



Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 31-May-2017 | Report No: ISDSA21041



BASIC INFORMATION

A. Basic Project Data

Country Uzbekistan	Project ID P153613	Project Name Livestock Sector Development Project	Parent Project ID (if any)
Region EUROPE AND CENTRAL ASIA	Estimated Appraisal Date 24-Apr-2017	Estimated Board Date 29-Jun-2017	Practice Area (Lead) Agriculture
Financing Instrument Investment Project Financing	Borrower(s) Republic of Uzbekistan	Implementing Agency Rural Restructuring Agency under the Ministry of Agriculture and Water Resources	

Proposed Development Objective(s)

The Project Development Objective (PDO) is to improve livestock productivity and access to market in selected regions.

Components

Public Investment Framework and Public Services
Livestock Value Chain Modernization
Project Coordination, Management and Monitoring and Evaluation

Financing (in USD Million)

Financing Source	Amount
Borrower	33.30
EC: European Commission	16.00
International Bank for Reconstruction and Development	30.00
International Development Association (IDA)	120.00
LOCAL: BENEFICIARIES	37.20
Total Project Cost	236.50

Environmental Assessment Category

B - Partial Assessment



Decision

The review did authorize the preparation to continue

Other Decision (as needed)

B. Introduction and Context

Country Context

- 1. The government's vision is to transform Uzbekistan into an industrialized middle-income country by 2050.** Uzbekistan is a lower middle-income, energy rich and doubly-landlocked Central Asian country with a population of 31.1 million, the largest in Central Asia. Economic growth has been robust, averaging about eight percent annually since 2000 and contributed to a decline in the poverty rate from 27.5 percent in 2001 to 12.5 percent in 2016.
- 2. Achieving middle income status will require achieving more sustainable and inclusive growth.** This means (i) creating jobs for the half a million youth joining the job market annually and returning migrants; (ii) diversifying the economy to reduce exposure to commodity price shocks and earn foreign exchange; (iii) increasing the efficiency of energy and water use in agriculture and industry; and (iv) ensuring a more equitable distribution of economic opportunities across regions and income groups.
- 3. Transformation of the agro-food sector including through diversification in livestock and horticulture production and processing is a means of addressing these challenges.** The Systematic Country Diagnostic (SCD) identifies the following priorities for supporting economic transformation: (i) private sector growth, (ii) agricultural competitiveness and diversification toward higher value, more job- and less water-intensive crops, and (iii) public service delivery. In this context, the government has requested the Bank to support the development of a private-sector led livestock sector that will contribute to job creation, economic diversification, water-use efficiency and more equitable economic growth.

Sectoral and Institutional Context

- 4. The restructuring of the agricultural sector after the break-up of the Soviet Union resulted in a dual farm structure and dual policy framework.** Larger private farms dominate wheat and cotton, sub-sectors that are highly controlled by the government. Smallholder farmers¹ dominate horticulture and livestock sub-sectors that are much less controlled by the government. There are 4.7 million smallholder farmers with land plots of 0.35-0.5 ha and largely based on household labor. They are not subject to control by the government. While they use less than 15 percent of arable land, their share of livestock production has increased to more than 90 percent of output as they own 80 percent of cattle and 60 percent of poultry.
- 5. Crop output growth has been driven by yield and output price increases in non-cotton crops dominated by smallholder farms.** Agricultural output grew by 8 percent from 2003-2013 with 60 percent of output generated from crop production and 40 percent for livestock. Crop output growth which grew by between 12-30 percent during this period was driven by rising real prices and rising crop yields for non-

¹ Smallholder farmers include informal farming households and legally registered small farming enterprises (*dehkan*)



cotton crops dominated by smallholder farmers. Livestock output growth from 2003 to 2013² was largely driven by a rise in the number of cattle and sheep/goats which increased by 63 percent and 60 percent respectively during this period rather than increased productivity. Milk and meat yields only increased slightly during this period.

