Georgia: Infrastructure Pre-Investment Facility

Safeguard Framework

Government of Georgia

December 7, 2005
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Georgia: Pre-Investment Infrastructure Facility
P098850

Safeguard Framework

I. INTRODUCTION

1.1 This Safeguard Framework (SF) has been prepared in support of the Infrastructure Pre-Investment Facility (IPF) Project (P098850) for Georgia under consideration for financing by the International Development Association. The IPF Project has two major components:

Component 1: Technical Assistance for Khudoni Hydropower Project Preparation

Component 2A and 2B: Technical Assistance for Project Preparation for the (A) East-West Transport Corridor Upgrade and (B) Railway Reform and Transit Corridor Modernization

1.2 Activities under the IPF Project and any follow-on investment projects will conform to Georgian environmental laws and regulations and the World Bank’s safeguard policies and procedures including policies on the disclosure of information. Specific relevant World Bank policy documents include:

- Environmental Assessment (OP/BP/GP 4.01)
- Natural Habitats (OP/BP 4.04)
- Pest Management (OP 4.09)
- Cultural Property (OPN 11.03, being revised as OP 4.11)
- Involuntary Resettlement (OP/BP/4.12)
- Indigenous Peoples (OP/ 4.20 being revised as OP 4.10)
- Forests (OP/BP 4.36)
- Safety of Dams (OP/BP 4.37)
- Projects in Disputed Areas (OP/BP/GP 7.60)
- Projects on International Waterways (OP/BP/GP 7.50)
- Disclosure of Information (BP 17.50)

A full listing of the Bank’s safeguards policies can be accessed on:


1.3 The IPF Project is limited to the provision of technical assistance (TA) for the preparation of follow-on investment, and no negative impact, therefore, is expected from the implementation of the proposed IPF Project. Since the follow-on investments under the umbrella of the IPF Project include components that would be at least Category B and possibly Category A, however, the IPF Project is classified as Category B.
1.4 Normally Category B projects require the preparation of an Environmental (Safeguard) Assessment and an associated Environmental Management Plan (EMP), although for many category B projects the EA may result in a management plan only. This Safeguard Framework, however, is being presented in place of such a process. The intent is to summarize the approach to safeguards to be taken during the implementation of the IPF Project, which will include the preparation of appropriate environmental and social assessments for the follow-on investments. Disclosure to the public of assessment documents and public feedback is an essential part of the safeguard process; the SF will itself be disclosed before Appraisal. The SF outlines the disclosure process and the safeguard documents for the respective components under the IPF Project.

II. COMPARISON OF APPROACHES TO ENVIRONMENTAL SCREENING

2.1 Environmental permitting in Georgia is established through two laws: (i) the law on environmental permits, and (ii) the law on state ecological review. The law on environmental permits regulates procedures for issuing permits and covers the requirements for preparation of EAs, public information and participation. Under this law projects are divided into four categories according to their size, importance and potential impact on the environment. All four categories must undergo a state ecological review to be eligible for a permit. Those activities in the first category require an EA and projects in categories I and II require public hearings to be conducted.

2.2 Under the World Bank’s procedure for EA, the projects are classified under the categories listed below in Figure 1. The Georgian procedures are largely in line with the World Bank’s EA process. One major difference is that the World Bank requires the preparation of an Environmental Management Plan for Category B projects as well as for Category A Projects. There are also differences in requirements for public participation (information, consultations). These and other differences will be clarified in the Environmental Impact Assessments (EIAs). Should the IPF Project confirm that the Khudoni hydropower project and the transport projects are technically and economically feasible, World Bank participation in funding of the subsequent investment projects would require environmental permitting and environmental management not only to follow the laws of Georgia but also to meet the standards of the Bank. The same principal approach would be applied for issues relating to social impact and resettlement.

