

# **Environmental and Social Impact Assessment Guidelines**

*(as amended by the Administrative order  
as of March 20, 2018 No17)*

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*(Annexes 3-5 were adopted by the Administrative order as of March 20, 2018 No17)*

## **1. GENERAL PROVISIONS**

### 1.1. Range of application and basic provisions.

1.1.1. The present Environmental and Social Impact Assessment Guidelines (further – Guidelines, Document) for International Investment Bank (further – IIB, the Bank) investment projects are developed in accordance with IIB Corporate Social Responsibility Policy [1].

1.1.2. The main objective of this document is to translate into practice the IIB’s mandate to promote environmentally sound and sustainable development in the full range of its activities by establishing the framework of Environmental and Social Impact Assessment process including elaboration of dedicated criteria for the assessment of IIB investment projects.

1.1.3. IIB financing undergoes environmental and social assessment to help the Bank decide if the project should be financed and, if so, the way in which environmental and social issues should be addressed in its planning, implementation and operation. The environmental and social assessment and monitoring of projects are integrated into IIB’s overall project cycle and decision-making process.

1.1.4. The Bank undertakes environmental and social impact assessment and monitoring of its projects with respect to their potential risks and impacts, and ensures that these transactions are structured and implemented in accordance with the requirements of IIB Corporate Social Responsibility Policy and this Document.

1.1.5. IIB seeks to apply best international environmental and social practices in the projects and operations it finances. By best practices, the Bank recognizes the World Bank (WB)/International Finance Corporation (IFC) Performance Standards, and Environmental, Health and Safety (EHS) Guidelines; the European Bank for Reconstruction and Development (EBRD) Performance Requirements; the World Health Organization (WHO) standards; the multilateral environmental agreements, in particular Aarhus Convention, Espoo Convention, as well as other relevant international conventions.

1.1.6. Any changes to the present Document are adopted through corresponding decisions by IIB Management Board and approved by Bank executive orders.

## **2. COOPERATION WITH IFI**

2.1. When entering syndicated loans with other international financial institutions (further – IFIs) or national development banks the Bank may, for reasons of coordination and in order to avoid duplication of environmental and social procedures, accept the standards of the co-financiers if these are equivalent or superior, more developed or more stringent than its own requirements in this area.

2.2. IIB cooperates with international and national development institutions to pursue best practices and agree upon common approaches with respect to environmental and social issues arising

from its financing.

### **3. IIB ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT CRITERIA**

3.1. All projects financed by IIB need to comply with the following minimum environmental and social requirements:

3.1.1. The project must not involve production, use, distribution, trade of goods or businesses indicated in the IIB Environmental and Social Exclusion List (see Annex 1).

3.1.2. The project must comply with national environmental, labor, health and safety, and public information laws and regulations, including national commitments under international law. Category A (see Annex 2) in IIB EU country-members projects should meet the requirements applied by EU, namely the Environmental Impact Assessment (EIA) Directive and relevant sector-specific and cross-cutting Directives.

3.1.3. Availability of all official permits, approvals, licenses and certificates required under relevant laws and regulations regarding the environment, occupational health and safety, operation, etc. If these are not available at the time of IIB financing approval the Client will need to submit a satisfactory plan for obtaining such permits, approvals, licenses and certificates before the disbursement of IIB financing or within a deadline mutually agreed with the Bank.

3.2. IIB gives preference to Clients and projects meeting the following additional recommended requirements:

3.2.1. The Client has a certified environmental, occupational health and safety and/or social management system.

3.2.2. Projects meet either IFC Performance Standards on Environmental and Social Sustainability (PSs) or EBRD Performance Requirements (PRs).

3.2.3. Category A (see Annex 2) operations that are likely to generate trans-boundary impacts meet the requirements specified under the Espoo and Aarhus Conventions irrespective whether the country of operation is a party to the Convention.

3.3. IIB prefers projects that correspond with IIB mission in terms of environmental protection and sustainable development. This means that IIB strives to provide loans and guarantees for projects that prevent, minimize, mitigate or treat environmental pollution. The Bank gives preference to projects that fit into IIB's environmental focus areas, which include modernization, innovation, cleaner production and resource management, environmental technology, emission reductions and renewable energy.

3.4. The Bank evaluates the environmental and social impact of projects it intends to finance. Projects may be classified as projects with net benefit for the environment and as projects with net

benefit for the society.

