1. Country and Sector Background

A. Country Context

1. During the last ten years Government of China (GoC) has made significant efforts to address the disparity between the relatively developed coastal region and the lagging region of western China through implementation of a Western Regional Development Program. Manufacturing industries are increasingly relocating from coastal cities towards the western parts of the country to take advantage of lower labor costs and improved logistical infrastructure. The GDP growth rate in many western provinces has surpassed that of the coastal regions in recent years.

2. In the 12th Five Year Plan (FYP), the GoC further upgraded the Western Regional Development Program as a top priority in its national territorial development strategy. While implementation of the Western development initiative to date has largely focused on promoting the development of large cities (such as Chengdu, Chongqing and Xi’an), the focus under the 12th FYP expanded to include five areas with rich oil and coal resources. Most of these areas still suffer from significant poverty levels, reflecting the inter-regional disparity in the country.
The central government is making efforts to accelerate the process of industrialization, urbanization and urban-rural integration in these areas with a particular emphasis on the central cities and selected towns of medium size.

3. Yan'an Municipality is a growing municipality in a very poor area. The main project area is Baota District (Yan’an city), the largest urban area in Yan’an Municipality in the northern part of Shaanxi Province. Yan’an is a rapidly growing municipality located on the Loess Plateau, administering twelve counties and one urban district, Baota District, a medium-size city. The municipality has a population of about 2.2 million people, of which 0.45 million in Baota District. The Municipality is rich in oil and coal resources, identified as of national strategic importance as an energy production base. Although Yan’an is rich in natural resources and has a GDP per capita which is higher than most areas in Shaanxi Province, 75% of the labor force works in agriculture and is poor. Some urban residents are involved in agriculture as well. The World Bank-financed Poverty V Project identified several of the counties in Yan’an as poverty counties. The average net income in most rural areas of Yan’an Municipality was about Y5,173/capita/yr (US$796) in 2010. This is about US$2.2 per capita per day. There is a need to increase the income of the population in the area, and facilitate a shift from agriculture to the service and industrial sectors.

4. The lack of water is one of the main constraining factors for domestic, industrial and service sector development. Northern China faces water shortages, with the Yellow River basin being particularly challenged in this regard. In addition to the irrigation and domestic water demands in Yan’an municipality, the water-intensive oil and coal industries pose additional challenges. The annual rainfall is only about 480-510 mm. The economy and population of the Yan’an (Baota) city have grown rapidly during the past decade. Water has become the main bottleneck for the continued development of the city. Existing water sources (two smaller rivers – Xichuan River and Yan River) are getting depleted and/or are too polluted to supply reliable water in sufficient quantity to the city. Therefore abstraction of water from the Yellow River is necessary. Yan’an Municipal Government (YMG) considers water supply for its growing urban areas the highest priority for the continued socio-economic development of the municipality, in particular for Baota District and its industrial parks.

**B. Sectoral and Institutional Context**

5. **Economic Growth.** Yan’an’s economic growth during 2004 to 2009 has been impressive. Most of this growth was in the project area, Baota District, which grew at an average of 15.2% per year. In some years the city’s economic growth was over 25%. The economy of Baota doubled during these 5 years, from a GDP of Y6.6 billion ($1.0 billion) to Y13.1 billion ($2.0 billion). During the same period the population of the city grew 14.3%, of which 80% were migrants to the city area. The annual population growth of Yan’an Municipality was on average about 48,000 people of which 41,000 was in-migration, and 7,000 people natural growth. This in-migrating population - often known as the registered floating population - is mainly employed by recent growth in the oil, coal and other industry and services sectors.

6. **Water Resources Sector and Use.** Water resources were already limited before the influx of people. With this influx and continued economic growth, the limited water sources are further exhausted. The total annual water resources available in Baota District and the
surrounding counties of Yanchuan, Yanchang and Zichang, are only 368 million m$^3$. After reducing for flood water and environmental water needs, there is only 93.6 million m$^3$ of water available for this area per year. Of this volume, Baota’s share is only 34.2 million m$^3$ per year, with another 22.8 million m$^3$ available from environmental water resources. This is only about 76.4 lpcd (2009), a consumption level substantially lower than the average 150 lpcd in similar size cities in Shaanxi province. It is even lower than the average of 90 lpcd in urban areas of Inner Mongolia autonomous region, the lowest regional value in China\(^1\).

7. **Water demand and Water Balance.** Water demand surpassed the available water in Yan’an in 2010. The table 1 below shows the water use in the Yan’an municipality. While the water usage by the public sector and rural users was stable from 2005 and 2010, the domestic use increased by 25% and the industrial sector water use more than doubled during this period. The water demand in the municipality grew at about 2% per year from 2000 to 2005, and from 2005 to 2010 at 8% per year.

<table>
<thead>
<tr>
<th>Year</th>
<th>Domestic</th>
<th>Industry</th>
<th>Public</th>
<th>Rural and other</th>
<th>Total</th>
<th>Environmental water (shortage)</th>
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<tbody>
<tr>
<td>2000</td>
<td>11.4</td>
<td>10.3</td>
<td>4.5</td>
<td>8.6</td>
<td>34.9</td>
<td>-0.7</td>
</tr>
<tr>
<td>2005</td>
<td>11.9</td>
<td>7.7</td>
<td>4.6</td>
<td>15.0</td>
<td>39.2</td>
<td>-5.0</td>
</tr>
<tr>
<td>2010</td>
<td>14.9</td>
<td>19.6</td>
<td>4.5</td>
<td>15.0</td>
<td>54.6</td>
<td>-19.8</td>
</tr>
</tbody>
</table>

8. The Baota District has completely used all the available water and by 2010 used up 88% of the water resources allocated for environmental purposes. Baota District has consumed almost all its environmental water. In the Loess Plateau, environmental water is set aside for flushing silt due to erosion in many parts of the area, sometimes 10,000 tons of silt per year. The silt tends to clog up the waterways/river channels quickly.

9. **Baota District Alternatives for Water Supply.** The water supply in Baota District has grown from 9.5 million to 12.3 million m$^3$ (29%) since 2004. The annual rate of growth of water demand has been 5% per year.

10. The water sources within Baota District are exhausted and there is no additional water that can be obtained in Yan’an Municipality (see Table 1). The surrounding counties (Yanchang, Yanchuan, Zichang) also have exhausted their supplies (see Table 2). The counties surrounding Baota District are using more than 83% of their water resources. This does not allow for any water to be shared with Baota District for its future water needs.

<table>
<thead>
<tr>
<th>County/City</th>
<th>2010 Demand (million m$^3$ per year)</th>
<th>Water Available (million m$^3$ per year)</th>
<th>Water Utilized 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baota District</td>
<td>50.55</td>
<td>34.2</td>
<td>148%*</td>
</tr>
<tr>
<td>Yanchang</td>
<td>13.81</td>
<td>14.4</td>
<td>96%</td>
</tr>
</tbody>
</table>

11. There is no opportunity for Baota District to expand its water supply from local water resources within the municipal area or from surrounding counties. The one source that Baota District has from the Hongyao reservoir is fully utilized already for Baota District. All water resources in other basins nearby are up to 95% to 85% utilized. Other further river basin such as the Beilou River Basin, is also limited because of heavy oil pollution. These waters are being cleaned up, but it is expected to take about twenty years to get the water to acceptable quality due to large quantities of emulsified drilling fluid still in the ground.

12. There is no groundwater resource in the Loess Plateau. This fact has been proved by YRCC and by Shaanxi Hydrological Bureau, whatever groundwater exists it runoff as surface water. The hydrologic studies show a 100% overlap of groundwater with surface water (Annex 7). Overall gap in water resources is about 12.7 million in 2020 and 18 million in 2030, and the only source of water available is the extraction of Yellow River.

13. Future Growth and Water Demand of Baota District—Economic Growth Forecast. Baota District is expected to continue to grow its economy significantly because of the natural resources in the area. The share of the service sector, now 41%, is expected to grow to 62% of the economy and thereby be the dominant economic sector. According to a moderate growth scenario, the GDP of Baota District is expected to almost double from 2009 to 2030, growing from Y12.5 billion in 2009 to CNY36.5 billion by 2030. Although almost all sectors of the economy are expected to grow, the share of the industrial sector is expected to decrease. GDP per capita is expected to increase from CNY27,900 in 2009 to CNY49,800 by 2020, an increase of about 7% per year.