Figure 1: Bank’s Screening Criteria

<table>
<thead>
<tr>
<th>Category</th>
<th>Environmental Impact</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Project is likely to have significant impacts that may be sensitive, irreversible and diverse, or unprecedented. The impacts may affect an area broader that the sites of facilities subject to the physical works.</td>
<td>Hydropower projects; Construction of a new road or changes in road alignments.</td>
</tr>
<tr>
<td>Category</td>
<td>Environmental Impact</td>
<td>Example</td>
</tr>
<tr>
<td>----------</td>
<td>---------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------</td>
</tr>
<tr>
<td>B</td>
<td>The impact on human population or environmentally important areas is less adverse than those of Category A projects. The impacts are site specific and few, if any, are irreversible.</td>
<td>Replacement of turbines or pumps; Rehabilitation of an existing road within the right-of-way; Signaling and track improvements in the rail sector.</td>
</tr>
<tr>
<td>C</td>
<td>Projects with no impact</td>
<td>Organizational/institutional reform</td>
</tr>
</tbody>
</table>

### III. COMPONENT 1: Technical Assistance for the Preparation of the Khudoni Hydropower Project

**Overview**

3.1 The construction of the Khudoni Hydropower Plant (Khudoni HPP) began in 1979, but was terminated in 1989 as a result of the national political situation and also as a result of environmental and seismic concerns about the Khudoni HPP. At the time, the designs for the Khudoni HPP comprised an arch dam including spillway, diversion tunnel, coffer dams, water intake and penstocks, underground power house, tailrace tunnels, low level water outlets, and a 500 kV switchyard and line. Construction was mainly limited to access roads, some of the tunnels, and foundation work on the left abutment of the gorge. Environmental and social reviews, including a resettlement action plan, had been prepared in accordance with the then existing Soviet standards. Interest in resuming the project began in the early 1990s, including design modifications in 1992. These studies will be reviewed, although new studies will be undertaken as a result of the time lag, technical advances, and continued concerns about the adequacy of safeguard protection. Conduct of environmental and social assessments as discussed here, will be running concurrently with the studies of dam and hydropower designs (the Technical Studies).

3.2 The owner of the IPF Project is the Government of Georgia. On behalf of the Government, the Ministry of Energy (MoE) of Georgia will be the responsible agency for the conduct of the EIA and social assessment for the Khudoni HPP, but the assessment process will be carried out in close collaboration with the Ministry of Refugees and Accommodation and the Ministry of Environmental Protection and Natural Resources and in accordance with Georgian ecological review principles. The MoE will be assisted in this task by consultants contracted in an open bidding process. The Terms of Reference (TOR) for the services to be provided by these consultants have been prepared and will be publicly disclosed as part of the disclosure policy of the IPF Project.

3.3 The approach that will be used is to pair the Technical Studies needed to define the investment project and required works with the safeguard studies, following a phased process.\(^1\) Environmental and social specialists will prepare a preliminary environmental

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\(^1\) The Technical Studies include: Phase I. Assessment of the Existing Khudoni HPP Site and Works; Phase II. Khudoni HPP Project Definition; Phase III. Feasibility Study Report; and
and social screening while technical specialists prepare Phase I and Phase II of the Technical Studies. This will be followed by a decision on which dam and hydropower alternatives are preferred. These preferences will be used to prepare the Feasibility Study under Phase III. During Phase III a separate EIA process will begin, and a Resettlement Action Plan (RAP) will be developed. With the completion of the Feasibility Study and the EIA and RAP, the decision will be made as to whether or not to proceed with the Khudoni HPP. If the decision is to proceed, the detailed specifications and designs will be developed under Phase IV. The alignment of the various studies is shown in Figure 2.

Figure 2: Alignment of Technical Studies by Phase with Safeguard Studies

<table>
<thead>
<tr>
<th>Technical Studies</th>
<th>Safeguard Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Phase I</strong>. Assessment of the existing Khudoni HPP Site and Works and existing project documentation (duration 2 months)</td>
<td>Preliminary Environmental and Social Screening (duration indicatively 5 months, but with timing of deliverables coordinated with the needs for safeguard inputs into the Technical Studies)</td>
</tr>
<tr>
<td><strong>Phase II</strong>. Khudoni HPP Project Definition, i.e. study of alternative, relevant dam locations, types, and sizes for the purpose of arriving at a recommended solution (duration 3 months)</td>
<td></td>
</tr>
<tr>
<td><strong>Decision on which dam and hydropower alternative to pursue in the feasibility stud</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Phase III</strong>. Feasibility Study (Duration 7 months)</td>
<td>EIA and Resettlement Action Plan (RAP) (duration indicatively 8 Months, but with timing of deliverables coordinated with the needs for safeguard inputs into the Technical Studies) (Draft report and disclosure and comments in month 7)</td>
</tr>
<tr>
<td><strong>Decision to Proceed</strong></td>
<td>Final report for EIA and RAP (month 8)</td>
</tr>
<tr>
<td><strong>Phase IV</strong>. Detailed specifications and designs. Pre-qualifications and preparation of bidding documents.(duration 4 months)</td>
<td></td>
</tr>
</tbody>
</table>

Phase IV. Bidding and Preparation of Bidding Documents.

