Concept Environmental and Social Review Summary
Concept Stage
(ESRS Concept Stage)

Date Prepared/Updated: 10/17/2019 | Report No: ESRSC00737

BASIC INFORMATION

A. Basic Project Data

Country	Region	Project ID	Parent Project ID (if any)
India	SOUTH ASIA	P163328	
Project Name	Himachal Pradesh State Roads Transformation Program		
Practice Area (Lead)	Financing Instrument	Estimated Appraisal Date	Estimated Board Date
Transport	Investment Project Financing	1/20/2020	1/30/2020
Borrower(s)	Implementing Agency(ies)		
Government of Himachal Pradesh	Himachal Pradesh Road & Other Infrastructure Development Corporation		

Proposed Development Objective(s)

13. The proposed PDO is to strengthen state level transportation institutions and enhance safety and resilience of state roads in Himachal Pradesh, whilst developing the logistics system for horticulture and overall economic development.

Financing (in USD Million)	Amount
Total Project Cost	**132.00**

B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?

No

C. Summary Description of Proposed Project [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]

The PDO will be supported by: (i) strengthening road transport Institutions, intended to address the inefficiency of the maintenance operation, through commercialization of the direct labor, promoting innovative performance-based maintenance contracting; enhancing the governance and vehicle administration capacity of the Department of Transportation; establishing dedicated maintenance financing scheme; mainstreaming resilience in the Himalayan mountains roads, by developing policy framework for enhancing resilience, applying bio-engineering solutions along all the state roads and strengthening the environmental and social management capacity; (ii) developing logistics

system for horticulture and overall economic development, including field testing on selected fruit bellts; (iii) enhancing Road Safety by promoting the safe corridor initiative (support highway patrol, establishing emergency response posts, post-crash care and improve safety features, and promoting the safe system focusing on enforcement.

D. Environmental and Social Overview

D.1. Project location(s) and salient characteristics relevant to the ES assessment [geographic, environmental, social]

Environment. The project is located in Himachal Pradesh, hilly mountainous state, in northern India. The state has four agro-climatic zones: Shiwalik Hills (relatively lower altitude but steep slopes), Mid-Hills, High Hills, and (high altitude) Cold Dry zones. About 90 percent of the population of the state (6.8 million as per the 2011 census) is concentrated in the mid-hills and the Shiwaliks zones, which also encompass majority of the forests, natural habitats, and economic infrastructure. Most of the project roads, in several tranches, are expected to be in these two zones. Currently, locations of 5 road segments, totaling 128km to be taken up in Tranche I is known. These 5 segments are located in four districts of Kullu, Solan, Bilashpur, and Mandi. These 4 districts have 14 protected areas (national parks, wildlife sanctuaries, conservation reserves), 10 archaeological and historical sites and monuments (of national and state importance) of the total notified 32 protected areas and 45 archaeological and historical monuments/sites in the state. The protected areas are also home to wide varieties of flora and fauna found in the state. The districts of Kullu and Mandi has six major lakes/reservoirs are important for maintaining water budget for the state. The hilly terrain, numerous water channels, rivulets, and rivers, high forest cover, dependence of people and communities on timber and non-timber forest products, and the significant endowment of the biological resources including several protected areas will mean that the sites and surroundings of the road segments included for financing in the Project are complex and highly sensitive; and will therefore require careful planning and selection of most appropriate designs.

The total population of Himachal Pradesh is 6.8 million, comprising 50.72% males and 49.28% females (Census 2011); nearly 90% live in rural areas. Agriculture is the main occupation and average holding size is about 1.00 ha; distribution of land holdings indicates that 87.95% are small and marginal farmers. Most rural families access off farm incomes to supplement the shortfall from agriculture as the viability of holdings is becoming more critical. SCs and STs constitute nearly 30% of the population. Scheduled tribe constitutes 5.71% of the population; three major tribal areas being Chamba, Kinnaur and Lahaul-Spiti districts. Project locations identified thus far indicate at least three roads in Chamba district. In terms of workforce participation, females constitute 44.82% of the total workforce; also, number of women who had control over use of land resources was more, because men stayed away from the villages for their livelihoods. Built up areas in many of these identified corridors, routine usage of migrant labor in construction activities, construction stage issues and impacts etc. are some relevant aspects that would need to be considered as part of ESA.