3.4.1. The project is considered to have a net benefit for the environment when its implementation leads to:

- reducing greenhouse gases emission;
- direct air emission or discharge reductions;
- atmosphere hazardous discharge reductions;
- increase of renewable energy based generation capacity (waste recovery, wind, hydro, geothermal, bio, solar, etc.);
- energy efficiency improvement;
- reduction of use of fossil fuels;
- water consumption reduction and encouraging the efficient use of water resources, promoting water saving technologies, water metering systems and water recycling;
- reducing the loss of water from its distribution and water transmission systems;
- optimization of water efficiency in water-intensive sectors and industries;
- improvements in water infrastructure contributing towards water conservation;
- hazardous waste generation reduction;
- waste and sewage generation reduction;
- waste water discharge deductions;
- waste water treatment;
- noise pollution reduction;
- decrease of use and storage of hazardous materials;
- land pollution prevention and mitigation;
- recultivation and rehabilitation of previously exploited land;
- addressing climate change;
- preservation of endangered species;
- household refuse and waste products treatment (processing);
- R&D focusing on environmental technologies;
- raising industry standards by applying an innovative solution.

3.4.2. The project is considered to have a net benefit for the society when its implementation leads to:

- new jobs and safe workplaces creation (for more than one calendar year, including high-tech);
- improvement of population access to electricity and/or heating;
- improvement of population access to clean water;
- improvement of population access to sanitation;

- improvement of population access to housing (including power efficient housing);
- improvement of population access to public transport and transport solutions (including ecological public transport);
- improvement of population access to education;
- improvement of population access to health (medical) services;
- improvement of disabled people access to social infrastructure facilities (establishment and enhancement of inclusive environment);
- preservation of conditions and way of life of native population and indigenous people;
- protection of cultural heritage.

3.5. The Bank carries out a before and after comparison of the project's expected effects on the environment. Timing for evaluation is defined in IIB internal documents.

3.6. Category A projects (see Annex 2) are required to meet at least one of the criteria indicated in paragraphs 3.4.1 or 3.4.2.

3.7. The Bank seeks compliance with its environmental and social criteria at the time of financing approval. In cases when compliance cannot be met at the time of project approval, IIB jointly with the Client will agree upon a plan to achieve such compliance within a reasonable timeframe. If the operation does not make satisfactory progress towards compliance, the Bank may cancel it and/or stop further financing.

3.8. Depending on the scale and nature of the environmental and social impact of the projects financed by the Bank, the Bank establishes project impact management requirements and monitors the environmental and social risks of the projects financed by the Bank in accordance with criteria set in paragraph 3.4.

3.9. The Bank transforms into covenants the findings of the environmental and social impact assessment carried out for its operations. These may include implementation of ESAP (Environmental and Social Action Plan) and other recommendations. These terms and conditions aim to reflect the nature and scope of each particular project financed by IIB.

3.10. Where the project involves general corporate finance, working capital or equity financing for a multi-site company, the Client may be required to develop measures at the corporate level to meet the IIB environmental and social impact assessment guidelines over a reasonable period.

## **4. ENVIRONMENTAL AND SOCIAL REQUIREMENTS FOR FINANCIAL INTERMEDIARIES**

4.1. IIB gives preference to Financial Intermediaries (FI) that has in place a clearly defined

Environmental and Social Management System (ESMS), including an environmental and social policy and environmental and social procedures corresponding with the nature of the FI, the level of environmental and social risks associated with its business activities, and the type of the project and subprojects.

4.2. The FI's environmental and social procedures should include risk assessment and monitoring mechanisms in order to:

- Screen all clients/subprojects against the IIB Environmental and Social Exclusion List included as Annex 1 in the present Document;
- Ensure, through its assessment, that subprojects are structured to meet national regulatory requirements relating to environmental and social matters, including, where necessary, requiring clients to implement corrective action plans;
- Ensure that subprojects being financed meet the criteria in the IIB Illustrative List of Category A projects included as Annex 2 in the present Document; such subprojects will be required to meet at least one of the criteria indicated in 3.4.1 or 3.4.2;
- Keep and regularly update environmental and social records on subprojects;
- Monitor subprojects to ensure compliance with national laws on environment, health and safety and labor.

4.3. The FI should monitor the environmental and social performance of its sub-projects and submit to IIB periodic reports on implementation of its environmental and social risk management procedures and the environmental and social performance of its investment/lending portfolio.

4.4. Where IIB finances FI by means of credit lines or other targeted finance facilities, requirements indicated in paragraph 4.2 may apply only to sub-projects of the FI financed from the Bank's proceeds.

4.5. Where IIB provides untargeted financing (incl. equity or quasi-equity financing) to FIs these requirements may apply to the entire or partial portfolio originated from the time of the Bank becoming a shareholder/creditor in the FI depending on scale of financing.

## 5. ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT PROCESS

5.1. The environmental and social assessment is carried out by IIB staff (for co-financing see Section 2) and it has the following main objective:

- identify and assess the potential environmental and social risks and negative impacts, including the ones that may affect the reputation of the Bank, associated with any given operation considered by the Bank for financing;
- identify efficient preventive and mitigation measures, as well as potential environmental and social opportunities and integrate these into the operation structure;
- the commitment and capacity of the customer concerned to manage these potential impacts and the costs resulting from the ecological and social aspects of the project.