2 The EIA will refer also to earlier considered dam alternatives and their possibly varying safeguard implications, including the “no-action” alternative.

3 Indicated duration of all project phases is tentative.

4 Phases I and II will in part be undertaken in parallel and with an assumed overall 5 months’ duration.
Structure of the Assessment Process

Preliminary Environmental and Social Screening

3.4 In order to determine the likely impact of the various options being considered during Phase I and Phase II of the Technical Studies, contracted specialists in environmental assessment for major water resources as well as involuntary resettlement will support the MoE and carry out a preliminary impact assessment that reviews both environmental and social issues. The duration would be about five months. The assessment would be carried out in accordance with Georgian requirements and with the operational policies of the World Bank. 5

3.5 The initial task is a review of the existing literature that is relevant to environmental impact of the proposed Khudoni HPP. This will enable the identification of areas in this literature where (i) there are gaps, (ii) that are deficient, or (iii) that need to be updated. Secondly, Georgian legal and institutional framework on resettlement will be reviewed and compared with Bank safeguard requirements, and gaps will be identified. In doing so, not only relevant official law but also good practice related to resettlement will be assessed for incorporation in the investment project.

3.6 The next task is the conduct of a preliminary stakeholder analysis, indicating possible specialized interests and conflicts. Representatives of the key stakeholders will then be asked to review the findings of the preliminary assessment, providing feedback on any issues they feel are missing.

3.7 The report prepared during this preliminary assessment will elaborate a preliminary environmental inventory of impacts of project alternatives, mainly with the dam site selection and the reservoir impounded by that dam but including any such related identified investments as transmission lines. It shall also be clarified to what extent electricity demand scenarios would impact the project designs and the implementation of the project. All the possible environmental impacts shall be identified and quantified as far as possible, albeit for some costs in terms of order of magnitude, for inclusion in the project cost estimate. The long term and irreversible impacts shall be identified and analyzed as a priority.

3.8 In addition, the social screening will review land cadastre and other official documents, discuss with local authorities and community leaders, in order to assess the scale of resettlement and socioeconomic impacts for both displaced communities and other communities socially impacted by the investment project. To the extent possible the screening will quantify these impacts, albeit for some costs in terms of order of magnitude, for inclusion in the cost estimate. These costs will be accompanied by proposed necessary mitigation measures. Any major impact variations resulting from the

project alternatives considered in Phase II of the Technical Studies will be discussed. Terms of Reference for the follow-on EIA and RAP will be reviewed as a logical outcome of this phase.

Environmental Impact Assessment (EIA)

3.9 An EIA will be prepared that meets WB standards under OP/BP 4.01; including Annex B to OP 4.01 which refers to the content of an EA report for a Category A project and Annex B to BP 4.01 which refers to the application of EIAs to dam and reservoir projects.

3.10 The EIA begins with the identification of the base-line situation, identifies the expected impacts of the investment project, and provides an Environmental Management Plan that includes both a Mitigation Plan and a Monitoring Plan. The EIA will run in parallel with the RAP. The EIA will examine key issues such as:

- the consequences of the construction of the dam, reservoir, conveyances, transmission lines, etc. including construction activities and waste disposal; and
- the impact of the operation of the hydroelectric power plant on upstream and downstream water uses and aquatic ecology and population centers.