14. Population Growth. With this economic growth there will be considerable employment generated. The labor demand was about 190,000 in 2009 and is projected to be about 239,000 by 2020 (an increase of 49,000 jobs) and about 261,000 by 2030 (an increase of 70,000 jobs). The population is expected to increase at a rate generally commensurate with the availability of jobs. It is expected that the population in Baota District will increase from 304,000 in 2009 to 372,000 by 2020, and to 419,000 by 2030; an increase of about 1.8% per year.

15. Demand for Water. With increased economic development and population there will be an increased demand for water. Based on historical data, the elasticity of demand for water for economic growth is +0.33. This water demand elasticity is comparable to many cities in China. Based on these relationships, the estimated water demand in Baota District is shown in Table 3. Since there is no additional local water resources available, all additional water demand has to be obtained from the Yellow River. It is estimated that the water that needs to be transferred from the Yellow River is 8.7 million m³ in 2015, 12.7 million m³ in 2020, and about 20.8 million m³ by 2030. The current Yellow River Conservancy Commission permit for extraction by Yan’an

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2 Source: ........................................
3 The employment demand elasticity with GDP increase is assumed to be +0.28.
Municipality from the Yellow River is 12.3 million m³ per year. This would provide for enough water until about 2020 with minor water conservation.

16. **Yan’an has embarked on a long term water investment program.** The investments to augment the water supply in Yan’an municipality would be carried out in two phases. The proposed World Bank-financed project corresponds to Phase 1 - to be carried out between 2012 and 2016. **Phase 1** will include the transfer of water from the Yellow River to Yan’an (Baota District) City and the construction of a new treatment plant in the city (Dongchuan WTP) to supply water to the Baota District (urban core and surrounding eight townships) for domestic, service sector, institutional and some small industrial use. The economic horizon would be 2020. The city will also continue to be provided by an existing water treatment plant in the city. **Additional Locally Funded Works to Phase 1.** As part of the water transfer scheme, a water intake at Yellow River, a water regulating reservoir at Baishuwua, and three pumping stations will be built in Yanchuan County. This will be funded by local funds and be implemented in parallel with Phase 1. **Phase 2** of the investment program will provide water from 2021 to 2030 for continued increased demand in Baota District, and possibly also to more townships [to be confirmed at Appraisal], for both domestic and industrial water users. A permit application for additional water extraction is submitted to YRCC for approval. A rough cost estimate for the investments of Phase 2 is about RMB 433 million (or USD 72 million). This would be invested from 2025 to 2030, and mainly include an addition process units to the Dongchuan WTP, and additional pump units for six pumping stations. All pipelines will have been built in Phase 1 to meet the capacity needs of Phase 2 [to be confirmed at Appraisal].

### Table 3. Water Demand Estimates for Baota District 2009-2030 (thousand m³ per year)

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2015</th>
<th>2020</th>
<th>2025</th>
<th>2030</th>
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<tr>
<td><strong>Total Treated Water Needs</strong></td>
<td>14,910</td>
<td>22,487</td>
<td>26,015</td>
<td>29,887</td>
<td>32,987</td>
</tr>
<tr>
<td><strong>Yan’an Existing Supply</strong></td>
<td>14,990</td>
<td>14,990</td>
<td>14,990</td>
<td>14,990</td>
<td>14,990</td>
</tr>
<tr>
<td><strong>Incremental water needs</strong></td>
<td>0</td>
<td>7,497</td>
<td>11,025</td>
<td>14,897</td>
<td>17,997</td>
</tr>
<tr>
<td><strong>Total Water Transfer Needs</strong></td>
<td>0</td>
<td>8,667</td>
<td>12,745</td>
<td>17,222</td>
<td>20,806</td>
</tr>
</tbody>
</table>

Note: The overall water loss in the system is estimated at 13.5%.