5.2. The depth and scope of environmental and social assessment and information required depends on the nature and scale of the project and the level of environmental impacts. The scope of the review generally applies to the entire project, site or company in question, but may be expanded to the related business activities. In general, the environmental studies required fall into one or more of the following categories:

- Environmental and Social Impact Assessment (is obligatory for Category A projects, may be prepared for Category B projects and generally required for new projects or significant expansions of existing facilities, at times also required for existing facilities);
- Environmental and Social Action Plan (required when environmental and social actions are required during the ongoing life of the project to ensure continued environmental and social compliance);
- Environmental and Social Monitoring (required for A category projects or when specific potential impacts have been identified that need to be observed during the ongoing life of a project – often forms part of the Environmental and Social Action Plan).

5.3. IIB's environmental and social assessment process encompasses the following stages:

1) **Screening and Classification (Categorization).** In accordance with the requirements listed in paragraphs 3.1. and 3.2. IIB selects and categorizes, according to Section 6 of the Document, every project based on its environmental impact, taking both risks and opportunities into account. For every project, the Bank establishes the corresponding level of ecological and social risk.

2) **Request of information.** Based on the categorization, IIB indicates to the Client what type of further information regarding environmental and social issues it needs. The information requested may include:

- potential environmental impacts;



- environmental standards, practices, processes and procedures that the parties involved in the project intend to apply;
- Environmental and Social Impact Assessment;
- Environmental and Social Action Plan;
- the results of any community engagement on the project with relevant stakeholders;
- environmental and social due diligence.

3) **Rating: type of environmental and social impact.** IIB rates all projects as having positive environmental and/or social impact based on criteria indicated in paragraphs 3.4.1. and 3.4.2. A whole project or part of it can be rated as having a positive environmental or social impact and the project is thus determined to be an environmental or social project according to paragraph 3.4. Projects can be rated as having neutral or negative environmental and/or social impact if they do not correspond to the requirements of 3.4.1. and 3.4.2 paragraphs.

4) **Project requirements.** Based on its review, IIB proposes certain environmental and/or social requirements with respect to the project.

5) **Finalization of the credit agreement reflecting the terms of the ESAP plus any other environmental and social commitments.** Environmental and social issues identified during the assessment process need to be addressed by the Client throughout the life of the IIB financing by implementing relevant preventive and mitigation actions. These actions are normally set forth in form of an Environmental and Social Action Plan (ESAP) and its implementation is part of the operations' financing terms and conditions.

6) **Monitoring.** IIB monitors Category A projects as well as other projects selected on a case-by-case basis and have the potential for making an extensive environmental impact.

7) **Publication.** Summaries of projects with potentially extensive environmental impacts (category A projects) could be made publicly available on IIB's website in accordance with IIB Disclosure Policy [2].

5.4. To carry out Environmental and social impact assessment or to monitor the environmental risks of projects or to prepare ESAP, the Bank may engage consulting, auditing, and research organizations and individual experts on a contractual basis. Such experts should be entities independent from the Client, remunerated by the Client and approved by the Bank.

## 6. SCREENING AND CLASSIFICATION

6.1. Environmental and Social Screening is conducted by IIB staff by examining the IIB Environmental and Social Impact Questionnaire (Annexes 3,4,5), filled-in by the potential Client. The type of the Questionnaire to be used depends on the type of the Client.

*(Item 6.1. as amended by the Administrative order as of March 20, 2018 No17)*

6.2. The objective of initial Environmental and Social Screening is to:

- reject activities included in the IIB Environmental and Social Exclusion List,
- carry out preliminary assessment of Environmental and Social risks with respect to the project,
- identify additional environmental and social information necessary for the full-scale assessment.

6.3. Initial evaluation of the level of Environmental and Social Risk (Low, Medium or High) depends on a number of factors, including:

- business activity carried out by the potential customer;
- size and repayment term of the potential loan;
- nature of collateral;
- implementation of the project in the Sensitive area<sup>1</sup>;
- Client' management standards and experience.

6.4. As part of the review of environmental and social risks and impacts of a proposed investment, IIB uses a process of environmental and social categorization to reflect the significance of risks and impacts. The resulting category also specifies further actions and institutional requirements for disclosure.

6.5. IIB categorizes its financed projects based on the associated potential environmental and social risks and impacts, and the scope of environmental and social assessment necessary to identify, assess and mitigate these impacts and risks. These categories are A, B, C and FI and are defined as following:

- Category A: a project is classified as Category A if it has the potential to have significant adverse environmental and/or social impacts, which are diverse, irreversible and/or unprecedented. These impacts may affect an area broader than the sites or facilities subject

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<sup>1</sup> Sensitive areas include National Parks and other protected areas identified by national or international law and other sensitive locations of international, national or regional importance such as wetlands, forests with high biodiversity value, areas of archaeological or cultural significance and areas of importance for indigenous peoples and other vulnerable groups.

to physical works. Category A, in principle, includes projects in sensitive sectors or located in or near Sensitive areas.

