Appraisal Environmental and Social Review Summary

Appraisal Stage

(ESRS Appraisal Stage)

Date Prepared/Updated: 04/06/2020 | Report No: ESRSA00246
**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>
</thead>
<tbody>
<tr>
<td>Dominica</td>
<td>LATIN AMERICA AND CARIBBEAN</td>
<td>P171224</td>
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</table>

- **Project Name**: Dominica - Caribbean Regional Air Transport Connectivity Project

<table>
<thead>
<tr>
<th>Practice Area (Lead)</th>
<th>Financing Instrument</th>
<th>Estimated Appraisal Date</th>
<th>Estimated Board Date</th>
</tr>
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<table>
<thead>
<tr>
<th>Borrower(s)</th>
<th>Implementing Agency(ies)</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Ministry of Finance</td>
<td>Office of the Prime Minister</td>
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</table>

**Proposed Development Objective(s)**

The Project Development Objective (PDO) is to (i) improve operational safety and resilience readiness to natural disasters of air transportation and (ii) strengthen the capacity of key agencies in air transportation operations and airport investment planning in Dominica

**Financing (in USD Million)**

<table>
<thead>
<tr>
<th>Amount</th>
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<tbody>
<tr>
<td>13.00</td>
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</table>

**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 project will support targeted and integrated technical assistance and investments to improve Dominica’s air traffic safety, airport infrastructure resilience to natural disaster, and decision-making capacity for major air transport sector investments. This will be done through a combination of safety and operational improvements concentrated in the two existing airports of Dominica – and technical assistance activities aiming at strengthening the capacity of DASPA and Department of Civil Aviation. The proposed Project would comprise three components: Component 1 – Improvement of safety and resilience at the two existing airports; Component 2 – Capacity Building and Institutional
D. Environmental and Social Overview

D.1. Project location(s) and salient characteristics relevant to the ES assessment [geographic, environmental, social]

The proposed project will be implemented in Dominica’s two existing airports: Douglas-Charles (DOM, formerly known as Melville Hall), and Canefield (DCF) Airport, located on the northeast and west-central coasts, respectively; and, on two existing communications towers (precise locations to be identified during detailed design stage). Specific components and activities are described below.

Component 1 includes safety and resilience improvements (US$ 5.0 million) at both airports. At DOM (US$3.5 million) the investments include ILS (US$2 million), ADS-B (US$0.5 million), technical studies to support ILS and ADS-B deployment (estimated cost US$0.5 million), and repairs and modernization of Crash, Fire, and Rescue (CFR) equipment at DOM (estimated cost US$0.5 million). At DCF the Investment Program (estimated cost US$1.5 million) investments would include: re-equipping the Air Traffic Control Tower (estimated cost US$0.25 million), runway lighting system (estimated cost US$0.25 million), GNSS (Global Navigation Satellite System) approach (estimated cost US$0.5 million), and ADS-B (estimated cost US$0.5 million).

The proposed works under Component 1 do not include any major civil works or installation of heavy equipment. The project impacts are likely to be site-specific and not significant. The project sites are already developed as airport facilities and communications towers, and are highly modified from their natural condition. The details of the above-mentioned activities under Component 1 are not known at the appraisal stage and the project will support engagement of several specialists during the project implementation for the detailed engineering design. A preliminary environmental and social assessment (ESA) was prepared based on the available information on the scope of the different activities and considers the World Bank’s Environmental, Health and Safety (EHS) General Guidelines and the specific Guidelines developed for Airports.

In addition to project interventions within the existing airport perimeters, the project will support the installation of two antennae for the Automatic Dependent Surveillance – Broadcast (ADS-B) system. The antennae need to be placed on hilltops outside the existing airport properties, for which existing communications tower facilities will be preferred. The locations of the towers/antennae will be finalized during the detailed design based on the results of technical studies during implementation. In the unlikely event that the tentatively selected locations are not suitable and a new tower must be constructed to install the antenna, then it has been agreed that the PIU will screen out locations on land (public or private) and/or access roads where there could be informal users who have structures, crops or pasture animals on vacant areas, and will exclude any locations that could involve involuntary resettlement or impacts to natural habitat. The locations will be confirmed during implementation and the ESA will be updated accordingly to include an assessment of the environmental and social impacts of the proposed final ADS-B antennae locations.