6. **Cotton and wheat production quotas restrict fodder production and constrain livestock productivity.** Cotton and wheat dominated by private farms represent 70 percent of the cultivated land but less than 20 percent of agricultural output. Fodder represents only five percent of private farm land use and there is inadequate supply of fodder. Since 2006, private livestock farms with at least 30 heads of animal unit cattle have been allocated an additional 0.45 ha of arable land per animal head for fodder production. In 2015 the government reallocated 170,000 ha of cotton/wheat land to other crops including fodder production to help address the lack of fodder.

7. **The geographic distribution of a diverse range of livestock production systems is largely determined by proximity to population centers and agro-ecological zones.** Dairy production is concentrated in irrigated areas closest to urban centers and beef production is mostly concentrated in low mountain pastures. Small ruminants which produce meat, as well as skins and wool, are raised in semi-arid and desert locations in the west. Small family poultry production is observed countrywide but medium- and large-scale industrial poultry production units are developing near urban centers.

8. **While not unique to the livestock sector³, foreign exchange convertibility, access to cash, and regulation of private investment are key challenges to investment.** Access to finance is an over-arching constraint at both producer and processor level. The underlying causes of weak access to finance lie in: (i) the macro-economy and cross-sectoral investment climate, (ii) the financial sector which is under-capitalized, has inadequate liquidity and is insufficiently independent; and (iii) the agricultural sector where production risks are perceived as being high, transaction costs of lending to small livestock producers are high, collateral is insufficient and supply chain finance is inadequate. High demand for credit suggests that the credit market is constrained on the supply side not on the demand side.

9. **Low productivity in the livestock sector is constrained by a combination of factors including animal health, animal feeding and genetics.** Animal health is constrained by weaknesses in public and private veterinary services and exacerbated by poor animal feeding. Animal feeding is constrained by limited land availability for fodder and the abandonment of cotton/ fodder crop rotations, degradation of pastures and the limited availability of concentrate feed. Animal genetics which is constrained by weak breeding at farm level, inadequate artificial insemination infrastructure and the loss of local genetics adapted to Uzbekistan's climate. Government efforts to address some of these constraints have included tax exemptions, input subsidies, additional veterinary services and lower interest loans for purchase of livestock.

10. **Value addition in the livestock sector is constrained by trade policies, high transaction costs of dealing with smallholder farmers and inadequate food safety compliance.** Value addition through processing is constrained by export restrictions for poultry and meat. These are aimed at improving self-sufficiency but create disincentives to exporters. Recent reforms including more flexible export/import licensing have started to address this constraint. A further constraint is high transaction costs to processors dealing with a large number of small producers. This is due to limited farmer-farmer and farmer-buyer cooperation, inadequate marketing infrastructure and limited supply chain finance to

² Output growth was 71 percent for milk, 54 percent for beef, 101 percent for lamb

³ Uzbekistan Systematic Country Diagnostic 2016



producers. Finally, food safety compliance in agro-processing is inadequate and undermines competitiveness in both high-end urban domestic markets and export markets.

C. Proposed Development Objective(s)

Development Objective(s) (From PAD)

11. The Project Development Objective (PDO) is to improve livestock productivity and access to market in selected regions.

Project Beneficiaries

12. **The primary project beneficiaries are smallholder farmers (farming households and *dehkan*) and private farms and firms engaged in livestock production and processing.** In the public sector, the Project will support institutional strengthening of the Ministry of Agriculture and Water Resources (MAWR), the Livestock, Poultry and Fishery State Research Institute and the State Veterinary Services. Secondary beneficiaries anticipated to benefit include: (i) participating financial institutions (PFIs) through improved skills and financial products; (ii) all livestock producers through training and dissemination of modern technologies and husbandry practices, access to better animal health and advisory services; and (iii) the general public and consumers through improved zoonotic disease control, food safety and quality of animal products.