17. With the social and economic developing in Yan’an, water resources become a bottleneck for Yan’an’s further growth. Some engineering projects for obtaining new water resources have been done, and the new project to divert water from the Yellow River to Yan’an is just started. Related to those projects, the institutional structure for Yan’an water management has undergone some changes. The changes are mainly reflected on the economic management for water resources. It is a positive step, which incarnates that water is one of the most important resources and has to be managed in an economic way. The government will become mainly policy maker and regulator, and the economic management will be taken care of by its enterprises. But, except this step, the present institutional situation is still that the water resources and urban water management are located in the different bureaus, and the proposal to further integrate the water sector to merge all the water utilities into YWIC is on the agenda of YMG.
From Fig. 1 the relationship between these institutional sectors can be described in three aspects: administration management, assets management and industrial management. Yanan Water Authority Bureau (YWAB) was established in 2009, which is the main administration institution for Yanan Water management. YWAB has several subsidiary sectors, which related to water resources and supply are:
(a) Yanan Water Resource Bureau (YWRSB), which is responsible for water resources management in Yanan;

(b) Yanan Water Investment Company (YWIC), which is established in 2009 to deal with the water source infrastructure in Yanan city and to distribute raw water for water supply;

(c) Yanan Municipal Water Supply Company (YMWSC);

(d) Wangyao and Hongzhuang reservoirs supply water for Yanan urban area;

(e) Jiang He Water Supply Company, which is responsible to transfer the raw water from the two reservoirs to the Yanan Water Treatment Plant;

(f) Urban Water Supply Company (UWSC);

(g) Diversion Yellow River Office its assets is controlled by YWIC through YMG but operated by original principles;

(h) Nangoumen reservoir is mainly supply water to the industry area;

(i) There are 2 Water Saving Offices (WSO): one is belonged to YWAB and another (called UWSO) is belonged to YUMB; and

(j) The underground water is managed by the underground water work team in YWAB.

19. Furthermore, there are also Flood Control Office (FCO), Hydraulic Department, Water Conservation Bureau, Surveillance Company, Design Department, and so on. Due to the historic reasons, YWSP supplies drinking water to end-users and WWTPs are subsidiary sectors of Yanan Urban Management Bureau (YUMB).

20. The Jianghe Water Co. (formerly Wangyao Water Supply Division) was established three decades ago. It operates all current water source infrastructures (two reservoirs) in Baota District. The company abstracts water from two reservoirs in Wangyao and Hongzhuang, and sells water to YWSC to supply around 50,000 m3/day drinking water to both domestic users (66% of total water sold) and other users. There are total 11,297 meters, of which 10,265 meters for domestic users, and 1,032 for other users, the number of residents per domestic meters is 100:1, which is almost double as compare to the average of 43.6:1 in Shaanxi and is even higher than the least metered Province (71 people), Qinghai. The smaller towns of Yaodin and Yanchang are supplied by water supply treatment plants that get their water from a small Yanwuguo creek and the Yan River respectively, supplying about 2,000 m3/day of water each.

2. Objectives

21. The development objective of the proposed project is to enhance the water security in Yan’an City by increasing the water supply. Achievement of the project objectives will be measured through the following PDO indicators: (a) volume of water sold (m3/year); (b) working ratio of YWSC; and (c) water supply reliability.

3. Rationale for Bank Involvement
22. During the last ten years Government of China (GoC) has made significant efforts to address the disparity between the relatively developed coastal region and the lagging region of western China through implementation of a Western Regional Development Program. The country’s manufacturing industries is increasingly moving from coastal cities towards the western parts of the country.

23. In the 12th Five Year Plan (FYP), the GoC further upgraded the Western Regional Development Program as a top priority in the national territorial development strategy. While implementation of the western development initiative to date has largely focused on promoting the development of big cities (such as Chengdu, Chongqing, and Xi’an), the focus under the 12th FYP has shifted to five areas with rich oil and coal resources. Most of these areas still suffer from significant poverty, reflecting the inter-regional disparity in the country. The central government is making efforts to accelerate the process of industrialization, urbanization and urban-rural integration in these areas with a particular emphasis on the central cities and selected towns of sizable scales.