3.11 The EIA should include but not be limited to:

- **Executive Summary and Conclusions**
- **Policy, Legal and Administrative Framework** - Discuss the policy, legal and administrative framework and requirements (e.g. Government of Georgia, World Bank, relevant international environmental agreements, etc).
- **Project Description** – describe the proposed project and include the following information as relevant: location; general layout; size, capacity, etc; pre-construction activities; construction activities; schedule, staffing and support; facilities and services; operations; required off-site investments; and life span. Note, this is not an exhaustive list.
- **Baseline Data** – assemble, evaluate and present baseline data on the relevant environmental characteristics of the study area including the physical, biological, cultural property and socio-economic conditions. Any changes anticipated before the project commences should also be identified.
- **Environmental Impacts** – determine and quantify where possible the significant positive and negative impacts, direct and indirect impacts, and immediate and long term impacts associated with the project. Identify those that are unavoidable or irreversible. Identify mitigation measures and explore opportunities for environmental enhancement. Characterize the extent and quality of available data.
- **Analysis of Alternatives** – Systematically compare feasible alternatives to the proposed project site, technology, design, construction techniques, phasing and operation. The ‘without project’ scenario should be assessed. The comparative
analysis should address (and quantify where possible): the environmental impacts; the feasibility of impact mitigation; capital and recurrent costs; the suitability of options under local conditions; related institutional, training and monitoring requirements. State the basis for selecting the proposed design.

- **Environmental Management Plan** - see below and outline in Attachment 1.

3.12 The objective of the Environmental Management Plan (EMP) is to mitigate the negative impacts and to enhance the positive impacts resulting from the investment project. The EMP includes both a Mitigation Plan and Monitoring Plan. In addition to the discussion in the text of the plans, summary tables are also often provided for easy comparative reference. The EMP is the heart of the Environmental Impact Assessment in that it provides the summary for environmental safeguard management under the project. The EMP shall include, but not necessarily be limited to, the following:

- Identification and description of the environmental avoidance measures, description of factors and constraints determining the selection of the project site and other relevant components
- Identification and description of specific mitigation and enhancement measures (Mitigation Plan), including an estimate of the initial and recurrent costs (and revenues, if any) associated with all identified measures
- Identification and description of monitoring measures (Monitoring Plan), including the responsible agencies and parties and monitoring mechanisms they will use (the Monitoring Plan will be keyed to the issues identified in the Mitigation plan)
- Institutional and other requirements to implement and monitor the EMP.
- Communication strategy for environmental awareness and education of contractors and local communities under the follow-on investment project
- Consideration of current and future needs for river basin management
- Summary and details of consultations.

**Expanded Social Screening and the RAP**

3.13 Social Screening aims to collect necessary baseline information to ensure that negative social impacts be adequately addressed and compensated as per Georgian regulations and Bank OP/BP 4.12 and that the resettlement of project-affected people will be conducted appropriately. The preliminary screening done during Phases I and II will be expanded and discussed in greater detail. The findings will be incorporated into a comprehensive Resettlement Action Plan. In order to obtain greater specificity on the project-affected people, census data is collected and household surveys are conducted. Based on the preliminary stakeholder analysis, the expanded screening confirms the key stakeholders that can speak on behalf of the project-affected people. A review panel

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6 The EMP for certain projects addresses issues relating to decommissioning. However, hydropower plants are typically not decommissioned, but maintained/refurbished for indefinite use.
including such stakeholders is often established to assist in the monitoring process, not only in project preparation but also in project implementation.

3.14 Specifically, the expanded social screening shall include, but necessarily be limited to, the following:

- Assessment of existing communication channels between government and local population, and identification of the communication strategy and mechanisms
- General population profile and mapping of immediate basin area
- Temporary and permanent land acquisition requirements and the scale of displacement resulting from the project
- Census and socioeconomic survey, to determine the job, income levels, landownership and tenure pattern, household structure, and other socioeconomic characteristics of the project-affected people
- Impact of river flow regimes on communities, both those directly impacted by the project and those who live upstream/downstream of the reservoir, in terms of socio-economic activities, fishery resources, land use, drinking water, etc.
- Impact of population influx during and after construction
- Government and non-government services for health protection and disease prevention that are locally available
- Job loss and job creation during and after construction, including indirect economic activities (e.g. transport, tourism, etc.)
- Availability of alternative government land to be provided to the displaced population, and assessment of utilities and other critical services provided in such alternative lands
- Preliminary assessment of local land market
- Identification of vulnerable population (e.g. especially poor families, single heads of household, women)
- Integration of construction requirements into the infrastructural development of the area (e.g. roads and bridges, housing, schools, medical services) and specification of contract terms to safeguard the minimization of short term impact during construction
- Other social and cultural impact resulting from the Project, including family and community issues.

