

# INTEGRATED SAFEGUARDS DATA SHEET

## APPRAISAL STAGE

**Report No.: ISDSA1132**

**Date ISDS Prepared/Updated:** 20-Mar-2015

**Date ISDS Approved/Disclosed:** 23-Mar-2015

### I. BASIC INFORMATION

#### 1. Basic Project Data

<b>Country:</b>	Nepal	<b>Project ID:</b>	P150066
<b>Project Name:</b>	Nepal: Power Sector Reform and Sustainable Hydropower Development (PSRSHD) (P150066)		
<b>Task Team Leader(s):</b>	Jie Tang		
<b>Estimated Appraisal Date:</b>	02-Feb-2015	<b>Estimated Board Date:</b>	26-May-2015
<b>Managing Unit:</b>	GEEDR	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Hydropower (50%), General energy sector (20%), Other domestic and international trade (15%), Transmission and Distribution of Electricity (10%), General education sector (5%)		
<b>Theme(s):</b>	Infrastructure services for private sector development (50%), Environmental policies and institutions (20%), Corporate governance (20%), Education for the knowledge economy (5%), Gender (5%)		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Financing (In USD Million)</b>			
Total Project Cost:	24.00	Total Bank Financing:	20.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
BORROWER/RECIPIENT			1.50
International Development Association (IDA)			20.00
South Asia Water Initiative (SAWI)			2.50
Total			24.00
<b>Environmental Category:</b>	A - Full Assessment		
<b>Is this a Repeater project?</b>	No		

#### 2. Project Development Objective(s)

The Project Development Objectives are to: (a) strengthen the capacity of the power sector agencies to plan and prepare hydropower and transmission line projects following international standards and best practices; and (b) improve the readiness of the power sector agencies for regulatory and institutional reforms.

### 3. Project Description

#### Project components

The proposed Project has three components: (i) Preparation of Hydropower and Transmission Line Investment Projects; (ii) Studies and Preparation for Policy Recommendations and Sector Reform; and (iii) Capacity Building for Safeguard Management and Hydropower Development.

Component A: Preparation of Hydropower and Transmission Line Investment Projects. This component will support preparation of two hydropower projects, Upper Arun Hydroelectric Project (UAHEP, 335 MW) and Ikhuwa Khola Hydropower Project (IKHP, 30 MW), as proposed by the GoN, and one priority high voltage transmission line project to be identified by the on-going Transmission System Master Planning supported under the on-going Nepal India Electricity Transmission and Trade Project (NIETTP), in line with international standards and the World Bank Safeguard Policies. This component will finance (a) the preparation of detailed engineering design and bid documents for the Upper Arun Hydropower Project and the Ikhuwa Khola Hydropower Project, including: (i) preparation of detailed engineering design and bid documents; (ii) conducting environmental and social impact assessments, including a cumulative impact assessment, and mitigation studies; and (iii) hiring the dam safety panel of experts and the environmental and social panel of experts; and (b) the undertaking of a feasibility study and the preparation of basic design, route survey, environmental and social impact assessment, and bid documents for the planned transmission line project.

Component B: Studies and Preparation for Policy Recommendations and Sector Reform. This component will address critical power sector issues. It will support preparation, prioritization and sequencing recommendations for policy and reform actions, and build consensus and capacity for follow-on implementation under the planned DPC operations. It will support preparation of (a) river basin planning in an integrated water resource management (IWRM) approach for selected river basins; (b) recommendations for improvement of water resources management and regulations, including updating of the Water Resource Act and capacity building of WECS; (c) Power System Expansion Plan, including updating the Generation Master Plan (d) establishment and operationalizing of a power trading company; (e) NEA business restructuring for improved management and efficiency, including provision of computerized management tools and installations of smart meters to enhance the distribution business management, and conducting asset evaluation. See Annex 2 for other TA activities under projects supported by the Bank and development partners, which will also provide critical inputs to the preparation of policy and sector reform actions for the energy sector.

Component C: Capacity Building for Safeguard Management and Hydropower Development. The component will support improving the environmental and social safeguard management system in Nepal and associated capacity building, including:

- (a) Conducting Strategic Environment and Social Assessment (SESA) as part of the integrated river basin planning under Component B;
- (b) Preparation of recommendations for environmental and social regulations;
- (c) Safeguard capacity building for management of transmission line ROW issues; and
- (d) Project management.

