and allows corrective action to be taken when needed. Therefore, the EMP identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the EA report and the mitigation measures described in the EMP. Specifically, the monitoring section of the EMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

Capacity Development and Training

4. To support timely and effective implementation of environmental Project components and mitigation measures, the EMP draws on the EA's assessment of the existence, role, and capability of environmental units on site or at the agency and ministry level.[3] If necessary, the EMP recommends the establishment or expansion of such units, and the training of staff, to allow implementation of EA recommendations. Specifically, the EMP provides a specific description of institutional arrangements--who is responsible for carrying out the mitigatory and monitoring measures (e.g., for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). To strengthen environmental management capability in the agencies responsible for implementation, most EMPs cover one or more of the following additional topics: (a) technical assistance programs, (b) procurement of equipment and supplies, and (c) organizational changes.

Implementation Schedule and Cost Estimates

5. For all three aspects (mitigation, monitoring, and capacity development), the EMP provides (a) an implementation schedule for measures that must be carried out as part of the Project, showing phasing and coordination with overall Project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the EMP. These figures are also integrated into the total Project cost tables.

Integration of EMP with Project

6. The borrower's decision to proceed with a Project, and the Bank's decision to support it, are predicated in part on the expectation that the EMP will be executed effectively. Consequently, the Bank expects the plan to be specific in its description of the individual mitigation and monitoring measures and its assignment of institutional responsibilities, and it must be integrated into the Project's overall planning, design, budget, and implementation. Such integration is achieved by establishing the EMP within the Project so that the plan will receive funding and supervision along with the other components.

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1. The management plan is sometimes known as an "action plan." The EMP may be presented as two or three separate plans covering mitigation, monitoring, and institutional aspects, depending on borrowing country requirements.
2. For Projects involving rehabilitation, upgrading, expansion, or privatization of existing facilities, remediation of existing environmental problems may be more important than mitigation and monitoring of expected impacts. For such Projects, the management plan focuses on cost-effective measures to remediate and manage these problems.
3. For Projects having significant environmental implications, it is particularly important that there be in the implementing ministry or agency an in-house environmental unit with adequate budget and professional staffing strong in expertise relevant to the Project (for Projects involving dams and reservoirs, see BP 4.01, Annex B).

Suggested ESMP Template

Project investment Activity	Potential Environmental and Social Impacts	Proposed Mitigation Measure(s)	Key Monitoring Indicator	Institutional Responsibilities		Cost Estimates
				Implementation	Monitoring	
Pre-Construction Phase (Design)						
Activities						

Etc						
Construction Phase						
Activities						
Etc						
Operation and Maintenance Phase						
Activities						
Etc						

2. **Supervision of the ESMP** will begin during the detailed design stage when the required actions have to be incorporated into the detailed design and the final ECOP will be incorporated into bidding and contract documents. During the bidding and contractor selection processes, the bidders will be informed of their commitment to comply with the ECOP including the need to initiate/maintain close communication with local agencies and communities and the mitigation costs will be part of the contract cost. The CSC or assigned engineer will also be responsible for a day-to-day supervision of contractor performance regarding the ESMP/ECOP and include the result in the project implementation progress report. The private sector partner or an independent monitoring consultant will supervise and monitor the implementation of other activities as described in the ESMP and include the results in the safeguard monitoring reports for the investments to be submitted to the TAT and/or World Bank (see annex 5). The focal team will develop a supervision plan to facilitate timely implementation and allocation of resources. The following aspects will be considered during the supervision and reporting:

- Determine whether the project is being carried out in conformity with ESS and legal agreements.
- Identify problems as they arise during implementation and recommend means to resolve them.
- Identify the key risks to project sustainability and recommend appropriate risk mitigation measures to the agency/entity responsible for operation and maintenance of the proposed investment.
- If needed, recommend changes in project concept/design as the project evolves or circumstances change.

Annex 3b: Generic ESMP for PPIAP Investments

Environmental Management Plan

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
Solid waste disposal	Provide adequate waste reception facilities at construction camp sites Dispose of waste at approved waste collection sites	Waste management plan/construction site management plan	Number of site waste bins Final disposal records	Weekly checks by project engineer	Construction Operation	Contactor /project engineer
Waste oil/fuel disposal	Provide drums/containers for temporary storage on site of waste oil from equipment and vehicles Dispose of waste oil through an approved agent	Waste management plan/construction site management plan	Waste oil drums/containers on site	Monthly checks by project engineer	Construction Operation	Contactor/project engineer
Air pollution	Purchase sound equipment/machinery for the project Operate well-maintained vehicles, trucks, and other equipment Use good quality fuel and lubricants Suppress dust generation at project sites Switch off engines when not in use	Part of contract agreement Routine maintenance plan for machinery Purchase of fuel at recognized stations Schedule of works is to limit water surfaces several times a day to reduce dust at the site	Audit of maintenance plan implementation	Independent check by project engineers Verification of maintenance record by project engineers Self-check by contractor	Construction	Contactor/Project engineer

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
Noise pollution	Schedule of works is to be limited to daylight hours	Part of contract agreement	Recorded grievances	Self-check by contractor	Construction	Contactor/project engineer
Soil erosion						
Impacts on landscape	Project sites should be boarded from public view and ensure proper maintenance of the construction site	Construction site maintenance plan	Implementation of the plan	Self-check by contractor	Construction	Contactor/project engineer
Traffic impacts	Use only road-worthy vehicles and trucks Use experienced drivers	Purchase sound vehicles and trucks/machinery for project driver qualification recorded	Traffic incidence records Grievances recorded	Project engineers to verify	Construction	Contactor/project engineer
Water pollution	No garbage/refuse, oily wastes, fuels/waste oils should be discharged into drains or water bodies Fuel storage tanks/sites should be properly secured Maintenance and cleaning of vehicles, trucks, and equipment should take place offsite. Provide toilet facilities for construction workers Construction activities, including camps to include measures to control runoff	Waste management plan Spill prevention and control plan Construction site management plan	Visibility of oil on water bodies On-site erosion observed Proposed actions implemented	Daily self-checks by contractors Periodic reports on performance by contractor to project engineers Spot-checks/audits by project engineers	Construction Operation	Contractors/project engineers Project engineers
Impact on fauna	Avoid unnecessary	If a sensitive habitat is	Presence of sensitive	Regular self-	Construction	Contractors /project

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
and flora	exposure or access to sensitive habitat. Regular inspection or monitoring should be carried out in sensitive areas, for example, swamps/wetlands the area before start of work. Ensure proper storage and handling of potentially hazardous materials (including oil).	discovered in the work area or vicinity, project activities should cease. The contractor should notify project engineers who will consult KWS to determine the appropriate course of action. Hazardous material management plan/accident management plan. Awareness raising among contractor personnel	habitat at project area Wildlife incidents recorded and reported to KWS/NEMA	checks by contractor Spot-checks and audit by contractor to the client	Operation Maintenance	engineers/KWS/NEMA

Note: KWS = .

Social Management Plan

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
Physical displacement	For acquired sites, the affected persons to be given relocation assistance (cash or kind) For acquired sites, to relocate communities and properties	RPF Resettlement Plan (RAP or Abbreviated RAP)	PAPs removed and absent from site	Records to confirm PAPs received or provided with relocation assistance Evidence of Resettlement Plan implemented	Preconstruction	Project engineers
Employment and loss of livelihood	PAPs provided with livelihood assistance or assisted to get new	RPF	Caretaker complaints	PAPs employed	Preconstruction	Project engineers

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
	jobs immediately without any loss of income. General Use local labor as much as possible and where readily available.	Contractor labor policy	Complaints from local communities	elsewhere or evidence of livelihood assistance given Project engineers to verify quota to locals before recruitment of construction workers	Construction	Contractors/project engineers
Loss of access to land	Land acquisition	RPF/Resettlement Plan	Resettlement Plan implementation	Evidence of acceptable compensation paid Resettlement Plan implemented	Preconstruction	Implementing agencies/project engineers
Loss of structures/properties	Compensation for loss of permanent structures and assist in relocating other properties.	RPF/Resettlement Plan	RPF implementation Resettlement Plan implementation	Evidence of acceptable compensation paid Evidence of Resettlement Plan implemented	Preconstruction	Implementing agencies/project engineers
Impacts on recreation and public areas	Place notices and warning signs at working areas	ESMP	Grievance records	Warning signs/notices in place	Construction	Contractors/project engineers

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
Impacts on human health/safety and sanitation	Cover buckets of trucks carrying construction materials such as sand, quarry dust, and so on Use road worthy vehicles/trucks and experienced drivers/operators Active construction areas to be marked with high-visibility tape Backfill and or secure open trenches and excavated areas. Provide adequate sanitary facilities Provide personal protective equipment (PPE) for construction workers. Educate construction workers on site rules/regulation and hygiene and disease (HIV) prevention.	ESMP Vehicle maintenance program/plan in place Construction site management plan ESMP ESMP ESMP ESMP	Health and safety incident register Grievance records	Health and safety plan under implementation Daily self-checks and verification by contractor Spot-checks by project engineers Periodic reports by contractor to project engineers	Construction	Contractors

Impact Issue	Proposed Action/Measures	Implementation Tool/Criteria	Monitoring Indicators	Verification	Project Stage	Responsibility
Impacts on cultural heritage/archaeological interest/existing aquatic infrastructure and services	Identify cultural heritage resources and existing ecologically sensitive areas.	Preconstruction surveys/chance finds procedure	Cultural/archaeological resources/ existing infrastructure encounter incidence register	Chance finds procedure under implementation Daily self-checks and verification by contractor Periodic reports by contractor to project engineers	Preconstruction and construction and repairs/recovery	Contractors
Impacts on human health and safety	Use suitable (PPE). For inland or marine projects, increase watch when navigating in areas that are known to be used by fishermen and other	ESMP	Health and safety incident register Grievance records	ESMP under implementation Spot-checks and observations by project engineers	Preconstruction and construction and repairs/recovery	Contractors

Annex 4: Resettlement Action Plan Content

Annex 4a: Scope of RAP

An RAP will only be prepared should a decision be made to proceed with activities that require significant land acquisition and resettlement of people. The scope and level of detail of an RAP vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed resettlement and its impacts on the displaced persons and other adversely affected groups and (b) the legal issues involved in resettlement. The RAP covers the elements below, as relevant. When any element is not relevant, it should be noted in the RAP. If fewer than 200 people are to be resettled, an abbreviated RAP can be prepared.

1. Description of the Project Area

General description of the project and description of the project area

2. Potential Impacts

Identification of

- The project component or activities that give rise to resettlement;
- The zone of impact of such component or activities;
- The alternatives considered to avoid or minimize resettlement; and
- The mechanisms established to minimize resettlement to the extent possible during project implementation.

3. Objectives

The main objectives of the resettlement program

4. Socioeconomic Studies of the Project Area

- Land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest area) governed by local recognized land allocation mechanisms and any issues raised by different tenure systems in the project area
- The patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project
- Public infrastructure and social services that will be affected
- Social and cultural characteristics of displaced communities, including a description of formal and informal institutions (for example, community organizations, ritual groups, NGOs) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities

5. 100 Percent Census of Project-Affected Persons (PAPs)

The census survey will include

- Current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;

- Standard characteristics of displaced households, including a description of production systems, labor and household organization, and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;

- The magnitude of the expected loss—total or partial—of assets and the extent of displacement, physical or economic;

- Information on vulnerable groups or persons as provided for in OP 4.12. paragraph 8, for whom special provision may have to be made; and

- Provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.

6. Legal Framework

The RAP is based on the RPF that sets out the legal and regulatory framework governing resettlement, land acquisition, and asset loss for the PPIAP.

7. Institutional Framework

The findings of an analysis of the institutional framework covering

- The identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;

- An assessment of the institutional capacity of such agencies and NGOs; and

- Any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for the resettlement implementation.

8. Eligibility

Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cutoff dates.

9. Valuation of and Compensation for Losses

The methodology to be used in valuing losses to determine their replacement cost, a description of the proposed types and levels of compensation under local law, and supplementary measures such as those necessary to achieve the replacement cost for lost assets.

10. Resettlement Measures

A description of the packages of compensation and other resettlement measures, including an entitlement matrix, that will assist each category of eligible displaced persons in achieving the objectives of the policy (see OP 4.12. paragraph 6). In addition to being technically and economically feasible the resettlement packages should be compatible with the cultural preferences of the displaced persons and prepared in consultation with them.

11. Site Selection, Site Preparation, and Relocation

Alternative relocation sites considered and explanation of those selected covering

- Institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites with an estimate of the time needed to acquire and transfer land and ancillary resources;

- Any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;

- Procedures for physical relocation under the project, including timetables for site preparation and transfer; and

- Legal arrangements for regularizing and transferring titles to resettlers.

12. Housing, Infrastructure, and Social Services

Plans to provide (or to finance resettlers' provision of) housing, infrastructure (for example, water supply, feeder roads), and social services (for example, schools, health services)—plans to ensure comparable services to host populations; and any necessary site development, engineering, and architectural designs for these facilities.

13. Environmental Protection and Management

A description of the boundaries of the relocation area and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the EA of the main investment requiring the resettlement)

14. Community Participation, Involvement of Resettlers, and Host Communities

- A description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities.

- A summary of the views expressed and how these views were considered in preparing the resettlement plan.

- A review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individual families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization and to retaining access to cultural property (for example, places of worship, pilgrimage centers, cemeteries)

- Institutionalized arrangements by which displaced persons can communicate their concerns to project authorities throughout planning and implementation and measures to ensure that vulnerable groups such as indigenous people, ethnic minorities, the landless, and women are adequately represented.

15. Integration with Host Populations

Measures to mitigate the impact of resettlement on nay host communities including

- Consultations with host communities and local governments;

- Arrangements for prompt tendering of any payment due to the hosts for land or other assets provided to resettlers;

- Arrangements for addressing any conflict that may arise between resettlers and host communities; and

- Any measures necessary to augment services (for example, education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

16. Grievance Procedures

Grievances and complaints raised during the implementation of the RAP will be dealt with in accordance with the GRM set out in Section 8 of the RPF. The Land Acquisition Committee (LAC) established by the Council of Ministers under the LLE also performs the duties of a GRC in relation to the value of land and/or assets acquired. The LAC will use a negotiated approach to reach a consensus on the replacement value of lands and assets. If this approach fails, an AP may bring the matter to a GRC that will try and resolve the issue and make a recommendation within 7–10 days. If no decision is reached after 10 days, the AP may seek recourse through the legal system as a last resort.

17. Organizational Responsibilities

The organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; any measures (including TA) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

18. Implementation Schedule

An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and termination of the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

19. Costs and Budget

Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies, timetables for expenditures, sources of funds, and

arrangements for timely flow of funds and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies

20. Monitoring and Evaluation

Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the World Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process, evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; and using the results of resettlement monitoring to guide subsequent activities

Annex 4b: Abbreviated Resettlement Action Plan

In compliance with the World Bank's OP 4.12, if there are fewer than 200 project-affected persons (PAPs, the following abbreviated RAP shall be followed to restore housing and issue economic compensation for loss of land and livelihood through a consultative and mutually agreed process.

Process

Survey of land and assets of PAPs, including squatters and informal settlers:

(a) The surveyed land and assets should be identified, marked, and photographed, and by the defined eligibility cutoff date.

(b) The PAPs should be identified and registered with full data and photographed.

(c) A compensation package in line with the principles of the RPF should be developed.

(d) Initial consultations should be conducted to identify any salient issues or concerns impacting on PAPs. Separate consultations should be conducted with women to properly ascertain their views and concerns.