- Category B: a project is classified as Category B if its potential environmental and/or social impacts are less adverse than those of Category A projects. Typically, these impacts are few in number, site-specific, largely reversible few if any are irreversible, and mitigation measures are more readily available.
- Category C: a project is classified as Category C if it has minimal or no potentially adverse environmental and/or social impacts. Beyond screening and classification, no further action is required under the provisions of this Recommendation for a Category C project.
- Category FI: a project will be categorized as FI if the financing structure involves the provision of funds through financial intermediaries (FI) whereby the FI undertakes the task of sub-project appraisal and monitoring.

## **7. REVIEW AND MONITORING**

7.1. IIB reviews the environmental and social performance of projects and the compliance with the environmental and social commitments as agreed in the loan agreement, including implementation of the Environmental and Social Action Plan (ESAP). In addition to that, monitoring determines whether the prevention and mitigation measures employed to manage environmental and social risks and impacts are effective or need adjustments.

7.2. The extent of monitoring will correspond with the environmental and social impacts and issues associated with the project, including both direct investment and FI projects.

7.3. Monitoring requirements and commitments generally include reviewing Annual Environmental and Social Performance Reports on projects prepared by Clients. For A and B category projects Annual Environmental and Social Performance Report should be provided to IIB.

7.4. Monitoring visits will normally focus on reviewing compliance with the Bank requirements, regulatory compliance and the ESAP implementation, or specific issues or problems identified through client reporting or other sources.

7.5. IIB may also periodically verify the monitoring information prepared by Clients through site visits to projects either by the Bank's environmental and social specialists or independent experts.

7.6. In case of complex project with high-risk environmental and social issues the Bank or the Client may attract independent consultants to monitor the implementation of such project.

7.7. If the Client fails to comply with its social and environmental commitments as set out in the legal agreements, IIB may agree with the Client remedial measures to be taken by the Client to achieve compliance.

7.8. If the Client fails to comply with the agreed remedial measures, the Bank may take such action and/or exercise such remedies contained in the financing agreements that it deems appropriate. IIB will also review with the Client any performance improvement opportunities related to projects.

## **8. PUBLIC INFORMATION DISCLOSURE**

8.1. IIB may disclose to the general and/or interested public relevant environmental and social information regarding its Category A projects in accordance with IIB Disclosure Policy [2].

8.2. The fact that the Bank discloses such information does not substitute for the Client's obligation to identify stakeholders affected by or interested in the project and to communicate with them in a meaningful way.

## **9. FINAL PROVISIONS**

9.1. Should any changes are made to the Agreement Establishing the International Investment Bank and its Charter, this Document and any revisions hereof shall apply to the extent, not contradictory to the newly adopted legal and any other regulatory act, as well as Agreement Establishing the International Investment Bank and its Charter.

## **10. REFERENCES**

10.1. «IIB Corporate Social Responsibility Policy», approved by IIB Management Board (IIB Executive Order № 115, dated 09.10.2014) in actual version.

10.2. «IIB Disclosure Policy» approved by IIB Management Board (IIB Executive Order № 99, dated 01.11.2013) in actual version.

## ANNEX 1 IIB ENVIRONMENTAL AND SOCIAL EXCLUSION LIST

IIB will not knowingly finance, directly or indirectly, projects involving the following:

- any projects using forced, compulsory, and/or child labor;
- any projects related to the gambling and lottery businesses;
- any projects related to the production of tobacco or tobacco products;
- any projects related to the production of alcoholic beverages stronger than 20% ABV;
- any projects related to the production of or trade in arms, military equipment, or ammunition;
- the production of or trade in any product or activity deemed illegal under IIB Member Countries' national laws or regulations, or international conventions and agreements, or subject to international phase out or bans, such as:
  - any projects to produce or trade in equipment or materials containing polychlorinated biphenyls (PCBs)<sup>2</sup>;
  - production of or trade in pharmaceuticals, pesticides/herbicides and other hazardous substances subject to international phase-outs or bans<sup>3</sup>;
  - production of or trade in ozone depleting substances subject to international phase out<sup>4</sup>;
  - trade in wildlife or production of or trade in wildlife products regulated under CITES<sup>5</sup>;
  - transboundary movements of waste prohibited under international law<sup>6</sup>.
- any projects related to the activities prohibited by the laws of the Member Countries or international treaties on the protection of biodiversity, resources, or cultural heritage<sup>7</sup>;
- any projects to produce asbestos, asbestos-containing materials, or products derived therefrom;
- any fishery projects involving the use of drift nets longer than 2.5 kilometers;
- shipment of oil or other hazardous substances in tankers which do not comply with IMO requirements<sup>8</sup>;
- trade in goods without required export or import licences or other evidence of authorisation of transit from the relevant countries of export, import and, if applicable, transit.