3.15 Based on and incorporating the findings of the expanded social screening, the RAP will be developed in line with OP/BP 4.12 that describes policies and procedures that will be applied during the entire life of the investment project on matters of acquisition of private land and displacement of households. The RAP should assess the existing legal/institutional framework in Georgia on matters of land acquisition and involuntary resettlement, compare it with Bank OP/BP 4.12, and provide measures to bridge gaps, if any. The RAP should also specify a list of negative impacts that will take place under the project and describe detailed compensation/rehabilitation plans for each category of the impact. The RAP should also spell out project impacts on communities upstream and downstream of the reservoir and present measures to mitigate the impacts. The types of impact which must be compensated and/or rehabilitation measures be provided include: i) loss of land; ii) relocation or loss of shelter; iii) loss of assets or
access to assets; or iv) loss of income sources or means of livelihood, whether or not the affected persons must move to another location.

3.16 The RAP is intended to ensure that there is no harm done as a result of the investment project. It addresses concerns for the most vulnerable and ensures that post-project livelihood would at least be equal to the situation before the project. It will include specifics on compensation packaging and processes, including the right for redressing grievances and cover institutional, compensation, and communication issues. It also will outline the monitoring and evaluation mechanisms to be followed. A suggested outline for the RAP is provided in Attachment 2.

**Consultation and Disclosure Process**

3.17 In conjunction with the conduct of the EIA and the RAP there would be specific public consultations including (i) an initial consultation reviewing the safeguard approach and the planned work and then (ii) a second consultation in terms of the findings.

3.18 During the preliminary screening stage, some consultation with the project-affected people is required, but large-scale public consultation would be avoided until the policies and procedures for resettlement are defined. At this stage the communication strategy would focus on the dissemination of basic information about the project and progressive disclosure, for example, about design issues that would influence the scale of displacement.

3.19 Extensive and iterative consultation should be carried out with the project-affected people to develop the RAP, and such consultation should be carried out closely in collaboration with officials of the Ministry of Energy and local authorities, so that all parties involved are aware of the history of discussion and consensus reached. Wide-ranging channels of communication will be used to disseminate key elements of the RAP, such as compensation/rehabilitation measures, entitlement policies and grievance redress mechanisms.

3.20 Consultations would be held at a site convenient to the affected population. Ministries and agencies of the government identified as stakeholders should be invited to send representatives to the consultation sessions. Documentation will provide the locations, timing, attendance and findings of all consultations. Safeguard documents will be disclosed in country in Georgian language and made available to the public at an announced location. The summary of RAP will be made available in the project-affected areas. Disclosure will also be facilitated by making English versions available through the INFOShop of the World Bank.

3.21 The EIA and the RAP will both indicate the monitoring mechanisms that would be followed during the implementation of any follow-on investment project. These mechanisms would incorporate local participation and periodic feedback from those communities to be directly impacted by the Khudoni HPP.
IV. COMPONENT 2A and 2B: Technical Assistance for Project Preparation for the (A) East-West Transport Corridor Upgrade and (B) Railway Reform and Transit Corridor Modernization

Overview – Component 2A

4.1 Georgia’s geographical position makes it an important transport link between the Black and Caspian seas and between Russia in the north and Turkey to the south. Trade between its neighbors is also an important feature of Georgia’s economy with transit activities generating a direct turnover of more than US$ 2 billion. However, the highway network is currently in a poor condition increasing transport costs and transit times, and acting as a deterrent for trade. As a consequence, one of the Government’s top priorities is to develop Georgia’s competitiveness as a transit country by improving its East West Transport corridor.