Component 2 (US$7 million) includes Technical Assistance & Project Implementation Support. Independent expert airport planning support (estimated cost US$4.0 million), consisting of a first phase of Master plan refinement study (estimated cost US$1.5 million) with independent cost estimates, aviation activity forecasts, and a financial model for a new proposed airport; and, a second phase of on-site airport planning support (estimated cost US$2.5 million).
Organizational capacity building (US$1.0 million) to strengthen DASPA and the Department of Civil Aviation as well as improving collaboration with ECCAA, including a Gap Analysis study (estimate cost US$0.5 million), and capacity building studies and investments (estimated cost US$0.5 million). The component also includes project management assistance (estimated cost US$1.0 million) that would support hiring of a short-term consultant to support Project implementation.

As is the case with the physical works, details of the technical studies will be finalized during project implementation and the requirements set out in paragraphs 14–18 of ESS1 will be applied to Technical Assistance (TA) activities as relevant and appropriate to the nature of the risks and impacts. The terms of reference, work plans or other documents defining the scope and outputs of TA activities will be reviewed so that the advice and other support provided are consistent with ESS 1–10.

The borrower has carried out a preliminary Environmental and Social Assessment (ESA) and prepared three (3) environmental and social management plans (ESMPs) for two airports and the off-site ADS-B antennae. The detailed engineering design will be carried out after the project approval, and the preliminary ESA and ESMPs will be updated accordingly at that time.

According to the assessment carried out during project preparation, project activities will not cause displacement or relocation of individuals or households, since works are meant to be implemented within the boundaries of two existing airports – which are public lands and free of encroachments – and on existing communication tower facilities.

Component 3 is a Contingent Emergency Response Component (CERC) which would finance the implementation of emergency works, rehabilitation and associated assessments, at the GoCD’s request in the event of a disaster. The component would be triggered and disbursed in accordance with an Emergency Action Plan prepared by the GoCD and the Bank’s CERC Guidance (Oct. 2017). In addition to the proposed World Bank funded CATCOP project, The GoCD plans to build a new airport in a more resilient location to replace DOM in order to improve extra-regional connectivity and air transport sector resilience. To support Dominica as it finalizes plans for a new airport and negotiates with potential partners and suppliers, the project will support through technical assistance (i) a specialist airport planning firm would refine the new airport master plan including preparing independent cost estimates and a financial model as well as ensuring appropriate climate / disaster resiliency given Dominica’s vulnerability (phase 1); and (ii) airport business and facility planning experts to support the Government in air transport investment planning over a 36-month period as it prepares to construct the new airport and negotiates with potential partners and suppliers (phase 2). The scope of the proposed Technical Assistance component of the project was reviewed at the project concept stage considering the ESS1 requirements for the applicability of associated facility. The World Bank project will not finance neither the design nor the construction of the new airport. It was determined that the new airport would not be considered as associated since it does not meet all the three criteria of ‘Associated Facilities’ as per as per paragraph 11 and footnote 18 of ESS1 because i) the new airport project development still at the planning stage and it will not be contemporaneous with the CATCOP project; ii) the new airport will be constructed in a different physical location, and iii) the CATCOP project would be viable with or without the new airport.

D. 2. Borrower’s Institutional Capacity

The project will be implemented by newly created Project Implementation Unit (PIU) in the Office of the Prime Minister. The Dominica Air and Sea Ports Authority (DASPA), the airport operator and air traffic services (ATS) provider in Dominica, is one of the chief stakeholders in the project. In addition to DASPA, the PIU will work closely
with other ministries and agencies, including the Ministry of Tourism and International Transportation and Maritime Initiatives. The project preparation was supported by environmental specialist within the Implementation Support Team (IST) which serves as technical and fiduciary interface with multilateral institutions like World Bank. The borrower recognizes they lack in-house capacity to manage the requirements of the environmental and social standards associated with the project. The PIU will engage an Environmental and Social Specialist for monitoring the implementation of the project and to ensure compliance with ESCP, ESMPs, LMP and SEP. The Borrower will rely on the ESF of the Bank and will use the opportunity to build and strengthen their capacity to manage environmental and social risks. Accordingly, the project includes provision of capacity development of the client on environmental and social management. In addition, the contractor and supervision consultant will have their dedicated staff for to carry out the ESMPs, SEP, and other relevant subsidiary plans.