#### 4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

The Project will support planning and technical design of critical hydropower generation and transmission line projects, replacing electricity meters at consumer premises with smart meters, conducting important technical and analytical studies in the hydropower sector, carrying out necessary policy dialogues with the government and implementing capacity-building activities to strengthen relevant government institutions for the energy sector. This Project itself will not have any direct adverse environmental and social safeguard impacts under its planned supporting activities.

Nonetheless, the future infrastructure investments being prepared through the project under Component A may have significant environmental and social impacts. For these proposed investments, the detailed design, environmental and social studies will be carried out in accordance with applicable national environmental and social requirements (including laws, regulations and international conventions that Nepal has ratified), as well as World Bank safeguard policies.

Under Component A, two proposed investment projects - UAHEP (335 MW)) and IKHP (30 MW) – have been proposed to be prepared through the proposed Project, as well as one additional priority transmission project to be identified through the on-going Transmission System Master Planning and agreed with NEA during project implementation. The UAHEP is a 335 MW hydroelectric facility to be located on the Arun River in Sankhuasabha District of eastern Nepal. The proposed UAHEP is designed to be a Peaking Run of the River (PRoR) project with gated weir across the Arun River. The proposed IKHP site is meanwhile located on a tributary to the Arun River approximately 8 km downstream of the proposed UAHEP powerhouse site. The IKHP project is envisioned to provide a source of benefit sharing, with options under consideration including providing project shares to local communities, and also power supply to local communities.

The physical location of the additional transmission investment project to be prepared under the project is not yet identified. The specific basins to be targeted by the integrated basin planning task under Component B, which will also include a Strategic Environment and Social Assessment (SESA), are likewise not yet identified. Other policy and sector level studies and activities under Components B and C will have national reach.

#### 5. Environmental and Social Safeguards Specialists

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6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	While the studies and capacity building activities under the proposed Project will not themselves generate any adverse environmental or social impacts, the proposed project under Component A will prepare the UAHEP and

	<p>IKHP, as well as one transmission project that will be selected during implementation. Components B and C will furthermore support basin-level planning activities as well as sector-wide policy analysis and reform recommendations which aim to enable future infrastructure investments that may have significant potential environmental and social impacts. The Project is therefore considered Category "A" as per OP 4.01.</p> <p>To comply with the requirements of OP4.01, GoN's Project Steering Committee (PSC) has prepared an Environmental and Social Management Framework (ESMF) that specifies the appropriate requirements, processes, and institutional responsibilities for: (a) carrying out project-specific ESIA's in accordance with Bank safeguards and national requirements for all proposed specific investments which receive preparatory support through this TA, and (b) indication of how other institutional strengthening and policy related activities will ensure appropriate consideration of social and environmental aspects in line with Bank safeguards. Detailed TORs have also already been drafted for UAHP and IKHP, were subject to public consultation in April and May of 2014, and have been updated to take into account stakeholder feedback. These TORs are annexed to the ESMF.</p> <p>Specifically for Component A as part preparation of the UAHP and IKHP, a full Environmental and Social Impact Assessment (ESIA) and corresponding Environmental and Social Management Plans (ESMPs), as well as a series of social planning documents, are required. Also, given that the UAHP and IKHP are part of a proposed system of cascading dams in the Arun Watershed, a Cumulative Impact Assessment (CIA) is also required as part of the ESIA process. The ESIA (including CIA and ESMPs) and social planning studies will be carried out during implementation of the proposed project. NEA will also retain an Independent Panel of Experts to provide guidance on the environmental and social aspects of project development, given the complexity and potential significant impacts associated with the proposed investments.</p> <p>The additional hydropower and/or transmission projects to be identified which will also be prepared under Component A will require similar studies (ESIA, CIA,</p>
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		<p>ESMP, social planning studies) to be carried out, as applicable to those specific investments. The ESMF lays out the process to ensure that investment-specific TORs are developed in accordance with safeguard policy requirements, and Independent Panels of Experts are retained when required under OP 4.01 for highly sensitive and complex investments.</p> <p>Under Component B, a Strategic Environmental and Social Assessment (SESA) also be carried out during implementation of the proposed project in order to inform the integrated planning processes at national basin levels. The SESA will furthermore provide recommendations, (i) on consultations with local communities to establish the broad support for management of potential environmental and social impacts related to future energy investments in these basins, (ii) for strengthening of the relevant institutional, regulatory and decentralization framework and (iii) for integration of relevant issues into subsequent planning decisions for the choice of location and size and scale of future investments.</p> <p>The ESMF also outlines how additional studies and capacity building activities supported through the project under Components B and C will also incorporate environmental and social factors and stakeholder participation as applicable, in particular in any processes related to prioritization, siting, or design of future energy-sector investments and modifications to sector strategies and policies which may affect how environmental and social issues in subsequent investments are managed. In particular, guidelines on cumulative and strategic impact assessment as well as ecological flows will be developed, and safeguard capacity building across key government agencies will be supported.</p>
Natural Habitats OP/BP 4.04	Yes	The UAHP and IKHP trigger this policy, and future investment projects to be prepared under Component A may also trigger the policy (TBD). The detailed TORs for UAHP and IKHP as well as the ESMF specify appropriate requirements for the corresponding investment-specific ESIs to be carried out under the project to ensure that any potential impacts to natural habitats are appropriately assessed and managed in accordance with this policy.
Forests OP/BP 4.36	Yes	The UAHP and IKHP trigger this policy, and future investment projects to be prepared under Component A may also trigger the policy (TBD). The detailed TORs for UAHP and IKHP as well as the ESMF specify appropriate