13. **The project will pay particular attention to the inclusion of smallholder farmers into modern value chains.** Livestock production is a major livelihood support system and a social safety net for 49 percent of the population or 15.3 million people who live in rural areas. Therefore, modernizing livestock value chains will also provide job opportunities in rural areas where most of the bottom 40 percent of the income distribution live. Organizing smallholder farmers and aggregating their production through contractual arrangements with large private farms and agro-processors will facilitate access to markets for many of these rural households.

14. **Integrating smallholder farms into modern supply chains will increase job and income opportunities for women.** Gender disparities of labor remain significant across various sectors in Uzbekistan. The participation of women in agriculture has increased consistently and currently equals that of men.⁴ Women are increasingly expressing strong interest in horticulture and livestock, which offer reliable and substantial income opportunities. Production activities such as poultry and dairy are financially beneficial and socially acceptable for women (other activities in the agriculture are often deemed difficult and inappropriate for women).

PDO-Level Results Indicators

15. **Achievement of the PDO will be assessed by measuring the increase in productivity and sales for selected dairy and cattle production systems.** The Project is expected to generate a 15 percent increase in productivity and in sales for direct Project beneficiaries. As part of Citizen Engagement, a PDO-level indicator will monitor beneficiaries' satisfaction with the process of engagement in Project activities.

⁴ State committee on statistics. From the World Bank's Diagnostic Study of Barriers for Strengthening Livelihood of Low-Income Rural Women in Uzbekistan.



The Project is expected to generate climate change co-benefits and the intermediate indicators will monitor the percentage of sub-loans, as well as Grant-funded research programs and productive partnerships, that include climate change mitigation and adaptation activities. Through lending to agro-processors, private farms and groups of smallholder farmers, the Project is expected to reach out to an estimated number of 35,000 direct and indirect livestock sector beneficiaries.

D. Project Description

16. **The Project design includes two components that address the constraints to livestock sector development and a Project management component.**

17. **Component 1 – Public Investment Framework and Public Services will include:** (1) Sub-Component 1.1 – Strategy, Policy and Public Investment Framework that will finance technical assistance for: (i) the preparation of a sector modernization strategy and investment plan, including required climate change mitigation and adaptation policy incentives and investments; (ii) capacity strengthening of MAWR staff for sector analyses and policy formulation; (iii) establishment of a platform for public-private policy dialogue; and (iv) studies on the regulatory framework and market analyses; (2) Sub-Component 1.2 – Strengthening Livestock Sector Public Services that will support Veterinary Services improvement, fodder seed improvement and technology generation and dissemination activities.

18. **Component 2 – Livestock Value Chain Modernization** will address access to market and access to finance constraints including through: (i) providing access to finance from participating financial institutions (PFIs) through a credit line; and (ii) Value Chain Development (VCD) sub-projects that build productive partnerships between value chain actors. This component will have a strong emphasis on supporting the integration of small producers into value chains.

19. **Sub-Component 2.1 – Credit line for Private Investments.** The Project will address the lack of long-term financing for the livestock sector by providing funding with a maturity of up to 20 years to the banking sector to be revolved in the PFIs. The component will finance: (i) a credit line to PFIs for provision of working capital and investment finance to the livestock sector nationwide (*inter alia*, for farming, marketing, distribution and processing); (ii) training and technical assistance for PFIs on sector-specific loan product development, loan appraisal and monitoring in the livestock sector. The Project will give priority to investments that provide climate change co-benefits and at least 50 percent of sub-loans should include climate change mitigation (animal waste management, bio-digesters, pasture management, energy saving, etc.) or adaption activities (drought and heat resistant fodder crop varieties and breeds, water savings, renewable energy, etc.).

