



Appraisal Environmental and Social Review Summary

Appraisal Stage

(ESRS Appraisal Stage)

Date Prepared/Updated: 12/24/2020 | Report No: ESRSA01231



BASIC INFORMATION

A. Basic Project Data

Country	Region	Project ID	Parent Project ID (if any)
Nicaragua	LATIN AMERICA AND CARIBBEAN	P175878	
Project Name	Nicaragua Hurricanes Eta and Iota Emergency Response Project		
Practice Area (Lead)	Financing Instrument	Estimated Appraisal Date	Estimated Board Date
Urban, Resilience and Land	Investment Project Financing	12/10/2020	1/21/2021
Borrower(s)	Implementing Agency(ies)		
Republic of Nicaragua	Ministry of Finance and Public Credit (Ministerio de Hacienda y Credito Publico (MHCP))		

Proposed Development Objective

The Project Development Objective is to support Nicaragua’s emergency response and restoration of services and economic activities in critical sectors in the Project area.

Financing (in USD Million)	Amount
Total Project Cost	80.00

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

Yes

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

Project activities will focus on the Northern Caribbean of the country, which represents one of the areas heavily affected by hurricanes Eta and Iota. The Project’s area has been defined based on the compound impacts of the hurricanes in the RACCN and the RACCS as defined in the Operational Manual. The Government and the World Bank may agree to expand the Project’s area to implement activities to include additional affected departments where damages have a direct impact. The proposed Project will be implemented in three components as follows:



Component 1: Recovery, rehabilitation, and resilient reconstruction (US\$69 million)

Sub-component 1.1: Emergency disaster recovery (US\$1.6 million)

The Government’s emergency recovery from the impact of the hurricanes focuses on measures to alleviate and mitigate the impacts of both hurricanes on the affected population. Continuity of critical services to the affected populations will enable their return to normal or safer situations after the emergency. This subcomponent will finance expenditures for emergency disaster recovery of affected populations, including, inter alia, carrying out immediate repairs and clean-up of selected critical infrastructure. A list of eligible expenditures under this subcomponent will be specified in the proposed Project Operations Manual (POM), subject to review and approval by the World Bank.

Sub-component 1.2: Rehabilitation and reconstruction of critical public infrastructure (US\$ 30 million)

During disasters, the continued operation of critical public infrastructure is key to efficient response and recovery. A significant number of roads, bridges, and public buildings were heavily damaged and/or destroyed after the passage of Eta and Iota. This subcomponent will finance the rehabilitation and reconstruction of selected critical infrastructure, including (a) conducting any necessary engineering assessments; (b) supporting demolition and debris removal, as applicable; (c) taking measures to restore critical services and usage of said selected critical Infrastructure, as needed; and (d) preparing the technical specifications and acquiring the necessary equipment to resume the provision of critical services, as needed. To ensure that, despite urgent needs, the operation supports investments that maximize climate co-benefits, investments under this subcomponent will be designed to be resistant to climate-induced events such as floods, storm surges, and landslides, for example, by using design standards that increase asset resilience to higher return period events and by enforcing building code legislation or updating its provisions, when necessary. Where relevant, selected investments will include appropriate energy efficiency measures. Detailed climate-resilient and inclusive design criteria will be included in the POM.

Sub-component 1.3: Rehabilitation and Reconstruction of resilient housing and community-level social infrastructure (US\$ 37.4 million)

The resilient recovery of housing and community-level social infrastructure for those affected by both hurricanes is one of the priority-needs for overall recovery after the events. This subcomponent will finance the rehabilitation and reconstruction of safer and culturally appropriate selected housing units and selected community-level social Infrastructure in the Project Area, including, inter alia: (a) conducting any necessary engineering assessments and designs; (b) supporting demolition and debris removal, as applicable and (c) taking measures to restore critical services and usage of said selected housing Units and selected community-level social infrastructure, as needed. Housing reconstruction will consider the specific and differentiated needs of the population, traditional designs, the application of standards, and current and future safety conditions. It is also expected to draw on experiences from the Hurricane Felix recovery and reconstruction process. In addition, in the context of COVID-19, the Project will finance the design of temporary housing that reduces the time spent by the population in shelters or temporary housing conditions. The works under this subcomponent will be complemented by functional upgrades and climate-resistant designs, including energy efficiency features where relevant, enforcing building code legislation to increase housing resilience to climate-related risks.



Component 2: Livelihood recovery (US\$10 million)

This component will focus on restoring the livelihoods of affected communities and families. This subcomponent will support the restoration and improvement of socioeconomic conditions of affected communities and families through the provision of equipment, supplies and training. Activities will focus in the artisanal fishing sector, with beneficiaries selected based on an analysis of the local innovation development plans (LIDPs) and other selection criteria detailed in the Operations Manual. The National Government will carry out a prioritization process based on participatory approaches with affected populations and their representatives, adapted to the specificities and cultural realities of specific groups (as described in the project's E&S instruments). The approach, eligibility criteria, a positive list, as well as coordination and implementation mechanisms will be further detailed in the MOP. This component will also contribute to the advancement of the objectives of the 'Plan of Action for Women in Artisanal Fishing in Nicaragua' by restoring and improving the income of organized women in artisanal fishing, who have been affected by the hurricanes and are located in the Project area.

Component 3: Monitoring, Evaluation and External Audit of the Project (US\$ 1 million)

Carrying out of: (a) the audit of the Project; and (b) the monitoring and evaluation activities of the Project, including, inter alia, the development of baselines, a final evaluation, rapid impact assessments, technical audits, and independent inspections.

D. Environmental and Social Overview

D.1. Detailed project location(s) and salient physical characteristics relevant to the E&S assessment [geographic, environmental, social]

The project will be implemented in the North Caribbean Autonomous Region (RACCN in Spanish) and in the South Caribbean Autonomous Region (RACCS in Spanish) of Nicaragua, which are the most affected areas by the Hurricane Eta and Iota. The RAACN and the RACCS, with approximately 510,053 and 402,281 inhabitants each (INIDE, 2018), cover almost 33,000 and 27,000 square kilometers of the Atlantic coast region respectively, with a population mostly belonging to the indigenous Miskito, Mayangna, and Ulwa people as well as afro descendants (Creoles and Garifunas). The RACCN comprises about 25.4 percent of the country's territory but only eight percent of its population, whereas the RACCS comprises about 20.8 percent of the country's territory with six percent of its population. The RACCN and the RACCS have one of the highest poverty levels among the regions of Nicaragua. These regions are known for their temporary settlements on shallow waters, where communities live for six months a year to catch lobster, shrimp, fish, and shellfish as their main source of income and livelihoods. Fishing is a structural pillar of the Caribbean Coast economy and represents 26.9 percent of the GDP in the RAACN and 40.1 percent of the GDP in the RACCS, together contributing to 9.6 percent of the National GDP. Most of the territory has a pattern of communal land tenure, traditional institutions such as communal councils and assemblies, and well-established processes of community-based decision making. Given their multi-ethnic, multi-cultural and multi-lingual population, including many of Miskito and Afro-Caribbean descent, the RAACN and the RACCS have enjoyed partial autonomy since the mid-1980s. Both the RACCN and the RACCS are characterized by a hot and humid climate with a large rainforest crossed by several large rivers, namely Bosawas Biosphere Reserve – the biggest forest reserve in Nicaragua and Central America. These Regions also contain diverse terrestrial and natural habitats with beaches, mangroves, swamps, and coral reefs, among other features. While the entire country is highly exposed to climate-related hazards, in particular the effects



of climate change and natural disasters have hit the Caribbean region hard over the last decade causing economic damages to the local population. Over the years, climate change has caused or exacerbated floods in low-lying coastal areas, landslides, loss of biological diversity and forest resources, fall in the production of basic grains, among other phenomena.

Between November 1 and 18, 2020, Hurricane Eta and Iota made landfall south of Bilwi, the capital city of Nicaragua's RACCN, causing flooding, erosion, extensive crop damage, destruction of housing and livelihoods, mass evacuations and loss of life from southern Mexico to northern Panama. These are the most severe disasters in Central America since Hurricane Mitch in 1998. On November 17, 2020, the Government of Nicaragua (GoN) formally requested the Bank to help finance the costs associated with emergency relief efforts and the recovery of communities in the RAACN and RCCS. Hurricane Eta and Iota caused significant impacts on local populations and core infrastructure, and has added significant stress to the limited public welfare and health systems, where families already were struggling to survive due to the COVID-19 pandemic. The municipalities that have been most severely exposed to Hurricanes Eta and Iota in the RACCN are Bonanza, Mulukuku, Prinzapolka, Rosita, Siuna, and Waslala and those in the RACCS are Corn Island and Desembocadura de Rio Grande. These municipalities present an average of 70 percent of their population in extreme poverty. This figure far exceeds the Pacific and Central regions, which average 14.3 and 18.5 percent of extreme poverty rates, respectively.

A preliminary GoN assessment indicated that Eta and Iota together damaged over 38,000 housing units, in addition 5800 housing units were completely destroyed <https://www.el19digital.com/articulos/ver/titulo:110205-gobierno-de-nicaragua-da-a-conocer-el-informe-preliminar-de-danos-materiales-de-los-huracanes-eta-y-iota>. In terms of infrastructure, about 901 km of roads and 66 bridges were destroyed. In addition, 45 schools and 16 hospitals were damaged, and one school wholly destroyed. Other damages include community centers such as local churches and other communal infrastructure, and water systems. Impacts to livelihoods include destruction of local businesses, crops and fishing tools and equipment, which communities in the RAACN and RACCS heavily rely on for food security and income. Radio signal is down, which makes difficult the communication with communities located further away from the small urban centers. Thousands of people remain evacuated in shelters. In preparation for Iota's landfall on November 18, 2020, a total of 71,145 people were evacuated and 47,297 people were placed in 325 shelters. It is unknown how many have since returned to their homes.

The preliminary quantification of damages amounts to USD172 million with immediate needs in an amount of USD 60 million, that the government is planning to finance through potential multiple sources, including through this WB project. Immediate government response efforts would focus on providing basic needs for families in shelters and facing food security. Key sectors including transportation, health, education, agriculture and fishery were greatly affected, while some forest areas, mangroves and coastal habitats suffered extensive damage. These impacts weigh particularly heavily in a region with some of the highest incidences of poverty and malnutrition and lowest levels of education and health in Nicaragua, exacerbated by the effects of COVID-19 pandemic, weak infrastructure and limited medical and financial resources.

D. 2. Borrower's Institutional Capacity

The Government of Nicaragua (GoN) through the Ministry of Finance and Public Credit (MHCP in Spanish) will be responsible for overall Project implementation and will have the support of the United Nations Office for Project Services (UNOPS) in coordination with procurement, financial management and management of environmental, social, health and safety (ESHS) risks management activities in accordance with the World Bank's Environmental and



Social Framework (ESF). UNOPS, acting on behalf of MHCP, will be responsible for preparing, consulting and disclosing the ESF instruments outlined below, in coordination with Relevant Sectoral Entities, and thereafter for ensuring their full implementation. MHCP will sign an Implementation Agreement with UNOPS, subject to Bank’s prior review, to implement the project on behalf of the GoN and to ensure compliance with the Environmental and Social Standards (ESS).

UNOPS will mobilize within 15 days of Project Effectiveness full time staff to carry out the environmental and social (E&S) management commitments under the project, in particular to develop and execute meaningful consultation processes, provide training to workers, and implement ESHS risk management procedures and requirements outlined in the instruments to be developed. By Project Effectiveness, this will include dedicated deployment of at least one environmental specialist, one social specialist and one health and safety specialist, who will participate from the start of elaboration of the environmental and social management instruments and will remain on board to supervise their implementation and compliance through project closure. Any additional E&S staffing needs as well as capacity building measures will also be fully identified and assessed as part of development of the project Environmental and Social Management Framework (ESMF), and if required, additional staff will be brought on board within the UNOPS team to provide the necessary capacity.

To facilitate Project implementation, the Recipient, through MHCP, shall establish and thereafter maintain through Project implementation, the Project Interinstitutional Committee (PIC), comprised of representatives from Relevant Sectoral Entities and representatives from the regional and local governments. The PIC shall be responsible for the review the annual Project work plan, facilitate adequate multisectoral and cross-agency coordination, monitor the progress of Project implementation, and make recommendations to improve Project implementation as required. Relevant Sectoral Entities will also provide advice to the PMU and support the implementation of E&S aspects as required. The role of the regional autonomous governments of the RACCN and the RACCS, as part of the Project Inter-Institutional Project Committee (PIC), will be to provide policy and strategic guidance during the planning, implementation and monitoring stages of the project. The National Autonomy Law (Law 28-1 987) recognized RACCN and RACCS as distinct socio-cultural and territorial entities where the historical lands rights of the indigenous people, afro-descendants and other ethnic communities are exercised. The indigenous and Afrodescendant communities and territories of the RACCN and the RACCS also elect and form their own communal and territorial governments and develop their respective socio-economic and cultural development strategies and programs. The PMU will coordinate with each level of the Government when planning and implementing activities in their respective territories.

Public Disclosure

II. SUMMARY OF ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC)

High

Environmental Risk Rating

Substantial

The environmental risk rating is considered substantial. The major risks are associated with project activities to support to rehabilitation and reconstruction of high priority public and community-level infrastructure (i.e., electricity, water, sewage, telecommunications, and transportation). These investments carry the potential for significant impacts, in a context of uncertainty around the details of civil works to be supported (which, even though focused on rehabilitation and reconstruction, could still entail potentially complex civil works in sensitive locations),



the sensitive health and safety contextual aspects derived from the post-disaster context as well as the COVID-19 Pandemic, and the context of strained implementation capacity in a post-disaster setting to effectively manage environmental, health and safety risks and impacts. The risk rating will be reviewed and adjusted if necessary, as more detailed information becomes available about the specific investments and as corresponding detailed environmental and social assessments are completed.

The principal environmental risks and impacts under the project are expected to result from the variety of civil works to be financed for the rehabilitation and reconstruction of critical public and community-level infrastructure, as well as prioritized housing and social infrastructure, some of which may potentially entail significant environmental risks and impacts, including: (i) diverse impacts on lands and land use, including potentially on natural habitats or other sensitive landscapes; (ii) nuisance related to dust generation, vibration, noise and odors; (iii) generation, management and disposal of non-hazardous and hazardous solid waste, including debris caused by the storm, residual construction materials waste, and hazardous materials from demolitions; (iv) generation and discharge of wastewater from civil works; (v) sludge generation and disposal from potential water and sanitation works; (vi) temporary disruptions to local traffic during the construction phase; (vii) health and safety risks to the project workforce and local communities, including from exposure to hazardous materials and wastes; potential worksites involving physically unstable settings such as landslide-prone areas or collapsing buildings; (viii) the possibility of additional disease outbreaks as well as risks of spread of the COVID-19 virus and outbreaks of malaria, dengue, leptospirosis or cholera; and (ix) direct and indirect impacts from other natural hazards (earthquakes, tsunamis, landslides, volcanos, extreme heat, hurricanes and floods) that may occur in the affected areas. Livelihood restoration activities of artisanal fisheries may also generate risks and impacts related to (i) marine habitat disruption and damage on aquatic ecosystems due to unsustainable fishing practices; (ii) depletion of fish species due to overfishing; (iii) generation, treatment, and disposal of waste from fishing gear and debris (buoys, lines, nets); (iv) occupational health and safety concerns for the fishermen/fisherwoman; (v) establishment of small-scale service facilities (feed storage facilities, landing sites, small harbors, etc.); and, (vi) post-harvest facilities and product development (e.g. processing of fish and fishery products which has environmental, health and safety issues related to solid waste and by-products).

Social Risk Rating

High

The social risk rating is considered high. The proposed project is expected to generate important positive impacts, including strengthening the ability of the Government of Nicaragua to respond to the emergency situation caused by Hurricanes Eta and Iota, through emergency relief with a particular focus on indigenous peoples and afro-descendants; response and public health and safety operations; resilient rehabilitation and reconstruction of housing and public infrastructure; and strengthening of the project implementing agencies' technical and institutional capacity to respond to the emergency situation.

However, given the magnitude of the disaster and the contextual challenges that could frame response activities, there are several cross-cutting social risks, including: (i) possible exclusion of Indigenous Peoples and Afro-Descendants (IPADs) from disaster relief efforts due to historical barriers to access benefits, limited territorial connectivity, and lack of culturally sensitive engagements; (ii) possible exclusion of vulnerable populations and groups whose interests are traditionally underrepresented, such as women, elders, youth, persons with disabilities, and sexual and gender minorities, if targeted strategies to ensure their engagement are not incorporated into the project design; (iii) potentially inadequate management of Gender Based Violence (GBV) risks, which severely augment during disaster contexts; (iv) labor influx risks, despite project efforts to promote local hiring of community workers;



(v) the potential for involuntary resettlement; (vi) the presence of crime and violence during disaster response and reconstruction activities which can pose a threat to local communities and project workers and could hinder the implementation of site-specific project activities; (vii) the intersection between the Eta and Iota disaster response with the ongoing COVID-19 health emergency, which poses significant health challenges particularly those that are in shelters, and which has augmented underlying social risks such as discrimination, poverty, access to healthcare, limited job opportunities and others. There is also a risk of potential social discontent if public demand for disaster assistance surpasses the response capacity of the government.

Measures to mitigate these risks and impacts on vulnerable people will be identified. They will be included in the Project's Social Assessment, ESMF, Stakeholder Engagement Plan (SEP), Indigenous Peoples and Afro-descendants Plan (IPADP), Resettlement Policy Framework (RFP) and Labor Management Procedure (LMP) instruments. The project will also address risks and impacts on disadvantaged or vulnerable individuals or groups, defined as "individuals or groups who, by virtue of, for example, their age, gender, ethnicity, religion, physical, mental or other disability, social, civic or health status, sexual orientation, gender identity, economic disadvantages or indigenous status, and/or dependence on unique natural resources, may be more likely to be adversely affected or left out of the benefits of the project. These groups include the poor, women, young girls, youth at risks, LGBTI people, people with disabilities and the elderly, among others. Component 4 of the project will address capacity building. It will strengthen the project implementing agencies' technical and institutional capacity, including for oversight of compliance with social and environmental standards, oversight of compliance with social inclusion targets, M&E activities, and grievance redress mechanisms.

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:

This Standard is relevant. Under Component 1, the project will finance the recovery, rehabilitation and resilient reconstruction of infrastructure damaged/destroyed by the Hurricanes (expected to take place within existing/previous footprints). Project activities may include: (i) goods, small works and basic services needed for the recovery phase; (ii) high priority public infrastructure (including but not limited to transport, health and fisheries electricity); (iii) community-level infrastructure (minor roads and bridges), and (iv) provision of safer and culturally responsive temporary and permanent housing and social infrastructure. These activities may result in significant environmental and social risk and impacts. The risk management approach to be adopted, implemented, monitored, and supervised is detailed below. Component 2 aims to restore and improve the livelihood of affected communities and families engaged in artisanal fisheries activities. These project activities are expected to be small-scale in nature and are not expected to have significant negative environmental risks and impacts. Component 3 activities, including capacity building, institutional and technical strengthening, which may include project management, environmental and social compliance oversight, grievance redress mechanisms, technical studies, among other activities, are not expected to carry significant environmental and social risks.

The core project instruments to assess and manage E&S risks and impacts, which will be developed, consulted and disclosed within the timeframes indicated below, will consist of: (i) an Environmental and Social Management



Framework (ESMF) within 60 calendar days of Effectiveness; (ii) a Stakeholder Engagement Plan (SEP) within 30 calendar days of Effectiveness (a draft has already been developed during preparation); (iii) Labor Management Procedures (LMP) within 60 calendar days of Effectiveness; (d) a Resettlement Policy Framework (RPF) within 60 calendar days of Effectiveness; and (iv) an Indigenous Peoples and Afro-Descendants Plan (IPADP) within 30 days of Effectiveness. The ESMF will include an E&S Screening Checklists for risk classification of site-specific project activities, which will set forth the requirements for site-specific Environmental and Social Impact Assessments (ESIAs) and Environmental and Social Management Plans (ESMPs). The ESMF will also include generic E&S risk management procedures / codes of practice, in line with the World Bank’s ESF and the WBG’s Environmental Health and Safety Guidelines, that can be quickly and easily adapted and tailored to site-specific project activities and incorporated into site-specific ESMPs and bid documents, covering, inter alia: management of diverse construction impacts; occupational and community health and safety; COVID-19 transmission prevention and response; debris and hazardous materials management; worker camp management; GBV/SEA risk management procedures; a worker Code of Conduct; guidelines for universal access design in line with ESS4; measures related to the managements of fisheries in line with ESS3, and measures to avoid/mitigate potential impacts on natural habitats and ecosystem services. The ESMF will further detail institutional roles and responsibilities, monitoring and reporting requirements, an estimated E&S budget, and capacity building measures. Site-specific ESIAs and ESMPs will be consulted and disclosed locally before proceeding with site-specific project activities, and those developed for substantial risk site-specific project activities (as per criteria to be specified in the ESMF) will require prior review and approval by the Bank. Engineering and design plans for the infrastructure to be financed by the project will be grounded in existing national laws and policies and the Bank’s Environmental and Social Framework (ESF) and will consider as much as possible climate-resilient aspects tailored to the context of Nicaragua.

During preparation the GoN with technical assistance from the Bank, will start prepare a Social Assessment for the formulation of and Indigenous peoples and Afro-descendant (IPAD) plan -also to be prepared within 30 calendar days of Effectiveness and as part of the Bank’s due diligence and in coordination with local Indigenous peoples and Afro-descendant (IPAD) organizations to assess the current damages and provide detailed information, including differentiated impacts to other vulnerable groups, as well as vulnerable groups within the IPAD population. The Social Assessment will outline the commitments and inclusion mechanisms for IPADs and other vulnerable groups, including socio-culturally relevant methodologies for participation in prioritization processes for infrastructure, participation in the design of housing models, and to promote the opportunities of job creation within the reconstruction efforts. The Social Assessment will provide a survey of the different donor and other financial institutions providing resources and aid to affected communities and will identify common areas of intervention and propose guidelines for an articulated and coordinated approach.

Where viable, the Project design will integrate elements that ensure inclusion of vulnerable groups, particularly IPAD communities, as equal beneficiaries of Project activities drawing from the Social Assessment. Guidance from the Bank Directive for “Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups” will be considered during Project preparation and development of the E&S instruments. The Project is expected to promote job creation at the local level potentially benefitting the local labor force and will ensure the engagement of affected group in the prioritization exercises to select activities to be financed by the project. Component 2 of the Project, which will finance the design, rehabilitation and reconstruction of resilient housing, will allow for the inclusion of the lifestyle and cultural preferences of project beneficiaries and universal design principles, while at the same time applying safer design standards that consider future disaster risk.



The ESMF will detail carefully tailored implementation procedures for delivery of goods and works to ensure communities' health and safety. These procedures will include preferred working hours, as well as codes of conduct for contractors performing construction works. Given the potential security issues and influx of labor in some of the areas for project implementation, the Client will consider gender-based violence issues in the Labor Management Procedure (LMP) and identify available service providers that can be used as part of a referral pathway for any GBV case possibly identified within the context of the Project activities. Depending on the final institutional arrangement for the project's implementation.

The Environmental and Social Commitment Plan (ESCP) prepared for the project includes all the measures and actions to ensure compliance with the ESF and the project's E&S instruments, as well as related implementation details, including monitoring and reporting activities.

ESS10 Stakeholder Engagement and Information Disclosure

The standard is relevant.

The main stakeholders of the Project are people affected by the tropical storms Eta and Iota in communities of the Autonomous Region of the North Caribbean Coast (RACCN) and communities of the Autonomous Region of the South Caribbean Coast (RACCS), which were among the most affected by the impact; People from vulnerable groups who were disproportionately affected. Among other stakeholders are: Ministry of Finance and Public Credit (MHCP), Ministry of Family, Community, Cooperative and Associative Economy (MEFCCA), National System for Prevention, Mitigation and Attention of Disasters (SINAPRED), Institute the Urban and Rural Housing (INVUR), the Nicaraguan Institute for Territorial Studies (INETER), Ministry of Health, Ministry of Infrastructure (MTI); Nicaraguan Institute for Municipal Development (INIFOM); Autonomous regional governments with their secretariats, example of natural resources (SERENA) in the RACCN and the RACCS, indigenous/Afro-descendant communal and territorial governments; municipal governments; Civil Society Organizations engaged with the response, Multilateral institutions and international organizations: IDB, CABEL, United Nations system and other organizations.

The MHCP has prepared an initial draft SEP, that will be updated and consulted by UNOPS, and disclosed by UNOPS and MHCP, within 30 calendar days of Project Effectiveness. The final SEP will identify affected and interested parties as well as vulnerable groups. The document will include an analysis of the different stakeholder groups and present a strategy that includes timelines and methods for consultations and continuous engagement throughout project implementation, taking into account the realities of advised physical distancing. The SEP will draw on guidelines from the social assessment to include differentiated methodologies for the different affected groups, including engagement methodologies for IPAD communities and persons with disabilities. The SEP will also identify resources and responsible personnel to ensure its implementation as well as guidelines for monitoring and reporting. The SEP will ensure the participation of all stakeholders, to understand the needs of the affected populations, ensure transparency and coordination between government entities, the PMU and communities, and receive feedback and grievances. The SEP will set out the nature and periodicity of stakeholder consultations and require regular beneficiary feedback surveys.



Stakeholder engagement should be considered under all activities and particularly for activities related to infrastructure reconstruction and housing planning and design. These will follow, when possible, a community-based and owner-driven approach and will engage communities early in project planning and implementation. This is of importance for IPAD communities, which have been substantially affected by the two Hurricanes. Conversations with IPAD leaders are being carried out as part of the Bank’s due diligence, focusing on assessing the impacts of Eta and Iota and to inform project design. The MHCP will ensure that all consultations and participatory dialogues with IPAD are culturally appropriate, consider traditional systems of community engagement and decision-making, and ensure participation of specific vulnerable groups within communities whose interests are traditionally underrepresented, such as elders, women, youth and persons with disabilities.

Given the communication and engagement limitations posed by the post-disaster scenario and the COVID-19 pandemic, careful planning is needed to reduce any risk of exclusion of vulnerable groups. Stakeholder engagement strategies will point out ways to minimize close contact and will follow the guidance in the WB technical Note: “Public Consultations and Stakeholder Engagement in WB-supported operations when there are constraints on conducting public meetings”, from March 20, 2020. Considering the numerous actors and stakeholders taking part in the disaster response, the SEP furthermore outlines the Borrower’s engagement approach with other multilateral, humanitarian and non-governmental organizations. This includes a description of these organizations’ efforts (when known) and any relevant outreach or coordination efforts to enhance the social and environmental management of risks.

A project level Grievance Redress Mechanism (GRM) has been outlined in the draft SEP, will be finalized by UNOPS, and will be operational no later than 30 days after project effective date.,. It will address concerns and complaints promptly and transparently with no cost or discrimination toward project-affected communities. Implementing staff and local-level coordination structures will be oriented on their roles and responsibilities to address grievances, particularly around exclusion and manipulation of targeting and entitlements. People affected by or otherwise involved in project-supported activities, will be provided with accessible and inclusive means to raise concerns or log complaints, via the GRM. The GRM will have multiple entry contact points, including at the community, municipal and regional level, and will have the capacity to give attention to GBV related grievances. The GRM is also expected to provide early warnings on emerging social risks.

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

This Standard is relevant. The project is expected to engage with direct and contracted workers. The PMU-UNOPS will develop Labor Management Procedures (LMP) within 60 calendar days of project Effectiveness to manage labor related risks and impacts and describe the types and number of workers included in the project. The LMP will provide an overview of applicable legislation, expected types of personnel to be hired under the project, and measures to comply with ESS2, including child labor, minimum salary and work hours. The LMP will also include a description of the GRM available to project workers. Where government civil servants are working in connection with the project, whether full-time or part-time, but not hired by the project, they will remain subject to the terms and conditions of



their existing employment agreement or arrangement, unless there has been an effective legal transfer of their employment or engagement to the project. For these employees, provisions of Protecting the Work Force and Occupational Health and Safety of ESS2 will apply.

Regarding health and safety of workers during project implementation, the ESMF will include an Occupational Health and Safety Procedure (OHSP) and an Infectious Disease Prevention and Response Procedure (IDPRP) for potential communicable infectious diseases which could affect project workers including COVID-19, dengue, malaria, cholera, etc. These procedures will be in line with the WBG's EHS Guidelines and Good International Industry Practice (GIIP), including WHO and PAHO guidance, particularly for the COVID-19 virus. The OHSP will include requirements for the use of Personal Protective Equipment (PPE), planning of training activities, and investigation/reporting of accidents, while the IDPRP will include measures for prevention, infection control and case management of infectious diseases. The OHSP will also include key provisions to ensure safe and healthy working conditions during the implementation of fishing activities. The ESMF will also include an Emergency Response Procedure (ERP) that will include emergency prevention, preparedness and response arrangements in the event of any social, labor related and/or natural disaster situation that could take place or evolve during project implementation. These procedures will serve as the basis for the development of specific OHSPs and ERPs that will be required in site-specific ESMPs, as necessary.

Bidding documents for all investments will include OHS requirements, a worker Code of Conduct, and requirements for other labor issues such as labor influx, non-discrimination, equal opportunity, and prevention of all forms of forced labor. Bidding documents for all investments will include OHS requirements, a worker Code of Conduct, and requirements for other labor issues such as labor influx, non-discrimination, equal opportunity, and prevention of all forms of forced labor. The Project will not hire people younger than 18 years old for hazardous work; those between the national legal minimum age of 14 and 18 could do non-hazardous work in line with ESS2 provisions and will comply with all Honduran labor laws. The PMU-UNOPS or their designated supervision consultants will actively monitor civil works activities throughout the project cycle to ensure adherence to this Standard.

The LMP will set out roles and responsibilities for monitoring community workers by: (i) identifying the terms and conditions on which community labor will be engaged (if applicable, the amount and method of payment), (ii) setting out the times of work; (iii) specifying the way in which community workers can raise grievances in relation to the project; and (iv) assessing working conditions and OHS in relation to community labor. This assessment will be applied proportionate to: (a) the nature and scope of the project; (b) the specific project activities in which the community workers are engaged; and (c) the nature of the potential risks and impacts. The project does not expect to be engaged with primary supplier workers. However, the LMP will set out measures and responsibilities to address and monitor risks related to child labor, forced labor and serious safety issues which may arise, and in case this were to occur.

The LMP will include a GRM for workers with procedures on how to address GBV related grievances. The LMP will be reviewed and updated throughout project implementation as required, considering the activities to be undertaken in each site-specific project activities and as additional project activities unfold entailing additional labor related risks or issues.



ESS3 Resource Efficiency and Pollution Prevention and Management

This Standard is relevant as there are potential sources of pollution from debris and rubble left behind by the cyclone, as well as from rehabilitation and reconstruction activities to be financed. In addition, opportunities exist to incorporate energy and resource efficiency measures in the reconstruction of public and community infrastructure and housing. The ESMF to be prepared for the project will include generic mitigation measures for the anticipated types of impacts resulting from reconstruction, rehabilitation and disaster response, will be in line with the WBG's General EHS Guidelines and industry specific EHS Guidelines, as well as national legislation standards, whichever are more stringent. Detailed site-specific mitigation measures will be identified and included in site-specific ESIA and ESMPs that will be developed based upon the scale, location, and detailed technical specifications of the infrastructure to be rehabilitated/reconstructed becomes available.

Civil works and water and debris clearing/removal activities are expected to generate significant amounts of hazardous and non-hazardous wastes, including residual construction materials waste and hazardous materials from demolitions. Construction waste has the potential to generate significant amount of solid waste at construction and decommissioning sites, including excess fill materials from grading and excavation activities, scrap wood and metals, and small concrete spills. Construction waste may also include hazardous materials used from demolished existing infrastructure, which could include asbestos, lead, mercury, polychlorinated biphenyls (PCBs), and others. In addition, hazardous solid waste could also include contaminated soils, amounts of machinery maintenance materials, such as oily rags, used oil filters, and used oil, as well as spill cleanup materials from oil and fuel spills. Waste from artisanal fishing activities could also be expected during implementation which may include waste from fishing gear and debris (buoys, nets, lines, pots and traps, etc.), as well as from post-harvest processing and by-products. Ensuring safe waste handling and disposal will be critical during project implementation, especially given the currently weak capacity in waste management in the country exacerbated by the lack of licensed/controlled landfills. Thus, specific and tailored mitigation measures will be needed to guarantee that all types of waste are properly collected, treated and disposed. The ESMF to be prepared will further assess the institutional capacity for waste management, while site-specific ESIA and ESMPs will identify appropriate landfills for solid hazardous and non-hazardous waste available to receive and treat waste generated by the project. Techniques for assessing the characteristics of the material to be excavated during rehabilitation and reconstruction activities and measures for preventing and controlling hazardous and non-hazardous wastes will be detailed in the ESMF, and such assessments will be included in the site-specific ESIA/ESMPs. The ESMF will specify that site-specific ESIA and ESMPs shall assess the generation and discharge of mud and wastewater from civil works, as well as sludge generation and disposal from potential water and sanitation works (if financed by the project) and proper mitigation measures will be defined. The ESMF will also include the requirement that the disposal of these materials will be preceded by an analysis to verify potential contamination to inform the proper treatment process (efforts will be made to the extent possible given the potential constraints caused by the emergency context situation). Specific considerations related to this matter will be included in site-specific ESMPs to the extent possible. Final disposal treatment will also include the verification of disposal facilities to ensure the capacity and technology to receive such wastes.

Construction material needed for all rehabilitation and construction activities (sand, stones, timber, etc.) will be obtained from licensed quarries and certified timber suppliers. The project will – as much as possible – reuse and recycle construction material from the debris left behind by the cyclones for drainage, roads, fill material, retaining walls and foundation bases with previous confirmation that these do not contain hazardous material like asbestos, lead, mercury, PCBs, and others. Site-specific ESIA and ESMPs will also include mitigation measures to address



nuisance related to dust, noise, vibration, and odors that may be generated during reconstruction/rehabilitation work and debris cleanup. In the case of rehabilitation/renovation of small-scale service and post-harvest facilities, site-specific ESIA and ESMPs will also include measures to mitigate any coastal/marine pollution potentially generated during civil works. While reconstruction and rehabilitation activities are expected to take place within existing footprints, impacts from localized soil removal, clearance of vegetation, and biodiversity loss may still occur. Screening procedures as part of the ESMF will help rule out activities that could pose significant impacts on biodiversity (further detailed in ESS6 below) and site-specific ESIA and ESMPs will include appropriate measures as deemed necessary.

Energy efficiency measures such as efficient lighting, cooling, heating, and other energy efficiency equipment will be considered in the project – where applicable – during the reconstruction phase of the rehabilitation and reconstruction of public buildings, housing and social infrastructure. Measures for energy efficiency will also be considered – as applicable – in the equipment to be procured as part of the project. Water-efficient measures will also be considered, as much as possible, through the adoption of water saving techniques as part of the design of housing and public buildings. Water-efficient measures will also be considered, as much as possible, by adopting water-saving techniques as part of the design/engineering plans of housing and public buildings. Recommended measures for energy, resource, and water efficiency will be detailed in the ESMF to facilitate quick incorporation into site-specific project designs where feasible. Additionally, these measures, along with flooding control and other preventive measures for extreme weather events, will also be considered in civil works' design/engineering plans. If during implementation, it is considered necessary to adopt measures to reduce and control the number of mosquitoes that could spread diseases such as malaria and dengue, the Vector and Pesticide Management Procedures included in the ESMF will specify the measures that will need to be considered, including (i) that larvicides and other chemicals used shall be of low toxicity for the people, animals, and environment; (ii) application by a licensed vector control professional who follows label instructions and OHS considerations to ensure a safe application; (iii) measures for targeted application.

ESS4 Community Health and Safety

This Standard is relevant. Project activities include rescue prevention measures and early recovery of key economic sectors; rehabilitation and reconstruction of public and community infrastructure; and housing reconstruction. Rehabilitation and reconstruction activities may expose communities to health and safety risks especially to those communities that are immediately close to the construction sites and affected areas. Civil works may cause some inconvenience to the local communities as access, particularly road traffic and pedestrian access could be interrupted temporarily. Measures to reduce road and pedestrian accidents around or near-by reconstruction/rehabilitation sites will be included in the ESMF. Site-specific ESMPs will include traffic management plans and measures for local communities to ensure pedestrian safety, as well as requirements for the adoption of signage and safety barriers in or near construction zones and safe storage arrangements for construction machinery and equipment. Due consideration will be put to the specific needs of vulnerable groups such as elderly, children and persons with disabilities. Nuisances caused to local communities from noise, dust and vibration resulting from the use of construction machinery and vehicle movement during construction works causing disturbance to nearby homes will be addressed in the ESMF, and site-specific ESMPs will be required to include specific measures to reduce the impacts from these activities, as necessary, to ensure adherence to this Standard.



For civil works to be financed by the project situated in high-risk locations, including those with risk of extreme weather or slow onset events (e.g. sea-level rise causing coastal flooding; drought and salinization diminishing water quality and quantity; areas affected by land degradation making them less resilient to floods, landslides and mudslides), and those where their failure or malfunction may threaten the safety of communities, the project will be required to engage one or more independent experts (prior agreed with the Bank) with relevant and recognized experience in similar projects, separate from those responsible for the design and construction, to conduct a review as early as possible and throughout the stages of project design, construction, operation, and decommissioning.

Screening Procedures included in the ESMF will help rule out any project activity that relies or may rely on the performance of an existing dam or a dam under construction (DUC). These project activities will also be part of the exclusion list of activities that cannot be financed as per requirements to be set out in the ESMF.

Unstable settings, due to collapsing buildings, mudslides, and landslides, as a result of both cyclones, could also pose a potential health and safety risk to the affected local communities and project workforce. The ESMF will include appropriate measures to guide the workforce and local communities on what to do when there are imminent dangers, as well as on actions for during and after these types of events. Site-specific ESMPs will adopt these measures as deemed necessary, depending on the specific risks at each worksite. All civil works to be financed by the project will be reconstructed/rehabilitated, taking into consideration climate-resilient aspects that will have the ability to anticipate, prepare and respond to future hazardous events, trends, or disturbances related to climate, thus, reducing future climate-related risks. In addition, public infrastructure works will take into account the concept of universal access and culturally pertinent design, where feasible. The activities will follow and when feasible, a community-based and owner-driven approach and will engage communities early in project planning and implementation. The design options to be considered for the rehabilitation of houses will be grounded in existing national laws and policies and the Bank's ESF, and will include considerations related to gender, citizen engagement, and Indigenous and Afro populations when relevant vulnerable groups, traditional knowledge, and financial sustainability, while drawing on international good practice. Among the prioritization criteria for works, the project will identify environmental and social risks and opportunities to ensure that investments do not cause significant unforeseen environmental or social impacts and leverage social opportunities for inclusive development. The Borrower will also include a code of conduct for the workforce that will be part of the ESMF and LMP. Participation of local communities in home construction will be promoted through bidding documents and mapping of community capacity by the PIU, with the support of its Environmental and Social Specialist, in coordination with relevant local indigenous and Afrodescendant organizations/governments.

The management of community health and safety issues will be described in the Project's ESMF and will be integrated into the country-level ESMPs. The influx of labor for site-specific project activities is expected to increase several risks, including Sexual Exploitation and Abuse (SEA) for vulnerable communities including children. The ESMF will lay out measures to be adopted in site-specific ESMPs to minimize the risks to the population, through a combination of education and awareness-raising, and the adoption of strict traffic safety and GBV/SEA risk management procedures. Disaster relief efforts and reconstruction activities can risk becoming COVID-19 spreading events that could seriously affect communities. Project activities will ensure that all workers wear personal protective equipment (PPE) and receive appropriate training to reduce contagion to a minimum. Outbreaks of water-borne (cholera, typhoid, etc.) and vector-borne (malaria, dengue, etc.) diseases could occur as a result of the flooding



caused by the hurricanes. The Infectious Disease Response Procedure (IDRP) included in the ESMF will outline measures to (i) identify and reduce sources of contagion in the affected area; (ii) evaluate living conditions of the affected population; (iii) define actions towards ensuring availability of safe water and adequate sanitation facilities, to the extent possible; and, (iv) identify potential healthcare facilities to ensure effective case management. Other potential health and safety risks to affected communities may be produced from diminution of water quantity or quality, exposure to hazardous materials, and potential impacts caused by other natural disaster risks affecting the surrounding communities. The ESMF's Emergency Response Procedure (ERP) will include measures to manage and mitigate these risks.

The PAD states that there will be no deployment of security forces in the implementation of any of the Project activities. However, given the roles of security forces in providing rescue services, protection and support to post recovery efforts; appropriate requirements will be specified in the ESMF for management of use of security forces, if were to occur, such as: i) screened to confirm that they have not engaged in past unlawful or abusive behavior, including sexual exploitation and abuse (SEA), sexual harassment (SH) or excessive use of force; ii) adequately instructed and trained, on a regular basis, on the use of force and appropriate behavior and conduct (including in relation to SEA and SH), as set out in the ESMF; and iii) deployed in a manner consistent with applicable national law.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

This Standard is relevant. Although the Project will seek to avoid involuntary resettlement, Project's activities will include rehabilitation and reconstruction of public infrastructure and housing, where minor land acquisition and/or economic displacement could take place. However, because the location of buildings or houses to rehabilitate or reconstruct are not yet known, and because of the possibility of land acquisition and resettlement, the Project will develop a Resettlement Policy Framework (RPF) within 60 calendar days of project Effectiveness. The RPF will be used for cases where land acquisition is needed for priority infrastructure, including temporary land taking for contractors camps and storage of equipment; relocation of encroachers due to site-specific activities; and interruption and/or restriction to access to any business adjacent to site-specific projects causing loss of income. When necessary, Resettlement Action Plans (RAPs) will be submitted for Bank's approval prior to their broadbased consultation, and final plans disclosed in the Bank and official local institution's websites before the initiation of works. Works will not commence until the implementation of the RAPs and that compensation has been provided for any impacts.

The RPF will establish eligibility criteria for affected persons, set out procedures and standards for compensation, and incorporate arrangements for consultations, monitoring and addressing grievances. The RPF will also include a specific grievance redress mechanism (GRM) for individuals affected by land acquisition. The GRM will consider the availability of judicial recourse or alternative conflict resolution mechanisms that may already exist within the communities.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

This Standard is considered relevant. Although no significant conversion or degradation of natural habitats is expected, the project comprises diverse infrastructure rehabilitation and reconstruction works, some of which may



potentially be located in areas of biodiversity. Reconstruction and rehabilitation of existing critical public and community infrastructure, as well as prioritized housing and social infrastructure will be developed within existing footprints and mostly in urbanized and/or degraded areas; however, it is possible that some civil works may potentially interfere with remaining areas of native vegetation or areas of importance for biodiversity.

The ESMF will provide guidance on biodiversity screening to ensure that civil works do not alter or cause destruction or degradation of any critical or sensitive natural habitats, especially forests and wetlands outside those legally designated protected areas. Infrastructure activities that could result in significant adverse impacts on critical habitat and/or protected areas will be screened out through the ESMF, and site-specific ESIA/ESMPs with appropriate mitigation measures must be developed before launching the bidding process for the respective site-specific project activity. The ESMF will also include generic biodiversity-related mitigation measures that will serve as a basis for subsequent development of site-specific ESIA/ESMPs. Potential risk and impacts on natural habitats will be assessed in detail upon the definition of the location, type, and scope of infrastructure work to be financed. Where relevant, appropriate mitigation measures for impacts on natural habitats and ecosystem services will be included in the site-specific ESIA/ESMPs.

In the case of artisanal fisheries, the ESMF will further assess the impacts on sensitive ecological features such as mangroves, coral reefs, salt marshes, estuaries, etc., as well as it will assess potential risks and impacts to natural habitats from the various project activities, including potential direct, indirect, and cumulative impacts on key coastal and marine biodiversity receptors. The ESMF will also include a rapid assessment of the state of artisanal fisheries and practices within the project intervention areas and will include principles of sustainable fisheries management (based on best available practices) to guide the implementation of fisheries-related activities supported under the project.

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

This Standard is relevant in that the project will be operating in indigenous and afrodescendant (IPAD) communities and territories, including the Miskito, Mayagna and Afro-Caribbean. The Borrower will implement the Project in a manner that provides the IPAD communities with equitable access to project benefits; taking into account their concerns or preferences, addressed through meaningful consultation. The Stakeholder Engagement Plan (SEP) will describe the overall approach to engaging with IPAD. The Project will prepare an Indigenous Peoples and Afrodescendant Plan (IPADP), within 30 calendar days of Effectiveness, to guide the identification, planning, and design of project activities, and to outline a culturally appropriate strategy for collaboration and engagement with the indigenous territories, as well as to properly and effectively manage the possible social and economic impacts/benefits of the project activities on them.

The IPADP will be prepared and informed by a baseline post-disaster Social Assessment carried out by the GoN with the technical assistance of the Bank, in coordination with IPAD organizations. The Bank will support the Client with an independent consultant to prepare these instruments, and for which TORs will be developed. The documents will be disclosed on the Client's website and in the WBdoc. The IPADP will include a description of the project and of IPADs; an analysis of the national legal framework relevant to IPAD; gap analysis with ESS7; a description of potential opportunities, risks and impacts; the guidelines for screening for the presence of IPADs, site-specific social



assessments, as needed, and in consultation with project affected and beneficiary IPAD communities, as described above. If a site-specific project activity will be implemented in an area with IPAD presence, the corresponding ESMP – as outlined in the ESMF and IPADP and complemented as necessary and/or possible – will include characterization of this population potential opportunities, benefits, adverse risks and impacts, mitigation measures as well as other adjustments needed to ensure that they can equally benefit from the project and an they are not negatively affected.

The Environmental and Social Commitment Plan (ESCP) excludes from the project any activity that may fall within the exclusion criteria that will be set out in the ESMF, IPADP, RPF.

ESS8 Cultural Heritage

This Standard is relevant since construction activities for the rehabilitation and reconstruction of public and community infrastructure, as well as private housing, may incur in soil excavations that could be profound enough to dig up/or uncover archaeological artefacts hidden from view. Additionally, the project could potentially support rehabilitation of damaged public buildings with cultural or historic value. The ESMF will include provisions for site-specific screening and assessment of any known sites of cultural or historic importance which may be impacted locally, as well as identification of any sites of cultural/social importance for local communities. The ESMF will include: (i) a generic Chance Finds Procedures for all construction works requiring civil contractors to take proper protective measures in case cultural heritage sites are discovered, including to stop construction activities if cultural property sites are encountered during construction; and (ii) a Cultural Heritage Management Plan (CHMP) for civil works outlining mitigation measures to be considered avoid or reduce impacts on community cultural heritage sites directly affected by the project. Also, the Indigenous peoples of the RACCN maintain distinct cultural practices; their own traditional governance structures, and cosmovision. During implementation, the borrower will ensure that these practices are taken into consideration, and in line with ESS7 and ESS10, and as will be documented in the IPADP.

ESS9 Financial Intermediaries

This Standard is not relevant.

C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways

Yes

The policy applies because some of the activities may involve the use or pollution of water from international waterways. Project activities are limited to rehabilitation only and will not involve significant additional use or pollution of such waterways, and therefore an exception to the notification requirement was approved by the LCR Regional Vice-Presidency on December 4th, 2020.

OP 7.60 Projects in Disputed Areas

No

No projects in disputed areas.

Public Disclosure



B.3. Reliance on Borrower’s policy, legal and institutional framework, relevant to the Project risks and impacts

Is this project being prepared for use of Borrower Framework?

No

Areas where “Use of Borrower Framework” is being considered:

None

IV. CONTACT POINTS

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Implementing Agency(ies)

Implementing Agency: Ministry of Finance and Public Credit (Ministerio de Hacienda y Credito Publico (MHCP))

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VI. APPROVAL

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Practice Manager (ENR/Social) Paul Jonathan Martin Cleared on 23-Dec-2020 at 07:09:56 GMT-05:00

Safeguards Advisor ESSA Marco Antonio Zambrano Chavez (SAESSA) Concurred on 24-Dec-2020 at 06:21:21 GMT-05:00

Public Disclosure