An abbreviated RAP must contain a minimum of the following elements:

(a) A census survey of displaced persons and valuation of assets;

(b) Description of compensation and other resettlement assistance to be provided;

(c) Consultation with displaced people about acceptable alternatives;

(d) Compensation Matrix with all PAPs and their complete entitlements and so on;

(e) Institutional responsibilities for implementation and procedures for grievance redress;

(f) Arrangements for monitoring and evaluation; and

(g) A timetable and budget.

The compensation package and abbreviated RAP should be submitted to the World Bank for clearance.

Annex 5: Chance Find Procedures

1. Physical culture includes monuments, structures, works of art, or sites of 'outstanding universal value' from the historical, aesthetic, scientific, ethnological, or anthropological point of view, including unrecorded graveyards and burial sites. Within this broader definition, cultural property is defined as sites and structures having archaeological, paleontological, historical, architectural, or religious significance and natural sites with cultural values.

2. The proposed emergency reconstruction operations are unlikely to pose a risk of damaging cultural property, as the projects will largely consist of small investments in community infrastructure and income generating activities, reconstruction of existing structures, and minor urban public works. Further, the negative list of attributes, which would make a project ineligible for support, includes any activity that would significantly damage non-replicable cultural property. Nevertheless, the following procedures for identification, protection from theft, and treatment of chance finds should be followed and included in standard bid documents.

Chance Find Procedures

3. Chance find procedures are defined in the Law on Maintenance of Historical and Cultural Monuments (Official Gazette, December 21, 1980), specifying the authorities and responsibilities of cultural heritage agencies if sites or materials are discovered during project implementation. This law establishes that all moveable and immovable historical and cultural artefacts are state property, and further:

(a) The responsibility for preservation, maintenance, and assessment of historical and cultural monuments rests with the Archaeological Committee under the Ministry of Information and Culture, which has representation at the provincial level.

(b) Whenever chance finds of cultural or historical artefacts (moveable and immovable) are made the Archaeological Committee should be informed. Should the continuation of work endanger the historical and cultural artefacts, the project work should be suspended until a solution is found for the preservation of these artefacts.

(c) If a moveable or immovable historical or cultural artefact is found in the countryside of a province, the provincial governor (*wali*) or district-in-charge (*woluswal*) should be informed within two weeks, and they should inform the Archaeological Committee. In case the immovable historical or cultural artefact is found in a city, the provincial branch of the Department of Maintenance of Historical Values of the Ministry of Information and Culture should be informed within two weeks (Article 18). If the find is made within the center, the Archaeological Committee must be informed directly within one week (Article 25).

(d) Failure to report a chance find within the stipulated time limit will be punished with a fine or imprisonment for a period of one week or up to one month (Article 72).

(e) If someone intentionally damages a historical or cultural artefact, the culprit shall pay compensation in accordance with the value of the artefact plus be imprisoned for a period of one month to ten years depending on the gravity of the crime (Article 71).

4. In case of a chance find of moveable or immovable historical or cultural artefact, the implementing agency is responsible for securing the artefact from theft, pilferage, and damage until the responsibility has been taken over by the relevant authorities as specified above.

5. These procedures must be referred to as standard provisions in construction contracts, when applicable. During project supervision, the site engineer shall monitor that the above regulations relating to the treatment of any chance find encountered are observed.

6. Relevant findings will be recorded in World Bank Project Supervision Reports (PSRs), and Implementation Completion and Results Reports (ICRs) will assess the overall effectiveness of the project's cultural resources mitigation, management, and capacity building activities, as appropriate.

Annex 6: Environmental and Social Guidelines for Contractors

1. General Provisions and Precautions

(a) The contractor engaged to construct court buildings shall take all necessary measures and precautions to ensure that all the works and associated operations on or off the work sites are carried out in accordance with statutory and regulatory environmental requirement of Afghanistan.

(b) The contractor shall implement all necessary measures to avoid undesirable adverse environmental and social impacts wherever possible, restore work sites to acceptable standards, and abide by any environmental performance requirements specified in the EMP.

(c) The contractor shall avoid and prevent any nuisance or disturbance associated with execution of work under this project. In the event of any soil, debris, or silt from the work sites being deposited on any adjacent land, the contractor shall immediately remove all such spoil debris or silt and restore the affected area to its original state, to the satisfaction of the local authority or any other responsible authorities where the court facility is being constructed.

(d) During construction, the contractor shall adhere to the proposed activity implementation schedule and the monitoring plan/strategy to ensure that there is effective feedback of monitoring information to the project management. This will ensure that impact management can be implemented properly and wherever necessary, allow for adaptation to changing and unforeseen conditions.

(e) Apart from the regular inspection of each site by the project engineer for adherence to the contract conditions and specifications, the local authorities or the environmental agency may carry out similar inspection during construction. In all cases, the contractor shall comply with directives issued by such inspectors to ensure that there is adequate rehabilitation of the biophysical environment and compensation for socioeconomic disruption resulting from the construction activities.

2. Protection of Water and other Public Services

(f) The contractor shall ensure that no utilities or public services are disrupted because of the execution of the court's construction works. The contractor shall

- Not discharge or deposit any waste or any material into any water bodies or any grounds except with the permission of the appropriate regulatory authorities;
- Not interfere with the supply or abstraction of water for public or private use, and shall not pollute any water resources (including groundwater) because of execution of the works;
- Not disrupt power supply or telephone connections or any other public or private services including footpaths and walkways;
- Ensure that always during construction activities, all streams and drains within and adjacent to the work sites are kept safe and free from any wastes and any material arising from the works;
- Protect all water courses (including rivers, streams, ditches, canals, drains, and lakes) from pollution, siltation, flooding, or erosion because of the construction works;

- Take all responsibility to locate or to confirm the details and location of all utilities on or near the construction site;

- Assume responsibility for any damage and\or disruption caused by the firm or workers, directly or indirectly, arising from actions taken or a failure to act to protect public or private utilities. The contractor shall be responsible for full restoration of any damage caused and for restoration of disrupted services;

- Record and report in on time (within 24 hours) to the construction site engineer/manager any damage caused to water utilities or public services;

- Collect, remove, and dispose of water and waste products appropriately at an approved location and in a manner, that will not cause pollution or nuisance in compliance with the local authority and the environmental agency regulations; and

- Not dispose of any excavated soil or surplus materials on private land unless authorized in writing by the plot or land owner(s).

3. Control of Air Pollution

- Open fires and burning of construction waste shall not be permitted at all.

- Blasting and quarrying shall be carried out using material and methods approved by the appropriate controlling authority and in a manner to avoid dust emission.

- Dust-generating operations shall not be permitted to affect any residential areas, pedestrians, or any public or private property. Where dust generation cannot be avoided, appropriate measures such as water sprinkling and use of fencing shields or appropriate covering material shall be employed. All workers shall be provided with appropriate protective gear (nose masks) to guard against excessive dust or smoke emissions.

- All construction machinery and equipment including all vehicles shall be regularly maintained to ensure that no smoke or obnoxious gas is discharged to pollute the air and affect the public or property.

- Construction workers shall be instructed to minimize dust generation and emission of excess smoke through excessive raving of machinery or vehicle engines.

4. Excavation and Acquisition of Construction Material

- All excavation activities shall be carried out in approved places, using approved excavation procedures and practices. Topsoil from borrow pits will be saved and reused in revegetating the excavated areas to the satisfaction of the construction supervisor.

- All sites identified for excavation of construction materials shall be approved by the construction supervisor in liaison with the local authority and the Ministry of Public Works in charge of the area.

- All excavated areas shall be restored to original or better state in full compliance of environmental regulations, standards, and according to contract specifications. Restoration of

the borrow pit areas and their surroundings shall be done according to environmental regulations and to the satisfaction of the construction supervisor and local authority.

- Borrow pits shall be levelled and covered to facilitate natural drainage and scenic beauty or to create functional water storage structures as appropriate.

- Borrow pit sites shall be revegetated using indigenous grass and plants.

5. Soil Erosion Prevention

- The contractor shall fence off construction sites, provide appropriate drainage, and ram or compact soils where necessary to stabilize the soils and reduce erosion.

- All construction sites and sites used for mining materials shall be backfilled, levelled, and replanted with trees, vegetation, and grass to restore them to the original state and to prevent soil erosion.

- As far as possible, the contractor shall avoid or reduce construction activities and mining of construction material during the peak of rainy seasons.

- Minimize the long-term visual impact of the site area by creating landforms that are compatible with the adjacent landscape.

- Ensure reshaped land is formed to be inherently stable, adequately drained, and suitable for the desired long-term land use that avoids ponding and allows for natural regeneration of vegetation.

6. Construction Site Waste Management

- Construction site shall be provided with solid and liquid waste receptacles for collecting generated solid waste at the site and used oils from vehicles and machines.

- All waste generated during construction shall be collected and disposed of at designated disposal sites in line with applicable local authority and environmental agency regulations.

- Used oil from maintenance shall be collected and disposed of appropriately at designated sites or be reused or sold for reuse locally.

- Runoff to and from the site area shall be restricted by constructing diversion channels or holding structures such as drains to reduce flooding within the site area and the potential of soil erosion and water pollution.

- No construction water containing spoils or site effluent, especially cement and oil, shall be allowed to flow into natural water drainage courses.

- Wash water from washing out of equipment shall not be discharged into water courses or drains.

7. Control of Social Impacts

- The contractor shall coordinate with all the neighboring land users and respect their rights to a clean and safe environment. The contractor shall undertake to restore the land to original condition or conditions acceptable to the owner within an agreed time. Construction site shall be maintained and cleaned up always and on completion of the works.

- Health and safety of workers shall be protected by providing basic emergency health and first aid facilities and awareness meetings aimed at the prevention of sexually transmitted diseases including AIDS. Awareness meetings shall be conducted as a part of all construction employee orientation programs. Employees shall be provided with condoms for protection from sexually transmitted infections.

- The contractor shall employ the use of barricades and barrier tapes to control movement within the construction area and provide safety.

- The contractor shall not stockpile or store any construction materials nor park construction plant or vehicles in walk ways, pedestal routes, or driveways. Stockpiles of material shall be covered with tarpaulins or sprayed with water where these materials pose risks of dust to the public or people's property.

- The contractor will follow the requirements of the National Museum Act, which governs the preservation of cultural resources, prohibits movement of any asset that is archaeological or paleontological interest from the place where it has been discovered unless authorized by an exploration license, or by written permit from the minister after consultation with the National Museum. The construction workers will be advised of this policy and legal requirements.

8. Noise Control and Regulation

- The contractor shall take all necessary measures to ensure that the operation of all mechanical equipment and construction processes on and off the site shall not cause any unnecessary or excessive noise to the public. In addition, the contractor shall operate noisy equipment within government working times unless with prior arrangement and permission from the employer.

- Vehicle, plant, and equipment exhaust systems shall be maintained in good working order, as recommended by the manufacturers, to ensure that no noise is unnecessarily generated to inconvenience the public.

- Construction works and operations shall be scheduled to coincide with periods when people would be least affected by noise, having due regard for avoiding any noise disturbances to residents, hospitals, schools, or any other public and private places in the work site neighborhood.

- The contractor shall notify public (likely to be affected by the works) of impending construction operations and specify methods to receive and handle all public complaints.

9. Contractor's Environmental Health and Safety Management Plan (EHS-MP)

- The contractor shall prepare an EHS-MP to ensure the adequate management of the health, safety, environmental, and social aspects of the construction works. The contractor's EHS-MP will serve two main purposes:

- For the contractor's internal use to ensure that all measures are in place for adequate EHS management and as an operational manual for the contractor's staff.

- For the judiciary to ensure that the contractor is fully prepared for the adequate management of the EHS aspects of the project, and as a basis for monitoring of the contractor's EHS performance.

- The contractor's EHS-MP shall provide at least the following:

  - A description of procedures and methods for complying with the general environmental management conditions, and any specific conditions specified in the EMP.

  - A description of specific mitigation measures that will be implemented to eliminate or minimize adverse impacts.

  - A description of all planned monitoring activities and the reporting thereof.

  - The internal organizational, management, and reporting mechanisms put in place for to realize the same.

- The contractor's EHS-MP will be reviewed and approved by the judiciary's representative supervising the courts construction works before commencement. The review should demonstrate if the contractor's EHS-MP is adequate and covers all the identified impacts and has defined appropriate measures to mitigate any potential impacts.

10. EHS Reporting

- The contractor shall prepare regular (biweekly or monthly) progress reports to the supervising engineer on compliance with the general conditions, the project EMP if any, and the contractor's EHS-MP. It is expected that the contractor's reports will include information on

  - EHS management actions/measures taken, including approvals sought from local or national authorities;

  - Problems encountered in relation to EHS aspects (incidents, including delays, cost consequences, and so on as a result thereof);

  - Lack of compliance with contract requirements on the part of the contractor;

  - Changes of assumptions, conditions, measures, designs, and actual works in relation to EHS aspects; and

  - Observations, concerns raised, and/or decisions taken regarding EHS management during site meetings.

- It is advisable that reporting of significant EHS incidents be done 'as soon as practicable'. Such incident reporting shall therefore be done individually and as the need arises. Also, it is advisable that the contractor keeps his own records on health, safety, and welfare of persons, and damage to property.

- It is advisable to include such records, as well as copies of incident reports, as appendixes to the regular reports. Example formats for an incident notification and detailed report are given in the following paragraphs. Details of EHS performance will be reported to the client through the supervising engineer's reports to the client.

11. Training of Contractor's Personnel

- The contractor shall provide sufficient training to his own personnel to ensure that they are all competent and aware of the relevant aspects of the general conditions, project EMP, and the contractor's EHS-MP and are able to fulfil their expected roles and functions.

- Specific training should be provided to those employees who have responsibilities associated with the implementation of the EHS-MP. General topics should be

    - EHS in general (working procedures);

    - Emergency procedures;

    - Social and cultural aspects (awareness raising on social issues); and

    - Reporting procedures.

12. Environmental Monitoring

- The contractor shall be responsible for monitoring all his activities and ensuring that all environmental requirements and conditions are met always.

- All records and reports on environmental monitoring carried out by the contractor shall be kept and availed to the project engineer supervising the construction works.

Annex 6b: Environmental Codes of Practice

This annex has two sections (Attachment 6a and 6b) setting out the guidelines to prepare for the ECOP to mitigate the social and environmental impacts mainly during the construction phase of projects. The ECOP also includes guidelines (section 1.5) for Implementation of Environmental Health and Safety.

Attachment 6a: Environmental Codes of Practice

1. The attachment presents a generic ECOP to be finalized during the preparation of an ESMP and it will be applied to all works construction contracts under the PPIAP. It comprises two parts: (1) general provision and planning; and (2) construction management and monitoring including a chance find procedures and specific requirements on environmental health and safety as required by World Bank safeguards. The safeguards staff in the TAT within the CPPPA in Kabul will be responsible for ensuring full compliance of the ECOP.

2. The final ECOP will be incorporated into bidding and contract documents and applied to all project investments to be conducted under the PPIAP. The ECOP was developed based on the principle that the potential negative impacts of works could create similar potential impacts (increase in air, noise, vibration, waste generation, safety risks, local traffic, and so on) and could be mitigated through good environmental management practices. However, the scale and level of issues and the required mitigations and their associated cost are different and require different efforts and expertise during supervision and monitoring. The application of the ECOP is expected to become a standard procedure to be mainstreamed into the PPIAP-supported investment projects.