20. **Sub-Component 2.2 – Value Chain Development and Smallholder Market Inclusion** will finance: (i) technical assistance for facilitating the establishment of productive partnerships between value chain actors (producers, buyers, service providers); (ii) VCD sub-project preparation, supervision, monitoring and evaluation; and (iii) grants for VCD sub-project investments. Principles for sub-projects will be that they: (i) link small producers to buyers; (ii) comprehensively address constraints along value chains; (iii) are market-led and based around commercial opportunities; (iv) finance primarily public goods (such as collective equipment for farmers' cooperatives; purely individual private goods would be financed from participants' equity or the credit line under sub-component 2.1) and include emission reduction and climate smart investments.

21. **Component 3 – Project Coordination, Management and Monitoring and Evaluation** will finance:



(i) Project management, including coordination and supervision of the implementation, financial management, procurement, monitoring and evaluation and Grievance Redress Mechanism; (ii) impact assessments at mid-term review and before project closure; and (iii) training of Project beneficiaries on safeguards requirements and awareness raising campaigns on labor practices in agriculture.

E. Implementation

Institutional and Implementation Arrangements

22. **Project Management will be under the responsibility of the Rural Restructuring Agency (RRA), MAWR’s specialized agency which has extensive experience in implementing donor-funded projects.** It has implemented the Bank-funded RESP I and II in the past, and is currently implementing the HDP, with proven capacity to comply with World Bank fiduciary and safeguards policies. The RRA will recruit a fully dedicated team comprising of a coordinator, fiduciary and legal staff, and technical specialists, environmental and social safeguards, and monitoring and evaluation (M&E) specialists. The Agency will establish regional branches to ensure closer supervision of Project’s implementation on the ground. PFIs will be responsible for the implementation of the Credit Line and will be selected on the basis of due diligence to be carried out by international consultants in collaboration with the RRA. Selection of recipients for the Credit Line, appraisal of sub-projects and execution of disbursement of loans will be the responsibility of the PFIs, and will be reviewed by the RRA and the Bank. The Project Operational Manual (POM), to be prepared by Project effectiveness, will include: (i) the Project’s overall operating and decision making procedures; (ii) the financial management and procurement procedures; (ii) results monitoring arrangements and reporting requirements; (iii) a Credit Line Investment Guidelines; and (iv) a Grant Operational Manual.

F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)

The Project will be nationwide and the credit line available through commercial banks in all regions.

G. Environmental and Social Safeguards Specialists on the Team

Arcadii Capcelea, Ekaterina Romanova

SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	Project activities might generate environmental impacts that are common for agricultural production



		and can be easily mitigated by applying best construction, agro-processing practices and relevant protective measures. Adverse environmental impacts may range from pollution due to civil works, to water pollution and threats to human health due to improper agricultural practices and management of agro- and animal health chemicals. At the same time, improved fodder, animal health and livestock production can reduce the cost of various negative externalities including desertification of arid areas, GHG emissions, and zoonotic disease incidence.
Natural Habitats OP/BP 4.04	No	Project activities will not have adverse impact on Natural Habitats. On the contrary, increased productivity could lead to a reduction in the number of animals then releasing pressure on natural pastures.
Forests OP/BP 4.36	No	The Project will be implemented in non-afforested areas and thus no impacts on the forests status are expected.
Pest Management OP 4.09	Yes	Although the Project will not support purchasing and use of mineral fertilizers and pesticides, farmers routinely use them for animal fodder production and parasite treatment. The Project will promote their safe use and management through public awareness and training for farmers.
Physical Cultural Resources OP/BP 4.11	No	Rehabilitation works (vet labs) and construction (agro-processing enterprises) with any impact of physical cultural resources will be excluded from the Project financing.
Indigenous Peoples OP/BP 4.10	No	N/A
Involuntary Resettlement OP/BP 4.12	No	No temporary or permanent land acquisition, physical or economic resettlement will take place under the Project. In cases where land is necessary for pasture or fodder production, the following criteria will be applied for sourcing additional land: (i) farmers' own land and (ii) hokimiyat's reserve land fund. Rehabilitation or construction of laboratories will take place within the existing floorplans. Sub-projects that may cause resettlement impact will not be considered for a credit line. Resettlement screening procedures are described in the ESMF. The screening allows to ensure that the land is not acquired involuntary and is free of users, tenants or squatters. Additionally, a new GoU's resolution is under preparation to



specifically re-assign land to livestock and fodder production. This refers to state-owned land and state-determined classification for the type of land use. If this initiative is carried out, the Project may utilize this land for smallholder farmers. The screening procedure will review that the land is not acquired involuntary.