<sup>2</sup> PCBs: Polychlorinated biphenyls are a group of highly toxic chemicals. PCBs are likely to be found in oil-filled electrical transformers, capacitors and switchgear dating from 1950-1985.

<sup>3</sup> Reference documents are Council Regulation (EEC) No 2455/92 of 23 July 1992 Concerning the Export and Import of Certain Dangerous Chemicals, as amended from time to time; United Nations Consolidated List of Products whose Consumption and/or Sale have been Banned, Withdrawn, Severely Restricted or not Approved by Governments; Convention on the Prior Informed Consent Procedures for Certain Hazardous Chemicals and Pesticides in International Trade (Rotterdam Convention); Stockholm Convention on Persistent Organic Pollutants; World Health Organization Recommended Classification of Pesticides by Hazard.

<sup>4</sup> Ozone Depleting Substances (ODSs): Chemical compounds which react with and deplete stratospheric ozone, resulting in the widely publicised "ozone holes". The Montreal Protocol on Substances that Deplete the Ozone Layer lists ODSs and their target reduction and phase-out dates. A list of the chemical compounds regulated by the Montreal Protocol, which includes aerosols, refrigerants, foam blowing agents, solvents and fire protection agents, together with details of signatory countries and phase-out target dates, is available from the United Nations Environment Programme.

<sup>5</sup> CITES: The Convention on International Trade in Endangered Species of Wild Fauna and Flora. A list of CITES listed species is available from the CITES secretariat.

<sup>6</sup> Reference documents are: Regulation (EC) No 1013/2006 of 14 June 2006 on shipments of waste; Decision C(2001)107/Final of the OECD Council concerning the revision of Decision C(92)39/Final on the control of transboundary movements of wastes destined for recovery operations; Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal.

<sup>7</sup> Relevant international conventions include: Convention on the Conservation of Migratory Species of Wild Animals (Bonn Convention); Convention on Wetlands of International Importance, especially as Waterfowl Habitat (Ramsar Convention); Convention on the Conservation of European Wildlife and Natural Habitats (Bern Convention); Convention Concerning the Protection of the World Cultural and Natural Heritage; Convention on Biological Diversity.

<sup>8</sup> This includes: tankers which do not have all required International Convention for the Prevention of Pollution from Ships (MARPOL), International Convention for the Safety of Life at Sea (SOLAS) certificates (including, without limitation International Safety Management Code compliance), tankers blacklisted by the European Union or banned by the Paris Memorandum of Understanding on Port State Control (Paris MOU) and tankers due for phase-out under MARPOL regulation 13G. No single hull tanker over 25 years old should be used.

## ANNEX 2 ILLUSTRATIVE LIST OF CATEGORY A PROJECTS

The following illustrative list containing examples of the types of new projects and major expansion projects that may be classified as Category A. At the same time, in practice, classification should be undertaken in accordance with the potential environmental and/or social impacts of each project.

This list applies to “**greenfield**” or **major extension or transformation-conversion projects** in the categories listed below. The indicative types of projects listed below are examples of projects that could result in potentially significant adverse future environmental and/or social impacts and therefore require an environmental and social impact assessment.

The categorization of each project depends on the nature and significance of any actual or potential adverse future environmental or social impacts, as determined by the specifics of nature, location, sensitivity and scale of the project.

1. Crude oil refineries (excluding undertakings manufacturing only lubricants from crude oil) and installations for the gasification and liquefaction of 500 tons or more of coal or bituminous shale per day.
2. Thermal power stations and other combustion installations with a heat output of 300 megawatts<sup>9</sup> or more and nuclear power stations and other nuclear reactors, including the dismantling or decommissioning of such power stations or reactors (except research installations for the production and conversion of fissionable and fertile materials, whose maximum power does not exceed 1 kilowatt continuous thermal load).
3. Installations designed for the production or enrichment of nuclear fuels, the reprocessing, storage or final disposal of irradiated nuclear fuels, or for the storage, disposal or processing of radioactive waste.
4. Integrated works for the initial smelting of cast-iron and steel; installations for the production of non-ferrous crude metals from ore, concentrates or secondary raw materials by metallurgical, chemical or electrolytic processes.
5. Integrated chemical installations: those installations for the manufacture on an industrial scale of substances using chemical conversion processes, in which several units are juxtaposed and are functionally linked to one another and which are for the production of: basic organic chemicals; basic inorganic chemicals; phosphorous, nitrogen or potassium-based fertilizers (simple or compound fertilizers); basic plant health products and bio-cides; basic pharmaceutical products using a chemical or biological process; explosives.
6. Construction of motorways, express roads and lines for long-distance railway traffic; airports with a basic runway length of 2,100 meters or more; new roads of four or more lanes, or realignment and/or widening of existing roads to provide four or more lanes, where such new roads, or realigned and/or widened sections of road would be 10 km or more in a continuous length.
7. Pipelines, terminals and associated facilities for the large-scale transport of gas, oil and chemicals.
8. Large-scale sea ports as well as inland waterways and ports for inland-waterway traffic; trading ports, piers for loading and unloading connected to land, and outside ports (excluding ferry piers).

