

项目周期中管理环境保障性措施 - 9个步骤

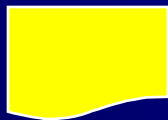
**Managing Environmental Safeguards
in the Projects Cycle — 9 Steps**

ADB Resident Mission in PRC

亚洲开发银行驻中国代表处

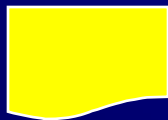
第1步. 初步确认范围及分类

- 向环境专家咨询 – 了解问题，收集信息
- 项目分类
 - 环境分裂表
 - 环评快速核对清单
- 准备环评“工具包”



Step 1. Preliminary Scoping and Classification

- consult with environment specialist – issues and information
- classify project
 - Environmental Classification Form
 - REA Checklist
- prepare safeguard resource tool kit for mission



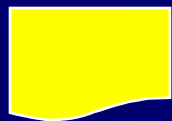
Step 1 What are the benefits?

第一步：作用是什么？

- 环评要求较早识别
EA requirements are identified early
- 合理的咨询预算和人员时间较早安排
realistic budgets for consultants and staff
time are secured early on
- 更为合理的工作任务大纲
better terms of reference for
environmental assessment

第2步. 实地确认范围

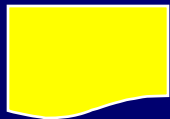
- 考察项目地点 – 不可缺少
- 了解政府有关环评的政策和程序
- 咨询主要的利益相关者
- 评估项目执行机构和环境部门的能力
- 编制最终的环评工作任务大纲



Handouts 2-7: tools for public con. & info. disclosure; guide in costing & allotting time to prepare EA; consultant's expertise; sample TOR

Step 2. Scoping in the Field

- visit project site - indispensable
- understand government's regulations and procedures for environmental assessment
- consult with key stakeholders
- evaluate executing agency's and environment agency's capacity
- formulate final TOR for EA



Handouts 2-7: tools for public con. & info. disclosure; guide in costing & allotting time to prepare EA; consultant's expertise; sample TOR

Step 2 What are the benefits?

第二步：作用是什么？

- 影响的实地了解——对影响较大的项目不可缺少
on-site appreciation of impacts indispensable for high-risk projects
- 环境问题的本地认识——对寻找解决办法很重要
local knowledge on environmental issues crucial to finding solutions
- 实施环境管理计划的机构能力——准备任务大纲和编制管理计划很重要
institutional capacity to implement EMP important in developing EA TOR & EMP
- 及早纠正项目分类——对后续的环境评质量和成败很重要
correcting project classification early crucial to success and quality of subsequent EA work

第3步. 密切监督环评的开展

- 聘请有经验的咨询专家
- 保证环评工作组充分完成了任务工作大纲
- 保证环评工作组和可研工作组成员充分的交流沟通
- 保证环评工作组与环保主管单位以及项目执行单位间的充分沟通

Step 3. Closely Supervise EA study

- recruit skilled consultants
- ensure EA TOR adequately covered by EA team
- ensure adequate interaction between EA team and other members of FS team
- ensure adequate interaction between EA team, environmental authorities, and executing agency

Step 3 What are the benefits?

第三步：有何作用？

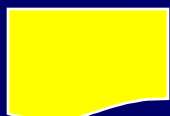
- 尽早识别与项目设计联系的潜在环境问题
early identification of potential environmental problems associated with project design
- 较好的环境设计，满足政府和亚行的环境要求
better environmental design to meet country and ADB environmental requirements
- PPTA报告阶段较少问题
fewer surprises at draft PPTA report stage

第4步. 审查、咨询、反馈环评报告

- 阅读报告
- 核查报告是否满足和论述了环评要求
- 确认借款人就环评初稿向受影响的群体和NGO进行了咨询
- 确认记录了咨询过程
- 确认政府相关部门及亚行审查了报告
(地区业务局和可持续发展局环境社会处)

Step 4. Review, Consult and Provide Feedback on EA report

- read the report
- check that report fulfills and documents EA requirements
- ensure borrower consults affected groups & NGOs on draft EA report
- ensure documentation of consultation process
- ensure government agencies & ADB (RD and RSES) review EA report



Step 4 What are the benefits?

