

# 亚洲开发银行业务中的环境影响评价

## Environmental Assessment in ADB Operations

ADB Resident Mission in PRC

亚洲开发银行驻中国代表处

**第1单元：亚行环评要求**  
**Module 1**  
**ADB Environmental Assessment**  
**Requirements**

Reference: OM F1 on Environmental  
Considerations in ADB Operations  
(Issued on 29 October 2003)

# 学习的目的 Learning Objectives

学习 Learn:

- 开展环境影响评价（环评）时的指导原则  
guiding principles in conducting environmental assessment (EA)
- 项目准备以及执行期间的环评要求  
EA requirements during processing and implementation

# **ADB's Corporate Vision**

**"An Asia and Pacific Region Free of  
Poverty"**

# Mission

to help its DMCs reduce poverty  
and improve living conditions  
and quality of life.

# Development Agendas

- inclusive economic growth
- environmentally sustainable growth
- regional integration

# Core Areas

- Infrastructure
- Environment
- Regional Cooperation & Integration
- finance sector development
- education

# 环境政策 Environment Policy

- 促进环境保护，以减少贫困  
promote environmental interventions to reduce poverty
- 把环境的考虑纳入在经济增长和发展规划的主流  
mainstream environmental considerations into economic growth and development planning
- 维护全球及区域生态环境系统  
maintain global and regional life support systems
- 建立合作伙伴关系  
build partnerships
- 在亚行业务中综合考虑环境问题  
integrate environmental considerations in ADB operations



# 1. 促进环境保护，以减少贫困

promote environmental interventions  
to reduce poverty

- 自然资源保护、保持以及可持续利用  
protection, conservation, and sustainable  
use of natural resources
- 环境质量提高  
environmental quality improvement
- 自然灾害敏感度分析，灾害预防  
deducing vulnerability to natural hazards  
and preventing disasters

## 2. 把环境的考虑纳入经济增长和发展规划的主流 mainstream environmental considerations in economic growth and development planning

- 政策中综合考虑环境因素 policy integration
- 经济环境综合发展规划  
integrated econ. & env. development planning
- 加强环境制度化体系，加强环境管理  
strengthening regul. systems & envl. governance
- 促进市场化以及其它政策手段，如环境（生态）  
标识、自愿性的遵守  
market-based & other policy instruments, i.e.  
ecolabeling and voluntary compliance programs
- 促进环境教育和公众意识  
promoting education and public awareness

### 3. 维护全球及区域生态环境系统 maintain global and regional life support systems

- 支持多边环境公约的履行  
responding to multilateral environmental  
agreements
- 支持区域及次区域环境合作  
supporting regional and subregional  
cooperation on environment

## 4. 建立合作伙伴关系 build partnerships

- 主要的NGO
- 全球环境基金，帮助开发GEF项目  
GEF, to help DMCs identify and develop ADB-GEF pipeline opportunities
- 其它组织，发展以政策为基础的环境管理规划  
other agencies, to develop policy-based programs for environmental management
- 参与多边金融机构环境工作组，使保障政策与具体运作程序相协调  
MFI - WGE, to harmonize safeguard policies and procedures

## 5. 在亚行业务中综合考虑环境问题 integrate environmental considerations in ADB operations

- 国别规划 country program mission
- 贷款规划 lending program
- 公众咨询和信息公开 public consultation and information disclosure implementation
- 实施、监测、评估  
implementation, monitoring, and evaluation
- 主动性环境采购  
environmentally responsible procurement
- performance-based allocation of ADF

# 环境评价 Environmental Assessment

- 一个进行环境分析、计划和管理的过程  
a process of environmental analysis, planning & management
  - 减轻环境影响  
to mitigate environmental impacts
- 综合其它方面的评估 ( 技术、社会、经济 )  
integrated with assessment of other aspects of project (tech., econ., soc., etc.)
  - 确立项目的可行性  
to establish project feasibility

# 环境评价 EA

- 一个持续的过程 an ongoing process
- 项目初期开始，贯穿整个项目周期  
starts early & continues throughout project cycle
- 公共部门和私营部门项目都有要求  
required for all public and private sector projects
- 项目的所有部分都有要求，不论是亚行资助、政府资助还是共同融资  
required for all project components whether financed by ADB, government or co-financiers

# 环评导则 EA Guiding Principles

- 避免、最小化、减轻、补偿环境负面影响  
avoid, minimize, mitigate & compensate environmental impacts
- 评估环境影响的显著性  
assess significance of impacts
- 研究可替代性的方案 examine alternatives
- 设计费用最少的减缓措施  
design least-cost mitigation measures
- 达到相应的环境标准  
achieve environmental standards



# 环评导则 EA Guiding Principles

- 准备环境管理计划 - 机构安排；监测方案；预算  
prepare environmental management plan -  
institutional arrangements; monitoring program;  
budget
- 公开信息 disclose information
- 征求公众意见 consult public
- 报告结果 report results

# 项目分类 Project Classification

- 所有的项目都要求进行环评分类，以确定环评要求和所需资源  
classify **all** projects to determine EA requirements and resources
- 项目初期进行分类（项目概念确定后）  
classify early (after concept clearance)
- 持续的过程，可以变更环评类别  
ongoing process, category may change
- 管理层评审会议时由首席合规检查官确认  
to be confirmed by CCO at MRM
- 项目实施中如果发生重要变更，需要对变更部分进行重新分类  
in case of major change in scope during **implementation**, classify **change**

# 项目分类 Project Classification

- 分类基于最敏感项目的显著性  
category based on significance of impact of most sensitive component
- 环境影响的显著性 significance of impact
  - 地点 location
  - 敏感度，规模，性质，可能的环境影响大小  
sensitivity, scale, nature, and magnitude of potential environmental impacts
  - 可利用的成本划算的处理措施  
availability of cost-effective mitigation measures

# 项目环评分类

A类	有可能带来明显的负面环境影响
B类	经判定会带来一定的负面环境影响 (比A类项目的影响程度小)
C类	不会产生负面的环境影响
FI类	金融中介机构中涉及信用额度贷款 或股权投资的项目

# Environment Categories

A	potential for significant adverse environmental impacts
B	judged to have some adverse environmental impacts (of lesser degree than category A impacts)
C	unlikely to have environmental impacts
FI	involves a credit line thru or an equity investment in a financial intermediary (FI)

# 征求公众意见 Public Consultation

- A类项目至少2次，B类项目至少1次 required for category A (at least 2x) and B projects (at least once)
- 借贷人的责任。向受影响的群体及当地的NGO征求意见 borrower's responsibility to consult (groups affected by the proposed project and local NGOs)
- 借贷人用容易被受众理解的语言和方式，向公众提供足够的信息 borrower to provide information in form and language(s) accessible to those being consulted

# 环评报告公开

## Disclosure of EA Reports

- 提交董事会批准前120天公开环评摘要/初始环境审查摘要  
disclose SEIA/SIEE, 120 days in advance of Board consideration
- 经董事会批准环评摘要/初始环境审查摘要报告对公众公开 ( ADB网站及托管图书馆 )  
disclose Summary EA reports to public upon Board approval (ADB web site and Dep. Libs.)
  - 若为行长报告主要附件，自动公开  
SIEE, RRP core appendix—automatic disclosure
  - 若为行长报告补充附件，单独公开  
SIEE as supp. app. of RRP—separate disclosure
- 若有要求，环评/初始环境审查报告需要公开  
IEE and EIA reports made available to interested parties on request



# 不同类型贷款的环评要求

## EA Requirements by Lending Modality

- 项目贷款 project loans
- 规划贷款 program loans
- 行业贷款 sector loans
- 行业规划贷款  
sector development program loans
- 金融中介机构贷款：信用额度贷款，股权投资  
financial intermediation loans thru credit lines  
and equity investments



# 项目贷款环评要求

## EA Requirements for Project Loan

分类 Cat	环评要求 Rqms	公众意见 P. Const.	信息公开 Information Disclosure
<b>A</b>	EIA/SEIA (EMP & budget)	最少2次 at least twice	<ul style="list-style-type: none"><li>• 国内公开 In-country disclosure (EA preparation)</li><li>• 摘要120天规则 SEIA, 120-day rule</li><li>• 环评可以提供 EIA, available on request</li></ul>
<b>B</b>	IEE/SIEE	最少1次 at least once	<ul style="list-style-type: none"><li>• SIEE(s), 120-day rule</li><li>• RRP(core/sup app)</li><li>• IEE, available on request</li></ul>
<b>C</b>	review of envi implications	不用 None	不用 none

# IEE的内容 Contents of IEE

- 项目描述 description of project
- 环境描述 description of environment
- 潜在的环境影响及减轻影响的措施 potential environmental impacts and mitigation measures
- 机构要求以及环境监测计划 institutional requirements and environmental monitoring program
- 公众意见及信息公开 public consultation and disclosure
- 发现和建议 findings and recommendations
- 结论 conclusion

# EIA的主要内容 Contents of EIA

- 项目描述 description of project
- 环境描述 description of environment
- 潜在的环境影响及减轻影响的措施 potential environmental impacts and mitigation measures
- 可替代性方案 alternatives
- 经济评价 economic assessment
- 环境管理计划 ( 预算 , 机构 , 能力 , 监测计划 )  
environmental management plan (budget, institutional requirements, capacity and monitoring program)
- 公众意见和信息公开 public consultation and disclosure
- 结论 conclusion

# 环境管理计划内容 Contents of EMP

## 董事会批复前

### EMP草稿

- 环境影响
- 建议的减轻影响的措施
- 监测计划
- 公众咨询活动
- 实施和监测的具体责任
- 初步的费用估算

## 详细的工程设计

### EMP终稿

最终的EMP分解为具体的合同

- 反馈及调整机制
- 最终的审查、监测及报告责任
- 最终的费用估算



# 环境管理计划内容 Contents of EMP

## Before Board Approval

Draft EMP

environmental impacts

proposed mitigation  
measures

monitoring programs

public consultation activities

responsibilities for  
mitigation and monitoring

initial cost estimate

## Detailed Eng'g Design

### Final EMP

final EMP broken down into  
contract level-EMPs

- mechanisms for  
feedback and  
adjustment
- final responsibilities for  
review, monitoring and  
reporting
- final cost estimates

# 规划贷款环评要求

## Requirements for Program Loan

- 审查政策行动的环境影响  
review environmental implications of policy actions
- 识别减轻影响的措施  
identify mitigation measures
- 准备政策框架的环境评价  
prepare EA of policy matrix (EAPM)
- 若有必要，在贷款协议中明确政策框架环境评价的实施要求  
include loan covenant to ensure implementation of EAPM, if necessary

# 政策框架的环评 Environmental Assessment of Policy Matrix

- 简介 introduction
- 采取的政策 policy interventions
- 政策的环境评价 ( 政策行动 , 经济和社会后果 , 影响 , 应对措施 )

EA of policy interventions (policy actions, economic and social outcomes, impacts & mitigation measures)

- 环境管理计划 environmental management plan
- 结论 conclusion



# 行业贷款环评要求

## Requirements for Sector Loan

- 典型子项目环评 ( IEE/SIEE )  
EA of sample subprojects (IEE/SIEE)
- 子项目选择时的环境指标  
environmental criteria for subproject selection
- 环评及审查程序  
EA and review procedures (EARP)
- 行业贷款初始环境审查 ( EARP,核心子项目SIEE )  
IEE for sector loan (EARP, SIEE of core subprojects)



# 环评及审查程序

具体内容：

- 职责及相应的审查权限
- 子项目选择的环境指标
- 环评分类
- 详细说明各子项目的资金限额
- IEES, EIAs 以及环境管理计划
- 公众咨询及信息公开
- 政府部门审查，亚行审查
- 监测及报告

# Environmental Assessment & Review Procedures

- Details of Proposed Procedures
  - ✓ responsibilities and authorities
  - ✓ environmental criteria for subproject selection
  - ✓ classification
  - ✓ specification of free limits
  - ✓ IEES, EIAs and environmental management plans
  - ✓ public consultation and disclosure
  - ✓ review by DMC and ADB
  - ✓ monitoring and reporting



# 行业发展规划贷款的环评要求

## Requirements for Sector Development Program Loan

- 投资部分 investment component
  - ✓ 适用行业贷款的环评要求 apply EA requirements for sector loan
- 政策部分 policy-based component
  - ✓ 适用规划贷款的环评要求 apply EA requirements for program loan

# 金融中介机构贷款及股权投资环评要求

## Financial Intermediation Loans and Equity Investments

### 股权投资 Equity investment

- 环境管理体系 ( 政策、 审查程序、 能力、 报告、 监测安排 ) Environmental Management System (policy, review procedure, capacity, reporting and monitoring arrangement)

### 信用额度贷款 Credit line

- 环境管理体系 ( EMS和不同子项目 ) Environmental Management System (focus on EMS and subprojects)

# 金融中介机构贷款及股权投资

## Financial Intermediation Loans or Equity Investments

环境管理体系 Environmental Management System (EMS)

- 环境政策 environmental policy
- 环境管理能力 environmental management capacity
- 各子项目（信用额度贷款）环境评价及审查程序  
environmental assessment and review procedures  
for subprojects (credit lines)
- 投资记录的环境履行状况的监测 environmental  
performance monitoring of investment portfolio
- 子项目实施状况及环境管理体系履行状况的报告  
reporting on performance of subproject portfolio  
and on EMS



# 贷款协议 Loan Agreements

- 环境要求，包括环境管理计划  
environmental requirements, including EMPs
- 行业贷款和FI贷款的环评审查程序/环境管理体系  
EARP/EMS for sector & FI loans
- 若贷款谈判结束前IEE或EIA仍未获得政府批准，需要在贷款协议中约定  
government clearance of IEE or EIA if not issued before loan negotiations
- 贷款批准前如果所建设施位置仍未确定，需要采取相应的环评程序（特别研究以及应对措施）  
EA process to be adopted (special studies & mitigation measures) in case of uncertainties in alignments or location of facilities before loan approval

# 实施要求

## Implementation Requirements

- 借款人每年向ADB提交2次环境管理计划实施计划的报告（A类项目）

borrower submits semi-annual reports to ADB on EMP implementation (cat. A)

- 亚行业务局每年进行一次环境检查

RD to conduct annual review of environmental aspects of project

[RSES对于高环境风险项目进行检查 RSES-conducts safeguard review missions (high-risk projects )]

# 项目完工报告/项目实施年度报告 PCR/PPAR Preparation

- 评价环境管理计划和贷款契约  
evaluate EMP & loan covenants
- 评估项目执行机构的履行状况  
assess performance of Executing Agency



# 项目实施过程中的内容变更

## Changes in Scope During Implementation

- 需要对重要变更内容进行分类  
major changes in scope require classification
- 适用环评要求  
EA requirements apply
- 相关的变更内容适用120天规则  
120-day rule applies for relevant major changes

我们刚学习了.....

**We have just learned . . .**

- 环评导则 EA guiding principles
- 环评要求 EA requirements . . .
  - 过程 processing
    - ✓ 分类 classification
    - ✓ 公众咨询和信息公开 consultation & disclosure
    - ✓ 不同贷款类别 EA reports for different lending modalities
  - 实施 implementation

# Thank You

For more information, check our  
Environment Web Site

<http://www.adb.org/environment>