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<sup>9</sup> Equivalent to a gross electrical output of 140 MW for steam and single cycle gas turbine power stations.

9. Waste-processing and disposal installations for the incineration, chemical treatment or landfill of hazardous, toxic or dangerous wastes.
10. Large-scale waste disposal installations for the incineration or chemical treatment of non-hazardous wastes.
11. Large<sup>10</sup> dams and other impoundments designed for the holding back or permanent storage of water.
12. Groundwater abstraction activities or artificial groundwater recharge schemes in cases where the annual volume of water to be abstracted or recharged amounts to 10 million cubic meters or more.
13. Industrial plants for the: (i) production of pulp from timber or similar fibrous materials; or (ii) production of paper and board with a production capacity exceeding 200 air-dried metric tons per day.
14. Large-scale peat extraction, quarries and open-cast mining, and processing of metal ores or coal.
15. Extraction of petroleum and natural gas for commercial purposes.
16. Installations for storage of petroleum, petrochemical, or chemical products with a capacity of 200,000 tons or more.
17. Large-scale logging or deforestation of large areas.
18. Municipal wastewater treatment plants with a capacity exceeding 150,000 population equivalent.
19. Large-scale municipal solid waste processing and disposal facilities.
20. Large-scale tourism and retail development.
21. Construction of high voltage overhead electrical power lines.
22. Large-scale wind-power installations for energy production (wind farms).
23. Large-scale land reclamation and sea dredging operations.
24. Large-scale primary agriculture or forestation involving intensification, land use change or conversion of priority biodiversity features and/or critical habitats.
25. Plants for the tanning of hides and skins where the treatment capacity exceeds 12 tons of finished products per day.
26. Installations for the intensive rearing of poultry or pigs with more than: (i) 85,000 places for broilers and 60,000 places for hens; (ii) 3,000 places for production pigs (over 30 kg); or (iii) 900 places for sows.
27. Projects<sup>11</sup>, which are planned to be carried out or are likely to have a perceptible impact on sensitive locations of international, national or regional importance, even if the project category does not appear in this list. Such sensitive locations include, inter alia, nature protected areas designated by national or international law, critical habitat or other ecosystems, which support priority biodiversity features, areas of archaeological or cultural significance, and areas of importance for Indigenous Peoples or other vulnerable groups.
28. Projects, which may result in significant adverse social impacts to local communities or other project affected parties.
29. Projects, which may involve significant involuntary resettlement or economic displacement.

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<sup>10</sup> The International Commission on Large Dams (ICOLD) defines a large dam as a dam with a height of 15 meters or more from the foundation. Dams that are between 5 and 15 meters high and have a reservoir volume of more than 3 million cubic meters are also classified as large dams.

<sup>11</sup> Including, without limitation, environmentally or socially oriented projects (such as renewables).

Приложение №8 к Приказу

от 20.03.2018 №17

*Annex 3  
Environmental and Social  
Impact Assessment Guidelines*

**MODEL ENVIRONMENTAL and SOCIAL IMPACT QUESTIONNAIRE**

Please, the mark the correct answer by “✓” or encircle.

**1. Project description**1.1. **Project name:** \_\_\_\_\_**1.2. Type of the project**

- New project
- Extension/Modification/Modernization/Transformation-conversion
- Replacement
- Other (please specify): \_\_\_\_\_

**1.3. Please provide information on the overall project:**

- Project background (purpose and subject)
- Is it a stand-alone facility or an existing large-scale facility
- Planned production capacity or increase of capacity in absolute figures
- Change in the environmental situation
- Timetable of the overall project
- New infrastructure (streets, pipelines, energy supply, etc.) required for the project

1.4. Please describe the key processes at the site and include details regarding the following aspects (if applicable):

- Waste water
- Air emissions and ambient air quality
- Ambient noise
- Raw materials and waste
- Hazardous substances
- Occupational health and safety
- Social aspects

1.5. Please describe your **role and responsibilities** in the overall project (share in the overall project, etc.):  
\_\_\_\_\_1.6. Please provide information on necessary **associated facilities** (those facilities that are not a component of the project but that would not be constructed or expanded if the project did not exist and on whose existence the viability of the project depends, e.g. terminals, harbours, quarries, plantations. Such facilities may be funded, owned, managed, constructed and operated by the buyer and/or project sponsor or separately from the project):  
\_\_\_\_\_1.7. Which other **international financial institutions** are **involved** in the overall project?  
\_\_\_\_\_**2. Site description**



