Republic of Uzbekistan

Medium-Sized Cities Integrated Urban development Project

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

December, 2020

Tashkent

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LIST OF ABBREVIATIONS AND ACRONYMS

ACM	Asbestos-containing materials
ARAP	Abbreviated Resettlement Action Plan
CC	Civil Code
DCM	Decree of the Cabinet of Ministries
DDR	Due Diligence Report
DMS	Detailed Measurement Survey
DSEI	Draft Statement of the Environmental Impact
EHS	Environment, Health and Safety General Guidelines
EIA	Environmental Impact Assessment
ES	Environmental Specialist
ESA	Environmental and Social Assessment
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FS	Feasibility Study
GoU	Government of Uzbekistan
GRM	Grievance Redress Mechanism
H&S	Health and Safety
HH	Household
ICWC	Integrated Commission for Water Coordination
IFIs	International Financial Institutions
IP	Indigenous People
IPM	Integrated Pest Management
IR	Involuntary Resettlement
LAR	Land Acquisition and Resettlement
LC	Land Code
MIFT	Ministry of Investments and Foreign Trade
MoH	Ministry of Health
MSCIUDP	Medium-Sized Cities Integrated Urban Development Project
MSPD	Main Scientific-Production Department
NGO	Non-governmental organization
OHS	Occupational and Health and Safety
OP	Operational Policy
PAP	Project Affected Persons
PCB	Polychlorinated Biphenyl
PCR	Physical Cultural Resources
PCRMP	Physical Cultural Resources Management Plan
PIU	Project Implementation Unit
POM	Project Operational Manual
PPE	Personal Protective Equipment
RAP	Resettlement Action Plan
RoW	Right of Way
RPIU	Regional Project Implementation Units
RPF	Resettlement Policy Framework
RUz	Republic of Uzbekistan
SCEEP	State Committee for Ecology and Environmental Protection
SEC	State Environmental Consequences
SEE	State Environmental Expertise
SEI	Statement of the Environmental Impact

SIA	Social Impact Assessment
SS	Safeguards Specialist
TOR	Terms of Reference
USD	United State Dollar
UZB	Uzbek Sum
WB	World Bank
WBG	World Bank Group
WWTP	Waste Water Treatment Plant

Executive Summary

Project objective. The project development objective is to support the Government of Uzbekistan (GoU) to: (a) enhance livability in targeted medium-size cities by improving selected urban infrastructure, public spaces and access to services; and (b) strengthen institutional capacity of the respective local authorities.

Project components and activities. The Project is composed of the following components: *Component 1:* Improvement of Urban Services and Enhancement of Public Urban Spaces. This component will include two subcomponents: *Subcomponent 1.A: Urban Upgrading and Subcomponent 1.B: Complementary Basic Urban Infrastructure and Services Improvements* and will support a series of investments: civil works in street upgrading, recreational services like parks and other public spaces improvements, intra city transport, social, drainage, water supply, solid waste management, schools, hospitals upgrading *Component 2: Institutional Strengthening, Capacity Building and Technical Assistance Support to the National Medium-Size Cities Program.* This will include two subcomponents: *Subcomponent 2.A: Institutional strengthening and capacity building.* Will consist of activities targeting project cities and local government agencies, tailored to their specific needs. *Subcomponent 2.B: Support to the National Medium-Size Cities Program.* Will support the design at country level of the NMSCP for all participating cities and agencies, and preparation of its roll-out phase. *Component 3: Implementation Support.* This component will support project implementation, including maintenance of the Project monitoring and evaluation system, as well as training and financing of Incremental Operating Costs.

Project location. The project will be implemented in three medium size towns of Uzbekistan – Chartaq (Namangan province), Qagan (Bukhara province), and Yangiyul (Tashkent province). In accordance with the agreement on additional financing from the Asian Infrastructure Investment Bank (AIIB), the project also includes the cities of Kashkadarya (Karshi, Guzor, Shakhrisabz, Kitab, etc.) and Surkhardarya (Sherabad, Termez, Zharkurgan, Kumkurgan, Shurchi, Denau, Saraasiya, Angor, Boysun, Darband, etc.) regions. The list of cities will be determined during the assessment of the potential and the development of a Feasibility Study of the two regions within the framework of the additional financing project.

Project environmental category. In accordance with the Bank's safeguard policies and procedures, including OP/BP/GP 4.01 *Environmental Assessment*, the project is placed into the Bank's *Categories B or C*. As at this stage the project activities are not yet identified the Bank requires, that client will screen all of them, ensuring that the beneficiaries carry out appropriate Environmental and Social Assessment for each proposing activity. For this purpose, the client has to prepare an Environment and Social Management Framework (ESMF).

Project potential environmental and social impacts. Conducted Project's Environmental Assessment (EA) concluded that the Project will generate mostly positive socio-economic benefits due to the improvement of urban infrastructure services environmental conditions on the participating cities. At the same time, the proposed project activities (civil works) might generate a series of various adverse environmental and social impacts. All of them are expected to be typical for small scale construction/rehabilitation works, temporary by nature and site specific, and can be easily mitigated by applying best construction practices and relevant mitigation measures.

Anticipated adverse environmental impacts during the project implementation were assessed with consideration of wide range of activities which could be implemented during the whole project: street lighting installing and upgrading, improvements of public places and intra city transport, roads and bridges rehabilitation, construction and rehabilitation of water supply and

sewage networks, improvement of solid waste management, social infrastructure upgrading and cultural heritage rehabilitation and conservation. For each type of anticipated impacts set of generic measures are developed.
It is expected that ***social impact*** will be due to project interventions involving the rehabilitation activities with some requiring the expansion. Land acquisition and resettlement will be carried out within the framework of national legislation and in accordance with the WB operational policy OR 4.12. It is expected that involuntary resettlement works will need to be carried out in subprojects requiring the construction of new facilities, including water supply and sewerage networks and stations. If involuntary resettlement cannot be avoided after engineering designs development, resettlement action plans/abbreviated resettlement action plans are prepared based on Resettlement Plan Framework (RPF) for each subproject. Social screening is carried out to identify for possible social impacts and involuntary resettlement (IR). This ESMF provide a template to screen possible social impacts and IR before the appraisal of each subprojects in Medium-Sized Cities Integrated Urban Development Program (MSCIUDP).

Triggered WB Operational Policies (OP). The OP 4.01 on *Environmental Assessment* is triggered as the Component 1 and 2 of the project will include civil works in street upgrading, recreational services like parks and other public spaces improvements, intra city transport, social, drainage, water supply, solid waste management, schools, hospitals upgrading which might generate a series of various environmental and social impacts. *Physical Cultural Resources (OP/BP 4.11)* - is also trigged since the project might finance subprojects with potential impacts of such resources, - in particular rehabilitation of building included in the list of national or local cultural resources. *Involuntary Resettlement (OP/BP4.12)* **-** The policy is triggered due to the potential need for small scale land acquisition (temporary or permanent), restriction of access and economic resettlement in relation to activities under Component 1 and 2 to upgrade and invest in urban infrastructure. *Projects on International Waterways (OP/BP7.50)* is triggered because the proposed activities will use water from 'international waterways', and will discharge waste waters in two main river basins in Central Asia - the Amu Darya and the Syr Darya or their tributaries. However, the activities to be financed would be limited to rehabilitation, modifications and minor additions or alterations to existing schemes in ways which would not increase the amount of water abstracted or lead to appreciable impact on the water sources or local hydrological regime.

Results of comparison of WB and National environmental and social regulatory bases showed that the main differences are related to categorization (3 categories in WB and 4 categories in Uzbek), requirements for development of separate ESMP (there is no such requirement in Uzbek EA process), conduction of Public Consultation and Information disclosure. WB OP 4.11 also requires development a separate Physical and Cultural Heritage Management Plan for the projects which will be implemented near to such structure. A comparison has also been made between the resettlement policy of Uzbekistan and that of the World Bank, and harmonization attempted.

Environmental and Social Management Framework (ESMF). As the technical evaluation (e.g., feasibility studies, detailed designs) and specific intervention locations under the project are not identified and/or ready and their specific impacts are not known by project appraisal, a framework approach is adopted. Accordingly, following a generic environmental and social assessments, an Environmental and Social Management Framework (ESMF) has been prepared. Additionally, towards addressing issues related to 'land', a stand-alone Resettlement Policy Framework (RPF) has been developed too. These documents describe the overall environmental and social safeguard procedures to be undertaking during whole cycle of the project implementation: rules and procedures for environmental and social screening of

investments/subprojects; guidance for conducting subprojects Environmental and Social Impact Assessments (ESIA) and/or preparing simple Environmental and Social Management Plans (ESMPs) as well as the related ESMP Checklists (as applicable); requirements for monitoring of implementing of ESIA/ESMPs requirements and reporting, and capacity building activities of Implementation Agency (Ministry of Investments and Foreign Trade), regional offices, contractors and local agencies involved in the Environmental Social Assessment (ESA) conduction. These frameworks will be applied for each sub-projects and the following action plans will be prepared (as deemed appropriate): ESMP, Resettlement Action Plan (RAP), Citizen Engagement Plan (CEP), Gender Action Plan (GAP), and Cultural Heritage Plan (CHP).

For ESMF development, project sites were visited and number of meetings with the main stakeholders were conducted. Planning activities were discussed with project's team experts. Draft versions of ESMF and RPF were presented during public consultations in Tashkent and project cities. Comments received during public consultations are reflected in ESMF.

Resettlement Policy Framework (RPF) has been prepared to provide a framework to appropriately identify, address and mitigate adverse socioeconomic impacts that may occur due to the implementation of subprojects that involve the involuntary acquisition of land and the subsequent resettlement of affected families. RPF also serves the following specific purposes:

- Review the existing legal framework, compare with Bank OP 4.12 for gaps, if any, and indicate gap filling measures;
- Describe the approach to taking of private land, assets and other common property resources;
- Valuation process of impacted assets;
- the process of preparation of SIA and RAPs and their review by PIU;
- Defining of the cutoff date for Title and Non-Title holders;
- Consultation mechanisms/approaches to be adopted including disclosure of safeguards instruments; and
- Monitoring and Evaluation arrangements including Grievance Redressal Mechanisms role/responsibilities of different stakeholders.

RPF sets out principles for safeguards management, procedures to screen and survey social impacts and prepare Resettlement Action Plan to mitigate the same, lays down, cut off dates, entitlements with eligibility criteria for providing compensation and resettlement benefits, livelihood restoration, implementation arrangements necessary to implement the action plans to mitigate impacts in the course of implementing subprojects of MSCIUDP.

EA supervision and reporting. The status of the compliance with the ESMPs' requirements shall be provided by the contractors to the Project Implementation Unit (PIU), and then to the Bank by the PIU in form of their semi-annual report. Environmental and social monitoring during sub-projects implementation should provide information about key environmental and social aspects of the sub-projects, particularly its environmental impacts, social consequences of impacts and the effectiveness of taken mitigation measures. Such information enables the PIU/RPIUs to evaluate the success of mitigation measures as part of project supervision, and allows corrective action(s) to be implemented in a timely manner, when needed.

The Resettlement Action Plan implementation monitoring will involve (i) administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis and (ii) overall monitoring to assess status of project affected persons in terms of compensation and assistance and alternate land allocation with land development etc.

Monitoring will include daily planning, implementation, feedback and troubleshooting, individual affected person file maintenance, community relationships, dates for consultations, number of appeals placed and progress reports

Integration of the ESMPs into project documents. The ESMP provisions will form part of the design documents for the project, and will be included in construction contracts for selected subprojects, both into specifications and bills of quantities. Respectively the Contractors will be required to include the cost of ESMP requirements in their financial bids and required to comply with them while implementing the project activities. In case of non-observance / disregard of the requirements of the ESMP, the PIU indicates non-compliance, in case of non-compliance with the identified comments, the PIU imposes a penalty in the amount of the expense for the implementation of the ESMP. The bidding documents for selecting the contractors will include specifications that would ensure effective implementation of environmental, health and safety performance criteria by the winning bidder

ESMF implementing arrangements. The main project implementing agency is the Ministry of Investments and Foreign Trade (MIFT). Furthermore, an Inter-Ministerial Steering Committee has been set-up with key line ministries and government agencies, including the Ministry of Finance, Ministry of Economic Development and Poverty Reduction of the , Ministry of Construction, State Committee for Tourism Development, and regional and local government representatives in proposed project areas with the aim of coordinating project implementation. A Central Project Implementation Unit (PIU), under the MIFT is established at the national level to coordinate and implement the project for the three pilot cities, and subsequently expand its responsibility to implement the proposed National Urban Program for the 28 cities. The project would be implemented at the local level through Regional Project Coordination Units (RPIU) which will be working closely with the respective district and city Hokhimiyats. The RPIUs will be established for a region overseeing a cluster of cities, emphasizing the importance of integrated urban development across the city boundaries and looking at development at a regional level.

Citizen Engagement: A greater emphasis and special attention will be paid to these aspects in the ESMF. It provides principles for strengthening social accountability and inclusion through public information; citizen involvement in planning and monitoring of services. The ESMF provides guidelines on social inclusion and gender emphasizing the participation of women in the resettlement planning process and paying special assistance to economically weak, women-headed and vulnerable households for restoring their livelihoods and incomes that may be affected due to resettlement. A special social media (email, websites, Telegram apps, Facebook) strategy will be developed to facilitate information dissemination, public consultation and participation.

Grievance Redress Mechanism (GRM): The proposed Grievance redress mechanism within the ESMF helps complaint handling system to be functional, transparent and responsive, and where appropriate, strengthen government systems. The project establish a Grievance redress mechanism which would function at the three-levels to receive, evaluate and facilitate the resolution of displaced persons concerns, complaints and grievances.
In the first level PAPs can deliver grievances to local makhalla committee, working office of Contractor and district Hokimiyats of Chartak, Qagan and Yangiyul respectively. Second level includes Regional Project Implementation Units that will function in Chartak, Kagan and

Yangiyul as well as the cities of Kashkadarya (Karshi, Guzor, Shakhrisabz, Kitab, etc.) and Surkhardarya (Sherabad, Termez , Zharkurgan, Kumkurgan, Shurchi, Denau, Saraasiya, Angor, Boysun, Darband and others) regions, respectively. Additionally, in the second level PAPs can submit their grievances to PIU directly as well. Third level includes Economic Court if the issue was not solved or the applicant is dissatisfied with the decision/resolution given by Levels 1, 2. In this mechanism beneficiaries and citizens can turn to register any grievances on all issues that tackle within any infrastructure subprojects of MSCIUDP. All grievances received from the PAPs will be registered in a logbook which should be available at levels 1 and 2: at the site office of Contractor, each makhalla committee of project area districts and PIU Tashkent office.The PAPs will have the right to file complaints and queries on any aspect of land acquisition compensation and resettlement. PIU will be responsible for establishment of GRM during the project affectivity and act as the GRM secretary to make sure that the GRM is operational to effectively handle environmental and social concerns of project affected persons.

ESMF Public consultations and information disclosure. Public Consultation were undertaken from the beginning of the ESMF development. For this purposes number of meetings were conducted with relevant stakeholders such as specialists from district level khokimyats, land cadastre departments, nature protection committee branches, solid waste management entities. Two rounds of public consultation (first in Tashkent city (September 6, 2018) and second in three project cities – Chartaq, Qagan and Yangiyul during October 2-3, 2018)
As part of additional funding, public hearings will be held online in 18-19 January 2021 in the cities of Kashkadarya and Surkhandarya regions.
For main stakeholder were held where the project's objectives, planning activities, anticipated environmental and social impacts and proposing mitigation measures, compensation calculation, its payment procedure and grievance redress mechanism were presented to participants. ESMF and RPF documents were published on MIFT website and further will be published on WB external website.
The authorities of Chartak city, one of the project's target cities, in early April 2019, demolished the Old Soviet Era Bazar and other structures by the side of the River. The Old Bazar was being used by vendors occupying and using the facility for business purposes and their livelihoods were reportedly affected. On notification of this incident, the World Bank and Project Implementation Unit (PIU) fielded a joint mission (April 29th - May 3rd, 2019) to (i) evaluate whether the demolition of the old bazaar and adjacent areas in Chartak city was undertaken in connection with or in anticipation of the implementation of certain investments in Chartak city under the Bank-financed MSCIUDP; (ii) assess the impact caused by the demolition of the old bazaar and adjacent areas; and (iii) get information on the vendors and other affected persons by said demolition. Based on facts and information collected during the mission, it was concluded that the affected people should be provided with assistance and compensation for their losses in accordance with the agreed RPF. A Resettlement Audit was carried out by an independent consultant. The report is completed and found to be of good quality and highly useful.
Measures for protective measures carried out within the framework of the project (as of January 2021).

- ✓ 27.11.2019 meeting with the stakeholders of the Chartak project
- ✓ In three pilot cities (Chartak, Yangiyul and Kagan), Complaints Commissions were established, which include representatives of the khokimiyats of three cities, the RIU, an ecologist and a sociologist of the PIU;
- ✓ Information sheets for citizens on the mechanism of citizens' appeals were prepared.

- ✓ An audit was conducted of the actions of local authorities to pay compensation for the demolition of the old bazaar in the city of Chartak, Namangan region (November 2019 - March 2020).
- ✓ 03.06.2020 an online training was held on social protection issues for employees of regional PIUs in three pilot cities (Chartak, Yangiyul and Kagan).
- ✓ 05.11.2020 consultations were held within the framework of capacity building for the staff of the regional PIU (sociologist and ecologist) in Chartak on the framework policies of the project.
- ✓ 06.11.2020, public hearings were held in Chartak on the component of the reconstruction of the building of the former kindergarten No. 17 and the administrative building.
- ✓ On 11.11.2020, consultations were held within the framework of capacity building for employees of the regional PIU (sociologist and ecologist) in the city of Kagan on the framework policies of the project.
- ✓ On November 18, 2020, consultations were held within the framework of capacity building for the staff of the regional PIU (sociologist and ecologist) in Yangiyul on the framework policies of the project.
- ✓ A sociological study of the people involved in the project at the old bazaar of the city of Chartak, Namangan region was carried out. (October-November 2020)

A letter was sent to the khokimiat of the city of Chartak about the beginning of the procedure for calculating and paying compensations to persons affected by the project on the old bazaar of the city of Chartak. (December 2020).

1 PROJECT BACKGROUND AND SCOPE OF THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

The Government of Republic of Uzbekistan (GoU), acknowledging the need for a comprehensive approach to medium size cities in the country, has requested the World Bank to support the development of a National Medium-Size Cities Program that would address the key challenges in a holistic manner, based on the experience from other Bank projects, that have direct bearing on the sustained growth of the local economy in these cities; that offer the potential to improve the quality of life, urban management and service delivery; and that have the potential to trigger other wider-spread social and economic benefits, which coincides with the GoU's strategy for development (2017-2021).

In 2019 GoU has requested the WB in order to scale up the project and ensure the timely response to the challenges of rapid urbanization. The initial findings of the ongoing analytical activity of the World bank, clearly show, that while the pace of urbanization is most probably underestimated, the chaotic and unplanned urban growth is likely damaging productivity of cities and wellbeing of urban residents. The GoU and the World Bank are in agreement that rapid reforms at the national level and interventions at the local level are critically important that urbanization becomes a driver of growth and development in Uzbekistan, rather than a source of problems. Preliminary results also point at the unbalanced nature of the urban system of Uzbekistan, and growing gap between large medium-size cities. The GoU acknowledged the Bank-funded MSCIUDP as best positioned to support a swift scale-up and replication of development in medium-size cities across the country, ensuring that they are best prepared to attract and accommodate population growth, while applying a consistent approach and focusing on sustained institutional strengthening during the urbanization reform process. Moreover, the AF provides the unique opportunity to galvanize and mobilize other donors' financing in support of the transformation of medium-size cities into more livable places. In fact, AIIB agreed to co-finance the AF with the equivalent amount of US$100 million.

The GoU aims to strengthen the role of local authorities with technical, financial and managerial tools, to increase the level of decentralization to local governments. This includes the possibilities of local administration to retain locally generated revenues, enabling a more effective implementation of the National Medium-Size Cities Program[1]**.** The National Medium-Size Cities Program (NMSCP) will support GoU's overarching development goal of achieving an "integrated and balanced social-economic development of regions, districts and cities"[2] of Uzbekistan. It is conceptualized as a long-term national program that targets medium-size cities and supports innovative approaches tailored to the country context to promote integrated urban and territorial development and transform targeted cities in a holistic way, through the efficient management of urban systems.

The investments would be designed to address the specific needs of each project city, combining as necessary: (i) integrated urban services improvement, to address the basic infrastructure and service gap, thereby enhancing the functional aspects of the city; (ii) urban regeneration of selected areas of the city to improve livability and (iii) support to local economic development for job creation. Investments would be complemented by assistance to enhance efficiency of urban planning and capacity building of local and central government agencies.

[1] Presidential Decree from 7th June 2017, on possibilities of local administrations keep locally generated revenues, Cabinet of Ministers Decree from 29th June 2017, on collection of reserves of collecting local taxes.
[2] Presidential Decree dated February 7, 2017, on Action strategy on five priority development directions of the Republic of Uzbekistan in 2017-2021

1.1 Project development objective and potential beneficiaries

The project development objective is to support the GoU to: (a) enhance livability in targeted medium-size cities by improving selected urban infrastructure, public spaces and access to services; and (b) strengthen institutional capacity of the respective local authorities.

The project will be implemented in three medium size towns of Uzbekistan – Chartaq (Namangan province), Qagan (Bukhara province), and Yangiyul (Tashkent province) with population between 50,000 and 100,000 (not considering surrounding non-urban expansion area).

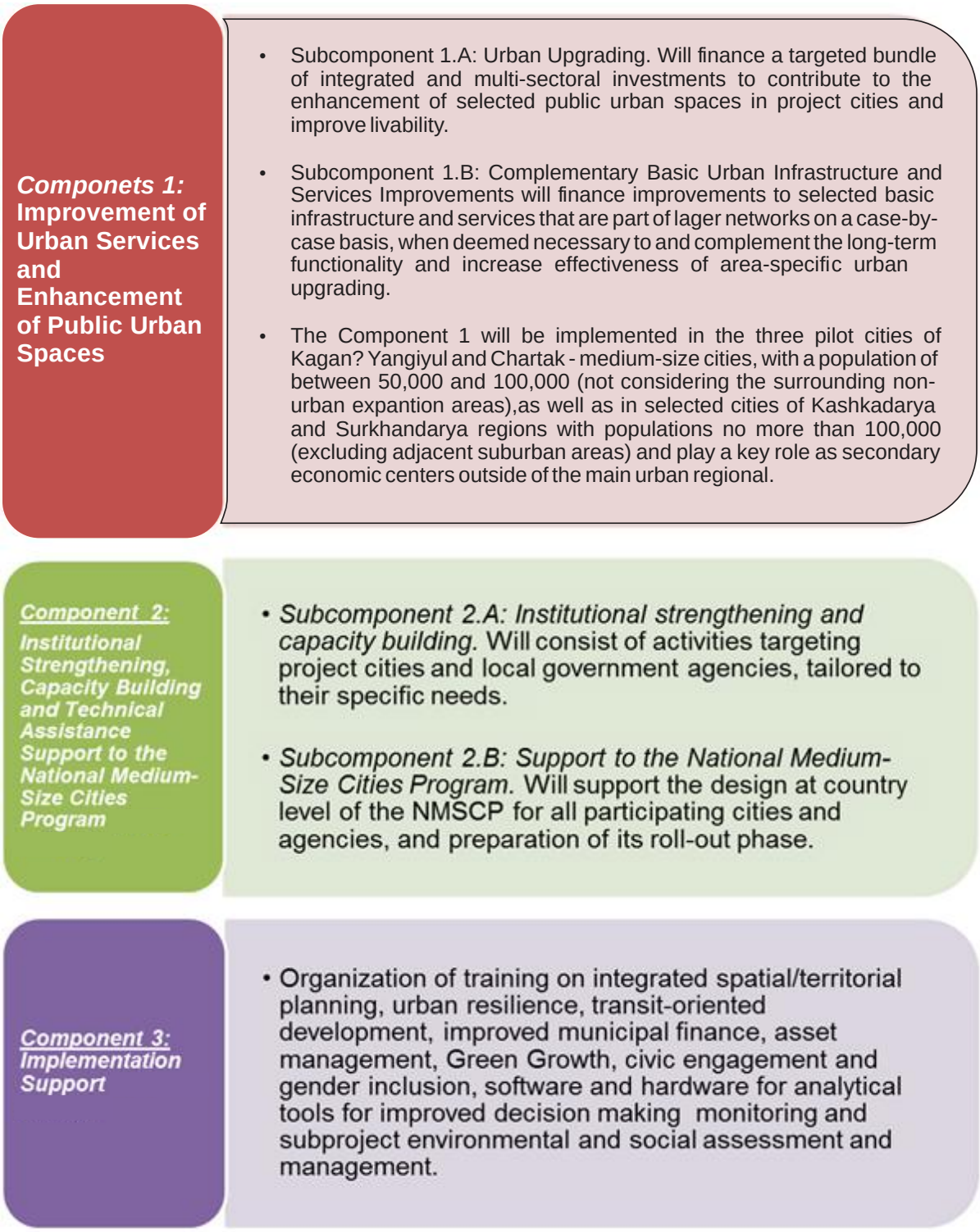
The objective of this Additional Financing (AF) is to support the MSCIUDP scale-up to address the GoU's request to the Bank in light of the current rapid urbanization process witnessed by Uzbekistan. The GoU acknowledged the Bank-funded MSCIUDP as best positioned to support a swift scale-up and replication of development in medium-size cities across the country, ensuring consistency in approach and sustained institutional strengthening during the urbanization reform process, while maintaining efficiency.

The primary beneficiaries of this project are the citizens living in the participating pilot cities Chartak, Kagan and Yangiyul, as well as cities of Kashkadarya (Karshi, Guzor, Shakhrisabz, Kitab, etc.) and Surkhardarya (Sherabad, Termez, Zharkurgan, Kumkurgan, Shurchi, Denau, Saraasiya, Angor, Boysun, Darband, etc.) regions and their adjacent periphery (both male and female inhabitants), who will directly benefit from improved urban infrastructure, services and overall living conditions, estimated to be 150,000. Indirect beneficiaries will be the aggregated number of visitors to the cities (for work, markets, administrative, tourism and other purposes), estimated to be 200,000. The Project area is presented in the map below.

Figure 1: Project area

1.2 Project components and proposed investments

The project will have three components which are presented on the below Figure 2



1.3 Scope and objectives of Environmental and Social Management Framework

As the technical evaluation (e.g., feasibility studies, detailed designs) and specific intervention locations under the project will not be completely identified and/or ready and their specific

impacts will not be known by project appraisal, ESMF, and Resettlement Policy Framework (RPF) describes the overall environmental and social safeguard procedures to be undertaken during the project implementation. Therefore, the purpose of the ESMF is to that studies carried out under the MSCIUDP address and identify measures to avoid and minimize environmental and social impacts, as much as possible, and where they cannot be avoided, the impacts are adequately identified/assessed and necessary mitigation measures designed and implemented following relevant Uzbek environmental and social safeguards legislation and the World Bank's safeguards policies. ESMF serves how to manage the potential adverse impacts in line with the Bank operational policies OP 4.01 on Environmental Assessment, OP 4.12 on Involuntary Resettlement and the relevant national laws, to set out the process of how environmental and social impacts are to be assessed, addressed and managed for further project activities. Initial project activities for the first year have been identified and are supported by specific safeguards instruments, Environmental and Social Management Plan (ESMP). Further, the ESMF includes the set of mitigation, monitoring measures, and institutional responsibilities to be taken during the project implementation.

In addition, the ESMF covers general mitigation measures for possible impacts of different proposed activities to be supported by the project; implementation arrangements for project environmental and social aspects, relevant capacity building activities, consultation process etc.

This ESMF is the document focused on the overall project implementation. During the implementation of the further project activities, potential safeguard issues will be screened to determine the scope and types of safeguards instruments that would be required. Specific ESMPs for investments identified during project implementation will be prepared in due time before works may commence. The RPF information, part of this ESMF, serves to assess and mitigate potential social impacts associated with land acquisition and economic or physical displacement of population required for the project.

This ESMF identifies the responsibilities of project stakeholders, procedures for environmental and social safeguards screening, review and approval, monitoring and reporting requirements, as well as plans to enhance institutional capacity through capacity building activities. It also offers sample terms of reference for carrying out environmental impact assessments (EIAs) and Guidelines for carrying out resettlement action plans (RAP/ARAPs). The ESMF serves as an environmental and social safeguards instrument to provide the framework to both the relevant government agencies and private investors for preparing and implementing further infrastructure subprojects.

Finally, this ESMF will be an integrated part of the Project Operation Manual (PoM) and is applicable to all linked investments financed in the project areas regardless of their funding source or implementing agency.

2 REGULATORY AND INSTITUTIONAL FRAMEWORK FOR ENVIRONMENTAL AND SOCIAL ASSESSMENT

2.1 Uzbekistan National Environmental Legislation and Procedures

Legal Framework in the field of Nature Protection and Management established in RUz, provides to the citizens the rights and duties specified in the country's Constitution. Specific articles that address environment protection issues within the Constitution are:

Article 50. All citizens shall protect the environment

Article 51. All citizens shall be obliged to pay taxes and local fees established by law

Article 54. Any property shall not inflict harm to the environment

Article 55. Land, subsoil, flora, fauna, and other natural resources are protected by the state and considered as resources of national wealth subject to sustainable use.

Uzbekistan has enacted several supporting laws and statutes for environmental management and is party to several international and regional environmental agreements and conventions. The key national environmental law is the Law on Nature Protection (1992). A brief description of this law and the other supporting laws related to environmental protection is presented below.

The law ***"On nature protection"*** (1992, amended on 15.11.2019) states legal, economic, and organizational bases for the conservation of the environment and the rational use of natural resources. Its purpose is to ensure balanced relations between man and nature, to protect the environmental system and to guarantee the rights of the population of a clean environment. Article 25 of this law states that State Environmental Expertise (SEE) is a mandatory measure for environmental protection, preceded to decision-making process. In addition, article 25 says that the implementation of the project without a positive conclusion of SEE is prohibited.

Law ***"On Atmospheric Air Protection"*** (1996, amended on 28.09.2020). It describes regulations on atmosphere protection and its objectives. It specifies standards, quality and deleterious effect norms, requirements on fuels and lubricants, production and operation of vehicles and other transport means and equipment, ozone layer protection requirements, obligations of enterprises, institutions and organizations toward atmospheric protection, and compensations for damages from atmospheric pollutions.

Law ***"On water and water use" (***1993). It regulates the water relations, rational use of water by the population and economy. The law regulates the protection of waters from pollution and depletion, and prevention and liquidation of harmful effects of water, improvement of water bodies and the protection of the rights of enterprises and institutions, organizations and dehkan farms and individuals in the field of water relations.

Land Code of the Republic of Uzbekistan (1998). It aims to regulate land relations in order to ensure that present and future generations have science-based, sustainable use and conservation of land, breeding and improvement of soil fertility, conservation and improvement of the environment and creating conditions for equitable development of all forms of management, the protection of individuals and legal entities' right for land, as well as strengthening the rule of law in this area.

Law "On Wastes" (2002, amended on 15.11.2019). It addresses waste management, exclusive of emissions and air and water pollution, and confers authority to the SNPC concerning

inspections, coordination, ecological expertise and establishing certain parameters with regard to the locations where waste may be processed. Enterprises are responsible for their waste, but, if they recycle, they may be provided with assistance from the state budget, the National Fund for Nature Protection or voluntary payments. The principal objective of this law is to prevent negative effects of solid wastes on people's lives and health, as well as on the environment, reduce wastes generations, and encourage rational use of waste reduction techniques in household activities.

Law "On Protected Natural Reserves" (2004, amended on 30.09.2020) - The purpose of this Law is to regulate relations in term of organization, protection and use of protected natural territories. The main tasks of this Law are the preservation of typical, unique, valuable natural objects and complexes, the genetic fund of plants and animals, the prevention of the negative impact of human activities on nature, the study of natural processes, the monitoring of the environment, the improvement of environmental education.

Law "On environmental control" (2013, amended on 13.11.2019) - The purpose of this Law is to regulate relations in the field of environmental control. The main objectives of environmental control are: (i) prevention, detection and suppression of violation of the requirements of legislation in the field of environmental protection and rational use of natural resources;(ii) monitoring the state of the environment, identifying situations that can lead to environmental pollution, irrational use of natural resources, create a threat to life and health of citizens; (iii) determination of compliance with the environmental requirements of the planned or ongoing economic and other activities; (iv) ensuring compliance with the rights and legitimate interests of legal entities and individuals, performing their duties in the field of environmental protection and rational use of natural resources.

Law "On Protection and Usage Objects of Archeological Heritage" (2009, amended on 19.04.2019) – regulates relations in the field of protection and usage of objective of archeological heritages, defines ownership rights of such objectives, responsible entities and provides a procedure of archeological investigation of the objectives of archeological heritage.

The Nature Protection Normative Documents. Most important nature protection normative documents issued by government include:

- Decree of the Cabinet of Ministers "On approval of the regulation on the procedure for the development and approval of draft environmental standards" (No 14, 21.01.2014);
- Decree of the Cabinet of Ministers "On approval of the environmental monitoring program in the Republic of Uzbekistan for 2016 - 2020" (No 273, 23.08.2016);
- Decree of the Cabinet of Ministers "On the approval of some administrative regulations for the provision of public services in the field of environmental management" (No 255, 31.03.2018);
- Decree of the Cabinet of Ministers "On improving the monitoring system of the natural environment in the Republic of Uzbekistan"(No 737, 05.09.2019);
- Decree of the Cabinet of Ministers of the Republic of Uzbekistan on Approval of the collection and disposal of used mercury-containing lamps. (No. 266, 21.09.2011);

- State Standard - Water quality. O'z DST 951:2011 – Sources of centralized household water supply. Hygienic, technical requirements and classification code;
- State Standard - Drinking water. O'z DST 950:2011 – Drinking water. Hygienic requirements and quality control;
- State standard O'z DSt 1057:2004 "Vehicles. Safety requirements for technical conditions" and O'z DSt 1058:2004 "Vehicles. Technical inspection. Method of control";
- SanR&N RUz No.0255-08 "Main criteria for the hygienic assessment of the degree of pollution of water bodies in terms of danger to public health in Uzbekistan";
- SanR&N RUz No. 0179-04 Hygienic norms. List of Maximum Allowable Concentrations (MACs) of pollutants in ambient air of communities in the Republic of Uzbekistan including Annex 1;
- SanR&N RUz No. 0233-07 Sanitary norms and regulations for occupational health and environmental protection in the production and use of asbestos-containing products;
- SanR&N RUz No. 300-11 Sanitary rules and regulations for the collection, inventory, classification, disposal, storage and disposal of industrial waste in Uzbekistan;
- SanR&N RUz No. 0267-09 Admissible noise level into the living area, both inside and outside the buildings;
- SanR&N RUz No, 0120-01 Sanitarian Norms of allowed level of noise at the construction sites;
- SanR&N RUz No. 0202-06. The procedure for issuing permits for special water use, development and approval of projects of maximum permissible discharges (MPD) of substances entering with wastewater into water bodies and on the terrain;
- KMK (Construction norms and rules) 2.04.02-97 "Water Supply. External network and facilities";
- Decree of the Cabinet of Ministers of the Republic of Uzbekistan on Approval of the collection and disposal of used mercury-containing lamps. No. 266 of 21.09.2011;
- SanR&N RUz No. 0233-07 On occupational health and environment protection during production and usage of asbestos contained materials;
- SanPiN RUz No. 0372-20 (new edition) Temporary sanitary rules and norms for organizing the activities of state bodies and other organizations, as well as business entities during the application of restrictive measures during the COVID-19 pandemic.

The Republic of Uzbekistan is party to a series of **international environmental treaties and Regional Agreements** which also contain a series of requirements to be considered while conducting the subprojects ESA. The country is party to the three Rio Conventions: Convention on Climate Change, Convention on Biological Diversity, and Convention to Combat Desertification. Additionally, the country has signed and ratified the following treaties: Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their

Disposal (22.12.1995); Convention on Protection of the World Cultural and Natural Heritage (22.12.1995); Convention on International Trade in Endangered Species of Wild Fauna and Flora (01.07.1997); Bonn Convention on Conservation of Migrating Species of Wild Animals (01.05.1998).

National EIA rules and procedures. The national EIA procedure is regulated by Law on Environmental Expertise and The Regulation on State Environmental Expertise (SEE) approved by Cabinet of Ministry Decree No.541 dated from 7 September 2020. The regulation defines the legal requirements for EIA in Uzbekistan. SEE is a review process conducted by the Center for SEE ('Centrgosecoexpertiza') under Goskomecologiya at either the national or the regional level, depending on the project category.

Goskomecologiya on state environmental expertise is a uniform system of Center for Environmental Expertise, methodological guidance of which implemented by Centrgosecoexpertise.

According to Section 21 of the Regulation on SEE, an application for the submission of EIA ('OVOS' is the national acronim) materials to the State Environmental Expertise is submitted by the customer through the personal account of the State Committee for Environmental Protection on the Internet in the Global information network of the State Environmental Committee.

The types of activities of I and II categories of environmental impact are pre-project and are subject to State Environmental Expertise, if the project documentation is confirmed in the prescribed manner at public consultations. The procedure for holding public consultations is given in Appendix 3 of this Resolution of the Cabinet of Ministers No. 541 of September 7, 2020.

Section 24 of the Regulation on SEE outlines the information that should be within the documentation at each of these stages. The three OVOS stages and their required deliverables are summarized as follows:

- Stage I: The 'Draft Statement of the Environmental Impacts (DSEI)' ('PZVOS' is the national acronym), to be conducted at the planning stage of the proposed project prior to development funds being allocated.

- Stage II: The 'Statement of the Environmental Impacts (SEI)' ('ZVOS' is the national acronym), to be completed where it was identified by the Glavgosecoexpertiza/Gosecoexpertise at Stage I that additional investigations or analyses were necessary. The Statement must be submitted to the Glavgosecoexpertiza/Gosecoexpertise before approval of the project's feasibility study, and therefore before construction.

- Stage III: The 'Statement on Environmental Consequences (SEC)' ('ZEP' is the national acronym) represents the final stage in the SEE process and is to be conducted before the project is commissioned. The report details the modifications to the project design that have been made from the Glavgosecoexpertiza/Gosecoexpertise review at the first two stages of the EIA process, the comments received through the public consultation, the environmental norms applicable to the project and environmental monitoring requirements associated with the project and principal conclusions.

SEE approval (Centrgosecoexpertiza/Gosecoexpertise opinion) is a mandatory document for project financing by Uzbek banks and other lenders (Section 18) at Stages I and II and for project commissioning at Stage III of the national EIA procedure.

All economic activities subject to SEE are classified into one of four categories:

- Category I — "high risk of environmental impact" (SEE is conducted by the national Glavgosecoexpertiza within 10 days, all EIA materials are required);
- Category II — "medium risk of environmental impact" (SEE is conducted by the national SNPC within 7 days, all EIA materials are required);
- Category III — "low risk of impact" (SEE is conducted by regional branches of (Gosecoexpertise) within 5 days, all EIA materials are required); and
- Category IV – "low impact" (SEE is conducted by regional branches of Gosecoexpertise within 3 days, only a questionnaire form is required).

EIA procedure in Uzbekistan is presented in Figure 3 below.

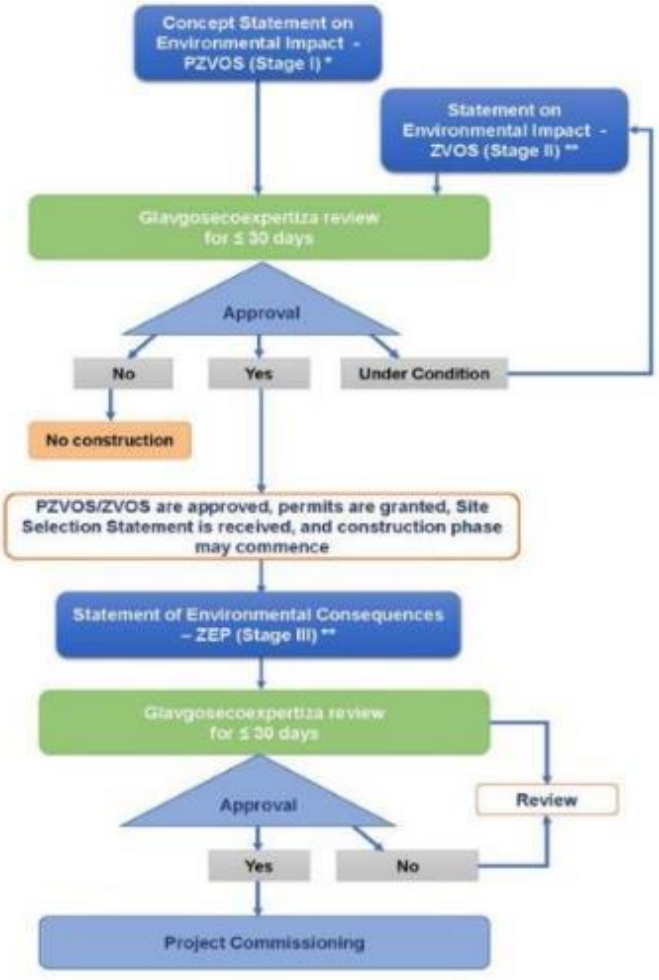


Figure 3: Uzbek EIA procedure [3]

[3] (Source: Regulation on the State Environmental Expertise in the Republic of Uzbekistan No.491 of 31.12.2001, as amended on 05.06.2009)

* - Apply for Project Categories I to IV

** - Apply for Project Categories I to III

State Organizations Responsible for Environmental Assessment and Management

The State Committee for Ecology and Environmental protection (SCEEP) (Goskomecologiya) is the body of state administration in the sphere of ecology, environmental protection, rational use and reproduction of natural resources. The committee is accountable to the Cabinet of Ministers of the Republic of Uzbekistan.

The activity of the committee is regulated by President Resolution No. 5024 'On Improving the System of State Management in the sphere of Ecology and Environmental Protection' of 21th April 2017.

The structure of Goskomecologiya takes the form of a central body in Tashkent with regional branches and agencies providing scientific and technical support. Regional environmental authorities are structured similarly to the Goskomecologiya.

Other state bodies of the Republic of Uzbekistan dealing with environment-related issues are:

- Ministry of Water Resources;
- State Committee for Geology and Mineral Resources (or Goskomecologiya);
- Centre of Hydro-meteorological Service (or Uzhydromet);
- Ministry of Health (or MoH RUz);
- State Inspectorate for Exploration Supervision, Operations Safety Supervision of Industry, Mining and Utilities Sector (or Sanoatgeokontekhnazorat);
- Ministry of Culture;
- Ministry of Emergency Situations, etc.

Ministry of Water Resources is responsible for water allocation among different users within Republic of Uzbekistan. Based on forecast and limits provided by Interstate Commission for Water Coordination (ICWC), water is allocated among users with the priority given to drinking water supply sector[4].

State Committee for Geology and Mineral Resources: (i) carries out, together with Geological Survey Services of the neighboring countries, work on identifying and studying the focal points of radioactive and toxic pollution within transboundary territories, prepare geological maps and atlases reflecting specially hazardous zones and sections; (ii) in accordance with the procedure established by legislation, exercises control over protection of geological and mineralogical facilities as well as underground water from pollution and depletion.

Uzhydromet establishes and maintains the State Hydrometeorological Fund of Data, the State Fund of data on environment pollution, state accounting of surface waters; systematic observations of air, soil, surface water, as well as formation and development of disastrous hydrometeorological phenomena.

Ministry of Health – develops and approves sanitary regulations, rules, and hygienic standards, carries out state sanitary supervision over their observance as well as methodological supervision

[4] Law of RUz "On water and water use" (1993), chapter 8, para 25

of the work of sanitary and epidemiological services, regardless of their departmental subordination.

Sanoatgeokontekhnazorat (State Inspectorate for Supervision of Subsurface Resources Geological Investigation, Safe Work in Industry, Mining, Utilities and Household Sector) – works together with the State Committee for Ecology and Environment protection of the RUz and carries out control in the field of geological investigation, use and protection of subsurface resources.

Ministry of Culture - is a body of the Government of Uzbekistan that responsible for state policy in cultural spheres, Art, Cinematography, archives and inter-nations issues.

2.2 Legislation of the Republic of Uzbekistan in the sphere of social assessment, land acquisition and resettlement

The legal and policy framework of the project is based on national laws and legislations related to land acquisition and compensation policy in Uzbekistan and WB OP 4.12 Involuntary Resettlement (2001). Based on the analysis of applicable laws and policies and WB's Policy requirement, project related LAR principles have been adopted.

The **Constitution of the Republic of Uzbekistan** dated on 8 of December 1992 provides that:

- Everyone shall have the right to own property (Article 36). The economy of Uzbekistan, evolving towards market relations, is based on various forms of ownership. The state shall guarantee freedom of economic activity, entrepreneurship and labor with due regard for the priority of consumers' rights, equality and legal protection of all forms of ownership (Article 53);
- An owner, at his discretion, shall possess, use and dispose of his property. The use of any property must not be harmful to the ecological environment nor shall it infringe on the rights and legally protected interests of citizens, juridical entities and the state (Article 54);
- The land, its minerals, waters, fauna and flora, other natural resources shall constitute the national wealth and shall be rationally used and protected by the state (Article 55).

The Civil Code (CC) dated on 29 of August 1996 defines the legal status of participants of civil relations, the grounds and procedure of implementation of property rights and other proprietary rights, rights on intellectual property, regulates the contractual and other obligations, as well as other property and related personal non-property relations. The CC defines general rules of property seizure, determination of property cost and rights for compensation, terms of rights termination.

- expenses that the person whose right is violated, made or must make to restore the violated right;
- the loss of or damage to property (real damage);
- the revenues that this person would have received under normal conditions of civil turnover if his right had not been violated (lost profits).

The Land Code (LC) dated on 30 of April 1998 is the main regulatory framework for land related matters in Uzbekistan. The LC regulates allocation, transfer and sale of land plots, defines ownership and rights on land. It describes responsibilities of different state authorities (Cabinet of Ministers, province, district, city Hokimiyat) in land management; rights and obligations of land possessor, user, tenant and owner; land category types, land acquisition and compensation,

resolution of land disputes and land protection. The LC also defines the terms of rights termination on land plot, seizure and land acquisition of land plot for state and public needs, and terms of seizure of land plot in violation of land legislation.

Urban Planning Code of the Republic of Uzbekistan dated 04.04.2002. with the latest changes from 01/06/2021.

