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# Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

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Appraisal Stage | Date Prepared/Updated: 22-Jan-2019 | Report No: PIDISDSA23673

**BASIC INFORMATION****A. Basic Project Data**

|  |   |   |   |
|--|---|---|---|
| Country<br>Central Asia                              | Project ID<br>P165313                   | Project Name<br>CASA-1000 Community Support Project for Tajikistan  | Parent Project ID (if any)  |
| Region<br>EUROPE AND CENTRAL ASIA                    | Estimated Appraisal Date<br>14-Jan-2019 | Estimated Board Date<br>19-Mar-2019   | Practice Area (Lead)<br>Social, Urban, Rural and Resilience Global Practice |
| Financing Instrument<br>Investment Project Financing | Borrower(s)<br>Republic of Tajikistan   | Implementing Agency<br>State Enterprise Energy Sector Project Management Unit (ESPMU), OJSHC Barqi Tojik, National Social Investment Fund of Tajikistan (NSIFT) |   |

## Proposed Development Objective(s)

The Project Development Objective is to increase the quality of, and access to, energy, social and economic infrastructure services, and to contribute to the strengthening of local governance in communities in the project area.

## Components

- Component 1. Rural Electricity Supply Improvements
- Component 2. Community-led Investments in Socio-Economic Infrastructure
- Component 3. Community Mobilization, Capacity Building and Local Governance
- Component 4. Project Management, Monitoring and Evaluation, and Communications

**PROJECT FINANCING DATA (US\$, Millions)****SUMMARY**

|                    |       |
|--------------------|-------|
| Total Project Cost | 26.00 |
| Total Financing    | 26.00 |
| of which IBRD/IDA  | 24.00 |
| Financing Gap      | 0.00  |

**DETAILS****World Bank Group Financing**

|   |       |
|---|-------|
| International Development Association (IDA) | 24.00 |
| IDA Grant                                   | 24.00 |

**Non-World Bank Group Financing**

|  |      |
|--|------|
| Trust Funds  | 2.00 |
| Community and Capacity Development Support Program | 2.00 |

Environmental Assessment Category

B-Partial Assessment

Decision

The review did authorize the team to appraise and negotiate

Other Decision (as needed)

**B. Introduction and Context**

Country

Sectoral and Institutional Context

1. The sectoral and institutional context for the CASA1000-CSP (CSP) in Tajikistan emerges from three distinct areas of development activity: regional energy sector development, rural development, and local governance and decentralization. Although Tajikistan has abundant water resources and relies on hydropower for 92 percent of its power supply, it continues to suffer from winter energy deficits due to variability in water flows and electricity demand. In the summer, heavy water flows create surplus electricity supply, while in the winter there are perennial power shortages. Since 2009, when Tajikistan's power system was severed from the Central Asian power system, winter power outages have increased as households rely on electricity for heating. Despite 95 per cent connections to the electricity grid, approximately 70 percent of the population, predominantly in rural areas and small town is energy deprived; the poorest quintile of rural households spend 25 percent of their monthly consumption expenditure on energy. To address this gap and leverage excess summer energy supply, Tajikistan entered a regional agreement with Kyrgyz Republic, Afghanistan and Pakistan to create a regional electricity market – the Central Asia South Asia Regional Electricity Market (CASAREM). As part of this agreement, summer surplus electricity resources from Central Asia will be supplied to meet unmet demand in South Asia. The first phase of this agreement is the Central Asia-South Asia Electricity Transmission and Trade Project (CASA1000), which aims to facilitate electricity trade by putting in place the commercial and institutional arrangements and



the transmission infrastructure to enable a trade of roughly 1,300 megawatts of electricity annually, and thus improve the reliability and efficiency of electricity services and increase the country's energy export potential.

2. The Tajikistan portion of CASA-1000 transmission line (of about 170-km) extends from Sughd province in the north bordering the Kyrgyz Republic, to Khatlon province in the south, covers eight districts and 24 Jamoats. The Transmission Line 3-km corridor of impact (CoI) (i.e. 1.5 km on either side of the TL) includes communities that are economically and socially vulnerable with limited access to public infrastructure and services, including winter energy shortages. As the high-voltage CASA-1000 transmission line will not itself provide electricity to communities located nearby, and to share in the benefits expected from the CASA project and create a supportive environment for the project, Community Support Projects (CSPs) are being implemented in all four countries party to CASA-1000, including Tajikistan, as a means to mitigate social risk and maximize the socio-economic benefits of the energy investments. Specifically, the CSPs will be predicated on a community driven development approach to ensure that local investments are tailored to community needs and enjoy broad support, and will each establish a longer-term benefits-sharing mechanism, the Community Development Fund, to benefit communities and individuals located within the area of the CASA1000 project through a portion of project revenues from the energy exported/imported during the commercial phase of CASA-1000. Each CSP thus aims to put in place the foundation for community engagement in planning, decision-making, implementation, and monitoring and evaluation of local investments. In March 2014, the Bank approved the Afghanistan CASA1000 CSP (P149410) with US\$40 million in financing from the Afghanistan Reconstruction Trust Fund. The preparation of CSPs in the other three CASA1000 countries was, however, postponed to align with the start of construction of CASA1000 infrastructure and to secure additional financing resources. The CASA1000 CSP for Kyrgyz Republic (P163592) was subsequently approved by the Board in April 2018, and the preparation of this Tajikistan CSP, and the Pakistan CSP was launched.