24. The project city of Yan’an is a medium-size city in northern part of Shaanxi Province, rich in oil and coal resources and of national strategic importance as an energy production base. It is also a historical site, rapidly growing prefecture-level city located on the Loess Plateau, administering twelve counties and one urban district. Although Yan’an is rich in natural resources i.e. coal, oil etc and has a GDP per capita which higher than most areas in Shaanxi Province, 75% of the labor force is in agriculture and income levels are relatively low compared to other parts of China. The average net income in most rural areas of Yan’an Municipality was about Y5,173/capita/yr (US$795.8) in 2010, equivalent to about US$2.2 per capita per day.

25. Yan’an is located in the Loess Plateau of the Northern of Shaanxi Province. The rainfall is about 480-510 mm. The water resources and planning was done for the three counties and Yan’an City which is also the seat of the municipal government. The population of the whole municipality is about 2.2 million people. The population of the project area is about 1.0 million people.

26. The lack of water is one of the main constraining factors for domestic, industrial and service sector development. The existing water sources (Wangyao and Hongzhuang reservoirs) can no longer supply reliable water in sufficient quantities to Yan’an city. Thus, the project intends to increase the water supply to the city and support its growth. Water will be transferred from the Yellow River and there would be associated works which are described below.

27. The strategy of the government of Yan’an city for addressing the above challenges include: (a) adopting integrated water resources management principles and consolidating institutions responsible for water services; (b) promoting water conservation measures; (c) stepping up efforts to control water pollution and increase treatment of wastewater; and (d) investing in additional water supply works together with optimizing operations and management of different water supply sources. The proposed project is intended to help the government implement its strategy and enhance urban water supply security.
28. The proposed Project is consistent with the 2006-10 Country Partnership Strategy (CPS, approved by the Board on May 23, 2006), which seeks among other objectives, to improve the competitiveness of the various regions of China and the overall investment climate, and to address the needs of disadvantaged groups and underdeveloped areas by financing key infrastructure for socio-economic services. The project supports two of the five pillars defined in the CPS: (a) managing resource scarcity and environmental challenges; and (b) improving public and market institutions.

4. Description

C. Project Components

29. The project will have three components with an estimated total cost of US$147.4 million, including interest during construction (IDC) and front-end fee (US$8.5 million). A brief description of the project components is below.

Component 1: Water Diversion Works and Treatment Facilities ($118.2 million).
The purpose of this component is to transfer 12.75 million m$^3$/year of raw water to Yan'an city annually. It will include: (a) construction of water conveyance works including 63.8 kilometers (km) of pipes and 3 tunnels (Yaojiashan, Xinshegu and Lucaoliang), to convey 12.75 million m$^3$/year of water from a pumping station (PS) Stage 4 at Gaojiawan in Yanchuan County to a Dongchuan water treatment plant (WTP) at Yaodian in Baota District; (b) construction of two more online pumping stations located at Xuejiagou (Stage 5) and Gaojiageda (Stage 6), with capacities of 0.48 m$^3$/sec; (c) construction of one water treatment plant at Dongchuan, with capacity of 40,000 m$^3$/day; (d) construction of a regulating reservoir at Kangjiagou, with effective capacity of 1.55 million m$^3$, and a 42 meter (m) high embankment dam; (e) installation of a supervisory control and data acquisition system (SCADA) for the water transfer scheme operation; (f) implementation of a resettlement program to compensate for land acquired for the construction of project facilities; and (g) implementation of an environmental management plan for the project.