2.1. The project **site** is currently a(n)

- Greenfield area
- New industrial estate
- Existing industrial estate
- Urban area
- Other

2.2. Please **describe the whole site** as well as any existing/planned **associated facilities**:

- Exact address and/or coordinates
  - Size and land requirements
  - Original and current use as well as ownership
  - Industrial estate (since when) or new development
- 

2.3. Please describe the site's surroundings:

- Use of adjacent land
  - Distance to the nearest residential area
- 

2.4. Please attach a **detailed map and/or a site map**.

2.5. Is the site located in or near a **sensitive area**<sup>12</sup>?

Yes / No / Not known

If yes, please provide additional information (type of area, distance to the site, protection category, protective role, protective measures, etc.): \_\_\_\_\_

### 3. Environmental and social aspects

3.1. Which **standards** are met?

- World Bank Safeguard Operational Policies
- IFC Performance Standards on Environmental and Social Sustainability
- EBRD Performance Requirements (PRs)
- Local standards
- EU standards, including Environmental Impact Assessment (EIA) Directive
- General and sector-related standards of the World Bank Group (EHS Guidelines)
- Espoo Conventions
- Aarhus Conventions
- Other standards (industry best practice, etc.)

Please describe them: \_\_\_\_\_

3.2. Have all **official permits, approvals, licenses and certificates** required (regarding the environment, occupational health and safety, operation, etc.) been obtained?

Yes \ No

If not, please explain why and when you expect to obtain them: \_\_\_\_\_

3.2.1. Does the project comply with national environmental, labor, health and safety, and public information laws and regulations?

Yes \ No

If not, please explain why and when you expect to obtain these: \_\_\_\_\_

3.3. Does a certified **environmental, occupational health and safety and/or social management system** exist at the site?

Yes / No / Planned

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<sup>12</sup> Sensitive areas include National Parks and other protected areas identified by national or international law and other sensitive locations of international, national or regional importance such as wetlands, forests with high biodiversity value, areas of archaeological or cultural significance and areas of importance for indigenous peoples and other vulnerable groups.

- ISO 14001
- OHSAS 18001
- SA8000
- Others: \_\_\_\_\_

3.4. Does the implementation of the project lead to:

- reducing greenhouse gases emission;
- direct air emission or discharge reductions;
- atmosphere hazardous discharge reductions;
- increase of renewable energy based generation capacity (waste recovery, wind, hydro, geothermal, bio, solar, etc.);
- energy efficiency improvement;
- reduction of use of fossil fuels;
- water consumption reduction and encouraging the efficient use of water resources, promoting water saving technologies, water metering systems and water recycling;
- reducing the loss of water from its distribution and water transmission systems;
- optimization of water efficiency in water-intensive sectors and industries;
- improvements in water infrastructure contributing towards water conservation;
- hazardous waste generation reduction;
- waste and sewage generation reduction;
- waste water discharge deductions;
- waste water treatment;
- noise pollution reduction;
- decrease of use and storage of hazardous materials;
- land pollution prevention and mitigation;
- recultivation and rehabilitation of previously exploited land;
- addressing climate change;
- preservation of endangered species;
- household refuse and waste products treatment (processing);
- R&D focusing on environmental technologies;
- raising industry standards by applying an innovative solution.

3.5. Does the implementation of the project lead to:

- new jobs and safe workplaces creation (for more than one calendar year, including high-tech);
- improvement of population access to electricity and/or heating;
- improvement of population access to clean water;
- improvement of population access to sanitation;
- improvement of population access to housing (including power efficient housing);
- improvement of population access to public transport and transport solutions (including ecological public transport);
- improvement of population access to education;
- improvement of population access to health (medical) services;
- improvement of disabled people access to social infrastructure facilities (establishment and enhancement of inclusive environment);
- preservation of conditions and way of life of native population and indigenous people;
- protection of any cultural heritage.

3.6. Please describe specific **positive aspects** of the overall project (e.g. greenhouse gas savings, job creation, improvement in energy efficiency, etc.) \_\_\_\_\_

3.7. Does the overall project involve:

- **Resettlements**<sup>13?</sup>
- **Expropriation of land?**

If so, please provide details (number of persons affected, mitigation measures, etc.):

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3.8. Does the overall project affect **minorities or indigenous peoples**<sup>14?</sup>

If so, please provide details: \_\_\_\_\_

3.9. Which of the following **documents** will be/have been prepared and/or are available for the overall project?

- Environmental Impact Assessment (EIA)
- Environmental and Social Impact Assessment (ESIA)
- Environmental and Social Action Plan (ESAP)
- Resettlement Action Plan (RAP)
- Other studies/documents and if so, what kind of studies? \_\_\_\_\_