3. 75 percent of Tajikistan's population, and 80 percent of its poor, live in rural areas where access to quality energy, infrastructure and social services is lacking. Rural-urban disparity in access to social services is illustrated by access to drinking water: 31 percent of rural households have access to safely managed water compared with 57 percent of urban households. Rural female-headed households are also more at risk, than households headed by males, for poverty and extreme poverty, and deficits in service delivery. Rural women's generally lower level of education (especially tertiary and vocational education) and high fertility rate increases their vulnerability. Agriculture generates 70 percent of employment in Tajikistan, but many of these jobs are informal, and lack of commercialization and value chains constrain the potential of growth. Women are also active in the informal agriculture economy, which is typically associated with economic shocks, lower salaries, absence of social benefits, and fewer opportunities for skill development. With limited livelihoods opportunities and private sector investment, migration and remittances have become the backbone of the Tajik economy, including for the rural poor. According to World Bank and IMF data, Tajikistan is the most remittance-dependent country in the world. The rural youth labor inactivity rate is particularly high and growing. Youth, ages 14-30, account for 35 percent of Tajikistan's population, making Tajikistan the country with the youngest population in Central Asia. An estimated 41 percent of youth are not in employment, education or training (NEET), pointing to high levels of youth inactivity. Migration has also had significant impacts on gender roles and family structure, including the emergence of a large number of de facto women-headed rural households.

4. There is currently no widespread institutionalized process for communities, citizens or civil society to participate in decision-making on local development priorities or resource allocation; community-driven development has not been embraced at a national scale, and there are no mechanisms to hold subnational administrations to account for the quality of local service delivery. There are significant governance challenges



however with the legacy of civil war, the country's topography, and limited public resources. Nevertheless, a legal framework promotes a collaborative relationship between citizens, "self-governing" communities, and subnational administrations to support local development. In its amended form, the legal framework assigns Jamoats a broad range of mandates which includes support for community-based efforts to address local socioeconomic needs, to strengthen local self-governance and accountability by delegating budget authority to Jamoat councils, introducing a system of direct election for Jamoat councilors, retention of non-tax revenues earned through the provision of administrative services and a percentage of local property taxes. Despite these policy signals that empower Jamoat councils with the authority and resources needed to support local development, in practice, capacity is low, resources are negligible and there has been little change on the ground.

5. Community institutions have proven to be an important source of resilience to address risks to stability and shortcomings in local infrastructure and services. The primary institution is the Mahalla, a self-governing small community or neighborhood, regulated by rules based on traditional practices and customs deeply rooted in the Central Asian Islamic tradition. While historically informal in nature, recent legislation allows Mahalla Committees to register as social institutions, open bank accounts, organize community events, certify residency, and work directly with international, non-governmental and government organizations. While Jamoat Councils and Mahalla Committees together constitute a local institutional basis through which Bank-financed projects can support transparent, inclusive local development investments, actual participation in Mahalla Committees tends to be dominated by older men, with limited avenues for youth and women participation in local decision-making. Ensuring young men and women benefit from community initiatives is particularly important given Tajikistan's youth bulge and high levels of youth unemployment and inactivity.

### C. Proposed Development Objective(s)

#### Development Objective(s) (From PAD)

The Project Development Objective is to increase the quality of, and access to, energy, social and economic infrastructure services, and to contribute to the strengthening of local governance in communities in the project area.

#### Key Results

- i. Percentage of target communities with improved access to social and economic infrastructure as a result of project support
- ii. People provided with new or improved electricity service (corporate results indicator)
- iii. Percentage of beneficiaries in target communities who report that their engagement in decision making over project investments was effective,
- iv. Percentage of young (women and men) beneficiaries who report that their role/voice in local governance has been enhanced as a result of project support
- v. Percentage of beneficiaries in target communities who report that the CSP is an effective response to the local impacts of the CASA1000 Transmission Line.

### D. Project Description

6. The Community Support Projects, in each of the four CASA1000 countries, adopt a community-driven development approach, through which communities in the target areas will prioritize their needs, select sub-projects to be implemented, and directly implement or monitor sub-project implementation. Through this



engagement process and the associated capacity building, the proposed project will also support the development of local governance in target areas. The CASA1000 CSP in Tajikistan also provides support for a substation in an electricity-deprived area of Isfara near the Kyrgyz Republic border. The project is structured in four components.

### **Component 1: Rural Electricity Supply Improvements**

7. Component 1 focuses on improving the quality of electricity supply in two target areas of the country: (i) villages that lie within the corridor of impact in the northern, central and southern segments of the Transmission Line as it passes through Tajikistan; and (ii) selected villages in the district of Isfara of Tajikistan, but near the Transmission Line as it passes through the Batken oblast in the Kyrgyz Republic. The Government has prioritized support for the Isfara district as a vital element of the project, given its proximity to the target areas of the CASA1000 Community Support Project in the Kyrgyz Republic. This coverage will ensure that communities on both sides of the border are sharing in the benefits of the CASA1000 project.

- **1A: Village Electricity Supply Improvements in the Corridor of Impact.** While 93 percent of households are connected to the electricity network in the villages that lie within the COI, it is estimated that 75% suffer from low voltage, disruptions in electricity supply, and significant health and safety risks, especially during poor weather conditions. In addition, over the last decade, an estimated 10-20 percent of villages have experienced significant population growth and are expanding to adjacent areas to accommodate these (mostly young) households. The Project aims to kick start support for village-level energy investments for communities within the COI in Year 1. Subcomponent 1A will fund improvements to the quality and reliability of electricity supply by upgrading village level, namely: (i) replacement of old/installation of new 10 kV/0.4 kV transformers; (ii) replacement of deteriorated wood poles with concrete poles; and/or (iii) replacement/ installation of new 10 kV lines and 0.4 kV self-supporting insulated lines. These investments in village electricity supply will help communities access a more regular and reliable power supply, reduce technical losses, improve voltage conditions in the main load areas of the target villages, and reduce health and safety risks associated with an aging system.
- **1B: Isfara-1 Substation and Village Electricity Improvements in Border Areas.** The district of Isfara lies in the Ferghana Valley and this area borders the subdistricts receiving support from the CASA1000 CSP in the Kyrgyz Republic – it has been explicitly included in the project to bring small infrastructure improvements on both sides of the border and minimize risks. The densely-populated settlements in this area struggle with unreliable electricity supply, low voltage and frequent outages in winter. The project will target support for improvements in electricity supply to a number of villages in this area, it will provide financing for the technical design, construction and reinforcement of 110/10 kV BT distribution networks, including lines and substations, and supply networks to three new mahallas. Specifically, investments in new supply-level 10(6) kV/0.4 kV transformers, installation of new 10(6) kV lines and 0.4 kV self-supporting insulated wire will help BT to meet load growth efficiently, address load supply constraints due to congestion in the distribution system, reduce losses, and improve reliability and quality of power supply. These investments will supply power to the newly-created settlement of Vahdat (with its 2700 households relocating from neighboring overpopulated border villages), and supply power to neighboring mahalla '14 va 15', (1500 households) residing and mahalla 'Nuravshon' (500 households). It will also support intra-village electricity supply improvements in the border areas of Vorukh and Chorkuh.
- **1C: Energy-related Project management, M&E, and communications.** The project management, monitoring and evaluation, and communications for the implementation of the electricity-related Subcomponents will also be included.

### **Component 2: Community-led Socio-Economic Infrastructure Investments**



8. Component 2 will support the subgrants for investments in socio-economic small scale infrastructure in the target village in the Corridor of Impact and the Isfara area:

- **2A: Subgrants to villages in the Corridor of Impact.** Subcomponent 2A will finance 2 cycles of subgrant allocations to villages to support priority small-scale socio-economic infrastructure investments in the 60 villages in the 24 Jamoats traversed by the COI (following the year 1 investments in electricity described above). Village subprojects will include, inter alia, medical points, kindergartens, street lighting, school improvements, village-level water supply and sanitation systems, rehabilitation of on-farm irrigation systems, rehabilitation of tertiary roads, and/or economic infrastructure, such as small-scale processing facilities for horticultural products, or farm machinery workshops. It is intended that 50 percent of subprojects demonstrate benefits for youth and 50 percent for women. To further support energy-related activities and to optimize the investments made under component 1, energy efficiency such as insulated doors and windows, energy efficient water heaters/collectors, solar-powered cookers, clean heating stoves for public buildings (schools, kindergartens, health units, community centers), and LED or solar-powered street lighting systems, will be encouraged.
- **2B: Subgrants to communities for village investments in Border areas.** Subcomponent 2B will support village-level investments in communities in the township of Chorkuh near the Kyrgyz-Tajik border, and the Tajik enclave/township of Vorukh, less than 10 kilometers inside the Kyrgyz Republic. As noted above, these areas are contiguous with the subdistricts receiving support from the CASA1000 CSP in the Kyrgyz Republic, and are areas that face social, economic and conflict risks. Communities will select from the same open menu of socio-economic infrastructure subprojects described in Subcomponent 2A but in addition, facilitation and capacity building support will be provided through Subcomponent 3D to encourage those investments that promote cooperation and address border area risks. These will be subprojects that: (i) promote opportunities for enhanced cross-border cooperation on development, (ii) improve community safety and security, (iii) promote livelihoods opportunities for youth, and/or (iii) complement community-based investments financed by the Kyrgyz CSP through subgrants financed by the Kyrgyz Republic CSP on the Kyrgyz side of the border.

### **Component 3: Community Mobilization, Capacity Building and Local Governance**

Component 3 will support the mobilization of communities and youth, and local capacity building in the COI and in Isfara target areas. This will include the financing of activities that support participatory processes, targeted support for youth engagement, innovative social accountability mechanisms as well as capacity building for good local governance. As well as support for training and facilitating partners.

- **3A: Community Mobilization and Capacity Building.** Activities will ensure that village investment decisions directly involve, and are inclusive of, all community members and are responsive to their needs. It is intended that this will establish a new model for community driven village investment in Tajikistan. The annual cycle of activities financed by this Subcomponent will include participatory needs assessment, participatory planning and prioritization/selection of village investments, participatory management, oversight and monitoring, and participatory O&M. This community engagement is expected to activate target communities and mobilize youth throughout the four-year construction period of the Transmission Line. To promote the equal participation of young men and women in the project, opportunities for youth leadership will be offered throughout the community mobilization process. Gender-sensitive mechanisms will be identified in communities and tailored to the local context to ensure the active participation of young women (who are typically marginalized from participation in public affairs).
- **3B: Support for Social Accountability, Transparency and Oversight.** Component 3B will support a number of social accountability measures to enhance subproject oversight and promote transparency and accountability



of government and project actors to the broader community. The social accountability approaches envisaged in the project aims to: (i) ensure that local actors and all project implementing agencies are accountable to the beneficiary communities for delivering on project objectives; (ii) build capacity of local actors, including youth to play a role in exacting accountability; (iii) allow for complaint and response; and (iv) feed into project monitoring processes through a transparent and structured process of community feedback and action. Three instruments – social audits, community scorecards and a beneficiary feedback mechanism – are planned.

- **3C: Support for Local Capacity Building.** The project will also support jamoats to develop the skills and confidence to fulfil the regulatory mandate. Subcomponent 3B will finance capacity building activities for Jamoat and quasi-government actors. This would include the Mahalla leaders, Jamoat Councils and Administrators, Jamoat Project Commission members, as well as other identified women leaders. Five areas of capacity building are envisaged.
  - a. Managing investments in communities (participatory planning, project management and oversight).
  - b. Managing finance locally – learning by doing. Managing risks locally.
  - c. Managing governance and anti-corruption risks.
  - d. Establishing energy efficient Jamoats.
  - e. Jamoat support for youth development.
- **3D: Additional Support for Border Communities.** Subcomponent 3D will finance incremental and supplemental costs of supporting border development investments in the higher risk border and enclave communities in the Townships of Vorukh and Chorkuh in Isfara, which lie close to the transmission line in a number of contiguous sub-districts in the Kyrgyz Republic. Additional community facilitation support will ensure Project activities are delivered in ways which are sensitive to local tensions and competition over natural resources and services, enhance cross-border connectivity and cooperation, and promote the participation of at-risk young people and the meaningful participation of women. This additional support will include: (i) building the capacity and resilience of local institutions with a focus on border area risks, (ii) engaging youth from border villages in investment planning, (iii) promoting dialogue and strategic planning on border area development, and (iv) establish the required mechanisms and approval process to implement border-area small infrastructure investments, including engaging district, oblast, and national officials as required. It will ensure all key stakeholders are included, and where possible bring together relevant Tajik and Kyrgyz stakeholders.

#### Component 4: Project Management, Coordination, M&E, and Communications

- **4A: Project Management** will finance the incremental costs of NSIFT for overall project coordination, management and supervision of implementation, procurement, and financial management, including project audits.
- **4B: Monitoring and evaluation** will support monitoring and evaluation (M&E) activities to track, document and communicate progress and results. M&E will be conducted by an M&E team established in NSIFT responsible for overall compilation of progress and results. This Subcomponent will finance NSIFT to prepare project reporting, ensure the results of community monitoring are disseminated, and fund the independent evaluation for the project.
- **4C: Communications** will support the development and dissemination of CASA1000 materials and messaging, ensure ongoing information sharing and feedback, monitor the impact of communications efforts, and train communications staff to take part in communications activities. Emphasis will be placed on two-way communication; feedback from local stakeholders will be documented, and the response of the relevant agency tracked.



## E. Implementation

### Institutional and Implementation Arrangements

- **Barqi Tojik (BT)** through the “Energy Sector Project Management Unit” (ESPMU) will execute Component 1. BT will be responsible for procurement, financial management, technical supervision, and monitoring and evaluation related to Component 1. All costs for this management as well as the costs of the Village Electricity Supply improvements and substation will be included under Component 1. BT will open a designated account at the central treasury. As is well established practice, BT will delegate to the ESPMU - the institutional mechanism established in Tajikistan to help Barqi Tojik in implementation of wide area of Investment Projects in Power Sector funded by Development Partners including World Bank (IDA), ADB, EIB and others. It is presently staffed by about 80 persons trained in all aspects of PMU operations including accounting, tax, and technical disciplines as well as safeguards specialists (environmental and social). The PMU has handled projects totaling more than \$3 billion and managed IDA supported projects with Barqi Tojik as the executing agency; it has demonstrated its efficiency in FM, procurement and record keeping. BT executing agency staff are involved in decision making and, in any training, provided by equipment suppliers and engineering, procurement and construction contractors.
- **NSIFT** will serve as the implementing agency for Components 2, 3 and 4. NSIFT will ensure effective community mobilization, social accountability and local capacity building activities; contract the Training and Facilitating Partner for capacity building of communities, Jamoats and NSIFT field and HQ staff for the corridor and Isfara target areas; carry-out sub-grant distribution, support the development of proposals and sub-project technical design and tender packages and implementation (safeguards, procurement, construction, supervision, handover); as well as performing all fiduciary, all necessary coordination institutional support and with oblasts and districts, and consolidated reporting and project management tasks outlined in the POM. NSIFT will be responsible for M&E, the beneficiary feedback mechanism (including the GRM) and project-related communications and outreach, in coordination with ESPMU. Implementation of Component 3 will be supported by **the Training and Facilitating Partner(s) (TFP)** tasked with training, capacity building, facilitation and technical assistance necessary for implementing Component 3 in the target areas of the COI and Isfara district. The TFP(s) will be procured through a competitive, open procurement process as early as possible in the project, and the costs will be entirely financed from the MDTF. The TFP(s) will work closely with NSIFT in all regions, have experience working in an international-national consortium, and have relevant experience in working effectively in the target regions (including with authorities in Isfara as necessary). Coordination mechanisms will be established at both regional and national levels with all necessary stakeholders.
- The self-governing **Jamoats** at the subdistrict level will play a key role in the project working with the communities, NSIFT, TFPs and district authorities in local development planning and sub-project implementation (including community procurement). The Jamoat will establish a Jamoat Project Commission to: (i) support and represent the target communities in the subproject implementation process as defined in the POM; (ii) endorse subproject(s) for funding during each cycle, including the youth development activities, and ensuring alignment with the Jamoat Development Plan; (iii) inform NSIFT of target communities subproject selections; (iv) to develop subproject proposal(s) including any safeguard-related requirements; (v) coordinate with NSIFT on the technical designs of the selected subprojects; (vi) carry out the procurement function or request NSIFT to conduct procurement on their behalf as defined in the Sub Grants Manual; (vii) oversee contract execution; (viii) propose and implement O&M plans and resolve



- issues related to ownership and functionality; and (ix) coordinate with relevant stakeholders (line departments, utilities, NGOs, Districts).
- At the community level, Mahalla Committees (MCs) (or other community-based organizations where relevant), will establish **Village Project Committees** (VPCs) in target villages/areas to mobilize communities, support community capacity building, and lead the selection and implementation of sub-project activities. The membership of the VPC will be comprised of Mahalla Committee members, along with additional elected/nominated community members to ensure equal representation of women and youth in the committee. it is anticipated that committees will vary in size from 8-20 members, given the significant variation in populations of target communities.

With regards to **safeguards implementation**, as is the case with CASA1000, **Safeguards implementation** will be carried out by ESPMU and NSIFT for components 1 and 2 investments respectively. This includes inter alia: (i) supporting Jamoat Project Commissions with information and capacity building (including the environmental criteria to be used, procedures to conduct the ESIA etc.); (ii) environmental and social screening and evaluation of subproject eligibility; (iii) communication and coordination with the Committee on Environmental Protection; (iv) ensuring proper implementation of the ESMP and ESMP Checklist requirements as well as social due diligence tasks, including preparation and implementation of RAPs, if necessary during the subprojects' realization; (v) addressing complaints and feedback from project stakeholders and the public, including grievances regarding environmental/social impacts of subprojects; (v) supervising (independently or jointly with the State Ecological Inspectorate) environmental protection and mitigation measures stipulated in the ESMPs; (vi) monitoring of environmental and social impacts as part of overall monitoring of the subprojects implementation; and (vii) reporting on environmental and social impacts originating during implementation and supporting mitigation measures to minimize negative consequences. Additionally, in accordance with OP4.01, the ESPMU will undertake an ESIA for Isfara-1 Substation, prepare the site-specific ESMP, disclose and conduct public consultations with all interested parties and the local population.

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

The project will be implemented in the Jamoats with villages that lie within the CASA1000 corridor of impact (Col), defined as 1.5 kilometers from either side of the CASA1000 Transmission Line (TL). The CASA-1000 TL extends from Sugd province in the north bordering the Kyrgyz Republic to Khatlon province in the south. There are 60 villages in the Col, traversing 24 Jamoats and 8 districts. In addition, the project will support target areas in the Isfara district, in Sughd province and the enclaves and border villages near the CASA1000 TL in the Kyrgyz Republic. It is estimated that 130,000 people live within the Col, and 73,000 in target areas in Isfara. At the institutional level, Barqi Tojik, the Energy Sector PMU, NSIFT, and 24 Jamoats and community-based organizations in the Col, as well as the townships in Isfara, will benefit from the project through capacity building aligned with their institutional responsibilities.



#### G. Environmental and Social Safeguards Specialists on the Team

Arcadii Capcelea, Environmental Specialist

Mohamed Ghani Razaak, Social Specialist

#### SAFEGUARD POLICIES THAT MIGHT APPLY

| Safeguard Policies                  | Triggered? | Explanation (Optional)   |
|-------------------------------------|------------|--|
| Environmental Assessment OP/BP 4.01 | Yes        | This policy is triggered as the project will support a series of activities which will generate some environmental and social impacts. The proposed project activities under Component 1 (upgrading existing supply-level substations that are overloaded, or building new substation and installing supply-level transformers, lines and poles in parallel with upgrading existing supply-level facilities by concentrating on aging and overloaded transformers and replacing wooden poles and wires; under Component 2 (access to water supply for drinking, small scale on farm irrigation canals rehabilitation, sanitation services, access to food and nutrition security, health centers, rehabilitation of kindergartens and schools, roads, footpaths and bridges, and sports/social facilities, etc.), and implementation of clean efficient heating stoves or solar powered cookers, street lighting (including solar-powered systems), small renewable energy elements (solar powered PVs, or solar powered water heaters/collectors, heat pumps), insulated doors, windows for public and private buildings (public sector buildings such as schools, kindergartens and medical centers will be given precedence), energy efficient water pumps); and under Component 4 which may support some small civil works for minor internal refurbishing activities, might generate a series of various environmental and social impacts. These impacts would be associated with noise, dust, air and water pollution, solid waste management, biodiversity degradation, health hazards and labor safety issues, etc. These impacts are expected to be typical for small scale |



construction/rehabilitation works or for various energy supply or energy efficiency activities, temporary by nature and site specific and can be easily mitigated by applying best construction and/or energy supply or energy efficiency practices and relevant mitigation measures. To address potential environmental and social issues the borrower prepared an Environmental and Social Management Framework (ESMF) which specifies the Environmental and Social Impact Assessment (ESIA) requirements for investments to be supported under Components 1 and 2. This document covers the following: (i) rules and procedures for environmental and social screening; (ii) guidance for preparing subprojects ESIA and/or simple ESMPs or ESMP Checklists; (iii) possible mitigation measures for different types of subprojects; and (iv) requirements for monitoring and supervision of implementation of ESIA/ESMP requirements. The proposed capacity building activities under Component 3 will include identifying subprojects environmental impacts and rules and procedures for preparing ESIA and ESMPs. Per WB requirements, the ESMF was disclosed and consulted in the country with all interested parties and the local population.

During preparation, it was found that the proposed Isfara-1 substation will provide electricity to a new settlement (Vahdat) that has been under development by the Government in Isfara to receive people relocating from densely populated areas and adjacent villages along the Kyrgyz border, including villages that fall under the project area. This new township is being built on public lands that the Government allocated for the development of new residential areas. The majority of land plots have already been distributed among 2,535 households. A social due diligence found that this township development is not an associated activity for the purpose of OP 4.12 because: (i) it is not significantly related to achieve Project objectives since, if people expected to resettle in Vahdat township do not elect to do so, the power generated from Isfara substation would be transferred to the main grid and used to provide reliable electricity service to villagers in the target area; (ii) it is not in any way necessary to achieve the project objectives as the project will be



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|  |     | able to achieve the objective without the new Vahdat township; and (iii) it is not carried out, or planned to be carried out, contemporaneously with the project because it is a part the Government's National Program which started in 2012. Hence, the social due diligence concluded that township development is not an associated activity for the purpose or OP 4.12. The project seeks to address potential non-OP 4.12 social risks through various project design mechanisms such as the screening process, and the awareness building, social audits and community scorecards facilitated under Component 3.   |
| Performance Standards for Private Sector Activities OP/BP 4.03 | No  | N/A   |
| Natural Habitats OP/BP 4.04                                    | No  | This policy will be not triggered as the project will support investments only in existing settlements.   |
| Forests OP/BP 4.36   | No  | This policy will be not triggered as all project activities will be implemented in existing settlements and there will be no support for any wood harvesting activities.  |
| Pest Management OP 4.09  | No  | This OP 4.09 is not triggered as the project will not finance purchasing of pesticides and and/or proposed project activities that could lead to their increased usage.   |
| Physical Cultural Resources OP/BP 4.11                         | No  | This policy will be not triggered as all project activities will be implemented within existing settlements and any subprojects which might have impacts on PCRs will be excluded from project financing.   |
| Indigenous Peoples OP/BP 4.10                                  | No  | There are no Indigenous Peoples' as per the World Bank's policy in Tajikistan.  |
| Involuntary Resettlement OP/BP 4.12                            | Yes | This policy is triggered to address potential minor impacts of planned work under Components 1 and 2. Even though physical relocation of households or properties is not expected, some potential social risks and impacts due to small scale and/or temporary land acquisition, restriction of access and economic losses might occur. It is expected that the construction will be carried out within the footprint of existing infrastructure or on available lands that are publicly owned. However, land may be required for new low-voltage lines in settlements where no electricity transmission lines currently exist, as well as for expansion of water supply systems, placing |



|  |     |   |
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|  |     | mini-shops for fruit processing, dairy products, placement of paramedic posts, schools, hospitals, etc. that may be selected by beneficiary communities. The presence of informal users or structures and associated economic impacts covered under OP 4.12 also cannot be ruled out. While public land is expected to be made available in case of expansion of new infrastructure, the project also allows for voluntary land donations by the community or individuals. The land donation process need to be monitored carefully in order to ensure person or household being worse off than pre-project levels and must receive benefits from the project. A Resettlement Planning Framework (RPF) has been prepared which outlines the procedures and requirements in carry out social safeguards due diligence related the policy ( OP 4.12).<br>This policy will be not triggered as all project activities to be supported will not have any impacts on dam safety. Furthermore, the small-scale on-farm irrigation or water supply infrastructure rehabilitation subprojects eligible for funding will not depend on the performance of existing dams as the water sources to be used are small streams flowing from the mountainous project area. |
| Safety of Dams OP/BP 4.37                      | No  |   |
| Projects on International Waterways OP/BP 7.50 | Yes | This OP is triggered as the project will finance sub-projects which may affect international waterways: rehabilitation of on-farm irrigation and rural water supply and sanitation subprojects. These investments are expected to involve only rehabilitation of existing networks within the original boundaries and design parameters of the irrigation and water supply and sanitation schemes. No new abstraction is expected. Accordingly, the works to be funded under the Project are rehabilitation of existing irrigation and drainage schemes and of the rural water supply networks which will not (i) adversely change the quality or quantity of water flows to the other riparians; and (ii) be adversely affected by the other riparians' possible water use. Consequently, an exception to the external notification requirements of OP 7.50, set forth in paragraph 7(a) for the project has been obtained from VPU on December 12, 2018.  |



|                                       |    |  |
|---------------------------------------|----|--|
| Projects in Disputed Areas OP/BP 7.60 | No | The project will not support any activities in disputed areas. |
|---------------------------------------|----|--|

## KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

### A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

Potential adverse environmental impacts of the project could be associated with issues such as noise, dust, air and water pollution, solid waste management, degradation of vegetation, traffic disruption (depending upon specific location), and worker safety (e.g. welding operations). These possible impacts are typical for small scale construction/rehabilitation works and for village-level energy supply or energy efficiency activities. Possible social impacts could include: unmet expectations of benefit-sharing by local communities residing outside of the jamoats through which the Col passes, depriving individuals of land and other assets in the guise of voluntary donations, health hazards, and labor issues (including relying on child labor for agricultural activities). These potential impacts and risks can be addressed with sound engineering and construction and preparing and implementing adequate mitigation measures for potential social risks. It is expected the selected subprojects will not be located in protected areas, critical habitats or culturally or socially sensitive areas. This will be confirmed as part of the subprojects screening and the ESIA processes. Category A subprojects that may cause significant environmental or social impacts will not be eligible for support, and will be specified in a “negative list” included in the Project Operations Manual (POM).

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area: The expected long-term and indirect impact of the project is expected to be mostly positive for target communities and includes improved livelihoods.

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

In the absence of the proposed project, there is an increased probability for negative economic and social consequences in CASA1000 transmission line corridor of impact and a worsening of the living conditions of the local population.

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

Since communities will prioritize and select subprojects through a community mobilization process financed by the project, at this stage of the project preparation, investments and their specific locations are not known. Therefore, the client prepared an Environmental and Social Management Framework (ESMF) for addressing potential adverse impacts which specifies the rules and procedures for the subprojects' Environmental and Social Impact Assessments (ESIAs) and for preparing Environmental and Social Management Plans (ESMPs). The ESMF document covers the following: (a) rules and procedures for environmental and social screening; (b) guidance for conducting subproject ESIAs and/or for preparing simple ESMPs, or ESMP Checklists; (c) possible mitigation measures and monitoring activities for different types of subprojects; (d) roles and responsibilities in the ESIA process and in supervision and reporting; and (e) capacity building activities to ensure efficient ESMF implementation. The ESMF specifies that all selected subprojects will be assessed from environmental and social point of views, be subject to an environmental and social risk screening, and then, as required based on this ESIA analysis, an ESMP or an ESMP Checklist will be



prepared and disclosed/consulted in the relevant localities as well as submitted to the State Ecological Expertise for approval (if this is required per national EA legislation). The ESMF also specifies that all selected subprojects, as well as office refurbishing activities proposed under Component 4 which may generate some environmental impacts, are subject to an ESIA and ESMP or an ESMP Checklist should be prepared and approved before any civil works are launched.

The ESMF provisions will also be used for conducting an ESIA and preparing a site-specific ESMP for the Isfara-1 electrical substation near the settlement of Vahdat. While the technical design is known (it will follow a standard design similar to other similar substations), due to the lack of project preparation funds, the detailed design for the Isfara-1 Substation, including the specifics of the site near the settlement of Vahdat, will be conducted in Year 1 by a Technical Consultant funded under subcomponent 1B. It has therefore not been possible to put in place an ESMP prior to Appraisal. In accordance with the requirements of OP4.01, after identifying the coordinates and finalizing the detailed design, ESPMU (on behalf of BT) will conduct an ESIA for Isfara-1 Substation and prepare the site specific ESMP. This will be disclosed and consultations held with all interested parties and the local population prior to tendering.

The ESMF implementation is the joint responsibility of Barqi Tajik - the Energy Sector Project Management Unit (ESPMU), National Social Investment Fund of Tajikistan (NSIFT), local government entities ("Jamoat Project Commissions") and subproject implementors and beneficiaries. Their institutional capacity assessment shows that a basic level of capacity exists to perform ESIA-related activities and to implement ESMF provisions. The assessment also identifies needs for additional capacity building activities and support. In this regard, the Project will support public outreach and training and technical assistance activities to ensure that environmental and social safeguards requirements are fully implemented.

Supervision of the ESMF and ESMPs implementation will be the joint responsibility of the Barqi Tajik/ESPMU and NSIFT and involved communities, which periodically (on a quarterly basis) will prepare short reports on progress of implementation of ESMPs. ESPMU and NSIFT will compile these reports and will include summary information about implementation of ESMPs as part of semi-annual Progress Reports to the World Bank.

The ESMP provisions will form part of the design documents for the project, and, will be included in construction contracts for selected subprojects, both into specifications and bills of quantities. Contractors will be required to include the cost of ESMP requirements in their financial bids and be required to comply with them while implementing project activities. The bidding documents for selecting the contractors will include specifications that would ensure effective implementation of environmental, health and safety performance criteria by the winning bidder and in particular: (i) preventing/limiting disturbance of soils and vegetation removal to the minimum; (ii) prevent soil compaction as well as other potential impacts; (iii) ensuring that all ground disturbing activities are conducted consistent with the construction requirements; (iv) developing a traffic management plan that include measures to ensure work zone safety for construction workers and the travelling public; (v) conducting all activities on installing new electrical equipment, implementing civil works, etc., will be done with due care, ensuring labor safety; etc. Payments to contractors will be contingent on the final inspection, with attention, to the requirement of restoring the site to its original condition upon completion of construction/rehabilitation activities. Additionally, contract clauses shall comply with national regulations on energy efficiency, construction, health protection, and safeguard laws and rules on environmental protection. The relevant implementing partner will assist JPCs or VPCs to monitor contractor compliance. The contract with the winning bidder will include obligations to inform community representatives and ESPMU and NSIFT of any significant Environmental, Health and Safety (EHS) accidents and events among subcontracted project workers.



5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The draft ESMF was consulted with all interested parties and representatives from local populations. For this purpose the document was disclosed on Barqi Tajik website on November 21, 2018 (<http://www.barqitajik.tj/upload/iblock/f34/RFP CASA 1000 CSP Tajikistan RUS.pdf>) and on December 4-8, 2018, ESPMU/NSIFT conducted local public consultations on the draft ESMF and invited all interested stakeholder organizations including local representatives of other Government bodies, such as local branches CEP, health and labor departments, local khukumats, jamoats, mahalla leaders and local NGOs from target sites in four locations (Kushoniyon, Jaihun, Isfara and Jabbor Rasulov districts). During the consultations, ESPMU/NSIFT presented a summary of the draft ESMF. In particular, the audience was informed about the screening of the projects, the Environmental Assessment for Category B sub-projects, potential impacts which may be generated as well as measures to be taken to prevent/mitigate potential impacts. Overall, the draft document was largely accepted by the participants and no major comments or suggestions to improve it were received. Based on the feedback obtained from participants, the ESMF was revised/updated and submitted on December 12, 2018 to the WB for disclosure on its website.

## B. Disclosure Requirements

### Environmental Assessment/Audit/Management Plan/Other

| Date of receipt by the Bank | Date of submission for disclosure | For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors |
|-----------------------------|-----------------------------------|--|
| 13-Dec-2018                 | 18-Dec-2018                       |  |

#### "In country" Disclosure

Tajikistan  
19-Nov-2018

Comments

### Resettlement Action Plan/Framework/Policy Process

| Date of receipt by the Bank | Date of submission for disclosure |
|-----------------------------|-----------------------------------|
| 19-Dec-2018                 | 19-Dec-2018                       |

#### "In country" Disclosure

Tajikistan  
19-Dec-2018

Comments

**C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)****OP/BP/GP 4.01 - Environment Assessment**

Does the project require a stand-alone EA (including EMP) report?

Yes

If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?

Yes

Are the cost and the accountabilities for the EMP incorporated in the credit/loan?

Yes

**OP/BP 4.12 - Involuntary Resettlement**

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?

Yes

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?

Yes

**OP 7.50 - Projects on International Waterways**

Have the other riparians been notified of the project?

No

If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?

Yes

Has the RVP approved such an exception?

Yes

**The World Bank Policy on Disclosure of Information**

Have relevant safeguard policies documents been sent to the World Bank for disclosure?

Yes

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?

Yes



## All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?

Yes

Have costs related to safeguard policy measures been included in the project cost?

Yes

Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?

Yes

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?

Yes

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**APPROVAL**

|                      |   |
|----------------------|---|
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|----------------------|---|

**Approved By**

|                           |                |             |
|---------------------------|----------------|-------------|
| Safeguards Advisor:       |                |             |
| Practice Manager/Manager: | Susan S. Shen  | 22-Jan-2019 |
| Country Director:         | Sascha Djumena | 23-Jan-2019 |