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

A. Environmental and Social Risk Classification (ESRC)  Moderate

Environmental Risk Rating  Moderate

The environmental risk classification is Moderate under the World Bank Environmental and Social Framework based on the nature and scale of the project intervention and client capacity. The project is not expected to have any significant or irreversible impacts on environment and human health. A significant part of project resources is targeted to technical studies, technical assistance for independent airport planning support, on-site airport planning and capacity building and project management. The proposed physical works are limited to the installation of equipment, some repairing and runway lighting. The project activities are completely within already developed areas (airports and towers) with restricted access, thus minimizing community health and safety risks. Project activities are expected to be limited to existing sites, limited in number, likely reversible in nature, and can be mitigated with measures that are readily identifiable and technically and economically feasible. The off-site ADS-B antennae will most likely be installed on existing communications tower facilities at strategic points, although the ESMPs consider that any if any new tower locations are proposed then they will be screened for site access, environmental conditions, and land ownership. Overall, the project is likely to reap positive environmental benefits through enhancing the safety and resilience at the two airports.

Social Risk Rating  Moderate

The social risk classification of the project is Moderate. The project will be developed in a context of low institutional and organization capacity for management of the World Bank Environmental and Social Standards, including stakeholder engagement. Technical Assistance and Capacity building activities of the project, while themselves having minimal or no social or environmental impacts, will need effective stakeholder engagement to improve the medium and long term environmental and social sustainability of project results.

Permanent and/or temporary displacement will not be supported under the project. Construction work (if any) will be limited to the retrofitting and upgrading of equipment of existing airports and the installation of ADS-B antennae on two existing communications towers at selected locations outside the airports. There are also not any Indigenous Groups in the project’s area of influence. The project has developed a Labor Management Procedure and Occupational Health and Safety procedures to mitigate any risks and impacts associated to the labor force - that will
consist mainly of direct and contracted workers - as well as a Stakeholder Engagement Plan and Grievance Redress Mechanism to address potential project related concerns and claims from workers and public.

The Bank will review the Environmental and Social Risk Classification (ESRC) on a regular basis throughout the project life cycle to ensure that it continues to accurately reflect the level of risk the project presents.

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 standard is relevant for the project. Although the proposed project is likely to reap positive environmental and social benefits through enhancing safety and resilience at the two existing airports and technical assistance, there are limited environmental and social risks and impacts deriving from the implementation of component 1 of the project related to: (i) management of solid and hazardous waste from disposal of old equipment and construction and machinery during installation of different new equipment and repairing/renewal works; (ii) nuisances related to air and noise emissions from installation and repairing works; (iii) occupational health and safety of workers and supervisors; and (iv) community health and safety to control traffic and ensure that the public does not enter work zones.

The implementing agency has carried out a preliminary Environmental and Social Assessment (ESA) of the proposed project. The ESA includes assessment of the project-induced environmental and social impacts and associated risks based on the currently available design to ensure that the project will be environmentally and socially sound and sustainable, and will be used to inform decision making. The ESA confirms that the impacts are not significant for the proposed project and can be mitigated with standard mitigation practices, and includes ESMPs and outlines of the different plans to be prepared for the project. The ESA and ESMPs will be further updated at the detailed design stage and the relevant ToR elements for the updates have been included in the preliminary ESA. The ESMPs were developed in accordance with the World Bank’s EHS General Guidelines with specific consideration of the Guidelines on Airports. In addition, the contractor will prepare the Construction Environmental and Social Management Plan (C-ESMP) before execution of any physical works.

Although the project will not finance the design, nor the construction of the new airport - thus, the potential new airport does not constitute an associated facility - the technical support provided by the project will appropriately consider elements to be taken into account by the “cost modeling exercise” including factoring reasonable cost estimates for compliance with ESF provisions such as costs of resettlement and/or environmental mitigation. The scope of the cost modelling exercise is to be defined during implementation, and the safeguards aspects will be considered in accordance with relevant guidance for Technical Assistance (TA).

The project has developed a Stakeholder Engagement Plan (SEP) to manage participation of all stakeholders and includes a Grievance Redress Mechanism. The project has also developed an Environmental and Social Commitment Plan (ESCP).
To ensure that the Contingency Emergency Response Component (CERC) Component complies with the requirements of the World Bank Environmental and Social Framework, a list of possible CERC activities were identified in the ESA as well as a list of eligible activities and environmental and social procedures to be followed, if the component is triggered. Further, the ESA contains procedures for debris removal and disposal, which should encompass the majority of CERC activities with potential for negative environmental impact.

ESS10 Stakeholder Engagement and Information Disclosure

The standard is relevant. The main stakeholders are Government workers and officials as well as the public who will make use of airport transportation services and the nearby communities. Government agencies that will be involved (preliminary estimate) are: Ministry of Environment, Climate Resilience, Disaster Management and Urban Renewal; Ministry of Finance; Ministry of Tourism and Culture; Ministry of Planning and Economic Development; Ministry of Housing and Lands; Dominica Air & Sea Ports Authority (DASPA); Dominica Association of Industry & Commerce (DAIC), organization of the Civil Society (Universities, NGOs, other projects present in the Project area of influence among others.

The Government has provided an SEP that outlines a) who the key stakeholders are; b) how they are to be engaged; c) how often the engagement will occur throughout the project; d) how feedback will be solicited, recorded and monitored over the project; e) who will be charged/responsible with this engagement; f) timeline for this engagement, and so on. The SEP is expected to be updated from time to time as/if necessary. The Stakeholder Engagement Plan (SEP) also describes the measures that will be used to remove obstacles to participation, and how the views of differently affected groups will be captured. The Borrower has proposed and will implement a Grievance Redress Mechanism to receive and facilitate the resolution of concerns and grievances. The GRM will be administered by the PIU.

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 given that the project will hire direct workers that will be engaged directly by the Borrower to work specifically in relation to the project. Some specialized personal may be hired to install state-of-the-art safety equipment and for training (capacity building). Some unskilled workers may also be hired to perform small, repetitive, and unskilled tasks, but relatively in small amount that will be estimated before project appraisal. The project may also be engaged with contracted workers who are people employed or engaged through third parties for different aspects of project implementation including repairing and equipment of airport facilities. It is expected that the number of contracted workers will be small (fewer than 50 persons).

Government civil servants are expected to work in connection with the project, whether full-time or part-time. They will remain subject to the terms and conditions of their existing public-sector employment agreement or
arrangement, unless there has been an effective legal transfer of their employment or engagement to the project.

ESS2 will not apply to such government civil servants, except for the provisions of Protecting the Work Force Occupational Health and Safety. The project does not intend to engage with primary supply workers. The project does not intend to include the use of community workers. The LMP has been developed and included as an annex in the ESA.

ESS3 Resource Efficiency and Pollution Prevention and Management

The standard is relevant. The project will seek to avoid or minimize project-related emissions and generation of waste, and to promote the sustainable use of energy. The repairing and installation of equipment (including dismantling of old equipment) at the airports will generate construction debris and hazardous or non-hazardous waste that need to be disposed of in a proper way. The ESMP outlines the requirement of the debris and waste management of the proposed project. Appropriate waste management measures will be reflected in the contract documents to ensure the requirements to manage waste from construction, including end location of the waste removed. The technical specifications of different equipment will promote energy efficiency and measures to reduce GHG emissions. The project will use energy efficient Light Emitting Diode (LED) bulbs in runway lighting. The specification of LED runway lighting will be available at the detailed design stage. The project will not undertake GHG accounting given the negligible change in emissions from the project.

ESS4 Community Health and Safety

The Standard is relevant considering the repairing/renewal works and installation of equipment at two airports and the off-site towers. Although most of the work will be confined to the existing and secured areas of the two airports and existing towers, some of the associated activities such as transportation of construction materials, machinery and equipment, and installation of off-site ADS-B equipment may increase the risk of traffic hazard and associated incidents. In addition, there are some chances of community health and safety risk if unauthorized people enter work zones.