		requirements for the corresponding investment-specific ESIA's to be carried out under the project to ensure that any potential impacts to forests are appropriately assessed and managed, and any forestry programs developed as part of basin-level or project-specific environmental management programs are consistent with this policy's requirements.
Pest Management OP 4.09	No	This policy is not expected to be triggered. For UAHP and IKHP, no chemical pesticides or herbicides are expected to be used in the implementation of the investments, such as for Right of Way maintenance of transmission lines, vegetation management in reservoirs, or tree nurseries. However, the ESMF will specify that TORs for detailed studies for additional specific investments to be supported under Component A will require verification of whether any chemical pesticides or herbicides will be used by the investments, and if any such chemicals are deemed necessary, pest management plans will be developed in accordance with this policy.
Physical Cultural Resources OP/BP 4.11	Yes	The detailed TORs for UAHP and IKHP, and the ESMF for all future specific investments to be prepared under the TA, specify appropriate requirements to ensure that any potential impacts to physical cultural resources are appropriately assessed and managed in accordance with this policy.
Indigenous Peoples OP/ BP 4.10	Yes	<p>This project will have long-term positive impacts on indigenous communities in general through improved policies on indigenous peoples for the hydropower sector and their better implementation with strengthened institutional capacity in the management of issues related to indigenous people.</p> <p>The project TA activities will not have direct adverse impacts on indigenous communities. However, the proposed UAHP and IKHP projects are expected to have both positive and negative impacts on indigenous communities. The projects will follow relevant Nepali legal framework, including laws, regulations and ratified international conventions, as well as World Bank OP 4.10 on indigenous people, in the planning and design of these two projects. Detailed design TORs for both projects are developed on this basis, including its objective, principles to be followed, scope of work and design output, including the preparation of an Indigenous and Vulnerable Community Development Plan.</p>
Involuntary Resettlement OP/BP 4.12	Yes	This project will have long-term positive impacts in



		<p>improving the practice of land acquisition and involuntary resettlement in the energy sector through improved policies and their better implementation with strengthened institutional capacity in the management of land acquisition and resettlement.</p> <p>The project TA activities will not require land acquisition and involuntary resettlement. However, the proposed UAHP and IKHP projects are expected to have impacts of land acquisition and possible resettlement. The projects will follow relevant Nepali laws, regulations and World Bank OP 4.12 on Involuntary Resettlement in their planning and design. Detailed design TORs for both projects are developed on this basis, including its objective, principles to be followed, scope of work and design output, including the preparation of resettlement action plan.</p>
Safety of Dams OP/BP 4.37	Yes	The UAHP and IKHP trigger this policy, and the NEA, during implementation of the proposed project, will appoint a Panel of Experts to advise it on all aspects of safety of these two Dams. Also, the project ESMF specifies measures to ensure compliance with this policy for all additional hydropower projects being prepared with support of this Project with dam heights over 15m.
Projects on International Waterways OP/BP 7.50	Yes	The UAHP is located on the Arun River, which is a trans-boundary waterway as defined by this policy. IKHP is located on a tributary to the Arun River. In accordance with the policy, riparian notification has been carried out for these two specific hydropower projects (UAHP and IKHP) to be prepared under the Project, as well as general information about the proposed project.
Projects in Disputed Areas OP/BP 7.60	No	Not applicable.

## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

<p><b>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</b></p>
<p>The proposed Project would only finance technical assistance and some goods and materials for capacity building and replacement of electricity meters at consumer premises with smart meters. Therefore, the proposed project will not itself have any direct adverse environmental or social impacts.</p> <p>However, activities supported under Component A of the Project will prepare the necessary preparatory studies and documentation for the development of UAHP and IKHP, as well as an expected one additional hydropower project and one Transmission Line. These specific investment</p>

projects would have adverse social and environmental impacts if and when they are implemented. Therefore, the project has been assigned an EA category of A under OP 4.01.

For UAHP and IKHP specifically, since they have been identified during preparation of the proposed project, detailed TORs for the required environmental and social studies have already been developed as part of preparation of this Project. For these two proposed investments, environmental impacts would occur in the construction, operation and maintenance phases across numerous impact zones and influence areas, including locations in the upstream catchment area and the reservoir, the dam site, tunnel corridor and power plant location, a section of the Arun River immediately downstream of the dam that will experience significantly reduced flows, and the corridors of the transmission line and access roads. Impacted areas would also include the construction areas where workers would be camped, quarry areas, spoil disposal areas and construction equipment service areas. Temporary in-migration could cause HIV and workers could destroy vegetation for firewood. Given the mountainous nature of the terrain, erosion and sedimentation issues would need to be evaluated and managed in all areas during project construction, operation and maintenance, including ensuring slope areas are well protected and drained. Managing water quality in the reservoir and ensuring adequate Environmental / riparian flows are also issues to be evaluated and managed carefully.

Initial, preliminary baseline surveys were conducted as part of the Upper Arun feasibility study preliminary Environmental Impact Assessment. These indicated mostly primary forest in the project area, including along the tunnel, penstock and transmission line corridors and the power house area. Furthermore, the UAHP dam site borders the Makalu Barun National Park Buffer Zone. Impacts to natural habitats in accordance with Natural Habitats OP 4.04 will need to be carefully studied through the project ESIA. There is currently no information available on archaeological or other physical cultural resources. Impacts, if any on PCR are therefore still to be determined and will be covered as part of the Environmental and Social Impact Assessment (ESIA) for UAHP and IKHP, and if necessary the corresponding Environmental and Social management Plans (ESMPs). In any case, procedures will be specified in case chances finds of any archaeological and/or cultural significance occur during construction.

Meanwhile, under Components B and C, the proposed Project will provide technical advice, guidance and recommendations to GoN on policy and planning aspects related to hydropower development, including specific aspects related to environmental and social assessment and management, and other aspects which may affect the potential environmental and social impacts and management approaches for future investments in the sector. Most notably, integrated basin planning processes will be supported for water resource management and hydropower development for select basins at a national scale under Component B. These planning processes will have implications for future development activities in the basins, with related environmental and social effects. Meanwhile, technical guidelines and policy recommendations to be developed under Component C will influence how environmental and social aspects are managed at a sector level for future hydropower and transmission investments.

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

Long term and indirect environmental and social impacts from the development of the UAHP and IKHP are likely and may include: aquatic effects to the morphology of the channel of the Arun River immediately downstream of the dam sites, and from impacts associated with erosion and sedimentation in the catchment area and along the corridors of the access roads if these are left



unmitigated as these would potentially open up access to forest areas in the Arun river watershed that were previously very difficult to access. Influx of workers and changes to livelihoods of the local population associated with the project may also increase pressures on forest resources, with indirect effects to biodiversity as well as catchment management and erosion/sedimentation.

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

The ESIA's to be carried out for each specific investment being prepared through the Project will include a full alternatives analysis of siting, design, technology, construction methods, and operational aspects of each investment project.