4.2 Within this framework, the main priority is to start modernization of the Red Bridge-Tbilisi-Poti transit road. While the long term objective is to upgrade the entire route this is not economically viable in the short term and initial works are therefore targeting the most congested section between Natakhtari (about 12 km west of Tbilisi) and Khashuri. The investment project will rehabilitate the existing road and expand the road from two to four lanes. Funds have been allocated within the State budget to upgrade the first 15 km section between Natakhtari to Agaiani. Under this project it is proposed that the Bank will finance a feasibility study, preliminary design study and environmental assessment for the rehabilitation and upgrade to 4 lanes of the remaining road sections between Agaiani and Sveneti (located approximately between the 46 km mark and the 80km mark). For the purposes of analysis, these studies would be divided into three parts: section 1 - Agaiani to Igoeti, section 2 - Igoeti construction of bypass or upgrade of existing route through Igoeti (to be determined), and section3 - Igoeti to Sveneti. It is anticipated that all works would take place within the existing right of way, and would not involve resettlement.

Overview – Component 2B

4.3 In the rail sector, the existing rail infrastructure is reaching its capacity limits in the key lines that lead to the Batumi and Poti ports, routes that are essential for oil export. This project could also support the preparation of a Railway project to increase the capacity of the line through a combination of signaling and track improvements. Preparation activities would include: (a) technical and financial feasibility studies including preliminary design documents, (b) an Environmental Impact Assessment, and (c) final designs and bidding documents. The exact scope of this component would be determined during project implementation once there is a clear understanding of the availability of remaining funds after completion of Components 1 and 2.A. The approach to safeguard protection would follow the same model as for Component 2A.
Implementation

4.4 In the Road Sector the Ministry of Economic Development will be responsible for the successful implementation of these studies and will be supported by the Road Department (RDMED) assisted by the Transport Reform and Rehabilitation Center (TRRC). In the rail sector Ministry of Economic Development will be responsible for the successful implementation of these studies and will be supported by the Georgian Railways (GR). Specifically, the Ministry together with TRRC/ RDMED/ GR will ensure that: (i) Georgian and Bank policies on environment and social protection will be followed as per this framework; (ii) consultation with the public, as needed, will take place; (iii) information will be disclosed to the public, as needed; and (iv) information, as needed, will be provided to the Bank on environmental matters.

Environmental Screening

4.5 Activities carried out under the investment project will conform to Georgian environmental laws and regulations and the World Bank’s Safeguards policies and procedures, including OP/BP/GP 4.01 Environmental Assessment (EA) and the Bank’s Policy on Disclosure of Information.

4.6 To streamline the EA process, the approach presented in Figure 3 will be followed for each road section. The TRRC/ RDMED/ GR will be responsible for determining the environmental category for each road section and will consult with the MoE in making this determination. The TRRC/ RDMED/ GR will seek confirmation from the Bank on (i) the selected environmental category and (ii) the assessment that is to be carried out.

4.7 It should be noted that at this point it is anticipated that each road section would be classified as a Category B for environmental assessment (EA) purposes and that the contractors engaged to prepare the preliminary design would complete all environmental studies. However, if during implementation, it is determined that a Category A classification is more appropriate, independent EA experts not affiliated with the project would be engaged to carry out this work.

Figure 3: Screening Criteria for World Bank and Georgian Procedures

<table>
<thead>
<tr>
<th>World Bank Cat.</th>
<th>Group As Per Georgian Law</th>
<th>Procedure To Be Followed (Meeting both Georgian and World Bank standards)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Cat I</td>
<td>EIA and EMP will be prepared by the TRRC/ RDMED/GR and the approval of Ministry of Environment Resources and Natural Protection (MoE) will be obtained following the State Ecological Review procedures. The EIA will be prepared in line with Georgian legislation taking into account any additional requirements of OP 4.01 and other Safeguard policies. At least two consultations will be carried out. The World Bank will review and clear all EIAs and EMPs. All documents will be disclosed.</td>
</tr>
<tr>
<td>World Bank Cat.</td>
<td>Group As Per Georgian Law</td>
<td>Procedure To Be Followed (Meeting both Georgian and World Bank standards)</td>
</tr>
<tr>
<td>-----------------</td>
<td>----------------------------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>B</td>
<td>Cat II</td>
<td>An EMP will be prepared by TRRC/ RDMED/ GR (addressing Georgian and World Bank requirements). The EMP will be prepared and developed to meet World Bank EMP requirements and appropriate Safeguards. The approval of Ministry of Environment Resources and Natural Protection will be obtained following the State Ecological Review procedures. The World Bank will review and clear all EMPs. At least one consultation will take place. All documents will be disclosed.</td>
</tr>
</tbody>
</table>

**Environmental Assessment**

4.8 Based on the above screening, the TRRC/RDMED/GR will prepare terms of reference for the preparation of site specific EAs and EMPs (as appropriate). The EA should include but not be limited to:

- **Executive Summary and Conclusions**
- **Policy, Legal and Administrative Framework** - Discuss the policy, legal and administrative framework and requirements (e.g. Government of Georgia, World Bank, relevant international environmental agreements, etc).
- **Project Description** – describe the proposed project and include the following information as relevant: location; general layout; size, capacity, etc; pre-construction activities; construction activities; schedule, staffing and support; facilities and services; operations; required off-site investments; and life span. Note, this is not an exhaustive list.
- **Baseline Data** – assemble, evaluate and present baseline data on the relevant environmental characteristics of the study area including the physical, biological, cultural property and socio-economic conditions. Any changes anticipated before the project commences should also be identified.
- **Environmental Impacts** – determine and quantify where possible the significant positive and negative impacts, direct and indirect impacts, and immediate and long-term impacts associated with the project. Identify those that are unavoidable or irreversible. Identify mitigation measures and explore opportunities for environmental enhancement. Characterize the extent and quality of available data.
- **Analysis of Alternatives** – Systematically compare feasible alternatives to the proposed project site, technology, design, construction techniques, phasing and operation. The ‘without project’ scenario should be assessed. The comparative analysis should address (and quantify where possible): the environmental impacts; the feasibility of impact mitigation; capital and recurrent costs; the suitability of
options under local conditions; related institutional, training and monitoring requirements. State the basis for selecting the proposed design.

- **Environmental Management Plan** - see Attachment 1
- **Appendices** – (i) list of EIA Report preparers, (ii) references, (iii) record of interagency and consultation meetings, (iv) supporting tables, (v) list of associated reports.

Guidance on the preparation of EMPs is included in Attachment 1.

4.9 The TRRC/RDMED/GR will be responsible for liaison with the MoE and for obtaining necessary permits from related authorities for construction. The TRRC/RDMED/GR will also perform an overall quality assurance function to ensure that the documents prepared meet both World Bank and Georgian requirements.

4.10 The World Bank will review and if appropriate, provide a ‘no objection’ to all Bank financed activities, or suggest areas where strengthening is needed. To this end, among other things, The TRRC/RDMED/GR will confirm to the Bank that the applicable environmental procedures have been followed and submit the necessary documentation: a) Category A projects, an EIA with the EMP will be submitted; b) Category B projects, an EMP will be submitted.

**Social Screening**

4.11 The road investment project (East-West Transport Corridor Upgrade Project) does not envisage expropriation of private land. The EA Consultant will carry out a social assessment as part of the EA, to determine that there will indeed be no land acquisition. For this purpose, the Consultant should consult with local cadastre, government officials and knowledgeable individuals, and conduct a field observation. If permanent land acquisition is found to be inevitable, a resettlement action plan will be developed that will set out policies and procedures that will be used under the investment project.

4.12 While no land acquisition is envisaged, some permanent structures reportedly have been built on the right-of-way; this encroachment would require their demolition and displacement of their residents/users. The scale of such informal encroachment should be determined, and appropriate measures of rehabilitation should be developed to ensure that the people who use the land are able to maintain the same level of livelihood. Such measures may include: provision of alternative land/structure, and of free means of transport to move to new premises. The scale of informal encroachment should be addressed in the EA, and measures to deal with them will be addressed in the EMP. The EMP should also include: i) measures to mitigate temporary loss of access; ii) measures

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7 The Consultant should follow 4.11 above when developing a RAP. Given the limited scale of resettlement, however, that may take place, if ever, under the project, the Consultant does not need to develop a full-fledged RAP that includes a detailed description of local socioeconomic conditions, but focus on key issues such as the entitlement matrix, institutional arrangements and grievance redress mechanisms.
to mitigate temporary loss of income; iii) actions to be taken mitigate short-term impacts during construction, including health issues and disease prevention.