D. 2. Borrower’s Institutional Capacity

Himachal Pradesh Road Infrastructure Development Corporation (HPRIDC) will implement the project and will delegate contract execution responsibilities to the field divisions (PIUs) of the HP State PWD. Both HPRIDC and PWD were responsible for a previous Bank-financed project: the Himachal Pradesh State Road Project (P096019), an Environmental Category A project, completed in FY17. At close, the Himachal Pradesh State Road Project (HPSR Project) was seen to be successful, although at the start of implementation it faced several difficulties, including from

a lack of attention to management of environmental and ecological impacts. Gradually during implementation, HPRIDC and PWD resolved numerous environmental issues, adopted good practices, and created substantial new knowledge, techniques, and demonstrations of bio-engineering models for protection of roads, roadside cut slopes, slides and slips. The HPSR Project also helped HPRIDC in obtaining ISO 9001:2008 Quality Management, and ISO 14001:2004 Environment Management Certifications; training and capacity building on environmental management; complete a preparation of a manual on bio-engineering techniques for road sector development. A unit was created within HPRIDC for managing implementation of Environmental and Social safeguards in HPSR Project, headed by an Executive Engineer and supported by a core team of safeguards officers (at the level of assistance engineers). This Environment and Social Unit continues after closure of the HPSR Project; and continues to support the PWD in implementing bioengineering techniques in other PWD roads (note that bioengineering has become integral part of road works by various field divisions of PWD), and this Unit will now be responsible for supporting management of environmental and social risks and impacts of the proposed project. Additionally, the field divisions of the PWD (PIUs) have also gained some experience and capacity (mainly in bioengineering, but also on ways to adjust designs and alignments to avoid environmental and biodiversity risks), and in implementation of mitigation construction-related pollution risks.

In the previous project, environmental and social impacts were generally well managed, and a few minor or moderate problems were effectively dealt with. Given past experience of implementation, and resources devoted in building capacity of the HPRIDC and PWD in managing social and environmental risks and impacts, it appears that the implementing agencies have some good capacity to manage the environmental and social risks and impacts in the proposed Project. During preparation, the current status of the staff and other resources, the chances that some capacity created were eroded, and the need for further augmentation will be examined. Some capacity augmentation appropriate to the new dimensions brought in by the ESF will be likely, but more can also be required as per the specific needs of the proposed Project. Such capacity augmentation will be part of the ESA that would be taken up.

HPPWD is responsible for implementing the black-spot improvement activities in the HP road network. Web-based Road Accident Data Management System (RADMS) under HPSRP I, whose findings were translated into action in three pilot districts and resulted in reduction of crash accidents by 67.5 percent due to the upgradation of the roads to double/intermediate lane roads, improved maintenance, awareness, black spot identification. It should be noted that on road safety, the capacity augmentation will not be limited to the safeguards staff and units only, the proposed Project will enhance the capacity of the entire PWD to reduce road safety risks.

II. SCREENING OF POTENTIAL ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC) High

Environmental Risk Rating High

The expected environmental issues likely to be encountered in the Project are mostly due to sensitive environmental settings of the project roads and will have to be managed by careful planning and designs. Other likely potential risks and impacts are similar to the ones anticipated for large scale construction works and from associated facilities that include: water and soil contamination from wastewater generated from construction/workers camps; spillage and handlings of chemical and hazardous materials; damage to vegetation; clogging of waterways; potential inducement

of landslides, landslips, erosion from cut faces of hill slopes; disposal of spoils from hill cutting and tunneling; air pollution due to fugitive dust from hill cutting and earthwork, and emission from operation of vehicle, equipment and plants; cutting of trees for widening of road; reduction of natural resources base and degradation due to extraction/quarrying; land degradation from project induced development; change in aesthetic of landscape; impacts on archaeological and historical sites/assets, culturally and socially important common properties, religious properties/sites, sacred groves on or near the project roads; distress of public/community due disruption of utility services; and likely direct, indirect and induced impacts on ecological functions of forests, other natural habitats including protected areas.
At the time of project appraisal, Risk rating will be revisited based on identified risks and impacts.