第四步：有何作用？

- 对环评报告的及时全面审查保证能够采取相应的迅速的改进措施

timely & thorough review of EA report ensure immediate corrective measures done

- 与受影响群体背靠背的咨询能够引起信任以及带来项目的所有感和责任感

back-to-back consultation with affected groups generate trust and engender project ownership & accountability

- 相关利益方对于环评报告尽早的共识能够产生一种实施过程中的合力

early consensus by stakeholders on EA report findings could generate implementation synergy

第5步. 政府确认，公布报告

- 建议借款人寻求环保部门的确认，在向公众公布前签署信息披露手续
advise borrower to seek clearance from environmental agency, and issue disclosure clearance prior to public release
- 董事会批复前120天公布环评摘要报告（A类和B类显著）
circulate summary EIA report 120 days prior to Board approval (cat A & B(s))
- 确认IEE摘要包括在行长报告里（B类）
ensure summary IEE report included in RRP (cat B)



Step 5 What are the benefits?

第五步：有何作用？

- 环保部门对环评报告及摘要的确认，提示与政府环评要求的合规

environmental agency's clearance of SEIA/EIA indicative of compliance with government EA requirements

- 及时、适当的信息披露保证问题的及早解决，避免具有代价的实施延误

timely and appropriate disclosure of information ensures early resolution of issues avoiding costly implementation delays

第6步. 确认MRM前符合了环评要求，相关问题得到了解决

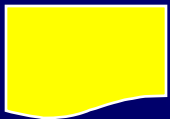
- 在行长报告中叙述环评要求及环境方面的问题
- 如果仍有欠缺，与RSES面对面讨论
- 在问题表中描述问题
- 确认首席合规官关于合规的进度，如果需要，在MRM会议中讨论



Before MRM or PSCCM

Step 6. Ensure EA requirements met and issues resolved prior to MRM

- document EA requirements met and environmental aspects in RRP
- in case of deficiencies (RSES comments on RRP), discuss with RSES face-to-face
- document issues in “Issues Matrix”
- note status of compliance in CCO’s SPC Memo and discuss in MRM, as required



Step 6 What are the benefits?

第六步：有何作用？

- 行长报告里对问题、环保措施、保证措施和其他保障性措施的正确论述对于首席合规检查官的确认，公众接受和董事会的贷款批复都非常重要。

proper documentation of issues, mitigation measures, assurances and other safeguards in RRP- a public document- is crucial to CCO's compliance clearance, public acceptance & loan approval by Board

- 尽早传阅行长报告初稿有利于在MRM前解决问题early circulation of RRP draft for MRM could facilitate resolution of issues before MRM

Safeguard Policy Compliance Memo

Actions to Ensure Compliance

- in some cases additional actions may be necessary to ensure compliance
- common improvements needed
 - documentation of public consultation
 - improvements to environmental management plans
 - revisions to EIAs/IEEs

第7步. 修正环评报告，保证符合要求

- 与借款人就其它修正措施达成一致意见
- 如果有突出问题，要列出，纳入贷款条款，并且在RRP和贷款协议中记述已经同意的修正方案
- 行长报告里包括SIEE，在项目管理纪要里包括环境管理计划
- 确认设计团队的环评工作任务大纲能够在每个合同中都反映环境管理计划的要求

Step 7. Corrective action to ensure compliance

- agree with borrower on additional corrective measures
- list outstanding actions, if any, and translate to loan covenants, and document agreed corrective measures in draft RRP and loan agreements
- include SIEE in RRP, and EMP in PAM
- ensure EA TOR of detailed design team adequate to elaborate EMP and/or EMA requirements for each contract

Step 7 What are the benefits?

- 准备充分的环评设计工作任务大纲很关键，保证EMP的一些建议能够落实到合同及招标文件中
preparing adequate TOR for EA design team is critical in ensuring EMP recommendations translated to contract and tender documents
- 把较为薄弱的保障性措施落实到保证内容或贷款条款将能够确保项目的实施
translating weak safeguards into assurances or covenants could ensure its implementation

第8步 监督和检查设计组的成果

- 确认咨询专家修改了环境管理计划及项目管理纪要
- 审查合同及招标文件中的环境特殊条款
- 如果项目发生重大调整，对所调整的内容进行分类，以满足环评要求

Step 8. Supervise and review design team's outputs

- ensure consultants revise EMP/PAM, as needed
- review adequacy of environmental specs in contract and tender documents
- if major change in scope, classify **change** to meet EA requirements

Step 8 What are the benefits?

- 合同和招标文件中环境管理计划和环境核查的充分结合对于实施保障性措施很重要
adequate integration of EMP and audit requirements in contract and tender docs crucial to implementation of safeguards
- 如果环评要求在实施阶段得到了严格检查和满足，保障性措施会有助于项目的发展目标
safeguards contribute to development effectiveness if EA requirements rigorously reviewed and met during implementation

第9步: 监测, 报告, 核查, 记录

- 如果出现任何问题或紧急情况, 执行结构或 (监理咨询方) 及时通知到ADB
in case of problems or emergencies - executing agency (or supervision consultants) to notify ADB immediately
- 执行机构向亚行提交半年报
executing agency to submit semi-annual reports (cat. A) to ADB
- 年度实施检查并在BTOR中记录实施的进度
conduct annual review missions and document progress in BTORs
- 核查环境执行情况并在PCR中记录
audit environmental performance and document in PCR

Step 9: Monitor, Report, Audit, and Document

- in case of problems or emergencies - executing agency (or supervision consultants) to notify ADB immediately
- executing agency to submit semi-annual reports (cat. A) to ADB
- conduct annual review missions and document progress in BTORs
- audit environmental performance and document in PCR

Step 9 What are the benefits?

- 在实施过程中提高警觉很重要，当问题出现时，需要修正性的措施以保证贷款条款的履行
increased vigilance is critical during implementation when problems arise – corrective action may be necessary to ensure compliance with loan covenants
- 实施阶段合适的监测，及时的报告及核查是对环境风险绝对必要的保障
proper monitoring, timely reporting and auditing are indispensable safeguards to environmental risks during implementation

确保有效实施环境保障性措施的最佳实践

Best practices to ensure effective environmental safeguards

- 了解本国的环保要求并把这些要求纳入环境管理计划
 - 环境评价
 - 环境监测
 - 环境执法
- understand country's environmental requirements and combine them into EMP
 - EA
 - environmental monitoring
 - environmental enforcement

确保有效实施环境保障性措施的最佳实践

Best practices to ensure effective environmental safeguards

- 强调EA在实施期执行EMP的承诺
emphasize ex. agency's commitment to carrying out EMP during implementation
 - 确保EA在早期阶段就知会受影响人群和NGO
ensure ex. agency inform and consult affected people and NGOs in early stage
 - 如果有需求，加强机构能力
address need to strengthen institutional capacity, where required
 - 与政府部门交流环评和EMP以寻求切合实际的解决方法
share EA and EMP with government and other agencies for realistic solutions

确保有效实施环境保障性措施的最佳实践

Best practices to ensure effective environmental safeguards

- 保证足够的资源（预算、时间）
make available sufficient resources (budget & time) for EA work
- 确保投入及时并且在早期就纳入项目设计
ensure input are timely and integrated early in project design for better results
- 环评组与可研组成员之间的协调会议
coordinate meetings of EA and other FS team members for improved results
- 环评组与执行机构以及环保部门的协调会议
coordinate meetings of EA team, ex. agency, and
environmental authority

确保有效实施环境保障性措施的最佳实践

Best practices to ensure effective environmental safeguards

- 把EMP及环境核查要求纳入合同及招标文件中
translate EMP & audit requirements in contract and tender docs
- 检查合同及招标文件中有关环境的专用条款
review adequacy of contracts and tender docs on environmental specifications
- 确保重大调整符合环评要求
ensure major changes in scope meet EA requirements
- 密切监督保障性措施的实施以求达到项目的目标
closely supervise implementation of safeguards to achieved development impact

Thank you

For detailed guidance

visit our web site:

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