**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 Environmental and Social Management Framework (ESMF) prepared by the GoN is the safeguards instrument for the proposed Project, consistent with OP4.01 requirements for TA projects. The ESMF sets out the approach to addressing safeguards aspects for the overall proposed Project and covers Components A, B and C. The ESMF sets out the approach to identifying and addressing potential social and environmental aspects, including, inter alia, the public consultation and communication strategy, and the institutional arrangements, also in compliance with the other triggered safeguards policies, which are the Natural Habitats OP4.04, Forests OP4.36, Physical Cultural Resources OP4.11, Indigenous Peoples OP4.10, Involuntary Resettlement OP4.12, Safety of Dams OP4.37 and Projects on International Waterways OP7.50. The ESMF also sets out the list and broad scope of studies and safeguards instruments to be prepared during the period of implementation of the proposed project to ensure compliance with all of these triggered policies.

For Component A, the ESMF specifies that all safeguards documents and studies financed under the proposed project will be prepared in compliance with WB standards and safeguard policies, as well as applicable policies and standards of the GoN. For UAHP and IKHP, specific TORs for the required environmental and social planning were prepared and consulted with key stakeholders during preparation of the proposed project, and are annexed to the ESMF. NEA will also engage an Environmental and Social Independent Panel of Experts for UAHP and IKHP in accordance with OP 4.01, as well as an Independent Panel for Experts for Dam Safety aspects in accordance with OP 4.37.

For Component B, a SESA will be carried out to assess the implications of the integrated water basin planning processes, and will make recommendations regarding (i) the strengthening of the institutional, regulatory and decentralization framework, (ii) integration of the management of any environmental and social issues into subsequent planning decisions for the location and scale of energy investments, alternatives, mitigation measures and monitoring activities. The SESA will furthermore provide recommendations on consultations with local communities to establish the broad support for management of potential environmental and social impacts related to future energy investments in these basins.

Government institutional arrangements and capacity

The project overall will be implemented by a Project Steering Committee (PSC) to be chaired by the Energy Secretary. The role of the PSC will be critical in orchestrating the various policy and reform recommendations under the various components of the Project, with support of the Bank.

The 3 components will in turn each have a primary Implementing Agency. The implementing agency for Component A will be the Nepal Electricity Authority (NEA). Under Component B, WECS will be the primary implementing agency (IA) for basin wide river planning and the related SESA and NEA will be the IA for power system expansion planning and operationalizing a power trading company, and under Component C, WECS will implement the various institutional strengthening and policy activities. Each IA will set up a PMU consisting of a full/part time project Coordinator, a Financial Management Specialist and a procurement Specialist, supported by technical staffs of the two IA. The PSC oversees and coordinates the PMUs for implementation of various activities under the Project.

In terms of borrower capacity, NEA has good experience working with the World Bank on preparation of hydro power projects, most recently during the preparation of the Kabeli A and Kali Gandaki Hydropower Projects which are currently under implementation. Furthermore, through the proposed project, assistance will be provided to support capacity development within NEA specifically on environmental and social management aspects, and to ensure that stakeholder engagement and consultations carried out by government for the various activities are fully inclusive and appropriate to the diverse stakeholders so as to enable meaningful participatory consultation, in accordance with Bank policy requirements.

Ensuring that the NEA and WECS have clear responsibilities and TOR for the agreed work, and a strong information-sharing and consultation process in place throughout the project, will also mitigate this risk. These aspects are detailed in the ESMF and will be supervised by the Bank throughout 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.**

Under Component A, for each investment being prepared under the proposed Project, consultations on the environmental and social aspects of the investments is required with diverse stakeholders – including potentially affected peoples and communities, other local communities as well as NGOs, institutions, industry, academics and any others – at least twice, once at the TOR stage for each investment and once on the draft studies, in accordance with OP 4.01. However, following international good practice, the investment-specific studies to be commissioned will include a more comprehensive stakeholder engagement program. The ESMF specifies that each investment specific TOR shall include a requirement for a stakeholder identification and mapping process and development of stakeholder consultation plans for purposes of ensuring effective, inclusive, and culturally appropriate consultation and engagement throughout the course of study of each specific investment. In the case of UAHP and IKHP, the first formal consultation event was held on the initial draft TORs for the ESIA and social planning studies to be carried out for these investments as part of preparation of this TA project, and the TORs have been updated by NEA to reflect feedback received. NEA will establish a project-specific website, where information about the specific investments being prepared under the project (for now covering UAHP and IKHP) can be accessed. Draft and final reports will need to be disclosed locally, including executive summaries tailored to the language, level of literacy, as well as cultural considerations for the local communities in each project affected area. For future investments, similar processes will be followed.