Safety of Dams OP/BP 4.37	No	N/A
Projects on International Waterways OP/BP 7.50	No	The Project will not finance irrigational sub-projects which can impact the international waterways, as well as any sub-projects which can discharge sewage directly to the international waterways. The fish breeding sub-projects that might be financed by the Project will be located exclusively located on internal lakes, ponds and water courses, - this is one condition for their eligibility under the credit line.
Projects in Disputed Areas OP/BP 7.60	No	N/A

KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The proposed Project activities (upgrading/ construction of veterinary analytical laboratories; investments in improving the animal heard; purchasing of inputs and machinery for fodder and feed production; animal shelter improvement; etc.) as well as sub-projects to be financed under Component 2 (agro- and livestock processing; milk collection and purchasing cooling equipment; poultry; renewable energy activities; biogas installations; etc.) might generate a series of various environmental and social impacts. These impacts would be associated with the following: (a) increased pollution with wastes, noise, dust, and air pollution, health hazards and labor safety issues, etc., due to civil works; (b) increased ground and surface waters pollution due to use of agro-chemicals and silage production; (c) threats to human health and wildlife due to improper handling of treated seeds, fertilizers and pesticides, and due to inappropriate management and disposal of livestock vaccines and other drugs; etc. All of them are expected to be typical for agricultural production, small scale construction/rehabilitation works, or for various livestock processing activities, temporary by nature and site specific, and can be easily mitigated by applying best construction and/or agro-processing practices and relevant mitigation measures. At the same time, improved fodder and livestock production, as well as improved veterinary services, can reduce the cost of various negative externalities including desertification of arid areas, GHG emissions, and zoonotic disease incidence.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

In recent years, there have been concerns raised vis-à-vis labor practices in the agricultural sector, particularly in the cotton sector, in Uzbekistan. The 2016 cotton harvest monitoring carried out by the International Labor Organization (ILO) concluded that child labor had been almost eradicated and become socially unacceptable. However, the risk of



forced labor remains in a context of large scale mobilization of cotton pickers. The GoU is therefore pursuing a number of measures to eliminate forced labor. This includes diversification in less labor intensive agricultural production. The Project will support this objective by increasing the number of farms raising small and large livestock in view of increasing and diversifying rural incomes, as well as creating job opportunities in the agro-processing industry. The Project also includes awareness raising and training of beneficiaries on the applicable legislation and regulation on child and forced labor. The different production and processing segments of the livestock industry do not require large number of workers and large scale mobilization of labor has not been observed in the livestock sector. To mitigate any residual risk in the case, for instance, of private livestock farms also engaged in cotton production and willing to borrow from the Credit Line, the Project will participate in the Third-Party Monitoring carried-out annually for Bank-funded projects

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

N/A

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

The ESMF, prepared by the Borrower, provides guidance on the followings: (a) the national and WB safeguards rules and procedures; (b) environmental and social impacts associated with the proposed investments and generic mitigation measures; (c) guidelines on conducting sub projects environmental screening, as well as EIA, including mitigation measures and monitoring activities for different types of activities; (d) roles and responsibilities in EA process and in supervision and reporting; (e) ESMP and ESMP Checklist to be applied within the EA process; and (f) capacity building activities to ensure an efficient ESMF implementation. The project TA activities will include training, preparing and disseminating guidebooks and implementing demonstrational activities on the following: (i) education of veterinary specialists on managing sector environmental and social impacts; (ii); sound manure management; (iii) practicing silage production and measures to ensure appropriate handling and disposal of the silage waste; and (iv) promoting Integrated Pest Management while producing fodder and safety issues during usage of acaricides in livestock production; and (v) training for PFIs in conducting sub-project EA.