Social Risk Rating High

At this preliminary stage, social risks include, inadequate coordination between concerned agencies on land acquisition and resettlement, lack of dedicated personnel dealing with social aspects within HPRIDC and PIUs; mismatches between road design drawings and revenue maps, changes of alignments, delays in negotiations for direct purchase and disbursements. Vulnerable and disadvantaged individuals and groups more likely to be adversely affected number of risks and impacts could arise from associated facilities, and large-scale construction works. About two-thirds of the proposed 2000 km in the project will be maintenance works, curve improvement/black spots correction, these sub-projects will involve nil or minimal land acquisition impacts. while the remaining one-third of the roads are upgradation of existing roads and mostly two lanes. Thus, land acquisition requirements may not be high and people may lose only small proportion of lands. Further roads selected in tribal areas constitute approximately 7% of the total road length under the project and may involve maintenance works only. In such areas, FPIC would be undertaken in case of impacts involving impacts on land, livelihood, cultural heritage besides in cases requiring relocation and in case FPIC cannot be ascertained, the project will not proceed with those sub-projects/activities. Social impacts likely include those on land, private and community owned assets including structures, trees and crops within existing and proposed ROW is likely. Physical and economic displacement too is very likely. Besides such projects impacts on general population, vulnerable and disadvantage individuals too could be present in the project area and these shall be brought by the ESA and corridor specific ESIAs. Management of these risks would be undertaken through principle of 'mitigation hierarchy'. As migrant labor is common feature in construction works in Himachal Pradesh, labor influx and Gender based violence (GBV) issues too would be assessed covered as part of ESA.

At the time of project appraisal, Risk rating will be revisited based on identified risks and impacts.

B. Environment and Social Standards (ESSs) that Apply to the Activities Being Considered

B.1. General Assessment

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

Overview of the relevance of the Standard for the Project:

It could be anticipated that the proposed Project will have risks and impacts similar to what was found in the earlier HPSR project (and was eventually managed by HPRIDC and PWD), given that the geographical and environmental settings are similar, and the road augmentation works, at least in Tranche I, is expected to be similar. In fact, the planning, alignments and designs of roads to be taken up in the proposed project could be expected to be more

sensitive to environmental and social issues, given the added emphasis on safety, resilience and sustainability as core values to be promoted in the Project (reflected in the PDO, and specifically added as project components and subcomponents).

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With respect to road safety, the Project itself (as described in Components 1 and 3) will aim to improve from the baseline conditions adversely affecting traffic and road safety. The project aims for environmentally and socially sound and sustainable development. The principle of 'mitigation hierarchy' will be adopted for developing management tools like Environmental and Social Assessment (ESA), Environment and Social Management Plan (ESMP), and Biodiversity Management Plan etc., to address environmental risks and impacts during planning, design and implementation stages.

In addition to serving demand of transportation from various evolving sectors of economy, the project itself might induce development at transport nodes and along the project roads, which in turn may have induced impacts on forests, biodiversity, and ambient environment. A number of WBG financed projects are either ongoing in the state or are expected. Further, many other projects financed by the State/Union Government, as well as other multilaterals, national level developmental banks and financial institutions, or private sector is also going on and are expected in the same geographical areas (Shivaliks and Middle-Hills zones). During preparation, an examination of the different plans of the State Government will be undertaken, to determine whether the Environmental Master Plan (also supported by another WBG operation) is adequate to deal with the cumulative impacts and risks, or augmentation would be required or not. If required after such an examination, a standalone cumulative impact assessment may also be required.

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Areas where "Use of Borrower Framework" is being considered:

The borrower/government has not proposed for adoption of borrower's E&S Framework to address environmental risks and impacts of the project. The project will comply with the Bank's new Environmental and Social Framework and its Environmental and Social Standards.

As Government of Himachal Pradesh has notified rules for the new LA Act (RFCTLARRA, 2013), as part of preparation, the provisions of state rules will be assessed in relation to ESS 5 requirements and additional measures will be proposed where required

The Project, however, is subject to the national, state and local permits and clearances as per the existing legal-institutional framework. These permits and clearances will be obtained prior to approval, and the exact requirements to obtain such permits and clearances will be recorded in the ESCP.