3.10. Have **local communities been involved** or is such involvement planned?

- Informed
- Consulted
- No
- Not applicable

If so, please provide detailed information on the process. \_\_\_\_\_

3.11. Are you aware of any **objections/concerns** raised by the following groups?

- General public/residents
- NGOs
- Others

If so, what objections/concerns? \_\_\_\_\_

4. **Further/additional** information:

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*The Client further declares that the facts stated are, to the best of his knowledge, true and that he will be ready to provide any further information related to environmental issues, if needed.*

Place and date \_\_\_\_\_

Signature (completed by) \_\_\_\_\_

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<sup>13</sup> Resettlements refer both to physical resettlements (relocation or loss of shelter) and economic resettlements (loss of assets or access to assets that leads to loss of income sources or other means of livelihood).

<sup>14</sup> Indigenous peoples are considered to be distinct social and cultural groups which (a) regard themselves as members of such a distinct indigenous cultural group and are recognized as such by others, (b) show a collective attachment to their geographically distinct habitats or ancestral territories in the project area and to the natural resources thereof, (c) have customary cultural, economic, social or political institutions that are separate from those of the mainstream society or culture or (d) speak a distinct language or dialect, which often differs from the official language of the country or region.

Приложение №9 к Приказу

от 20.03.2018 №17

*Annex 4  
Environmental and Social  
Impact Assessment Guidelines*

**ENVIRONMENTAL and SOCIAL IMPACT QUESTIONNAIRE  
(for general corporate finance, working capital or equity financing projects)**

1. Please describe the purpose of financing?  
\_\_\_\_\_
  
2. Please indicate whether your Company has adopted and implemented any Environmental and Social Management System, such as policies and procedures?  
If so, please specify the main policy statements: \_\_\_\_\_
  
3. Please, describe in brief the internal environmental and social assessment/analysis procedures, if any?  
\_\_\_\_\_
  
4. Is there a staff employee in charge for implementation of environmental and social policy and environmental and social assessment/analysis procedures?  
What are his/her main responsibilities?  
\_\_\_\_\_
  
5. Does your Company prepare annual environmental and social performance reports for shareholders, government, or third parties?  
If so, please provide a copy of the most recent report.  
\_\_\_\_\_
  
6. Please indicate whether the activity of your Company comply with national environmental, labor, health and safety, and public information laws and regulations, including national commitments under international law?  
\_\_\_\_\_
  
7. Please inform whether your Company has all official permits, approvals, licenses and certificates required under relevant laws and regulations regarding the environment, occupational health and safety, operation, etc?

If not, please explain why and when you expect to obtain these: \_\_\_\_\_

8. Does the Company's performance meet any standards related to Environmental and social aspects:

- World Bank Safeguard Operational Policies
- IFC Performance Standards on Environmental and Social Sustainability
- EBRD Performance Requirements (PRs)
- Local standards
- EU standards, including Environmental Impact Assessment (EIA) Directive
- General and sector-related standards of the World Bank Group (EHS Guidelines)
- Espoo Conventions
- Aarhus Conventions
- Other standards (industry best practice, etc.)

Please describe them: \_\_\_\_\_

*The Client further declares that the facts stated are, to the best of his knowledge, true and that he will be ready to provide any further information related to environmental issues, if needed.*

Place and date \_\_\_\_\_

Signature (completed by)

\_\_\_\_\_

Приложение №10 к Приказу  
от 20.03.2018 № 17

*Annex 5  
Environmental and Social  
Impact Assessment Guidelines*

**ENVIRONMENTAL and SOCIAL IMPACT QUESTIONNAIRE  
(Financial Intermediaries)**

1. Indicate whether your Institution has adopted and implemented any Environmental and Social Management System, such as policies and procedures?  
If so, please specify the main policy statements and how they are integrated in the credit/investment appraisal and monitoring process?
2. Please, describe in brief the internal environmental and social assessment/analysis procedures, if any?
3. Please, specify how screening and categorization of the transactions is undertaken, due diligence process, setting of environmental and social requirements, and monitoring of the client's environmental and social performance;
4. Is there a staff employee in charge for implementation of environmental and social policy and environmental and social assessment/analysis procedures?  
What are his/her main responsibilities?
5. Is your institution engaged in financing any of the activities included in the IIB Environmental and Social Exclusion List?  
If so, please specify the sectors and the volume out of the total portfolio. Please, note that no funds from IIB may be used for financing any of these activities;
6. Does your Institution legally require the clients to comply with the environmental regulations and standards, public disclosure and consultation requirements in effect in the country of operation also with national laws on health and safety and labour?
7. Does your Institution prepare annual environmental and social performance reports for shareholders, government, international financial institutions, development banks?
8. If so, please provide a copy of the most recent report.