4.13 No land acquisition is expected for the Railway project, (Railway Reform and Transit Corridor Modernization Project), however, if it turns out that private land needs to be acquired, a Land Acquisition Plan will be developed to set policies and procedures of land acquisition in line with Bank safeguard policies.

Public Consultation and Disclosure of Information

4.14 For Category A and B projects, The TRRC/ RDMED/ GR will consult with project affected groups and local non-governmental organizations (NGOs) about the project’s environmental aspects and take their views into account.

- **Category A**: public consultation will occur twice: a) after environmental screening and before the terms of reference for the EA are finalized; and b) after the EA and EMP have been prepared to seek feedback on these reports.

- **Category B**: public consultation will occur when the EMP is in a draft phase and the findings of the draft EMP will be discussed. The views of the public will be incorporated in the final EMP

4.15 To ensure meaningful consultations take place, the TRRC/ RDMED/ GR will make information on the findings of the EAs and EMPs available to the public in a timely manner and in a language that is appropriate. The minutes of public meetings will be recorded and included in the final EAs or EMPs.

4.16 In addition, the TRRC/ RDMED/ GR will ensure that the EAs and EMPs are also available in a place that is accessible to the public. These reports will be in Georgian. In addition, a copy of all EAs and EMPs will be submitted to the Bank, in English, for disclosure to the public through the Bank’s InfoShop. In case a RAP is developed, its draft should be consulted with the project-affected people and their comments should be solicited, which should be incorporated in the final RAP.
Attachment 1

Sample Environmental Management Plan (EMP) Format

(a) **Introduction/Responsible Party:** Link to the specific project and identify the authors who prepared the EMP along with the date of preparation.

(b) **Project Description:** Present a brief description of the subproject. Include the nature of the investment, the location of the project, the baseline situation/geographic description, and any characteristics of the area that are of particular interest (e.g. near a protected area, area of cultural or historical interest). Also, include a brief description of the socio-economic conditions in the area. If available, a simple map should be included.

(c) **Project Impact:** Identify the expected short-term and long-term impacts of the project during the design, construction, and operation phases. If these can be quantified, this should be included.

(d) **Mitigation Plan:** Include a description of the steps to be taken to mitigate the major potential impacts on land, water, air and other aspects of the environment during the construction and operation phases. The mitigation plan should be keyed to the impacts identified in the previous section. Particular attention should be paid to the specification of emission limits, environmental norms, and design standards with specific reference to Georgian laws (which at a minimum must be met) and any other relevant guidelines such as the World Bank Pollution Prevention and Abatement Handbook (1998) or other relevant international norms.

(e) **Monitoring Plan:** Include a description of the key parameters to be monitored (including monitoring locations, schedules and responsible entities) to ensure that the construction and operation of the project is in conformance with Georgian law and other relevant norms and standards. If permits or construction or monitoring contracts cover such details, these can be referenced as attachments.

(f) **Institutional Arrangements:** There should be a narrative discussion that provide a brief presentation on how the monitoring data is going to be used for sound environmental performance - who collects the data, who analyzes it, who prepares reports, who are the reports sent to and how often, what is done by the responsible authorities after they receive the information; and how is non-compliance with the EMP to be treated.

(g) **Consultations with affected groups and non-governmental organizations.** The following should be included: (i) date(s) of consultation(s); (ii) location of consultation(s); (iii) details on attendees (as appropriate); (iv) meeting program/schedule; (v) what is to be presented and by whom; (vi) summary Meeting Minutes (Comments, questions and responses by presenters); (vii) agreed actions.

(h) **Appendices,** including sample contract terms for contractors to mitigate short-term impacts from construction.
Attachment 2

Sample Table of Contents of a Resettlement Action Plan

1. Project description
2. Baseline socioeconomic information of the project areas.
3. Avoidance or reduction of displacement
4. Identification of project-affected people, including vulnerable groups
5. Consultation and participation
6. Land acquisition/resettlement mechanisms
7. Entitlement Matrix
8. “Green light conditions” of resettlement
9. Coordination with civil works
10. Institutional arrangement
11. Training
12. Monitoring and reporting
13. Grievance procedures and communication strategy
14. Budget and funding
15. Contingencies and flexibility