The Urban Planning Code specifies the types of objects "settlement", "city", "settlement" and "village (aul)", discloses such concepts as "unauthorized buildings", "urbanization", "participation of citizens in the implementation of urban planning activities."

The Code also establishes norms for the implementation of regulatory and technical documents and their accounting. I.e:

- - ensuring public participation in the discussion of decisions in the field of urban planning;
- - a new norm defining the main directions of compensation for harm caused to legal entities and individuals;
- - the procedure for the development and conclusion of a state contract for work and strict performance of contract work on the basis of the contract;
- - indicated the rights and obligations of experts in the examination of urban planning documentation.

In turn, this Code reflects the requirements for building materials, products and structures. In accordance with this, financial support for urban planning activities, insurance and transparency, including insurance in construction, as well as liability for violation of urban planning legislation are determined.

The Resolution of the Cabinet of Ministers "On additional measures to improve the procedure for providing compensation for the seizure and provision of land plots and ensuring guarantees of property rights of individuals and legal entities" dated November 16, 2019 No. 911 regulates the procedure for compensation for damage to owners of real estate located on seized land plots. Provides general rules for the acquisition and compensation of land, including: preparation of documents for the acquisition of land for state and public needs; Preparation of documents for the acquisition of land for the implementation of investment projects.

The resolution **"On measures to improve the procedure for granting land plots for urban development activities and other non-agricultural purposes"** dated on **25 of May 2011 #146.** This Resolution is aimed to improve the procedure of granting land plots, protect the rights of legal entities and individuals on land and improve the architecture of settlements and the efficient use of their land for construction in accordance with the Land Code and the Town Planning Code. This resolution has approved two Regulations: (i) Regulation on the procedure for granting land for urban development and other non-agricultural purposes, (ii) Regulation on the procedure of compensation for land possessors, users, tenants and owners, as well as losses of agriculture and forestry. The Regulation on the procedure for granting land for urban development and other non-agricultural purposes contains the following provisions:

- Order of land plot location, preparation and approval of site selection and land allocation documents without approved planning documentation;
- Order of placement, selection and land allocation with approved planning documentation,
- Order for rejection in the selection and land allocation for construction;
- Provision(sale) of land plots for individual housing construction;

- Elements of urban planning documents and development regulation lines.

Labor Code and **Employment law**. These two documents are main legislations regulating labor relations of individuals employed by labor contract by enterprises, institutions, organizations of all type ownership forms, including contracted by individuals. These legislations are considering the interests of employees and employers provide the efficient function of labor market, just and secure labor conditions, protection of labor rights and employees' health, promote growth of labor productivity, increase of work quality, raising on this matter welfare and social livelihood level of the population.

Decree of the Cabinet of Ministers # 349 dated 10 May 2018 **"On additional measures on the elimination of forced labor in Uzbekistan"** prohibits and provides detail information on types of forced labor, types of governmental organizations and its staff, monitoring mechanism of local governorates (hokimiyats). According to this decree a financial resources of Public Works Fund, which was established under the Ministry of Employment and Labor Relations will be used for any public works in Uzbekistan.

The resolution **"On Approval of the order of the appointment and payment of social allowances and material (financial) assistance to low income families"** dated on of February 15, 2013 #44. This resolution determines the procedure for the appointment and payment of Makhalla allowances for families with children under the age of 14 years, allowances for child care until the age of two years and allowance for low income families. According to this resolution the following types of families are entitled for allowances:

- families who have lost both parents and children involved in family education;
- families where one or both parents are disabled children;
- widow (er), raising two or more children under the age of 14, living separately from other relatives;
- family with disabled children;
- mothers or fathers who are bringing up the children in a single-parent family. In this case the fact of child rearing mother (father) in an incomplete family established by makhalla;
- families in which one or both parents are unemployed who has been registered at centers to promote employment and social protection of the population as job-seekers;
- single retired persons.

Presidential resolution **"On measures to improve the effectiveness of training and realizing projects with participation of international financial institutions and foreign government financial organizations"** dated on 16 of July 2018 #3857 partly provides that payment of compensation for the land acquisition , demolition of houses, other structures, structures or plantings in the framework of projects with the participation of IFIs , if this is provided for by project agreements, is carried out by authorized bodies in accordance with the requirements of IFIs FGFOs. According to this resolution, PIU can use a preliminary assessment document prepared in accordance with the IFI methodology as a pre-project document that defines the main parameters of a planned project for implementation.

Presidential Decree **"On measures on major improvement of investment climate in the republic of Uzbekistan"** dated on 1 of August 2018 #5495 partly provides that the adoption of decisions on the seizure of land for state and public needs is allowed only after an open discussion with interested parties whose land plots are planned to be seized, as well as assessing the benefits and costs; demolition of residential, industrial premises, other structures and structures belonging to individuals and legal entities, with the withdrawal of land plots is allowed after full

compensation of the market value of immovable property and losses caused to owners in connection with such withdrawal.

Presidential Decree **"On measures to improve the system of protection of rights and legal interests of subjects of entrepreneurship"** dated 27 July, 2018 # 5490 provides a new mechanism for compensation of losses to individuals and legal entities in connection with the withdrawal of their land for state and public needs. According to this Decree, a centralized Fund shall be established under the Cabinet Of Ministries comprising of local budge's revenue share and other sources.

Construction standards and regulations No. KMK 2.10.03-97. The KMK Instruction regulates building codes for temporary and permanent land acquisition for the construction of main water and sewerage pipelines. This building code was issued by the State Committee for Architecture and Construction of Uzbekistan (now the Ministry of Construction), which is the supervisory authority for all types of structures in Uzbekistan. Accordingly, permanent land acquisition by KMK will only be permitted for onshore pipelines. In the case of underground pipelines, temporary land acquisition will be applied.
When implementing this project, the procedure for paying compensation to these persons in the event of the loss of property and other property objects is also regulated by the following regulatory documents:

i. The Law of the Republic of Uzbekistan "On Valuation Activity" dated 19.08.1999. No. 811-I;
ii. Decree of the President of the Republic of Uzbekistan "On further improving the activities of appraisal companies and increasing their responsibility for the quality of services provided" (No. PP-843 of 24.04.2008).

Law "On Appraisal Activities"

The law regulates relations associated with the implementation of valuation activities. Valuation of assets, including real estate, business, etc. Is carried out on the basis of the Law "On Appraisal Activities" (as of August 19, 1999, No. 811-I as amended in 2017, decrees and resolutions of the President). and government standards, departmental regulations and other provisions of national legislation.

The sequence of legal acts and their content characterize the state and public understanding of the theory and practice of market valuation. This is confirmed by several definitions and norms stated in the Law "On Valuation Activity". For example:

- "Appraisal activity is the activity of an appraisal organization aimed at determining the value of appraisal";
- "Appraisal organization" - a legal entity licensed to carry out appraisal activities. The appraisal organization is independent in its activities. Customer service (hereinafter referred to as the Customer) or other interested parties does not interfere with the organization's appraisal activities. Creation of an appraisal organization. and the implementation of appraisal activities by state bodies and administrations is prohibited, unless otherwise provided by law. "

Although valuation activities are conducted by independent organizations (private companies with certified appraisers), the state plays an important role in regulating valuation activities. The State Asset Management Agency is responsible for: i) developing and approving regulations,

including property valuation standards; ii) licensing of valuation activities; iii) certification of expert assessors, as well as organization of their training and professional development.

The Society of Appraisers of Uzbekistan protects the rights of appraisers, increases their capabilities, upon request, requests an independent expert opinion to verify the conclusions of the appraisal report, etc.

2.3 Cultural heritage regulatory framework

The project activities might include rehabilitation of cultural heritages. The Constitution of the Republic of Uzbekistan states that “"Concern for the preservation of historical monuments and other cultural values - the chore and duty of citizens of Uzbekistan" (article 49).

The Main Scientific-Production Department (MSPD) on protection of cultural heritages under Ministry of Culture is special designated entity responsible for protection of cultural heritages. Scientific-production workshops and number of private companies conduct rehabilitation works. All rehabilitation works need to be implemented in fully compliance with design developed by specialized companies (JC “Tamirshunos”, LLC “Madaniy Meros” and etc.)

The Law of RUz “On protection and use of objects of cultural heritage" (2001) states (para 20) that under “saving of cultural heritages is considered their conservation, repairing, rehabilitation, adopting for current usage and conduction related scientific-production research, design and production works”. An official permission from the Ministry of Culture of the RUz needs to be received prior starting of rehabilitation works.

In accordance with the Decree of the President of the Republic of Uzbekistan dated December 19, 2018 No. PP-4068 "On measures to radically improve activities in the field of protection of objects of material cultural heritage", the Department of Cultural Heritage was created. According to the Regulation of the Department of Cultural Heritage (Appendix No. 4 of the DCM "On approval of regulatory legal acts on the use and protection of objects of material cultural heritage on the organization of the activities of the Department of Cultural Heritage under the Ministry of Culture of the Republic of Uzbekistan" No. 265 of 03/30/2019), the main tasks of the department are :

- State control over the observance of legislation on the protection and use of material cultural heritage, including objects of archaeological heritage, museum objects and collections, as well as cultural values;
- Maintaining the state cadastre of objects of material cultural heritage, identification, documentation and state registration of objects of historical, scientific, artistic or special cultural value, definition of categories and protected areas of real estate of material cultural heritage, as well as ensuring their rational use;
- Carrying out constant scientific and technical control over the examination of the preservation of historical and cultural value and the uniqueness of historical, cultural and design and estimate documentation, carrying out work to preserve the historical and cultural value and uniqueness of objects of material cultural heritage;
- Coordination of urban planning and other economic activities in the territories included in the list of specially protected objects of historical, cultural and world cultural heritage, while preserving their historical and cultural environment, natural landscape and identity;

- Maintaining the state catalog of archaeological artifacts, monitoring compliance with the terms and conditions of archaeological research, timely registration and transfer of archaeological artifacts to the state and their transfer to scientific, cultural and educational institutions, as well as receiving, studying and submitting scientific reports on archaeological research. collection of archives, conservation and museumification of archaeological sites;

- Maintaining the state catalog of the national museum fund, transferring museum items and collections from the museum fund or transferring to another museum fund, issuing permits for the sale of cultural property, as well as cultural property included in the lists and registers of state protection, including museum items and collections ... checking the preservation and accounting of sources, except for the National Archives Fund;

- Close cooperation with scientists, craftsmen, restorers, specialists, support for the development of specific methods, traditions and schools in the field of renovation, implementation of public control;

- Broad promotion and popularization of material cultural heritage, effective implementation of public-private partnership mechanisms, innovative and advanced information and communication technologies, development of electronic services;

- Development of cooperation with international and foreign organizations, including attraction of grants, loans and sponsorship of financial institutions.

In accordance with the DCM "On approval of the regulation on licensing activities for the preservation of immovable objects of material cultural heritage" No. 1021 dated 20.12.2019. preservation of immovable property of tangible cultural heritage is a licensed type of activity and is regulated by the above Regulation. Legal entities licensed in accordance with the requirements of this Regulation may engage in activities related to the preservation of immovable property that is a subject of cultural heritage.

2.4 The World Bank Safeguards Policies and Environmental and Social Assessment Requirements

Main provisions of the Environmental and Social Assessment. Per the WB safeguards policies Environmental and Social Assessment (ESA) is a process of the pre-implementation stage which evaluates a project's potential environmental and social risks and impacts in its area of influence; examines project alternatives; identifies ways of improving project selection, sitting, planning, design, and implementation by preventing, minimizing, mitigating, or compensating for adverse environmental impacts and enhancing positive impacts; and includes the process of mitigating and managing adverse environmental impacts throughout project implementation. ESA is mandatory for projects, which may potentially have negative impacts. Furthermore, a well-organized public participation is mandatory in all the stages of the process. In the case when the projects activities to be financed are not identified at the design stage, the Bank applies an Environmental and Social Management Framework (ESMF) which should: provide details on procedures, criteria and responsibilities for subproject screening, preparing, implementing and monitoring of subproject specific ESIAs. The ESMF should also include Environmental Guidelines for proposed subprojects, containing an assessment of potential impacts and generic mitigation measures to be undertaken for identified subprojects in all stages - from identification and selection, through the design and implementation phase, to the monitoring and evaluation of results.

World Bank's Safeguard Policies and their relevance to project. There are key 10 Environmental and Social World Bank Safeguard Policies and World Bank Group Environmental, Health, and Safety General Guidelines (EHS), which are intended to ensure that potentially adverse environmental and social consequences of projects financed by Bank are identified, minimized and mitigated. World Bank's Safeguard Policies and their relevance to the project are presented in the Table 1 below:

Table 1: World Bank's Safeguard Policies and their relevance to project

SAFEGUARDS POLICIES	TRIGGERED	RELEVANCE
Environmental Assessment (OP/BP 4.01) This Policy aims to ensure that projects proposed for Bank financing are environmentally and socially sound and sustainable; to inform decision makers of the nature of environmental and social risks; to increase transparency and participation of stakeholders in the decision-making process.	Yes	This OP is triggered as the Component 1 and 2 of the project will include civil works in street upgrading, recreational services like parks and other public spaces improvements, intra city transport, social, drainage, water supply, solid waste management, schools, hospitals upgrading which might generate a series of various environmental and social impacts. These impacts would be associated with increased pollution with wastes, noise, dust, and air pollution, health hazards and labor safety issues, etc., due to civil works. All of them are expected to be typical for small scale construction/rehabilitation works, temporary by nature and site specific, and can be easily mitigated by applying best construction practices and relevant mitigation measures. To address these risks and impacts it was prepared an ESMF aimed at specifying the set of mitigation, monitoring, and institutional responsibility measures to be taken during the project implementation to eliminate adverse environmental and social impacts, offset, or reduce them to acceptable levels. The ESMF also suggests a series of EA capacity building activities which will be supported by the project. Per WB requirements the draft document has been disclosed and consulted in the participating cities.
Natural Habitats (OP/BP 4.04) This Policy aims to safeguard natural habitats and their biodiversity; avoid significant conversion or degradation of critical natural habitats, and to ensure sustainability of services and products which natural habitats provide to human society.	No	Since the project is focused on existing infrastructure in urban areas no natural habitats will be impacted.
Forestry (OP/BP 4.36) This Policy is to ensure that forests are managed in a sustainable manner; significant areas of forest are not encroached upon; the rights of communities to use their traditional forest areas in a sustainable manner are not compromised.	No	The project will be implemented in non-afforested urban areas and thus no impacts on the forests status are expected.

SAFEGUARDS POLICIES	TRIGGERED	RELEVANCE
Pest Management (OP 4.09) This policy is to ensure pest management activities follow an Integrated Pest Management (IPM) approach, to minimize environmental and health hazards due to pesticide use, and to contribute to developing national capacity to implement IPM, and to regulate and monitor the distribution and use of pesticides.	No	No pest management issues are expected since the investments will target urban infrastructure/ will not involve infrastructure related to agricultural activities
Physical Cultural Resources (OP/BP 4.11) This policy is to ensure that: Physical Cultural Resources (PCR) are identified and protected in World Bank financed projects; national laws governing the protection of physical cultural property are complied with; PCR includes archaeological and historical sites, historic urban areas, sacred sites, graveyards, burial sites, unique natural values; implemented as an element of the Environmental Assessment	Yes	The environmental screening process will screen for the presence of physical cultural resources and in the case such subprojects will be financed by the project then a special PCR management plan will be prepared. The ESMF will provide guidance in this regard. In addition, chance find procedures will be included in all works contracts.
Indigenous Peoples (OP/BP 4.10) IP – distinct, vulnerable, social and cultural group attached to geographically distinct habitats or historical territories, with separate culture than the project area, and usually different language. The Policy aims to foster full respect for human rights, economies, and cultures of IP, and to avoid adverse effects on IP during the project development.	No	There are no IPs in the country.
Involuntary Resettlement (OP/BP4.12) This policy aims to minimize displacement; treat resettlement as a development program; provide affected people with opportunities for participation; assist displaced persons in their efforts to improve their incomes and standards of living, or at least to restore them; assist displaced people regardless of legality of tenure; pay compensation for affected assets at replacement cost; the OP. Annexes include descriptions of Resettlement Plans and Resettlement Policy Frameworks	Yes	The policy is triggered due to the potential need for small scale land acquisition (temporary or permanent), restriction of access and economic resettlement in relation to activities under Component 1 and 2 to upgrade and invest in urban infrastructure. The project areas are characterized by significant levels of social and economic activity of an urban setting.
Safety of Dams(OP/BP4.37)	No	The project activities will be implemented inside the urban areas and will not be dependent on the functionality of dams.

SAFEGUARDS POLICIES	TRIGGERED	RELEVANCE
This Policy is to ensure due consideration is given to the safety of dams in projects involving construction of new dams, or that may be affected by the safety or performance of an existing dam or dams under construction; important considerations are dam height & reservoir capacity		
Projects on International Waterways (OP/BP7.50) The Policy aims to ensure that projects will neither affect the efficient utilization and protection of international waterways, nor adversely affect relations between the Bank and its Borrowers and between riparian states	Yes	OP 7.50 is triggered because the proposed activities will use water from 'international waterways', and will discharge waste waters in two main river basins in Central Asia - the Amu Darya and the Syr Darya or their tributaries. However, the activities to be financed would be limited to rehabilitation, modifications and minor additions or alterations to existing schemes in ways which would not increase the amount of water abstracted or lead to appreciable impact on the water sources or local hydrological regime. As these investments are of rehabilitation nature and have positive impacts, the project team has obtained he "Exemption to the notification of riparian states" was prepared and approved by the Bank Legal Department and ECA Region RVP on October 5, 2018.
Disputed Areas (OP/BP7.60) The Bank may support a project in a disputed area if governments concerned agree that, pending the settlement of the dispute, the project proposed for one country should go forward without prejudice to the claims of the other country	No	The project is focused on urban areas in Uzbekistan. No disputed areas involved
Disclosure Policy (BP17.50) supports decision making by the borrower and Bank by allowing the public access to information on environmental and social aspects of projects and has specific requirements for disclosure	Yes	The draft ESMF was disclosed on September 19, 2018 and consulted in the country before project appraisal on October 5, 2018 and will be also disclosed on the WB website.

World Bank Screening Categories and Environmental Assessment Procedures. Environmental Screening is a Mandatory Procedure OP/BP 4.01 on Environmental Assessment. The Bank undertakes environmental screening of each proposed project for which it will provide funding to determine the appropriate extent and type of the Environmental Assessment to be conducted. The Bank classifies a proposed project into one of four categories, depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental impacts. These four Categories are A, B, C, and FI:

- Category **A** projects are likely to have significant adverse environmental impacts that are sensitive, diverse, or unprecedented.

- Category **B** projects has potential adverse environmental impacts on human populations or environmentally important areas - including wetlands, forests, grasslands, and other natural habitats - which are less adverse than those of Category A projects.

- Category **C**. An EIA or environmental analysis is normally not required for Category C projects because the project is unlikely to have adverse impacts; normally, they have negligible or minimal direct disturbances on the physical setting.

- Category **FI**. A Category FI project involves investment of Bank funds through a financial intermediary, in subprojects that may result in adverse environmental impacts.

More detailed information about World Bank's Categorization and Screening Procedures is given in Section 4.

Figure 4 presents the different steps in the WB project cycle and shows how the various Environmental Assessment (EA) phases fit in the project preparation process. The main EA phases concern screening, scoping, EA, and environmental management plan during and after project implementation - covering mitigation, monitoring and evaluation.

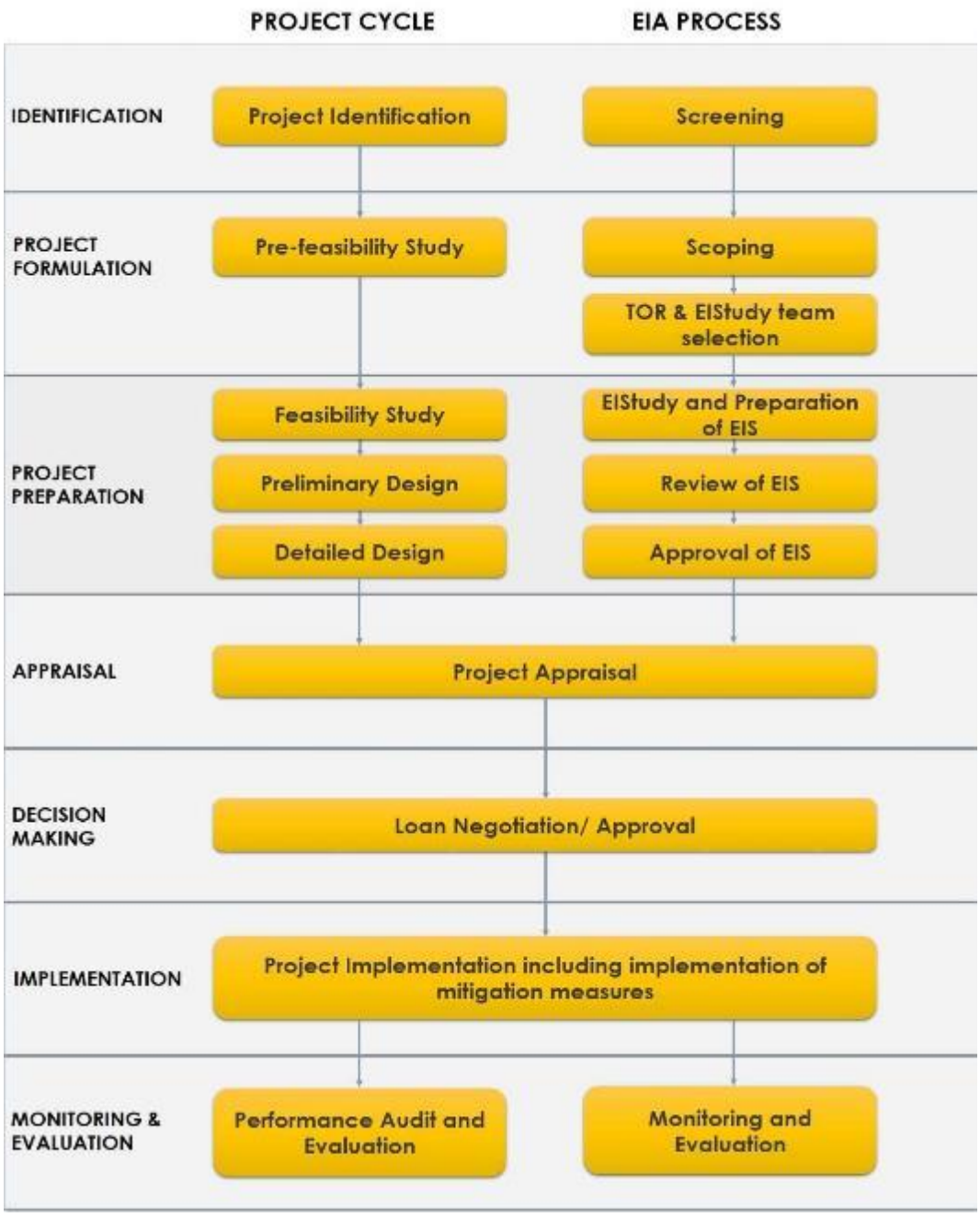


Figure 4: WB Project cycle and nature protection aspects

2.5 The Comparison of National and World Bank Environmental Assessment Requirements

While the basic provisions of the National EA rules and procedures are to some extent similar to the WB environmental requirements, there are several important differences, which are presented in Table 2.

Table 2: Comparative table between WB safeguards requirements and Uzbek national environmental legislation

<table>
<tr><th>ASPECT</th><th>WORLD BANK</th><th>NATIONAL UZBEK REGULATIONS</th><th>HARMONIZED FRAMEWORK</th></tr>
<tr><td colspan="4">ENVIRONMENTAL SAFEGUARDS REQUIREMENTS</td></tr>
<tr><td>Environmental Policy and Regulations</td><td>There are key 10 Environmental and Social World Bank Safeguard Policies and World Bank Group Environmental, Health, and Safety General Guidelines (EHS)</td><td>Environmental assessment and permitting procedure in Uzbekistan is set out in the following laws and regulations:
(i) The Law on Nature Protection (1992);
(ii) The Law on Environmental Expertise (2000), and
(iii) Decree of Cabinet Ministries (DCM) # 541 (2020) on “On the further improvement of the Environmental Impact Assessment mechanism”
Environmental legislation base consists of the more than 100 laws, bylaws and other regulative documents, such as sanitarian norms and rules, standards and etc.</td><td>In most of the cases national requirements and standards for environment quality are match with WB EHC standards. However, there are some parameters when national and WB requirements and standards are different. In such cases more strictly ones will apply for the project.</td></tr>
<tr><td>Screening and Categorization</td><td>WB carries out project screening and categorization at the earliest stage of project preparation when sufficient information is available for this purpose.
In the case where World Bank and national categorization requirements differ, the more stringent requirement will apply. This refers mostly in the case of deciding about Category C subprojects - the national EA legislation doesn’t refer to small scale activities, including construction and rehabilitation of various</td><td>In Uzbekistan the EIA system is based on the State Ecological Expertise, which is regulated by Law # 73-II On Ecological Expertise (25.05.2000) and by DCM # 541 On the further improvement of the Environmental Impact Assessment mechanism.
The category of the project is defined in accordance with Appendix 1 to DCM # 541.</td><td>WB and Uzbekistan project categorization could be harmonized by accepting the following principle:
<table>
<tr><th>WB (A,B,C)</th><th>Uzbekistan (I-IV)</th></tr>
<tr><td>Category A;</td><td>Category I</td></tr>
<tr><td></td><td></td></tr>
<tr><td>Category B</td><td>Category II</td></tr>
<tr><td>Category C</td><td>Category III</td></tr>
</table>
</td></tr>
</table>

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
	buildings. In these cases the client will apply the WB criteria. Categorization into Category A, B, C, FI The project categorization depends on location. There are several locations which should be considered while deciding to qualify the project as category "A": in or near sensitive and valuable ecosystems, archeological heritages, densely populated areas and etc.	The Regulation stipulates 4 categories for development: • Category I (High Risk), • Category II (Middle Risk), • Category III (Low Risk), • Category IV (Local Impact). The types of activities subject to state ecological expertise, not included in this list, are determined by the category of this type of activity on the basis of materials submitted by the Expert Council under the State Committee for Ecology or based on the results of field research. If the materials submitted by one customer for the state ecological expertise are complex and consist of several objects of different categories that affect the environment and are located in the same production zone, their impact on the environment is determined according to the highest category.	Category C+ | Category IV All potential sub-projects will be reviewed on location in regard to sensitive areas. In this case WB categorization will be applied and such sub-projects will not be included into the program
Environmental Impact Assessment Report	In accordance with OP 4.01, EIA processes report for category A projects includes the following chapters: (i) Executive Summary, (ii) Policy, legal and administrative framework, (iii) Project description, (iv) Baseline data, (v) Environmental Impacts, Analysis of alternatives, and (vi) Environmental Management Plan. Information on public consultations is provided in Appendixes.	DCM # 541 (2020) defines content of EIA report for project belonged to categories I-III. The report has to include: (i) baseline data, (ii) project description, (iii) anticipated environmental impacts, (iv) waste management, (v) analysis of emergency situation, and (vi) and anticipated changes due to project implementation. Information on	EISA prepared for category B sub-projects under this project should be developed in accordance with national requirements, fulfilled with WB requirements presented in this ESMF document and with WB information on public disclosure requirements.

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
	For the category B project the scope of EA and report should be narrow than for category A projects.	applicable laws and regulation usually is presented in "Introduction" part. For the projects category IV, the EIA report more simplified in the form of a questionnaire.	
ESMP	ESMP should be prepared and should specify, along with the proposed mitigation activities, a monitoring plan and reporting requirements, institutional arrangements for ESMPs implementation. For sub-projects category B with low impact ESMP checklist has to be filled.	National legislation on EA requires to identify possible impacts, but it does not require a preparation of separate EMP or any other environmental documents/plans/checklists. There is no requirements on environmental monitoring with specification of monitoring parameters and location.	Based on results of sub-projects screening ESMP, ESMP checklist will be developed in accordance with Table 5 of this document
Public Consultations and Disclosure	The Sub-borrower is responsible for conducting at least one public consultation for all Category B projects to discuss the issues to be addressed in the EMP or to discuss the draft EMP itself.	Conducting public consultations in accordance with the "Regulations on the procedure for conducting public hearings on projects of environmental impact assessment" (Appendix 3 of the DCM No. 541 of 2020) is mandatory for projects of Category I-II. Public consultations should be held prior to submission of the EIA documentation to the State Environmental Expertise. The announcement of a public consultation should be announced in the media or by any other means of public relations. The organizer of public hearings is the local authorities of districts and cities. The costs associated with public	Public consultations will be carried out with the stakeholders, affected people, NGOs for all Category B subprojects. Questions and concerns raised during public consultations will be reflected in ESMP documents. Environmental Executive Summary in local language will be published prior conduction PC. The final version of ESMP (English and Russian) will be published on the MIFT website and will be available in the WB information.

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
		hearings are funded from the proponent or other sources not prohibited by law.	
Requirements on Cultural Heritages	WB OP 4.11 requires development of Cultural Physical Heritage Management Plan as part of EIA, which includes mitigation measures, provisions for chance finds, capacity building program, monitoring and reporting system	Law of RUz "On protection and usage of cultural heritage objects" states that a project's design for rehabilitation of cultural heritage needs to be approved by the Ministry of Culture. In accordance with the DCM No. 1021 of 12/20/2019. "On approval of the regulation on licensing the preservation of immovable objects of material cultural heritage" legal entities licensed in accordance with the requirements of this Regulation can engage in activities related to the preservation of immovable property that is a subject of cultural heritage.	During this project implementation sub-projects' beneficiaries which will be implemented close to cultural heritages will be required to develop Cultural Physical Heritage Management Plan. Design of rehabilitation works will have to be approved by the Ministry of Culture prior commissioning of the sub-project related to rehabilitation of cultural heritages
SOCIAL SAFEGUARDS REQUIREMENTS			
Involuntary Resettlement	World Bank Group Operational Policy on involuntary Resettlement. OP 4.12	The legal and policy framework of the project is based on national laws and legislations related to land acquisition and compensation policy in Uzbekistan, there are: **(i)** Land Code (30.04.1998); **(ii)** Decree of the Cabinet of Ministers dated 16.11.2019, #911 "On additional measures to improve the procedure for providing compensation for the seizure and provision of land plots and ensuring guarantees of	

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
		property rights of individuals and legal entities"; **(iii)** Decree of the Cabinet of Ministers dated 25.05.2011, #146 "On measures to improve the procedure for granting land plots for urban development activities and other non-agricultural purposes"; **(iv)** Decree of the President of the Republic of Uzbekistan dated 16.07.2018 #3857 "On measures to improve the effectiveness of training and realizing projects with participation of international financial institutions and foreign government financial organizations"; **(v)** Decree of the President of the Republic of Uzbekistan dated on 01.08.2018 #5495 "On measures on major improvement of investment climate in the republic of Uzbekistan"	
Screening and Categorization	PIU/ RPIU carries out project screening and categorization at the earliest stage of project preparation when sufficient information is available for this purpose. Type of project categorizations are 1, 2, 3 **Category 1** – Significant impact. If 200 or more people may experience major impacts, that is,	According to legislation there is no categorization in Resettlement documents.	

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
	being physically displaced from housing, or losing 10% or more of their productive assets **Category 2 -** Not significant impact. If as a result of the subproject, fewer than 200 people will be physically displaced from housing or lose less than 10% of their productive assets, **Category 3 -** No resettlement effect. If the subproject does not require temporary or permanent land acquisition, and there are no impacts involving the loss of land, structures, crops and trees, businesses or income		
Compensation entitlements	A. PAPs with formal title have to be compensated for lost land/other assets. B. PAPs with legalazible title have right to be compensated for lost land and assets after the EAs helps them in legalizing their assets. C. PAPs with no legal title are compensated for lost non-land assets.	A. PAPs with formal title are compensated for lost land/other assets. PAPs with legalizable or no legal title. Legalizable are not distinguished and considered non-legal as legalization is a burden of the PAPs. Non-legal PAPs have no right to be compensated for land and non-land assets.	A. Same in principle/application. No reconciliation needed. Critically different in principle and application. Application already reconciled in previous WB projects but formal Reconciliation on both counts is needed through a Decree for WB projects as well as through inclusion of additional safeguard covenants into the loan agreements which are equivalent of the international treaty or agreement.
Compensation	A. Permanent loss of land. Replacement land as preferred option or cash compensation at full market rate. At least for legal/legalizible PAPs. B. Replacement of leased land. Based on replacement of lost income through cash compensation of gross income x the remaining lease years or through a replacement land lease.	A. Permanent loss of land. Replacement land for legal PAPs. B. Replacement of leased land. Based on lease replacement and compensation in cash all losses including lost profit.	A. Same in principle/application for legal PAPs. Reconciliation needed both for principle and application to allow the compensation all non-land losses of legalizable and non-legal PAPs. It is hoped that this could be achieved through a special Decree for WB projects or through inclusion of additional safeguard

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
	C. Loss of structures/ buildings. Cash compensation at replacement cost for lost item free of depreciation, transaction costs, and other deductions. D. Loss of indirectly affected items. Non affected parts of an asset no longer usable after impact will have to be compensated as well. E. Business losses. Reimbursement of actual losses + business re-establishment costs. For application based on tax declared income for period of business stoppage. In absence of tax declaration based on maximum non-taxable salary. F. Loss of trees: i) Unproductive. Irrespective of legal land occupancy status compensation at market rate. Application based on tree type/ wood volume or other methods ensuring PAP rehabilitation. ii) Productive. Compensation at replacement cost based for application on various methods: tree reproduction cost, income lost (x tree type x market value of 1 year income x full production years lost). G. Loss of crops. Compensation of crop in cash at market price.	C. Loss of structures/buildings. Cash compensation at market cost for lost item free of depreciation, transaction costs, and other deductions. D. Loss of indirectly affected assets. Law requires that all losses including lost profits is to be compensated to all legal PAPs. E. Loss of business. Cash compensation at market value for all damages/opportunity costs incurred. Burden of proving opportunity costs rest on the PAP based on recognized documented evidence but no clear methodology. F. Loss of unproductive and productive trees. Unproductive as well as productive trees affected by a public project are to be compensated. G. Loss of crops. Loss of crops to be compensated. There are two forms of compensation of loss of crops: i) compensation of uncompleted agriculture production and ii) compensation of lost	covenants into the loan agreements which are equivalent of the international treaty or agreement. B. Same in principle. Application to be further improved. No reconciliation needed. To be reflected through an instruction for WB projects. C. No reconciliation of principles and application needed. However, it is requires the establishment of a protocol allowing the compensation of structures/ building at replacement cost, when the salvaged materials remain with the developer or landowner provides full reimbursement to the owner. It is hoped that this can be formalized without legal reform but only a Decree for WB projects or through inclusion of additional safeguard covenants into the loan agreements which are equivalent of the international treaty or agreement. D. No reconciliation of principles and application needed. E. Same in principle but WB does not consider opportunity cost. Application reconciliation needed to define a clear

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
		profit by multiplying four (years) average income for the last three years.	methodology and distinguish short- and long- term losses. F. Same in principle, different in application. Already adjusted for previous WB projects but Application reconciliation is needed through a decree for WB projects ensuring systematic law implementation and also cash compensation is provided by default, ensuring and use of valuation standards fitting OP 4.12. G. No reconciliation for policy is needed but reconciliation of policy application is necessary to ensure that crops are compensated at the moment close as much as possible to the date of calculation lost profit.
Involuntary Resettlement Planning, assessment and valuation of impacts	Resettlement Action Plan (RAP). RAP preparation includes: a) impacts assessment/PAP census; b) definition of entitlements, income/livelihood restoration strategy, compliance & grievance mechanisms, institutional arrangements; c) consultation results; d) monitoring schemes; e) budget and implementation schedule. RAP requires the following surveys: i. Measurement survey. Measures all affected items. ii. PAP Census. Identifies all PAPs and establishes legitimate beneficiaries based on legal status.	Resettlement Plan. There are no requirements to prepare integrated and stand-alone RAPs. LAR planning entails similar but less extensive/simpler assessment/survey efforts than WB Policy, as detailed below: i. Measurement survey. Land and buildings impacts measured. Other impacts identified but not measured;	Partly different in principle and application. No reconciliation needed as law/regulation is silent on this matter and OP 4.12 requirements have been already applied in previous WB projects. Still, clear instructions regarding WB projects ensuring the measurement of all impacts and the counting of all PAP are needed for mainstreaming purposes.

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
	iii. Socio-economic survey. Provides background information on PAP' socio-economic features. iv. Valuation survey a) Land: If land market exist based on a survey of recent transactions; without land market based on land productivity/ income; b) Buildings and structures. Replacement cost of materials, labor and transport and special features of building/structure without discounting depreciation, salvaged materials and transaction costs; c) Trees/crops. Based on the methodology detailed in section Compensation.	ii. PAPs Identification. Identifies only legal PAPs; iii. Socio-economic survey. No comparable requirements exist; iv. Valuation survey; a) Land: valued at market rate based on a transactions survey. Valuation includes transaction costs/third party liabilities; b) Buildings and structures. Replacement cost but the salvaged materials remain with the developer or landowner provides full reimbursement to the owner; c) Trees/crops. If compensated is provided based on the methodology detailed in section "Compensation" section F. and G. or based on an agreed lump sum.	i. Detailed Measurement Surveys to be mainstreamed for all impacts; ii. Detailed count of individuals to be mainstreamed; iii. The execution of the survey is to be mainstreamed; iv. Valuation survey; a) Land is not valued because of compensation land to land; there is only measuring land area and valuation of land quality (productivity/soil quality) in order to compensate land to equal land; b) Already reconciled for previous WB projects but Formal reconciliation needed.
Procedural mechanisms	A. Information disclosure. Resettlement-related documents to be timely disclosed in the PAP language. B. Public consultation. Meaningful public consultations are to be held with the PAPs. PAPs should be informed about their entitlements and options, as well as resettlement alternatives. C. Grievance procedure. A Grievance Redress Mechanism (GRM) is to be established for each	A. Information disclosure. No disclosure requirement exists. B. Public consultation. Matters of local importance to be publicly discussed with local authorities. But no requirement to consult directly the PAPs. C. Grievance Procedures. Each state agency/ministry must follow to detail instructions (approved by government) on	A. Different in principle and application. Already reconciled for WB projects. B. Same in principle but different in application. Already reconciled for WB projects. Better application needed. C. No reconciliation is needed.

ASPECT	WORLD BANK	NATIONAL UZBEK REGULATIONS	HARMONIZED FRAMEWORK
	project. Information on GRM to be communicated to the PAPs. D. Asset acquisition conditions. Property can be acquired only after full compensation is paid to the PAPs.	registering and reviewing the concerns and claims from citizens. D. Asset acquisition conditions. Property can be acquired only after full compensation is paid to PAPs.	D. Same in principle, but unsystematic in application. Application to be improved.
Assistance to vulnerable and severely affected PAP	A. These PAPs are to be identified and special assistance is provided to restore/ improve their pre-project level of livelihoods.	A. There are no special laws or regulations for livelihood restoration due to land acquisition and involuntary resettlement impact. However, there are a number of legislative documents related to social support and livelihood improvement measures considered by the government of Uzbekistan to consider social allowances and needy families through two Cabinet of Ministers decrees (#350, 12 December 2012 and #44, 15 February 2013) and to consider disabled people through the Law on social protection of disabled people (#422-XII, 18 November 1991). Thus, support of vulnerable segments of the population is provided on the regular base by the Government on central and local levels and does not require additional payments in connection with the project implementation.	A. Critically different in application. Formal reconciliation of the application mechanisms details may be needed. To be elaborated in a Decree for WB projects.

3 BASELINE ANALYSIS

In the future, it is expected that the project will be implemented throughout the country: in 28 medium-sized cities in almost all regions and in the Republic of Karakalpakstan. As the project progresses, it is planned to search for additional funds to expand the geographic field of the project. Therefore, this section presents the general geographic conditions of the country.

The Republic of Uzbekistan is located in the central part of Central Asia, mostly between the Amu Darya and Syr Darya rivers.

The northernmost point of Uzbekistan is located in the northeast of the Ustyurt plateau (45°36′N), the southern one - near the city of Termez on the bank of the Amu Darya (37°11′N), the western one - on the Ustyurt plateau (56 ° E d.), the east - in the east of the Fergana Valley (73 ° 10 ′ E). The distance between the extreme northern and extreme southern points of Uzbekistan is 925 km, between the extreme western and eastern points - 1,400 km (Figure 5).

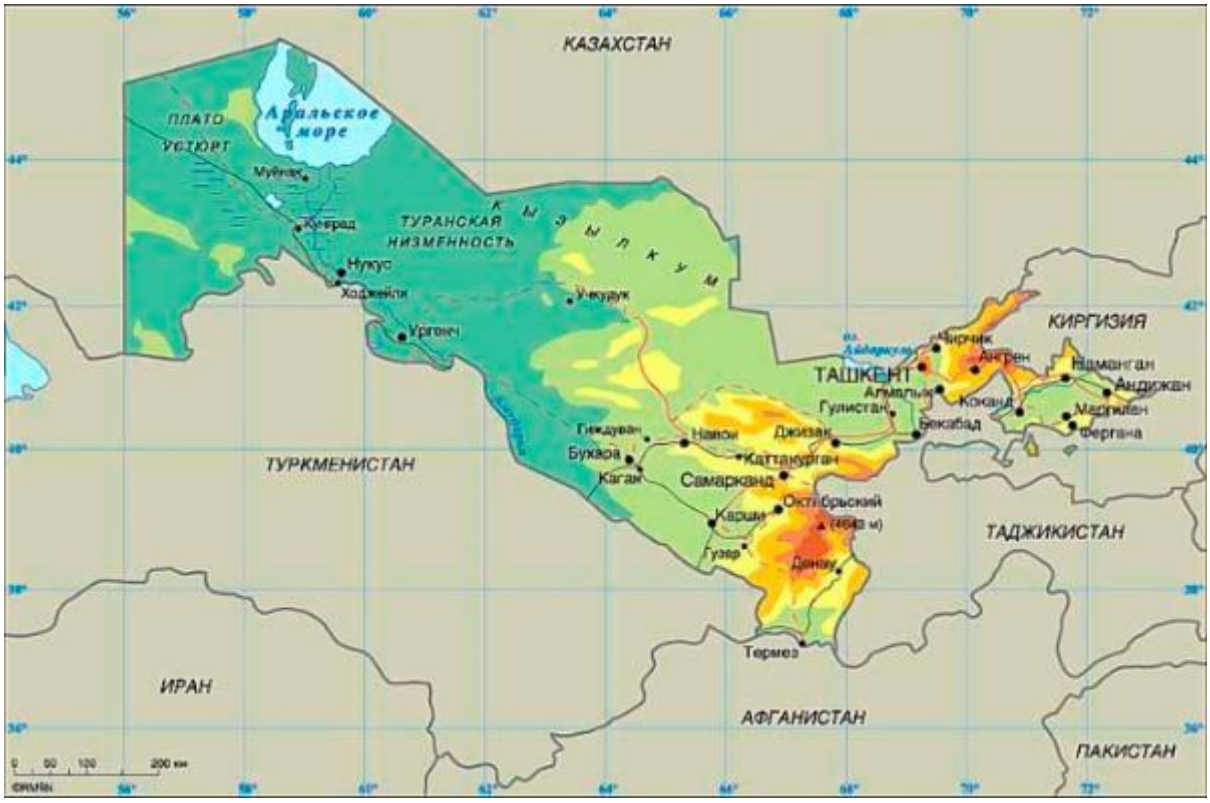


Figure 5: Map of Uzbekistan

Most of the border of Uzbekistan runs along the plains, a comparatively smaller part - along the adyrs and mountains. In the north and north-west, the republic borders with Kazakhstan, in the east - with Kyrgyzstan, in the south-east - with Tajikistan, and in the south-west - with Turkmenistan. In the south, in the Surkhandarya valley along the Amu Darya river, our republic borders on Afghanistan.

The area of Uzbekistan is 448.9 thousand sq. km.

Table 3: Administrative division of Uzbekistan (number of inhabitants by regions)[5]

	Territory (thousand sq. km)	Districts	Total - cities	including republican and regional subordination	Urban settlements	Rural gatherings of citizens	Rural settlements
(as of January 1, 2020)							
Republic of Uzbekistan	**448.97**	**172**	**120**	**32**	**1067**	**262**	**10996**
Republic of Karakalpakstan	166.59	16	12	1	26	141	1131
regions:							
Andijan	4.30	14	11	2	79	-	455
Bukhara	40.22	11	11	2	68	-	1467
Jizzak	21.21	12	6	1	42	77	526
Kashkadarya	28.57	13	12	2	117	20	1041
Navoi	111.09	8	7	3	46	19	577
Namangan	7.44	11	8	1	115	-	391
Samarkand	16.77	14	11	2	88	-	1849
Surkhandarya	20.1	14	8	1	112	-	856
Syrdarya	4.28	8	5	3	25	4	257
Tashkent	15.25	15	16	7	95	-	876
Fergana	6.76	15	9	4	197	-	1021
Khorezm	6.05	10	3	2	56	1	549
Tashkent city	0.34	11	1	1	1	-	0

Environmental characteristics

The flora of Uzbekistan numbers over 6,000 plant species[6]. 20% of species are endemic (not found anywhere else); most of them grow in the mountains. The flora of the steppes and deserts consists of peculiar shrubs. On the low plains, there is developed woody, shrub, and herbaceous vegetation. Reed and kendyr thickets are typical for tugai. In the landscape of the foothill plains there are no grasses, no trees, bushes are found along watercourses. Various types of onions, tulips, rhubarb, irises grow here. The high foothills are a dry forb steppe on dark gray soils. Shrubs grow on rocky areas - almonds, kurchava, visharnik.

On the low mountains, the most valuable tree species, the Zaravshan juniper, grows. Hardwoods are also widespread - maple, hawthorn, various forms of wild apple, pistachios, walnuts, birch, willow, poplar, magalebka cherry. The lowlands are very rich in shrubs: honeysuckle, barberry, wild rose, tavolda, wild vineyard thickets. The set of herbs is very diverse: clary sage, ziziphora, rhubarb, sorrel, tulip, Pskem onion (the most valuable medicinal plant). Rosehips and other shrubs grow in the middle mountains. In the highlands, only 30% of the soil is covered with vegetation. Mainly fescue grows here.