For Component B, with respect to the integrated basin planning activity, preparation of this project included an initial workshop in Kathmandu in September 2014 involving key stakeholders from across government and the donor community, as well as select key NGOs and academics. The

workshop aimed to lay the initial groundwork for advancing integrated basin planning and management in Nepal at a national level by creating a mutual broad understanding of the key elements and components of such processes, stimulating consensus on the need for such an approach, exchanging information about current and planned donor supported activities in Nepal related to water resource management and planning, and identifying critical gaps or areas where more donor support would be helpful to advancing integrated basin planning. During implementation of the proposed project, this initial workshop will be built upon further with additional capacity building activities involving diverse stakeholders at the level of the specific basins to be targeted through the TA. The SESA to be carried out in conjunction with the integrated river basin planning activity will furthermore require engagement with broad stakeholders, and will feed the recommendations and feedback of stakeholders on water resource management and hydropower development considerations within each basin into the basin planning processes. The program to be supported through Component B furthermore aims to support WECS in developing a transparent digital platform for data and information sharing at a basin level, to facilitate better understanding of the interrelated effects of different water resource development activities within a basin on shared resources, and hence better decision making and collaborative management of water resources for both hydropower as well as other sector uses (in particular irrigation). All draft and final documents produced related to the integrated basin planning processes will furthermore be disclosed on the digital platform, and linked to from the project website.

For Component C, the specific studies to be supported related to key policy areas on environmental and social management will each require identification of relevant stakeholders to contribute to each, and engagement with them throughout the course of study. All draft and final studies will be disclosed.

For the overall project, the ESMF outlining the safeguards compliance strategy across all project components, and including the detailed TORs for environmental and social assessments and studies for the UAHP and IKHP investments, will be disclosed and consulted with project stakeholders by GoN prior to appraisal.

### **B. Disclosure Requirements**

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	15-Jan-2015
Date of submission to InfoShop	15-Jan-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	15-Jan-2015
<b>"In country" Disclosure</b>	
Nepal	22-Jan-2015
<i>Comments:</i> ESMF covers both environmental and social assessments.	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	15-Jan-2015
Date of submission to InfoShop	15-Jan-2015
<b>"In country" Disclosure</b>	
Nepal	22-Jan-2015
<i>Comments:</i> ESMF covers both environmental and social areas, including resettlement.	

<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	15-Jan-2015
Date of submission to InfoShop	15-Jan-2015
<b>"In country" Disclosure</b>	
Nepal	22-Jan-2015
<i>Comments:</i> ESMF covers both environmentla and social areas, including Indigenous Peoples.	
<b>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.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP/GP 4.01 - Environment Assessment</b>			
Does the project require a stand-alone EA (including EMP) report?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>OP/BP 4.04 - Natural Habitats</b>			
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]
<b>OP/BP 4.11 - Physical Cultural Resources</b>			
Does the EA include adequate measures related to cultural property?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>OP/BP 4.10 - Indigenous Peoples</b>			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>OP/BP 4.12 - Involuntary Resettlement</b>			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]
<b>OP/BP 4.36 - Forests</b>			
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]

Does the project design include satisfactory measures to overcome these constraints?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>OP/BP 4.37 - Safety of Dams</b>			
Have dam safety plans been prepared?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]
Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>OP 7.50 - Projects on International Waterways</b>			
Have the other riparians been notified of the project?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Has the RVP approved such an exception?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>The World Bank Policy on Disclosure of Information</b>			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
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 [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>All Safeguard Policies</b>			
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]

### III. APPROVALS

Task Team Leader(s):	Name: Jie Tang	
<b>Approved By</b>		
Safeguards Advisor:	Name:	Date:
Practice Manager/ Manager:	Name:	Date: