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

Date Prepared/Updated: 05/12/2020 | Report No: ESRSC00746
## BASIC INFORMATION

### A. Basic Project Data

<table>
<thead>
<tr>
<th>Country</th>
<th>Region</th>
<th>Project ID</th>
<th>Parent Project ID (if any)</th>
</tr>
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<tbody>
<tr>
<td>Tajikistan</td>
<td>EUROPE AND CENTRAL ASIA</td>
<td>P166820</td>
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**Project Name**
Fourth Phase of the Central Asia Regional Links Program

**Practice Area (Lead)**
Transport

**Financing Instrument**
Investment Project Financing

**Estimated Appraisal Date**
6/22/2020

**Estimated Board Date**
9/24/2020

**Borrower(s)**
Ministry of Finance, Traffic Police

**Implementing Agency(ies)**
Ministry of Transport of the Republic of Tajikistan, Customs Service under the Government of the Republic of Tajikistan

### Proposed Development Objective(s)

The development objective of the proposed Fourth Phase of the Central Asia Regional Links Program (CARs-4 Project) is to increase regional connectivity in Sughd Oblast and Gorno-Badakhshan Autonomous Region (GBAO) and improve opportunities for trade and travel.

### Financing (in USD Million)

<table>
<thead>
<tr>
<th>Amount</th>
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<tbody>
<tr>
<td>Total Project Cost</td>
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### B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?

No

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

The proposed CARs-4 Project has three components, including (1) improve regional connections in Sughd Oblast and GBAO Region, (2) improve road assets preservation and transport resilience, (3) facilitate cross-border movement of goods and people, and (4) support project implementation, coordination and management.
Component 1 aims to increase connectivity along regional priority trade and travel routes and provide access to markets and opportunities. Activities to be supported include: (i) rehabilitation of Spitamen/Bekobad - Dehmoi-Gafurov road section (Sughd), construction of Khorog bridge towards Murgab and Ishkashim as well as tunnels/galleries and bridges around Barsem (GBAO); (ii) construction supervision services; and (iii) the feasibility studies and other preparation documentation covering improvements to regional connections in Khatlon and GBAO Oblasts, a potential future operation. The cost of this component is estimated to be around US$83 million equivalent.

Component 2 aims to achieve full functionality and sustainable operation of the RAMS, built upon the foundation for RAMS created under ongoing CARs2 operation. This component will support scaling of WIM systems to preserve road assets and streamline transport operations in line with international practice, and other small goods or consultants’ services to build MOT’s capacity to fully operationalize RAMS. This component will also finance climate change vulnerability assessment and hazard mapping (with GIS references) along the Dushanbe-Kalaikhum-Khorog-Murghab corridor focused on GBAO region. The cost of this component is estimated to be around US$5 million equivalent.

Component 3 aims to facilitate the process of cross-border movement of goods and people, including support towards the implementation of policy and institutional reforms, financing of equipment and facilities (e.g. terminals) as well as capacity building. The component will include the development of a diagnostic and comprehensive reform program and implementation plan on addressing regulatory and procedural trade barriers. Subject to priorities identified under the reform program this component would support upgrading of the existing customs IT system to increase automation and may include goods, small-scale works or consultants’ services, including Technical Assistance to support institutional reform. The cost of this component is estimated to be around US$20 million equivalent.

Component 4 includes support towards project implementation, coordination and management including provision of goods, consultants services and training, operating costs and financial audit. A steering/coordinating committee at the level of the office of the Prime Minister or Executive Office of the President is expected to oversee two implementation groups, one in the Ministry of Transport and one in the Customs Service. The cost of this component is estimated to be around US$2 million.

D. Environmental and Social Overview

D.1. Project location(s) and salient characteristics relevant to the ES assessment [geographic, environmental, social] In Tajikistan, the project will be implemented in Sughd Oblast, Khatlon Oblast, and GBAO. It will include (i) rehabilitation of Spitamen/Bekobad - Dehmoi-Gafurov road section (Sughd); (ii) construction of Khorog bridge towards Murgab and Ishkashim (GBAO); and (iii) tunnels/galleries and bridges around Barsem (GBAO). The project also includes an initial assessment of fiber optic connectivity options along the Dushanbe-Khorog-Murgab-Kulma Pass/Kyrgyz Art Route to China and to the Kyrgyz Republic.

Tajikistan is a small Central Asian country, bordered by Afghanistan, China, the Kyrgyz Republic, and Uzbekistan. Mountains cover 90%, rendering accessibility difficult, particularly during winter. GBOA, which is sparsely populated and highly mountainous (less than 3 percent of population and 44.5 percent of landmass) is also home to interesting endemic flora and fauna, including protected species like the snow leopard; protected areas, like the Tajik National Park in GBAO’s Pamir Mountains (a UNESCO World Heritage Site); and a rich cultural tradition. Nearly a third of the population in Tajikistan are poor with GBOA having larger proportion of poor. Youth and vulnerable unemployment are high, representing a source of instability and a threat for the country. Additionally, GBAO shares a porous 1300 km
border to the south with Afghanistan, a hotspot for drug trafficking. The two proposed sub-project areas in GBAO, therefore, encompass potentially fragile ecosystems (though not directly affecting protected areas or the National Park) and conflict-ridden areas near the Afghan border owing to both internal and external factors. The economy is heavily dependent on remittances. Lack of employment has resulted in extremism and continuous clashes with the authorities.

Salient environmental and social characteristics include: (i) substantial risk of natural disasters like avalanche and flash flood in mountainous areas; (ii) high degree of diversity in terms of linguistic as well as political orientations; (iii) inter regional as well as rural-urban disparities; (iv) cross border illicit trade and skirmishes; and (v) low income and employment opportunities.

D. 2. Borrower’s Institutional Capacity

The project is the second in a series of projects on improving Tajikistan’s regional connectivity and unlocking economic opportunities – the on-going project is the CARs-2 Project (P145634). There is a Project Implementation Group (PIG) within the Ministry of Transport (MOT) in place with capacity and a successful track record in managing Environment and Social Risks. MOT PIG also manages the transportation work under the Strengthening Critical Infrastructure against Natural Hazards (P158298). Thus the MOT is equipped to address E&S risks. However, given that the ESF is new, some capacity building programs would be essential in the field of labor management procedures and management of broad social risks beyond land acquisition and resettlement. Also, some capacity development may also be necessary on Occupational and Community Health and Safety issues. For the on-going CARs-2 project, a Resettlement Policy Frameworks (RPF) and RAPs for selected subprojects were prepared and have been successfully implemented. Safeguards rating in the latest ISR for the project was satisfactory. The Bank team is planning to conduct Borrower Capacity assessment pilots in the country which are expected to include this project. This pilot exercise will also lay out specific capacity building opportunities and training for the social and environment staff of national and subnational agencies. The Bank team is planning a series of borrower capacity building measures and training on the ESF application, including Gender Based Violence (GBV) and Environmental Social Incident Reporting Tool (ESIRT) during the project preparation stage.

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

A. Environmental and Social Risk Classification (ESRC)

Environmental Risk Rating

The Environmental Risk Rating is Substantial because much of the road rehabilitation work planned under this project are expected to take place in remote, mountainous, and potentially fragile areas of GBAO; therefore, the risks of natural disasters (such as landslides and floods) resulting in damages to ecosystems is higher than for roads than in the more populated and less mountainous parts of the country. To mitigate those risks, the proposed project will include recommendations to prepare short-term disaster management plan(s) to be prepared by the consultants jointly with contractor. Additionally, though the MOT PIG has a good track record successfully implemented on the implementation of the on-going CARs-2 project, the application of the new ESF means that the PIG will need to implement the relevant ESSes and many contain new and unfamiliar requirements. During project preparation, the PIG will prepare an ESMF for the project and ESIA/ESMPs for already identified road sections to be rehabilitated under the project.
Social Risk Rating

Project areas are intrinsically diverse regions but are exposed to common fragility risks. Vulnerabilities along the borders and the absence of sustainable job opportunities and income-generating activities has led to unemployment and poverty which has proven to be a key push factor incentivizing individuals to join extremist groups. Certain segments are particularly exposed to such risks - women and youth. The project areas are thus characterized by: (i) inter regional and international/ cross border risks; (ii) economic risks – high rate of unemployment in particular among youth and significant dependency of household income on remittances which is vulnerable to external economic conditions and fluctuations; and (ii) social risks – security risks to contractors and laborers as well as migrant laborers. While the first two risks remain external, the project will have to manage the security risks. This apart, the project could require ‘lands’ and hence carry resettlement related risks as well. However, given the client’s track record of having managed/ and managing these risks under the on going project, social risks are identifiable and could be mitigated.

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:

The environment and social risks are both rated as substantial. Two categories of risks are recognized: one, as related to the impacts of the project activities; and the other, contextual. The former relates to: civil works related environmental disturbances, and land acquisition and resettlement. The latter, contextual risks, at times, could have a bearing on security to contractors and laborers and community safety. The project is aiming to support only rehabilitation of existing roads and renovation of existing facilities - no new facilities are envisaged under the travel and trade section. All the risks are identifiable and manageable. Towards addressing these, the client will prepare before appraisal the following instruments: (i) Environmental and Social Management Framework (ESMF); (ii) Environment and Social Impact Assessments/Environment and Social Management Plans (ESIAs/ESMPs) for the sections of road rehabilitation that are already known; (iii) Stakeholder Engagement Plan (SEP); (iv) Resettlement Policy Framework (RPF); (v) Labor Management Procedures (LMP); and (vi) Community Health and Safety Plan (CHSP). Broader contextual risks, including security risks for the contractors and laborers will be assessed prior to the project effectiveness and necessary mitigation measures, such as labor management plans including grievance management system for the workforce will be developed. Security risk assessments for the contractors will be included as a part of ESIA/ESMF process during the project prepartaion stage.

Environmental risks are limited to the impacts associated with road construction and rehabilitation projects, and rehabilitation of existing facilities such as: (i) air pollution and noise from trucks and other construction machinery, and asphalt plants, (ii) soil disturbance during earthmoving and material (gravel/sand/soil) extraction, (iii) tree-cutting and loss of vegetation, (iv) generation and disposal of construction and household solid waste, and (v) construction camp management. In addition, some risks associated with landslides are also not ruled-out. Hence, project preparation tasks may also include disaster management Plans as a part of ESIAs/ESMF, if necessary. The risk level is substantial due to the remote mountainous areas of many of the potential roads to be rehabilitated. Towards managing these, during preparation, the client will prepare and disclose ESIAs/ESMPs for known road sections to be rehabilitated and an ESMF to ensure that it covers all applicable Standards under the ESF. The ESMF will have checklists for determining if a proposed activity meets environmental and social criteria for financing under the
project and also provide details as to the development of site-specific ESIAs/ESMPs in conjunction with the selection and design of road sections to be financed by the project.

Social risks relate chiefly to resettlement and labor management. Former emanate as the project would require lands which may result in permanent and temporary displacement. The same needs to be addressed. However, currently, details about the requirement of lands are not known. As a result, it is not possible to identify the persons likely to be affected and the impacts thereof. Hence a resettlement policy framework (RPF), based on the one prepared for CARS2 in 2014, will need to be prepared which can be expanded and resettlement action plans (RAP) prepared during implementation. Further, given that construction activities will be spread linearly, labor management – labor influx, camps, security, ESHS, relationship with local communities, GBV/ SEA- may also need attention. Consequently, the client will prepare, apart from RPF, the following plans: stakeholder engagement, labor management, community health and safety, and occupational health and safety. Apart from the above project related risks, some contextual /country related risks also to be taken into account. For example, there are certain disadvantaged and marginalized groups in the project area, especially mountainous regions. Nearly a third of the population in Tajikistan are poor with GBOA having larger proportion of poor, though the number of poor in Khatlon is also high. Unemployment among youth and women is high, representing a source of instability and prone to fragility and violence. Lack of employment has resulted in extremism and some remote mountainous areas, young men and women are at risk to expose extremist political ideologies. This will be further assessed in preparing the SIA and specific provisions will be made to include such disadvantaged groups in the stakeholder consultation process in the SEP. ESIA/ESMF will also include nessesary provisions to identify particular disadvantaged groups as precautionary measures.

Documentation and information available and reviewed as part of E&S screening are as follows:


Areas where “Use of Borrower Framework” is being considered:
Given the substantial environment and social risk of the project, Borrower's E&S Framework will not be used for the Project as a whole or for any of its parts.

ESS10 Stakeholder Engagement and Information Disclosure

Key stakeholders include the Ministry of Transport, Customs Service, Oblast Governments, local communities, and project affected people (PAP), both along the trade and travel routes and those who will benefit from the road improvement. Preparation will include identification and mapping of other stakeholders including other interested parties (OIP), assessment of potential impediments to the effective participation of key stakeholders in consultative processes, an extensive and iterative engagement with stakeholders as well as the development of a longer-term engagement plan for project implementation and post implementation operation, which will be summarized in the Stakeholder Engagement Plan (SEP). This will enable the project to identify elaborately different stakeholders and provide an approach towards reaching each of the sub groups. SEP will also identify impediments, if any, at reaching out to stakeholders as well as reflect/build capacity of the client in engaging with stakeholders. A draft of the SEP will be prepared by the client, disclosed publicly as early as possible and begin implementation during the project preparation itself. As Social Impact Assessment (conducted while preparing RAP) results become known, SEP will be updated. The client will also develop and put in place an enhanced Grievance Redressal Mechanism (GRM) based on the experience under CARS 2. The GRM will ensure that all stakeholders including the affected persons, the public and interested parties have access to GRM and inclusion of a feedback resolution process per ESS 10 requirements. The team also explore the possibility to include the project under borrower capacity building training on GRM which is planned under the EF.

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

Labor and Working Conditions: Road construction could entail international/cross regional service providers as well as contractors. It is anticipated that only direct workers and contract workers will be involved in the project. The majority of labor will be locally hired except for a few skilled workers who may not be found in the project location. Once the detailed subprojects are being prepared, the team will identify categories of labor including, local & outside and community workers. The previous project experience shows that labor influx is limited for infrastructure/civil work and only for few specific skilled jobs. The labor camps will be small in size and largely from villages/communities in the subproject locations. Also being a linear project, residential labor camps are envisaged, it is expected majority workers hired locally and external workers unlikely to be deployed except few skilled/technical jobs. Therefore, risk related to labor influx is expected to be limited which may not have more than 100 workers at any given point of time. Risk related to labor influx is expected to be limited. Experience of on-going project will be assessed during the preparation and fed into preparing a labor management plan. Occupational Health and Safety (OHS) and Community Safety: The ESMF and site specific ESIAs/ESMPs will include sections on OHS and Community Safety as well as Labor Management Procedures (LMP). ESMPs and Bidding Documents prepared for the project will include a Health, Safety and Environmental (HSE) plan in line with World Bank Group Environment, Health and Safety (EHS) Guidelines. A Worker Health and Safety Plan will also be developed to cover site-specific job hazards, provision of preventive and protective measures for all hazards; information about safe working methods; and road safety measures. The plan
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will also include procedures on incident investigation and reporting, recording and reporting of non-conformances, emergency preparedness and response procedures and continuous training and awareness to workers. Project’s interface with the local communities will be continuous and in accordance with the CHS Plan. Given that the region is characterized by cohesive communities, strong family institutions, healthy marriages, GBV/SEA risks are expected to be very low. Nor are any historical evidence to envisage forced and child labor. Contract Clauses: Civil works contracts will incorporate E&S mitigation measures (ESMP; ESHS guidelines; Stakeholder Engagement Plan (SEP), RPF etc.) All civil works contracts will include industry standard Codes of Conduct that include measures to prevent GBV/SEA, including GBV good practice note and workplace discrimination. GRM: A locally based GRM specifically for direct and contracted workers will be provided.

ESS3 Resource Efficiency and Pollution Prevention and Management

The ESMF and site-specific ESIAs/ESMPs will include sections on resource efficiency, Pollution Prevention and Management, and Pest Management. Assessment of risks and impacts and proposed mitigation measures related to relevant requirements of ESS3, including raw materials, water use, air pollution, hazardous materials, and related construction waste will be included within scope of the ESMF and ESMPs as relevant.

ESS4 Community Health and Safety

Construction of roads are associated with dusts / noises, soil disturbances, temporary blockades, traffic management, waste disposal, and labor influx and associated disturbance to local communities and labor camps management. Addressing these issues would demand a detailed mapping of the communities likely to be affected and an assessment of the impacts thereof. The ESMF and SEP will identify stakeholders and the likely impacts. In particular, the client will identify, evaluate and put in place a mechanism to manage potential road safety risks and risks to workers, nearby communities and other road users. The ESMF and site specific ESIAs will assess the potential scale and risk due to natural hazards associated with earthquakes, landslides, and avalanches; and labor influx on safety of local communities and their effect on the availability of basic needs and services. Further, as appropriate, a separate CHS plan will also be prepared (as a part of the ESMF) to address these impacts/risks: (i) traffic safety and management, both during construction and on-going road operation; (ii) health to human and livestock; (iii) HIV/AIDS; (iv) GBV/SEA; and (v) safe keeping, of persons and communities within and outside the project site, as a result of the deployment of security personnel. Although it is not expected any threats or safety issues, the ESIA/ESMF will include assessments to identify any potential issues that might resulted in deployment of security personnel. The design of infrastructure (roads/bridges/tunnels/facilities) to be rehabilitated under the Project will adopt the concept of universal access including users with disabilities, the elderly, and children.

The Contractor will be required to appoint designated community liaison persons as part of the CHS plan who will keep local communities informed of construction schedule, expected impact and other issues of interest for them, and receive grievances or feedback from them. The Community Health and Safety Plans to be prepared under the project will also include procedures on incident investigation and reporting, recording and reporting of non-conformances, emergency preparedness and response procedures and continuous training and awareness to workers. Project’s interface with the local communities will be continuous and in accordance with the CHS Plan.
ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

The Project aims to increase regional connectivity and providing access to markets economic opportunities to the largely rural communities through the rehabilitation of roads and other facilities. This would comprise the rehabilitation of about 47 kilometers of a category III road in Sughd Oblast (Spitamen to Garufov) as well as construction of a new bridge in Khorog (about 300 meters) towards Murgab and Ishkashim and tunnels/ galleries and bridges around Barsem (GBAO).

Component 2, meant to align process and standards of cross-border movement of goods and people, could involve some small scale infrastructure like weigh-in-motion systems, other facilities/ equipment as well as IT systems and Technical Assistance. Most of these constructions/improvements are expected to be within the existing facilities and within road boundaries. In respect of both components’ activities, the extent of land acquisition and the impacts thereof (on local people / communities) are likely to be quite moderate as there are no large scale green field investments. However, at this stage, details of the same are not known. Nature and extent of impacts as well as number of people/ households likely to be affected would become known as the detailed surveys are done and design firmed up. Hence, given this situation, a Resettlement Policy Framework (RPF), based on the RPF prepared for CARs-2 Project, will be prepared and disclosed during project preparation. The RPF will establish how site specific Resettlement Action Plans (RAPs) will be prepared, disclosed, and implemented. It will be stipulated that all sub-projects requiring RAPs will ensure that the RAPs are fully implemented prior to commencement of works.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

The ESMF will deal with biodiversity and living natural resource issues, in the Sughd, Khatlon and GBAO regions, particularly in the vicinity of any potential project financed roads. The ESMF will specifically include details on protected areas, critical habitats, presence of endangered species, etc. as well as instructions for necessary sections in the site specific ESIA/ESMPs to be prepared for sub-projects once they are identified.

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

Based on the screening against ESS 7, this ESS is not considered relevant to the project.

ESS8 Cultural Heritage

Tajikistan is home to two UNESCO World Heritage Sites (the Tajik National Park in the Pamir Mountains and the old settlement of Sarazm) as well as nine candidate sites; therefore, it is clear that transportation projects might also interact with Tajikistan’s unique cultural heritage. Although construction works are not expected to have direct physical impact on the heritage monuments, indirect impacts from the movement of construction machinery, presence of work force, etc. as well as permanent impact on the visual/aesthetic view of any sites on or near the affected roads will be closely looked at and mitigation measures provided during the preparation of ESMF. The ESMF will include a section on protection of Cultural Heritage, both tangible and intangible, as well as proper "chance find" procedures to be included in site specific ESIA/ESMPs.
ESS9 Financial Intermediaries
This standard is not currently relevant as no financial intermediaries are party to the project implementation modality.

C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways
No

OP 7.60 Projects in Disputed Areas
No

III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE

A. Is a common approach being considered?
No

Financing Partners
None are envisaged at present.

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

Actions to be completed prior to Bank Board Approval:

1. Prior to appraisal, prepare and disclose an ESIA/ESMPs for known road sections to be rehabilitated.

2. Prior to appraisal, prepare and disclose an ESMF (for other components) that includes relevant Environment and Social Standards as well as information on Tajikistan’s unique flora, fauna, and cultural heritage - the ESMF will detail selection criteria for sub-activities as well as criteria and timing for preparing site specific ESIA/ESMPs.

3. Prior to appraisal, prepare and disclose an RPF.


All of these instruments will be consulted on with stakeholders prior to finalization, reviewed and approved by the Bank, and publicly disclosed.

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

1. Environment and social screening of project activities based on the ESMF, including need to prepare site specific ESIA/ESMPs as well as the list of sub-management plans including labor management plans, community health and safety plan.

2. Application of the RPF to project activities, including the need to prepare site specific Resettlement Action Plans.
3. Continued stakeholder engagement throughout project implementation and beyond project closure.

C. Timing

Tentative target date for preparing the Appraisal Stage ESRS 01-Apr-2020

IV. CONTACT POINTS

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Borrower: Ministry of Finance
Borrower: Traffic Police

Implementing Agency(ies)
Implementing Agency: Ministry of Transport of the Republic of Tajikistan
Implementing Agency: Customs Service under the Government of the Republic of Tajikistan

V. FOR MORE INFORMATION CONTACT

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VI. APPROVAL

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Practice Manager (ENR/Social) Kevin Tomlinson Recommended on 23-Dec-2019 at 21:53:41 EST
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Safeguards Advisor ESSA
Nina Chee (SAESSA) Cleared on 12-May-2020 at 11:01:35 EDT