In Central Asia, deserts, steppes and mountains coexist side by side. In deserts and steppes grows its own, special, adapted to a dry and dry climate, vegetation cover. Tugai vegetation is widespread along rivers and lakesides. In the mountains, the variety is very great. Several tiers can be distinguished here, each of which has its own unique flora. At the same time, they talk about the so-called belt type of vegetation. The complex relief of the mountains, its slopes with different exposures, facing different directions of the world, receiving a different portion of illumination, weathering and humidifying with different intensities, have a strong influence on the distribution of various species. In addition, the composition of the soil, which directly

[5] https://stat.uz/ru/ofitsialnaya-statistika/demography
[6] http://orient-tracking.com/Flora.htm

depends on the steepness of slopes and altitudinal zoning, also largely determines the diversity and variegation of the vegetation cover.

The mountains of Central Asia are exceptionally rich and varied in their plant composition. Species atypical for the entire region, typical for other regions of the world, such as the Arctic, Siberia, the Middle East, China, Africa, grow here. In the Central Asian mountains there are sometimes unusual species for this area: birch, spruce, currant, sea buckthorn, willow, barberry, mountain ash.

Uzbekistan is located in the center of Central Asia and is included in the arid (arid) zone of the Earth. The northern and western parts of Uzbekistan are occupied by the plains of the Turan lowland, the southern and eastern parts are occupied by the Tien Shan and Pamir-Alai mountain ranges. The landscapes of Uzbekistan are diverse - these are deserts, mountains, steppes, tugai-reed thickets in the floodplains of rivers. The vegetation cover of Uzbekistan numbers about 4230 species, 1028 genera from 138 families. Among them - 492 cultivated and cultivated plants from 79 families. Of the wild, about 577 species are medicinal plants.

The richest in species in the flora of the republic are Compositae, legumes, cereals, labiates, cruciferous, umbelliferous, haze, liliaceae, buckwheat, clove, borage, rosaceae. The complexity and unevenness of the relief determines the diversity of the vegetation cover. In Uzbekistan, four high-altitude fields can be distinguished, each of which has its own specific type of vegetation. Deserts and plains - "chul", foothills and hills - "adyr", mountains - "tau", highlands - "yaylau (jailau)".

The flat part - "chul" (up to 600 m above sea level), occupies a significant part of the territory of Uzbekistan. Four edaphotypes can be distinguished here: wet salt marsh, sandy chul, gypsum and clay deserts. Each of these subtypes has its own type of vegetation. It is also possible to distinguish takyr vegetation as an edaphotype, where the succession process takes place, and the above-soil microflora also develops. And river valleys in the "chul" zone form one more special mesophilic edaphotype - riparian vegetation. All these types belong to the "lower chuck". Transitional to the belt of adyrs is the so-called "upper chul".

Sandy deserts (Most of the Kyzyl Kum desert, the Sundukli and Kattakum sands). In sandy deserts such species as juzgun, saxaul, sedge, sand acacia, Richter's hodgepodge, astragalus, coniferous conifers, small-toothed rosewood, haze plants are widespread ... Many of the plants, with the help of their long roots, prevent sands from moving in the desert.

Gypsum deserts (Ustyurt Plateau, separate massifs in Kyzyl Kum). The vegetation in the gypsum desert is scarce. There are saline barnacles, white-earth and spreading wormwood, various species of hodgepodge, bulbous bluegrass, sedge, saxaul. In some humid and warm years, ephemeral vegetation develops on the Ustyurt plateau. Here in Ustyurt, Tatar rhubarb is widespread, with leaves up to 1.2 meters in diameter.

Salt marshes and takyrs - This edaphotype is common within gypsum and sandy deserts. Salt-rich wet salt marshes are almost devoid of vegetation, with the exception of some species: potash, salt grate, sarsazan, coastal. On salt marshes and saline soils, there are annual hodgepodge and the most valuable tree - black saxaul. Takyrs are the bottoms of dried shallow waters, practically devoid of vegetation, but nevertheless the spine-petals spread along the cracks.

Tugai - In the river valleys, in their low areas adjacent directly to the river floodplain, tugai - tree-shrub and herbaceous vegetation is developed. Sometimes the tugai vegetation is very dense and is a difficult-to-pass solid massif of plant communities. Of the trees, there are several types of poplar (subgenus turanga), species from the genus willow (tal), narrow-leaved oak tree (dzhida), whose fruits are edible. Among the shrubs, several types of comb (yulgun) are

common - an ornamental plant. The spiny halimonendron is less common. Herbaceous communities are represented by licorice, camel thorn, reeds, and eriantus.

Piedmont plains (upper chul). The main type of vegetation is represented by grasses, less often by dwarf shrubs. There are no trees. The herbaceous cover is widely represented by ephemerals that grow and bear fruit in March-April. But in the south, in Kashkadarya and Surkhandarya, they grow in autumn and winter. In the "upper chula", many ephemera of cruciferous, legumes, and cereals are widespread. There are also tulips (lola), bulbous bluegrass (kongurbash), silver carp sedge (rank), several types of wormwood, annual saltwort, harmala (isryk).

The foothill belt - "adyr", which surrounds all the mountains of Central Asia, occupies the space between "chul" and "tau" - two contrasting regions in the ecological aspect. The soils here are not very diverse. They are mainly represented by sierozem, sometimes there are outcrops and outcrops of bedrock rocks. The foothill belt "adyr" is characterized by one climatic feature: the amount of annual atmospheric precipitation fluctuates within 250-400 mm (less often this level reaches 500 mm), the average monthly temperature in July reaches 25o, which is 5-6o more than in tau and 3-4o less than in the chul belt. The dry period without precipitation in the "adyr" belt is 1 month shorter than in the "chul". The change from the wet spring season to the dry summer season is relatively slow and less abrupt. From the side of the “chul” belt, adyrs are under the influence of the desert heat, from the side of the “tau” mountain belt, mountain coolness extends to them. In this regard, two subzones can be distinguished here: the lower foothills (lower adyr) - 600-900 (1200) m above sea level. with a gentle relief, and high foothills (upper adyr) - 900-1200 (1600) m above sea level, with a more dissected relief.

Low foothills (lower adyr). Various types of ephemeretum (large, long-growing perennials) are widespread here: species flomis, cousinia, ferula, katran, eremurus. A large number of ephemerals are also common. In the historical past, pistachios were widespread here, but as a result of predatory harvesting of nuts and wood, they survived only in hard-to-reach places. In some cartilaginous soils, various types of wormwood are found. Among the honey plants, one can note such species as psoralei, capers, katran, flomis. In spring, the lower adyrs are especially beautiful due to flowering poppies (kizilgoldokh), eremurus, tulips and irises.

High foothills (upper adyr). Basically it is a dry forb steppe on dark gray soils with a dissected relief. All the same ephemerethums are widespread here, among which there are grasses: low wheatgrass, bulbous barley, finger grass. Dicotyledonous plants grow here from grasses: elecampane large and marshmallow glaucous. Of the upland xerophytes (drought-resistant plants adapted for life in dry conditions), there are acantholimon and astragalus. In the "upper adyr" grows a large number of essential oil and medicinal plants: species of perovskii and larkspur, St. John's wort, elecampane, oregano, creeping thyme (thyme) and many other plant species. Shrubs can often be found on rocky slopes: almonds, curls, cherry trees.

Mountain belt - "tau". This mid-mountain zone covers heights from 1200-1300 to 2500-2800 m above sea level. and is distinguished by significant fluctuations in relative heights (1000-1200 m), gentle slopes (15-18o). It is dominated by surfaces covered with weathering crust and fine earth material. The soils are brown and brown mountain forest (soddy brown earth). The rainless period is usually 3 months - from July to September. The average monthly maximum temperature in July is 19o. The growing season is spring, summer and autumn. The diverse natural conditions of the mountain belt determine a wide variety of vegetation cover. Several types of vegetation are developed here: wheatgrass and soddy steppes, shrubs, deciduous forests, juniper forests. According to its natural conditions, the tau mountain belt can be subdivided into two tiers: low mountains (lower tau) - a transitional strip from the adyrs to the mountains, and middle mountains (upper tau).

Low mountains (lower tau). Here grow various types of ephemerals, herb and semi-shrub formations entering from the "upper adyr". Herbaceous vegetation is extremely diverse and is represented by essential oil and tannins: sage, ziziphora, thyme, oregano, St. John's wort, rhubarb, mountaineer, sorrel. Some mountain slopes are covered with the most beautiful species of Eremurus and tulips in spring. Forest lands - shrub and woody communities, strongly susceptible to anthropogenic influence - have been displaced into small areas that are difficult to access and unsuitable for agriculture. In these areas, woodlands are mainly widespread, including juniper forests (treelike juniper), represented by the Zeravshan juniper, and at the upper border of the subzone - hemispherical juniper. Turkestan maple is found among the deciduous species in the low mountains. Some groves are formed by cherry plum, apple tree, Pontic hawthorn, pistachios, and almonds. Walnut, birch, poplar, willow, mulberry, Magaleb cherry grow in humid places. In the mountains of Surkhandarya (Gissar ridge) there are subtropical trees: sumac, pomegranate, figs, persimmon. Among the shrubs in the "lower tau" species of wild rose, honeysuckle, barberry, meadowsweet are widespread. Less common are grapes, mountain ash, currants.

Middle mountains (upper tau). There are almost no ephemeral plants in this subzone. Trees and shrubs are better developed here. Among the herbaceous vegetation, there is a groundwort, ferula, prangos, ezha national team, a fire, a bell. Quite specific plants develop on stony rocks: acantholimon, ostolodka, kachima, ephedra, various types of thorny grasses, pillow plants and other mountain xerophytes. Among the shrub vegetation in the upper tau, there are rose hips and ephedraria (a species of ephedra). Woody vegetation is represented by hemispherical juniper and higher - Turkestan juniper.

Highlands - "jailau", "yaylau". It is an alpine belt (above 2500 m above sea level) with characteristic steep rocky slopes, subalpine and alpine meadows and steppes. Meadow-steppe and light brown soils with typical herbaceous vegetation prevail here. In the "Jailau" belt, there are such types of relief as sheer cliffs, talus of stones and rubble, glacial moraines, moraine valleys, firn fields, circus glaciers, lingual snowfields, plateau-like spaces.

Lower Jailau (2500-3000 m above sea level). This subzone is in contact with the middle mountains - the upper limit of the development of trees and shrubs. There are dwarfs of Turkestan juniper and some other types of low shrub plants: honeysuckle, wild rose, etc. Among the herbaceous vegetation there are forb meadows with perennial low-growing formations and upland pillow xerophytes. On dry areas with cartilaginous mountain soils, there is a fescue steppe with a slight admixture of xerophilic and mesophilic plants. In humid areas, there are peculiar mixed meadows of grasses (bluegrass, feather grass, avenastrum) and dicotyledonous forbs (rattle, rattle, ligularia, anemone). There are also meadows of hill geranium, ram, onion, foxtail, ferula, prangos.

Upper Jailau (above 3000-3200 m above sea level). The upper boundary of this belt reaches a strip of snow. Here, vegetation is spread only on 30% of the territory, while on the rest of the area, among the stony formations, there is rather sparse vegetation. In the "upper Jailau", a thin steppe or meadow-steppe cover prevails, where the Vallis fescue and some upland xerophytes (Stipa trichoides, S. lipskyi, Phleum phleoides, Poa relaxa) prevail. Small tracts of low-grass carpet alpine meadows of primroses, ostrich, gentian, buttercups, various onions, mytniks, Potentilla are found. There are also cereal meadows: alpine bluegrass, fescue, timothy, Himalayan foxtail. Among sedge meadows there are black-flowered sedge, rounded, low cobresia, etc.

Fauna. As well as flora, fauna of Uzbekistan is diverse. Many representatives of the Asian fauna are found here. Among them: mammals (wolf, eared hedgehog, fox, corsac, toloy hare, turtle, gazelle, saiga, wild boar, horned goat, mountain sheep, badger, stone marten, bear,

leopard, ermine, Siberian mountain goat, plastingtooth rat, jackal, Bukhara deer, Bukhara horseshoe bat, pointy-eared bat gopher, jerboa), reptiles (geckos, agama, sandy boa, snake arrow, Central Asian cobra, snake snake, four-striped snake, Alai golaz), birds (avian bustard, beauty saja, dunny nightjar, steppe buzzard, jay, sorokaput, warbler, finch, oatmeal, lentil, great dove, black vulture, griffon vulture, lamb, Himalayan snowcock, bearded vulture, accentor, jackdaw, pheasant, cuckoo, yellow wagtail, magpie, magpie crow, southern nightingale, mustached tit, reed bunting, blackbird warbler), insects, etc. About 70 species of fish are found in the reservoirs: Aral salmon, Amudarya trout, pike, Aral roach, Aral barbel, carp, goldfish, catfish, pike perch, perch, snakehead, silver carp, grass carp.

Protected natural areas. According to official data, as of 1995, the total area of protected natural areas in Uzbekistan was about 2% of the country's territory. At present, the National System of Protected Natural Areas includes 8 reserves, 2 natural and 1 national parks, 1 biosphere reserve (with an area of 68717 km^2, which meets the requirements of the Seville strategy of 1995), 7 natural monuments, 3 natural nurseries, 12 reserves, more than 25 water protection zones, coastal strips and zones of formation of groundwater, 73 forestry enterprises and 5 state forest hunting farms. The total area of PAs that ensure sustainable conservation of biodiversity (I-IV categories of IUCN) is about 5% of the country's area. The PA system covers about 3.5% of desert ecosystems, about 3.0% of floodplain forests and 14% of mountain ecosystems (Figure 6).

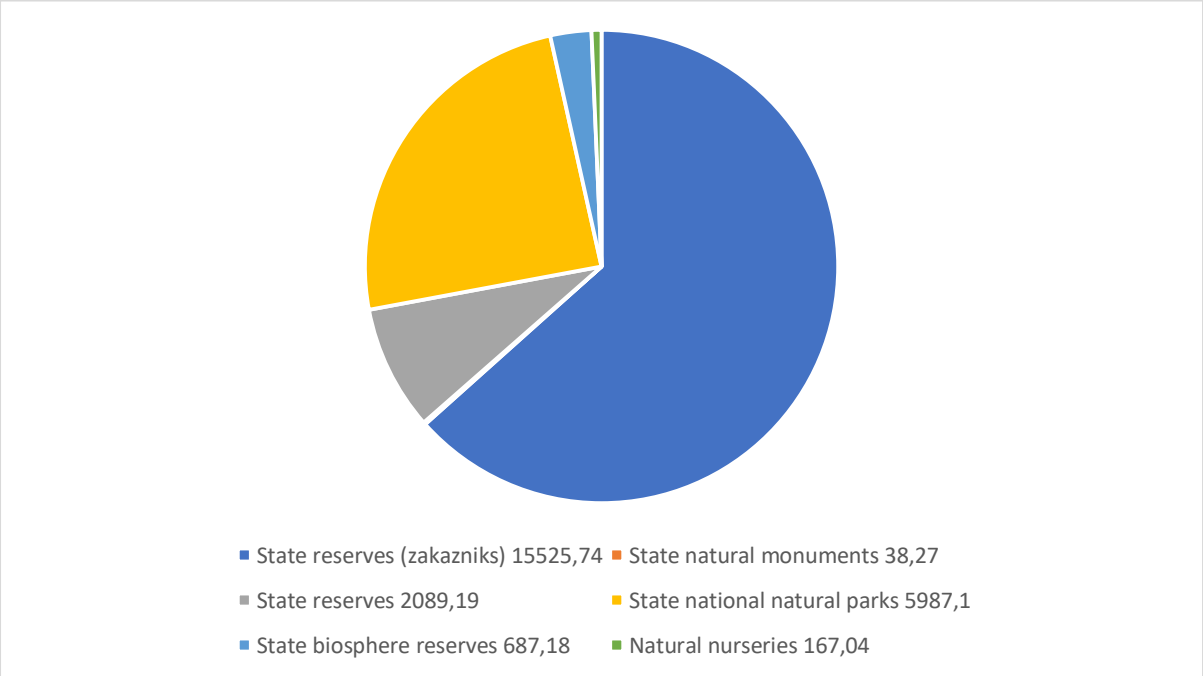


Figure 6: Share of categories of protected natural areas (in sq. km)

Table 4. Protected natural areas in Uzbekistan

Name, year of formation and location	**Area, km^2**
State reserves	
Chatkal mountain-forest biosphere reserve (1947, Tashkent region)	357,24
Gissar mountain-juniper state reserve (1983, Kashkadarya region)	809,86

Nurata State Nature Reserve, mountain walnut (1975, Jizzakh region)	177,52
Surkhan state mountain-forest reserve (1987, Surkhandarya region)	245,54
Zarafshan Valley-Tugay State Reserve (1975, Samarkand Region)	23,52
Kyzylkum state reserve tugay-sandy (1971, Bukhara and Khorezm regions)	103,11
Zaamin state reserve mountain-juniper (1960, Jizzakh region)	268,40
Kitab State Geological Reserve (1979)	39,38
Total area	2089,19
State biosphere reserves	
Lower Amudarya State Biosphere Reserve (2011, Republic of Karakalpakstan)	687,18
Total area	687,18
Natural nurseries	
Ecocenter Jeyran (1976, Bukhara region)	165,04
Bustard Breeding Nursery "Emirates Birds Breeding" LLC (2007, Bukhara region)	1,00
Breeding bustard nursery "Emirates Center for Conservation of Horiba" LLC (2008, Navoi region)	1,00
Total area	167,04
State national natural parks	
Ugam-Chatkal State National Natural Park (1990, Tashkent region)	5746,00
Zaamin National Natural Park (1978, Jizzakh region)	241,10
Total area	5987,10
State reserves (zakazniks)	
State ornithological reserve "Dengizkul", (1973, Bukhara region)	500,00
State reserve "Kara-Kir" (1992, Bukhara region)	300,00
"Arnasai" ornithological reserve (1983, Jizzakh region)	633,00
State reserve "Saigachiy" (1991, Republic of Karakalpakstan)	10 000,00
State ornithological reserve "Sudochye" (1991, Republic of Karakalpakstan)	50,000
State reserve "Mubarek" (1998, Kashkadarya region)	2195,34
State reserve "Oktau" (1997, Navoi region)	154,20

State reserve "Karnabchul" (1998, Navoi region)	250,00
State reserve "Koshrabad" (1998, Samarkan region)	163,00
State reserve "Nurabad" (1992, Samarkan region)	400,00
State reserve "Kumsulton" (2010, Bukhara region)	49,00
State reserve "Khadicha" (2010, Bukhara region)	113,00
Total area	15 525,74
State natural monuments	
Natural monuments "Vardanzi" (1997, Bukhara region)	3,20
Natural monument "Mingbulak" (1991, Namangan region)	10,00
Natural monument "Chust" (1990, Namangan region)	1,00
Natural monument "Yazyavan" (1994, Fergana region).	18,83
Natural monument "Yangibazar" (2003, Khorezm region)	4,9
Natural monument "Paykent" (2010, Bukhara region)	0,30
Natural monument "Varakhsha" (2010, Bukhara region)	0,07
Total area	38,27
Total Protected Areas	23 657,56

In recent years, significant work has been carried out in the republic to further develop the network of republican PAs. Thus, in recent years, a number of protected natural areas of the country have acquired international importance in the preservation of biodiversity. In particular, Dengizkul Lake (2001) and Aidar-Arnasay lake system (2008) are included in the list of wetlands of international importance (Ramsar Convention). In accordance with the EAP, work is underway to include Tudakul and Karakir lakes in this list. Bird sanctuaries have been created on the Tuzkan lakes (Aydaro-Arnasay system of lakes, Jizzakh region); Dengizkul and Karakir (Bukhara region). Some PAs are recognized as being of international importance for globally threatened bird species. Of the 51 most important bird areas (WOT) of Uzbekistan, 17 (35.4%) fully or partially coincide with the existing PAs.

A new type of protected area has been created for the country - the Lower Amudarya Biosphere Reserve (Resolution of the Cabinet of Ministers of the Republic of Uzbekistan No. 243 of August 26, 2011). As a result of the creation of the biosphere reserve, the total area of the protected areas in the country increased by more than 62 thousand hectares. In 2010. in the Bukhara region, two state sanctuaries were organized - "Kumsulton" and "Khadicha" and two natural monuments "Paykent" and "Varakhsha". Currently, a draft Program for the development of a network of protected natural areas of the Republic of Uzbekistan for 2014-2024 is being considered, providing for the expansion of the protected area to 8 114 140 ha.

In order to strengthen the protection of rivers, reservoirs, reservoirs and all types of water supply sources from negative impacts in accordance with the Resolution of the Cabinet of Ministers of the Republic of Uzbekistan No. 981 of December 11, 2019. "On Approval of the Regulation on Water Protection Zones Sanitary Protection Zones of Water Bodies In The Territory of the Republic of Uzbekistan", in Uzbekistan, water protection zones and coastal

strips of rivers, as well as zones of formation of fresh groundwater deposits with the status of protected natural areas (PAs) are defined and legally established. In particular, for 8 large rivers (Amu Darya, Kashkadarya, Surkhandarya, Syrdarya, Naryn, Kashkadarya, Chirchik and Zarafshan), areas have been established and approved by the relevant decrees of the Cabinet of Ministers of the Republic of Uzbekistan water protection zones and coastal strips, with a total area of the water protection zone of 155 416.5 hectares. , including a coastal strip with an area of 27 900.5 hectares. The boundaries of 11 fresh groundwater deposits of republican significance and for 8 regional significance, with a total area of 407 356.0 hectares, have been established and approved (Figure 7). Although the establishment of water protection is primarily intended to preserve the quality of groundwater and surface water, in the future they can perform broader ecological functions, including, inter alia, the maintenance and rehabilitation of biodiversity elements on their territory. More than 200 environmentally hazardous objects have been removed from the water protection zones of the rivers.

Figure 7: Protected natural areas

SOCIO-ECONOMIC CHARACTERISTICS

As of January 1, 2020, the resident population of Uzbekistan amounted to about 34 million people and since the beginning of the year has increased by 131.6 thousand people, or 0.4%, the State Statistics Committee reports.

Moreover, according to the data, there are slightly more men in the republic - 50.3% of the population, women, respectively, - 49.7% of the total number of citizens.

Analysis by regions of the republic showed that as of April 1, 2020, the largest population was observed in the Samarkand region - 11.4%, Fergana - 11.1%, Kashkadarya - 9.7% and Andijan - 9.7%.

It is known that 30.8% of the total resident population are persons under the working age, 58.7% are of the working age and 10.5% are older than the working age.

In January-March 2020, 170.4 thousand born children were registered. At the same time, during this period, the number of deaths of citizens amounted to 37.5 thousand people.

Table 5: Information on the number of resident population by region
(As of January 1, 2020)

Population density
(at the beginning of the year; number of inhabitants per 1 sq. km)

	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Republic of Uzbekistan	54.6	55.3	55.9	56.6	57.3	58.0	58.6	59.4	60.3	61.3	62.4	64.9	65.8	66.8	67.9	69.1	70.3	71.5	72.7	74.1	75.5
Republic of Karakalpakstan	9.0	9.2	9.2	9.3	9.4	9.4	9.4	9.5	9.6	9.7	9.8	10.1	10.2	10.3	10.4	10.6	10.8	10.9	11.1	11.2	11.4
regions:																					
Andijan	520.5	527.7	535.1	542.8	549.8	557.8	552.5	560.4	570.0	581.4	592.8	621.5	631.2	641.0	652.4	664.5	676.9	689.0	700.4	713.2	727.4
Bukhara	35.2	35.7	36.1	36.6	37.0	37.4	37.8	38.3	38.8	39.4	40.0	41.8	42.3	42.9	43.6	44.3	45.0	45.7	46.4	47.1	47.8
Jizzak	46.0	46.8	47.4	48.1	48.6	49.2	49.6	50.2	50.9	51.8	52.7	55.0	55.9	56.8	57.8	58.9	60.2	61.3	62.5	63.8	65.2
Kashkadarya	75.8	77.4	78.8	80.2	81.7	83.2	84.7	86.2	87.8	89.7	91.6	95.3	97.2	99.1	101.3	103.6	105.9	108.1	110.2	112.5	114.8
Navoi	7.1	7.1	7.2	7.2	7.2	7.3	7.3	7.4	7.5	7.6	7.7	7.9	7.9	8.0	8.1	8.2	8.4	8.5	8.6	8.8	9.0
Namangan	260.0	263.9	267.9	272.1	276.0	280.2	282.7	286.9	292.2	298.0	303.6	319.8	325.3	330.5	336.6	343.3	349.9	356.5	362.8	370.0	377.8
Samarkand	158.9	161.3	163.7	166.0	168.2	170.7	173.4	176.2	179.1	182.6	186.0	195.0	198.3	201.6	205.5	209.6	213.7	217.8	221.8	226.5	231.2
Surkhandarya	86.4	88.1	89.6	91.3	92.7	94.3	95.8	97.4	99.1	101.2	103.2	108.2	110.4	112.5	114.8	117.3	120.0	122.5	125.1	127.9	130.8
Syrdarya	149.3	151.1	152.8	154.4	155.5	156.3	158.2	159.9	161.9	164.3	166.9	169.9	172.8	175.4	178.5	181.6	184.7	187.6	190.6	193.9	197.7
Tashkent	153.6	154.9	156.2	157.6	158.8	160.3	161.7	163.3	165.4	167.4	169.5	173.4	175.1	176.8	178.7	180.9	183.2	185.5	187.6	190.1	192.9
Fergana	397.7	402.6	407.4	412.8	417.8	424.0	425.9	432.0	439.7	447.1	454.8	477.7	485.3	492.6	501.0	509.6	518.5	527.3	535.5	544.9	555.0
Khorezm	217.0	220.9	224.5	228.0	231.2	234.9	240.3	244.3	248.6	253.0	258.1	264.6	269.3	273.4	278.4	283.6	288.7	293.7	298.3	303.4	308.5
Tashkent city	6472.2	6458.8	6454.9	6462.7	6451.3	6452.1	6466.9	6516.9	6586.1	6665.5	6750.2	6875.7	6914.1	7008.8	7044.6	7099.6	7165.2	7257.9	7380.0	7514.9	7699.6

As of October 1, 2019, to the total population of the republic: the population under the working age is 30.5%, the working age population is 59.1%, the population over the working age is 10.4%

Table 6: Percentage of resident population by region

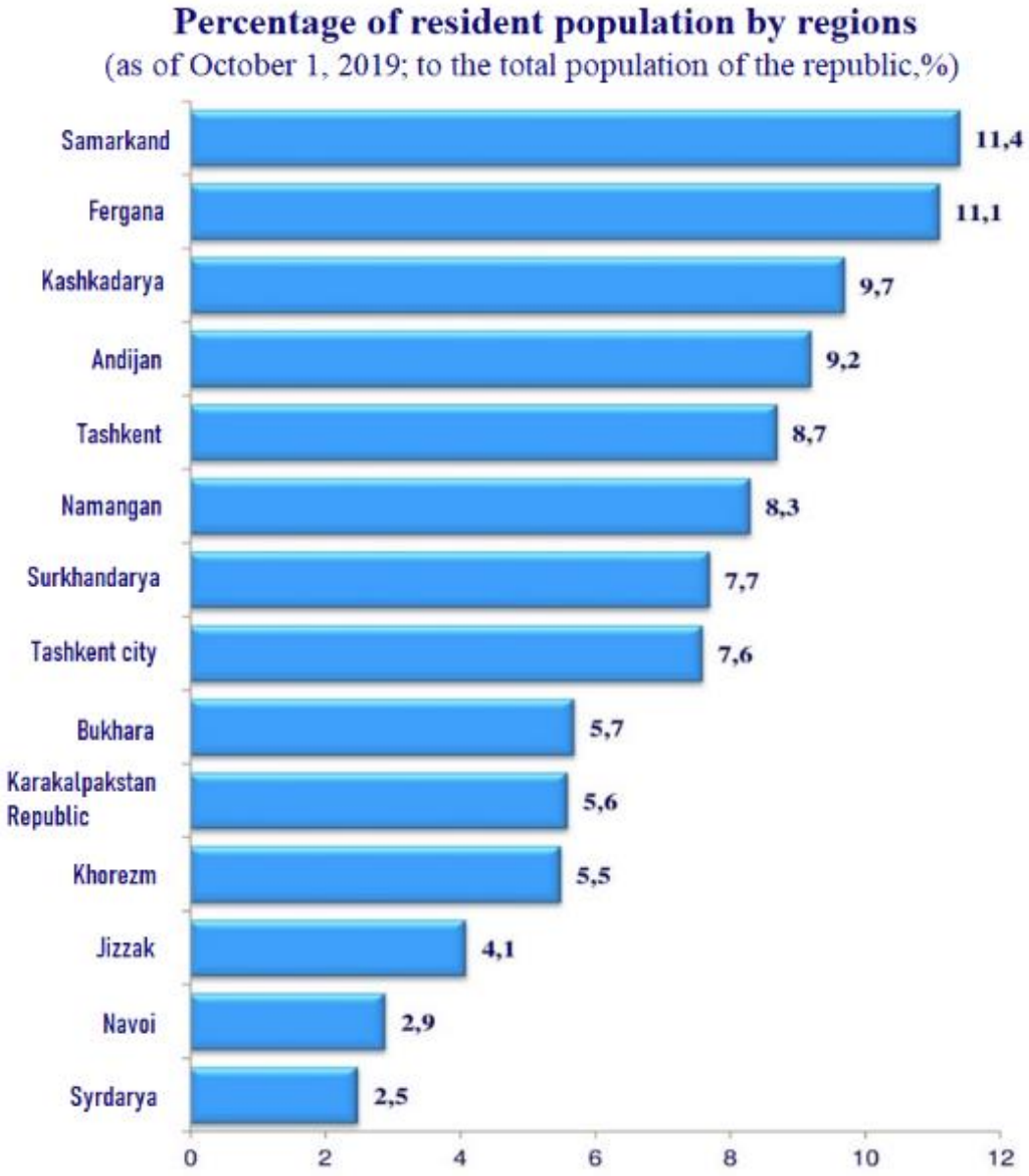
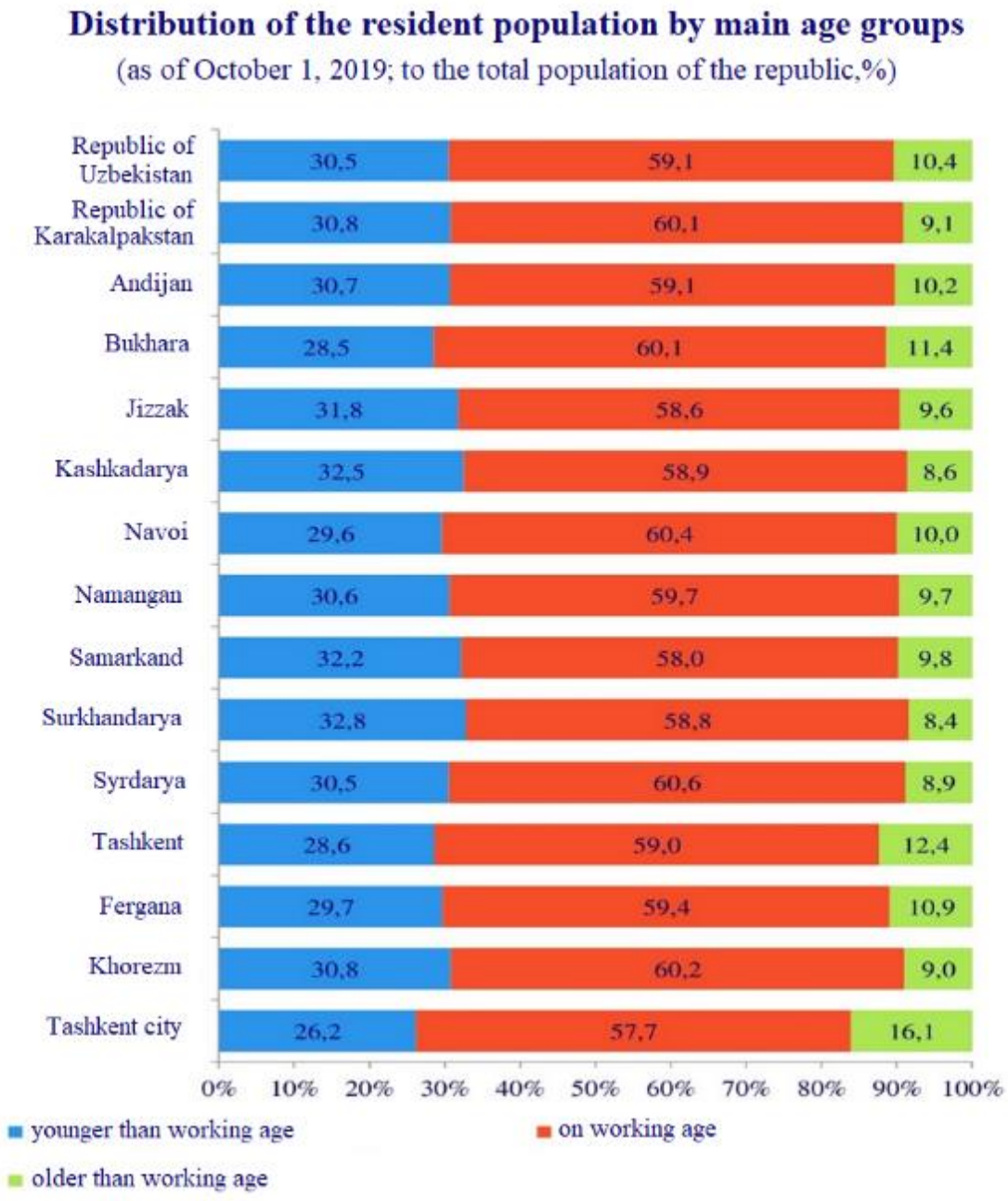


Table 7: Distribution of the resident population by main age groups



According to preliminary estimates, the GDP of the Republic of Uzbekistan for January - March 2019 at current prices amounted to 91,097.7 billion soums and, compared to January - March 2018, increased in real terms by 5.3%. The GDP deflator index in relation to January-March 2018 prices amounted to 120.4%. GDP per capita amounted to 2 734.4 thousand soums, which is 3.4% more than in the corresponding period of 2018. GDP production for January - March by type of economic activity is characterized by the following data:

Table 8: GDP

	Billion soum		Physical volume index,%	Impact on GDP growth,%
	2018	2019		
GDP - total	**71 875,0**	**91 097,7**	**105,3**	**5,3**

including:				
Gross value added	**61 367,5**	**80 783,7**	**105,2**	**4,5**
agriculture, forestry and fisheries	10 194,1	11 996,0	102,5	0,4
inductry	18 574,6	27 415,3	106,8	1,8
construction	4 068,3	4 907,8	105,9	0,3
trade, accommodation and catering services	5 888,3	6 891,8	104,2	0,3
transportation and storage, information and communication	6 796,3	7 877,2	104,2	0,4
other service industries	15 845,9	21 695,6	105,7	1,3
Net taxes on products	**10 507,5**	**10 314,0**	**105,8**	**0,8**

The World Bank's forecast for GDP growth in Uzbekistan in 2019 increased from 5.1% to 5.3%, according to the organization's report. The World Bank expects market reforms to liberalize sectors of the economy such as tourism, food, chemicals and textiles.

Inflationary pressures will continue over the next two years, but the impact is not expected to manifest until 2021. Accordingly, in 2020, the growth of the economy of Uzbekistan is expected at 5.5%, and in 2021 it will be 6% (the forecast for these years has not changed).

Physical characteristics

Climate. The geographical position of Uzbekistan, located far from oceans and seas, in the inner part of the Eurasian continent, determines the continentality of its climate. The continentality of the climate is expressed in cloudless weather for most of the year, high summer temperatures, low precipitation, high moisture evaporation, long and sultry summers, as well as relatively cold winters for these latitudes, and large daily and annual air temperature amplitudes. These features of the climate of Uzbekistan were formed under the influence of climatic factors.

Climatic factors. The formation of the climate of the republic is influenced by its geographical position (in the south of the temperate and in the north of the subtropical zones), the intensity of solar radiation, atmospheric circulation, and the terrain.

Due to the retraction of the territory of Uzbekistan from north to south for 925 km, the sun's rays fall unevenly in different parts of Uzbekistan. So, on June 22, in the north of the republic, it rises above the horizon to 71 °, and in the south - to 76 °. The duration of sunshine in the north reaches 2500-2800 hours, in the south - 3000-3100 hours per year. Solar radiation is 130 in the north and 160 kcal / cm2 of surface per year in the south.

Atmospheric circulation plays an important role in the formation of the climate in Uzbekistan. In winter, from the north and north-east, arctic cold air masses penetrate the territory of Uzbekistan and reach the southern borders of the republic. As a result, the weather is clear and cold.

In winter, air fronts of temperate latitudes are formed over the territory of Uzbekistan and cyclones are formed, precipitation falls in the form of rain and snow.

In summer, the local Turanian tropical air mass is formed on the flat part of the republic. The air becomes dry and hot, saturated with fine dust. An area of low pressure is formed here, which facilitates the penetration of warm and more humid air from the northwest and west. However, this air heats up quickly and no precipitation occurs.

The mountains located in the eastern part of the territory trap these moist air masses, as a result of which precipitation falls in the foothills and mountains. In summer, the air is cooler in the mountains, it rains more, winters are cold and long.

The relief also influences the formation of the climate in Uzbekistan. The territory of the republic is open to the north and northwest. As a result, in winter, cold air masses from the north and north-west freely penetrate the territory of Uzbekistan. The closedness of the territory by mountains from the south, in turn, prevents the penetration of warm tropical air. In the mountains, in summer, compared to the plains, it is relatively cool and there is more precipitation, while the winter is cold and long.

Temperature distribution. In order to get an idea of the distribution of heat on the territory of Uzbekistan, it is necessary to know the average annual air temperatures at various points. The average annual air temperature in Nukus is + 10.8 ° C, in Tashkent + 11.9 ° C, in Termez + 17.0 ° C.

Summer in Uzbekistan is dry and hot, the average July temperature in the plains is + 26 ° ... + 30 ° C, and in the south of the country it reaches + 31 ° ... + 32 ° C. The absolute maximum air temperature in Tashkent is + 44 ° C, in Termez + 50 ° C. The surface of sands in deserts is heated up to + 75 ° ... + 80 ° C.

The average January temperature rises from the north-west (in Ustyurt -10 ° ... -11 ° C) to the southeast (in Tashkent + 0.9 ° C, in Samarkand + 0.3 ° C, in Termez +2, 8 ° C). Sometimes, under the influence of the arctic air and the Siberian anticyclone, winter temperatures drop sharply. So, the absolute minimum temperature in Surkhandarya is -20 ° C, in Tashkent -30 ° C, in Ustyurt -38 ° C.

In the mountainous part of Uzbekistan, air temperatures decrease with height.

Distribution of precipitation. Precipitation in Uzbekistan is the main source of the formation of water resources and is unevenly distributed over the territory and over the seasons. This is due to the peculiarities of the movement of air masses, surface topography, direction and height of mountain ranges. Precipitation is brought mainly by moist air masses coming from the Atlantic Ocean.

The least precipitation in Uzbekistan falls on the Ustyurt in the lower reaches of the Amu Darya and in the Kyzyl Kum, about 100 mm per year. Precipitation increases to the east and southeast as the relief rises. In the foothill part of Uzbekistan, an average of 300–550 mm of precipitation falls per year, on the slopes of the Western Tien Shan and Gissar-Zarafshan mountains, facing humid air currents, 800–900 mm of precipitation fall. The bulk of precipitation falls in winter (30% of the annual precipitation) and in spring (40%).

In the flat part of Uzbekistan, precipitation is observed 35–40 days a year, and in the mountainous part of the republic, 70–90 days.

Part of the precipitation falls in the form of snow. But on the plains the snow cover is unstable, it lasts 40-50 days in the north-west, 10-15 days in the south-west, and in the mountains it lasts for 90-100 days.

The average thickness of the snow cover on the plains is 1–8 cm (the most powerful is 30 cm), in the foothills it is 10–20 cm (up to 60 cm), in the mountains 60 cm (the maximum is 1.5–2 m). In the flat part of Uzbekistan, the annual evaporation rate is several times higher than the amount of precipitation (in Tashkent, 3.5 times, in Nukus, 27 times).

Winds. North-western, northern and western winds prevail on the territory of Uzbekistan. North-western, northern and north-eastern winds blow in the northern part of Uzbekistan. In

the southern part, south-westerly winds often blow. In summer, north-western, northern and western winds blow in Uzbekistan. However, due to the scorching heat on the plain, it does not rain, and as we move towards the mountains, due to the fact that the temperature decreases, clouds form and precipitation occurs.

Local winds also blow in Uzbekistan: mountain-valley, Bekabad (or Khavast), Kokand, Afghan. Mountain-valley winds are observed in all valleys of the republic. The daytime direction of the winds is towards the mountains, and the nighttime direction is from the mountains to the valley. Bekabad (or Khavast) wind blows from the Fergana Valley through the "Khojent Gate" towards Mirzachul, and the Kokand wind blows in the opposite direction. Bekabad wind blows mainly in winter, when the atmospheric pressure in the Fergana Valley is high, and to the west of it is low, while the wind speed reaches 30-40 m / s. This wind damages the household. The Kokand wind blows most often in spring and autumn, when the air pressure in the Fergana Valley is lower than to the west of it, reaching a speed of 15-25 m / s. In the south of the Sherabad-Surkhandarya depression, a southwestern hot and dry Afghan wind blows, carrying dust and sand, the speed of this wind reaches 15–20 m / s. An Afghan can blow continuously for several days in a row. This wind has a detrimental effect on flowering trees and agricultural crops[7].

Geological structure, relief development and minerals. The geological structure of Uzbekistan is very diverse, but basically its territory consists of two tectonic structures - the Tien Shan orogenic region and the Turan plate.

The Tien Shan orogenic area includes large and small tectonic structures. The largest of them are folded structures (Chatkal, Kuraminsky, Turkestan, Zarafshan ridges).

The Turanian plate is also formed from a variety of tectonic structures, uplifts and depressions.

The tectonic structures of the Tien Shan orogenic region and the Turan plate arose at the stage of Hercynian and Alpine mountain building. During the period of Hercynian mountain building, along with tectonic movements, volcanic processes also took place. Under their influence, ore, colored, rare minerals were formed in the fractures of rocks.

The modern state of the relief of the territory of Uzbekistan was preceded by long difficult stages. During the period of manifestation of the Hercynian fold movements, high mountain ranges formed on the territory of the republic. In subsequent geological periods, as a result of denudation processes, the mountains were severely destroyed, and plains and hills arose in their place. In the Jurassic, Cretaceous and Paleogene periods, this territory was covered by the waters of seas and lakes.

In the Paleogene period, the territory of Uzbekistan was covered by the last sea, the depth of which did not exceed 200 m. Only in the mountainous part of Uzbekistan, small islands protruded from under the water. In the Neogene period on the territory of the republic, especially in its mountainous part, as a result of the resumption of tectonic movements, the sea receded, and existing mountains began to rise in its place. The consequences of further tectonic movements were very different. If on the territory of Uzbekistan, some areas in the mountainous part rose, while others sagged.

In places of uplifts, mountain ranges began to grow and new ones were formed, and in places of troughs, intermontane depressions were formed.

Rocks formed as a result of the destruction of the rising areas began to accumulate in the sagging areas. This process continued throughout the entire Neogene period. As a result, thick

[7] http://geografiya.uz/fizicheskaya-geografiya-uzbekistana/11507-klimat-uzbekistana.html

strata (more than a thousand meters) of sedimentary rocks accumulated in the intermontane depressions.

With the beginning of the Anthropogenic period, the nature of tectonic movements changed somewhat. There is an uplift of not only ridges, but also intermontane depressions. As a result, the rivers began to wash out the deposits formed in the Neogene, and river terraces appeared. The process of uplifting intermontane depressions intensified as we approached the mountains. Therefore, in this part of the depressions, low mountains were formed - adyrs.

On the territory of Uzbekistan, tectonic movements are actively continuing almost everywhere. Therefore, strong (up to 8-9 points) earthquakes occur here. Historical data indicate earthquakes of past centuries. So, for example, in 1240 in Urgench, in 1797 in Urgut, in 1818, 1821 in Bukhara, in 1868 in Samarkand strong earthquakes were observed.

Minerals. Uzbekistan is rich in various minerals. On the territory of our republic, a large number of various minerals have been discovered that serve as raw materials for industry. Currently, they are successfully used in the national economy. Among the most important natural resources of the republic are its fuel and energy resources, which include gas, oil, coal.

Oil and gas fields were first discovered in 1880 in the Fergana Valley in the region of Northern Sokh, South Alamyshik, Palvantash, Chimion, Shorsu. Oil was discovered in 1992 in Mingbulak, in 1993 - in Kokdumalak. Large reserves of oil and gas were found in the south-western spurs of the Gissar ridge - the Adamtash, Pachkamar, Omonat, Haudag, Uchkyzyl fields.

Later, oil reserves were found in the flat part of the Kashkadarya and Bukhara regions - in the Mubarek, Akjar, Saryktash, Dzharkak, Karaulbazar fields. Large deposits of natural gas were found in Ustyurt (Shakhpakhta and Kuanysh).

There are significant deposits of brown coal on the territory of Uzbekistan, which are of industrial importance. The main deposits are concentrated in the Angren deposit, where brown coal is mined. In the mountainous part of the Surkhandarya region, there are two deposits of coal - Shargun and Baysun.

On the territory of Uzbekistan there are several deposits of ore (iron, titanium, manganese, chromium), non-ferrous (copper, lead), rare (tungsten, molybdenum, tin, bismuth, mercury, antimony), precious (gold, silver) metals. The main deposits among them are Kalmakkyr, Sarychek, Dalnee (Tashkent region). Large gold deposits have been discovered in Kyzyl Kum - Muruntau, Kokpatas and others. Uzbekistan is also rich in phosphorites. Large reserves of them have been discovered in Central Kyzyl Kum.

In the southwestern spurs of the Gissar ridge, there are deposits of sodium chloride, potassium salts and sulfur (Akbash, Lyalmikan, Khadzhaikan). Uzbekistan is also rich in construction materials (sand, crushed stone, pebble, loess, quartz sand, limestone, marble), hydromineral raw materials - groundwater.

A lot of marble deposits have been discovered on the territory of the republic. Most of them are of high quality and come in a variety of colors. The marble mined in Uzbekistan was used, for example, in the construction and decoration of stately buildings, such as the Opera and Ballet Theater named after Alisher Navoi, the Istiklol Palace, metro stations in Tashkent, in the construction of monuments and memorial complexes[8].

[8] Physical geography of Central Asia and Uzbekistan "P. Gulomov, Kh. Vakhobov, P. Baratov, M. Mamatkulov. Publishing and printing poligraphy"O'qituvchi" Tashkent - 2013

Hydrological conditions[9]. The available water resources of Uzbekistan consist of renewable surface and groundwater, as well as return water from anthropogenic use (waste and drainage water). Water resources are mainly formed in transboundary river basins.

A feature of Central Asia is the division of its territory into three main zones of surface runoff: (a) a zone of flow formation (upper drainage basin in mountainous areas), (b) a zone of transit flow and its dispersion, and (c) a zone of deltas. In the zone of flow formation, the level of anthropogenic change is insignificant, but due to the construction of large dams and reservoirs on the border of this zone, the flow regime in the lower reaches changes significantly. In the zone of transit and dispersal of flow, the flow and the entire hydrological cycle change as a result of interactions between rivers and territory. This interaction is characterized by the withdrawal of water from rivers to irrigated areas and the loading of return flow into the river with salt and agricultural chemicals.

There are 17777 natural watercourses on the territory of Uzbekistan, of which 9930 are in the Amu Darya basin, 4926 in the Syr Darya basin. More than 500 lakes are located in mountain river valleys, the largest is the Aydar-Arnasay lake system. Glaciers are located in the upper reaches of individual rivers, mainly in the river basin. Pskem, with an average glacier area of 0.29 km.

Water resources of Uzbekistan are formed mainly due to melt water 60%, both in the Syrdarya river basin and in the Amudarya river basin. Additional recharge of water resources due to rainfall and glacial recharge differs across river basins - in the Syr Darya basin, glacial recharge is 15% and rainwater 25%; in the Amu Darya basin, the glacial is 25% and the rainfall is 15%. The main factors influencing the change in river runoff are - increased variability of precipitation; rise in air temperature; degradation of glaciation, reduction of snow reserves; increased evaporation in river basins. The Amu Darya is the largest river in Central Asia. Its length from the headwaters of the Pyanj to the Aral Sea is 2,540 km, and the catchment area is 309 000 km². It is called Amu Darya from the point where Pyanj meets Vakhsh. Three large right tributaries (Kafirnigan, Surkhandarya and Sherabad) and one left tributary (Kunduz) flow into the Amu Darya river in the middle course. Further to the Aral Sea, it has no tributaries. The maximum consumption is observed in summer, and the minimum in January-February. Such availability of runoff throughout the year is very favorable for the use of river water for irrigation. When crossing the plain, from Kerki to Nukus, the Amu Darya loses most of its runoff for evaporation, infiltration and irrigation. The Amu Darya contains the largest sediment of any rivers in Central Asia, and its composition is one of the highest in the world. The main flow of the Amu Darya originates in the territory of Tajikistan. Then the river flows along the border of Afghanistan with Uzbekistan, crosses Turkmenistan and returns to Uzbekistan and flows into the Aral Sea. In terms of water content, the Syrdarya is the second most important river in Central Asia, but it is longer in length. From the sources of the Naryn its length is 3019 km, with a catchment area of 219 000 km². Its origins lie deep in the Central Tien Shan. The river is called Syrdarya after the point where Naryn joins with Karadarya. The river is fed by glaciers and snow, with a predominance of the latter. The water regime is characterized by spring-summer floods, which begin in April. The largest discharge is in June. The bulk of the Syrdarya river runoff is formed in the Kyrgyz Republic. The Syr Darya flows through Uzbekistan and Tajikistan and empties into the Aral Sea in Kazakhstan.

Poverty rate

Poverty line, cost of living and methodology for calculating indicators have not yet been determined by the national legislation of Uzbekistan. According to the World Bank's estimates,

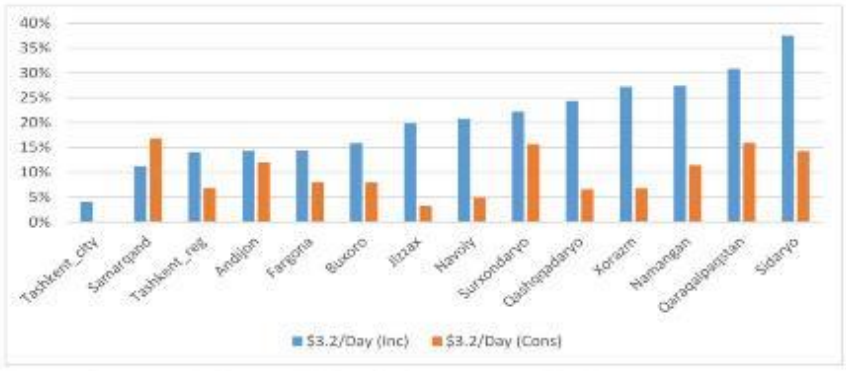
[9] http://www.cawater-info.net/library/rus/watlib/watlib-01-2015.pdf

made on the basis of household budget surveys regularly conducted by the State Committee on Statistics, in 2001 the poor in Uzbekistan accounted for 31.5% of the total population, including in rural areas - 33.6%, in cities - 27.8%. The poverty line was defined as a monetized average daily food consumption per capita of less than 2,100 kcal. In 2015 (the latest available data by region[10]), the average poverty level in the country decreased to 13.7% and amounted to 29.7% in the Republic of Karakalpakstan (the poorest region of the country), 16.4% in the Syrdarya region and 10.9% in Samarkand region[11].

In June 2019. a new World Bank policy research working paper was published[12]. Given the lack of access to the database of the National Household Budget Survey, compiled annually by the State Statistics Committee, poverty assessments were carried out at the level of each district of Uzbekistan based on the welfare assessment obtained from the World Bank baseline study "Listening to the Citizens of Uzbekistan" (2018). In addition to the international "low income poverty line" ($ 1.9 per person per day in PPP), the World Bank also uses an income poverty line to facilitate comparisons between countries at similar stages of development. The income poverty line is defined for lower middle and upper middle income countries and is based on the national poverty lines of the countries in each group. As such, they provide a more appropriate threshold for measuring poverty rates for countries in each income class. The lines are defined at US $ 3.2 (for lower middle income countries like Uzbekistan) and US $ 5.5 (for upper middle income countries like Kazakhstan). The indicators of well-being by income or consumption used are the same as those of the international poverty line.

According to the report, in 2018, the poverty level in Uzbekistan, measured at $ 3.2 / day, was 9.6% of the population, 36.6% - at $ 5.5 / day.

The study showed that the income poverty rate of $ 3.2 / day in 2018 in Samarkand region was one of the lowest (less than 12% of the population), while Karakalpakstan and Syrdarya were the poorest regions of the country (30% and 38%, respectively). See Figure 8



Source: The Listening to the Citizens of Uzbekistan baseline survey, Author's calculations

Figure 8: Poverty rate in the regions of Uzbekistan

[10] World Bank. 2007. Republic of Uzbekistan : Living Standards Assessment Update. Washington, DC. © World Bank. https://openknowledge.worldbank.org/handle/10986/7872 License: CC BY 3.0 IGO."

[11] Rising living standards in the country have shown that a food-only methodology underestimates the cost of a full basket of goods. Thus, this poverty assessment method does not reflect the real situation. In the meantime, in 2012, the Ministry of Labor developed a methodology for identifying low-income families, which is still used by local governments to assign benefits to low-income families. This methodology is determined by the Resolution of the Cabinet of Ministers dated February 15, 2013 No. 44 "On the procedure for assigning and paying social benefits and material assistance to low-income (poor) families." The minimum income threshold for eligibility is set at 1.5 times the minimum wage per family member per month. Given the absence of other statutory poverty criteria, the above methodology should be used for a more detailed social assessment in order to calculate the poverty rate.

[12] Poverty and Equity Global Practice, William Seitz "Where They Live District-Level Measures of Poverty, Average Consumption, and the Middle Class in Central Asia" Policy Research Working Paper WB 8940, 2019

To date, the project is being implemented in three medium size towns of Uzbekistan – Chartaq (Namangan province), Qagan (Bukhara province), and Yangiyul (Tashkent province). Locations of the selected cities within Uzbekistan are presented on the Figure 9, Figure 10 and Figure 11.

Chartaq city

Chartaq city is administrative center of Chartaq district located on the northern part of Namangan province (Figure 9). Chartaq district was established in 15 April 1950. The territory of Chartaq district is 377.8 km2 and territory of Chartaq city is 17 km2. The relief of the district is mountain consisted of adyr (hilly) sites. The territory of the district has slope from the north to the south and from the west to the east. The average attitude is 405-460 meters sea level.

Chartaq city of Namangan province located at the northern group of districts of Ferghana climatic region that extends to the homonymous intermountain basin and the slopes of the mountain frame.

The relative orographic closure of the Ferghana Basin and its north-eastern position on the territory of the Republic determine the originality of its climate. The plain and foothill parts of the region have the lowest average January temperature in comparison with other foothill-mountainous districts of Uzbekistan (0°- -2°). Real wintertime lasts 3,5 months. Absolut minimum of temperature is -26° -27° (in some places -30°). The average temperature of July is 26-28°. Absolute maximum of temperature is 40-42°. Annual precipitation on the north is 150-200 mm. Sum of positive temperatures is 4300-4600°.

Two main canals flow through territory of the Namangan province – Big Namangan and Big Ferghana canals. Chartaqsay canal crosses territory of the Chartaq city.

There are a lot of resorts and sanatoriums on the territory of Chartaq district. Sources of mineral water with medicine purposes are located within 10-12 km from Chartaq city. There are number of historical heritage on the territory of the Chartaq district and adjusted territory. Mostly they are tombs revered by the local population as sacred places.

Total population of Chartaq district is 190,90013 (1st January, 2018), from them 97,449 is females and 93,451 males. The majority of population is Uzbeks and Kyrgyz, there are also Tajik, Tatar, Russian and Kazakh live in Chaqrtaq district. Educational potential is represented by 27 kindergartens, 53 secondary schools and 1 lyceum.

There are 19 ambulatory polyclinics, 7 hospitals, 5 family policlinics and 7 rural medical centers in the districts. Among the main productions are agriculture products processing, packaging, cable production, mineral water production.

[13] Data provided by Chartaq district hokimiyat,

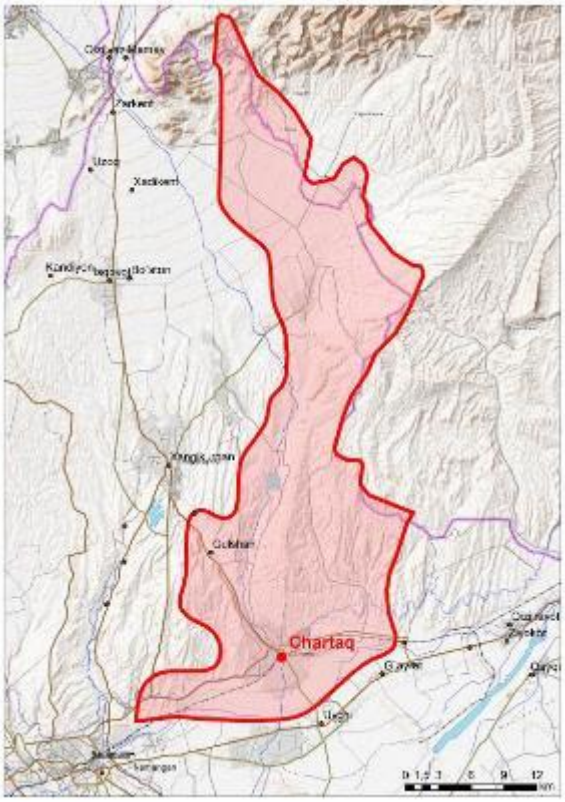


Figure 9: Chartaq district in Namangan province

Qagan city

Qagan city is administrative center of Qagan district of Bukhara province. Qagan district was established in 29 September 1926. The territory of Qagan district is 0.51 sq.km, territory of Qagan city is 15.35 sq.km.

Qagan district is located at the Low-Zarafshan group of districts of Qizilkum climatic region that covers the lower course of Zarafshan river. There are Bukhara and Karakul oases within the climatic region.

The region borders on Turkmenistan in the south and south-west. This is a flat area. Among the other lowland districts, it occupies the most southern position. Therefore, it is characterized by the warmest winter period in Uzbekistan (0°- +2°). Real wintertime lasts 1 month. Absolut minimum of temperature is -26°. The average temperature of July is 28-30°. Absolute maximum of temperature is 45-46°. Annual precipitation is 130-150 mm. Sum of positive temperatures is 4300-4600°.

The main water course of district is Amu-Bukhara canal, which is pumped water from Amudarya river. Soil of district is saline. Ground water within project district varies during the year from 5 meters during the winter and to 1,5-2 meters during the spring-summer time.

Total population of Qagan district is 60.4 thousand people. There are 2 hospitals, 15 kindergartens, 11 secondary schools and 2 colleges in the district. The majority of population is represented by Uzbek, also Turkmen, Tajik, Kazakh, Russian and Tatar live in the district.

In accordance with last inventory, conducted by local khokimiyat, 46 cultural heritages dated from end of XIX – beginning of XX centuries were identified in Qagan city.

Through railway station in Qagan city tourists reach famous historical city – Bukhara.

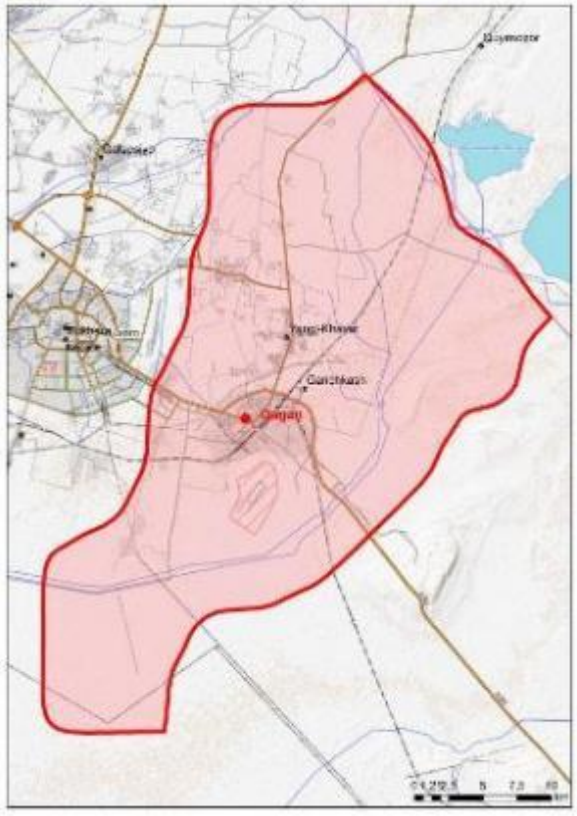


Figure 11: Qagan district in Bukhara province

Yangiyul city

The Yangiyul city is administrative center of Yangiyul district was established in 1926 and it borders with Kazakhstan, Zangiota, Chinaz, Quyi Chirchik districts of Tashkent province and Tashkent city. Yangiyul district is located in the plain part of Chirchik climatic area, which includes near-Tashkent loess plain and Western Tien Shan Range irrigated from Chirchik and Angren rivers.

The district territory is open on the west and south-west for movement of air masses, therefore there are more precipitation in this area in comparison with another plain parts of Uzbekistan. Precipitation amount varies from 300 and 400 mm.

The average temperature of January varies from -1,0 up to -1,5°C. The duration of real winter period is 1.5-2 months. The absolute minimum is below 30°C. The summer is hot, the average temperature of July is 27°C. Absolute temperature maximums are 42° C. On the most part of the territory, a vegetation period exceeds 200 days, sum of plus temperature varies from 4500 up to 4600°. Favorable conditions allow growing cotton and warm heat-loving crops and having harvest 2-3 times per year.

The main water course in the project is Chirchik river. The Chirchik river which is formed due to confluence of Chatkal and Pskem river is the main natural waterway in the survey area. The flow of Chirchik river is regulated by Charvak water reservoir with a usable capacity of 2 billion m^3.

Ground water level within project territory is determined on the level of 1,2-4,7 m below the surface. The project area was significantly influenced by anthropogenic factor. The list of representatives of fauna of reviewed district is limited those type of animals, who could adapt to the life in anthropogenic conditions. The vegetation is represented by artificial planting of

trees, bushes, fruit and vegetable crops. The territory of the Yangiyul district is 431.7 sq.km and territory of Yangiyul city is ?? sq.km.

There are 22 kindergartens, 68 schools and 9 colleges in the Yangiyul district. The food, textile, construction materials productions, oil refinery are developed in the district. Around 23.3 thousand ha of district is cultivated area, where cotton, wheat and various vegetables grows.

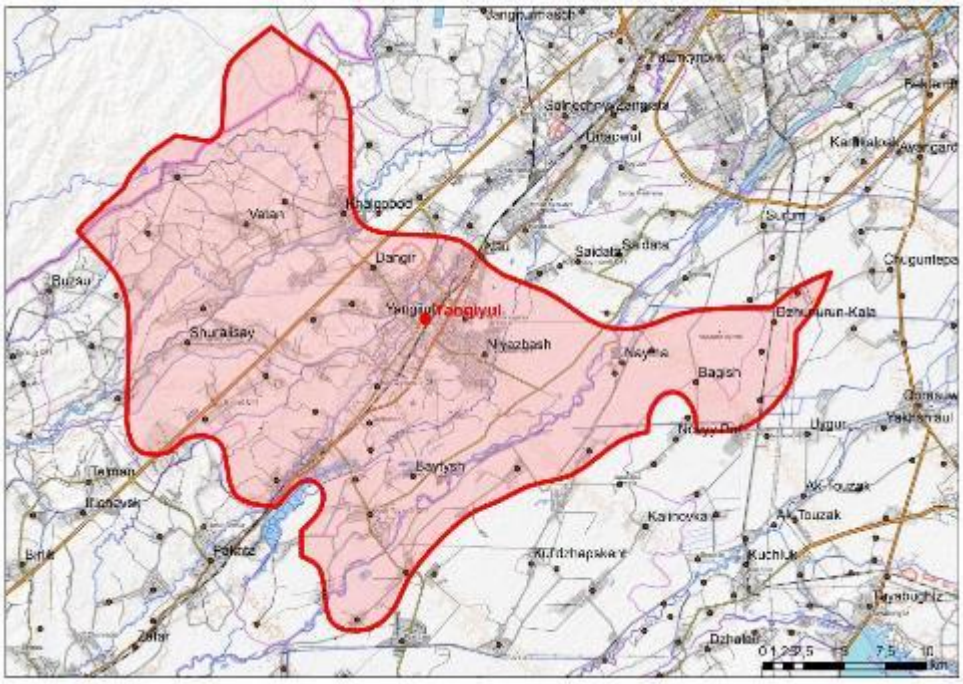


Figure 11: Yangiyul district in Tashkent province

Cities in Kashkadarya and Surkhandarya regions will be identified with additional research as part of the implementation of additional funding for the project.

As for Surkandarya and Kashkadarya regions, both of them are located in the south and south-eastern Uzbekistan and Surkhandarya has most international borders- with Turkmenistan, Afghanistan and Tajikistan. Around 17.4% of Uzbekistan's total urban population resides in these two regions[14]. These two regions are recognized as lagging regions, and they have untapped development potential, including as important logistical and tourism corridors. Surkhandarya's climate is continental, with mild wet winters and hot dry summers. The southern part of the region is in the Badkhiz-Karabil semi-desert ecoregion, characterized by a savanna of pistachio and desert sedge. The northern portion is characterized by open woodlands (Gissaro-Alai open woodlands ecoregion), with characteristic plants being pistachio, almond, walnut, apple, and juniper. The Surkhon Oasis is a region with an ancient history

Kashkadarya's climate is a typically arid continental climate and partly semi-tropical. Kashkadarya is a region with a unique historical and cultural past, with Shakhrisabz city having been included in the UNESCO World Cultural Heritagr List.

[14] http://www.citypopulation.de/en/uzbekistan/admin/

The region also contains many natural, historical Islamic heritages sities. The highest point of the Region and also of Uzbekistan is Khazrati Sulton peak reaching 4,643 m/15,233 ft in Gissar Range[15].

Both regions are the most industrially-advanced regions of the republic, owning enormous economic potential, a qualified labor force, and rich mineral and hydrocarbon resources.

[15] https://en.wikipedia.org/wiki/Khazret_Sultan

4 ENVIRONMENTAL AND SOCIAL SCREENING AND ASSESSMENT GUIDELINES

These Guidelines provide necessary rules and procedures as well as the steps in conducting subprojects ESA and are following both, WB OPs and national EA regulatory framework.

4.1 Environmental Screening and Assessment Guidelines

4.1.1 Potential environmental impacts

Conducted EA concluded that the Project will generate mostly positive socio-economic benefits due to the improvement of urban infrastructure services environmental conditions on the participating cities. Rehabilitation of urban infrastructure will significantly improve living conditions, water supply and sanitation, solid waste management, would reduce the level of pollutants emissions which will overall have significant effects on the health of population and environment of cities in general. At the same time the proposed project activities might generate a series of various adverse environmental and social impacts. These impacts would be associated with generation of wastes, noise, dust, and air pollution, health hazards and labor safety issues, etc., due to civil works. All of them are expected to be typical for small scale construction/rehabilitation works, temporary by nature and site specific, and can be easily mitigated by applying best construction practices and relevant mitigation measures. The summary of potential environmental risks and impacts along with the generic mitigation measures are presented in the Table 9 below. The proposed measures could be used for development of ESMPs for selected sub-projects.

Table 9: Potential project environmental risks and impacts

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
1	**Street lighting upgrading;** ▪ Repairing of existing pillars; ▪ Replace old pillars with new ones; ▪ Installing new pillars where needed; ▪ Replacements of bulbs;	• Waste generation including construction (package materials, used and hazardous (containing mercury) wastes;	✓ Segregate wastes on recycled and non-recycled; ✓ Recycled wastes utilize (sell) to relevant organizations; ✓ Non-recycled utilize to municipal landfills; ✓ Some of replacing pillars could be re-used for other parts of city or neighboring settlements; ✓ Dispose replaced bulbs contained mercury in accordance with national regulation[16]; ✓ Timely dispose all wastes from construction sites (within 1 day).
		• Dust pollution;	✓ Apply watering of construction sites and roads inside settlements during dry season; ✓ Cover transported bulk materials; ✓ Control speed limitation for vehicles during movement inside of settlements - no more than 40 km/h.
		• Noise pollution and vibration;	✓ Operation of noisy equipment shall be conducted between 7 am and 7 pm only; ✓ Limitation on speed for vehicles;
		• Health and safety of workers and community (risk of electric shock, falling objectives from height and etc.)	✓ Contractor has to comply with requirements of Labor Code of the RUz (1998) and standards on work and health safety[17], IFC EHS Guidelines (2007) ✓ Construction sites will be properly lightened and fenced, clear signs will be placed with indication of conducting works; ✓ Contractor and PIU will inform population about anticipated works in the settlement in advance;

[16] Decree of the Cabinet of Ministers of the Republic of Uzbekistan on Approval of the collection and disposal of used mercury-containing lamps. No. 266 of 21.09.2011
[17] Construction Norms and Rules # 3.01.01-03. Organization of Construction works. 2003

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
		• Risk of losses trees and vegetation during installing of new pillars	✓ Avoid cutting trees as much as possible. If cutting trees is unavoidable, to compensate losses in accordance with CMR # 290 dated from 2014[18]
2	**Parks, playgrounds, and other public spaces improvements**	• Dust generation • Noise pollution • Waste generation	✓ The same as for subproject # 1 (dust generation) ✓ The same as for subproject # 1 (noise pollution) ✓ Segregate wastes on recycled and non-recycled; ✓ Recycled wastes utilize (sell) to relevant organizations; ✓ Non-recycled utilize to municipal landfills; ✓ Timely dispose all wastes from construction sites (within 1 day)
3	**Intra city transport:** ▪ Construction/rehabilitation of bus terminals and stops; ▪ Construction of car parking areas; ▪ Installing street lights and road signs	• Generation of construction wastes • Dust pollution; • Noise pollution and vibration; • Health and safety of workers and community	✓ The same as for subproject # 2 (waste generation) ✓ The same as for subproject # 1 (dust generation) ✓ The same as for subproject # 1 (noise pollution and vibration) ✓ The same as for subproject # 1 (H&S of workers and community)

[18] Decree Cabinet Ministries (DCM) # 290 dated from 2014, "About regulation use of biological resources and on the order of procedure of getting permission for their use"

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
4	**Roads rehabilitation:** • Widening of existing roads (within the ROW); **Road resurfacing** • Construction of bicycle trial; • Rehabilitation of walkways	• Air pollution	✓ All vehicles and techniques must comply with technical requirements and have to pass regular inspection as indicated into the national standards[19]; ✓ Prohibit open burning of solid wastes generated from construction activities; ✓ Near dwellings or public places engine idling should not exceed 5 minutes
		• Dust pollution;	✓ The same as for subproject # 1 (dust generation)
		• Waste generation including construction and hazardous (road paint, bitumen residuals);	✓ Segregate wastes on recycled and non-recycled; ✓ Recycled wastes utilize (sell) to relevant organizations; ✓ Non-recycled utilize to municipal landfills; ✓ Storage hazardous wastes in specially equipped places, preventing leakage pollution of soil and ground water ✓ Timely dispose all wastes from construction sites (within 1 day)
		• Noise pollution and vibration;	✓ Operation of noisy and heavy equipment shall be conducted between 7 am and 7 pm only; ✓ Limitation on speed for vehicles; ✓ For the areas where construction/rehabilitation works will be implemented close to cultural/historical heritages or old buildings usage of heavy techniques on the distance closer than 2 meters will be prohibited. All works which may generated vibration, need to conducted manually
			✓ Prohibit refilling of cars and repairing works next to water courses;

[19] "O'z DSt 1057:2004 Vehicles. Safety requirements for technical conditions" and "O'z DSt 1058:2004 Vehicles. Technical inspection. Method of control".

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
		• Water pollution (if construction works will be conducted next to work courses) • Cutting trees • Health and safety of workers and community	✓ Avoid direct discharge of wastes and waste water into the water courses ✓ The same as for subproject #1 (losses trees and vegetation) ✓ The same as for subproject # 1 (H&S of workers and community)
5	▪ **Bridge rehabilitation – extension of existing automobile bridge** ▪ **Construction small scale new bridges, including pedestrian ones**	• Air pollution • Dust generation • Waste generation • Noise pollution and vibration; • Water pollution • Health and safety workers and community • Limited access to road (in case of extension of existing automobile bridge)	✓ The same as for subproject # 4 (air pollution) ✓ The same as for subproject # 1 (dust generation) ✓ The same as for subproject # 4 (waste generation) ✓ The same as for subproject # 4 (noise pollution and vibration) ✓ The same as for subproject # 4 (water pollution) ✓ The same as for subproject # 1 (H&S of workers and community) ✓ The population needs to be informed in advance about planning works; ✓ Bypass roads need to be agreed with Road Policy and to be presented to public prior starting construction works; ✓ Proper signs and information needs to be placed at the construction sites
6	▪ **Drainage extension** ▪ **Widening of existing drains** ▪ **Rehabilitation of existing drains**	• Soil degradation	✓ The top soil of about 30 cm depth shall be removed and stored separately during excavation work, and after completion of the main construction the same soil shall be replaced on the top, in unpaved areas;

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
	▪ **Drilling of new shallow wells/rehabilitation of existing for flood control and reduction with installation of pumps**	• Waste generation • Losses of trees • Noise and vibration pollutions • Air pollution and dust generation • Chance finds	✓ To minimize soil compaction, movement of all type techniques will be allowed only through agreed assess roads; ✓ Contractors will be required to use only authorized carriers with getting all necessary permissions per respective national legislation; ✓ Storage of hazardous materials, techniques and vehicles refueling and repairmen works will be prohibited on construction sites. All these types of works need to be conducted at the special equipped workshops and stations ✓ The same as for subproject # 4 (waste generation) ✓ The same as for subproject #1 (losses trees and vegetation) ✓ The same as for subproject # 4 (noise pollution and vibration) ✓ The same as for subproject # 4 (air pollution and dust generation) ✓ The following procedure needs to implanted: • do not disturb any chance find further until an assessment by competent professionals is made and actions are identified; • Notify relevant authorities of found objects or sites by cultural heritage experts; • to fence-off the area of finds or sites to avoid further disturbance; • to conduct an assessment of found objects or sites by cultural heritage experts; • to identify and implement actions consistent with the requirements of the OP 4.11 on Physical Cultural Resources and national law;

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
			• when needed, to train project personnel and project workers on chance find procedures.
		• Health and safety workers and community	✓ The same as for subproject # 1 (H&S of workers and community)
7	▪ **Extension and rehabilitation of water supply networks** ▪ **Drilling of new deep-water wells** ▪ **Construction/rehabilitation of water reservoirs** ▪ **Overhead water tanks** ▪ **Construction or rehabilitation of pumping stations**	***For construction period*** • Air pollution and dust generation;	✓ The same as for subproject # 4 (air pollution and dust generation)
		• Losses of fertilized soil;	✓ The same as for subproject # 6 (soil degradation)
		• Waste generation (including used asbestos pipes);	✓ In addition to action recommended for subproject # 4 (waste generation) special attention needed to be paid asbestos pipes – they should not be touched and excavated. New pipes have to be laid next to old pipes;
		• Losses of trees and crops;	✓ The same as for subproject #1 (losses trees and vegetation)
		• Temporary blockage of access to public facilities such as shops, houses and etc.	✓ Provides temporary bridges for shops and houses which were blocked due to project works. ✓ Inform population in advance about planning works ✓ Set up construction works in the way which will minimize time of blockage shops and houses
		• Noise and vibration pollution	✓ The same as for subproject # 4 (noise pollution and vibration)
		• Health and safety for workers and communities	✓ The same as for subproject # 1 (H&S of workers and community)
		• Chance finds	✓ The same as for subproject #6 (chance finds)
		For operation period	

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
		• Soil collapsing due to over extracting water from wellfield; • Generation of wastes including hazardous materials; • Increasing of sewage due to increasing of supplied water	✓ Beneficiary should receive official confirmation from the State Committee on Geology and Mineral Resources on existing reservoirs and operational capacity of ground water wells ✓ Discharging chemical's reagents residual into water stream without treatment will be prohibited. Special procedure of utilization of such reagents, indicated in Standards for Drinking Water, 2011 has to be implemented. ✓ Conduction of awareness program on proper and timely waste water disposal for population in the project area; ✓ Ensure proper maintenance of the septic tanks and timely removal sludge from tanks
8	▪ **Sewerage network extension and rehabilitation;** ▪ **Rehabilitation of sewage pumping stations** ▪ **Septic Tanks**	• Air pollution and dust generation; • Noise and vibration pollution • Waste generation (including used asbestos pipes); • Losses of trees; • Temporary blockage of access to public facilities such as shops, houses and etc. • Health and safety for workers and communities	✓ The same as for subproject # 4 (air pollution and dust generation) ✓ The same as for subproject # 4 (noise pollution and vibration) ✓ The same as for subproject # 7 (waste generation) ✓ The same as for subproject #1 (losses trees and vegetation) ✓ The same as for subproject # 7 (temporary blockage) ✓ The same as for subproject # 1 (H&S of workers and community)

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
		• Chance finds	✓ The same as for subproject # 6 (Chance finds)
9	**Solid waste management systems:** ▪ Construction of solid waste processing facilities (segregation) ▪ Construction of collection points ▪ Improvement of solid wastes landfill	• Air pollution and dust generation • Noise pollution (during construction of collection points) • Waste generation	✓ The same as for subproject # 4 (air pollution and dust generation) ✓ The same as for subproject # 4 (noise pollution and vibration) ✓ The same as for subproject # 4 (waste generation)
10	**Social infrastructure upgrading:** ▪ Repair/replacement of external doors and windows, window optimization; ▪ Insulation of walls, basements and attics; ▪ Small scale refurbishing activities inside the school premises (e.g. walls repainting, tiling, installation of cable ducts, new water-pipes) ▪ Major refurbishing activities involving removal / reconstruction of walls (especially when containing Asbestos isolations or sheets); ▪ Replacement of the asbestos roofs	• Waste generation including construction and hazardous; • Air pollution and dust generation; • Noise pollution; • Health safety of workers and community;	✓ Prior to commencement of rehabilitation works at the building where asbestos materials contained in roof and thermo isolation, to develop Asbestos Management Plan for each site in accordance with Appendix ??. ✓ Other measures proposed for subproject # 4 (waste generation) ✓ The same as for subproject # 4 (air pollution and dust generation) ✓ The same as for subproject # 1 (noise pollution) ✓ The same as for subproject # 1 (H&S of workers and community)
11	**Cultural heritage rehabilitation and conservation**	• Air pollution and dust generation • Noise pollution	✓ The same as for subproject # 4 (air pollution and dust generation)

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
		• Vibration • Wastes generation • Risk of damage historical building due to project works • Health safety of workers and community;	✓ The same as for subproject # 1 (noise pollution) ✓ Avoid usage techniques which could generate vibration level which exceed norms in 94 dB[20] (10 meters from vibration source) ✓ The same as for subproject # 4 (waste generation) ✓ Develop Specific Environmental Management Plan in accordance guidelines provided Chapter 5.6 ✓ The same as for subproject # 1 (H&S of workers and community)
12	▪ **Underground electric cabling (for magistral lines)** ▪ **Overhead electric cabling** ▪ **New distribution electrical transformers;** ▪ **Installing of short segments of new distribution lines or replacing of obsolete pillars;**	• Waste generation including construction wastes; • Chance finds; • Losses of trees; • Noise and vibration • Health safety of workers and community;	✓ The same as for subproject # 4 (waste generation) ✓ The same as for subproject #6 (chance finds) ✓ The same as for subproject #1 (losses trees and vegetation) ✓ The same as for subproject # 4 (noise pollution and vibration) ✓ The same as for subproject # 1 (H&S of workers and community
13	**Purchasing of public utilities equipment; transportation means and etc.**	• Waste generation	✓ The same as for subproject # 4 (waste generation)
14	▪ **Reconstruction, modernization of heating systems, (replacement or**	• Air pollution and dust generation	✓ The same as for subproject # 4 (air pollution and dust generation) ✓ The same as for subproject # 1 (noise pollution)

[20] Standard threshold for historical building in 94dB is established by Swiss Association of Standardization, (1992)

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE ENVIRONMENTAL RISKS AND IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
	modernization of the heat source such as: burner, boiler or external sources); ▪ **Buildings retrofitting and insulation;** ▪ **Installation of solar panels;** ▪ **Replacement of old heating pipes under roads to be rehabilitated**	• Noise and vibration pollution • Waste generation • Health safety of workers and community; • Socio-economic impacts (temporary blockage of access to public facilities such as shops, houses and etc.)	✓ The same as for subproject # 4 (waste generation) ✓ The same as for subproject # 1 (H&S of workers and community) ✓ The same as for subproject # 7 (temporary blockage)
15	**Smalls scale construction of public facilities (information centers; visitor centers; maintenance facilities; storage facilities)**	• Air pollution and dust generation; • Noise pollution (during construction of collection points); • Waste generation; • Health safety of workers and community	✓ The same as for subproject # 4 (air pollution and dust generation) ✓ The same as for subproject # 1 (noise pollution) ✓ The same as for subproject # 4 (waste generation) ✓ The same as for subproject # 1 (H&S of workers and community)
16	**Installing antennas for providing WIFI services**	• Waste generation • Health safety of workers and community	✓ The same as for subproject # 4 (waste generation) ✓ The same as for subproject # 1 (H&S of workers and community)

The nature of anticipated impacts is provided below:

Dust generation will occur during conduction of most types of construction/rehabilitation works that are related to earth works, movement of vehicles, rehabilitation of buildings and etc. Especially, risk of dust pollution will increase during the windy weather. The magnitude of impact will increase when construction/rehabilitation works will be conducted close to living area. Taking in account nature of most of the works this impact is expected to be short term with moderate risk and it could be easily mitigated by implementation of measures recommended in the Table 5. However, more additional measures (more often watering, installation of dust screen) could be required for sub-projects related to construction of new ground water intake and networks, rehabilitation of bridges and etc.

Pollution with asbestos dust - asbestos dust generating during demolishing of old roofs from rehabilitated/re-innovating buildings may cause a serious risk for health of people living in houses next or close to construction sites. More detail description on actions needed to be undertaken for prevention asbestos dust pollution is provided in para with hazardous wastes.

Waste generation – under the program two types of wastes will be generated: non-hazardous and hazardous.

Non-hazardous wastes will be generated during the most part of construction works and will be represented by demolishing parts of existing roads, buildings, pipes. Storage of such wastes in areas close to settlement and untimely or improper disposal may impact on air quality, dust generation and disturbance of neighboring settlements. Besides these wastes, used welding rods, packing materials, woods will be generated as well. During rehabilitation of water supply and sewage networks old pipes maybe excavated for replacement by new ones. Old metal pipes could be re-used as a scrap. However, old asbestos pipes will have to be not touched and not excavated.

Hazardous wastes – it is expected that during project works implementation two types of hazardous materials will need a special attention – (i) asbestos contained in the roofs, and (ii) PCBs which could be contained in replaced transformers.

Some of the rehabilitated building covered by slates contained asbestos. For such cases prior conduction construction works, contractor will have to develop Asbestos Management Plan in template provided in Annex 10. The Asbestos-Containing Materials Management Plan (ACMMP) describes and evaluates the risk of contractors (and others) encountering asbestos-containing material (ACM) at the Project construction sites during the implementation stage of the project; and it provides a procedure for dealing quickly and safely with any ACM that may be found. The WB OP 4.01 Environmental Assessment requires that WB-funded projects apply pollution prevention and control technologies and health and safety measures that are consistent with international good practice, as reflected in international standards such as the IFC/World Bank *Environmental, Health and Safety General Guidelines* (2007). If national legislation differs from these standards, the borrower is required to achieve whichever is more stringent. There is national procedure Sanitarian Norms and Rules (SNR) of RUz # 0300-11 dated from 2011 "Organization of collection, inventory, classification, disposal, storage and recycling of industrial waste in the conditions of Uzbekistan" covering disposal of ACM[21] in

[21] Uzbek Sanitary Norms SanPin 0233-07 "National standards "Sanitarian Norms and Rules on Work Hygiene and Environment Protection during production and usage of ACM" was one of a number of pieces of legislation deregulated in the 1980's. Notwithstanding their lack of legal status, as the most recently-available local standard, the regulations were referred to in preparing the ACMMP and the protocol for handling and disposal of ACM (see Section 3) incorporates soil covering requirements from the SanPin.

Uzbekistan. However, the procedure does provide clear description of handling ACM, therefore, the ACMMP follows the World Bank Guidelines.

The main principles of the ACMMP is (i) prompt and effective action to contain and deal appropriately with the ACM (including safe management and disposal); and (ii) maintaining the safety of site personnel and the general public at all times. The ACMMP is designed for use by Contractor, RPIU and the Project Implementation Unit (PIU) to manage the ACM risk over the project as a whole, and by contractors to deal efficiently with any ACM they or their workers encounter. The procedural element of the ACMMP is therefore designed to provide straightforward instructions that can be easily and quickly understood without the need for specialist knowledge and without referring to other sources.

Most of replaced transformers were produced before 1994[22] and there is a possibility that oil contained PCB was used for such equipment. Due to specific of nature of works on transformers demolishing, replacement and further hand over of installed new transformers, such works could be conducted only by eligible organizations with appropriate certificates/license. Therefore, this activity will be implemented by SJC "Uzbekenergo", owner of the electricity facility. Demolished transformers will be transferred to SJC "Uzbekenergo" for further storage and disposal. There are procedures on disposal of used oils and transformer in Uzbekistan[23], however taking in consideration a possibility of PCB presence in transformer oil, disposal of this equipment requires special approach. This approach was developed within Framework of the "Modernization and Upgrade of Transmission Uzbekistan" project in 2015 and approved by Uzbekenergo Substations.

For the rest of hazardous wastes the standard best practice need to be applied – collection and storage in the special designated and equipped places with proper labeling, timely disposal, etc.

Noise pollution and vibration - Noise pollution and excess norms for vibration may occur mainly during operation of machinery and trucks movement. It is not expected that during project works noise level will significantly exceed established norms. The impacts could be mitigated by using recommended measures. In most of the cases vibration will not impact on people heath and integrity of structures. However, for the works which will be conducted near to historical heritages or old buildings with using of heavy techniques (such as excavator and bulldozers) needs to be avoided. Earth works (trench digging, excavation, rammer and etc.) as the main source of vibration needs to be conducted manually. In addition, movement of loaded trucks close to such building needs to be minimized as well.

Health and safety of workers and community:

For community - Inadequate lighting and fencing of construction sites inside of settlement areas can be dangerous for pedestrians and vehicles especially during the night time. Increasing of traffic due to trucks and vehicles movements to construction sites, temporary closing of roads during pipe lying inside of settlements may cause inconvenience for local population as well. In addition, pipe lying will cause temporary blockage of household access.

Untimely and inefficient disposal of solid waste and improper sanitary conditions generated by the construction workers at construction sites and labor camps may cause pollution of the

[22] In Russia, Last transformer contained PCB was produced in 1993. all transformers used at WDCs were produced in Russia.
[23] Safety regulations for the maintenance of electrical consumers, Approved by State Inspection under Uzenergonadzor, 2004 and Regulation guideline 34-301-941:2007 Individual norms for oil usage for repairing and maintenance needs for equipment of energy enterprises

surrounding environment and affect the health of local people. Moreover, a movement of heavy tracks may destroy or deteriorate conditions of roads inside settlements.

For workers - Safety and health non-compliance may create a risk for construction workers. The Contractors will have to follow Occupation Safety and Health rules, which include among others strictly implementation established norms and procedure H&S which depends on type on conducting works, usage of PPE, training activities and monitoring. In addition, all workers need to be introduced to working procedure with hazardous materials (such as asbestos materials, PCBs etc.). Contractors have to provide workers with appropriate living conditions: safe water supply, washing conditions, rooms for rest and etc.

Air pollution - During construction stage pollutants emissions will be caused by earth works, construction/demolishing activities and exhaust gases from vehicles. Improper waste management, particularly burning of construction and domestic wastes may lead to air pollution. This impact could be minimized through implementation of standard good practice.

Risk of losses trees vegetation - impact may occur during pipe laying works, installation of pillars, construction/extension bridges, rehabilitation and construction of water supply and sewage networks. As a rule, construction works on pipe laying will be conducted along existing roads. Therefore, the impact is expected to be minimal since contractors will be requested to avoid felling trees as much as possible. However, if felling trees is unavoidable, compensations need to be paid to owner of trees or Goskomecologiya in accordance with DCM # 290 dated from 2014, "About regulation use of biological resources and on the order of procedure of getting permission for their use". Some crops could be affected if construction of water supply pipe will go through agricultural lands. Agricultural losses could be minimized if construction works will be conducted in post harvesting period. However, if it is not possible, compensation for lost crops will be paid in accordance with RAP.

Water pollution – for project sites, when project activities will be conducted next to the water courses the surface water could be polluted due to improper placement of excavated soil, improper storage of construction materials, leakage of fuel and lubricates from construction machinery, washing of vehicles and techniques without proper treatment.

Chance finds – some of the project cities are located in places where presence a chance of finding archeological heritage. It may happen during earth works, especially during soil excavation for tranches under water supply and sewage network construction/rehabilitation sub-projects.

Socio-economic impacts – sub-projects works may lead to losses of standing crops, temporary blockage of access to small shops, houses also may lead to losing population income. In additional, improper housekeeping practice, untimely construction and domestic wastes disposal will negatively impact on socio-economic environment. Implementation of the best practice and close work with local population will mitigate these impacts.

4.1.2 Main stages of environmental assessment and the role of involved parties

Each subproject proposal will undergo an ESA procedure, as follows:

ESA stages. Taking into account the EA requirements specified in the National Legislation, as well as the WB OPs and Environmental, Health, and Safety (EHS) General Guidelines the ESA process for selected sub-projects would involve three or four steps: (a) based on the preliminary project description prepare the Draft Statement of the Environmental Impacts (DSEI) which should be presented to the SEE for its review and approval; (b) based on the detailed project design prepare the ESMP for the project implementation phase (the description of the ESMP

is presented below); (c) during projects implementation and before its commissioning – when needed (this is specified in the decision of the SEE on the Statement draft of environmental impacts), - prepare the Statement of the Environmental Impacts; and (iv) before commissioning the project (only for category 1-3 projects (Uzbekistan)) prepare Statement on Environmental Consequences (SEC). Preparation of SEC is not mandatory for the projects belonged to category IV (Uzbekistan).

First stage - *Draft Statement of Environmental Impacts (DSEI)*. This document should be prepared by sub-project beneficiary and/or by a consultant hired on its behalf. The DCM # 541 (2020) specifies the content of DSEI. The content of document for project category IV projects is different from content of DSEI developing for category 1-3 projects. As indicated in Table 2, 1st category is similar to WB's Category A. 2nd category is equivalent to category B (WB) and 3th category is equivalent to category C (WB). DSEI's content for 4th category projects is more simplified than for projects category 1-3. The full DSEI should specify a large spectrum of environmental and social issues, based on the technical and economic substantiation of the sub-project and in particular the following : (a) environmental, social and economic baseline; (b) situational plan showing existing recreational areas, settlements, irrigation, reclamation facilities, farmland, power lines, transport communications, water, gas pipelines and other information about the area; (c) description of project activities and used technologies; (d) expected emissions, discharges, wastes, their negative impact on the environment and ways of neutralization; (e) warehousing, storage and disposal of wastes; (f) analysis of the alternatives of the proposed or existing activity and technological solutions from the perspective of environmental protection, taking into account the achievements of science, technology and best practices; (g) organizational, technical, technological solutions and activities, excluding the negative environmental impacts and mitigating the impact of the expertizing object on the environment; (j) analysis of emergency situations; and (i) forecast environmental changes and environmental impacts as a result of the implementation of the expertizing object; minutes of public consultation on public support for the project for objects of I and II categories of environmental impact, as well as proposals and objections received during public consulyation of the project.

For the projects belonged to Category 4 (Uzbek) the application questionnaire is filled out by the project initiator in electronic form through the personal account of the State Committee for Ecology and sent to the corresponding regional Center of State Environmental Expertise. They could be objects of simplified EA in accordance WB OP, therefore ESMP checklist will be prepared in template provided in Appendix 7.

The DSEI has to be reviewed and approved by the national level of Centrgosekoexpertisa (for the projects belong to category 1-2 (Uzbek) or Category A or B (WB)) or provincial level of Gosekoexpertisa (for the projects belong to category 3-4 (National) or category B (WB)) under State Committee of Ecology and Environmental protection (national and provincial level accordingly). The State Environmental Expertise confirms the project Category and specifies the main issues on what the project beneficiary has to be focused during the next steps of the EA process and during project implementation (construction or rehabilitation activities).

Second stage – development of ESMP needs to be done in accordance with instructions provided in Annex 6.

Third stage – development of SEI. This stage has to be implemented if it is required in Environmental Conclusion issued by DSEI. Usually such documents are developed to fulfill information provided into DSEI or provide investigation on indicated parameters. SEI needs to be developed before construction activities launching.

Fourth stage – development of Statement on Environmental Consequences (SEC) (for subprojects belonged to categories 2-3 (Uzbek) or Category B (WB)) will need to be developed prior the selected sub-projects will start operation.

Classification of projects of international financial organizations into categories A, B and C (I - category A, II - category B, III - category C, IV - category C +).

Subprojects that are not included in the list of activities that are the object of the national environmental assessment (EA) (Appendix No. 1 to the PCM No. 541 dated 09/07/2020) are subject to the state environmental examination, which determines the category of this type of activity based on materials submitted by the Expert Council at the State Committee for Ecology or as a result of field research.

If the materials submitted by one project initiator for the state ecological expertise are complex and consist of several objects of different categories that affect the environment and are located in the same production zone, their impact on the environment is determined according to the highest category.

4.1.3 Subproject environmental screening and proposed ESA instrument

This section provides guidance on screening process, proposing ESA instruments and approval process under the Project. As location of sub-project and type of activities are not clearly identified at this stage, it is important to have appropriate tools in place to assist to PIU in screening these activities for potential impacts and implementing measures to effectively address them. Screening and review process will consist of steps presented in Figure 12.

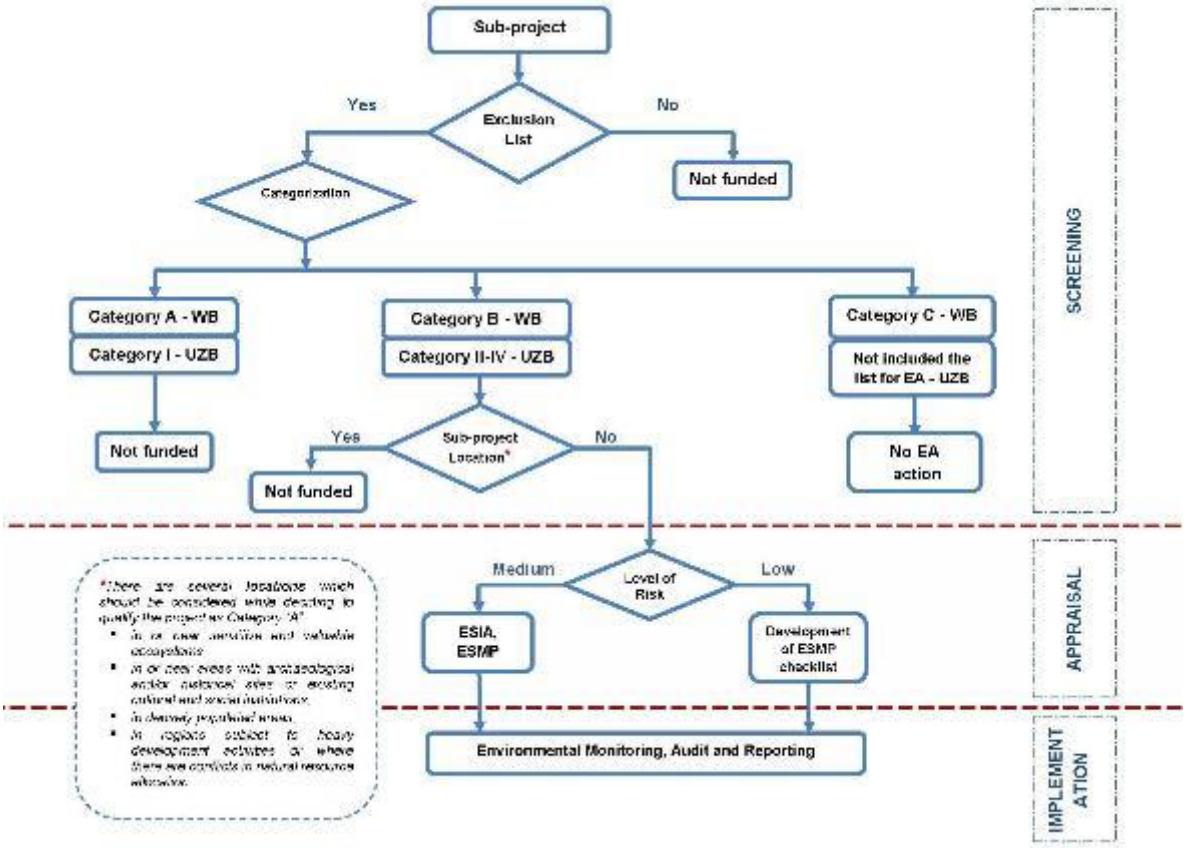


Figure 12: Screening and review process

4.1.4 Screening of sub-project activities and identification of EA instruments

Prior making decision on including a sub-project in the program, PIU safeguards expert will check on eligibility of the sub-project against IFC's Exclusion List (Annex 3). After that an environmental category of the project has to be defined in accordance with DCM # 541 (2020) or World Bank categorization. If the sub-project belongs to category A (WB) equivalent to category I (Uzbekistan), it has to be excluded from the Project. Detail definition of WB categorization is provided in Chapter 2.

It is expected the supported sub projects will be not related to specified above circumstances and respectively will not have significant environmental and social impacts. Only projects with categories II-IV (Uzbekistan) or categories B and C (WB) will be eligible for including into the program.

The potential project impact depends not only from type of activities but also depends on the subproject location. Thus, there are several locations which should be considered while deciding to qualify the project as category "A":

- ✓ in or near sensitive and valuable ecosystems — wetlands, wild lands, and habitat of endangered species
- ✓ in or near areas with archaeological and/or historical sites or existing cultural and social institutions;
- ✓ in densely populated areas, where resettlement may be required or potential pollution impact and other disturbances may significantly affect communities;
- ✓ in regions subject to heavy development activities or where there are conflicts in natural resource allocation; along watercourses, in aquifer recharge areas or in reservoir catchments used for potable water supply; and on lands or waters containing valuable resources (such as fisheries, minerals, medicinal plants, prime agricultural soils).

These conditions are not considered by the Uzbekistan regulation. Therefore, each sub-project needs to be checked on its location as well. Similarly, as above, the project will not support any sub-projects located in the proximity of mentioned areas and with specified potential impacts.

Once screening process confirmed that proposing sub-project is eligible for inclusion in the Program, PIU Safeguard Specialist (SS) will identify required instruments for EA. As it was mentioned above, only sub-projects category B (with moderate and low impact) which may generate some environmental and social impacts which can be addressed by applying certain mitigation measures. For the projects categorized as B (with moderate impact) a development of a site-specific ESIA and/or a simple ESMP will be required. In the case of project that involve some impacts which are not significant and which can be mitigated by well-known mitigation or avoidance measures or by applying best housekeeping and/or construction practices (low impact), it is recommended to apply an ESMP Checklist, - for small scale construction and reconstruction activities. Table 10 provides detail information on categorization of potential project activities and proposed EA instruments.

As it was described in Chapter 3 there is some differences in the project categorization and required actions between WB OPs and national environmental legislation. In accordance with national legislation, EA and further actions are not required for existing objects if: (i) planning rehabilitation/repairing of some of the object's facilities be conducted without extension of the territory of facilities where construction of rehabilitation will be implemented, and (ii) during operation phase consumption of natural resources and generation of wastes, discharges and

emissions will not increase. The legislation does not require a preparation of separate ESMP or any other environmental documents/plans/checklists.

However, WP OP 4.01 requires development of separate ESMP checklist for the activities which have low environmental impacts. Taking in account, that more strictly requirements need to be applied for this project, for thus sub-projects/activities which are not included in the list of mandatory state environmental expertise (Attachment #1 to CRM # 541 dated from September 7, 2020), but which is under activities with low impact (category B), the development of ESMP checklist is required.

In the case of subprojects which do not or require only minor civil works or which generally would not have any environmental and social impacts (such as purchasing vehicles or other equipment) the subproject will be qualified as Category C for which is not needed any further ESA activities. The table below provides proposed project activities and suggests their environmental Category along with the ESA instrument which could be applied.

Table 10: Screening of categories for proposed types of sub-projects and suggested EA instrument

No	*Project activity*	*Proposed Category*		*Remarks*	*Proposed EA instrument*	*Requirements of national legislation*
		WB	*National*			
1	Street lighting upgrading: Repairing of existing pillars Installing new pillars where needed; Replacements of bulbs;	B with minor risk	Not included the list for EA (-)		No further actions after filling the Environmental Screening Checklist. Including Occupational Health and Safety (OHS) requirements in the contracts	-
2	Parks, playgrounds, and other public spaces improvements	B with minor risk	(-)	Involving only minor civil works	No further actions after filling the Environmental Screening Checklist	-
3	Intra city transport: Construction/rehabilitation of bus terminals and stops; Construction of car parking areas; Installing street lights and road signs	B (minor risk) B (minor risk) C	4[24] category, (para 17) 4 (p7) -		ESMP Checklist ESMP Checklist No further actions after filling the Environmental Screening Checklist. Including Occupational Health and Safety OHS) requirements in the contracts	Draft Statement on Environmental Impacts (DSEI) DSEI -
4	Roads rehabilitation, Widening of existing roads (within the ROW); Road resurfacing Construction of bicycle trial;	B (minor risk) B (minor risk) C C	- - - -		ESMP Checklist for roads rehabilitation ESMP Checklist for roads rehabilitation Following good practice No further actions after filling the Environmental Screening Checklist	- - - -

[24] Attachment to Decree of Cabinet Ministries (DCM) # 491 (2001) (with amendments # 152 (2005) on "Regulation on Environmental Expertise" (2001)

No	*Project activity*	*Proposed Category*		*Remarks*	*Proposed EA instrument*	*Requirements of national legislation*
		WB	*National*			
	Rehabilitation of walkways	C	-		No further actions after filling the Environmental Screening Checklist	-
5.	Bridge rehabilitation	B (minor risk)	3 (p1)		ESMP Checklist	DSEI and SEC
	Construction small scale new bridges, including pedestrian ones	B (minor risk)	-		ESMP Checklist	-
5	Drainage extension;	B (minor risk)	4 (p17)		ESMP Checklist	DSEI
	Widening of existing drains;	B (minor risk)	4 (p3)		ESMP Checklist	DSEI
	Rehabilitation of existing drains;	C	4 (p27)		No further actions after filling the Environmental Screening Checklist and following good civil works practices	DSEI
	Drilling of new shallow wells/rehabilitation of existing for flood control and reduction with installation of pumps	C	4 (p27)		No further actions after filling the Environmental Screening Checklist and following good practices	DSEI
6	Extension and rehabilitation of water supply networks	B	4 (p27)	In the case of construction of new main water supply pipes	Depending on environmental sensitivity of location and scale of project - simple EIA and ESMP and/or an ESMP or an ESMP Checklist	DSEI
	Drilling of new deep-water wells	B (minor risk)	4 (p27)		ESMP Checklist, no further actions after filling the Environmental Screening Checklist, following good civil works practice,	DSEI

No	*Project activity*	*Proposed Category*		*Remarks*	*Proposed EA instrument*	*Requirements of national legislation*
		WB	*National*			
	Construction/rehabilitation of water reservoirs Overhead water tanks	B (minor risk)	4 (p3)		No further actions after filling the Environmental Screening Checklist, following good civil works practice,	DSEI
	Construction or rehabilitation of pumping stations	B (minor risk)	4 (p3)		ESMP Checklist,	DSEI
7	Sewerage network extension and rehabilitation;	B	4 (p3)		ESIA and ESMP	DSEI
	Rehabilitation of sewage pumping stations	B (minor risk)	4 (p3)		ESMP Checklist	DSEI
	Septic Tanks	C	-		No further actions after filling the Environmental Screening Checklist	-
	Rehabilitation of waste water treatment plants	B	3 (p2) if WWTP's capacity is less than 50 m^3/day 2 (p15) if WWTP's capacity more than m^3/day		ESIA and ESMP	DSEI and SEC
8	Solid waste management systems: Construction of solid waste processing facilities	B	3 (p20)		ESIA and ESMP,	DSEI and SEC

No	*Project activity*	*Proposed Category*		*Remarks*	*Proposed EA instrument*	*Requirements of national legislation*
		WB	*National*			
	Construction of collection points	B (minor risk)	4 (p19)		ESMP	DSEI
	Improvement of solid wastes landfill	B (minor risk)	-		ESIA and ESMP	-
9	Social infrastructure upgrading: Repair/replacement of external doors and windows, window optimization;	C	-		No further actions after filling the Environmental Screening Checklist	-
	Insulation of walls, basements and attics;	C	-		No further actions after filling the Environmental Screening Checklist	-
	Small scale refurbishing activities inside the school premises (e.g. walls repainting, tiling, installation of cable ducts, new water-pipes);	C	-		No further actions after filling the Environmental Screening Checklist	-
	Major refurbishing activities involving removal / reconstruction of walls (especially when containing Asbestos isolations or sheets);	B	-		ESMP Checklist including Asbestos management plan	-
	Replacement of the asbestos roofs;	B	-		ESMP Checklist including Asbestos management plan	-
10	Cultural heritage rehabilitation and conservation	B (minor risk)	4 (p17)		For minor rehabilitation civil works – mitigation and monitoring measures in the site specific ESMP; for large conservation	DSEI

No	*Project activity*	*Proposed Category*		*Remarks*	*Proposed EA instrument*	*Requirements of national legislation*
		WB	*National*			
					and renovation activities – special PCR Management Plan	
12	Underground electric cabling (for magistral lines)	C	4 (p17)		After completing screening checklist – including Occupational Health and Safety measures in the civil works contracts	DSEI
	Overhead electric cabling	C	4 (p17)		Similar as above	DSEI
	New distribution electrical transformers;	C	4 (p17)		Similar as above	DSEI
	Installing of short segments of new distribution lines or replacing of obsolete pillars;	C	-		Similar as above	-
14	Purchasing of public utilities equipment; transportation means.; etc.	C	-		No further actions after filling the Environmental Screening Checklist	-
15	Reconstruction, modernization of heating systems, (replacement or modernization of the heat source such as: burner, boiler or external sources);	B	3 if capacity is less than 5 m^3/h 4- more than 5 m^3/h	In the case of involving civil works	ESMP Checklist and OHS requirements into civil works contracts	DSEI and SEC (for category 3 only)
	Buildings retrofitting and insulation;	C	-		No further actions after filling the Environmental Screening Checklist	-
	Installation of solar panels;	C	-		Similar as above	-
	Replacement of old heating pipes under roads to be rehabilitated	B (minor risk)	-		ESMP Checklist	-

No	*Project activity*	*Proposed Category*		*Remarks*	*Proposed EA instrument*	*Requirements of national legislation*
		WB	*National*			
16	Smalls scale construction of public facilities (information centers; visitor centers; maintenance facilities; storage facilities)	B (minor risk)	4 (17)		ESMP Checklist	DSEI
17	Installing antennas for providing WIFI services	C	-		After completing screening checklist – including Occupational Health and Safety measures in the contracts	-

For Category C sub-projects beyond screening, no further EA action is required. If the RPIUs meet difficulties with WB categorization of sub-projects, it should consult the central PIU. The PIU, based on an environmental screening checklist, decides what category is proposed for sub-project and informs the beneficiary on the type of the ESA that needs to be designed.

When development of ESIA (WB requirements) and DEIS (national requirements) are required at the same time for the certain sub-project, it is recommended that national DEIS needs to be developed in format of ESIA. It will to allow avoid double work on preparation of EA documents. As shown in the table, ESIA will be needed for several types of activities – sewage, water supply and waste treatment facilities. As part of capacity building program under this program, special training could be conducted for beneficiaries on development EA documents per WB OP 4.01 requirements.

4.1.5 The role of different involved parties in the environmental screening, EA processes and monitoring of the safeguards requirements implementation

Institutional structure of parties involved in EA and SA process is presented in below Figure 13.

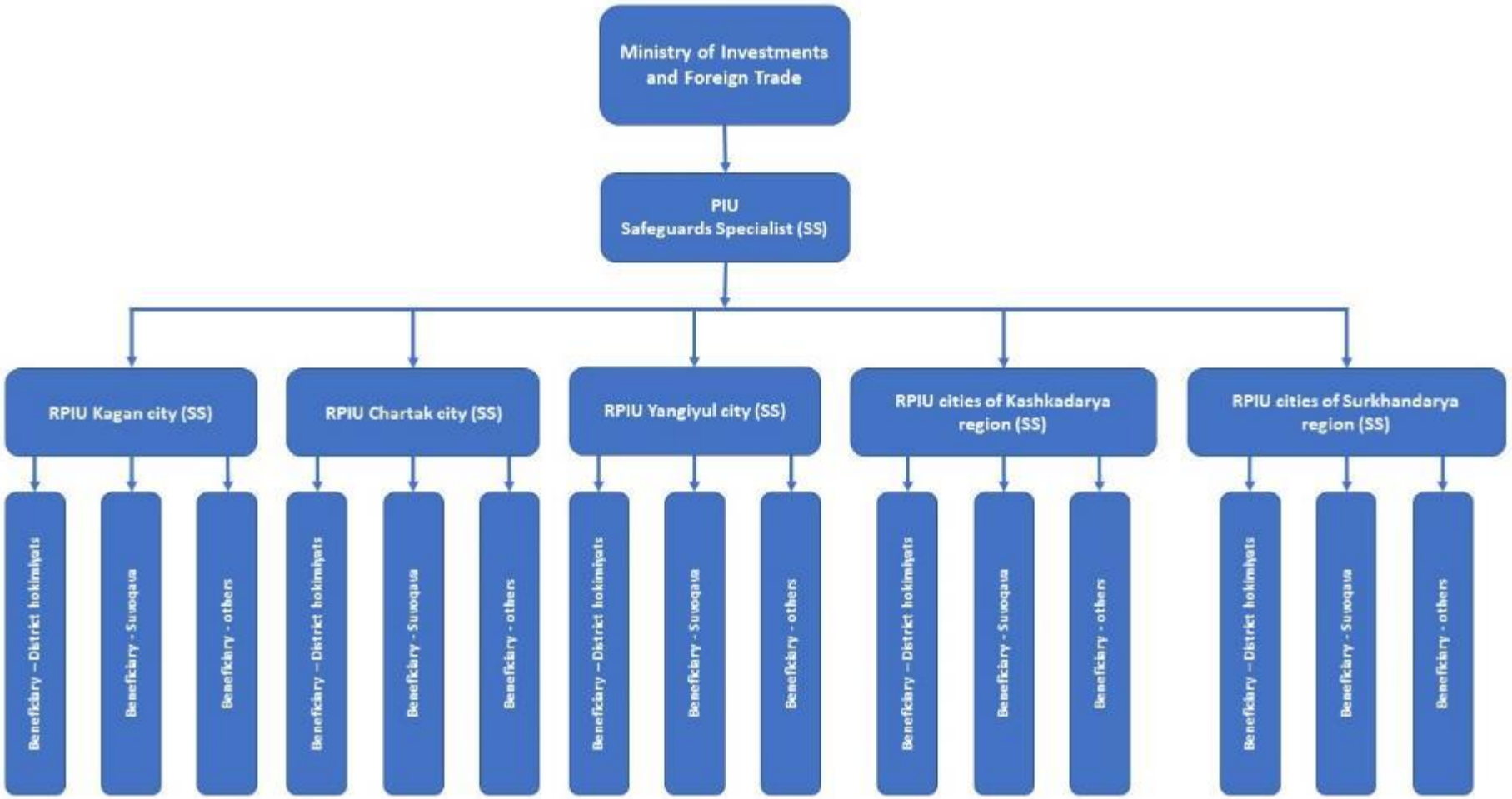


Figure 13: Institutional structure of EA and process performance

Cities' authorities and/or on their behalf relevant municipality enterprises (subprojects beneficiaries): complete the form (Annex 4; Form 1 part 1) to identify possible environmental and social impacts of proposed activities. In completing these forms, the subproject applicants' will use the info presented in the Statement of the draft Environmental Impacts. They are also responsible for obtaining appropriate permits and approvals that may be required for the activity to be financed, and, are issued by the local authorities responsible for environmental issues. Per the results of environmental screening and in the case the subproject is qualified as category B, ensures an ESIA is conducted and/or an ESMP is prepared which include a monitoring plan.

Regional Project Implementation Units (PRIU): conduct screening of applications on subprojects including for project eligibility, environmental and social impacts, ensuring required permits and approvals have been obtained and filling part 2 of the screening forms (Annex 4/Form 1 part 2). The RPCU Safeguards Specialist (SS), when needed, will carry out field site visits for on-site environmental screening (specifically, for sub-projects classified as category B), verifying the environmental and social data provided by applicants, assisting in identification of mitigation measures, and confirming that the environmental category is appropriate and that the ESMP is adequate and filling a special form (Annex 4/form 2). As well as ensure compliance of the subproject implementation with the ESMP requirements;

PIU - review the quality of environmental screening of applications on the subproject activities, done by the RPIUs, including the quality of the environmental and social impact assessment study, verifying necessary permissions and approvals and filling screening checklist (Annex 4/form 1 part 3). Before starting subproject implementation, the PIU will conduct the final assessment of the ESA activities, filling the screening form (Annex 4/form 1 part 4). PIU will also conduct randomly monitoring of compliance of project activities with ESMP requirements; provide advice to RPIUs on specific issues that may arise including ESMP preparation and assistance to category B projects through site visits; monitor for cumulative impacts; provide training on environmental and social due diligence to PFIs; provide training on ESA rules and procedures within the third project component.

ESA process. As specified above, the initial step in ESA process is conducting by project activity and subproject beneficiaries an initial ESA and preparing the draft statement of environmental and social impacts, as per national legislation (Annex 4/form 1 part 1). This document along with the detailed subproject proposal is presented to the RPIUs. It is expected that the majority of sub-projects will fall into category B. The RPIUs will screen each sub-project against the environmental and social checklist to define the environmental category of the sub-project, review the proposed mitigation measures, and ascertain that all required permits have been obtained and are valid. For sub-projects classified as Environmental Category B, the RPIUs should visit the project site to ensure that all national requirements are met and conduct a simple ESA and identify mitigation measures, and, completing the field visit checklist (Annex 4/Form 1 part 2). When the RPIUs visit reveals environmental and social risks, the subproject applicant will hire a consultant to prepare a site specific ESIA and/or an ESMP. The cost of the ESIA can be included in the subproject amount retroactively, if it has already been approved. A final approval of the ESA report will be done by the central PIU (Annex 4/Form 1 part 3). In some cases, the subprojects ESA process requires also designing the Statement on Environmental Consequences. Content of SEC in presented in Chapter 2.

During the project implementation, the RPIUs/PIU should ensure that the environmental and social mitigation measures are implemented. In the case of non-compliance, these bodies will investigate the nature and reason(s) for non-compliance, and a decision is taken about what is needed to bring a sub-project into compliance, or whether financing should be suspended.

4.2 Social Screening Process and Impacts Management Guidelines and Procedures

Resettlement planning includes early screening, scoping of key issues, the choice of resettlement instrument(s), and the information required to prepare the resettlement component or subcomponent. The scope and level of detail of the resettlement instruments vary with the magnitude and complexity of resettlement. The PIU informs potential displaced persons (inclusive of women, older persons, persons with disabilities, and other groups frequently forgotten) at an early stage about the resettlement aspects of the project and takes their views into account in project design, ensuring proper consultation techniques are used to provide access to persons with disabilities.

4.2.1 Potential Social Impacts and Mitigation

The social assessment (SA) of subprojects has been carried out by consultants to understand the potential socioeconomic, cultural and physical impacts that the project affected persons will have to undergo as a result of implementation of the MSCIUDP. The study shows that 95% of population in selected project sites are connected to water supply system, while the coverage to sewerage is 10-20%. The losses in the distribution system of drinking water supply are high and amount to about 40-60%. The main problems of the sector are related to the state of the old network, limited by the water supply infrastructure to meet future demand and low water tariffs. Approximately two thirds of the water supply and sewerage system is in critical condition, and obsolete leaking pipes are the main cause of water loss. In addition, the growth of the city strengthens the burden on the existing network.

Conducted SA concluded that the Project will generate mostly positive socio-economic benefits due to the improvement of urban infrastructure services environmental conditions on the participating cities. Rehabilitation of urban infrastructure will significantly improve living conditions, water supply and sanitation, solid waste management that makes the population living in the project areas comfortable. As a result of rehabilitation and new construction works, the number of households connected to drinking water supply, sewerage system will be increased which will overall have significant effects on living conditions of population in general. At the same time the proposed project activities might generate a series of various adverse social impacts. Here are a few potential social impacts associated with MSCIUDP:

- Land acquisition and resettlements
- Loss of public trees
- Temporary limitation of access to public spaces, schools, medical organizations due to construction works
- Temporary termination of water and sewerage services
- Possible influx of temporary workers
- Damage to cultural/historical sites
- Missing the interest of vulnerable groups during the construction of public infrastructures
- Risk of child labor
- Risk of occupational accidents and injuries to workers
- Low capacity of the implementing agencies to conduct social safeguards studies
- Encroachers possessing or widening their boundary to safety zones of public utilities

The permanent land acquisition may be needed only for construction of new water pumping stations that will be taken from agricultural lands or the State Reserve Land out of city area. There will be no need for permanent land acquisition within the city but may involve temporary land acquisition due to construction/reconstruction of sewerage and water supply pipelines, and other urban infrastructure.

The listed social impacts are expected to be typical for small scale construction/rehabilitation works, temporary by nature and site specific, and can be easily mitigated by applying best construction practices and relevant mitigation measures. The summary of potential social risks and impacts along with the generic mitigation measures are presented in the Table 11 below. The proposed measures could be used for development of ESMPs for selected sub-projects. However, the ESMPs could be fulfilled with other measures as per beneficiaries' decision.

Table 11: Potential project social risks and impacts

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE SOCIAL IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
1	**Street lighting upgrading;** ▪ Repairing of existing pillars; ▪ Replace old pillars with new ones; ▪ Installing new pillars where needed; ▪ Replacements of bulbs;	• Risk of losses economic trees • Temporary land acquisition out of safety zones • Risk of electrocution to workers from exposure to live power lines during maintenance	✓ Avoid cutting trees as much as possible. If cutting trees is unavoidable, to compensate losses in the form of replacement cost to PAPs ✓ Contractor shall carry out the replacement /construction works within the safety zones/RoW without damaging to structures belonging to households. Social screening shall be carried out for possible permanent/temporary impacts. In case of IR then RAP/ARAP shall be developed. ✓ Contractor has to comply with requirements of Labor Code of the RUz (1998) and standards on work and health safety[25], IFC EHS Guidelines (2007), Create awareness of safety measures for workers to observe when working in areas of high tension potential;
2	**Parks, playgrounds, and other public spaces improvements**	• Temporary limitation of access to public spaces, schools, medical organizations due to construction works • Missing the interest of vulnerable groups during the construction of public infrastructures • Forced labor, Labor influx, child labor	✓ The contractor shall inform local citizens in the project area through the web site, newspapers or other means about possible restriction of access within the construction site in advance ✓ Promote the fair treatment, nondiscrimination, and equal opportunity of workers. Public spaces and infrastructures shall be designed in consideration of

[25] Construction Norms and Rules # 3.01.01-03. Organization of Construction works. 2003

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE SOCIAL IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
			access by disabled persons as well. ✓ Avoid Forced labor, target to local workers, and prohibit child labor. Develop and implement a grievance procedure and raise awareness of grievance procedures amongst affected communities. In case of lack of local skilled workers the ESMP shall be developed to mitigate adverse social impacts due to labor influx.
3	**Intra city transport:** ▪ Construction/rehabilitation of bus terminals and stops; ▪ Construction of car parking areas; ▪ Installing street lights and road signs	• Economic loss to businesses • Missing the interest of vulnerable groups during the construction of public infrastructures	✓ Social screening shall be carried out for possible permanent/temporary impacts to businesses in the bus stops. If any losses identified to PAPs, then ARAP/RAP shall be developed ✓ The same as for subproject #2 (Missing the interest of vulnerable groups)
4	**Roads rehabilitation:** • Widening of existing roads (within the ROW); **Road resurfacing** • Construction of bicycle trail; • Rehabilitation of walkways	• Damage to existing roads • Temporary land acquisition out of safety zones • Economic loss to businesses • Cutting trees • Temporary limitation of access • Damage to existing underground facilities such as communication and electrical cables, sewage pipes and other service lines	✓ Adopt appropriate engineering technology to minimize damage to existing roads; ✓ The same as for subproject #1 (Temporary land acquisition) ✓ The same as for subproject #3 (economic loss to businesses) ✓ The same as for subproject #1 (losses trees) ✓ The same as for subproject # 2 (Temporary limitation of access) ✓ Use utility survey map to identify existing underground facilities along the corridor before excavation works to prevent damage and disruption of services
5	▪ **Bridge rehabilitation – extension of existing automobile**	• Temporary land acquisition out of safety zones	✓ The same as for subproject #1 (Temporary land acquisition)

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE SOCIAL IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
	bridge ▪ **Construction small scale new bridges, including pedestrian ones**	• Damage to existing underground facilities, Limited access to road (in case of extension of the existing automobile bridge)	✓ Use utility survey map to The same as for subproject #4 (Damage to existing underground facilities) ✓ Bypass roads need to be agreed with Road Policy and to be presented to public prior starting construction works;
6	▪ **Drainage extension** ▪ **Widening of existing drains** ▪ **Rehabilitation of existing drains** ▪ **Drilling of new shallow wells/rehabilitation of existing for flood control and reduction with installation of pumps**	• Damage to existing underground facilities • Temporary land acquisition out of safety zones • Permanent land acquisition	✓ The same as for subproject #4 (Damage to existing underground facilities) ✓ The same as for subproject #1 (Temporary land acquisition) ✓ The same as for subproject #1 (Temporary land acquisition)
7	▪ **Extension and rehabilitation of water supply networks** ▪ **Drilling of new deep-water wells** ▪ **Construction/rehabilitation of water reservoirs** ▪ **Overhead water tanks** ▪ **Construction or rehabilitation of pumping stations**	• Damage to existing underground facilities • Temporary land acquisition out of safety zones • Permanent land acquisition# • Limited supply of drinking water	✓ The same as for subproject #4 (Damage to existing underground facilities) ✓ The same as for subproject #1 (Temporary land acquisition) ✓ The same as for subproject #1 (Temporary land acquisition) ✓ Develop and implement water management plan with full participation of all water users
8	▪ **Sewerage network extension and rehabilitation;** ▪ **Rehabilitation of sewage pumping stations** ▪ **Septic Tanks**	• Damage to existing underground facilities • Temporary land acquisition out of safety zones • Permanent land acquisition • Limited connection to sewerage system	✓ The same as for subproject #4 (Damage to existing underground facilities) ✓ The same as for subproject #1 (Temporary land acquisition) ✓ The same as for subproject #1 (Temporary land acquisition) ✓ Develop and implement sewerage management plan with full participation of all existing users who are connected to sewerage system

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE SOCIAL IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
9	**Solid waste management systems:** ▪ Construction of solid waste processing facilities (segregation) ▪ Construction of collection points ▪ Improvement of solid waste landfill	• Permanent/ Temporary land acquisition	✓ The same as for subproject #1 (Temporary land acquisition)
10	**Social infrastructure upgrading:** ▪ Repair/replacement of external doors and windows, window optimization; ▪ Insulation of walls, basements and attics; ▪ Small scale refurbishing activities inside the school premises (e.g. Walls repainting, tiling, installation of cable ducts, new water-pipes) ▪ Major refurbishing activities involving removal / reconstruction of walls (especially when containing Asbestos isolations or sheets); ▪ Replacement of the asbestos roofs	• Temporary limitation of access to public spaces, schools, medical organizations, governmental organizations due to construction works • Forced labor, Labor influx, child labor • Missing the interest of vulnerable groups during the construction of public infrastructures	✓ The same as for subproject #2 (Temporary limitation of access) ✓ The same as for subproject #2 (Forced labor) ✓ The same as for subproject #2 (Missing the interest of vulnerable groups)
11	**Cultural heritage rehabilitation and conservation**	• Loss of Cultural/Historical Site • Temporary limitation of access • Forced labor, Labor influx, child labor • Missing the interest of vulnerable groups during the construction of public infrastructures	✓ Consult relevant authorities and host communities to identify all sites of cultural significance, avoid of all sites of cultural significance; Compensate affected persons and communities for the loss • The same as for subproject #2 (Temporary limitation of access) ✓ The same as for subproject #2 (Forced labor) ✓ The same as for subproject #2 (Missing the interest of vulnerable groups) ✓

No	PROPOSED TYPES OF SUBPROJECTS	EXPECTED ADVERSE SOCIAL IMPACTS	MEASURES TO PREVENT/MITIGATE NEGATIVE IMPACTS
12	▪ **Underground electric cabling (for magistral lines)** ▪ **Overhead electric cabling** ▪ **New distribution electrical transformers;** ▪ **Installing of short segments of new distribution lines or replacing of obsolete pillars;**	• Damage to existing underground facilities • Limited supply of electricity • Temporary land acquisition out of safety zones • Risk of electrocution to workers from exposure to live power lines during maintenance	✓ The same as for subproject #4 (Damage to existing underground facilities) ✓ land acquisition) ✓ Develop and implement electricity supply management plan with full participation of all existing users. ✓ The same as for subproject #1 (Temporary land acquisition. ✓ The same as for subproject #1 (Risk of electrocution)
13	**Purchasing of public utilities equipment; transportation means and etc.**	• *No social impact*	✓
14	▪ **Reconstruction, modernization of heating systems, (replacement or modernization of the heat source such as: burner, boiler or external sources);** ▪ **Buildings retrofitting and insulation;** ▪ **Installation of solar panels;** ▪ **Replacement of old heating pipes under roads to be rehabilitated**	• Temporary limitation of access to public spaces, • Forced labor, Labor influx, child labor	✓ The same as for subproject #2 (Temporary limitation of access) ✓ The same as for subproject #2 (Forced labor)
15	**Small scale construction of public facilities (information centers; visitor centers; maintenance facilities; storage facilities)**	• Temporary limitation of access to public spaces • Forced labor, Labor influx, child labor	• The same as for subproject #2 (Temporary limitation of access) • The same as for subproject #2 (Forced labor)
16	**Installing antennas for providing WIFI services**	• *No social impact*	✓

4.2.2 Screening Process in Land Acquisition and Resettlement

Screening is a Mandatory Procedure for the identification of possible involuntary resettlement in accordance with 4.12 OP/BP of the World Bank. The Bank undertakes screening of each proposed project for which it will provide funding in order to determine the appropriate extent and type of the involuntary resettlement to be conducted.

The social screening is the one of the key steps in identification of further resettlement planning in the projects. The social screening serves to ensure that the process for screening remains simple and concise. A version of the Social Screening Format is attached in in Annex 9. Specific questions based on each activity of the MSCIUDP might be added as seen relevant by external consultants and the PIU Social Safeguard Specialist. The list of project activities that have potential resettlement issues will then be subjected to a comprehensive sensitization and consultation process with the potentially impacted communities and the outcome of this process would be documented for each subproject.

The list and the outcome of the consultative process for each site/project activity on the list would then be sent to the respective implementing agencies in the jurisdiction mandated to confirm, approve, disapprove, refer for further consultation and/or take a final decision on each proposed site/ project activities. Carrying out the screening process in this way is designed to give it the integrity and transparency it needs to allow all stakeholders to have confidence in the process.

For project activities that do not have any resettlement issues and do not trigger OP 4.12, the provisions of a RPF / social provisions of the ESMF does not apply and the reference is the Environmental Focus of the Environmental and Social Management Framework ESMF.

The screening and categorization of impact on involuntary resettlement will be initiated by RPIU either with its own social safeguard specialist and other relevant staff or, if there are no such skills, with the help of external consultants. The social screening report will be prepared by the Consultant or RPIU's Social Safeguard Specialist and reviewed by Authorized person of the Implementing Agency and PIU Director for clearance. The Social Safeguard Specialist and Director at PIU will finally endorse the social screening and safeguard categorization of the proposed sub-project.

4.3 Resettlement Policy Framework (RPF)

RPF provides a framework to appropriately identify, address and mitigate adverse socioeconomic impacts that may occur due to the implementation of subprojects that involve the involuntary acquisition of land and the subsequent resettlement of affected families. RPF also serves the following specific purposes:

- Review the existing legal framework, compare with Bank OP 4.12 for gaps, if any, and indicate gap filling measures;
- Describe the approach to taking of private land, assets and other common property resources;
- Valuation process of impacted assets;
- the process of preparation of SIA and RAPs and their review by PIU;
- Defining of the cutoff date for Title and Non-Title holders;
- Consultation mechanisms/approaches to be adopted including disclosure of safeguards instruments; and
- Monitoring and Evaluation arrangements including Grievance Redressal Mechanisms role/responsibilities of different stakeholders.

RPF sets out principles for safeguards management, procedures to screen and survey social impacts and prepare Resettlement Action Plans to mitigate the same, lays down, cut off dates, entitlements with eligibility criteria for providing compensation and resettlement benefits, livelihood restoration, implementation arrangements necessary to implement the action plans to mitigate impacts in the course of implementing subprojects of MSCIUDP.

The corresponding document for other social and economic impacts not associated with land

takings and restrictions is an environmental and social management framework.

In frame of MSCIUDP's design stage an alternative designs will be taken to avoid or minimize adverse impacts on private landowners and those non-title holders who have been using state lands with or without authorization. To minimize adverse impacts, the following principles shall be adopted:

- Avoid or minimize acquisition of private lands unless absolutely required through analysis of alternatives;
- Avoid or minimize involuntary resettlement and loss of land, structures, other assets and incomes by exploring all viable options;
- Use as much state lands as possible which are free of encroachment and other encumbrances
- Alternative designs will be considered in order that the project may not affect objects and sites like places of worship, cemeteries and structures that are considered socially and religiously important.; and
- Incorporating the gender considerations in social management, resettlement planning and implementation process.

In case of the project has thus triggered OP 4.12. The scale of impact on access, assets, livelihoods or land acquisition will have to be confirmed by the EA through each RPIU once the detailed design has been completed.

To avert any negative social or economic impacts on persons losing access to land, assets and income as a result of the project, a full RPF has been prepared based on the World Bank's Operational Policy 4.12 on "Involuntary Resettlement". For any project component requiring land acquisition, specific RAPs consistent with the principles in this RPF will be submitted to the Bank for approval when detailed investment planning information and the detailed scope of the civil works becomes available, and the extent of the land acquisition needed for the investment is known.

4.3.1 Categorization of Resettlement Impacts

Based on the screening report data, extent of likely IR impacts, sub-project safeguard requirements will be categorized as follows:

A. ***Significant (Category 1)*** – If as a result of the subproject, about 200 or more people may experience major impacts, that is, being physically displaced from housing, or losing 10% or more of their productive (income-generating) assets. Full RAP is required to be prepared

B. ***Not significant (Category 2)*** – If as a result of the subproject, fewer than 200 people will be physically displaced from housing or lose less than 10% of their productive (income- generating) assets. Abbreviated RAP is prepared commensurate to their impacts;

C. ***No resettlement effect (Category 3)*** – If the subproject does not require temporary or permanent land acquisition, and there are no impacts involving the loss of land, structures, crops and trees, businesses or income. No resettlement plan is required. This category also includes temporary but not significant impacts which will have to be mitigated as a part of construction management in consultation with the PAPs by the Contractor. Due Diligence Report is required.

The Table 12 summarizes safeguards documentation requirements.

Table 12: The Type of Social Safeguard Documents required for the Project

Coverage of Negative Social Impacts	Type of Documents Required
For sub projects which will result in minor impacts affecting access to residences, improvement of existing properties	Due Diligence Report explaining the procedures adopted to minimizes negative impacts and measures taken to mitigate construction induced impacts
For investments of sub projects which will result in affecting less than 200 people, but not physically displaced and/or less than 10% of their productive assets are lost. **(WB – OP 4.12)**	ARAP is Required. Outline of ARAP is provided in RPF
Investment in sub projects of the MSCUIDP that may result in more significant impacts, displacement of more than 200 people, and more than 10% of their productive assets are lost. **(WB – OP 4.12)**	Full RAP is required to be prepared. RAP/ procedure is provided in RPF Socio-economic survey and income restoration measures need to be covered by the Plan.

4.3.2 Conditions to be followed in the Resettlements Procedure

Where displacement of people is unavoidable, the following conditions shall be followed:

- **a.** The entitlement cut-off date shall be determined and agreed upon in consultation with all stakeholders;
- **b.** An estimation of the time likely to be needed to restore their living standards, income earning capacity and production levels shall be prepared;
- **c.** The estimate shall ensure that the condition of the project affected persons shall be maintained to at least the Project Affected Person's pre-project levels condition;
- **d.** The project affected persons shall be provided with development assistance, in addition to compensation measures described in above. This shall include assistance for land preparation, credit facilities, training, or job opportunities, residential housing, or housing sites; or, as required, agricultural sites for which a combination of productive potential, location advantages, and other factors shall be at least equivalent to those of the old site. Assistance to displaced persons during relocation shall also be provided;
- **e.** Project affected persons who encroach on the project area after the cutoff date shall not be entitled to compensation, or any resettlement assistance or any other form of rehabilitation assistance.

4.3.3 Eligibility and entitlements

In the implementation of MSCIUDP social impacts may affect the community and population in the areas of the projects, according to the type of activities to be implemented and social impacts related to each loss category. This ESMF has been prepared considering various categories of losses and impacts based on initial social screening under the SA, which is summarized in Table 13 below

Table 13: Categories of losses and their impacts on project affected persons

Loss Category	Type of Lossess
Relocation	Impoverishment, disturbance of production systems, loss of sources of income, loss or weakening of community system and social networks, loss of access to social amenities such as hospitals and schools, water; dispersion of kin groups, loss of cultural identity and traditional authority, loss or reduction of potential for mutual help, emotional stress.
Loss of land but no relocation	Impoverishment, loss of sources of income and means of livelihood, Loss of assets or access to assets, increased time to access resources
Alienation due to neighbors being relocated	Impoverishment, weakening of community systems and social networks, loss of mutual help and community support , loss of traditional authority, Loss of identity and cultural survival, emotional stress
Hosting PAPs	Impoverishment, loss of sources of income, reduced time and access to resources such as hospitals and schools, water, sewerage, electricity increased time to access resources.

***Eligibility Criteria**:* Any person or household, or community who suffers loss of land, shelter, business, incomes, sources of livelihood because of the Project impact is eligible for receiving compensation and or R&R assistance to offset such loss enabling restoration of living conditions to a state better or equal to the pre-project situation. The eligibility will be determined on the basis of impact survey carried out while preparing the ARAP/RAP and approved by the PIU Whereas the eligibility list provided in the ARAP/RAP will remain the basis for providing entitlements to the non-titleholder PAPs, in case of the titleholders eligibility will be determined through scrutiny of title deeds or other legal documents admissible and recognized under law as valid ownership documents. The following categories are eligible for receiving entitlements as per this ESMF.

Table 14: General Typologies of Project Affected Groups

General Typology	Definition
Private Property Owners	Are those who have legal title to land, structure and other assets
Unlawful resident	Are those who have illegally (informal settlements) occupied municipality/commune lands for residential, business and or other purposes.

General Typology	Definition
Encroachers	Encroachers are persons who have extended their building, agricultural lands, business premises or work places into municipality/commune lands, safety zones of utility lines.
Tenants	Tenants are those persons having tenancy agreements, written or unwritten, with a private property owner with clear property titles, to occupy a structure or land for residence, business or other purposes.
Street Vendors	Street vendors are those persons who have a permit from the municipality to occupy a public structure or land for business purpose
Project-Affected Families	Are defined to include each adult displaced person, his/her spouse, minor children and other dependents who habitually reside in one household.
Project-Affected Persons	Are persons who have economic interests or residences within the project impact corridor who may be adversely affected directly by the project. Project-affected persons include those displaced, those losing commercial or residential structures in whole or part, ***those losing agricultural land*** or homesteads in whole or part, and those losing income sources as a result of project action.
Project Affected Groups:	Are groups or communities outside the immediate impact of water supply system to be established, that may be affected by the project with a focus on the more vulnerable or weaker groups in society.
HH living above the Poverty Line	Based on social assistance schemes.
Vulnerable groups:	Are those groups such as women headed household, low Iniome household, household headed by elderly26 with no support and household headed physically challenged people, who will be dealt with on a case to case basis.

Upon project documents and details of activities to be provided to the experts the list of typologies of affected groups can be identified. In overall the PAPs can fall in the main categories listed in the table above.

4.3.4 Cut-off dates

The cut-off date will be the last date of the census. It is a date, after which people who are not included in the list of PAPs as defined by the census will not be considered eligible for compensation. The census will be carried out to collect data on the affected households. The specific date will be included in the RAP and clearly communicated to affected communities. Thereafter, no new cases of affected people will be considered. Unfinished structures would be identified and secured, and unused materials for individuals' constructions will be gathered at the site so that the cut–off survey can estimate PAPs' investment which should be compensated for in lieu of expenses (including labor) incurred until the cut–off date. Because the time period between the cut-off date and the time that actual productive investments (civil works, etc.) would start, special attention needs to be taken to secure the sites from rush and opportunistic invasion.

4.3.5 Entitlement Framework

All involuntary land acquisitions will be compensated at replacement cost as per the OP 4.12

[26] Elderly people will be defined by the Retirement Age for women and man as of national legislation on the date of survey.

and national legislation. The PAPs will be assisted to re-establish their living standards (affected shelter and incomes) to a level to or better than their living condition prior to the project. According to Presendial Decree # 5495 (dated on 01.08.2018), a replacement cost, including compensation at market value and losses shall be paid to PAPs. So, the valuation of affected structures can be valued by independent valuation companies without deducting any depreciation. Land based compensation is provided by local Hokimiyats on the basis of land acquisition acts at respective cities. Detail description about compensation types, entitlement matrix are given in the RPF attached to this ESMF.

In accordance with the principles of the RPF of MSCIUDP, all displaced households and persons will be entitled to a combination of compensation packages and resettlement assistance depending on the nature of ownership rights on lost assets and scope of the impacts including socio-economic vulnerability of the displaced persons and measures to support livelihood restoration if livelihood impacts are envisaged. The displaced persons will be entitled to the following five types of compensation and assistance packages:

(i) Compensation for the loss of land, crops/ trees at their replacement cost;
(ii) Compensation for structures (residential/ commercial) and other immovable assets at their replacement cost;
(iii) Assistance in lieu of the loss of business/ wage income and income restoration assistance;
(iv) Assistance for shifting and provision for the relocation site (if required), and
(v) Rebuilding and/ or restoration of community resources/facilities.

An Entitlement Matrix has been developed in RPF for the types of losses and the corresponding nature and scope of entitlements; and is in compliance with National Laws and World Bank OP 4.12. The entitlement matrix presents the entitlements corresponding to the tenure of the DPs in the following order.

1) Loss of Land (agricultural, residential, commercial or otherwise)
2) Loss of residential structure (inhabited structures)
3) Loss of Commercial structures
4) Impact to Tenants (Residential/ Commercial / Agricultural)
5) Impact to trees, standing crops, other properties, perennial and non-perennial crops
6) Loss of Land / house / shop
7) Impact to Squatters
8) Impact to Encroachers
9) Loss of employment in non-agricultural activities or daily agricultural wages or other wage workers
10) Impact to Vulnerable Households
11) Unforeseen impacts.

4.3.6 Livelihood Restoration/support for vulnerable PAPs

All measures will be taken to avoid resettlements. If there are situations which the resettlement unavoidable, the project may seek all possible measures to minimize the negative impacts by planning compensation package for all physical structures, lands and livelihoods affected by the project intervention as well as rehabilitation assistance to continue the livelihood of PAPs. As per the findings of social assessment, there will be no major resettlement impacts expected by the project interventions

In case of large number of APs which exceed more than 200, of which majority needs resettlement, resettlement site might be required to be developed. It is recommended that

resettlement sites should be developed with due care and consideration given to the site selection and the host communities. The following site selection criteria are recommended for the resettlement sites:

- Near to affected areas or sites;
- Possesses good potential for infrastructure development;
- Minimum loss to other assets; and
- Host community's acceptance.

PAPs will also be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of the project implementation, whichever is higher.

PAPs having commercial activities attached to houses will be provided with additional livelihood restoration facilities to continue their livelihood once they relocated into new houses.

Detail description of Livelihood restoration/support will be given in the RPF prepared for MCIUDP.

4.3.7 Sources of finance for resettlement and livelihood restoration.

In order to implement the Resettlement Policy measures budgetary provisions will be made available, in terms of each sub project. Budgetary estimates for sub-project where resettlement implementation is necessary, including resettlement management will be incorporated into the cost estimates. Accordingly, land acquisition and resettlement expenses for consultation and participation, grievances redress, cost of relocation, Income restoration, transitional allowance, livelihood program, monitoring and evaluation, administration, contingencies etc. will be included as cost estimates for social management.

MIFT will provide an adequate budget for all land acquisition, compensation from the counterpart funding (local budget, or by Fund under the Cabinet of Ministers). The budget estimates and its sources will be reflected in RAPs. The World Bank loan will not be available for land acquisition, compensation. The World Bank's loan will be available for costs such as works, purchase of goods and services, if required.

4.4 Principles on Social Impacts Management and mitigation measures

In accordance with the Presidential Decree of the Republic of Uzbekistan # 3857 dated from 16.07.2018 the investment projects shall follow the rules of the respective donor institutions in the implementation of involuntary resettlement. However, in accordance with the World Bank Policy, the national legislations can be considered during the LAR activities, if they comply with the Bank's policies. Therefore the MSCIUDP will include following key principles in compliance with international best practices for resettlement and World Bank Resettlement Policy:

Principle 1: Minimize human displacement and resettlement wherever possible.

Mitigation measures: Land acquisition and involuntary resettlement will be avoided where feasible or minimized to the extent possible through the incorporation of social considerations into project design options. For example, In the case of any activities where land acquisition may be required and land, house or assets may be affected, while selecting the sub-project, the MIFT will explore design and site alternatives and opt for the design and site alternative involving minimum land and resettlement impacts. The objective should be to avoid impact on

productive land and economic assets, shelter and cultural properties.

Principle 2: Identify all Project impacts and record all losses properly.

Mitigation measures:

- As soon as the site/land/Right of Way (RoW) is identified for any activity, a Social Screening will be undertaken to broadly estimate the involuntary resettlement impacts;
- Based on the findings of the Social Screening, if the impacts are minimal (less than 200 persons are displaced), an abbreviated RAP will be prepared recording impacts in detail through a Census Survey;
- If the Social Screening shows substantial impacts requiring a full RAP, a Social Impact Assessment (Census supplemented by a Socio- Economic Survey) will be carried out to record all the impacts in detail;
- A database of all projects affected persons (PAPs) will be established which will include information on the following:
  - Landholding and land tenure; non-retrievable loss of land, buildings and structures to determine compensation at replacement value and mitigation measures;
  - Census information, detailing household composition and demography; and
  - Current income streams and livelihood of the families.
- The asset inventories will be used to determine entitlements of individual families/persons; severely project PAPs;
- The socioeconomic census data will be used to monitor how the affected households are able to reestablish their shelter and livelihoods with the R&R benefits provided by the Project; and

All information will be entered into the database to facilitate planning, implementation, and monitoring and evaluation.

Principle 3: Plan and implement land acquisition and resettlement activities as an integral part of the Project.

Mitigation measures: Land acquisition and involuntary resettlement activities will be integral part of the project planning and implementation through the following steps:

- The source of Land acquisition and resettlement (LAR) costs will be identified. The costs can be built into the overall project budget as an upfront cost or can be included into special fund designated to pay compensation for LAR at respective Khokimiats (Governorates) in each subprojects;
- The design and site layout will be prepared with social screening in order to avoid/minimize Land Acquisition (LA) and IR impacts for the sub-projects will incorporate Social Screening/SIA findings and the RAP;
- An organizational framework will be established ensuring coordination of the roles and responsibilities of the social development and engineering units so that the schedules for LA and R&R and the civil works are properly linked; These arrangements should ensure that payment of compensation, resettlement are completed before site clearance and
- LA process and key resettlement actions must be completed prior to award of civil works.

Principle 4: Inform and hold public consultations with affected people and other stakeholders such as registered Civil Societies during planning and implementation.

Mitigation measures:

- Disclose and disseminate information on sub-project at feasibility stage;
- Disclose and disseminate Social Screening and SIA results (LA and R&R impacts) before preparing RAP;
- Disclose and Disseminate Entitlements, compensation and R&R assistance payment schedule; RAP Implementation Plan; and Grievance Procedure during RAP preparation and implementation;
- Pay special attention to the following:
    - ✓ inform people about of sub-projects and implementation schedules;
    - ✓ consult people on measures to restore their shelter, and livelihoods, and ensure their participation in design and implementation; and
    - ✓ Inform affected families about relocation and land acquisition dates sufficiently in advance of actual implementation.
    - ✓ Put information board at sub project sites
    - ✓ Seek assistance of registered civil societies in implementation of RAP.

Principle 5: Include gender considerations into social management and resettlement planning

Mitigation measures:

- Preparation of a gender strategy and action plan
- Gender responsive consultation strategy and gender disaggregated data during census and socio-economic survey
- During resettlement planning, include following gender consideration:
    - Special attention to women headed households in the relocation and post resettlement process with targeted livelihood assistance;
    - Gender sensitive provision of civic infrastructure including sanitation, transport furniture, and facilities for women in recreational places created as a part of the project; and
    - Encouraging women participation in management of resettlement planning.

Principle 6: Assist the PAPs to restore, and ultimately to improve, their livelihoods to conditions equal or better than their earlier status.

Mitigation measures:

- The Project implementing agencies will take the following steps to enable the affected families to restore and improve their livelihoods through the following provisions:
    - provide compensation at replacement rates for all loss and damage caused to land and assets;
    - R&R assistance for the loss of assets attributable to the project including to those without title to land where such asset is established ;
    - Support to re-establish lost or damaged shelter/shop any other structure through cash and/or, alternative site and/or, building at replacement cost (which will could building alternative residential housing sites with shops and basic amenities and services to resettle the affected households and commercial units;
    - offer relocation assistance including transport allowance where physical relocation is required; and
    - support for livelihood restoration and community development.

Principle 7: Special support to enhance Project benefits for the vulnerable households.

Mitigation measures:

- Pay special attention to adverse impacts on vulnerable households (elderly and physically disabled, female-headed households) who may be vulnerable to changes brought about by project activities or excluded from its benefits. Members of these groups are often not able to make their voice heard effectively, and therefore may need special support in accessing their entitlements and getting their grievances redressed; and
- The Project will assess and compensate for loss of economic activities, shelter, and access to welfare benefits.

Principle 8: Grievance and monitoring procedures will be in place.

Mitigation measures:

Establish grievance mechanism at the local, regional levels an Independent Grievance Panel at higher level comprising representatives from the civil society

- Independent safeguards monitoring agency (consultants) will be hired to carry out periodic review of the safeguard due diligence with regard to land acquisition, resettlement and livelihood restoration; and

Monitoring will involve ongoing internal and quarterly external monitoring exercises and annual quality review exercises using quantitative and qualitative methods.

Principle 9: Resettlement planning will take account of the local socio-economic development context.

Mitigation measures:

Resettlement planning will take account of:

- Any current/planned development scheme in the project area, including initiatives to address poverty targeted at vulnerable households;
- and any current/planned registered civil societies /funding agency initiatives in the area, and try to facilitate their continuation.

Principle 10: Resettlement planning and implementation will comply with the legal and policy provisions of the Uzbekistan and the WB safeguard policies.

Mitigation measures:

Resettlement planning and implementation will comply with project policies and the provisions of relevant national legislation and WB policies pertaining to:

- Social management;
- Public participation and disclosure;
- Land tenure, occupation, acquisition and compensation; and
- Local government, development and service provision.

Principle 11: Establish mechanisms to ensure sustainable self-management of the resettlement sites.

Mitigation measures:

- Adopt participatory planning of relocation process to ensure that the social networks of affected groups are not adversely affected; registered civil societies and community based organizations will be consulted to minimize adverse impacts
- Provide capacity building and hand holding support to the management committees of the resettled households;
- Provide the basic amenities and services including day care center for children, common room for women, office for the management committee; open space, storm drainage, sanitation facilities, etc. and
- Resettle the people displaced due to the development of the resettlement buildings/sites in the same sites.

The World Bank's operational policy 4.12 on involuntary resettlement requires that involuntary resettlement is avoided where feasible, or minimized, exploring all viable alternative project designs. Where it is not feasible to avoid resettlement, resettlement activities will be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Displaced persons will be meaningfully consulted and will have opportunities to participate in planning and implementing resettlement programs. They will also be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of the project implementation, whichever is higher.

4.5 Environmental and Social Impact Assessment

4.5.1 Environmental Impact Assessment of Category B projects

Based on the results of the screening, the environmental requirements for category B subprojects would be one of the following:

a) simple ESIA and ESMP for projects which are related to expanding water supply and sanitation networks, as well as for improving and rehabilitating the solid wastes landfills, as well as regular EA and ESMP, - for more complex projects. A sample for the TORs for an ESIA and the content of the ESMP document are presented in Annex 5 and 6.
b) simple Environmental and Social Management Plan for projects with minor impacts that are typical for different urban infrastructure rehabilitation activities; ESMP Checklists - for small scale construction and reconstruction projects (the template for this document is presented in the Annex 7) as well as ESMP Checklist for road rehabilitation subprojects (the template of this document is presented in the Annex 8);

Rejection of sub-project: If the sub-project is rejected on environmental and social grounds after a site visit and review of the ESA documents, an improved version of the ESA documents may be submitted by the proponent, and re-appraised as above.

ESMP disclosure and public consultation. All ESMP for Category B subproject must be disclosed and publicly consulted with all interested stakeholders and local population. For this purpose, the subproject beneficiary post on its website and present the draft ESMP document to the local council in Uzbek/Russian language. In about two weeks-time the beneficiary organizes a public briefing on the document, preparing minutes of the meeting with the specifications on the participants, and raised issues and questions. After the consultation the beneficiary revises the document, answering to the raised issues and questions and preparing its final version. The final version of the document along with other project documents are presented to the RPIU/PIU for financing.

4.5.2 Social Impact Assessment

Any subproject causing significant resettlement impacts (Category 1) will require a full scale Social Impact Assessment (SIA), census survey as part of the full RAP. Abbreviated RAPs will be prepared for Category 2 sub-projects affecting less than 200 persons. If a sub-project has no adverse impact (Category 3) then due diligence report (DDR) will be submitted. DDR also will be prepared to determine if there was any IR in relation with associated facilities. Social DDRs, abbreviated and full RAPs will be shared with the WB for review and clearance prior to the award of civil works contracts.

MIFT's PIU can do SIA this with their own staff or through consultants depending on size of the assignment. For large scale works an external consultants can be hired. The SIA will provide information on loss and damage suffered by individuals/households, and communities, impact on vulnerable groups.

Following the finalization of the design, the detail measurement survey (DMS) of the affected land and/or non-land assets and census survey of the affected households will be carried out to record the actual impacts and preparing the inventory. As a part of the land acquisition, replacement cost assessment (or asset valuation) will be carried out, which will form the basis for determining the compensation for the affected land and assets. This information will be used for fixing up compensation amounts for the land and assets to be acquired. This valuation can also be used to negotiate the value with the plot owner for acquiring the plot as per the LAA, or when land is to be directly purchased.

The information will also include a profile of the affected households including demographic and socio-economic details including landownership, usage and productivity and income, impacts on vulnerable communities. Additional information can be gathered through Stakeholder Consultations (focus group discussions) with the project affected people, and vulnerable community groups, their leaders, registered civil societies (NGOs) and Community Based Organizations (CBOs) such as makhallas. These discussions should focus on the positive/negative impacts; measures to enhance positive impacts and reduce/mitigate negative impacts.

The proposed content of the SIA shall include following elements:

- Conduct Census, Socio Economic Surveys through questionnaires.
- Collect Demographic Data and prepare a Register of affected persons at all levels including vulnerable persons such as women headed household, low income household, household headed by elderly[27] with no support and household headed physically challenged people, etc.;
- Prepare an inventory of physical impacts;
- Labor (Labor influx, Forced and Child labor)
- Citizen Engagement Plan
- Gender Strategy and Action Plan;
- Consultation and participation of affected persons in the planning process from the very beginning of the planning exercises; and
- Socioeconomic baseline (replicating largely the SA, but zooming in on the communities immediately in the project scheme area).

[27] Elderly people will be defined by the Retirement Age for women and man as of national legislation on the date of survey.

4.5.3 Labor (Labor influx, Forced and Child Labor)

According to Labor Code of the Republic Uzbekistan all citizens have equal opportunities in the possession and use of labor rights. Establishment of any restrictions or granting of advantages in the field of labor relations depending on sex, age, race, nationality, language, social origin, property and official position, attitude to religion, beliefs, membership in public associations, and other circumstances not connected with the business qualities of workers and the results of their work, is unacceptable and is discrimination

Labor influx: In frame of MSCIUDP sub projects the proposed Contractors for civil works are asked to involve local labor. However, in case there is a shortage of technical skills and among local workers, then the Contractor may involve workers from outside the project area. The rapid migration to and settlement of workers and followers in the project area is called labor influx. , and under certain conditions, it can affect project areas negatively in terms of public infrastructure, utilities, housing, sustainable resource management and social dynamics. The impacts may include increased demand and competition for local social and health services, as well as for goods and services, which may lead to price hikes and crowding out of local consumers, increased volume of traffic and higher risk of accidents, increased demands on the ecosystem and natural resources, social conflicts within and between communities, increased risk of spread of communicable diseases, and increased rates of illicit behavior and crime

Forced labor: Forced labour is prohibited in Uzbekistan. According to the article 7 of Labor Code, a forced labor, that is, compulsion to perform work under the threat of the use of any punishment (including as a means of maintaining labor discipline) is prohibited. The forced labor is subject to fine in the amount of 2 to 5 minimum wage. Exceptions are provided for work required by compulsory military service, normal civic obligations, as a consequence of a conviction in a court of law and under certain conditions, in cases of emergency, and for minor communal services performed by the members of a community in the direct interest of the community. Additionally, Decree of the Cabinet of Ministers of Uzbekistan dated 10 May 2018 with the number of 349 on additional measures on the elimination of forced labor in Uzbekistan provides detail information of types of forced labor, types of governmental organizations and its staff, monitoring mechanism of local governorates. According to this decree a financial resources of Public Works Fund which was established under the Ministry of Employment and Labor Relations will be used for any public works in Uzbekistan.

Child Labor: The term child labor is often defined as work that deprives children of their childhood, their potential and dignity and that is harmful to physical and mental development. According to the Labor Code of Uzbekistan and Minimum Age Convention (No. 138 from 1973) minimum age is defined for children under age of 18. In Uzbekistan, in accordance with Administrative Responsibility Code (article 49), employment of persons under 18 years old by a legal entity is subject for a fine of 5 to 10 times the minimum wage.

Work which that is classified as child labour:

- Work that is mentally, physically, socially or morally dangerous and harmful to children.
- Interferes with their schooling.
- Depriving them of the opportunity to attend school.

- Obliging them to leave school permanently.
- Requiring them to attempt to combine school attendance with excessively long and heavy work.

Mitigation measures: The potential impacts related to labor influx including their number and origin may be identified in a project's Environmental and Social Impact Assessment (ESIA), which may only become fully known at the implementation stage of the contracts. The most effective mitigation measure against labor influx is to avoid or reduce it. Depending on the size and the skill level of the local workforce, a share of the workers required for the project may be recruited locally. This is generally easier for unskilled workers, while more specialized staff (typically required in smaller numbers) frequently will be hired from elsewhere. Depending on the requirements of the project and their skill level, it may be possible to train local workers within a reasonable timeframe to meet project requirements

During the bidding process for civil works the proposed contractors shall be accountable for theirvresponsibility to act on mitigation measures for the following actions:

- Promote the fair treatment, nondiscrimination, and equal opportunity of workers;
- Protect workers, including vulnerable categories of workers such as women and migrant workers;
- Promote safe, healthy working conditions & the health of workers;
- Provide a grievance mechanism for workers to freely raise workplace concerns;
- Avoid the use of forced labor;
- Avoid use of child labor (below 18 years age);
- Initiate training and skills development programs prior to the commencement of construction to ensure members of local workforce are up-skilled and can be employed on the project;
- Ensure construction jobs are targeted to the local people.
- Hire as many local laborer as possible to avoid labor influx;
- Encourage contractor to pay equal wages to men and women;
- Ensure social insurances of the workers;

The general mitigation measures shall be described in ESMP that will be developed during the project preparation as part of the tender package and construction contract. During preparation, the project ESIA and the ESMP should identify the risks of labor influx, avoiding forced and child labor. The ESMP should be included in the bid documents.

4.5.4 Gender and development

Annual assessments of the extent to which women (50.1%) and men (49.9%) are equal in Uzbekistan indicate that although Uzbekistan scores consistently high in terms of equality in access to education (albeit in traditional female areas of study) and in health outcomes for women, these scores are tempered by the limited progress made in women's access to economic opportunities and political empowerment[28]. However, according to data[29] the share of female persons at school level (49%), at high school level (44%) and at University level (43.5%) remains lower than male persons. Also, the number of economically active women remains considerably lower than the number of economically active men. Women's economic opportunities are still greater in the informal sector, and women are more likely to earn income

[28] Uzbekistan Country Gender Assessment. Asian Development Bank 2014
[29] The Statistical Committee of Uzbekistan 2017

through small family-based businesses such as farming or handicrafts.

Gender is a key issue in social safeguard management in view of the differential vulnerabilities of affected men and women. In view of their higher vulnerability levels, specific measures are proposed to enable the affected women-especially that are poor and vulnerable, to cope with the R&R process. The process of gender inclusive social management and resettlement planning include the gender analysis, project specific gender considerations and a gender strategy and action plan.

Women will be given equal access to resources and services and provided with opportunities that would empower them to participate in the development process. Gender equity principles will be enshrined in the policy. For instance, ensure that land titles and compensation entitlements are issued in the name of both spouses, and youth employment opportunities are equally targeted at men and women. Therefore, during the project implementation a gender assessment study need to conducted and if necessary the following mitigation measures have to be undertaken.

Mitigation measures:

- Preparation of a gender strategy and action plan
- Gender responsive consultation strategy and gender disaggregated data during census and socio-economic survey
- During resettlement planning, include following gender consideration:
  - Special attention to women headed households in the relocation and post resettlement process with targeted livelihood assistance;
  - Gender sensitive provision of civic infrastructure including sanitation, transport furniture, and facilities for women in recreational places created as a part of the project;
  - Encouraging women participation in management of resettlement planning.

The social management and resettlement instruments prepared for the subprojects shall include a strong section on gender and social inclusion statement. Some of the gender considerations that need to be addressed in the RAP include: (a) provision of title of the alternative house in the joint name of spouses if both are willing and in the name of the mother and the children, in case of the husband is dead; (b) special attention to women headed households in the relocation and post resettlement process with targeted livelihood assistance; (c) gender sensitive provision of civic infrastructure including sanitation, transport furniture, and facilities for women in recreational places created as a part of the project; and (d) encouraging women participation in management of resettlement buildings. The objective of this gender strategy is to ensure equity in the resettlement process enabling the economically and socially women and their families to sustainably re-establish their shelter and livelihoods.

4.6 Specific ESA requirements in the case of triggering Cultural Heritage risks and impacts

The entire Project design attempts to protect some of the highest priority cultural heritage from further deterioration, increase the exhibition and activities capacity of the institutions, improve the operational safety and efficiency of the facilities for both visitors and personnel; and provide higher safety of artworks on display and other cultural assets from physical damages, theft or other hazards. It is expected that the rehabilitation and restoration works will mainly include primarily repair and upgrading of buildings and may also cover some interior utility networks (electricity, water, heating, a/c, etc.) and landscaping. Each site will be developed and managed in accordance with principles of good practice in the cultural heritage field. The

task team includes specialists knowledgeable in all aspects of heritage preservation and heritage site management. Every site will be managed in accordance with an agreed management plan which is based on local consultation and stakeholder inputs. EMPs under the project will also address physical cultural resources safeguards.

As specified above the project might support a series of subprojects related to various civil works that would involve significant excavations, demolition, movement of earth, or other changes in the physical environment, during which unexpectedly might be found physical cultural resources. To address this issue all such subprojects will have special clauses in all contracts for civil works on "chance finds procedure" which will set out how chance finds associated with the subproject will be managed. These will specify the following: (a) do not disturb any chance find further until an assessment by competent professionals is made and actions are identified; (b) notify relevant authorities of found objects or sites by cultural heritage experts; (c) to fence-off the area of finds or sites to avoid further disturbance; (d) to conduct an assessment of found objects or sites by cultural heritage experts; (e) to identify and implement actions consistent with the requirements of the OP 4.11 on Physical Cultural Resources and national law; and (f) when needed, to train project personnel and project workers on chance find procedures.

As the project also might support subprojects targeted at rehabilitation or conservation of built heritage which constitute Physical Cultural Resources the subproject ESA should be in compliance with the OP 4.11 and national heritage requirements. Respectively, while developing the TORs for the ESA, the cities authorities, in consultation with the national authorities, relevant cultural heritage experts, and relevant project-affected groups, identify appropriate mitigation measures to address the impacts on Built Heritage. Such measures may include (a) documentation; (b) conservation or rehabilitation in situ; and (c) relocation and conservation or rehabilitation. During rehabilitation or restoration of cultural heritage structures, the cities' authorities will maintain the authenticity of form, construction materials and techniques of the structure(s) in compliance with applicable national and subnational laws and/or zoning regulations and in accordance with GIIP. Depending on the nature and the scale of the proposed civil works and respectively on the risks and impacts of the subproject, these measures and actions can be specified in a stand-alone Physical Cultural Resources Management Plan (PCRMP) that is consistent with the country's overall policy framework and national legislation and considers institutional capabilities with regard to physical cultural resources. The PCRMP will include an implementation timeline and an estimate of resource needs for each mitigation measure. As part of the public consultations required in the EA process, in documenting the presence and significance of physical cultural resources, assessing potential impacts, and exploring avoidance and mitigation options the consultative process for the physical cultural resources subprojects includes relevant project-affected groups, concerned government authorities, and nongovernmental organizations. Among other interested parties, should be included project affected parties, including individuals and communities within the country who use or have used the cultural heritage within living memory, as well and national or local regulatory authorities that are entrusted with the protection of cultural heritage and nongovernmental organizations and cultural heritage experts, including national and international cultural heritage organizations. The findings of the physical cultural resources component of the EA are disclosed as part of, and in the same manner as, the ESA reports.

5 ENVIRONMENTAL AND SOCIAL SUPERVISION, MONITORING AND REPORTINGBasic requirements of environmental and social monitoring and reporting

Environmental and social monitoring during sub-projects implementation should provide information about key environmental and social aspects of the sub-projects, particularly its environmental impacts, social consequences of impacts and the effectiveness of taken mitigation measures. Such information enables the PIU/RPIUs to evaluate the success of mitigation measures as part of project supervision, and allows corrective action(s) to be implemented in a timely manner, when needed. The ESMP identifies monitoring objectives and specifies the types of monitoring, and their link to impacts and mitigation measures along with specific description, and technical details of monitoring measures, including the parameters to be measured, methods to be used, frequency of measurements.

Monitoring of the compliance of project implementation with the mitigation measures defined in the ESIA/ESMP, and/or RAP will be carried out jointly with communities and Environmental and Social Safeguards Unit of PIU. The aim is to verify key concerns on compliance with the ESMF, implementation progress and extent of effective consultation and participation of local communities. Standard checklist prepared during the assessment studies will be used to report on the activities. A third-party environmental, social, health and safety audit will be carried out at mid- term of project implementation and at the end of the project. The audits are necessary to ensure that (i) the ESMF process is being implemented appropriately, and (ii) mitigation measures are being identified and implemented accordingly. The audit will be able to identify any amendments in the ESMF approach to improve its effectiveness. An independent resettlement monitoring consultant will be engaged to provide support on RAP implementation.

5.1.1 Environmental Monitoring

To ensure that mitigation actions are implemented in accordance with the requirements of the ESMP, monitoring shall be undertaken as follows:

- Instrumental Monitoring for environmental quality such as air and water quality. Considering types of activities which will be implemented under this Project, instrumental monitoring may not be conducted. However, in case of receiving complaints on disturbance/inconveniences from local population, analytical measurements of air or water quality should be conducted by Contractor through hiring certified laboratory.
- Observational Monitoring – throughout the sub-projects construction phase PRCU shall continually monitor implementation of ESMPs by contractors. This will be achieved through weekly inspections of the Contractors environmental performance by PRCUs' SS throughout the construction period. PRCUs shall have the right to suspend works or payments if the Contractor is in violation of any of his obligations under the ESMPs implementation.
- In case of non-observance of the ESMP requirements by the contractor, the PIU specialist submits a report to the management and, upon agreement with the management, comments are sent to the contractor. In case of non-observance / ignoring of the identified comments, the PIU management imposes a fine in the amount of costs for the ESMP and collects the amount from the funds paid to the contractor.

Separately, World Bank experts will also carry out annual site-specific visits to review compliance. As mentioned above, in the case of non-compliance, the RPIUs/PIU would

investigate the nature and reason(s) for non-compliance, and a decision would have to be made on what is needed to bring a sub-project into compliance, or whether financing should be suspended.

5.1.2 Environmental Reporting

Results of environmental performance including monitoring activity have to be properly documented and reported. In accordance with national legislation, each contractor has to perform a log book with information about conducted training on EH&S for workers and another book for registration accidents during the civil works. In case of conduction instrumental monitoring, original records on results of required instrumental environmental monitoring (air and water quality) also need to be kept in the separate file for records.

It is recommended, that prior commencement of the civil works Contractors with assistance of RPIU's SS will develop a format for site inspection to optimize a process of environmental supervision. The format may could be in form of checklist with list of mitigation measures to be implemented at the construction sites, their performance status and some explanations as required.

The reporting of progress of implementation of the ESMP would be the responsibility of the subproject beneficiaries and such reports would be submitted to RPIU, as relevant bi-annually. Monitoring reports during project implementation would provide information about key environmental and social aspects[30] of the project activities, particularly on the environmental impacts and effectiveness of mitigation measures. Such information enables the PIU and WB to evaluate the success of mitigation as part of project supervision, and allows corrective action to be taken when needed.

Specifically, the monitoring section of the subproject ESMPs would provide:

(a) details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements; and,

(b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate mitigation measures; and, (ii) furnish information on the progress and, results of mitigation.

The PIU will present short information about the ESMF implementation and subproject environmental and social performances as part of the Progress Reports to be presented to the WB on a semi-annual basis.

5.1.3 Monitoring of RAP implementation

The RAP implementation monitoring will involve (i) administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis and (ii) overall monitoring to assess status of project affected persons in terms of compensation and assistance and alternate land allocation with land development etc. PIU is required to implement safeguard measures as provided in the RAP. PIU will:

(i) monitor the progress of implementation of RAP,
(ii) verify the compliance with safeguard measures and their progress toward intended outcomes,
(iii) document and disclose monitoring results and identify necessary corrective and preventive actions in the periodic monitoring reports,
(iv) follow up on these actions to ensure progress toward the desired outcomes, and
(v) submit semiannual social monitoring reports to WB.

[30]Including impact on labor force, gender issues, impact on socially vulnerable groups of the population, living standards of the population, impact on land resources and other.

Monitoring will include daily planning, implementation, feedback and troubleshooting, individual affected person file maintenance, community relationships, dates for consultations, number of appeals placed and progress reports. PIU will be responsible for managing and maintaining affected person databases, documenting the results of the affected person census. Monitoring reports documenting progress on RAP implementation and a completion reports will be provided by PIU to WB for review. The monitoring report will contain: (i) accomplishment to-date, (ii) objectives attained and not attained during the period and explanation for not attained, (iii) problems encountered, grievances received and addressed, consultations carried out during the reporting period, if any, and (iv) suggested options for corrective measures. An external professional agency (Or Consulting company - CC) would be contracted to undertake concurrent Monitoring and Evaluation (M&E) of RAP implementation.

5.1.4 Reporting on RAP

The PIU will be responsible for managing and maintaining PAP's database documenting the final results of the affected person census based on final design. Monitoring reports documenting progress on RAP completion reports will be provided by PIU to WB upon completion of RAP implementation.

5.2 Integration of the ESMF into project documents

The ESMF provisions would be used for the following:

i. Inclusion of the ESMF requirements in the Project Operational Manual;
ii. Inclusion of Environmental Guidelines, ESMPs in construction contracts for individual sub-projects, both into specifications and bills of quantities, and the Contractors will be required to include the cost for ESMP implementation in their financial bids;
iii. Highlighting of ESMF follow-up responsibility within the PIU and RPIUs;
iv. Specifying mitigation and avoidance measures during the implementation of the selected subprojects;
v. Monitoring and evaluation of mitigation/avoidance measures identified in the site-specific review and in the ESMPs. The necessary mitigating measures would constitute integral part of the subproject implementation including the contracts binding the contractors to carry out the environmental and social obligations during civil works.

All contractors will be required to use environmentally acceptable technical standards and procedures during carrying out of works. Additionally, contract clauses shall include requirements towards compliance with all national construction, health protection, safeguard procedures and rules as well as on environmental protection.

6 INSTITUTIONAL ARRANGEMENTS AND CAPACITY FOR ESMF IMPLEMENTATION

6.1 Project coordination

The main project implementing agency is the Ministry of Investments and Foreign Trade (MIFT). This Agency is responsible for control and approval of feasibility studies under the project, in addition to the coordination role amongst all the relevant sectors. Furthermore, an Inter-Ministerial Steering Committee has been set-up with key line ministries and government agencies, including the Ministry of Finance, Ministry of Economy, Ministry of Construction, State Committee for Tourism Development, and regional and local government representatives in proposed project areas with the aim of coordinating project implementation. This MIFT will guide and support the Project Implementation Unit (PIU) in decision-making, and will be chaired by the Deputy First Prime Minister and include high-level representations from all relevant sectors and agencies. The SC would also validate all tender documents and procurement, presented to them by PIU.

6.2 Project Implementation Unit

A Project Implementation Unit (PIU), under the Ministry of Investments and Foreign Trade is established at the national level to coordinate and implement the project for the three pilot cities, and subsequently expand its responsibility to implement the proposed National Urban Program for the 28 cities. The PIU is led by a Project Director and has staff capacity in procurement, financial management, and technical sectors particularly for planning, transport, water and energy. The PIU will hire also a Safeguards Specialist (SS) which will oversee overall coordination of individual ESMF and ESMPs implementation, reporting to MIFT and to the WB regarding safeguards issues, as well as of integrating safeguards requirements into biding and contracting documents. He/she also will be responsible for interaction with the environmental authorities, local implementing agencies ensuring an efficient implementation of safeguards documents and will undertake, randomly, field visits and environmental and social supervision and monitoring, assessing environmental and social compliance at worksites, advising project Regional Project Implementation Units (RPIUs) on environmental and social safeguards issues. The PIU SS will be, also, responsible for identifying EA training needs for all parties involved in ESMF/ESMPs implementation.

6.3 Regional Project Implementation Units

The project would be implemented at the local level through RPIUs which will be working closely with the respective district and city Hokhimiyats. The RPIUs will be established for a region overseeing a cluster of cities (for example, Namangan RPIUs will oversee cities such as Chartaq, Namangan, Chost etc.), emphasizing the importance of integrated urban development across the city boundaries and looking at development at a regional level. For the RPIUs to be effective and consistent, a Regional Level Working Committee representing each city hokimiyats will be established for coordination amongst the cities, along with an inter-agency working group at the city hokhimiyat level. The RPIUs will also include a SS, whose main duties would be to ensure that the project activities are implemented in compliance with the WB safeguards Operational Policies and national EA rules and procedures. Among major responsibilities of the RPIU SS will be the following: (a) ensuring that contractors complies with all ESMPs requirements; (b) coordinating of all environmental and social related issues at the city and district level; (c) conducting ESMP supervision and monitoring and assessing environmental and social impacts and efficiency of mitigation measures, as well as identifying non-compliance issues or adverse trends in results, and putting in place programs to correct any identified problems; (d) when needed, providing advises and consulting contractors in

ESMP implementation; and, (e) reporting to the PIU with regard to ESMP implementation. All Regional Project Implementing Units (RPIUs) established for the each subprojects in the selected regions (including Kashkadarya and Surhandarya) of the project will report to the PIU.

6.4 Contractors' responsibilities

The actual investments will be carried out by contractors selected through the public tendering process. They should operate in full compliance with national environmental and social legislation and with the ESMPs requirements. Further, the contractors are obliged to follow regulative requirements of the national law related to traffic safety, occupational health and safety; fire safety; environmental protection; and community health and safety. All ESMPs' associated activities will be financed by the contractors. The contractors will also be requested to designate a person in charge of environmental, social, health and safety issues and for implementing the ESMP.

6.5 ESA capacity building activities

The implementation of the ESMF requires specific knowledge for beneficiaries and operators engaged in the different phases of the project implementation. The project will support relevant trainings on knowledge and information on topics such as the ESMF implementation, ESMF/ESMP reporting, World Bank Guidelines, management of hazardous materials and etc. For this purpose, before the civil works will start, the MIFT will hire a Consultant with knowledge on the environmental and social management requirements for Republic of Uzbekistan, along with substantial knowledge on World Bank safeguards policies and requirements which will provide EA training. The training will include the basic requirements of the WB and National safeguards rules and procedures, as well as case studies in this regard. The training activities will continue also during the project implementation when the consultant will provide on the job training regarding environmental and social monitoring and supervision.

The proposing the Project's capacity building on environmental and social aspects will cover three main directions:

i) ***PIU's and RPIUs' capacity*** on ESMF implementation during sub-projects selection process and sub-project construction stages – the hired Consultant will provide respective training for PIUs and RPIU's staff and SS on WB OPs safeguards requirements, ESMF, ESMP and RAP preparation and further assistance in monitoring of the RAP and ESMP. The training could be conducted in Tashkent city with outdoor exercise in Yangiyul city. Other relevant staff members of PIU can participate at the training in order to widen familiarization of the ESMF.

ii) ***MIFT's capacity*** on overall environmental performance during the projects' operation – the Consultant jointly with PIU's SS will develop and conduct training program on general overview of WB safeguards OPs and national environmental and social requirements. The target of this training will be presentation of WB's safeguards and national environmental requirements for different types (categories) of the projects and further needed actions.

iii) ***Beneficiaries' Capacity*** on development of ESIA, ESMP. Since the program will be implemented during several years and more sub-projects will be proposed for inclusion in the program, the Consultant will provide training for local agencies involved in preparation of EA report and conduction national EA. The training will be dedicated to harmonization of process of WB's EISA and national EA. The target will be to educate EA developers and specialist from local environmental agencies to prepare the documents which meet WB safeguards standards as well.

A separate training on handling, collection and disposal of hazardous materials (PCBs and asbestos materials) for PIU's, RPIUs' SS and contractors will be provided by the Consultant before starting respective works. As per national requirements the contractors will have to conduct OH&S training for workers with indication in special logbook which will be kept on each construction site.

For the project sustainability it is important along with physical interventions, institutional improvements and financial enhancing, to increase people awareness on the project related topics, particularly waste management, water supply and sanitation aspects. It is proposed, that hired Consultant in collaboration with national NGOs and relevant agencies will develop awareness program which will cover three mentioned above topics and delivered to the target groups through seminars.

The tentative plan of capacity building and training plan is presented below in Table 15.

Table 15: Tentative plan for capacity building and training program

	Name of training	Time and tentative duration of the training	Recipients	Organizer	Tentative cost
1	Implementation of ESMF, ESMP, RPF and ARAP/RAP	Before sub-projects selection and approval Duration - 2 days	PIU's and RPIUs' SS	Consultant	2,000 USD
2	Development of EISA, ESMP and ARAP/RAP	Before sub-projects selection and approval Duration - 2 days	PIU's and RPIUs' SS	Consultant	2,000 USD
3	Development of ESIA, ESMP, Gender Action Plan	Before 2 days	Beneficiaries conducting national EIA	Consultant	3,000 USD each. Total 27,000 for three cities and cities of two regions (Surkhandarya and Kashkadarya)
5	OH&S, Handling and disposal of hazardous materials	Before starting respective works 1 day	RPIU SS Specialist Contractors workers	Consultant	3,000 USD each. Total 27,000 for three cities and cities of two regions (Surkhandarya

					and Kashkadarya)
6	Awareness program,	Continuously during the program implementation	Public, Main stakeholders	Consultant, PIU and RPIUs	20,000 USD
7	Citizen Engagement Component	Continuously during the program implementation	RPIU SS Specialist	Consultant	2,000 USD each. Total 18000 for three cities and cities of two regions (Surkhandarya and Kashkadarya)
8	Cultural heritage regulatory frameworks	Continuously during the program implementation	Contractors workers	Consultant	2,000 USD each. Total 36,000 for three cities and cities of two regions (Surkhandarya and Kashkadarya)
	Total				**132,000 USD**

7 CITIZEN ENGAGEMENT AND ESMF DISCLOSURE

7.1 Citizen Engagement

In Uzbekistan, citizen engagement has not been regulated within the Urban Planning and Resettlement Planning process. Involvement of citizens in the Urban Development Planning process and in the implementation stage is limited. However, social impact assessments carried out in several sectors of WBG projects suggest that the quality of service can be improved with active engagement by users. For example, citizens were willing to contribute to the water supply project by paying higher price for improved services.

The government is keen to improve its responsiveness and adopt mechanisms which help tackle gaps in service delivery. Presidential Decree on measures on major improvement of investment climate in the Republic of Uzbekistan (#5495 dated from 01.08.2018) has determined that the starting from September 2018 the demolition of residential and industrial premises is permitted only after public consultation with affected persons/entities and payment of the market value of immovable property and losses of the owner. Additionally, in accordance with another Presidential Decree on measures to improve the effectiveness of preparation and implementation of projects with participation of international financial institutions and foreign governmental financial organizations (#3857 dated from 16.07.2018), the LAR can be implemented in accordance with international financial institutions' operational policies based on established agreements. Additionally, a Law on Social Partnerships creates a framework for cooperation between government bodies and local governance institutions such as mahalla by allowing for the establishment of public funds and public commissions at the local level, and a Law on Openness of Activities of Governmental Bodies requires enhanced transparency and accessibility to information about government actions. Therefore, based on above mentioned decrees and laws within MSCIUDP citizen engagement mechanisms can be implemented as of Uzbek Laws to enhance public involvement in planning, implementation and monitoring stages of MSCUIDP. However, citizen engagement mechanisms given in this document will supplement to enhance CE within subprojects of MSCUIDP.

7.1.1 Definitions

According to the Strategic Framework for Mainstreaming Citizen Engagement in World Bank Group Operations following definitions are used in Citizen Engagement:

Citizens are understood as the ultimate client of government, development institutions', and private sector interventions in a country. Citizens can act as individuals or organize themselves in associations and groups such as community-based groups, women's groups, or indigenous peoples' groups. Makhalla can represent citizens and can include organizations outside the public or for-profit sector, such as nongovernmental organizations (NGOs), charitable organizations, faith-based organizations, foundations, academia, associations, policy development and research institutes, trade unions, and social movements.

Beneficiaries are defined as a subset of citizens directly targeted by and expected to benefit from the World Bank project and CE mechanisms will help to establish two-way interaction with them.

Citizen engagement is defined as the two-way interaction between citizens and governments or the private sector within the scope of WBG interventions—policy dialogue, programs, projects, and advisory services and analytics—that gives citizens a stake in decision-making with the objective of improving the intermediate and final development outcomes of the intervention.

7.1.2 Proposed citizen engagement mechanisms

The spectrum of citizen engagement includes consultation; collaboration/participation; and empowerment. Access to information is a necessary enabling condition; it is not a substitute for successful citizen engagement in WBG development interventions, as it typically implies a one-way interaction. Information and awareness raising activities therefore do not meet the definition of citizen engagement.

Citizen engagement will be regulated by Project Management Unit. Apart from consultations and meeting at local levels, ICT platforms will be actively used to collect opinions, feedbacks and recommendations given by citizens and stakeholders. This will be done through application of multiple uptake channels such as mail, e-mail, telephone, project web- site. Nowadays the citizens are active in using mobile internets and therefore, project will open special groups in Telegram app and in Facebook. In order to establish systemized CE, PIU established close contact with representatives of Makhallas and local NGOs.

In frame of MSCIUDP following citizen engagement mechanisms are proposed:

- **Consultations.** Public consultations will be organized during the feasibility study period of each subproject. The objectives of consultations are to share proposed activities of the project and get the comments, ideas, and recommendations from citizens at respective project areas towards improvement of policies and programs within the project.

- **Focus Group Discussions**. Focus groups are composed of a small number of stakeholders to discuss project impacts and concerns and consult in an informal setting. They are designed to gauge the response to the project's proposed actions and to gain a detailed understanding of stakeholders' perspectives, values, and concerns.

- **Grievance Redress** is a system by which queries or clarifications about the project given by citizens at each subproject areas are responded to, problems with implementation are resolved, and complaints and grievances are addressed efficiently and effectively.

- **Participatory planning** convenes a broad base of key stakeholders and citizens, on an iterative basis, in order to generate a diagnosis of the existing situation and develop appropriate strategies to solve jointly identified problems. .

- **Citizen Satisfaction surveys** provide a quantitative assessment of each subproject performance and service delivery based on citizens' experience. The surveys collect data on new water supply, sewerage, lightening services and other physical works set in each subprojects.

- **Participatory Monitoring and Evaluation** is a process through citizens and stakeholders at various levels engage in taking or identifying corrective actions in monitoring or evaluation process through their feedbacks, recommendations and opinions.

7.1.3 Community Contracting

As a part of empowering citizens, community citizens or groups will be given a priority to subcontract for the provision of services, construction works within the subprojects. The main

Contractor shall be informed about this mechanism when employing workers or subcontracting other civil works during the implementation stage.

7.1.4 Public Displays of Information

Information about project activities or services will be announces in public areas, such as on billboards or in government offices, schools, health centers, community centers, project sites, and other places where communities receive services or discuss government affairs.

During implementation, citizens of the project ares will be informed about their rights and options through citizen engagement forums during the public consultations organized during the feasibility studies at each subproject areas. The grievance mechanism will continue to operate and all grievances will be recorded. A dynamic participatory approach involves citizens in decision making about livelihood and community development programs.

At the final stage based on surveys, opinions, recommendations and actions taken a Citizen Engagement Report will be developed. This report will be disclosed by posting in a project website, city governorate website, telegram groups and will be sent directly to representatives of makhallas and NGOs.

7.1.5 Gender Dimension in CE

Separate attention to the needs of women is required in interventions to strengthen citizen engagement. In order to ensure that all citizen have equal opportunities to have their voices heard, each citizen engagement intervention should take into consideration the specific constraints faced by women, such as lack of awareness about legal rights, mobility, family care responsibilities, social and cultural norms, power imbalances in communities, etc. This would be achieved through developing project-specific gender action plan, based on targeted social assessments

For mobilization measures to facilitate women's participation in project activities; first of all the need assessment should be done for each community to understand their needs, only after that the mechanisms should be developed both for consultation of different groups (women, the poor, the disabled, and the elderly), and ensure the extension of equal opportunities to male and female community members to participate in project activities and benefit from skill development, employment, and/or other opportunities. For motivation of women to participate in the project-related activities only the consultation and provision of information will not be enough, as in the regional communities women are not encouraged to participate in the activities which are mainly considered as “male”, so other mechanisms also should be developed during the next stages and applied in cooperation with communities and also with the Contractor.

7.2 Consultation with Project Affected Persons (PAPs)

To ensure effective engagement of citizens and ensure the interests of the affected persons are fully included in the process, the consultant will engage in meaningful consultations with the affected persons, representatives of any affected group, any interested groups or stakeholders and the various administrative and government departments in the project area. It is essential to engage with PAPs at the household or business venues to invite them to participate in the public consultations. Communication with the affected persons, as well as with other community members who will express interest in the project, will be maintained throughout the process from project design, implementation to closure. The community will be informed of grievance management arrangements and given contacts of persons assigned to manage issues and grievances.

Mechanisms for consultations. In addition to documenting the expropriation procedures indicated above, once the tentative arrangement of the civil works is identified, each project activity beneficiary (Local Hokhimiyats) in cooperation with the PIU will hold public consultations to discuss the expropriation and its implications. All those whose ownership or occupation of land that will be affected by the expropriation will be invited to these consultations, in which they will be offered choices about their options and rights pertaining to compensation, and resettlement – if required, and provided with technically and economically feasible alternatives. The aim of public consultations at this stage would be to: (a) Disseminate concepts for proposed projects with the aim to bring communities interest on the project, and allay fears about what might happen when the project is under way; (b) Determine communities' willingness to contribute in kind towards the implementation of the project, and formulate resettlement options that address the affected people's needs; and (c) Determine community willingness to contribute towards long term maintenance, when and if required.

In order to ensure transparency and constructive cooperation from the PAPs on the project activities, including the evaluation of losses and mitigation of other impacts, project-affected people will be provided with contact specifics for project personnel designated to respond to any grievances, questions or problems which may arise in RAP implementation. A continuous approach to stakeholder participation and consultations will be used. The RAP implementation team will ensure that all interactions with PAPs are documented in implementation reports.

8 PUBLIC DISCLOSURE

8.1 ESMF disclosure

The environmental and social assessment process will be available to the public, thus all the involved parts will be consulted on project safeguard documents at least once (for category B projects) during the process. The Public Consultation is required to take place for the documents related to the overall project as specific ESMFs or ESIAs will be prepared for each activity.

Even national environmental legislation does not require conduction of public consultations, they will be organized under WB OP 4.01. Prior conduction of public consultations the relevant project materials (Environmental Executive Summary) should be disclosed on local languages (Russian and Uzbek) on website of Implementation Agency – Ministry of Investments and Foreign Trade. All comments and recommendation provided during the public consultations need to be reflected into the final version of ESMF for further submission to WB

Once the MIFT officially submits ESMF to WB, the document will be disclosed on WB external website. Under this Project as part of information disclosure process number of meetings were conducted with involved parties, particularly, officials from district khokimiyats, specialists of provincial and district level water supply agencies – Suvoqova, municipal solid waste treatment agencies – "Toza hudud", municipal cities beatification department, land cadastre, architectural department, the Ministry of Culture and Sport and others. During the meeting the project team discussed with expert planning activities under the project and introduced WB OP procedures.

During the project implementation for category B sub-projects Environmental Executive Summaries of prepared EISAs will need to be disclosed on local khokimiyat's websites as well and main findings of Environmental Assessments will need to be presented during public consultation with affected groups of people.

8.2 ESMF public consultations

First round of Public Consultation took place on September 6, 2018, in State Investment Committee (Ministry of Investment and Foreign Trade) in Tashkent. Representatives of different organizations involved in the project participated in the meeting. Among them were representatives of project cities' khokimiyats, Ministry of Culture, Land Cadastre and Railway Agency located in Tashkent. The main purpose of that meeting was to introduce participants with information on planning activities in each city, discuss next steps and to explain the main statement of WB's safeguards policies. Among other technical questions the participants discussed procedure of site selection and possibility of inclusion on-going project activities into the program.

Second round of public consultation was conducted in three project cities during October 2-4, in Chartaq, Yangiyul and Qagan cities. Representatives of the main stakeholder organizations participated meetings. Among them were representatives of educational organization, khokimyats, land cadastre, water supply and sewage system agencies (Suvoqova and Oqovasuv), state nature committee, and citizen of makhallas. The meetings were held at the premises of administration buildings of local khokimyats with the participation of 38 peoples. The objectives of the public consultations were: to inform the public and stakeholders about the objectives and project developments and the expected of environmental and social impacts; to collect information and data from the public and/or the communities that will be affected by the project; and to ensure participation of the public and local communities in a process and support for the project. The minutes of the consultation meetings can be found in Annex 11.

As decided by the client, the project overall might also support subprojects from another regions of the country. Currently public disclosure are carrying out in Kashkadarya and Surkhandarya regions. PIU will distribute the minutes of the meeting.

The MSCIUDP includes key principles in compliance with international good practices for resettlement and World Bank Resettlement Policy. Consultation and participation of affected communities: throughout the process of the development and implementation of the project and its specific activities, consultation with affected communities and relevant stakeholders is an essential element in citizens' engagement which is basic to public support, stakeholder input, and a positive outcome of a given activity. Where land acquisition impacts are a factor in a given activity, consultations on land acquisition compensation procedures, and related impacts are to be undertaken and documented in the resettlement instruments for each specific activity; (Resettlement Action Plan (RAP) or Abbreviated RAP for impacts on less than 200 people (ARAP)). Participation of PAPs in the RAP's preparation and implementation is essential for a transparent and effective resettlement.

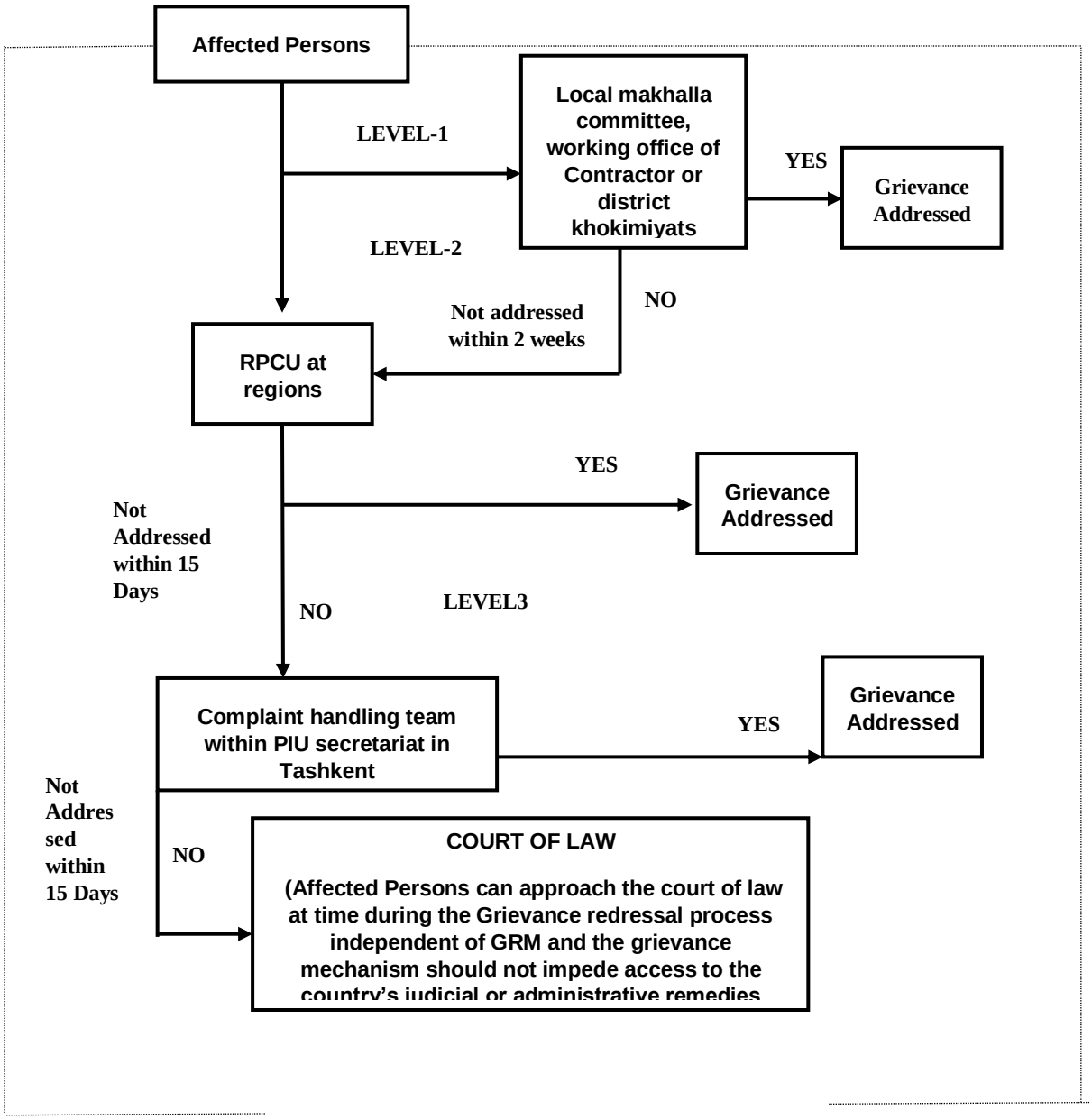
The draft RPF was disclosed in early 19 September 2018 on the website of SIC. Additionally, the public consultation meetings were held on 2-4 October 2018 in Qagan, Chartak and Yangiyul cities where ESMF and RPF were presented to the main stakeholders. The updated version of the RPF was published on January 8, 2021 on the website of the hokimiats of the Kashkadarya and Surkhandarya regions (http://surxondaryo.uz/news/view/482 , http://qashqadaryo.uz/uz/eview/ushkrl). In addition, on January 18- 19 2021, a meeting was held with the beneficiaries of the Kashkadarya and Surkhandarya regions. The executive part of the RPF was distributed to the stakeholders and their views and suggestions were discussed and incorporated in finalization of the RPF. The minutes of meetings are given in Annexes 1,

The final RPF was disclosed on the website of MIFT. The executive summary of the RPF was translated into Russian language and disclosed through the MIFT and during the public meetings.

9 GRIEVANCE REDRESS MECHANISM

The proposed Grievance redress mechanism helps complaint handling system to be functional, transparent and responsive, and where appropriate, strengthen government systems. In this mechanism beneficiaries and citizens can turn to register any grievances on all issues that tackle within any infrastructure

Figure 14: Flow of GRM



The project establish a Grievance redress mechanism (Figure 14) which would function at the three-levels to receive, evaluate and facilitate the resolution of displaced persons concerns, complaints and grievances. In the first level PAPs can deliver grievances to local makhalla committee, working office of Contractor and district Hokimiyats of Chartak, Qagan and Yangiyul, as well as cities of Kashkadarya and Surkhandarya regions respectively. Second

level includes Regional Project Implementation Units that will function in Chartak, Qagan and Yangiyul and Kashkadarya and Surkhandarya regions respectively. Additionally, in the second level PAPs can submit their grievances to PIU directly as well. Third level includes Economic Court if the issue was not solved or the applicant is dissatisfied with the decision/resolution given by Levels 1, 2. In this mechanism beneficiaries and citizens can turn to register any grievances on all issues that tackle within any infrastructure subprojects of MSCIUDP. All grievances received from the PAPs will be registered in a logbook (attaced in RPF) which should be available at levels 1 and 2: at the site office of Contractor, each makhalla committee of project area districts and PIU Tashkent office.The PAPs will have the right to file complaints and queries on any aspect of land acquisition compensation and resettlement. PIU will be responsible for establishment of GRM during the project affectivity and act as the GRM secretary to make sure that the GRM is operational to effectively handle environmental and social concerns of project affected persons. PIU will ensure that grievances and complaints on any aspect of the land acquisition, compensation, and resettlement are addressed in a timely and satisfactory manner. All possible avenues are made available to the PAPs to resolve their grievances at the project level. Under the proposed project level grievance mechanism, affected households may appeal any decision, practice or activity connected with the assessment or valuation of land or other assets, acquisition and compensation.

Every grievance shall be tracked and assessed if any progress is being made to resolve them. It is expected that project will receive a large number of grievances and should ideally have an electronic system for entering, tracking, and monitoring grievances. The project monitoring and evaluation information system should also include indicators to measure grievance monitoring and resolution.

At the final stage each GRM users shall be informed about the results of investigations and the actions taken to increases users' trust in the system. In addition, the generalized report will be developed considering type of complaints and actions taken. This reports and feedback will be sent to complainant directly (if his or her identity is known) and/or posting the results of cases in project website, telegram groups or local newspapers. The project should also inform GRM users about their right to an appeal if they are dissatisfied with the decision, specifying both internal and external (e.g., judicial review, ministries) review options.

10 ANNEXES

Annex 1. Extracts from the Regulation on the State Environmental Expertise
(No.541 of 07.09.2020)

The State Environmental Expertise (SEE), represents the main body and the process of reviewing and approval (or rejection) of projects on environmental grounds and it is regulated by the Law on Ecological Expertise (2000) and by Decree of the Cabinet of Ministers No 491.31.12.2001: "On approval of the Regulation of the State Environmental Expertise". According to the article 3 of the abovementioned law Ecological expertise is carried out in order to determine: (a) compliance of projected economic and other activities with environmental requirements in the stages preceding decision making on its implementation; (b) level of ecological danger planned or carried out business and other activities, which may have or had a negative impact on the condition of the environment and public health; and (c) adequacy and reasonableness of the measures provided for the protection of the environment and rational use of natural resources. The main responsible organization for state environmental review is the Main Directorate for Center of State Ecological Expertise (Centrgosecoexpertiza) of Goskomekologiya. The Regulation stipulates 4 categories for development:

Category I – Corresponds to World Bank Category A;
Category II - Corresponds to World Bank Category B
Category III – Corresponds to World Bank Category C;
Category IV – Corresponds to World Bank Category C+;

Activities that are not included in this list are subject to state environmental expertise, which determines the category of this type of activity on the basis of materials submitted by the Expert Council under the State Committee for Ecology or as a result of field research.
If the materials submitted by one project initiator (customer) for the Center of State Environmental Expertise are complex and consist of several objects of different categories that affect the environment and are located in the same production zone, their impact on the environment is determined by the highest category.

According to the paragraph 24 of the Annex #2 DCM #541 of 07.09.2020, evaluation stages of the environmental impact for types of activities of I, II, III categories should include the following basic issues (depending on the type and nature of work):

a) Stage 1: Draft statement on environmental impacts (DSEI) is implemented at the stage of planning of the envisaged project prior to allocation of funds on development. Draft Statement on Environmental Impacts should provide the following details:

- general information about the initiator (full name) and the developer of the environmental document (name, passport / certificate / ID-card data, TIN);
- the state of the environment before the planned activity, including the location of the population in the area where the activity is planned, the state of atmospheric air, surface, groundwater and wastewater and the level of pollution, characteristics of lands allocated for permanent or temporary use, and their pollution, landscape degradation, climate description of geological, hydrological, hydrogeological and other natural conditions, flora, fauna, recreation areas and protected natural areas and other environmental objects;

- justification of the location of the object and the correspondence of the selected and alternative sites to the schemes of economic and social development;
- minutes of public consultations on public support for the project for objects of I and II categories of environmental impact, as well as proposals and objections received during public consultations of the project;
- scope of environmental impact studies, information sources used in the impact assessment process (land resources, climate, atmospheric conditions, geomorphological, geological, hydrological, hydrogeological conditions, flora and fauna, public health, soil, archaeological, historical and cultural features) ;
- a schematic map indicating the geographic coordinates of the object, adjacent recreation areas, settlements, irrigation and reclamation facilities, agricultural areas, power lines, transport, water and gas pipelines and other communications;
- analysis of the main and auxiliary facilities intended for construction and (or) production, equipment used, technologies, natural resources, materials, raw materials, fuel products and their impact on the environment;
- type and annual capacity of manufactured products;
- estimated composition and volume of emissions and effluents into the atmosphere, morphology and volume of generated waste, as well as their negative impact on the environment and ways to reduce them;
- analysis of alternative and technological solutions of planned, planned or reconstructed and modernized, reorganized, expanded measures in the environmental sphere, taking into account scientific, technical achievements and best practices;
- organizational, technical, technological solutions and measures to eliminate negative environmental consequences and reduce the impact of the object of state environmental expertise on the environment;
- analysis of the circumstances that may have a negative impact on the environment as a result of the accident (scenario for preventing the consequences of the accident);
- changes in the environment as a result of the implementation of the object of the state environmental expertise and forecast of environmental consequences;
- information on sources that affect the environment, their types, limits, intensity and duration of these impacts;
- the volume of use of manufactured products, the restrictions imposed on them, as well as safety programs with an indication of methods for their disinfection or use in case of loss of consumer properties due to material or moral obsolescence of the product.
-

b) Stage 2: It is necessary to draw the Statement on environmental impact (SEI), where Centrgosekoexpertiza should specify at the Stage 1 that additional researches or analyses are required. The Statement should be submitted to the Centrgosekoexpertiza prior to approval of the Feasibility Study for the Project, and, consequently, prior to construction.The Statement should contain the following:

- assessment of the environmental condition of the territories allocated according to the results of engineering and geological surveys, models and other necessary studies;
- information about the condition of the environment;
- environmental analysis of the impact of the applied technologies on other components of the environment in order to maintain the environmental condition of the territories;
- information on the positive completion of public consultations, results of consideration of proposals and objections submitted during public consultations;

- scientifically substantiated environmental protection measures to prevent negative consequences during the sale of an object of State Environmental Expertise.

c) Stage 3: Statement on Environmental Consequences (SEC) provides final stage in the process of SEE and should be carried out prior to the project commencement. The report details:

- correction of the design decisions and other taken measures on the consideration of the DSEI by the bodies of Goskompriroda, as well as on the proposals made at the public hearings;
- environmental regulations governing the activities of the reviewing object;
- requirements for the organization of work and the implementation of measures for environmental guiding of the operation of the object;
- main conclusions about the possibility of business activities.

Annex 2. Main parameters of the project implementation

1) Improvement of water supply and sewerage in the cities of Chartak, Kagan and Yangiyul.

- A contract was signed with the JV Corporate Solutions Consulting Limited (Leading, UK) / Engineering Consultants Groups (Egypt) and Diamond Network Ltd (Uzbekistan) for the development of a feasibility study, development of tender and design estimates, as well as technical supervision of the reconstruction of systems water supply and sewerage systems in 3 cities (08.11.2019).
- The consultant provided the report "Yangiyul: Combined report on the impact on the ecological and social environment" (01.06.2020) in English. 06/04/2020 the Russian version is provided;
- The consultant provided the report "Kagan: Combined Report of Impact on the Environmental and Social Environment" (08.06.2020) in English. 06/26/2020 the Russian version is provided;
- The Consultant provided the report “Chartak: Combined Report on Environmental and Social Impact” in English (17.06.2020);
- An agreement was received from the Ministry of Culture for the construction of a water conduit near the historical monument of Yegantepa in Yangiyul (09.09.2020);
- The conclusions of the environmental impact assessmendocuments for the cities of Chartak and Kagan were received (November 21, 2020).

2) Rehabilitation / strengthening and adaptive use in accordance with modern energy efficiency standards for Kindergarten No. 17 and the Administrative Building in Chartak. Contract #: MSC / UZB-C / W / 1.6.

- The "ULTRA GROUP" LLC developed a detailed design and tender documentation for the restoration / strengthening and adaptive use in accordance with modern energy efficiency standards for Kindergarten No. 17 and the Administrative Building in Chartak;
- The conclusions of the state ecological expertise for the EIS on the Kindergarten No. 17 and the Administrative Building in Chartak were received;
- A contract was concluded with the JV LLC "KOGON SANOAT SERVIS" and LLC "ZIYO SAN`AT" (Uzbekistan) for construction work on Restoration / strengthening and adaptive use in accordance with modern energy efficiency standards of Kindergarten No. 17 and the Administrative Building in Chartak (05.10.2020);
- The contractor has started construction work in accordance with the established procedure (19.10.2020).

3) Walking and cycling Eco-trail

- A contract was signed between the Project Implementation Group and the Superwien consortium (Austria) and Ultra Group LLC (Uzbekistan) for consulting services on the development of a general concept for an Eco-Trail and landscaping the territory of the Old Bazaar, detailed design estimates and tender documents, as well as on construction supervision (04/22/2020);
- A number of videoconferences were held with the consortium Superwien (Austria) and Ultra Group LLC (Uzbekistan), the khokimiyatoch of Chartak, PIU and the World Bank on the initial report, development of design estimates and tender documents, the concept of the Eco-Trail project.

4) Selection of a consultant to develop a comprehensive tourism development strategy.

- Together with the State Committee for Tourism, a Terms of Reference was developed to provide consulting services to support tourism development and the development of new directions for sustainable tourism in certain regions of Uzbekistan: (i) Fergana Valley, (ii) Bukhara, (iii) Surkhandarya and (iv) Kashkadarya regions;
- At the moment, procurement procedures are underway to select a consulting company.

5) Restoration and adaptive reuse of the Emir's Palace and adjacent territory, as well as other Cultural Heritage sites in Kagan.

- The Terms of Reference for the selection of a company for the provision of services for the development of detailed design and estimate documentation for the restoration of cultural heritage objects in the city of Kagan was developed;
- Letter No. 06 / 47-08-36 dated 25.02.2020. The PIU sent a request to the Center for State Environmental Expertise with a request to determine the category of environmental impact when carrying out work on the restoration of cultural heritage sites in the city of Kagan;
- Received a response letter from the Center for State Ecological Expertise to inquiry No. 06 / 47-08-36 dated 25.02.2020;
- At the moment, procurement procedures are underway to select a consulting company for the development of design and estimate documentation and tender documents, as well as supervision of construction work.

6) Purchase of special equipment for khokimiyats of pilot cities.

- At the moment, procurement procedures are underway to select a supplier company.

7) Construction of garages in three pilot cities for storing purchased special equipment, as well as reconstruction of the Old Bazaar building and a building constructed in Chartak.

- A contract was signed between the Project Implementation Group and Ultra Group LLC (Uzbekistan) for the provision of consulting services for the development of detailed design and tender documentation for the construction of garages intended for special equipment of the khokimiyats of project cities, as well as the reconstruction of the Old Bazaar building and the Soviet era building in the city of Chartak;
- The conclusions of the environmental impact assessment documents on the construction of garages intended for special equipment of the khokimiyats of the project cities, Chartak, Yangiyul and Kagan were received;
- At the moment, procurement procedures are underway to select a construction company.

8) Improvement of the cities of Kagan, Chartak and two makhallas in Yangiyul, as well as the organization of the Kagan-Bukhara bus route.

- At the moment, procurement procedures are underway to select a consulting company for the development of design and estimate documentation and tender documents, as well as supervision of construction work.

9) Analysis and assessment of financing of urban development and intergovernmental fiscal relations in Uzbekistan. (Consulting Services - Component 2. Institutional Strengthening, Capacity Building and Technical Assistance).

- At the moment, procurement procedures are underway to select a consulting company to select a consulting company to analyze and evaluate financing of urban development and intergovernmental fiscal relations in Uzbekistan.

10) Technical Assistance to Support Modernization of Spatial and Urban Planning in Uzbekistan - Phase I for the Ministry of Construction (Consulting Services - Component 2. Institutional Strengthening, Capacity Building and Technical Assistance).

- At the moment, procurement procedures are underway for the selection of consulting services for technical assistance.

11) Activity on protective measures carried out within the framework of the project.

- On 27.11.2019 meeting held with the stakeholders of the Chartak project
- In three pilot cities (Chartak, Yangiyul and Kagan), Grievance Commissions were established, which includes representatives of the khokimiyats of three cities, the RGP, an ecologist and a sociologist of the PIU;
- Information sheets for citizens on the mechanism of citizens' appeals were prepared.
- An audit was conducted of the actions of local authorities to pay compensation for the demolition of the old bazaar in Chartak, Namangan region (November 2019 - March 2020).
- On 03.06.2020, an online training was conducted on social protection issues for employees of regional PIUs in three pilot cities (Chartak, Yangiyul and Kagan).
- On 05.11.2020 consultations were held within the framework of capacity building for the staff of the regional PIU (sociologist and ecologist) in Chartak on the framework policies of the project.
- On 06.11.2020, public hearings were held in Chartak on the component of reconstruction of the building of the former kindergarten No. 17 and the administrative building.
- On 11.11.2020, consultations were held within the framework of capacity building for the staff of the regional PIU (sociologist and ecologist) in the city of Kagan on the framework policies of the project.
- On 18.11.2020, consultations were held within the framework of capacity building for the staff of the regional PIU (sociologist and ecologist) in Yangiyul on the framework policies of the project.
- A sociological study of the people involved in the project in the old bazaar of the city of Chartak, Namangan region was carried out. (October-November 2020)
- A letter was sent to the khokimiat of Chartak on the beginning of the procedure for calculating and paying compensation to persons affected by the project on the old bazaar of Chartak. (December 2020).

Annex 3. IFC Exclusion list[31]

IFC Exclusion List (2007)

The IFC Exclusion List defines the types of projects that IFC **does not** finance.

IFC does not finance the following projects:

- Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international bans, such as pharmaceuticals, pesticides/herbicides, ozone depleting substances, PCB's, wildlife or products regulated under CITES.
- Production or trade in weapons and munitions.[1]
- Production or trade in alcoholic beverages (excluding beer and wine).[1]
- Production or trade in tobacco.[1]
- Gambling, casinos and equivalent enterprises.[1]
- Production or trade in radioactive materials. This does not apply to the purchase of medical equipment, quality control (measurement) equipment and any equipment where IFC considers the radioactive source to be trivial and/or adequately shielded.
- Production or trade in unbonded asbestos fibers. This does not apply to purchase and use of bonded asbestos cement sheeting where the asbestos content is less than 20%.
- Drift net fishing in the marine environment using nets in excess of 2.5 km. in length.

A reasonableness test will be applied when the activities of the project company would have a significant development impact but circumstances of the country require adjustment to the Exclusion List.

[31] https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/company-resources/ifcexclusionlist#2007

Annex 4. Forms

Form 1

ENVIRONMENTAL SCREENING CHECKLIST

Part 1
(to be completed by Sub-project beneficiary)

1. **Project Name:**

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

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

Environmental Component	Construction Phase	Operational Phase	Mitigation Measures
Terrestrial environment			
Land & soil degradation: Will the project involve land excavation?			
Generation of solid wastes, including toxic wastes?			
Soil and underground water pollution			
Air quality			
Will the project provide pollutant emissions?			
Aquatic environment			
Water Quantity: will the project involve water use?			
Water Quality / Pollution: Will the project contribute to surface water pollution			
Socio-economic environment			
Will the project assure non-deterioration of human health, occupational safety and non-disturbance of residents living near project area?			
Does the project require public consultation to consider local people environmental concerns and inputs?			
Social impacts			

Subproject beneficiary

ENVIRONMENTAL SCREENING CHECKLIST

Part 2
(to be completed by the RPIU based on the findings of the environmental screening process)

1. Sub-project Environmental Category (A, B or C) _____ (if project is categorized as A, no needs to fill next paras – sub-project could not be included into the project)

2. Is project activities will be implemented:

a) in or near sensitive and valuable ecosystems — wetlands, wild lands, and habitat of endangered species - ____(yes or no)
b) in or near areas with archaeological and/or historical sites or existing cultural and social institutions - ____(yes or no)
c) in densely populated areas, where resettlement may be required or potential pollution impact and other disturbances may significantly affect communities - ____(yes or no)
d) in regions subject to heavy development activities or where there are conflicts in natural resource allocation; along watercourses, in aquifer recharge areas or in reservoir catchments used for potable water supply; and on lands or waters containing valuable resources (such as fisheries, minerals, medicinal plants, prime agricultural soils) - ____(yes or no)

If any "yes" - the sub-project will be excluded from the Program

3 Environmental Assessment required (yes or no) _____ (the next paras have to be filled only for category B sub-projects)

3. Types of required EA documents (circle round the required):

a) partial ESIA, including site assessment and Environmental and Social Management Plan (ESMP) for Category B sub-projects;
b) Environmental and Social Management Plan for small scale Category B sub-projects;
c) ESMP checklists for small scale Category B sub-projects;
d) Draft Environmental Impacts Statement (for categories 2-4 (Uzbek) sub-projects)
e) Statement on Environmental Consequences (only for category 2-3 (Uzbek) sub-projects)

4. What environmental and social issues are raised by the sub-project?

_____
_____
_____

10. If an environmental and social impact assessment is required, what are the specific issues to be addressed?

_____
_____
_____

11. What is the time frame and estimated cost of conducting the ESIA? _____
_____

Conclusion (could the sub-project be included in the program and if yes, under which conditions):
_____

_____

Environmental Screener: **Date:**

ENVIRONMENTAL SCREENING CHECKLIST

Part 3
Final Environmental Assessment Checklist

(to be completed by the PIU based on review of the mitigation proposed and the environmental impact assessment (if required))

Was an Environmental and Social Impact Assessment needed? (Y or N) ___ If yes, was it done? ___

Was an Environmental and Social Management Plan prepared? (Y or N) _____

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

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

Is an Environmental Monitoring Plan necessary? (Y or N) ___ If so, has it been prepared? (Y or N) ___ Approved by the PIU? _____

What follow-up actions are required by the proponent, the RPIU and PIU? _____
_____
_____
_____
_____
_____

Were public consultations held concerning potential environmental impacts of the proposed sub-project? (Y or N) _____ Were minutes recorded? (Y or N)_____

Dates Participants
_____
_____
_____
_____
_____
_____

Project Officer: **Date:**

Environmental Screener: **Date:**

ENVIRONMENTAL SCREENING CHECKLIST

Part 4
Final Environmental Assessment Checklist (2)

(to be completed by the PIU based on review of the mitigation proposed and the environmental and social impact assessment (if required))

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

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

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

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

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

Has the environmental assessment been received and approved?

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

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

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

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

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

Was the level of public involvement in design and planning and public consultation sufficient? Were public concerns raised in the consultation process adequately addressed?

What is the desired level, frequency and scope of environmental monitoring during the construction phase?

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

Form 2

Field site visit checklist

Project Name: **Date/time of Visit:**
Rayon: **Visitors:**

Current activity and site history

- Who is the site contact (name, position, contact information)?
- What is the area of the site to be used for project activities?
- What are current users of the site?
- What were previous uses of the site (give dates if possible)?
- Are there any encroachers or illegal users of the site whose livelihoods or assets are going to be affected by the project?

Environmental Situation

- Are there sensitive sites nearby (nature reserves, cultural sites, historical landmarks)?
- Are there water courses on the site?
- What is the terrain or slope?
- Does the site experience flooding, waterlogging or landslides? Are there signs of erosion?
- What are the neighboring buildings (e.g. schools, dwellings, industries) and land uses? Estimate distances.
- Will the proposed site affect transportation or public utilities?

Licenses, Permits and Clearances

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

Water Quality Issues

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

Soils

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

Biological environment

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

- Note potential negative impacts on biota if project proceeds.

Visual Inspection Procedures

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

Annex 5. Terms of reference for conducting an Environmental and Social Impact Assessment study

An environmental impact assessment report Categories A and B sub-projects focuses on the significant environmental issues raised by a sub-project. Its primary purpose is to identify environmental impacts and those measures that, if incorporated into the design and implementation of a project can assure that the negative environmental effects will be minimized. The scope and level of detail required in the analysis depend on the magnitude and severity of potential impacts. The Environmental Impact Assessment Report should include the following elements:

a. *Executive Summary*. This summarizes the significant findings and recommended actions.
b. *Policy, legal and administrative framework*. This section summarizes the legal and regulatory framework that applies to environmental management in the jurisdiction where the study is done.
c. *Project Description*. Describes the nature and scope of the project and the geographic, ecological, temporal and socioeconomic context in which the project will be carried out. The description should identify social groups that will be affected, include a map of the project site, and identify any off-site or support facilities that will be required for the project.
d. *Baseline data*. Describe relevant physical, biological and social condition including any significant changes anticipated before the project begins. Data should be relevant to project design, location, operation or mitigation measures.
e. *Environmental impacts*. Describe the likely or expected positive and negative impacts in quantitative terms to the extent possible. Identify mitigation measures and estimate residual impacts after mitigation. Describe the limits of available data and uncertainties related to the estimation of impacts and the results of proposed mitigation.
f. *Analysis of Alternatives*. Systematically compare feasible alternatives to the proposed project location, design and operation including the "without project" alternative in terms of their relative impacts, costs and suitability to local conditions. For each of the alternatives quantify and compare the environmental impacts and costs relative to the proposed plan.
g. *Environmental Management Plan (EMP).* If significant impacts requiring mitigation are identified, the EMP defines the mitigation that will be done, identifies key monitoring indicators and any needs for institutional strengthening for effective mitigation and monitoring to be carried out.
h. *Appendices.*

These section should include:

(i) The list of EIA preparers;
(ii) References used in study preparation;
(iii) A chronological record of interagency meetings and consultations with NGOs and effected constituents;
(iv) Tables reporting relevant data discussed in the main text, and;
(v) A list of associated reports such as resettlement plans or social assessments that were prepared for the project.

Annex 6. ENVIRONMENTAL ANS SOCIAL MANAGEMENT PLAN CONTENT

Part 1

General Remarks. Environmental and Social Management Plan (ESMP) should outline the mitigation, monitoring and administrative measures to be taken during project implementation to avoid or eliminate negative environmental impacts.

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

To keep track of the requirements, responsibilities and costs for monitoring the implementation of environmental mitigation identified in the analysis included in an environmental and social assessment, a monitoring plan is necessary (see below). Like the ESMP the project cycle is broken down into three phases (construction, operation and decommissioning). The format also includes a row for baseline information that is critical to achieving reliable and credible monitoring. The key elements of the matrix are:

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

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

When a monitoring plan is developed and put in place in the context of project implementation, the PIU will request reports at appropriate intervals and include the findings in its periodic reporting to the World Bank and make the findings available to Bank staff during supervision missions.

Part 2

Description of the of the Environmental and Social Management Plan

The Environmental Management Plan (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

Environmental monitoring during project implementation provides information about key environmental and social 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 ESMP 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 ESMP. Specifically, the monitoring section of the ESMP 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

To support timely and effective implementation of environmental project components and mitigation measures, the ESMP 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 ESMP recommends the establishment or expansion of such units, and the training of staff, to allow implementation of EA recommendations. Specifically, the ESMP provides a specific description of institutional arrangements that 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 ESMPs 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

For all three aspects (mitigation, monitoring, and capacity development), the ESMP 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 ESMP. These figures are also integrated into the total project cost tables.

Integration of EMP with Project

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 ESMP 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 ESMP within the project so that the plan will receive funding and supervision along with the other components.

Resource: OP 4.01, Annex C - Environmental Management Plan. http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL

Annex 7. Environmental Management Plan Checklist (for small scale construction/rehabilitation sub-projects)

General Guidelines for use of ESMP checklist:

For low-risk construction projects, such as minor roads rehabilitation works or the construction of bicycle paths, the ECA (Europe and Central Asia) safeguards team developed an alternative ESMP (environmental and social management plan) format to provide an opportunity for a more streamlined approach to mainstreaming the World Bank's environmental safeguards requirements into projects which (a) are small in scale or by the nature of the planned activities have a low potential environmental impact, (b) are located in countries with well-functioning country systems for environmental assessment and management. The checklist-type format has been developed to ensure that basic good practice measures are recognized and implemented, while designed to be both user friendly and compatible with the World Bank's safeguards requirements.

The ESMP checklist-type format attempts to cover typical key mitigation measures to civil works contracts with small, localized impacts or of a simple, low risk nature. This format provides the key elements of an ESMP to meet the minimum World Bank Environmental Assessment requirements for Category B projects under OP 4.01. The intention of this checklist is that it offers practical, concrete and implementable guidance to Contractors and supervising Engineers for simple civil works contracts. It should be completed during the final design phase and, either freestanding or in combination with any environmental documentation produced under national law (e.g. ESIA reports), constitute an integral part of the bidding documents and eventually the works contracts.

The checklist ESMP has the following sections:

Part 1 includes a descriptive part that characterizes the project, specifies institutional and regulatory aspects, describes technical project content, outlines any potential need for capacity building and briefly characterizes the public consultation process. This section should indicatively be up to two pages long. Attachments for additional information may be supplemented as needed.
Part 2 includes a screening checklist of potential environmental and social impacts, where activities and potential environmental issues can be checked in a simple Yes/No format. If any given activity/issue is triggered by checking "yes", a reference to the appropriate section in the table in the subsequent Part 3 can be followed, which contains clearly formulated environmental and social management and mitigation measures.
Part 3 represents the environmental mitigation plan to follow up proper implementation of the measures triggered under Part 2. It has the same format as required for MPs produced under standard safeguards requirements for Category B projects.
Part 4 contains a simple monitoring plan to enable both the Contractor as well as authorities and the World Bank specialists to monitoring due implementation of environmental management and protection measures and detect deviations and shortcomings in a timely manner.

Part 1. Project Information

INSTITUTIONAL & ADMINISTRATIVE ARRANGEMENTS				
Country				
Project title				
Scope of project and activity				
Institutional arrangements (names and contacts)	WB (Project Team Leader)	Project Management	Local Counterpart and/or Recipient	
Implementation arrangements (Name and contacts)	Safeguard Supervision	Local Counterpart Supervision	Local Inspectorate Supervision	Contactor
SITE DESCRIPTION				
Name of site				
Describe site location			*Attachment 1*: Site Map [ ]Y / [ ]N	
Who owns the land?				
Geographic description				
LEGISLATION				
Identify national & local legislation & permits that apply to project activity				
PUBLIC CONSULTATION				
Identify when / where the public consultation process took place				
INSTITUTIONAL CAPACITY BUILDING				
Will there be any capacity building? (Yes/No)	[ ], if Yes, *Attachment 2* includes the capacity building program			

Beneficiary: ***Signature:*** ***Date:***

ENVIRONMENTAL /SOCIAL SCREENING			
Will the site activity include/involve any of the following:	**Activity**	**Status**	**Additional references**
	A. Building rehabilitation	[ ] Yes [ ] No	See Section **B** below
	B. New construction	[ ] Yes [ ] No	See Section **B** below
	C. Individual wastewater treatment system	[ ] Yes [ ] No	See Section **C** below
	D. Historic building(s) and districts	[ ] Yes [ ] No	See Section **D** below
	E. Acquisition of land[32]	[ ] Yes [ ] No	See Section **E** below
	F. Hazardous or toxic materials[33]	[ ] Yes [ ] No	See Section **F** below
	G. Impacts on forests and/or protected areas	[ ] Yes [ ] No	See Section **G** below
	H. Handling / management of medical waste	[ ] Yes [ ] No	See Section **H** below
	I. Traffic and Pedestrian Safety	[ ] Yes [ ] No	See Section **I** below

ACTIVITY	**PARAMETER**	**MITIGATION MEASURES CHECKLIST**
A. General Conditions	Notification and Worker Safety	(a) The local construction and environment inspectorates and communities have been notified of upcoming activities (b) The public has been notified of the works through appropriate notification in the media and/or at publicly accessible sites (including the site of the works) (c) All legally required permits have been acquired for construction and/or rehabilitation (d) All work will be carried out in a safe and disciplined manner designed to minimize impacts on neighboring residents and environment. (e) Workers will comply with international good practice (always hardhats, as needed masks and safety glasses, harnesses and safety boots) (f) Appropriate signposting of the sites will inform workers of key rules and regulations to follow.
B. General	Air Quality	(a) During interior demolition use debris-chutes above the first floor

[32] The project will support construction of new buildings only in the case when land acquisition is not necessary and there are no any resettlement issues; for such cases the investor should have the landownership title as well as has to prove the land at the moment of sub-projects application is not occupied or used even illegally

[33] Toxic / hazardous material includes and is not limited to asbestos, toxic paints, removal of lead paint, etc.

ACTIVITY	PARAMETER	MITIGATION MEASURES CHECKLIST
Rehabilitation and /or Construction Activities		(b) Keep demolition debris in controlled area and spray with water mist to reduce debris dust (c) Suppress dust during pneumatic drilling/wall destruction by ongoing water spraying and/or installing dust screen enclosures at site (d) Keep surrounding environment (side walks, roads) free of debris to minimize dust (e) There will be no open burning of construction / waste material at the site (f) There will be no excessive idling of construction vehicles at sites
	Noise	(a) Construction noise will be limited to restricted times agreed to in the permit (b) During operations the engine covers of generators, air compressors and other powered mechanical equipment should be closed, and equipment placed as far away from residential areas as possible
	Water Quality	(a) The site will establish appropriate erosion and sediment control measures such as e.g. hay bales and / or silt fences to prevent sediment from moving off site and causing excessive turbidity in nearby streams and rivers.
	Waste management	(a) Waste collection and disposal pathways and sites will be identified for all major waste types expected from demolition and construction activities. (b) Mineral construction and demolition wastes will be separated from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers. (c) Construction waste will be collected and disposed properly by licensed collectors (d) The records of waste disposal will be maintained as proof for proper management as designed. (e) Whenever feasible the contractor will reuse and recycle appropriate and viable materials (except asbestos)
C. Individual wastewater treatment system	Water Quality	(a) The approach to handling sanitary wastes and wastewater from building sites (installation or reconstruction) must be approved by the local authorities (b) Before being discharged into receiving waters, effluents from individual wastewater systems must be treated in order to meet the minimal quality criteria set out by national guidelines on effluent quality and wastewater treatment (c) Monitoring of new wastewater systems (before/after) will be carried out
D. Historic building(s)	Cultural Heritage	(a) If the building is a designated historic structure, very close to such a structure, or located in a designated historic district, notify and obtain approval/permits from local authorities

ACTIVITY	PARAMETER	MITIGATION MEASURES CHECKLIST
		and address all construction activities in line with local and national legislation (b) Ensure that provisions are put in place so that artifacts or other possible "chance finds" encountered in excavation or construction are noted, officials contacted, and works activities delayed or modified to account for such finds.
E. Acquisition of land	Land Acquisition Plan/Framework	(a) If expropriation of land was not expected and is required, or if loss of access to income or damage to assets of legal or illegal users of land was not expected but may occur, that the bank Task Team Leader is consulted. (b) The approved by the Bank Land Acquisition Plan (if required by the project) will be implemented prior to start of project works.
F. Toxic Materials	Asbestos management	(a) If asbestos is located on the project site, mark clearly as hazardous material (b) When possible the asbestos will be appropriately contained and sealed to minimize exposure (c) The asbestos prior to removal (if removal is necessary) will be treated with a wetting agent to minimize asbestos dust (d) Asbestos will be handled and disposed by skilled & experienced professionals (e) If asbestos material is be stored temporarily, the wastes should be securely enclosed inside closed containments and marked appropriately (f) The removed asbestos will not be reused
	Toxic / hazardous waste management	(a) Temporarily storage on site of all hazardous or toxic substances will be in safe containers labeled with details of composition, properties and handling information (b) The containers of hazardous substances should be placed in an leak-proof container to prevent spillage and leaching (c) The wastes are transported by specially licensed carriers and disposed in a licensed facility. (d) Paints with toxic ingredients or solvents or lead-based paints will not be used
G. Affects forests and/or protected areas	Protection	(a) All recognized natural habitats and protected areas in the immediate vicinity of the activity will not be damaged or exploited, all staff will be strictly prohibited from hunting, foraging, logging or other damaging activities. (b) For large trees in the vicinity of the activity, mark and cordon off with a fence large tress and protect root system and avoid any damage to the trees (c) Adjacent wetlands and streams will be protected, from construction site run-off, with appropriate erosion and sediment control feature to include by not limited to hay bales,

ACTIVITY	PARAMETER	MITIGATION MEASURES CHECKLIST
		silt fences (d) There will be no unlicensed borrow pits, quarries or waste dumps in adjacent areas, especially not in protected areas.

Environmental Monitoring Plan (Example)

Phase	**What** (Is the parameter to be monitored?)	**Where** (Is the parameter to be monitored?)	**How** (Is the parameter to be monitored?)	**When** (Define the frequency / or continuous?)	**Why** (Is the parameter being monitored?)	**Cost** (if not included in project budget)	**Who** (Is responsible for monitoring?)
During activity preparation	site access traffic management availability of waste disposal facilities hazardous waste inventory (asbestos) construction material quality control (eg. paints / solvents)	at the site at the site in site vicinity on site Contractor's store / building yard	check if design and project planning foresee diligent procedures visual / analytical if in doubt visual / research in toxic materials databases	before launch of construction before start of rehabilitation works before approval to use materials	safety of general public, timely detection of waste disposal bottlenecks public and workplace health and safety	marginal, within budget marginal, within budget; (prepare special account for analyses at PIU)	Contractor, Engineer
During activity supervision	dust generation noise emissions	on site and in immediate neighborhood,	visual consultation of locals	daily daily	avoidance of public nuisance	marginal, within budget	Contractor, Engineer

	waste and wastewater types, quality and volumes surface drainage soundness	close to potential impacted residents at discharge points or in storage facilities	visual, analytical if suspicious count of waste transports off site, check flow rates and runoff routes for wastewater	daily / continuous daily / continuous	avoidance of negative impacts on ground/ surface waters ensuring proper waste management and disposal		

Annex 8. Environmental and Social Management Plan (ESMP) Checklist for small scale road rehabilitation projects

General Guidelines for use of ESMP checklist:

For low-risk construction projects, such as minor roads rehabilitation works or the construction of bicycle paths, the ECA (Europe and Central Asia) safeguards team developed an alternative ESMP (environmental and social management plan) format to provide an opportunity for a more streamlined approach to mainstreaming the World Bank's environmental safeguards requirements into projects which (a) are small in scale or by the nature of the planned activities have a low potential environmental impact, (b) are located in countries with well-functioning country systems for environmental assessment and management. The checklist-type format has been developed to ensure that basic good practice measures are recognized and implemented, while designed to be both user friendly and compatible with the World Bank's safeguards requirements.

The ESMP checklist-type format attempts to cover typical key mitigation measures to civil works contracts with small, localized impacts or of a simple, low risk nature. This format provides the key elements of an ESMP to meet the minimum World Bank Environmental Assessment requirements for Category B projects under OP 4.01. The intention of this checklist is that it offers practical, concrete and implementable guidance to Contractors and supervising Engineers for simple civil works contracts. It should be completed during the final design phase and, either freestanding or in combination with any environmental documentation produced under national law (e.g. ESIA reports), constitute an integral part of the bidding documents and eventually the works contracts.

The checklist ESMP has the following sections:

Part 1 includes a descriptive part that characterizes the project, specifies institutional and regulatory aspects, describes technical project content, outlines any potential need for capacity building and briefly characterizes the public consultation process. This section should indicatively be up to two pages long. Attachments for additional information may be supplemented as needed.

Part 2 includes a screening checklist of potential environmental and social impacts, where activities and potential environmental issues can be checked in a simple Yes/No format. If any given activity/issue is triggered by checking "yes", a reference to the appropriate section in the table in the subsequent Part 3 can be followed, which contains clearly formulated environmental and social management and mitigation measures.

Part 3 represents the environmental mitigation plan to follow up proper implementation of the measures triggered under Part 2. It has the same format as required for MPs produced under standard safeguards requirements for Category B projects.

Part 4 contains a simple monitoring plan to enable both the Contractor as well as authorities and the World Bank specialists to monitoring due implementation of environmental management and protection measures and detect deviations and shortcomings in a timely manner.

Part 2 and 3 have been structured in a way to provide concrete and enforceable environmental and social measures, which are understandable to non-specialists (such as Contractor's site managers) and are easy to check and enforce. The ESMP should be included in the BoQ (bill of quantities) and the implementation priced by the bidders. Part 4 has also been designed intentionally simple to enable monitoring of key parameters with simple means and non-specialist staff.

The Checklist ESMP will be completed separately for each individual investment, based on site-specific conditions.

CONTENTS

PART 1: GENERAL PROJECT AND SITE INFORMATION

INSTITUTIONAL & ADMINISTRATIVE				
Country				
Project title				
Scope of project and activity				
Institutional arrangements (Name and contacts)	WB (Project Team Leader)	Project Management	Local Counterpart and/or Recipient	
Implementation arrangements (Name and contacts)	Safeguard Supervision	Local Counterpart Supervision	Local Inspectorate Supervision	Contactor
SITE DESCRIPTION				
Name of site				
Describe site location			Attachment 1: Site Map [ ]Y [ ] N	
Who owns the land?				
Description of geographic, physical, biological, geological, hydrographic and socio-economic context				
Locations and distance for material sourcing, especially aggregates, water, stones?				
LEGISLATION				

Identify national & local legislation & permits that apply to project activity	
PUBLIC CONSULTATION	
Identify when / where the public consultation process took place	
INSTITUTIONAL CAPACITY BUILDING	
Will there be any capacity building?	[ ] N or [ ]Y if Yes, Attachment 2 includes the capacity building program

PART 2: SAFEGUARDS SCREENING AND TRIGGERS

ENVIRONMENTAL /SOCIAL SCREENING FOR SAFEGUARDS TRIGGERS			
	Activity/Issue	**Status**	**Triggered Actions**
Will the site activity include/involve any of the following??	Roads rehabilitation	[ ] Yes [ ] No	If "Yes", see Section **A** below
	New construction of small traffic infrastructure	[ ] Yes [ ] No	If "Yes", see Section **A** below
	Impacts on surface drainage system	[ ] Yes [ ] No	If "Yes", see Section **B** below
	Historic building(s) and districts	[ ] Yes [ ] No	If "Yes", see Section **C** below
	Acquisition of land[34]	[ ] Yes [ ] No	If "Yes", see Section **D** below
	Hazardous or toxic materials[35]	[ ] Yes [ ] No	If "Yes", see Section **E** below
	Impacts on forests and/or protected areas	[ ] Yes [ ] No	If "Yes", see Section **F** below
	Risk of unexploded ordinance (UXO)	[ ] Yes [ ] No	If "Yes", see Section **G** below
	Traffic and Pedestrian Safety	[ ] Yes [ ] No	If "Yes", see Section **H** below

[34] Land acquisitions includes displacement of people, change of livelihood encroachment on private property this is to land that is purchased/transferred and affects people who are living and/or squatters and/or operate a business (kiosks) on land that is being acquired.

[35] Toxic / hazardous material includes but is not limited to asbestos, toxic paints, noxious solvents, removal of lead paint, etc.

PART 3: MITIGATION MEASURES

ACTIVITY	PARAMETER	MITIGATION MEASURES CHECKLIST
0. General Conditions	Notification and Worker Safety	(g) The local construction and environment inspectorates and communities have been notified of upcoming activities (h) The public has been notified of the works through appropriate notification in the media and/or at publicly accessible sites (including the site of the works) (i) All legally required permits have been acquired for construction and/or rehabilitation (j) The Contractor formally agrees that all work will be carried out in a safe and disciplined manner designed to minimize impacts on neighboring residents and environment. (k) Workers' PPE will comply with international good practice (always hardhats, as needed masks and safety glasses, harnesses and safety boots) (l) Appropriate signposting of the sites will inform workers of key rules and regulations to follow.
A. General Rehabilitation and /or Construction Activities	Air Quality	(g) During excavation works dust control measures shall be employed, e.g. by spraying and moistening the ground (h) Demolition debris, excavated soil and aggregates shall be kept in controlled area and sprayed with water mist to reduce debris dust (i) During pneumatic drilling or breaking of pavement and foundations dust shall be suppressed by ongoing water spraying and/or installing dust screen enclosures at site (j) The surrounding environment (side-walks, roads) shall be kept free of soil and debris to minimize dust (k) There will be no open burning of construction / waste material at the site (l) All machinery will comply with National emission regulations, shall well maintained and serviced and there will be no excessive idling of construction vehicles at sites
	Noise	(c) Construction noise will be limited to restricted times agreed to in the permit (d) During operations the engine covers of generators, air compressors and other powered mechanical equipment shall be closed, and equipment placed as far away from residential areas as possible
	Water Quality	(b) The site will establish appropriate erosion and sediment control measures such as e.g. hay bales and / or silt fences to prevent sediment from moving off site and causing excessive turbidity in canalization and nearby streams and rivers
	Waste management	(f) Waste collection and disposal pathways and sites will be identified for all major waste types expected from excavation, demolition and construction activities.

		(g) Mineral construction and demolition wastes will be separated from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers. (h) Construction waste will be collected and disposed properly by licensed collectors (i) The records of waste disposal will be maintained as proof for proper management as designed. (j) Whenever feasible Contractor will reuse and recycle appropriate and viable materials (except when containing asbestos)
B. Impacts on surface drainage system	Water Quality	(d) There will be no unregulated extraction of groundwater, nor uncontrolled discharge of process waters, cement slurries, or any other contaminated waters into the ground or adjacent streams or rivers; the Contractor will obtain all necessary licenses and permits for water extraction and regulated discharge into the public wastewater system. (e) There will be proper storm water drainage systems installed and care taken not to silt, pollute, block or otherwise negatively impact natural streams, rivers, ponds and lakes by construction activities (f) There will be procedures for prevention of and response to accidental spills of fuels, lubricants and other toxic or noxious substances (g) Construction vehicles and machinery will be washed only in designated areas where runoff will not pollute natural surface water bodies
C. Historic building(s)	Cultural Heritage	(c) If construction works take place close to a designated historic structure, or are located in a designated historic district, notification shall be made and approvals/permits be obtained from local authorities and all construction activities planned and carried out in line with local and national legislation. (d) It shall be ensured that provisions are put in place so that artifacts or other possible "chance finds" encountered in excavation or construction are noted and registered, responsible officials contacted, and works activities delayed or modified to account for such finds.
D. Acquisition of land	Land Acquisition Plan/Framework	(e) If expropriation of land was not expected but is required, or if loss of access to income of legal or illegal users of land was not expected but may occur, that the Bank's Task Team Leader shall be immediately consulted. (f) The approved Land Acquisition Plan/Framework (if required by the project) will be implemented
E. Toxic materials	Asbestos management	(g) If asbestos is located on the project site, it shall be marked clearly as hazardous material (h) When possible, the asbestos will be appropriately contained and sealed to minimize exposure (i) The asbestos prior to removal (if removal is necessary) will be treated with a wetting agent to minimize asbestos dust

		(j) Asbestos will be handled and disposed by skilled & experienced professionals (k) If asbestos material is be stored temporarily, the wastes should be securely enclosed inside closed containments and marked appropriately. Security measures will be taken against unauthorized removal from the site. (l) The removed asbestos will not be reused
	Toxic / hazardous waste management	(e) Temporarily storage on site of all hazardous or toxic substances will be in safe containers labeled with details of composition, properties and handling information (f) The containers of hazardous substances shall be placed in an leak-proof container to prevent spillage (g) The wastes shall be transported by specially licensed carriers and disposed in a licensed facility. (h) Paints with toxic ingredients or solvents or lead-based paints will not be used
F. Affected forests, wetlands and/or protected areas	Ecosystem protection	(e) All recognized natural habitats, wetlands and protected areas in the immediate vicinity of the activity will not be damaged or exploited, all staff will be strictly prohibited from hunting, foraging, logging or other damaging activities. (f) A survey and an inventory shall be made of large trees in the vicinity of the construction activity, large trees shall be marked and cordoned off with fencing, their root system protected, and any damage to the trees avoided (g) Adjacent wetlands and streams shall be protected from construction site run-off with appropriate erosion and sediment control feature to include by not limited to hay bales and silt fences (h) There will be no unlicensed borrow pits, quarries or waste dumps in adjacent areas, especially not in protected areas.
G. Risk of unexploded ordinance (UXO)	Hazard to human health and safety	(a) Before start of any excavation works the Contractor will verify that the construction area has been checked and cleared regarding UXO by the appropriate authorities
H Traffic and pedestrian safety	Direct or indirect hazards to public traffic and pedestrians by construction activities	(b) In compliance with national regulations the Contractor will insure that the construction site is properly secured and construction related traffic regulated. This includes but is not limited to ▪ Signposting, warning signs, barriers and traffic diversions: site will be clearly visible and the public warned of all potential hazards ▪ Traffic management system and staff training, especially for site access and near-site heavy traffic. Provision of safe passages and crossings for pedestrians where construction traffic interferes.

		▪ Adjustment of working hours to local traffic patterns, e.g. avoiding major transport activities during rush hours or times of livestock movement ▪ If required, active traffic management by trained and visible staff at the site for safe passage for the public ▪ Ensuring safe and continuous access to all adjacent office facilities, shops and residences during construction

PART 4: MONITORING PLAN (EXEMPLARY, TO BE EXPANDED AS NEEDED)

Phase	**What** (Is the parameter to be monitored?)	**Where** (Is the parameter to be monitored?)	**How** (Is the parameter to be monitored?)	**When** (Define the frequency / or continuous?)	**Why** (Is the parameter being monitored?)	**Cost** (if not included in project budget)	**Who** (Is responsible for monitoring?)
During activity preparation	site access traffic management availability of waste disposal facilities hazardous waste inventory (asbestos) construction material quality control (eg. paints / solvents)	at the site at the site in site vicinity on site Contractor's store / building yard	check if design and project planning foresee diligent procedures visual / analytical if in doubt visual / research in toxic materials databases	before launch of construction before start of rehabilitation works before approval to use materials	safety of general public, timely detection of waste disposal bottlenecks public and workplace health and safety	marginal, within budget marginal, within budget; (prepare special account for analyses at PIU)	Contractor, Engineer
During activity supervision	dust generation noise emissions waste and wastewater types, quality and volumes surface drainage soundness	on site and in immediate neighborhood, close to potential impacted residents at discharge points or in storage facilities	visual consultation of locals visual, analytical if suspicious count of waste transports off site, check flow	daily daily daily / continuous	avoidance of public nuisance avoidance of negative impacts on ground/ surface waters ensuring proper waste	marginal, within budget	Contractor, Engineer

			rates and runoff routes for wastewater	daily / continuous	management and disposal		

Annex 9. Social Screening Format

A. Sub-Project Description:

1. Give a brief introduction to the sub-project and its components, their objectives and benefits.
2. Details about existing conditions of the facilities and proposed civil works with scope
3. Available design maps earmarking site and proposed activities in order to explain work.
4. Whether this is purely rehabilitation of existing facilities or will involve any new works.
5. Is this sub-project closely linked to any other activity not funded under MSCIUDP?
6. Will this sub-project involve any ancillary impact/ activity away from the work site?
7. Time line for completion

B. Social Screening format

No	Involuntary Resettlement Impacts Qustions	Yes/No	Not Known	Details/Notes
1	Will the intervention include new physical construction work?			
2	Does the intervention include upgrading or rehabilitation of existing physical facilities?			
3	Is the intervention likely to cause any permanent damage to or loss of housing, other assets, resource use?			
4	Is the site chosen for this work free from encumbrances and is in possession of the government/community land?			
5	Is this sub project intervention requiring private land acquisitions?			
6	If the site is privately owned, can this land be purchased through negotiated settlement?			
7	If the land parcel has to be acquired, is the actual plot size and ownership status known?			
8	Are these land owners willing to voluntarily donate the required land for this sub-project?			

9	Whether the affected land owners likely to lose more than 20% of their land/structure area because of donation?			
10	Is land for material mobilization or transport for the civil work available within the existing plot (Right of Way)?			
11	Are there any non-titled people who are living/doing business on the proposed site/project locations that use for civil work? Is any temporary impact likely?			
12	Is there any possibility to move out, close of business/commercial/livelihood activities of persons during constructions?			
13	Is there any physical displacement of persons due to constructions? Does this project involve resettlement of any persons? If yes, give details.			
14	Will there be loss of /damage to agricultural lands, standing crops, trees?			
15	Will there be loss of incomes and livelihoods?			
16	Will people permanently or temporarily lose access to facilities, services, or natural resources?			
17	Are there any previous land acquisitions happened and the identified land has been already acquired?			
18	Are there any land acquisition happening in frame of this project but without financing of the World Bank?			

C. **Estimates of Specific Impacts**

Components of the Sub Project	Private and required In Sq. m.	No of Land owners losingmorethan10% of	Governmental and required in Sq. m.	Forestland required in Sq. m.	No of houses affected	No of shops affected	No of other structures affected	No of squatters affected	Public utilities affected

F. Information on Project affected Persons (PAPs)

Any estimate of the likely number of affected households that will be affected by the sub project?

- [ ] No. [ ] Yes. If yes, approximately how many? …….
- No. of PAPs losing <10% of their productive assets

  (land/cowshed/shops)……
- No. of PAPs losing 10% or more of their productive assets?.....

Are any vulnerable households affected? [ ] No. [ ]Yes. If yes, please briefly describe their situation with estimate numbers of PAPs?

What are the needs and priorities for social and economic betterment of vulnerable people who are affected by this project?

H. Decision on categorization

After reviewing the answers above, it is determined that the sub project is:

[ ] Categorized as an 1 project, a full RAP is required
[ ] Categorized as a 2 project, ARAPis required
[ ] Categorized as an 3 project, no RAP/ARAP is required, Only Due Diligence Report is required

…… ……

Prepared by:
(Screening Consultant OR Social Safeguards Specialist, RPIU)

Date:

Reviewed by:
Authorized person, Implementing Agency

Date:

…… ……

Approved by:
Social Safeguards Specialist, PIU)

Date:

Approved by:
(Project Director, PIU)

Date

Annex 10. Asbestos Containing Material Management Plan (Example)

Applicability

The Asbestos Containing Material Management Plan (ACMMP) applies to all project construction or reconstruction sites and any related areas. Contractors employed by Project are legally responsible for their construction sites and related areas and must follow the provisions of the Project ACMMP within those locations. Specifically, this procedure must be used to ensure the safe handling, removal and disposal of any and all Asbestos Containing Materials (ACM) from those areas.

Immediate Action

On discovering ACM on a Project site the contractor must:

a) Stop all work within a 5 m radius of the ACM and evacuate all personnel from this area;

b) Delimit the 5 m radius with secure fencing posts, warning tape and easily visible signs warning of the presence of asbestos;

c) If the site is in an inhabited area, place a security guard at the edge of the site with instructions to keep the general public away;

d) Notify the RPIU's Safeguards Specialist and arrange an immediate site inspection.

Equipment

To remove asbestos from a construction site, contractors must provide the following equipment:

a) Warning tape, sturdy fence posts and warning notices;

b) Shovels;

c) Water supply and hose, fitted with a garden-type spray attachment;

d) Bucket of water and rags;

e) Sacks of clear, strong polythene that can be tied to close;

f) Asbestos waste containers (empty, clean, sealable metal drums, clearly labelled as containing asbestos).

Personal Protective Equipment (PPE)

All personnel involved in handling ACM must wear the following equipment, provided by the contractor:

g) Disposable overalls fitted with a hood;

h) Boots without laces;

i) New, strong rubber gloves;

j) A respirator is not normally required if there are only a few pieces of ACM in a small area, and if the ACM is damp;

k) There must be no smoking, eating or drinking on a site containing ACM.

Decontamination Procedure 1: Removing small pieces of ACM

a) Identify the location of all visible ACM and spray each lightly but thoroughly with water;

b) Once the ACM is damp, pick up all visible ACM with shovels and place in a clear plastic bag;

c) If ACM debris is partially buried in soil, remove it from the soil using a shovel and place it in the plastic bag;

d) Insert a large label inside each plastic bag stating clearly that the contents contain asbestos and are dangerous to human health and must not be handled;

e) Tie the plastic bags securely and place them into labelled asbestos waste containers (clean metal drums) and seal each drum;

f) **Soil that contained ACM debris must not be used for backfill** and must instead be shovelled by hand into asbestos waste containers;

g) At the end of the operation, clean all shovels and any other equipment with wet rags and place the rags into plastic disposal bags inside asbestos waste containers.

Decontamination Procedure 2: Removing ACM-contaminated backfill

a) If soil containing ACM debris has inadvertently been used for backfill this must be sprayed lightly with water and shovelled out by hand to a depth of 300 mm and placed directly into asbestos waste containers (i.e. not stored temporarily beside the trench);

b) Any ACM uncovered during the hand shovelling must be placed in a clear plastic bag;

c) Once the trench has been re-excavated to 300 mm, if there is no visible ACM remaining, the trench may be refilled by excavator using imported clean topsoil.

Disposal

ACM should be disposed of safely at a local hazardous-waste disposal site if available, or at the city municipal dumpsite after making prior arrangement for safe storage with the site operator.

- The Contractor must arrange for the disposal site operator to collect the sealed asbestos waste containers as soon as possible and store them undisturbed at the disposal site.
- At the end of construction Contractors must arrange for the disposal site operator to bury all ACM containers in a separate, suitably-sized pit, covered with a layer of clay that is at least 250 mm deep.

a) Personal Decontamination

At the end of each day, all personnel involved in handling ACM must comply with the following decontamination procedure:

- At the end of the decontamination operation, clean the boots thoroughly with damp rags;
- Peel off the disposable overalls and plastic gloves so that they are inside-out and place them in a plastic sack with the rags used to clean the boots;
- If a disposable respirator has been used, place that in the plastic sack, seal the sack and place it in an asbestos waste container;
- All personnel should wash thoroughly before leaving the site, and the washing area must be cleaned with damp rags afterwards, which are placed in plastic sacks as above.

b) Clearance and Checking-Off

- The decontamination exercise must be supervised by site supervisors (engineering or environmental).
- After successful completion of the decontamination and disposal, the Contractor should visually inspect the area and sign-off the operation if the site has been cleaned satisfactorily.
- The contractor should send a copy of the completion notice to the RPIU, with photographs of the operation in progress and the site on completion.

TRAINING

RPIU's Environmental Specialist may hire the specialized companies to conduct training on ACCMP implementation for Contractors staff and RPIU and PIU. The training will include a session focusing on ACM, which covered:

a. Risks of contact with ACM;

b. Responsibilities for dealing with ACM on project's construction sites;

c. The Project's ACMMP and the Protocol for site clean-up;

d. Awareness-raising for the contractors' workforce.

COST ESTIMATE

Costs incurred by contractors in implementing the ACMMP are included in their budget in ESMP budget.

Annex 11. Public Consultation Minutes

Venue: Chartak city khokimiyat's administrative building, Namangan Province

Date: October 02, 2018

Medium-Sized Cities Integrated Urban Development Project (MSCIUDP)

PUBLIC CONSULTATION: Environment and Land Acquisition and Resettlement Aspects Within MSCIUDP

Prepared by: NBT Environment and Social Safeguard specialists: Madina Khalmirzaeva, Tolmas Boltaev, Sergey Kim and Mamanbek Reimov

Presented by: Madina Khalmirzaeva, Mamanbek Reimov

Target audience: Representatives from Chartak city khokimiyat, Regional and local authorities involved in environment performance and land acquisition and resettlement activities with the project (specialists from Land resources and state cadaster department, committee of ecology and environment protection, regional architectures departments, financial specialists, khokimiyat representatives, civil construction department, etc.)

Discussed main topics on the PC:

Project description and its components; potential planning project activities, national environmental, social legislation (about Land acquisition and resettlement) and relevant WB OP's requirements, identified social and environmental impacts and mitigation measures, safegaruds documents needed to be developed under the MSCIUDP for each sub-project, type of land acquisition and resettlement impacts, the content of RPF and RAP; elgible for compensation people, impacts and losses subject for compensation; GRM; assistance to vulnerable and severally affected households; further stages of the final RAP preparation if any impact; evaluation of compensation; further stages of the Project implementation;

After the presentation the participants raised the following questions:

#	Questions	Answers
1	Is there any final design (list) of planned subproject activities? What types of exact subprojects will be done in Chartak?	At present there no exact final design prepared for these subprojects – only a list of proposed activies. Currently the PIU under the State Investment Committee of the Republic of Uzbekistan, local khokimiyat and World Bank's team are working on these matters. Therefore this ESMF was developed which covers all social and environmental impacts.
2	Legislation part is clear, but based on what documentations	The main documents of identification of exact impact will be the final design which will be prepared by design institutes (PIU responsibility), Land Allocation

	the impacts will be identified and compensated?	document (Zemelniy otvod) which will be prepared by local land resources and state cadaster departments based on final design (PIU responsibility) and for compensation will be base RPF or RAPs Entitlement Matrixes.
3	What organization will be responsible for project impact compensation if any during the project?	Various ways of compensation sources could be used for the project – it could be thorugh local khokmiyats, from the loan or other possibilite. Currently this topic is under the consideration between State Investment Committee of the RUz and World Bank
4	As we understood harvest lost will be calculated based on both - legislation of the Republic of Uzbekistan and WB Safeguard Policy?	Yes, you harvest lost will be calculated on the basis of legislation of the Republic of Uzbekistan and WB Safeguard Policy.

Suggestions Raised:

N/A

Photos:

Registration list

Medium-Sized Cities Integrated Urban development Project
Environmental and Social Management Framework
Public Consultation
Chortok, Uzbekistan
2 October 3, 2018
Registration List

Place: Khokimiyat Chortok

#	Organization	Name	Position	Email/phone number	Signature
1	Чортоқ туман Ер тузиш ва кўчмас мулк Давлат кадастри	Шарифжонов Мухаммад	ДКЯТ мутахассиси	93.9156031	
2	Наманган вилоят [illegible]	Юнусов Вали Азизович	Эксперт мутахассис		
3	Наманган [illegible] Чортоқ [illegible]	Юнусов Нуриддин	Ижтимоий масалалар мутахассиси	99 391 57 58	
4	Чортоқ туман [illegible]	Шарипов Абдуллажон	[illegible] мониторинг бўйича бош мутахассис	93 [illegible] 10 74	
5	Чортоқ туман [illegible] МФЙ [illegible]	Содиқов Бекзод	М.Ф.Й. Раиси	94 509 7008	
6	Чортоқ туман ҳокимлигининг бош мутахассиси	Сотиболдиев Темурбек	Иқтисодиёт мутахассиси	94.426.80.80.	
7	Туман ҳокимининг етакчи мутахассиси	Содиқов [illegible]	[illegible]	677 10 25. 41-21-142	
8	Чортоқ т-н Ободонлаштириш бошқармаси	Тишабоев Равшан	Бухгалтер	94-151-37-84	

#	Organization	Name	Position	Email/phone number	Signature
9	Чартак тумани статистика бўлими	Тожибаев Жасонгир	етакчи мутахассис	94 504 44 43	
10	Чартак тумани Архитектура ва қурилиш бўлими	маматвалиев Элбек	мутахассис	94 156 13 17	
11	Тумани ихтисослаштирилган бўлими бошлиғи	Фозилов Жавлонбек	бўлим бошлиғи	99-321-01-23	
12	Чартак Т.И.Ф.Ч корхонаси	Кўлланов Хабибулло	бўлим бошлиғи	94 300 12 10	
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Venue: Yangiyul city khokimiyat's administrative building, Tashkent Province

Date: October 02, 2018

Medium-Sized Cities Integrated Urban Development Project (MSCIUDP)

PUBLIC CONSULTATION: Environment and Land Acquisition and Resettlement Aspects Within MSCIUDP

Prepared by: NBT Environment and Social Safeguard specialists: Madina Khalmirzaeva, Tolmas Boltaev, Sergey Kim and Mamanbek Reimov

Presented by: Madina Khalmirzaeva, Mamanbek Reimov

Target audience: Representatives from Yangiyul city khokimiyat, Regional and local authorities involved in environment performance and land acquisition and resettlement activities with the project (specialists from Land resources and state cadaster department, committee of ecology and environment protection, regional architectures departments, financial specialists, khokimiyat representatives, civil construction department, etc.)

Discussed main topics on the PC:

Project description and its components; potential planning project activities, national environmental, social legislation (about Land acquisition and resettlement) and relevant WB OP's requirements, identified social and environmental impacts and mitigation measures, safegaruds documents needed to be developed under the MSCIUDP for each sub-project, type of land acquisition and resettlement impacts, the content of RPF and RAP; elgible for compensation people, impacts and losses subject for compensation; GRM; assistance to vulnerable and severally affected households; further stages of the final RAP preparation if any impact; evaluation of compensation; further stages of the Project implementation;

After the presentation the participants raised the following questions:

#	Questions	Answers
1	What does replacement cost mean?	"Replacement cost" is the method of valuation of assets that helps determine the amount sufficient to replace lost assets and cover transaction costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account.
2	What organization is responsible for covering the independent valuators services cost?	As stated before the valuation will be carried out based on defined entitlement matrix in accordance with requirements of OP 4.12 and Uzbek legislation. PIU will involve independent licensed appraisal company for the valuation of compensation and allowances for all type of losses, and the cost of appraisal will be covered by the Project. In case, if PAP is not agree with the evaluation results of appraisal company suggested by PIU, he/she shall inform PIU about it in a written manner and present the results of his/her appraisal company by his/her own cost.

3	Is there any final design of planned subproject activities? What types of exact subprojects will be done in Yangiyul?	At present there no exact final design prepared for these subprojects. Currently the PIU under the State Investment Committee of the Republic of Uzbekistan, local khokimiyat and World Bank's team are working on these matters.

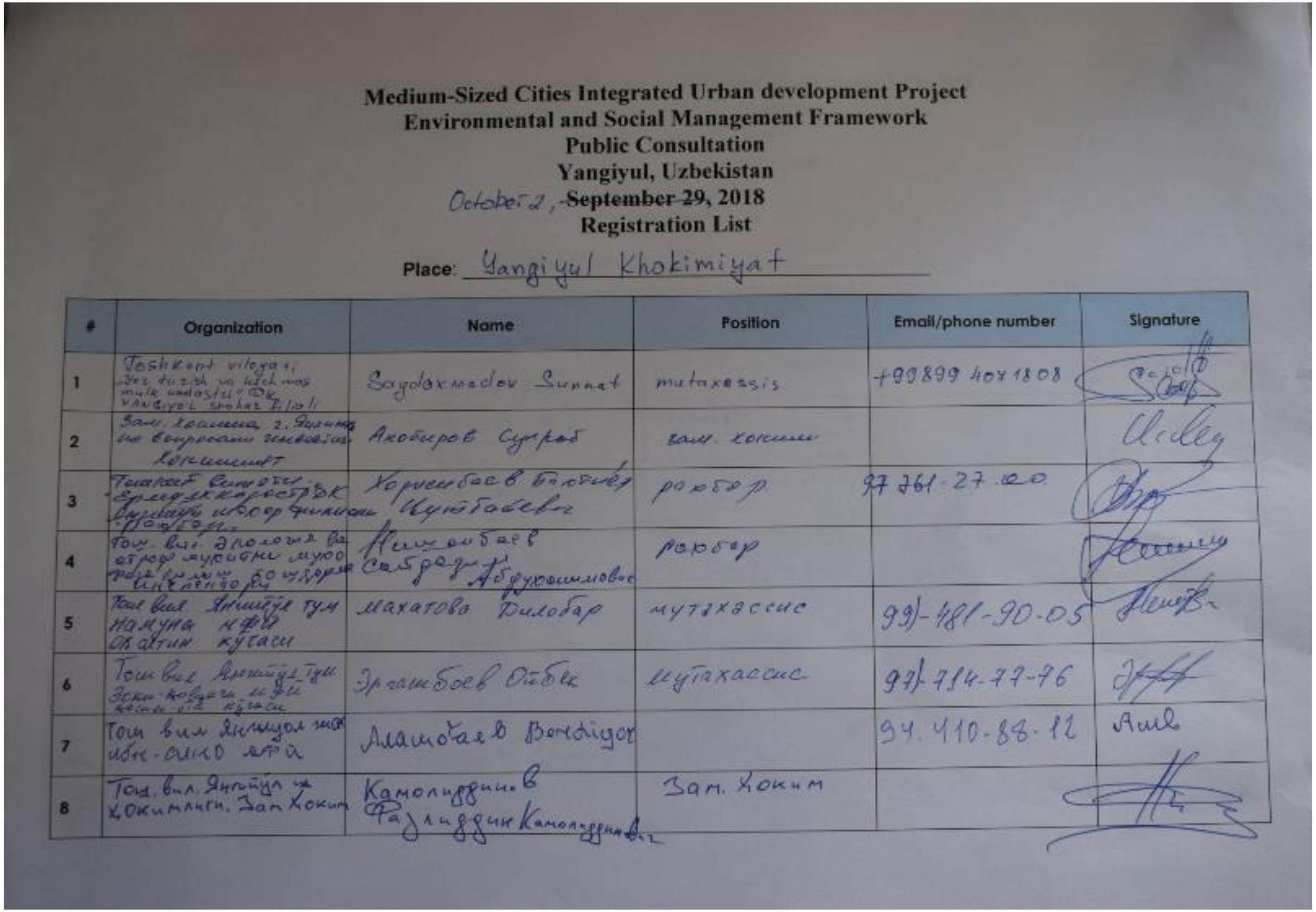
Suggestions Raised:

1. It will be good that all RPIU's specialists work on fully base (not part time base job) and focus more site visit activities in project areas. By that way they can increase the project progress and avoid the problems in further stages of the project.
2. We propose to include in the project conservation of landfill which is not functioning now. We would like to create recreation zone on that area.

Photos:




Registration list



Medium-Sized Cities Integrated Urban development Project
Environmental and Social Management Framework
Public Consultation
Yangiyul, Uzbekistan
October 2, ~~September 29~~, 2018
Registration List

Place: Yangiyul Khokimiyat

#	Organization	Name	Position	Email/phone number	Signature
1	Toshkent viloyati, Yer tuzish va kuchmas mulk kadastri "DK" Yangiyul shahar filiali	Saydaxmadov Sunnat	mutaxassis	+99899 4071808	
2	Зам. хокима г. Янгиюль по вопросам [illegible] Хокимият	Акобиров Сухроб	зам. хокима		
3	[illegible]	Хорисбаев [illegible] [illegible]	рахбар	97 761-27-00	
4	Тош. вил. экология ва атроф муҳитни муҳофаза қилиш бошқармаси инспектори	[illegible] Сабраджон Абдухошимович	рахбар		
5	Тош вил. Янгийул тум намуна НФЙ Оқ олтин кўтаси	Махатова Дилобар	мутахассис	99)-481-90-05	
6	Тош вил. Янгийул тум Зоҳи ободлиги НФЙ [illegible] кўтаси	Эргашбоев Отабек	мутахассис	97)-714-77-76	
7	Тош вил Янгийул ша ибн-Сино МФЙ	Аламбаев Вохидjon		94.410-88-12	
8	Тош. вил. Янгийул ш. хокимлиги. Зам хоким	Камолиддинов Фазлиддин Камолиддинович	Зам. хоким		

#	Organization	Name	Position	Email/phone number	Signature
9	Тоза худуд ДУК Янгийул шахар филиали	Зокиров Сардор	раҳбар ўринбосари	99-481-12-10	
10	Янгийўл шаҳар электр тармоқлари корхонаси	Юдашев Акмал Ибрагимович	Ишлаб чиқариш техник гуруҳи мутахассиси (ИЧТГ)	94-678-82-24	
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Venue: Qagan district khokimiyat main hall, Bukhara Province

Date: October 03, 2018

Medium-Sized Cities Integrated Urban Development Project (MSCIUDP)

PUBLIC CONSULTATION: Environment and Land Acquisition and Resettlement Aspects Within MSCIUDP

Prepared by: NBT Environment and Social Safeguard specialists: Madina Khalmirzaeva, Tolmas Boltaev, Sergey Kim and Mamanbek Reimov

Presented by: Madina Khalmirzaeva, Mamanbek Reimov

Target audience: Representatives from Qagan city khokimiyat, Regional and local authorities involved in environment performance and land acquisition and resettlement activities with the project (specialists from Land resources and state cadaster department, committee of ecology and environment protection, regional architectures departments, financial specialists, khokimiyat representatives, civil construction department, water supply and waste water organization, district branches of Ministry of Culture etc.)

Discussed main topics on the PC:

Project description and its components; potential planning project activities, national environmental, social legislation (about Land acquisition and resettlement) and relevant WB OP's requirements, identified social and environmental impacts and mitigation measures, safeguards documents needed to be developed under the MSCIUDP for each sub-project, type of land acquisition and resettlement impacts, the content of RPF and RAP; elgible for compensation people, impacts and losses subject for compensation; GRM; assistance to vulnerable and severally affected households; further stages of the final RAP preparation if any impact; evaluation of compensation; further stages of the Project implementation;

After the presentation the participants raised the following questions:

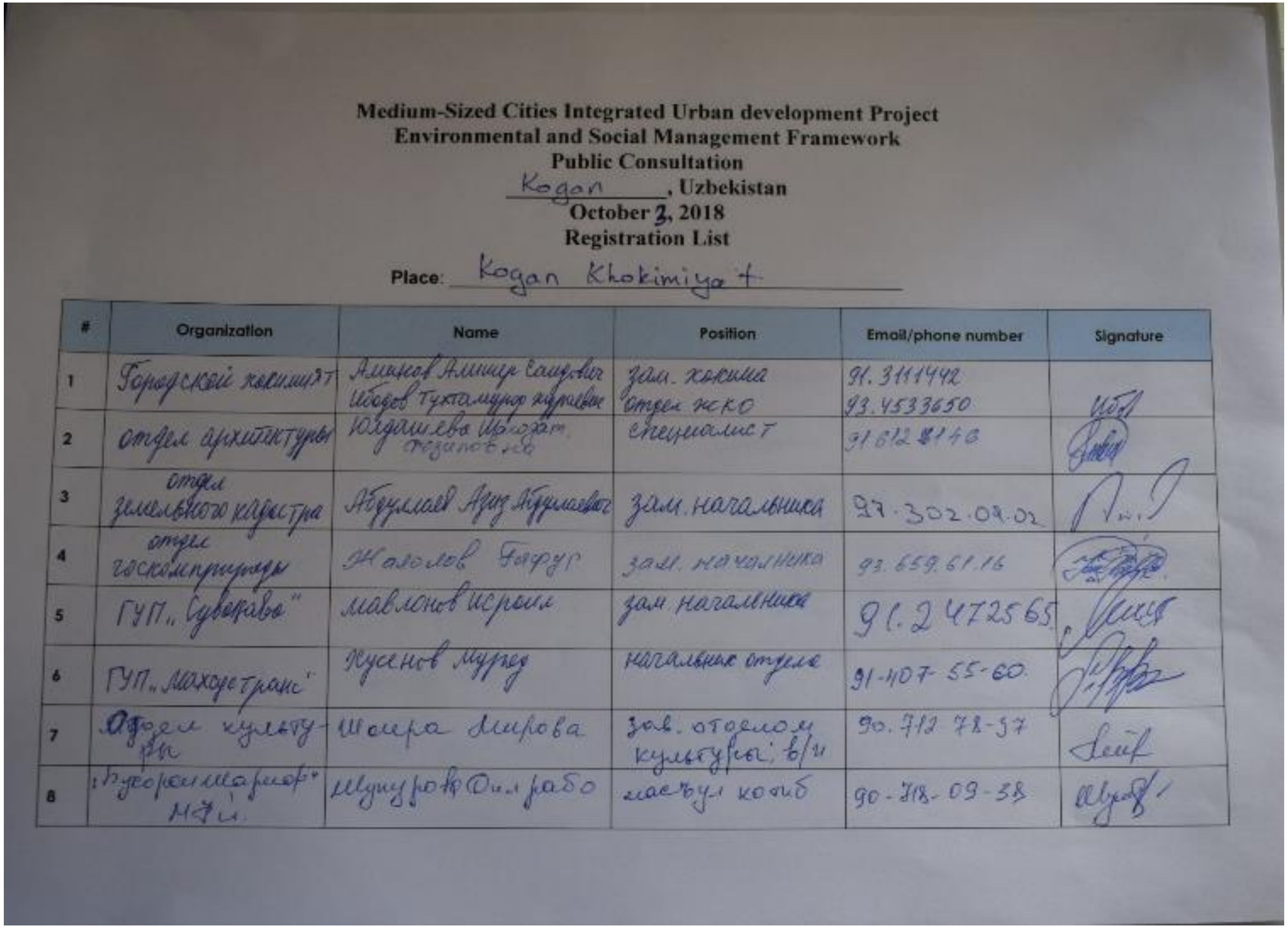
#	Questions	Answers
1	What is the severely affected and vulnerable households?	Severely affected households are those who lose 10% or more of their productive asset (income generating productive land) and or physically displaced. Low-income households, female-headed households, the elderly headed household, households headed by physically challenged persons.
2	Will the presented WB OP requirements be applied for all ongoing project in our city	No, WB OPs will be appled only for the sub-projects which will be included in this project
3	When will the project start?	It is expecting that project will start next year

Suggestions Raised:

It will be really good that all sewerage network extension and rehabilitation and Rehabilitation of sewage pumping stations works will be done before the Roads rehabilitation works for avoiding the demolishment of the already constructed road again.

Photos:

Registration list:



Medium-Sized Cities Integrated Urban development Project
Environmental and Social Management Framework
Public Consultation
Kogan, Uzbekistan
October 3, 2018
Registration List

Place: Kogan Khokimiyat

#	Organization	Name	Position	Email/phone number	Signature
1	Городской хокимият	Аминов Алишер Саидович Ибодов Тухтамурод Журабоевич	зам. хокима отдел ЖКО	91.3111442 93.4533650	[signature]
2	отдел архитектуры	Юлдашева Шахзат Розиковна	специалист	91 612 8146	[signature]
3	отдел земельного кадастра	Абдуллаев Азиз Абдуллаевич	зам. начальника	97.302.09.02	[signature]
4	отдел госкомприроды	Жалолов Гафур	зам. начальника	93.659.61.16	[signature]
5	ГУП „Сувоқова"	Мавлонов Исроил	зам. начальника	91.2472565	[signature]
6	ГУП „Махсустранс"	Хусенов Муроед	начальник отдела	91-407-55-60	[signature]
7	Отдел культуры	Шоира Мирова	зав. отделом культуры, б/и	90.712 78-97	[signature]
8	„Бухоро шарқи" МЧЖ	Шукуров Ойбобо	масъул котиб	90-718-09-38	[signature]

#	Organization	Name	Position	Email/phone number	Signature
9	Ободончилик авфр ?й	Одилова Дилафруз Камоловна	масъул котиб	93.626.50.13	[illegible]
10	Фаргонаи Мати	Фаммдова Дилрабо Дилмуротовна	масъул котиб.	99 708 56-45	[illegible]
11	14 - МТМ	Шарипова Шахзода Хасановна	мудира	97 - 304 - 55 - 72	[illegible]
12	Когон шахар инвестиция ... бўлим бошлиги	Атамуратов Улугбек Дилмуротович	бўлим бошлиги		[illegible]
13	Когон шахар Ободонлаштириш бошқармаси бошлиги	Ромтатов Шухрат Шодиевич	бошлиқ.	90 614-04-64	[illegible]
14	Когон шахар хокими ўринбосари	Аминов Алишер Саидович	Хоким ўринбосари	91-311-14-42	[illegible]
15	Турғат мати	Usmanova Симоза Вохидовна	масъул котиб	93-965-15-25	[illegible]
16	Когон шахар ХТБ	Каримов Хамидуллобек Гафурович	Ўринбосар	94 246 9469	[illegible]
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ПРОТОКОЛ

консультации с общественностью проекта дополнительного финансирования «Комплексное развитие средних городов»

Цель: Обсуждение Рамочных документов проекта Аспекты окружающей среды, отвода земель и переселения.

Место проведения: зал областного управления по экологии и охраны по окружающей среду Кашкадарьинской области, город Карши.

Дата: 18 января 2021 года.

Время: 10.30- 11.30

Подготовлено и представлено: Специалисты по экологическим и социальным защитным мерам проекта: Гадаевым Жахонгиром, Поповой Татьяной.

Целевая аудитория: Жители Кашкадарьинской области, представители хокимията, региональные и местные органы власти, участвующие в мероприятиях по охране окружающей среды по проекту (комитета по экологии и охране окружающей среды). Присутствовало 14 человек. Председателем собрания был заместитель начальника управления по экологии и охраны окружающей среды Турдиев Нурбек Давронович.

Обсуждались основные темы на ПК:

Описание проекта и его компонентов; дополнительное финансирование проекта АБРР, потенциальные мероприятия по планированию проекта, национальное экологическое, социальное законодательство (об отводе земель и переселению) и соответствующие требования ОП ВБ, выявленные социальные и экологические последствия и меры по смягчению, документы по защитным мерам, которые необходимо разработать в рамках ПКРГС для каждого подпроекта, тип отвода земель и последствия переселения, содержание РПП и ПДП; имеющие право на компенсацию людей, последствия и убытки, подлежащие компенсации; МРЖ; оказание помощи уязвимым и сильно затронутым домашним хозяйствам; дальнейшие этапы окончательной подготовки ПДП, если они окажут какое-либо воздействие; оценка компенсации; дальнейшие этапы реализации Проекта;

После презентации участники подняли следующие вопросы:

№	Вопросы	Ответы
1	**Когда начнется проект? И сколько будет длится проект**	Проект уже идет, но Кашкадарьинскую область только выключают. Ожидается, что деятельность начнется в этом или следующем году. Длительность проекта будет зависеть от запланированной деятельности.
2	**Кто и по каким критериям будет выбирать город? Один ли город?**	Эксперты банка будут выбирать города. Планируется выбрать несколько городов в Кашкадарьинской области
3	**Если при реализации проекта (строительстве)**	Компенсация будет подсчитываться и выплачиваться согласно законодательству

	будет приостановлен бизнес? Будет ли компенсация?	
4	**Будет ли в рамках проекта улучшать водоснабжение?**	На данный момент не известно, проблемы каждого выбранного города будут рассмотрены для составления планов работ.
5	**Мы против вырубки деревьев. Как в рамках проекта будут защищены наши деревья?**	Вопросы по вырубке деревьев будут решатся в соответствии ПКМ №43 от 17.01.2021г. и №255 от 31.03.2021 г., а также соответствующие политики Всемирного Банка

Поднятые предложения:

Было бы очень хорошо, чтобы работы по расширению и восстановлению всех водопроводных и канализационных сетей. Так как проблема питьевой воды – самая главная проблема. И важно также рассмотреть вопрос газификации.

Председатель собрания Турдиев Н.Д.

Секретарь Попова Т.Н.

Photos:

Registration list:

Ўрта шаҳарларни комплекс ривожлантириш лойиҳасининг қўшимча молиялаштириш дастури доирасида ўтказилган жамоатчилик учрашуви қатнашчиларининг руйхати.

Ўтказиш жойи : Қашқадарё вилояти, Экология ва табиатни муҳофаза килиш бошқармаси биноси,
Ўтказиш куни: 18.01.2021й

№	Исми, фамилияси	Алоқа телефони	Имзо
1	Turdiyev Umid	+998 99 660 36 10	
2	Очилов Дилшод	+998 97 313 77-74	
3	Pōlatov Xurshid	+99 898 198 19 79	
4	[illegible] Аббос	+91 635 11 77	
5	Мамашарапов Улугбек	+91 636-53-12	
6	[illegible]	33 900 44 88	
7	Ачилов Илхом	99 666 11 04	
8	Носиров Асрор	99 666 11 05	
9	Муминова Сайгул	91 962 76 60	
10	Ядгарова Фотима	91 947-17-18.	
11	Раззоқова Фотима	99 360-23-02	
12	Чориева Феруза	91 263-98-97	
13	Носирова Фарида	91 227-36-36	
14	Ядгорова Карима	91-640-87-04	
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ПРОТОКОЛ

консультации с общественностью проекта дополнительного финансирования «Комплексное развитие средних городов»

Цель: Обсуждение Рамочных документов проекта Аспекты окружающей среды, отвода земель и переселения.

Место проведения: зал областного хокимията Сурхандарьинской области, г. Термез.

Дата: 19 января 2021 года.

Время: 11.30- 12.30

Подготовлено и представлено: Специалисты по экологическим и социальным защитным мерам проекта: Гадаевым Жахонгиром, Поповой Татьяной.

Целевая аудитория: Жители Сурхандарьинской, представители хокимията, региональные и местные органы власти, участвующие в мероприятиях по охране окружающей среды по проекту (комитета по экологии и охране окружающей среды). Присутствовало 10 человек. Председателем собрания был заместитель начальника управления по экономике областного хокимията Урозов Абдуназар Жабборович.

Обсуждались основные темы на ПК:

Описание проекта и его компонентов; дополнительное финансирование проекта АБИИ, потенциальные мероприятия по планированию проекта, национальное экологическое, социальное законодательство (об отводе земель и переселению) и соответствующие требования ОП ВБ, выявленные социальные и экологические последствия и меры по смягчению, документы по защитным мерам, которые необходимо разработать в рамках ПКРСТ для каждого подпроекта, тип отвода земель и последствия переселения, содержание РПП и ПДП; имеющие право на компенсацию людей, последствия и убытки, подлежащие компенсации; МРЖ; оказание помощи уязвимым и сильно затронутым домашним хозяйствам; дальнейшие этапы окончательной подготовки ПДП, если они окажут какое-либо воздействие; оценка компенсации; дальнейшие этапы реализации Проекта.

После презентации участники подняли следующие вопросы:

№	Вопросы	Ответы
1	**Будет ли направлен на улучшение сферы туризма в областях?**	По результатам глубокого анализа будут.
2	**Можно узнать сумма проекта?**	В настоящий момент пока не известно, ведутся переговоры между правительством и Всемирным банком.
3	**Это кредит или грант?**	Были даны разъяснения по поводу кредита.
4	**Проблема чистой воды. Будет ли в рамках проекта улучшать водоснабжение?**	На данный момент не известно, проблемы каждого выбранного города будут рассмотрены для составления планов работ.

Председатель собрания **Урозов А.Ж**

Секретарь **Попова Т.И.**

Photos:

Registration list:

Ўрта шаҳарларни комплекс ривожлантириш лойиҳасининг қўшимча молиялаштириш дастури доирасида ўтказилган жамоатчилик учрашуви қатнашчиларининг рўйхати

Ўтказиш жойи: Сурхондарё вилояти хокимияти биноси
Ўтказиш куни: 19.01.2021 й.

№	Исми, фамилияси	Алоқа телефони	Имзо
1	Юлдашев Ихтиёр	93-377-55-11	[signature]
2	Равшанов Бобур[illegible]	97 776 88 18	[signature]
3	Касимов Кодир	91 585 00 07	[signature]
4	Тожиев Чўлпонбек	94-208-22-78	[signature]
5	Болтаев Зокир	97-840-84-48	[signature]
6	Мирзаев А.	91-515-21-95	[signature]
7	Рустамов Бехруз	93-639-18-78	[signature]
8	[illegible]	91 982-40-40	[signature]
9	[illegible]	90 909 70 47	[signature]
10	Кўчқоров Акбар	91 968-1555	[signature]
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