The RRA has prior extensive experience in implementing Bank-financed projects and its safeguards monitoring performance has been satisfactory. The RRA will assess project proposals, confirming the Safeguards Category and type of EA to be conducted for Project activities and sub-projects proposed for financing by the PFIs. It will complete the Environmental Screening Checklist before final decision on Project's financing. During sub-project appraisal, the RRA jointly with the PFIs will ensure that proposed sub-projects are in compliance with all environmental laws and standards, as certified by the relevant local or national authorities, and the Environmental Guidelines. It will ensure close supervision and monitoring of sub-projects' execution, including undertaking regular field visits. In case of non-compliance with expected mitigation measures during Project implementation, the RRA can take the decision to suspend funding. The institutional capacity assessment has shown that the RRA has basic capacities to perform its duties concerning EA, social management and enforcing the ESMF provisions. Due to the additional workload, the RRA will however recruit an additional environmental specialist and a social specialist fully dedicated to the Project.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The main project stakeholders are smallholder farmers (farming households and dehkan), private farms and firms engaged in livestock production and processing. In the public sector, the Project involves the Ministry of Agriculture and Water Resources (MAWR), the Livestock, Poultry and Fishery State Research Institute and the State Veterinary Services. Project stakeholders also include participating financial institutions and the general public and consumers



who will indirectly benefit from improved zoonotic disease control, food safety and quality of animal products.

The Project's ESMF was submitted for public consultation on March 27, 2017 and disclosed in-country on April 10, 2017, and at the Bank's InfoShop on April 11, 2017. The Project will also deliver training, disseminate guidebooks and organize demonstrations on: (i) education of veterinary specialists on managing environmental and social impacts; (ii) sound manure management; (iii) silage production and measures to ensure appropriate handling and disposal of silage waste; (iv) promoting Integrated Pest Management while producing fodder and safety issues during usage of acaricides in livestock production; and (v) training for PFIs in conducting subprojects environmental assessment.

As part of Citizen Engagement, the Project will more broadly engage beneficiaries through: (i) policy dialogue among stakeholders engaged and interested in the livestock production under Component 1; (ii) feedback from Project beneficiaries on market constrains, extension services, knowledge gaps, and trainings provided under Component 2. Citizen Engagement activities will be complemented by awareness raising activities and information campaign directed to small producers to ensure they know how to benefit from Project activities. A Grievance Redress Mechanism will cover all aspects of Project implementation and will be available to direct and indirect Project beneficiaries.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other		
Date of receipt by the Bank	Date of submission to InfoShop	For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors
10-Apr-2017	11-Apr-2017	

"In country" Disclosure
Uzbekistan
10-Apr-2017
Comments

Pest Management Plan		
Was the document disclosed prior to appraisal?	Date of receipt by the Bank	Date of submission to InfoShop
Yes	11-Apr-2017	11-Apr-2017

"In country" Disclosure
Uzbekistan
10-Apr-2017
Comments



If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.

If in-country disclosure of any of the above documents is not expected, please explain why:

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?

Yes

If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?

Yes

Are the cost and the accountabilities for the EMP incorporated in the credit/loan?

Yes

OP 4.09 - Pest Management

Does the EA adequately address the pest management issues?

Yes

Is a separate PMP required?

No

If yes, has the PMP been reviewed and approved by a safeguards specialist or PM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?

NA

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank's Infoshop?

Yes

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?

Yes



All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?

Yes

Have costs related to safeguard policy measures been included in the project cost?

Yes

Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?

Yes

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?

Yes

CONTACT POINT

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Implementing Agencies

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APPROVAL

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Approved By

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Note to Task Teams: End of system generated content, document is editable from here.