3. **Application of ECOP:** According to the criteria established for the type of works and the screening criteria for the PPIAP, all construction works will apply the generic ECOP described in this attachment. After an ESMP is approved, the transaction advisor(s) will incorporate the final ECOP into bidding and contract documents and ensure that the bidders/contractors are committed to this obligation and are aware that the mitigation cost is part of the construction cost. Before construction works begin the focal team within the sponsoring agencies will assign a qualified field engineer or a construction supervision consultant (CSC) to be responsible for the day-to-day supervision and monitoring of safeguard performance of the contractor and including the results in the construction supervision progress report. The focal team will also mobilize an environmental monitoring consultant (EMC) to conduct periodic monitoring of the contractor performance and report the results and possible complaints from local authorities, communities, and/or other stakeholders.

4. **Scope of ECOP:** The ECOP requirements are divided into two parts: Part (1) General Provision and Planning; and Part (2) Construction Management and Monitoring. Part (1) describes roles and responsibility of the project investment owner, contractor, and supervisor including the basic principles for a contractor to consider during the construction planning or development of the contractor's SOPs while Part (2) describes standard requirements during execution of works to reduce potential impacts on air, noise, vibration, water, and so on, including monitoring indicators and monitoring requirements (if needed). Modifications to the generic ECOP can be made to suit specific issues/conditions observed/agreed during the transect walk or the preparation of the ESMP. For the sake of clarity, 'construction' in this document includes all site preparation, demolition, spoil disposal, materials and waste removal, and all related engineering and construction activities.

5. The following guidelines will be incorporated into the bidding and contract documents of the project investments to be conducted by the contractor.

Part (1): General Provision and Planning

Section (1.1) Contractor responsibility

6. The contractor is responsible for making best effort to reduce and mitigate the potential negative impacts on local environment and local residents including making payment for all damages that may occur. Performance of the contractor will be closely supervised and monitored by the project management and/or qualified field engineer as well as periodically monitored by a qualified consultant to be assigned by the project investment owner. Results of the ECOP compliance monitoring will be included as part of the construction progress report. Compliance with the ECOP will be part of the contractor's construction compliance. **The contractor will also be responsible for ensuring that any subcontractors will comply with the ECOP.**

7. Specifically, the contractor will be responsible to comply with, but not limited to, the following:

- The contractor will install the Work Camp on areas far enough from water points, houses, and sensitive areas in consultation with the community and the project investment owner. Good quality sanitary equipment should be selected and installed in the Work Camp.

- The contractor will manage all activities in compliance with laws, rules, and other permits related to site construction regulations (what is allowed and not allowed on work sites) and will protect public properties. Degradation and demolition of private properties will be avoided. Paying compensation to damage to the public facilities and/or private property will be required. The contractor will inform the project investment owner on issue and/or damages that may unexpectedly occur.

- The contractor is responsible for protection of local environment against dust, air, noise, vibration, exhaust fuels and oils, and other solid residues generated from the work sites. The contractor should manage waste properly and do not burn them on site and should provide a proper storage for materials, and organize parking and displacements of machines in the site. Used oil and construction waste materials must be appropriately disposed of and adequate waste disposal and sanitation services should be provided at the construction site next to the generated areas. The contractor should manage waste properly and should not burn them on site and should provide a proper storage for materials and organize parking and displacements of machines in the site. To protect soil, surface, and groundwater, the contractor will avoid any wastewater discharge, oil spi1l, and discharge of any type of pollutants on soils, in surface or groundwaters, in sewers and drainage ditches. Compensation measures may be required.

- The contractor has the responsibility for maintaining good hygiene, safety, and security on the work sites, including protection of and health and safety of staff and workers. The contractor must prevent standing water in open construction pits, quarries, or fill areas to avoid potential contamination of the water table and the development of a habitat for disease-carrying vectors and insects.

- The contractor should use a quarry of materials according to the mining code requirements and compensate planting in case of deforestation or tree felling. When possible, the contractor should develop maintenance and reclamation plans, protect soil surfaces during construction, and revegetate or physically stabilize eligible surfaces, preserve existing fauna and flora, and preserve natural habitats along streams, steep slopes, and ecologically sensitive areas.

- The contractor should select sustainable construction materials and construction method, during construction, control dust by using water or through other means, and control and clean the construction site daily.

- The contractor will work with local authority and manage local traffic effectively and ensure traffic access of road safety of residents and road users during the works. Speed limit at work sites and community area will be applied to all vehicles and cars. All vehicles and their drivers must be identified and registered, and the drivers should be properly trained.

- The contractor should install signaling of works, ensure no blockage of access to households during construction and/or provide alternative access, provide footbridges and access of neighbors, and endure construction of proper drainage on the site.

- The contractor should respect the cultural sites, ensure security and privacy of women and households near the camps, and safely dispose asbestos.

Section (1.2) Noncompliance reporting procedures

8. The contractor (and the subcontractors, if any) must comply with the final ECOP. To ensure that necessary action has been undertaken and that steps to avoid adverse impacts and/or reoccurrence have been implemented, the EMCs and/or contractors must advise the project investment owner within 24 hours of any serious incidents of noncompliance with the final ECOP that may have serious consequence. In the event of working practices being deemed dangerous either by the project investment owners, the local authorities, or the other concerned agencies, immediate remedial action must be taken by the contractors**.** The contractors must keep records of any incidents and any ameliorative action taken. The records on noncompliance that could be practically addressed (not cause serious impacts) should be reported to the project investment owner monthly.

9. The contractor will be responsible for dealing with any reports/grievance forwarded by the project investment owner, police, or other agencies (by following instruction from the project investment owner representative as appropriate) as soon as practicable, preferably within 1 hour but always within 24 hours of receipt by the contractor. The CSC/EMC will monitor and ensure that the contractor has taken appropriate action. Where appropriate, approval remedial actions may require an agreement from the local authorities and/or other government agencies. Procedures should be put in place to ensure, as far as is reasonably practical, that necessary actions can be undertaken to avoid recurrence and/or serious damage.

Section (1.3) Liaising with local authorities and the public

10. Before the commencement of project investment activities and throughout the construction duration, the contractor will work closely with the local authorities and other agencies to ensure full compliance with government regulations and will also provide adequate information on the project to the general public, especially those that may cause public safety, nuisance, and sensitive areas and the locations of storage and special handling areas. The contractor will provide information and reporting telephone 'hotline' staffed at all times during working hours. Information on this facility shall be prominently displayed on site hoardings.

Section (1.4) Community relations

11. The contractor will assign one community-relation personnel, who will be focused on engaging with the community to provide appropriate information and to be the first line of response to resolve issues of concern. Contractors will take reasonable steps to engage with residents of ethnic minority backgrounds and residents with disabilities (or other priority groups as appropriate), who may be differentially affected by construction impacts.

12. The contractor will ensure that residents near the construction sites will be informed in advance of works taking place, including the estimated duration. In the case of work required in response to an emergency, residents shall be advised as soon as reasonably practicable that emergency work is taking place. Potentially affected residents will also be notified of the 'hotline' number, which will operate during working hours. The 'hotline' will be maintained to handle enquiries regarding construction activities from the public as well as to act as a first point of contact and information in the case of any emergency. All calls will be logged, together with the responses given and the callers' concerns action, and a response provided promptly. The helpline will be widely advertised and displayed on site signboards.

13. The contractor will respond quickly to emergencies, complaints, or other contacts made through the 'hotline' or any other recognized means and liaise closely with the emergency services, local authority officers, and other agencies (based on established contacts), who may be involved in incidents or emergency situations.

14. The contractor will manage the work sites, work camps, and workers in a way that is acceptable to local residents and will not create any social impacts due to workers. Any construction workers, office staff, contractor's employees, or any other person related to the project found violating the *'prohibitions*' activities listed in section (1.7) below may be subject to disciplinary actions that can range from a simple reprimand to termination of his/her employment depending on the seriousness of the violation.

Section (1.5) Implementation of the Environmental Health and Safety Guideline

15. In line with the World Bank safeguard policy, the contractor is required to comply with the Environmental Health and Safety Guidelines (EHSG) established for the project investment with financial support from the World Bank Group. The EHSG provides general guidance on the pollution prevention and abatement measures and workplace and community health and safety guidelines that are normally acceptable in World Bank-supported projects, particularly in cases where the borrowing country does not have standards, or when its standards fall significantly short of international or industry-wide norms. The EHSG are divided in two parts: general guidelines on health and safety and pollution prevention and abatement, including general standards for air and water quality, and a set of sector-specific guidelines for various types of development projects. The contractor will prepare an EHS Plan with an aim to identify the potential impacts and to develop a mechanism for a better management of the environmental health and safety of project activities during construction. The EHS Plan will be incorporated into the contractor's own Standard Operating Procedures (SOPs). At a minimum, the following EHS rules will be strictly followed:

Site EHS Rules

- Conduct EHS orientation sessions before starting work;
- Wear personal protective equipment (gloves, helmets, safety shoes, dungarees, goggles, and so on);
- Follow the messages and instructions displayed on EHS notice boards installed on site
- Promptly report all accidents to the concerned authority
- Maintain appropriate barricades as required
- Drive vehicles at a safe speed, observing speed limits of 30 km per hour and designated routes as mentioned in the contractor's Mobility Map
- Have a valid driving license for the class of vehicle being operated
- Park vehicles only in designated parking areas

- Maintain mine clearance of the project investment area

Health and Hygiene

The measures should include

- Provision of adequate medical facilities to the staff;
- Provision of hygienic food to the employees;
- Provision of cooling and heating facilities to the staff; and
- Provision of drainage, sewerage, and septic tanks in camp area.

Security

Security measures should include

- Regular attendance and a controlled time keeping of all employees;
- Restriction of unauthorized persons to the residential and work areas;
- Restriction of carrying weapons and control hunting by employees; and
- Provision of boundary walls/fences with proper exits to the camp.

Section 1.6: Implementation of '*Chance Find*' Procedures

16. If the contractor discovers archeological sites, historical sites, remains, and objects, including graveyards and/or individual graves during excavation or construction, the contractor will carry out the following steps:

- Stop the construction activities in the area of the chance find;
- Delineate the discovered site or area;
- Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities or the National Culture Administration take over;
- Notify the supervisory project environmental officer and project engineer who in turn will notify the responsible local authorities and the Culture Department of Province immediately (within 24 hours or less);
- Responsible local authorities and the Culture Department of Province would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists of National Culture Administration. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; and those include the aesthetic, historic, scientific or research, social, and economic values;
- Decisions on how to handle the finding shall be taken by the responsible authorities and Culture Department of Province. This could include changes in the layout (such as when

finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration, and salvage;

- Implementation for the authority decision concerning the management of the finding shall be communicated in writing by relevant local authorities; and

- Construction work could resume only after permission is given from the responsible local authorities or Culture Department of Province concerning safeguard of the heritage.

Section (1.7) Prohibitions

17. The following activities are prohibited on or near the project sites:

- Cutting of trees for any reason outside the approved construction area—hunting, fishing, wildlife capture, or plant collection; buying of wild animals for food; having caged wild animals (especially birds) in camps; poaching of any description; explosive and chemical fishing; and disturbance to anything with architectural or historical value;

- Building of fires; use of unapproved toxic materials, including lead-based paints, asbestos, and so on; use of firearms (except authorized security guards); use of alcohol by workers in office hours; driving in an unsafe manner in local roads; and

- Washing cars or machinery in streams or creeks; maintenance (change of oils and filters) of cars and equipment outside authorized areas: creating nuisances and disturbances in or near communities; disposing garbage in unauthorized places; indiscriminate disposal of rubbish or construction wastes; littering the site; spillage of potential pollutants, such as petroleum products; collection of firewood; urinating or defecating outside the designated facilities; and burning of wastes and/or cleared vegetation.

Part (2): Construction Management and Monitoring

Section (2.1) Mitigation measures

18. Table A6.1 defines guidelines for the mitigation measures to be carried out by the contractor during implementation of construction works including key monitoring indicators for supervision by the CSC/EMC. These requirements should be consistent with the final ESMP.

Table A6.1:Mititation Measures Guidelines

No.	Activities Causing Impacts	Mitigation Measures[a]	Monitoring Indicators
1	Establishment, operation of labor camps, material and equipment yards, and approach roads	• Ensure that the sites for campsite approved by Project Owner (PO); construction of camp at location shown in the contractor's Mobility Map • Ensure that washing areas are demarcated and water from washing areas and kitchen is released in sumps. • Ensure septic tanks of appropriate design have been used for sewage treatment and outlets are released into sumps. • Ensure that the outlets released into sumps must not make a pond of stagnant water. • Ensure that latrines, septic tanks, and sumps are built at a safe distance from the water body,	Selected sites through tripartite consultation including community, contractor, and PO representative

No.	Activities Causing Impacts	Mitigation Measures[a]	Monitoring Indicators
		stream, or dry streambed, and the sump bottom is above the groundwater level.	
2	Provision of camp facilities	• Provision of security, septic tanks, latrines, lined wash area, safe water supply, paths, fire prevention equipment, and so on	Comfortable living of staff
3	Disposal of waste generated from the camp	• Recycle metallic, glass waste, bury organic waste in impervious pit covered with soil. • Ensure that waste material is properly disposed of in a manner that does not affect the natural drainage.	No health issue occurred
4	Access tracks/haulage routs	• The moving machinery should remain within the project boundary. • Ensure that the access tracks, which are prone to dust emissions and marked on the map, are maintained by water spraying daily. • After completion of construction work all the damaged roads/tracks will be restored by the contractor, as it is contractor's obligations. Ensure that surface runoff controls are installed and maintained to minimize erosion. • Restriction on movement of contractor's vehicles on designation routes and deploy traffic man at the village to control the traffic	Usage of the selected tracks
5	Hiring skilled workers from outside of the locality	• Hiring of labor from the local communities	Signed Agreement between PO and community for hiring of labor
6	Workers safety and hygienic conditions	• Provision of protective clothing and equipment for laborers handling hazardous materials, (helmets, adequate footwear) for concrete works (long boots, gloves), for welders (protective screen, gloves dungaree), and so on	Safe working conditions
7	Water for labors consumption and construction	• Contractor has to make his own arrangements for water.	Water tanker and pump by the contractor
8	Interruption of canal water supply	• Divert water through pipes at construction places.	Farmers' complaints
9	Social issues	• Ensure that conflicts with local powerholders and local communities are avoided. • Ensure that focus group meetings are conducted with both men and women to identify any water related and other issues related to project implementation.	Conflict, suspension of the project investment work
10	Storage of hazardous material (including waste)	• Provide hard compacted, impervious, and bounded flooring to hazardous material storage areas; label each container indicating what is stored within; and train staff in safe handling techniques.	Nil health hazard and water contamination occurred.
11	Construction activities, handling of fuels, oil spills, and lubricants	• Ensure that no contaminated effluent is released in to the environment.	No oil spill observed

No.	Activities Causing Impacts	Mitigation Measures[a]	Monitoring Indicators
		• Ensure that fuels, oils, and other hazardous substances are handled and stored according to standard safety practices such as secondary containment. • Fuel tanks should be labeled and stored in impervious lining and dykes and so on. • Ensure that vehicle refueling is planned on need basis to minimize travel and chance spills. • Ensure that operating vehicles are checked regularly for any fuel, oil, or battery fluid leakage.	
12	Cutting of trees in the right of way where required	• To get agreement of the CDC/IA members	Signed Agreement between PO and community
13	Excavation of channels	• Proper compaction and water sprinkling	Erosion and dust emission minimized
14	Disposal of excavated material	• Stockpile the excavated material to non-agriculture and in a minimum area and away from storm water	Minimum loss of habitat
15	Downstream water availability during project work	• Provision of diversion pipes for continuous water supply during rehabilitation works	Agreement between water users signed
16	Loss of fertile soil and vegetation, impacts on natural vegetation and embankment erosion along the watercourse	• Remove surface soil of the location, stocked in a proper place and once the construction is finished, put the soil back on that place. The leftover spoil soil should be collected and kept aside for rehabilitation of the site at later stage of the work; revegetate the embankments with indigenous plant species	Banks stabilized and revegetated
17	Dust and smoke emissions	• All truckloads of loose materials shall be covered during transportation. Water spraying or any other methods shall be used by the contractor to maintain the works areas, adjacent areas, and roads, in a dustless condition, as well the vehicle speed not to be exceeded beyond 30 km per hour. Vehicles will be tuned regularly to minimize the smoke emissions.	Dust and smoke controlled
18	Noise pollution	• Vehicles and equipment used to be fitted, as applicable, with properly maintained silencers. Restriction on loudly playing radio/tape recorders, and so on.	Excessive noise generation controlled
19	Excavation of borrow areas	• Excavate borrow soil up to maximum depth of 0.5 m, with slope boundaries	Borrow area rehabilitated according to specification
20	Rehabilitation of borrow pits	• Proper rehabilitation of borrow pits; removal and storage of top 15 cm top soil having organic materials and spreading it back during restoration of borrow area	Borrow areas rehabilitated
21	Encountering archaeological sites during earth works	• PO field supervisor will halt the work at the site and inform to the regional team leader and Archaeological Department immediately.	The report from the project investment field supervisor, community, and contractor

No.	Activities Causing Impacts	Mitigation Measures[a]	Monitoring Indicators
22	Aesthetic/scenic quality	• Carry out complete restoration of the construction sites. • Remove all waste, debris, unused construction material, and spoil from the worksites.	Risk to the labor and visitor

Note: a. Project Owner means the agency responsible for supervision of works.

Section (2.2) Environmental quality monitoring

19. In the case that an environmental quality monitoring is required during construction (as agreed during the transect walk and consultation with local community and/or preparation of the ESMP), the following monitoring program may be considered while specific locations, parameters, and frequency will be included in the contractor's SOP.

Table A6.2:

Impact	Parameters	Example Locations	Frequency
Air emissions	Dust level	Vicinity of clearing works, materials stockpile, and/or community areas	In windy conditions or when traffic is heavy
Noise and vibration generation	Noise levels to meet government requirements	Near sensitive receivers	In response to complaints
Erosion and sedimentation	Turbidity or total suspended solid (TSS)	Receiving water body upstream of other water use that are sensitive to turbidity and/or sedimentation	After heavy rain events
Contamination of hazardous soils	Pesticides and heavy metals in sediments	In areas of known contamination	Before disposal, before reuse
Surface water quality deterioration	TSS, pH, BOD, salinity, coliforms to meet government requirements	Downstream of works in waterways or water body receiving wastewater from work offices and/or work camp.	Regularly during construction works

Attachment 6b: Simplified ECOP

1. This attachment presents a generic good environmental and housekeeping practices aiming to minimize the potential negative impacts during construction for very small civil works given attention to address the issue related to human and environmental safety and minimize disturbance of residents. The PO will ensure that the following practices are strictly implemented as relevant to the activities and locations of works. These requirements should be incorporated into the bidding and contract documents and contractor performance should be supervised, monitored, and reported as part of the project progress report.

2. The following 'Dos' and 'Do Nots' should be strictly observed:

Dos

- Have limited working hours during the day time, especially in residential areas, and control driving speed;
- Minimize earth excavation and appropriate disposal of spoil
- Minimize opening of new borrow pits and ensure proper closure
- Minimize traffic congestion, dust, and noise generation
- Maintain construction equipment and vehicles properly
- Provide appropriate safety sign (day and night) and closely inform residents
- Avoid spillage of used oil and other toxic materials, including safe transportation and storage
- Apply good housekeeping in the construction and/or storage sites to ensure safety of workers and people (collect and remove debris to keep the work site orderly and safe); plan and implement adequate disposal of scrap, waste, and surplus materials; keep the work area and all equipment tidy; designate areas for waste materials and provide containers; keep stairways, passageways, and ladders free of material, supplies, and obstructions; secure loose or light material that is stores on roofs or open floors; keep materials at least 2 m (5 feet) from openings, roof edges, excavations, or trenches; remove or bend over nails protruding from lumber; keep hoses, power cords, welding leads, and so on from laying in heavily travelled walkways or areas; ensure structural openings are covered/protected adequately; provide the appropriate fire extinguishers for the materials found on-site; and keep fire extinguisher stations clear and accessible, and so on)
- Ensure access to clean water and latrines by workers and provide mosquito nets
- Avoid social/cultural conflict between workers and the local population

Do Nots

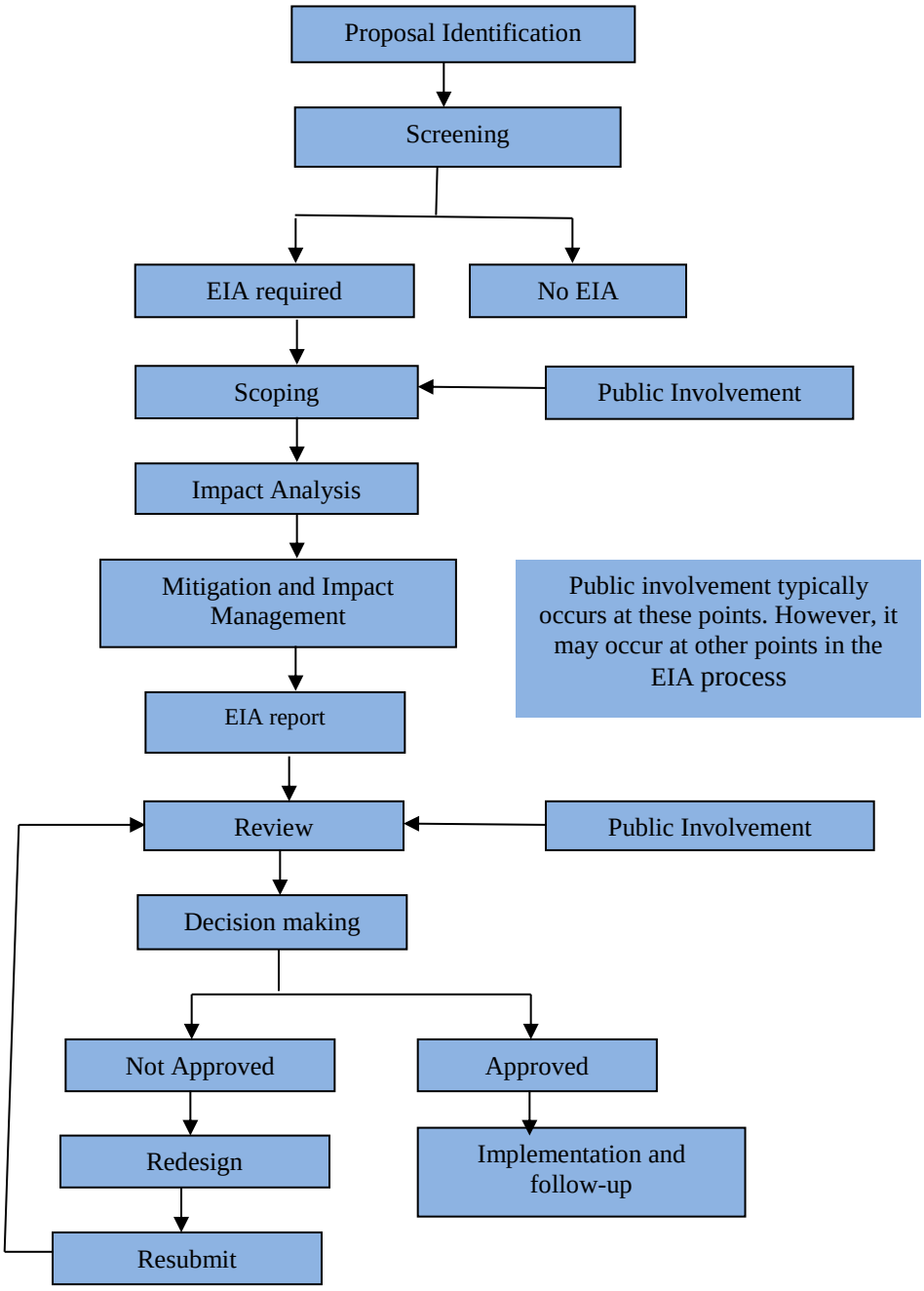
- Do not permit rubbish to fall freely from any locations of the project and/or access by animals (dogs, cats, pigs, and so on); use appropriate containers
- Do not throw tools or other materials
- Do not raise or lower any tool or equipment by its own cable or supply hose

- Use grounding straps equipped with clamps on containers to prevent static electricity buildup
- Do not allow hunting of animals by workers in protected areas

Special Note on Flammable/Explosive Materials

- Store flammable or explosive materials such as gasoline, oil, and cleaning agents apart from other materials
- Keep flammable and explosive materials in proper containers with contents clearly marked
- Dispose of greasy, oily rags, and other flammable materials in approved containers
- Store full barrels in an upright position
- Store empty barrels separately
- Post signs prohibiting smoking, open flames, and other ignition sources in areas where flammable and explosive materials are stored or used
- Store and chain all compressed gas cylinders in an upright position
- Mark empty cylinders and store them separately from full or partially full cylinders
- Ventilate all storage areas properly
- Ensure that all electric fixtures and switches are explosion proof where flammable materials are stored

Annex 7: EIA Procedure at the NEPA



Annex 8: Procedures for Mine Risk Management

This annex will be applied to all works to be implemented where there is a site visit and in case some project implementation is happening. Cost for implementation of this annex will be part of the investment cost.

1. **Background.** The following procedures are designed to respond to the risks caused by the presence of mines in Afghanistan, and it is like the original project. The procedures are designed in the context of

- **Community rehabilitation/construction works** to be identified and implemented by the communities themselves (for small projects of up to US$100,000 each);

- **Small and medium-size works** to be identified by local authorities and implemented by local contractors (for projects up to US$5 million each);

- **Works to be implemented directly by government departments/agencies**, without use of contractors; and

- **Large works** to be implemented by contractors (for projects above US$5 million);

2. **General comment applying to all following procedures.** All risk assessment and clearance tasks shall be implemented in coordination with the Mine Action Center for Afghanistan (MACA). These procedures may need to be amended in the future depending on evolving circumstances.

Procedure for Community-Managed Works

3. Application and procedures are as follows:

- **Applicability.** This procedure applies to community rehabilitation/construction works to be identified and implemented by the communities themselves (for small projects of up to US$100,000 each).

- **Overall approach.** The communities should be responsible for making sure that the projects they propose are not in mine-contaminated areas or have been cleared by MACA (or a mine action organization accredited by MACA).

- **Rationale.** Communities are best placed to know about mined areas in their vicinity and have a strong incentive to report them accurately as they will carry out the works themselves.

- **Procedure:**

  (a) Communities are required to submit a reply to a questionnaire regarding the suspected presence of mines in the area where World Bank-funded community-managed projects will be implemented. This questionnaire should be formally endorsed by the Mine Action Program for Afghanistan (MAPA). It will be a mandatory attachment to the project submission by the communities and should be signed by community representatives and the external project facilitator. External project facilitators will receive training from MAPA. Financing Agreements with the communities should make clear that communities are solely liable in case of a mine-related accident.

  (b) If the community certifies that there is no known mine contamination in the area, the ministry responsible for the selection of projects should check with MACA whether any different observation is reported on MACA's database.

- If MACA's information is the same, the project can go ahead for selection. The community takes the full responsibility for the assessment, and external organizations cannot be made liable in case of an accident.
- If MACA's information is different, the project should not go ahead for selection if MACA's and the community's statements have not been reconciled.

(c) If the community suspects mine contamination in the area,

- If the community has included an assessment/clearance task in the project agreed to be implemented by MACA (or by a mine action organization accredited by MACA), the project can go ahead for selection.
- If the community has not included an assessment/clearance task in the project, the project should not go ahead for selection if this has not been corrected.
- Mine clearance tasks must be implemented by MACA or by a mine action organization accredited by MACA. Communities will be penalized (subsequent funding by World Bank-funded projects shall be reduced or cancelled) if they elect to clear mines on their own.

Procedure for Small and Medium-size Works Contracted Out

4. Application and procedures are as follows:

- **Applicability:** This procedure applies to small- and medium-size works to be identified by local authorities and implemented by local contractors (for projects up to US$5 million each).

- **Overall approach:** MACA (or a mine action organization accredited by MACA) should provide detailed information on the mine-related risks (either based on previously done and updated general survey or on a new general survey) before projects are considered for selection. Only project sites assessed to have a nil-to-low risk would be eligible for selection, unless they have been de-mined by MACA or by a mine action organization accredited by MACA.

- **Rationale:** Neither local authorities nor local contractors have the capacity to assess the mine-related risks in a systematic way, while they may have incentives to underestimate them.

- **Procedure:**

(a) Before putting up a project for selection, a general survey should be carried out by MACA (or a mine action organization accredited by MACA) to assess mine-related risks in the project area (this should include checking information available in the MACA database).

(b) If MACA provides information suggesting a nil-to-low risk in the proposed project area, the project can go ahead for selection.

(c) The contract between the responsible ministry and the contractor will include a clause stating that in case of an accident, legal liability would be fully and solely borne by the contractor.

(d) If MACA assesses a potentially high risk in the area (whether due to the presence of mines or uncertainty),

- If the project includes an assessment/clearance task agreed to be implemented by MACA (or by a mine action organization accredited by MACA), it can go ahead for selection based on agreed funding modalities (clearance may be funded either under a contract with a World Bank-funded project or under existing donor agreements with the mine action organization).
- If the project does not include an assessment/clearance task, it should not go ahead for selection as long as this has not been corrected.

Procedure for Works to Be Implemented Directly by Government Departments/Agencies, without Use of Contractors

5. Application and procedures are as follows:

- **Applicability.** This procedure applies to works to be implemented directly by government departments/agencies, without use of contractors.

- **Overall approach.** MACA (or a mine action organization accredited by MACA) should provide detailed information on the mine-related risks (either based on previously done and updated general survey or on a new general survey) before works or installation of goods/materials are carried out in any given area. Work would only be allowed to proceed in areas assessed to have a nil-to-low risk, unless they have been de-mined by a mine action organization accredited by MACA.

- **Rationale.** Government departments and agencies responsible for providing services currently do not have the capacity to assess the mine-related risks in a systematic way and currently follow a process of consulting with MACA before carrying out activities.

- **Procedure**

  (a) Before carrying out work, the government department/agency will consult with MACA to assess mine-related risks in the area (this should include checking information available in the MACA database). If not already done, a general survey should be carried out by MACA (or by a mine action organization accredited by MACA) to assess mine-related risks in the area.

  (b) If MACA provides detailed information on mine-related risks that suggest a nil-to-low risk in the proposed area, the work can proceed. The government would be solely liable in case of a mine-related accident.

  (c) If information provided by MACA cannot support the assessment of a nil-to-low risk in the proposed area (whether due to the presence of mines or uncertainty), works should not go ahead before MACA (or a mine action organization accredited by MACA) carries out the necessary further assessment and/or clearance for risks to be downgraded to nil-to-low, based on agreed funding modalities (clearance may be funded either under a contract with a World Bank-funded project or under existing donor agreements with the mine action organization).

Procedure for Large Works Using Contractors

6. Application and procedures are as follows:

- **Applicability.** This procedure applies to large works to be implemented by large contractors (projects above US$5 million).

- **Overall approach.** The main contractor should be responsible for dealing with mine-related risks, in coordination with the United Nations Mine Action Center.

- **Procedure**

  (a) As part of the preparation of the bidding documents, a general survey should be carried out by MACA (or a mine action organization accredited by MACA) on all the areas where contractors may have to work (broadly defined). This survey should provide detailed information on mine-related risks in the various areas allowing for an unambiguous identification of areas that have a nil-to-low risk of mine/unexploded ordnance (UXO) contamination and areas where the risk is either higher or unknown. The survey should be financed out of the preparation costs of the bidding documents.

  (b) All survey information should be communicated to the bidders (with sufficient legal caveats so that it does not entail any liability), as information for the planning of their activities (for example, location of campsites, access roads to quarries).

  (c) Depending on the nature and location of the project and on the available risk assessment, two different options can be used:

Option 1: Mine-clearance activities are part of the general contract

  (a) Based on the general survey results, a specific budget provision for mine action during construction is set aside as a separate provisional sum in the tender documents for the general contract.

  (b) As a separately identified item in their bid, the bidders include a provision for a further detailed mine assessment and clearance during construction.

  (c) On the instruction of the supervision engineer and drawing on the specific provisional sum for mine action in the contract, the contractor uses one of several nominated subcontractors (or a mine action organization accredited by MACA) to be rapidly available on call, to carry out assessment before initiation of physical works in potentially contaminated areas, and to conduct clearance tasks as he finds may be needed. The contractor may also hire an international specialist to assist in preparing and supervising these tasks. The contractor is free to choose which of the accredited subcontractors to use, and he is fully responsible for the quality of the works and is solely liable in case of accident after an area has been demined.

  (d) To avoid an 'overuse' of the budget provision, the contractor is required to inform the supervision engineer in writing (with a clear justification of the works to be carried out) well in advance of mobilizing the mine-clearing team. The supervision engineer has the capacity to object to such works.

Option 2: Mine-clearance activities are carried out under a separate contract

  (a) Specific, separately awarded contracts are issued for further surveying and/or clearing of areas with a not-nil-to-low risk (under the supervision of the engineer) by specialized

contractors (or a mine action organization accredited by MACA). The definition of the areas to be further surveyed/cleared should be limited to those areas where any contractor would have to work and should not include areas such as camp sites and quarries/material sites that are to be identified by the contractor during and after bidding of the works. Because of these further surveys and possibly clearance works, mine-related risk in the entire contract area is downgraded to nil-to-low.

(b) The contract with the general contractor specifies the extent of the portion of the construction site of which the contractor is to be given possession from time to time, clearly indicating restrictions of access to areas where the mine risk is not nil-to-low. It also indicates the target dates at which these areas will be accessible. Following receipt of the notice to commence works from the engineer, the contractor can start work in all other areas.

Annex 9: Sample Grievance Registration Form

This annex applies to all investment schemes to be financed under the PPIAP.

(Refer to ESMF Section 6.4 for information relating to the components and functioning of the GRM)

Grievance Number: _____ LOCATION: District: _____ Village: _____ CDC Name: _____ NAME OF COMPLAINANT: _____ _____ ADDRESS:_____Telephone #: _____ DATE RECEIVED:
Classification of the grievance (Check boxes) ☐ Water Use ☐ Dispute with contractors ☐ CDC formation ☐ Inter-community dispute ☐ Land acquisition and Compensation ☐ Technical/operational coordination ☐ Financial ☐ Process delays ☐ Water Quality ☐ Noise ☐ Sanitation ☐ Water Use ☐ Other (specify)_____
Brief description of the grievance:
What is the perceived cause?
Suggested action (by complainant) to address grievance:
Received on behalf of the PPIAP by: Name: Date:

Annex 10: Safeguards Awareness Questionnaire

Safeguards Awareness Questionnaire
for
Private Sector Partners

1. **How familiar are you with environmental and social safeguards?**

Please select one of the following:

a) I have never heard of them or I have heard of them but I don't know what they are.
b) I have some idea of what they are but don't know when or how to apply them in project development.
c) I have a clear idea of what they are but haven't applied them in project development.
d) I can explain what they are, why they are important and can apply them in project development.

2. **Have potential adverse environmental and social impacts peen considered when planning and implementing projects with which you have been associated?**

Please select one of the following:

a) Potential environmental and social impacts of project activities have not been considered.
b) Potential adverse environmental impacts of project activities have been identified but mitigation measures not included in project implementation plan
c) Potential adverse environmental impacts of project activities have been identified and relevant mitigation measures included in project plans
d) Potential adverse social impacts of project activities have been identified but mitigation measures not included in project implementation/operation plans
e) Potential adverse social impacts of project activities have been identified and relevant mitigation measures included in project implementation/operation plans

3. **How familiar are you with environmental codes of practice?**

Please select one of the following:

a) I have never heard of them.
b) I have heard of them but am not clear on what they are.
c) I know what they are and could explain them to others.
d) I know what they are and have applied them in project development.

4. **How familiar are you with a Grievance Redress Mechanism (GRM)?**

Please select one of the following:

a) I have never heard of it or I have heard of it but don't know what it is.
b) I have some idea of what it is but don't know when and how to use it within a project.
c) I have a clear idea of what it is but have neither designed nor applied a GRM within a project.
d) I have a clear idea of what it is and understand the benefits to the project of having a functioning GRM but have neither designed nor applied a GRM within a project.
e) I can explain what a GRM is and its benefits to a project and have been involved in implementing a GRM at the project level.

5. What experience have you had in consulting and collaborating with local communities and other stakeholder groups in planning and implementing projects?

Please select one of the following:

a) I have never consulted with local communities in project planning and implementation but I have consulted with various government officials at the project planning stage.
b) I have consulted with local community representatives and various government officials at the project planning stage but not during project implementation.
c) I have held regular meetings with community representatives and other stakeholders, including government officials throughout project planning and project implementation/operation.

Annex 11: Environmental and Social Baseline of Afghanistan

Environmental and Social Baseline

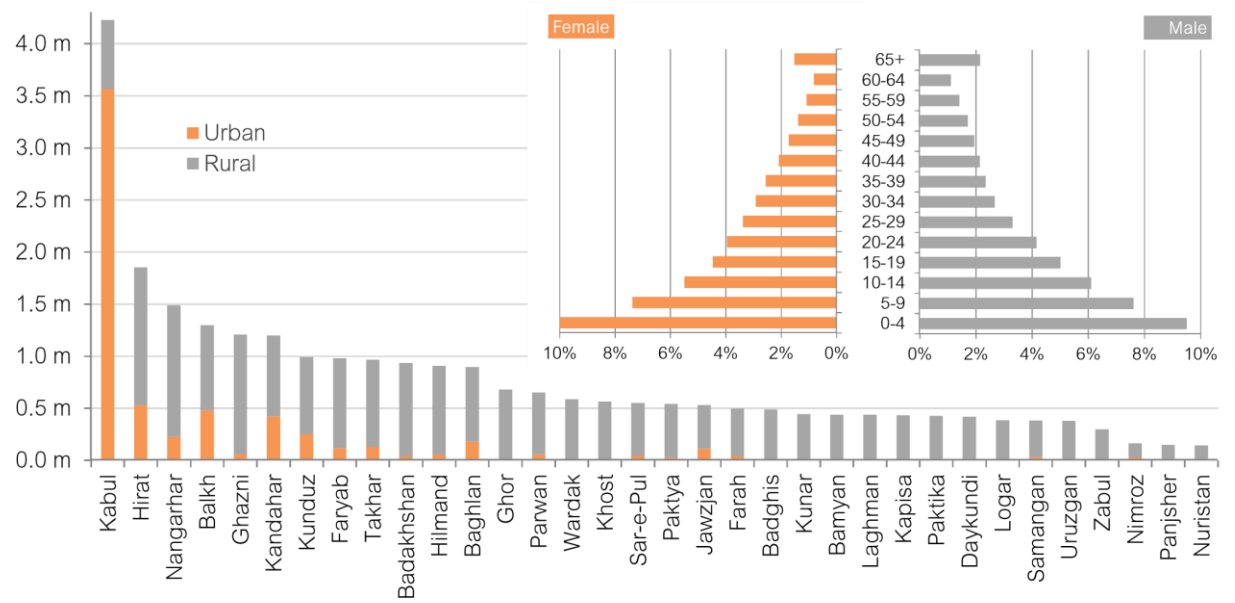
1. This section provides an overview of the social and environmental conditions of Afghanistan, which draws substantially on the recently published ALCS 2014. It also provides a more detailed socioeconomic description on selected provinces where the Project will support projects. Specific provincial-level sources are limited and most data are fragmented and aligned to specific collecting agency. As a result, it is extremely challenging to conduct even basic desktop analysis. Social and environmental assessments will be conducted as part of the preparation of each project.

Socioeconomic

2. The recent history of Afghanistan before 2001 was characterized by violent conflict, war, and lawlessness, which left the country with millions of displaced persons, a ruined economy that destroyed physical and agricultural infrastructures, devastated health and education systems, and a complete setback in gender equality. The period that followed the overthrow of the Taliban regime witnessed large-scale return of refugees and IDPs and recovery in many sectors, based on massive international funding and support. The presence of foreign troops has diminished, donor's funds reduced, and international organizations are pulling out, with the effect of increasing unemployment and poverty. Political uncertainty, rampant corruption, and deteriorating security further aggravate these problems.

Population

Population of Afghanistan Demographic Profile



Sources: NRVA 2012; CSO 2014.
Note: Total population projected for 2014–2015, including 1.5 million nomadic population.

3. Total population projected in 2014–2015 including 1.5 million nomadic populations is 28.1 million people.[9] Afghanistan has one of the highest fertility rates in the world. On average, each woman has five children.[10] Life expectancy is 62.2 years. The population is one of the youngest in the world with 46.6 percent under 14 years old.[11] Despite years of conflict and increased rural-urban migration to the largest cities (Hirat, Kabul, and Kandahar), the population is overwhelmingly rural (76 percent).

4. Afghanistan has a Gender Inequality Index (GII) value of 0.705, ranking it 169 out of 187 countries in the 2013 Human Development Index.[10] Only 5.8 percent of adult women have reached a secondary or higher level of education compared to 34 percent of adult men.[12]

5. The average household size remains around 7.4 percent, like previous NRVA surveys. Almost half of Afghan households have 9 or more members. Female-headed households account for 1 percent of the total. At 47.5 percent, the proportion of persons under age 15 is one of the highest in the world and accounts for the high dependency ratio of 100 dependent persons per 100 persons in the working age 15–65. The age structure suggests that within five years the government will have to almost double the provision of primary school education.[13] Within the same period, close to 4 million young people will come into a labor market, which is already characterized by high levels of both under employment and unemployment.

Migration

6. In recent decades Afghanistan has seen large-scale displacement both internally and to other countries and subsequent return in the decade following the ousting of the Taliban regime. These have now given way to a new emerging migration phase characterized by reduction in returns from displacement both from abroad and internally. Labor migration has become the main migration trend with Iran replacing Pakistan as the dominant destination country and the Gulf countries also becoming an increasingly important destination.[14] Migration is driving urbanization within the country with Kabul as the main magnet for immigrants and migrants. About 50 percent of immigrants and 82 percent of IDPs live in urban areas.[15]

Labor Market

7. The pressure of increasingly large cohorts of young people entering the labor market in combination with a deteriorating economic situation due to aid reduction and withdrawal of foreign employers is a likely cause for the high proportion—39 percent—of not-gainfully employed population.[16] The youth unemployment rate is as high as 30 percent. At the same time, a large underutilization of the working-age population is observed, because of the low female labor force participation rate: only 29 percent of working-age women is economically active. Among those men and women who are working, a large majority—79 percent—is working in vulnerable employment, lacking formal work arrangements and

[9] Afghanistan Humanitarian Needs Overview, 2015, cites population estimates are based on extrapolations of the last Afghanistan population Census of 1979 and 2003-2004 Household Listing data which do not represent actual population growth.
[10] Afghanistan Humanitarian Needs Overview cites United Nations Statistics Division (https://data.un.org/CountryProfile.aspx)
[11] Afghanistan Humanitarian Needs Overview cites United Nations Statistics Division (https://data.un.org/CountryProfile.aspx)
[12] Afghanistan Humanitarian Needs Overview, 2015
[13] At the time of the ALCS, 2.9 million children had primary school places. The survey indicates the government will need to provide approximately 5.5 million school places.
[14] ALCS indicates that in the two years before the survey Iran accounted for 61percent of emigrants and the Gulf countries 18 percent.
[15] ALCS.
[16] ALCS

access to benefits or social protection programs. Agriculture is by far the largest economic sector (employing 44 percent of the work force), followed by the services sector (16 percent) and construction (14 percent). Women's work is much more concentrated, with 66 percent working in agriculture and 24 percent in manufacturing.

8. The Afghan labor context is also characterized by high rates of child labor. Depending on the application of the International Labour Organization (ILO) or United Nations Children's Fund (UNICEF) definition of child labor, 26.5 or 29.5 percent of the 5–17-year-olds are engaged in child labor and thereby jeopardize their physical and mental development. These figures represent 2.7 or 3.0 million children, respectively. More boys are engaged in child labor than are girls, and the gender difference increases with age.

Agriculture

9. Farming and animal husbandry are the backbone of Afghanistan's economy. Agriculture provides a source of income for 61 percent of households, and for 28 percent it is the most important income source. Similarly, it is the main sector of employment for 44 percent of the working population. Wheat is by far the most important crop produced in Afghanistan. More than 1 million households grow wheat on irrigated land. Fodder crops, potatoes, and maize or sorghum were the next most frequently grown crops on irrigated land. Farming on rain-fed land is even more concentrated on wheat production, but the volume of wheat produced is only one-third of that produced on irrigated land. Some 13 percent of all households own a garden plot, which provides the opportunity to grow high-value and high-nutrition crops. Grapes and apples are the crops grown most often on garden plots.

10. Problems faced by cultivating households are mostly related to poor soil, lack of water, and farming costs. Shortage of water forces households to leave fallow around one-third of land available for irrigated and rain-fed farming. Fertilizer, seeds, and machinery rent represent the largest production costs in farming.

11. Livestock remains an important asset of Afghan households, either for own household consumption or for market sale of animals and animal products. Some 38 percent of the households in Afghanistan own one or more cattle, while goats and sheep are owned by 26 percent and 27 percent of the households, respectively. About 43 percent of households raise chickens. This activity is generally the responsibility of women.

12. A considerable number of land owners have moved to urban areas and are no longer physically present on their land. Mechanisms of leasing and renting land, sharecropping land, and mortgaging land have the effect of a net transfer of access to farm land from such landowners living in urban areas to rural households that cultivate the land.

Education

13. Literacy indicators continue to show improvement, even though the advancement of the youth literacy rate (for persons ages 15 to 24) from 47 percent in 2011–2012 to 52 percent in 2014 is modest, and the increase of the adult literacy rate from 31 percent to 34 percent is even smaller. The net attendance ratio for secondary and tertiary education also maintained upward trends, respectively, from 33 percent to 37 percent and from 5 percent to 9 percent since the previous survey. However, the net attendance ratio for primary education showed a decline to 55 percent, after a peak of 57 percent in 2011–2012. The school attendance information suggests that 2.3 million primary school age children and 2.0 million secondary school age children miss out on education and on the opportunity to learn basic life skills.

14. The capacity of the educational system to absorb new pupils is low, less than half of what would be required to provide every eligible child with a place at school. On the other hand, the transition rates from one grade to the next are high, resulting in a modest dropout percentage of 14 percent and an adequate 84 percent of school starters who reach the last grade of primary education. Also, the transition rate from primary to secondary education is high (96 percent). The main reasons for not attending school are economic considerations—particularly opportunity costs—and cultural barriers—especially for girls. In rural areas, security concerns also figured prominently for girls.

15. Education is an area where gender inequality is clearly visible. Without exception, education gender indicators show a very disadvantaged position of women and girls in Afghanistan. The 2014 ALCS indicates that the relatively high rates of improvement observed in the decade before 2011–2012 cannot be maintained. For youth and adult literacy, and for secondary school attendance, the parity indexes still showed some improvement, but the Gender Parity Index for primary education declined from 74 percent to 71 percent. Underlying the educational gender inequity is the very low education intake of girls. However, once in school, the progression and dropout rates of girls and boys are very similar.

Health

16. The health sector, the ALCS suggests, is the one that shows the most consistent improvement. The most impressive improvements are observed for maternal health indicators. Afghanistan has achieved its MDG target for antenatal care coverage (50 percent in 2020) far ahead of schedule. Regarding the percentage of institutional deliveries (43 percent; up from 36 percent) and skilled birth attendance (45 percent; up from 40 percent). ALCS 2013–2014 indicates a consistent improvement in recent years. The general trend in skilled birth attendance suggests that the MDG 2015 target of 50 percent is within reach.

17. Whereas improvement of the health care system is still one of the highest priorities for the Afghan people, physical access to health facilities and costs involved in obtaining health services remain major obstacles for many people to obtain the care they need. The present survey indicates that medical needs of one in every five women who were ill or injured could not be met, mostly because of poverty and geographical remoteness. Cultural responsiveness of the health system—for instance, in terms of provision of female health care providers—remains an obstacle for the effective use of health care, especially by women. However, the availability of female care providers has significantly improved in the rural areas, especially through private clinics and public health posts. Invariably, for the majority of Afghanistan's rural population, service delivery and health outcome indicators are significantly lower than for urban dwellers. Moreover, the situation is generally even far worse for the nomadic Kuchi population.

Gender Equality

18. Despite improvements in recent years, education-related indicators still show large gender gaps. The literacy level of women ages 15 and over stands at 39 percent of the level of men, although this literacy Gender Parity Index has improved for youth ages 15 to 24 (52 percent). The gender parity indexes for primary, secondary, and tertiary education attendance are, respectively, 71, 55, and 41 percent. Also, the labor market indicators show the vulnerable position of women, first and foremost, because of the low female labor force participation rate of 29 percent, compared to 81 percent for men, as well as because of the much higher unemployment rate (37 against 18 percent for men), youth unemployment rate (44 against 24 percent), higher engagement in vulnerable employment (89 against 76 percent), and lower payment, even for the same type of jobs. The MDG indicator of the share of women in wage employment in the nonagricultural sector is at a low 10 percent.

19. Various indicators signify that women have a subordinate and dependent position in the household, leaving little negotiating power in terms of household decisions, sexuality, and fertility. Female decision

making on spending money is quite restricted: only 34 percent could independently decide how to spend money they earned themselves. The degree of independence in this decision making is higher for urban women (48 percent) than for their rural and Kuchi sisters (31 percent and 6 percent, respectively).

20. These indicators include women in polygamous marriages (8 percent), those who married at a very young age (12 percent of women ages 20–24 were married before the legal marriage age of 16), and those with much older husbands (21 percent of women are married to a husband at least 10 years older; on average the age difference is 6 years). The proportions marrying before age 16 and with a large spousal age difference are decreasing though, probably indicating an improvement of the position of married women.

Housing/Access to Drinking Water

21. Housing conditions of the Afghan population are overall poor but show substantial improvements in several respects. Dwellings are typically single-family and traditionally constructed mud houses, with external walls made of mud bricks (68 percent) and roofs constructed with wood and mud (74 percent). Most dwellings (60 percent) were built after 1995, but only less than 3 percent in the last three years before the survey. Rural dwellings are generally owned (93 percent), either inherited or otherwise purchased or self-constructed. Most urban dwellings are also owned (70 percent), but renting is a main second tenure arrangement for 21 percent of households in urban areas.

22. Large progress has been made regarding access to improved drinking water sources. The ALCS estimated that 65 percent of the population has access to improved sources (up from 46 percent in NRVA 2011–2012), thereby achieving the Afghanistan National Development Strategy (ANDS)/MDG target of 61.5 percent in 2020 more than five years in advance. Access to improved sanitation, on the other hand, lags with only 39 percent, compared to the target of 66 percent in 2020.

23. Improvements are also observed in terms of a decreasing urban slum population (74 percent, down from 87 percent in 2011–2012), lower use of solid fuels (76 percent, down from 80 percent) and an increase of use of communication means: from 14 to 17 mobile cellular subscriptions per 100 population, and from 0.5 to 1.2 Internet users per 100 population. In addition, the proportion of households with access to any source of electricity has increased significantly, from 69 percent to 89 percent. The spread of solar panels is a main driving force of this increase. Whereas NRVA 2007–2008 recorded 2 percent of households with solar panels, NRVA 2011–2012 recorded 22 percent and ALCS indicate that almost half of all households (48 percent) use solar power.

Conflict

24. In 2014, the contest for power between the state and non-state armed actors increased and complex social, political, and economic tensions and rivalries came to the fore. In the year of the transfer of political and military power, legitimacy of the authorities remained disputed. The conflict, partly fueled by the effort to control economic resources in an era of declining international aid expenditure, continued unabated. Sharp increases in conflict occurred in Kunar and Nangarhar, in the northwest corridor from Hirat up to Faryab, and in Hilmand (Sangin and Musa Qala districts), Ghor, Logar, and Nuristan provinces.[17]

Key Environmental Challenges

25. The legacy of over 30 years' conflict in Afghanistan has damaged not only the country's society and institutions but also its environment. The main impacts include the depletion and overuse of important resources—forests, water, and biodiversity—which exacerbate the already stressful socioeconomic

[17] Afghanistan Humanitarian Needs Overview 2015.

conditions and the impact of natural hazards; reduced access to natural resources; and pollution. UNEP's analysis of data for the ANDS (2008) revealed five core environmental issues that continue to require attention.

Water Resources

26. Water is one of Afghanistan's most important resources. However, its unequal distribution could lead to increasingly severe water security in some regions, threating livelihoods and compounding adverse humanitarian conditions. More than 80 percent of the country's water resources originate in the Hindu Kush mountains and provide a source of water. The Amu Darya River Basin, a focus of the project, covers approximately 15 percent of the surface area of Afghanistan and holds more than 55 percent of the country's water resources. However, climate change with the resulting melting of glaciers, severe droughts, and poor management of water resources, including depleted aquifers through over exploitation of tube wells for agricultural purposes, are threating water security. Water resources are also being polluted by both industrial and domestic users.[18]

Range Lands, Forests, and Biodiversity

27. Range lands represent approximately 45 percent of the country's territory. In many parts of the country, they are in poor condition due to overgrazing and increasing competition between farmers for rangeland. In the mountains, overgrazing is a key factor in soil erosion and forest degradation preventing their regeneration and increasing vulnerability. Other factors contributing to the rapid decline of forests include non-sustainable practices such as tree felling for energy and construction (including increasing urbanization needs), poor forest management, lack of community involvement and awareness, and agricultural and urban encroachment on forest land.[19]

Land Use, Agriculture, and Soils

28. Afghanistan has been severely affected by land degradation for decades. This in turn is a significant contributing factor to increased ecological migration and further stress on the ecosystem. Environmental degradation and high population growth and returning refugees are together constraining the amount of available productive land and increasing competition for land in both rural areas (for agriculture) and urban areas (for construction). The amount of agricultural land under cultivation or pasture has dropped significantly over the last couple of decades as a result of either abandonment (lack of water availability or damaged irrigation systems) or degradation (due to soil erosion, salinization, or reduced soil fertility). Soil fertility is being degraded by poor agricultural practices; traditional grazing patterns have been disrupted due to conflict, land claims, and drought; and irrigation systems have been affected by silting and flooding. This in turn has resulted in mass migration from the country side to urban areas. Sustaining livelihoods in Afghanistan in future will depend to a significant extent on appropriate environmentally sound management of land resources.[20]

Urban Environment

29. The annual growth of urban population in Afghanistan is among the highest in the word. This has increased pressure in several areas including (a) high levels of air and noise pollution due to construction activities and (b) pollution of ground water resources due to disposal of industrial and domestic effluent. Drinking water supplies are often contaminated due to wells being located close to solid and liquid waste

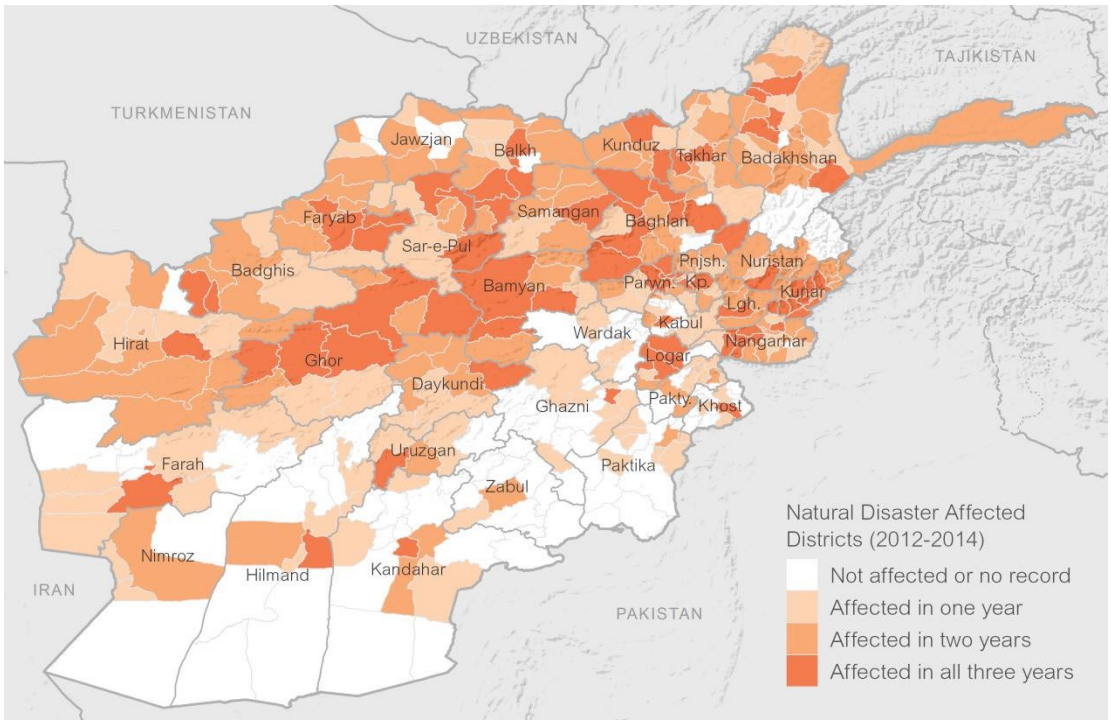
[18] Afghanistan Environment, 2008 UNEP.
[19] Afghanistan Environment, 2008 UNEP.
[20] Afghanistan Environment 2008, UNEP.

disposal points. The dumping of toxic and hazardous waste on open land is also a significant environmental problem.

Natural Disasters and Climate Change

30. Afghanistan is a disaster-prone country subject to earthquakes, flooding, drought, landslides, and avalanches. Over three decades of conflict, environmental degradation, and insufficient investment in disaster risk reduction strategies have contributed to increasing vulnerability of the Afghan people to natural disasters. High levels of poverty, lack of livelihood and income generating opportunities, chronic health problems, and poor state of the infrastructure add to the burden of natural disasters. Afghanistan ranks 176 on the ND-GAIN, which ranks 177 countries according to vulnerability and ability to cope with climate change.[21] Drought and mismanagement of ground water have caused the water table to drop across most parts of the country, including Kabul. Ecosystems, soil water content, and rangelands are thought to be most at risk from climate change.

Figure A11.1: Areas Affected by Natural Disaster (2012–2014)



Source: Afghanistan Humanitarian Needs Overview, 2015.
N*ote*: 1) Natural disaster events include avalanches, extreme winter conditions, flooding, heavy rainfall, landslides and mudflows, and extreme weather (sandstorms, hail, wind) as recorded by OCHA and IOM. 2) A natural disaster incident is an event (type, date, and district) that has affected Afghans, who may or may not require humanitarian assistance. 3) IOM data are the primary reference. OCHA data include figures from the ANDMA, Red Crescent Society, national NGOs, international NGOs, and ERM.

31. Since 2011, the country has experienced a series of large-scale natural disasters. These include the June 2012 earthquakes that killed 75 people and destroyed over 700 houses in northeast Afghanistan's Baghlan province and the floods of April 2014 that destroyed some 8,000 homes in northern Afghanistan.

[21] Afghanistan Humanitarian Needs Overview, 2015.

Annex 12: Example of Environmental Contract Clauses

1. Proper environmental management of construction projects can be achieved only with adequate site selection and project design. As such, the EA for projects involving any new construction, or any rehabilitation or reconstruction for existing projects, should provide information as to screening criteria for site selection and design including the following.

Site Selection

2. Sites should be chosen based on community needs for additional projects, with specific lots chosen based on geographic and topographic characteristics. The site selection process involves site visits and studies to analyze (a) the site's urban, suburban, or rural characteristics; (b) national, state, or municipal regulations affecting the proposed lot; (c) accessibility and distance from inhabited areas; (d) land ownership, including verification of absence of squatters and/or other potential legal problems with land acquisition; (e) determination of site vulnerability to natural hazards, (that is, intensity and frequency of floods, earthquakes, landslides, hurricanes, volcanic eruptions); (f) suitability of soils and subsoils for construction; (g) site contamination by lead or other pollutants; (h) flora and fauna characteristics; (i) presence or absence of natural habitats (as defined by OP 4.04) and/or ecologically important habitats on site or in vicinity (for example, forests, wetlands, coral reefs, rare or endangered species); and (j) historic and community characteristics.

Project Design

3. Project design criteria include, but are not limited to, the consideration of aspects such as heating, ventilation, natural and artificial light energy efficiency, floor space (square feet) per bed/ward, requirements for X-ray rooms, adequacy of corridors for wheel chair/bed access, adequate water supply and sanitation systems, historical and cultural considerations, security, and handicapped access.

Construction Activities and Environmental Rules for Contractors

4. The following information is intended solely as broad guidance to be used in conjunction with local and national regulations. Based on this information, environmental rules for contractors should be developed for each project, considering the project size, site characteristics, and location (rural versus urban). After choosing an appropriate site and design, construction activities can proceed. As these construction activities could cause significant impacts on and nuisances to surrounding areas, careful planning of construction activities is critical. Therefore, the following rules (including specific prohibitions and construction management measures) should be incorporated into all relevant bidding documents, contracts, and work orders.

Prohibitions

5. The following activities are prohibited on or near the project site:

- Cutting of trees for any reason outside the approved construction area
- Hunting, fishing, wildlife capture, or plant collection
- Use of unapproved toxic materials, including lead-based paints, asbestos, and so on
- Disturbance to anything with architectural or historical value

- Building of fires
- Use of firearms (except authorized security guards)
- Use of alcohol by workers

Construction Management Measures

Waste Management and Erosion

6. Solid, sanitation, and, hazardous wastes must be properly controlled, through the implementation of the following measures:

Waste Management

- Minimize the production of waste that must be treated or eliminated.
- Identify and classify the type of waste generated. If hazardous wastes (including health care wastes) are generated, proper procedures must be taken regarding their storage, collection, transportation, and disposal.
- Identify and demarcate disposal areas clearly indicating the specific materials that can be deposited in each.
- Control placement of all construction waste (including earth cuts) to approved disposal sites (>300 m from rivers, streams, lakes, or wetlands). Dispose of in authorized areas all of garbage, metals, used oils, and excess material generated during construction, incorporating recycling systems and the separation of materials.

Maintenance

- Identify and demarcate equipment maintenance areas (>15 m from rivers, streams, lakes or wetlands).
- Ensure that all equipment maintenance activities, including oil changes, are conducted within demarcated maintenance areas; never dispose of spent oils on the ground, in water courses, in drainage canals, or in sewer systems.
- Identify, demarcate, and enforce the use of within-site access routes to limit impact to site vegetation.
- Install and maintain an adequate drainage system to prevent erosion on the site during and after construction.

Erosion Control

- Erect erosion control barriers around perimeter of cuts, disposal pits, and roadways.
- Spray water on dirt roads, cuts, fill material, and stockpiled soil to reduce wind-induced erosion, as needed.

- Maintain vehicle speeds at or below 10 mph within work area always.

Stockpiles and Borrow Pits

- Identify and demarcate locations for stockpiles and borrow pits, ensuring that they are 15 m away from critical areas such as steep slopes, erosion-prone soils, and areas that drain directly into sensitive waterbodies.

- Limit extraction of material to approved and demarcated borrow pits.

Site Cleanup

- Establish and enforce daily site cleanup procedures, including maintenance of adequate disposal facilities for construction debris.

Safety during Construction

7. The contractor's responsibilities include the protection of every person and nearby property from construction accidents. The contractor shall be responsible for complying with all national and local safety requirements and any other measures necessary to avoid accidents, including the following:

- Carefully and clearly mark pedestrian-safe access routes.

- If school children are in the vicinity, include traffic safety personnel to direct traffic during school hours.

- Maintain supply of supplies for traffic signs (including paint, easel, sign material, and so on), road marking, and guard rails to maintain pedestrian safety during construction.

- Conduct safety training for construction workers before beginning work.

- Provide personal protective equipment and clothing (goggles, gloves, respirators, dust masks, hard hats, steel-toed and steel-shanked boots, and so on) for construction workers and enforce their use.

- Post Material Safety Data Sheets for each chemical present on the worksite.

- Require that all workers read, or are read, all Material Safety Data Sheets. Clearly explain the risks to them and their partners, especially when pregnant or planning to start a family. Encourage workers to share the information with their physicians, when relevant.

- Ensure that the removal of asbestos-containing materials or other toxic substances be performed and disposed of by specially trained workers.

- During heavy rains or emergencies of any kind, suspend all work.

- Brace electrical and mechanical equipment to withstand seismic events during the construction.

Nuisance and Dust Control

8. To control nuisance and dust, the contractor should

- Maintain all construction-related traffic at or below 15 mph on streets within 200 m of the site;
- Maintain all on-site vehicle speeds at or below 10 mph;
- To the extent possible, maintain noise levels associated with all machinery and equipment at or below 90 db;
- In sensitive areas (including residential neighborhoods, hospitals, rest homes, and so on) implement more strict measures to prevent undesirable noise levels;
- Minimize production of dust and particulate materials always, to avoid impacts on surrounding families and businesses, especially to vulnerable people (children, elders);
- Remove vegetation in a phased manner to prevent large areas from becoming exposed to wind;
- Place dust screens around construction areas, paying attention to areas close to housing, commercial areas, and recreational areas;
- Spray water as needed on dirt roads, cut areas and soil stockpiles, or fill material; and
- Apply proper measures to minimize disruptions from vibration or noise coming from construction activities.

Community Relations

9. To enhance adequate community relations, the contractor should

- Follow the country and EA requirements, inform the population about construction and work schedules, interruption of services, traffic detour routes, and provisional bus routes, as appropriate.
- Limit construction activities at night. When necessary ensure that night work is carefully scheduled and the community is properly informed so they can take necessary measures.
- At least five days in advance of any service interruption (including water, electricity, telephone, bus routes), advise the community through postings at the project site, at bus stops, and in affected homes/businesses.

Chance Find Procedures for Culturally Significant Artifacts

10. Contractors are responsible for familiarizing themselves with the following 'Chance Finds Procedures', in case culturally valuable materials are uncovered during excavation:

- Stop work immediately following the discovery of any materials with possible archeological, historical, paleontological, or other cultural value, announce findings to

the project manager, and notify relevant authorities.

- Protect artifacts as well as possible using plastic covers, and implement measures to stabilize the area, if necessary, to properly protect artifacts.

- Prevent and penalize any unauthorized access to the artifacts.

- Restart construction works only upon the authorization of the relevant authorities.

Environmental Supervision during Construction

11. The bidding documents should indicate how compliance with environmental rules and design specifications would be supervised, along with the penalties for noncompliance by contractors or workers. Construction supervision requires oversight of compliance with the manual and environmental specifications by the contractor or his or her designated environmental supervisor. Contractors are also required to comply with national and municipal regulations governing the environment, public health, and safety.

Annex 13: Good Management Practices Guide and Pesticides Management Measures for the Reduction of Pesticides-Related Risks

Safe Use of Pesticides

1. Pesticides are toxic for pests and for humans. However, if sufficient precautions are taken, they should not constitute a threat either for the human population or for non-targeted animal species. Most of them can have harmful effects if swallowed or in case of prolonged contact with the skin. When a pesticide is sprayed in the form of fine particles, there is a risk of absorbing them with the air we breathe. There is also a risk of water, food, and soil contamination. Specific precautions should therefore be taken during the transportation, storage, and handling of pesticides. The spraying equipment should be regularly cleaned and well maintained to avoid leakages. The individuals using pesticides should learn how to use them safely.

Pesticides Registration

2. Reinforce the registration process of insecticides by ensuring

- Streamlining, between the national pesticides registration system and other products used in public health;
- Adoption of World Health Organization (WHO) specifications applicable to pesticides for national registration process purposes;
- Reinforcement of the pilot regulatory body;
- Collection and publication of data relating to imported and manufactured products; and
- Periodical review of registration.

3. It is also recommended, when planning to buy pesticides to control vectors, to consult the guiding principles issued by WHO. For the acquisition of insecticides intended for public health use, the following guidelines are recommended:

- Develop national guidelines applicable to the purchase of products intended for vector control and ensure that all the agencies buying them strictly comply with those guidelines.
- Use synthetic pyrethroids such as Deltamethrin SC, Permethrin EC, Vectron, Icon, and Cyfluthrin, as recommended by the national policy.
- Refer to the guiding principles issued by WHO or the Food and Agriculture Organization of the United Nations (FAO) on calls for tenders, to FAO recommendations regarding labelling and to WHO recommendations regarding products (for indoor spraying).
- Include in calls for tenders the details regarding technical support, maintenance, training, and products recycling that will be part of the after-sale service committing manufacturers; apply the back-to-sender principle.
- Control the quality and quantity of each lot of insecticides and impregnated supports before receiving the orders.

- Ensure that the products are clearly labelled in English and in local language (Dari/Pashto) and in the strict respect of national requirements.

- Specify which type of package will guarantee efficiency and preservation duration, as well as the human and environmental security of handling packaged products while strictly complying with national requirements.

- Ensure that donated pesticides intended for public health comply with the requirements of the registration process in Afghanistan and can be used before their expiry date.

- Establish a consultation, before receiving a donation, between the ministries, agencies concerned, and the donors for a sound use of the product.

- Request users to wear protective gears (clothes and equipment) recommended to reduce their exposure to insecticides to the strict minimum.

- Obtain from the manufacturer a physic-chemical analysis report and the product acceptability certification.

- Request the manufacturer to submit an analysis report of the product and of its formulation along with guidelines to follow in case of intoxication.

- Request the buying agency to perform a physic-chemical analysis of the product before shipment arrival.

Precautions

Labeling

4. Pesticides should be packaged and labelled according to WHO standards. The label should be written in English and in Dari/Pashto language; it should indicate the content, the safety instruction (warning), and any action to be taken in case of accidental ingestion or contamination. The product should always remain in its original container. Take all appropriate precautionary measures and wear protective gears/clothes in accordance with recommendations.

Storage and Transportation

5. Pesticides should be stored in a place that can be locked up and is not accessible to unauthorized individuals or children. The pesticides, should, in no event, be stored in a place where they could be mistaken for food/medicine or beverage. They should be kept dry and out of the sun. They should not be transported in a vehicle that also carries food products.

6. To ensure safety during storage and transportation, the public or private agency in charge of managing purchased insecticides and insecticide-impregnated supports should comply with the current regulations as well as the conservation conditions recommended by the manufacturer regarding

- Preservation of the original label;

- Prevention of accidental pouring or overflowing;

- Use of appropriate containers;

- Appropriate marking of stored products;
- Specifications regarding the local population;
- Products separation;
- Protection against humidity and contamination by other products;
- Restricted access to storage facilities; and
- Locked storage facilities to guarantee product integrity and safety.

7. Pesticides warehouses should be located far from human residences or animal shelters, water supplies, wells, and channels. They should be located on an elevated surface and secured with fences with restricted access for authorized individuals only.

8. Pesticides should not be stored in places where they could be exposed to sunlight, to water, or to humidity, which could harm their stability. Warehouses should be secured and well ventilated.

9. Pesticides should not be transported in the same vehicle with agricultural products, food products, clothes, toys, or cosmetics as these products could become dangerous in case of contamination.

10. Pesticides containers should be loaded in vehicles to avoid damages during transportation, so that their labels will not tear off and they would slip off and fall on a road with an uneven surface. Vehicles transporting pesticides should bear a warning sign placed conspicuously and indicating the nature of the cargo.

Distribution

11. Distribution should be based on the following guidelines:

- Packaging (original or new packaging) should ensure safety during the distribution and avoid the unauthorized sale or distribution of products intended for vector control.
- The distributor should be informed and made aware of the dangerous nature of the cargo.
- The distributor should complete delivery within the agreed deadlines.
- The distribution system of insecticides and impregnated supports should enable the reduction of risks associated with the numerous handlings and transportations.
- If the purchasing department is not able to ensure the transportation of the products and materials, it should be stipulated in the call for tenders that the supplier is expected to transport the insecticides and impregnated supports up to the warehouse.
- For all pesticides and spraying equipment, the distributors should have an exploitation permit in accordance with the current regulation in force in Afghanistan.

Disposal of Pesticide Stocks

12. After the operations, the remaining stocks of pesticides can be disposed of without risk by dumping them in a hole dug specifically or in a pit latrine. A pesticide should not be disposed of by throwing it in a place where there is a risk of contaminating drinking water or for bathing or where it can reach a pond or a river. Some insecticides, such as pyrethroids, are very toxic for fish. Dig a hole to at least 100 m from any stream, well, or habitat. If in hilly areas, the whole must be dug below. Pour all waters used for hand washing after the treatment away from streams and rivers. Bury all containers, boxes, bottles, and so on that have contained pesticides. Reseal the hole as quickly as possible. Packaging or cardboard, paper or plastic containers—the latter cleaned—can be burnt, if allowed, far away from homes and drinking water sources, avoiding the reuse of containers after cleaning.

13. Pyrethroid suspensions can be discharged on a dry soil where they are quickly absorbing and then will go through a decomposition process making them harmless for the environment.

14. If there is an amount of insecticide solution left, it can be used to destroy ants and cockroaches. Simply pour a little bit of solution on infested areas (under the kitchen sink, in corners) or to rub a sponge soaked with water on it. To temporarily prevent insect proliferation, a certain amount of solution can be poured inside and around latrines or on other breeding places. Pyrethroid suspensions for mosquito nets treatment and other fabrics can be used days after their preparation. It can also be used to treat mats and rope mattresses to prevent mosquito to bite from the bottom. Mattresses can also be treated against bugs.

Cleaning of Empty Pesticide Packaging and Containers

15. Reusing empty pesticide containers is risky and it is not recommended to do so. However, it is estimated that some pesticide containers are very useful to be simply thrown away after use. Can we therefore clean and reuse such containers? This depends both on the material and the content. In principle, the label should indicate the possibilities for reusing containers and how to clean them.

16. Containers having contained pesticides classified as hazardous or extremely dangerous should not be reused. Under certain conditions, containers of pesticides classified as dangerous or that do not present any risk under normal use can be reused unless they are not used as food or drink containers or as food containers for animal food. Containers made of materials such as polyethylene that preferentially absorb pesticides must not be reused if they have contained pesticides whose active ingredient has been classified as moderately or extremely dangerous regardless of the formulation. Once a recipient is empty, it should be rinsed, then filled completely with water and allowed to stand for 24 hours. Then it should be emptied and this process should be done over again.

General Hygiene

17. Do not eat, drink, or smoke when handling insecticides. Food should be placed in tightly closed containers. Measurement, dilution, and transfer of insecticides should be done with the adequate material. Do not shake or take liquid with unprotected hands. If the nozzle is blocked, press the pump valve or unblock the opening with a flexible rod. After each fill, wash hands and face with water and soap. Eat and drink only after washing hands and face. Take a shower or a bath at the end of the day.

Individual Protection

- Adapted coveralls covering hands and legs
- Dust, gas, and respirator masks, based on the type of treatment and product used

- Gloves
- Goggles
- Hoods (facial shield)

Protection of the Population

- Minimize the exposure of local populations and livestock
- Cover wells and other reservoirs
- Sensitize populations on risks

Protective Clothing

Treatments Inside Homes

18. Operators should wear coveralls or a long-sleeve shirt over a pair of pants, a flapped hat, a turban or any other type of headgear, as well as boots or big shoes. Sandals are not suitable. Nose and mouth should be protected using a simple method, for example, a disposable paper mask, a disposable surgical or washable mask, or a clean cotton cloth. Once the fabric is wet, it should be changed. Clothing must be in cotton for easy washing and drying. It must cover the body and contain no opening. In hot and humid climates, it can be uncomfortable to wear additional protective clothing; therefore, one will be forced to spray pesticides during hours when it is not very hot.

Preparation of Suspensions

19. People responsible for bagging insecticides and preparing suspensions, particularly for the treatment of mosquito bed net units, must take special precautions. In addition to the abovementioned protective clothing, they must wear gloves, an apron, and eye protection, for example, a facial shield or glasses. Facial shields protect the entire face and keep less warm. Nose and mouth should be covered as indicated for treatment in homes. They should ensure that they do not touch any part of their body with gloves during pesticide handling.

Treatment of Nets

20. To treat mosquito nets, clothes, grills, or tsetse traps with insecticides, it is necessary to wear long rubber gloves. In some cases, additional protection is required, for example, against vapors, dusts, or insecticide dusting that could be dangerous. These additional protective accessories should be mentioned on the product label and may consist of aprons, boots, facial masks, coveralls, and hats.

Maintenance

21. Protective clothing should always be impeccably maintained and should be checked periodically to verify tearing, wearing that could lead to skin contamination. Protective clothing and equipment should be washed daily with water and soap. Attention should be paid to gloves and they must be replaced once they are torn or show signs of wear. After usage, they should be rinsed in water before removing them. At the end of each working day, they will need to be washed inside and outside.

Safety Measures

During Spraying

22. Spurt from the sprayer must not be directed toward any part of the body. A leaking sprayer must be repaired and skin must be washed if it is accidentally contaminated. The household pets must stay outside during the whole spraying activity. Avoid treating a room where there is a person, for example, a sick person, who cannot be taken outside. Before starting spraying activities, kitchen utensils and all utensils as well as dishes containing drinks and food should be taken out. They can be gathered in the center of the room and covered with plastic film. Hammocks and paintings should not be treated. The bottom part of furniture and the side against the wall should be treated while ensuring that surfaces are effectively treated. Sweep or wash the floor after spraying. Occupants should avoid contact with walls. Clothing and equipment should be washed every day. Avoid spraying organophosphate or carbamate for more than 5–6 hours daily and wash hands after each filling. If Fenitrothion is used or old stocks of Malathion are used, operators should control the level of cholinesterase in their blood every week.

Monitoring Exposure to Organophosphate

23. There are country kits available on the market to control cholinesterase activity in the blood. If this activity is low, it can be concluded that there is excessive exposure to organophosphate insecticide. These dosages should be done every week with people handling such products. Any person whose cholinesterase activity is very low should be stopped from working until it returns to normal.

Fabric Spraying

24. When handling insecticide concentrates or preparing suspensions, gloves should be worn. Attention should be paid particularly to spraying in the eyes. A big bowl not too high should be used and the room should be well ventilated to avoid inhaling smokes.

Table A13.1: Measures to Minimize Transportation, Storage, Handling, and Usage Risks

Step	Determining Factor	Risks			Mitigating Measures
		Public Health	Environment	Personnel	
Transport	Lack of training		Accidental discharge, water-table pollution through leaching	Product inhalation: vapor, dust, risk of skin contact	• Training—in-depth sensitization of pesticide management personnel on all aspects of the pesticide chain as well as on emergency responses • Provide the personnel with protective equipment and encourage them to wear it • Provide the personnel with adequate storage
Storage	Lack of means Deficit in pesticide management training	Accidental contamination Inconvenience of populations living in the vicinity	Soil contamination	Skin contact through contact with the skin through accidental spillage caused by the narrowness of the premises	

Handling and manipulation	Deficit in training and sensitization	Contamination of water sources through washing of containers	Soil contamination through accidental spillage or intentional discharge, water-table pollution	Vapor inhalation, skin contact through splashing during preparation or product transfer	facilities, refurbish existing sites • Proceed to awareness raising among the public on pesticide use and their containers • Training for a safe disposal of empty containers • Ban transfer to high-volume containers • Reduce the quantity of pesticides used through use of efficient alternatives
Disposal of packaging	Deficit in training and sensitization	Product ingestion by reusing containers		Skin contact and respiratory tract	
Washing of containers	Deficit in training and sensitization	Skin contact, contamination of wells and nearby streams	Acute poisoning of fish and other crustacea, pollution of wells, ponds, water tables	Skin contact	

Table A13.2: Poisoning Symptoms and Appropriate Care to Victims

Poisoning Symptoms	Appropriate
Eye contamination (pain or irritation)	• Rinse well with tap water • If the condition worsens, consult a physician
Skin irritation (tingling and burning sensation)	• Wash affected part with water, never with oil • Apply a soothing cream on it • If symptoms persist, consult a physician
Tiredness, headaches, or dizziness	• Rest • Do not start over until after complete rest • If symptoms persist, consult a physician
Lungs contamination	• Stay in the shadow • Place under medical observation

Treatment Methods of Empty Containers

25. Treatment of empty containers is focused on two fundamental activities: decontamination and the actual disposal with its primary packaging.

Decontamination

26. It comprises three steps and concerns all pesticides containers:

- Ensure maximum product emptying and drainage for 30 seconds (the content is emptied into a mixing container, in glass for the final dosage (for spraying).

- Rinse the container at least three times with a volume of water not less than 10 percent of the container total volume.

- Pour-rinsed water in a sprayer, in a pit (spraying).

A decontaminated container does not, however, qualify for storage of food or animal feed or for water or domestic consumption.

Disposal

27. Unless intended for recycling, the first disposal activity consists in making them unusable for other purposes, such as packaging. Holes should be made with a sharp tool and the container should be flattened when it is metal cans and drums; glass bottles should be broken in a bag to avoid splinters; plastics are shredded and ground. Capsules and screws are removed beforehand.

28. Combustible containers are disposed of through monitored burning (paper and plastic packaging [PVC containers must not be burnt], carton) or deposited in a landfill accepting toxic waste of this nature (tear into pieces plastic jugs, glass containers, and metal cans); ashes resulting from burning in the air are buried. However, the sticker on the container can bear a notice not recommending burning. Indeed, burning, for example, of some phenoxy acetic acid-based herbicidal containers can lead to the release of fumes toxic for human and surrounding flora.

29. **Precautions.** Combustion must neither take place under conditions where wind is likely to send toxic smoke toward houses, livestock, and granary in the vicinity, nor toward those carrying the operation.

30. **Non-combustible high-volume recipients:** 50–200 liters can follow the chain as follows:

- Return to supplier
- Sale/recovery to/by a company specialized in the sale of drums and used barrels with adherent material toxicity neutralization technologies that can proceed to recovery
- Evacuation toward a monitored landfill whose owner is informed of drums content and is warned about the potential release of toxic fumes if combustion is applied
- Evacuation toward a private site, fenced, guarded, while respecting environmental standards and used specifically for pesticides

31. **Non-combustible low-volume recipients** up to 20 liters are either:

- Conveyed toward public landfill or
- Buried on a private site after removal of capsules or covers, perforation of containers, or breaking of glass containers. The pit with a depth of 1–1.5 m used for burial purposes will be filled up to 50 cm of the soil surface and then covered with soil. The site will be away from homes and water bodies (wells, ponds, rivers), should not be cultivated, and will not be in a flooding area; ground-water level should be at least at 3 m from the soil surface, and the soil must be waterproof (clay-like or light sandy). The site will be fenced and identified.

Annex 14: Minutes from National Consultations on Draft ESMF and RPF

National Consultations
On the
Environmental and Social Management Framework (ESMF) and Resettlement Policy Framework (RPF)
For the
Public-Private Partnerships and Public Investment Advisory Project (PPIAP)
Venue: Conference Hall of the Ministry of Agriculture, Irrigation, and Livestock (MAIL)
Date: 17 December 2017

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
9:00 -9:05	Welcome, Brief introduction on Public-Private Partnership	Abd. Momin Mansoor	The session inaugurated by Abd. Momin Mansoor, Director General DG-PPP (Directorate General of Public Private Partnership). At first, he welcomed the participants to this important consultation meeting about the ESMF and a RPF, and then he encouraged the participants for active participation.	
9:05 - 9:20	Brief introduction of First Public Private Partnership Project (PPPP-1)	Talha Hedayat	Mr. Hedayat briefly explained the Public Private Partnership Project which is a supportive project of World Bank Group for the Government of Afghanistan. Introduction of the Public Private Partnership Project (PPPP-1): The Project objective is to create an enabling environment for public-private partnerships (PPPs) in Afghanistan via an integrated approach to public investment management (PIM); and to support the development of an appropriate institutional structure that enable the robust preparation of bankable PPP projects. This Project has three components: Component 1, Capacity building and institutional strengthening to support infrastructure planning, preparation, and implementation of priority infrastructure projects, has 3 sub components: (a) Enhancing and integrating the PIM-PPP framework, (b) Operationalizing the Infrastructure Development Council PPP Sub-Committee and Secretariat and (c) Strengthening PPP capacity and	

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
			awareness; Component 2, Establishment and seed capitalization of an Infrastructure Preparation Fund to ensure efficient and sustainable preparation of infrastructure projects, has 2 subcomponents (a) Design and Establishment of the IPPF Investment Preparation for PPP projects (b) Seed capitalization of the IPPF; Component 3, Project Management, has 2 subcomponents (a) Project Preparation Grant (b) Project Implementation. With assistance of the World Bank, some DG-PPP staff participated in PPP trainings in Korea and India, and different capacity building workshops have been conducted for different governmental and nongovernmental organizations.	
	Discussion and questions about PPIAP	Talha Hedayat	The following question was raised by the participants regarding PPIAP	
			• Which entity will do the feasibility study of the PPP projects?	According to the PPP Legal framework the ministries or other public entities (through consulting firms) will conduct the feasibility study, beside this the DG-PPP will also provide technical assistance for conducting the feasibility study
9:20 - 9:45	Presentation of ESMF for the PPIAP Projects	Eng Mohammad Zamir Taqwa	The ESMF and RPF presentation delivered by expert from NEPA Eng. M. Zamir Taqwa giving more details on the ESMF, RPF, and Citizen engagement- GRM, consultation.	
10:00 - 10:10	More explanation about projects' environmental impacts and importance of safeguarding	Eng Arif Rasuli	Emphasized the government budget execution, Why ESMF? It is a framework approach in every project and each entity has to play their critical role, therefore the ESMF should be considered in all PPPs projects, we are now here to discuss, challenges, solution, and	

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
			the safeguard must be in PPPs projects' life cycle as well.	
10:10 - 10:20	More explanation about projects' social impacts and importance of safeguarding	Mr. Yasin Noori	A Resettlement Policy Framework (RPF), based on the Afghan legal framework and compliant with the requirements of OP.4.12, has been developed and will be applied to all projects to be included for pre-feasibility and feasibility studies. The overall social risk rating of the PPIAP Project will be substantial at this stage. Preliminary social screening and scoping at pre-feasibility and SIA, site-specific SMPs and RAPs (where needed) during feasibility-stage will be prepared for each PPP project. The SIA will run concurrently with feasibility studies for PPP investment and Resettlement Action Plans (RAPs), if required, will be carried out at feasibility-design stage, after the SIA found to involve land/asset acquisition. The safeguards studies would be subject to local disclosure and consultations as per the national laws and World Bank safeguards policies. These studies will also be subject to review by the World Bank. The citizen engagement component for PPIAP will include; (i) an effective GRM that needs to be established at MoF level to cover all projects, including this project, (ii) establishment of hotline with an independent call center for MoF; (iii) citizen/beneficiaries feedback system; and (iv) meaningful consultation.	

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
10:20 - 11:10	Questions and discussion on ESMF	Eng Zamir Taqwa , DG- Abd Momin Mansoor, Eng Rasuli, and Mr Yasin Noori	After the presentation the following questions were raised by the participants: Mr. Mohammad Reza from Ministry of Urban Development Affairs (MUDA): • Which entity will have the responsibility to monitor to ensure that ESMF compliance has been implemented?	Governmental organizations (ministries and authorities) have the responsibility to monitor and evaluate all environmental and social report and take action accordingly.
			Mr. Mohmmad Izahr from Ministry of Urban Development Affairs (MUDA): • Does the DG-PPP have a supervision and evaluation committee to supervise the implementation of ESMF?	Based on Article 23, PPP law, the relevant entity and the Ministry of Finance have the responsibility to supervise and evaluate all matters related to the PPIAP Projects. Also, the private party is obligated to report on the progress of all related matters to the Ministry of Finance. Moreover, the implementation, supervision, and evaluation of environmental and social issues will be part of PPP project contract.
			Mr. Shamshad from CARD-F • Will the private sector have the commitment to consider the environmental and social issue? • Will the private sector have the environmental and social experts for the PPIAP Project?	The implementation and consideration of all environmental and social requirements will be part of the contract with the private party. In addition to the related Ministry and the Ministry of Finance, a third-party monitoring agent will produce regular report on PPIAP Projects and will assess safeguards compliances using the ESMP and RAPs/CHMPs (if needed). The private sector companies will require to engage competent social and environmental consultants (individuals and/or firms) to

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
				help/advice on safeguards management.
			• How and who will do the environmental and social (studies that need to be conducted for) pre-feasibility and feasibility studies for the PPIAP Projects?	In the past, there were no standards or mechanism for conducting environmental and social studies for those projects financed by national budget; each organization had their own standards for doing the feasibility study. However, currently for the PPIAP Project based on national policies and regulations, as well as World Bank policies, a framework has been established and based on that all PPP projects from different sectors and ministries (through consulting firm) will conduct environmental and social studies. Also, the private sector companies will engage a consultant to conduct safeguards studies.

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
			Participants, Dr. Farid and Mr. Matin Zahid from Ministry of Public Health (MoPH) suggested the following points: (comment) • There is nothing mentioned about Social Health in the ESMF. The safety and general health of labors which work for the project should take into more consideration. Otherwise, this issue will have a serious negative impact on the projects. • MoPH has several PPP projects and the ministry currently facing challenges and problems in evaluating medical equipment and finding specialists in this area. On the other hand, there is nothing mentioned about the adverse impact of medical equipment on health and environment. We will appreciate if the World Bank provides us guidelines/materials/experts to evaluate the health and environmental impact of medical equipment. Participants, Mr. Wahidullah and Mr. Fawad Frahmand from Ministry of Information and Culture (MoIC) suggested the following points: • In most provinces and rural areas, people rely more on Imams and Mullahs in the Masques than they can also talk about environmental and social aspects. On the other hand, citizen engagements as well as environmental and social impacts are key issues for PPP projects. So, it is better that awareness about these important issues should be through Imams and Mullahs in Masques rather than a specialist. Also, it would be better if in such consultation meeting a representative from Ministry of Haj and Islamic Affairs be invited. • Mentioning Mes Ayanak Project challenges and problems (which	

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
			located on an ancient Buddhist city on the route of the Silk Road in Afghanistan.), Mr. Fawad Frahmand suggested that an archaeological and cultural survey in collaboration with MoIC should be part of the feasibility study and should be conducted in a very beginning.	
11:10 - 11:20	The importance of women participation (as stakeholder &and as beneficiary) in PPP projects	Miss Najla Sabri	Miss Najla Sabri briefly explained the importance of women participation in PPP projects, mentioning that according to Afghanistan Law, both men and women have the equal right to benefit from projects. It is very important to consider women's problems and challenges while designing the projects, and avoid the situation that affects women adversely. In the ESMF for PPP projects, the role of women and how to involve them in consultation and seeking their views on the design of projects/interventions as direct and indirect beneficiaries and stakeholders should be clearly defined and their access to the grievance redress mechanism should be ensured.	
11:20 – 12:10	Open discussion about women participation in PPP projects	DG-PPP	As an open discussion about women participation in PPP projects the following points were raised by the participants: • Most women don't have the courage to take part in infrastructure projects, and these women's businesses are small and their capacities and experiences for doing such big projects are relatively low. To encourage them to take part in PPP projects, there should be a quota system for women participation and PPPs addressing the need or businesses of women. • There should be more supportive and capacity-building programs for women, particularly businesswomen, in provinces.	

Time	Agenda Item	Presenter/Facilitator	Minutes	Agreement and Action Point
			• Afghan women businesses are more successful in Agricultural sectors. Women can participate in agribusinesses, especially, in Zeferan agribusiness. • Women are not mostly in non-traditional sectors, so PPP projects can be a good opportunity for them to participate in many types of projects (not only traditional ones like tailoring, handicraft and so on), education, educational awareness, health sector, and food production projects. • Women are more involved in small businesses, and if all PPP projects are large, women are somehow restricted. So, projects must be designed in such a way that men and women can participate. Because if women are involved in a project, the number of women, as beneficiary will rise as well. • The private sector must be committed to gender mainstreaming, or, it should be clearly determined for the private sector participating in the PPP to consider women's participation in PPP projects as staff and as target beneficiaries. Each PPP should clearly demonstrate how it has applied the gender lens considering men and women's needs, gender gap in that sector/project, what interventions it makes to address that gap, and how it measures progress towards closing the gap.	

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