ESS10 Stakeholder Engagement and Information Disclosure

Taking cognizance of elements proposed under the project based on the scope of project design, at this stage the possible stakeholders include: state government departments of forests, horticulture, agriculture, revenue and tourism; direct labor under HPPWD across its four zonal offices; local communities along the roads; civil society organizations; traders, transport operators; road users including users of private and public transport; and people likely to be affected. The exact composition of stakeholders may change depending on final project design. The consultation and disclosure of information with stakeholders will be core during both planning and implementation stages of project. The borrower will prepare Stakeholder Engagement Plan (SEP) during preparation which will be a part of the ESA. Updating of SEP proportionate to the nature and scale of project during implementation will be a condition in ESCP

B.2. Specific Risks and Impacts

A brief description of the potential environmental and social risks and impacts relevant to the Project.

ESS2 Labor and Working Conditions

Project will involve: a) Direct workers (HPRIDC and its many PIUs); b) contracted workers engaged in construction works, consultancy services firms (for developing a e-PMS system, undertaking studies e.g. Road user satisfaction surveys, implementation of Resettlement Action Plan, Indigenous Peoples Development Plan, etc.); c) primary supply workers could include suppliers of equipment necessary for the project functions. Involvement of Community workers is not envisaged at present due to the nature of the project. Construction works in Himachal Pradesh routinely involve migrant workers from other states such as Bihar, West Bengal, Chhattisgarh, etc.
Preparation of ESA will explore the following aspects towards preparation as part of Labor Management Procedures and applicability of labour laws and, non-discrimination and equal opportunity, potential risks of child labor and forced labor, including the workers to be brought to the project by brokers (sub-contractors); grievance mechanism to all workers, occupation health and safety aspects, etc.
This ESS will also cover the reform of HPRIDC and HP Motor Vehicle Administration. Detailed safeguards assessment and mitigation measures will be identified in consultation with GoHP during preparation and documented in the Appraisal Stage ESRS

ESS3 Resource Efficiency and Pollution Prevention and Management

The risks and impacts of the project during preparation and implementation will be managed by adopting a systematic ESA approach. The ESA will be a crucial input to the decision-making processes in the Project to avoid and minimize project's environmental risks and impacts and maximize efficient resource management.
With respect to Resource Efficiency, the project preparation and the ESA process will identify feasible measures for efficient (a) energy use; (b) water usage and management to minimize water usage during construction, conservation measures to offset total construction water demand and maintain balance for demand of water resources; and (c) raw materials use by exploring use of local materials, recycled aggregates, use of innovative technology so as to minimize project's foot prints on finite natural resources.
With respect to Pollution Management, based on past road project experiences, the project will develop, as part of the ESA process, prevention and management measures to offset risks and impacts of pollution from potential sources such as dust and emission from operation of hot-mix and batching plants, crushers, construction and haulage vehicles, material and spoil stockpile; effluents and wastewater from labor camps, construction camp; spillage or leakage during handling of chemical admixtures, hazardous materials like bitumen, high strength diesel, used oil, battery wastes etc.; and disposal of non-hazardous wastes (municipal wastes) generated during project implementation period.
With respect to Carbon Emissions, the ESA will also estimate carbon and GHG emissions due to implementation of project, identify feasible measures for reducing such emissions, creating carbon sink, and climate resilient measures to suite local needs and challenges, and by possible use of alternative technologies.

ESS4 Community Health and Safety

The project will improve the road safety by providing high quality vehicle administration services and supporting critical activities (spot identification and maintenance) that will enhance Road Safety and reduce fatalities in the dangerous mountainous roads that are already a deathtrap. The project roads are all likely to be located in high earthquake zones (Zone IV and Zone V, the severe risk earthquake zones), and in landscapes prone to landslides and slips. The aim to plan, design and implement "resilient" roads is important to ensure safety of communities who are already at high risks of earthquakes, landslides, cloud bursts, erosion and flooding. In addition to the core plans and designs addressing the need to have better resilient roads, the ESA will assess exposure of communities to construction stage related traffic, accident, and, occupational health and safety issues. The accessibility for people with disabilities will be considered in terms of infrastructure design (pedestrian bridges and crossing) and during civil works. This environmental consideration will be proposed in the ESA to incorporate in the design. The ESA will evaluate the residual risks and impacts of the project on health and safety of the communities during project life cycle, and propose mitigation measures in accordance to mitigation hierarchy, such as emergency response measures that will be incorporated in the ESCP. Further, all works, and operations will be planned, designed and implemented to comply with the WBG EHS guidelines.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

Land will be required for widening, upgradation works in identified corridors and possibly for rehabilitation corridor works, curve/geometric improvements, blind spots, etc. Hence impacts on land, private and community owned assets including structures, trees and crops within existing and proposed ROW is likely. Physical and economic displacement too is very likely. HPRIDC proposes to use Direct purchase /Negotiated award method for land taking under this project. During preparation, the approach would be further assessed to better understand the processes and also whether the method meets the requirements of ESS 5. Also, the gap analysis between this method and ESS5 requirements will cover the treatment of non-title holders, such as squatters and encroachers. Besides construction works may cause temporary impacts on access, disruption to livelihoods and services. Commensurate mitigation instruments RPF, ESMF will be prepared and which will guide the preparation of specific RAP, ESMPs and these will be listed in the ESCP

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

The project districts accounts for 22.5 percent of state's geographical area and 33 percent of state's actual forest area. There are 14 protected areas in the districts where the Tranche I roads are located (one national park six wildlife sanctuaries in district Kullu; two wildlife sanctuaries and two conservation reserves in district Solan; one conservation reserve in district Bilashpur; and three wildlife sanctuaries in district Mandi). The biodiversity supported by these protected areas are of high value, from viewpoints of conservation and management of signature species of flora and fauna; and associated ecosystem services. The risks and impacts of the project on biodiversity; access and livelihood of people dependent on these protected areas and other associated ecosystem services will be determined during ESA; and depending on identified significant direct or indirect impacts, appropriate mitigation and /or offset measures will be included in a Biodiversity Management Plan, that will be implemented including as needed being included in ESCP.

ESS7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

Scheduled tribes constitute 5.71% of the population; Major tribal areas in the state are three major tribal districts – Chamba (comprising of 2 blocks of Pangi and Bharmour), Kinnaur and Lahaul Spiti. Ten communities as notified in State's Scheduled Tribes list include: Bhot, Bodh, Gaddi, Gujjar, Jad, Lamba, Khampa, Kanaura (Kinnaura), Lahaula, Pangwala and Swangala. The tribal population of H.P. are divided into three categories as under: a) Scheduled Tribes in Scheduled Areas, b) Modified Area Development Approach (MADA) that cover smaller areas of tribal concentration having 10,000 population in contiguous areas of which 50% or more were tribals; c) Dispersed Tribes Population: covering all tribal living outside the Scheduled Area and Modified Area Development Approach pockets. Project locations identified thus far indicate at least three roads in Chamba district. Commensurate instruments – IPPF (or TPPF) will be developed and subsequently as listed in the ESCP, sub-project specific IPDPs will be developed. Further, Free Prior Informed Consent (FPIC) will be applicable in cases involving impacts on land, livelihood, cultural heritage besides in cases requiring relocation and in case FPIC cannot be ascertained, the project will not proceed with those sub-projects/activities. The same shall be stated in the ESCP.

ESS8 Cultural Heritage

Himachal Pradesh has 45 formally notified (national importance 40, and state importance – 5) cultural property sites that are of archaeological and historical significance. These are in addition to many religious properties and sacred groves that has high social and cultural values to local people. The project preparation will determine the presence of all such cultural areas assets and determine significance of the project's direct or indirect impacts on these. Depending on nature and scale of the risks and impacts of the project, mitigation measures or plan will be prepared as part of the ESMP, and as required will be incorporated in the ESCP.

ESS9 Financial Intermediaries

The project will support innovative financing schemes for state roads development, including PPP concessions for tunneling and promoting PPPs (BOT Toll, Traditional Annuity & Hybrid Annuity, etc.) for operation and maintenance, as well as partially equity for upgrading highly trafficked roads. Although Component IV may generate MFD, the project will be implemented as IPF. The safeguard instrument will set out the procedure for PPPs to assess and manage environmental and social risks and impacts associated with the sub-project it will finance. If FIs will be involved in such concessions, the environmental/social instrument to be prepared/reviewed will be "Environmental and Social Management System (ESMS)" in compliance with ESS9. The same shall be stated in the ESCP. The modality of FI operation in the project is yet to be ascertained. Therefore, the ESS requirement will be revisited during the preparation.

B.3 Other Relevant Project Risks

The project is expected to bring more economical development in the area with the ease of the accessibility. The cumulative impact of the project may be higher than the project itself.
Borrower's capacity particularly in terms of present staffing levels within PIUs and inadequate coordination with revenue departments to determine available ROW, could potentially impact the preparation of accurate Land Acquisition Plans/Schedules, that could in turn impact the preparation of accurate ESAs

C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways	No
OP 7.60 Projects in Disputed Areas	No

III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE

A. Is a common approach being considered? No

Financing Partners

This aspect will be ascertained during the course preparation of this Program

B. Proposed Measures, Actions and Timing (Borrower's commitments)

Actions to be completed prior to Bank Board Approval:

The safeguard instruments listed will have to be available in advanced draft form by appraisal in order to allow for an informed decision at this stage. The borrower need to prepare the following instruments:
a) Environmental and Social Assessment and preparation of E&S risks and impacts management tools for 128km road identified for Tranche-I. The cost of safeguard management will be included in the ESA. Based on ESA, ESMP should be prepared and available by appraisal
b) Resettlement Policy Framework and Indigenous (or Tribal) Peoples Policy Framework (TPPF)
c) Resettlement Action Plan (RAP), Tribal Development Plan (if required) and Labor Management Plan including provisions to manage labor influx and GBV issues, will be prepared for Tranche I roads and would be available by appraisal.
d) Detailed Stakeholder Engagement Plan will be prepared for continuous engagement with stakeholders for preparation and implementation of project. The SEP for project preparation will be reported in ESA report. The updating of SEP. The draft SEP will be completed before project appraisal and updating of SEP during implementation proportionate to the nature and scale of project will be a condition in ESCP.
e) Environmental and Social Commitment Plan will outline the process for conducting ESA (ESMF) for future tranches including the environmental & social screening of 2000 km road. The ESCP will include provisions for managing unanticipated risks and impacts, as the 128km Tranche I roads may not be absolutely adequate to represent all types of risks and impacts that may occur elsewhere (within the future tranches which will be picked up from available set of 2000km of candidate roads). The ESCP will indicate plans and schedules of the future tranches of roads to be financed by the project.

Possible issues to be addressed in the Borrower Environmental and Social Commitment Plan (ESCP):

(a) Processes and timelines for obtaining of requisite various environmental clearances at local, state and national levels for future tranches; and specific timelines for Tranche I if not obtained by Appraisal; (b) scope and content, terms of reference for Biodiversity Management Plan as may be required for future tranches; (c) studies, assessments and plans as may be required for future tranches for management of risks and impacts on cultural assets and

heritage, resource efficiencies, pollution management, institutional capacity strengthening, (d) preparation of ESA, ESMF, RPF, IPPF, RAP and IPDP(if required) for future tranches, and, (e) the implementation and updating of SEP

C. Timing

Tentative target date for preparing the Appraisal Stage ESRS	14-Feb-2020

IV. CONTACT POINTS

World Bank

Contact:	Tesfamichael Nahusenay Mitiku	Title:	Senior Transport Engineer
Telephone No:	5220+30221 /	Email:	tnahusenay@worldbank.org

Borrower/Client/Recipient

Borrower: Government of Himachal Pradesh

Implementing Agency(ies)

Implementing Agency: Himachal Pradesh Road & Other Infrastructure Development Corporation

V. FOR MORE INFORMATION CONTACT

The World Bank
1818 H Street, NW
Washington, D.C. 20433
Telephone: (202) 473-1000
Web: http://www.worldbank.org/projects

VI. APPROVAL

Task Team Leader(s):	Tesfamichael Nahusenay Mitiku
Practice Manager (ENR/Social)	Magda Lovei Recommended on 22-Aug-2019 at 05:29:3 EDT
Safeguards Advisor ESSA	Maged Mahmoud Hamed (SAESSA) Cleared on 17-Oct-2019 at 12:53:14 EDT