In addition, the following complementary works to be constructed ahead of the YWSP with 100% YMG financing for dual purposes (YWSP and a planned water diversion scheme to supply water to other parts of Yan'an Municipality). These include: (a) Water Intake to Wangjiaqu PS (Stage 1) and associated water mains; (b) Wangjiaqu PS (Stage 1) to Wangjiaqu PS (Stage 2), associated water mains and sand/silt disposal site; (c) Yangjiashan Tunnel and associated water mains, Yanshuiguan PS (Stage 3) to the Gaojiawan WPTP; and (d) Baishuwua Regulating Reservoir and associated water mains. Figure 1, shows the the YWSP (World Bank funded portion) and the complementary work (Domestic funded portion):
Component 2: Institutional Development and Water Supply Operations Improvement (US$ 1.0 million). The objective of this component is to provide support for:

(a) institutional strengthening for integrated urban water management in Yan’an municipality, including improvement of water management information/data sharing among related agencies (YWAB, Yan’an Hydrology Bureau (YHB), YUCB, YWIC, YWSC, Yan’an wastewater treatment plant (WWTP), etc) through the provision of technical assistance; a coordinated dispatching and management mechanism at the operational level; and practical training for management and operational staff, and related study tours to help enhance water transfer project management, safe and efficient operation of inter-connected water supply systems, and integrated urban water management;

(b) establishing a decision support system (DSS) for the safe and optimal operation and management of the Yan’an urban water supply using multiple water sources; and

(c) water conservation: carrying out of a study on water leakage and non-revenue water (NRW) reduction as well as utilization of reclaimed water, and development of a water saving program covering leakage & NRW reduction, reclaimed water utilization, and demand management measures. Yan’an municipality will start implementing the water conservation and leakage & reduction program before the completion of the YWSP, using its own funding.

Component 3: Project Management and Implementation Support (US$ 1.0 million). This component covers consultancy services for project management (including M&E), monitoring of
the implementation of Environmental Management Plan (EMP) and Resettlement Action Plan (RAP), and training.

5. Financing

<table>
<thead>
<tr>
<th>Source</th>
<th>($m.)</th>
</tr>
</thead>
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<td>Borrower</td>
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</tr>
<tr>
<td>Agriculture Development bank of China</td>
<td>35.8</td>
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<tr>
<td>International Bank for Reconstruction and Development</td>
<td>60</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>147.4</strong></td>
</tr>
</tbody>
</table>

6. Implementation

30. A project steering committee (PSC) headed by a vice-governor of Shaanxi province has been established at the provincial level, with members from the Provincial Finance Department (PFD), Development and Reform Commission (PDRC), Water Resources Department (PWRD), and other sector departments concerned. The PSC will only meet as required. PFD, PDRC and PWRD will oversee the project preparation and implementation, and be particularly actively involved in project preparation reviews.

31. A Project Leading Group (PLG) has been formed by Yan’an Municipal Government (YMG). The PLG is headed by a Deputy Mayor of YMG. The members of the PLG are the responsible directors of Yan’an Finance Bureau (YFB), Yan’an Water Affairs Bureau (YWAB), Yan’an Development and Reform Commission (YDRC), Yan’an Urban Construction Bureau (YUCB), Yan’an Construction Commission (YCC), and Yan’an Environmental Protection Bureau (YEPB). The responsibility of the PLG is to provide policy guidance and ensure coordination of important project-related issues.

32. Implementation of the project will be the responsibility of the Yan’an Water Investment Company (YWIC), reporting to the Yan’an Water Affairs Bureau (YWAB). A Project Management Office (PMO) has been established in YWAB under the PLG, currently with twenty one staff, including seconded staff from various sector departments. The Deputy Director of the YWAB is the head of the PMO, which will be responsible for the daily coordination and liaison with all government authorities.

7. Sustainability

33. Governments at all levels have shown strong dedication to the project and commitment to improve the management and environmental conditions of water resources in the project area. YMG has committed to provide all counterpart funds (about 35% of the project cost) from its revenues. The project is able to fully recover O&M and capital costs.

34. There will be subsidization for the domestic water users. The tariffs for industrial and service sector users will not be subsidized. While the operation of the project assets overall will have to be subsidized, the combined old and new systems will generate a surplus.

8. Lessons Learned from Past Operations in the Country/Sector (*Not applicable for Track I*)
9. Safeguard Policies (including public consultation)

<table>
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10. List of Factual Technical Documents

1. [Not Applicable.]

11. Contact point
Contact: Sing Cho
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* By supporting the proposed project, the Bank does not intend to prejudice the final determination of the parties' claims on the disputed areas