The ESMPs outline the measures to reduce the community health and safety risk, especially establishment of security perimeters around the sites to minimize the risks of injury or accidents to the public. At existing airports this will be done through signage, and temporary fencing where appropriate, to cordon off entryways and ensure public (passengers’) safety. For work at ADS-B antenna sites, access restrictions will be used for areas not already closed to the public. Airport security personnel are already in place and will be present to enforce access restrictions. If additional security personnel are needed, then a Security Plan would be prepared to inform/educate on their role and their conduct (no use of force except for preventative or defense purposes) while on the premises, and to require screening of security personnel for past offenses. The requirement of additional security personnel will be known after the detailed engineering design and schedule of works are prepared.

The ESMPs also include mitigation measures for storage, handling, transportation and disposal of hazardous materials such as fuels, as part of Airport Security and Safety. Contractors will put in place a traffic management plan to ensure that trucks unloading equipment do not cause traffic jams and so equipment and supplies can be safely offloaded.
ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

The standard is currently not relevant. The project activities will not cause displacement or relocation of individuals or households, since works are meant to be implemented within the boundaries of two existing airports – which are public lands and free of encroachments – and on existing communication tower facilities. The project will not finance the design, nor the construction of the new airport, therefore project activities will not involve any related acquisition and restrictions on land use. However, the financial modelling under the TA provided in Component 2 will consider the estimated costs of potential resettlement and environmental mitigation consistent with the requirement of ESF. The scope of cost modelling will be defined during implementation and provided in accordance with relevant guidelines for TA.

The selected locations for ADS-B tower locations are expected to be on public lands with no impact on the physical presence or economic activity of people. However, their access routes will be screened and further evaluated in the ESA. If the purchase or acquisition of any lands is needed which will be decided upon final design during implementation, then ESS5 will become relevant, and such activity will be done in compliance with this standard.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

After careful review of all relevant information and the draft ESA, it is concluded that this standard is not currently relevant. The project scope does not include any expansion of the existing airport, but rather it will contribute to the existing airport’s safety and resilience. No construction or installation related impact is likely to have any impact on local biodiversity or living natural resources. Further to that, the project is not likely to result in significant change in the flight operations in either of the two existing airports. The project is not expected to induce any changes in bird collision incidents during the operation phase, and significant problems have not been reported to date. Under Component 2 the project will leverage established practices and lessons learned at existing CATCOP airports, as well as international best practices, to identify common approaches, systems, and tools. This activity will support only to learn from experience of other countries and will not finance the preparation of plan. However, it is expected that the process will lead in developing their own plan later stage.

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

The standard is currently not relevant. There are no persons who meet the definition of indigenous people present in the project’s airport locations. While it is unlikely that the ADS-B towers would be placed at sites that could potentially affect indigenous peoples, such locations would be screened out in the ESA as a precaution.

ESS8 Cultural Heritage

Although the project does not likely envisage any impacts on physical, cultural, and/or archaeological sites, the standard is considered relevant since some of the works may require excavation below ground. The borrower will rely on a chance finds procedure contained as a precaution in the project’s ESMPs and as part of construction contracts to be awarded under the project.
ESS9 Financial Intermediaries
The standard is currently not relevant, as there are no FIs involved in the project.

B.3 Other Relevant Project Risks
To date there are no additional risks or impacts that have been identified.

C. Legal Operational Policies that Apply

| OP 7.50 Projects on International Waterways | No |
| OP 7.60 Projects in Disputed Areas        | No |

III. BORROWER’S ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN (ESCP)

<table>
<thead>
<tr>
<th>DELIVERABLES against MEASURES AND ACTIONS IDENTIFIED</th>
<th>TIMELINE</th>
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<tbody>
<tr>
<td>ESS 1 Assessment and Management of Environmental and Social Risks and Impacts</td>
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<tr>
<td>Environmental and Social Assessment (ESA)</td>
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<td>Environmental and Social Management Plans</td>
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<td>Contractor ESMP</td>
<td>09/2021</td>
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<td>ESS 10 Stakeholder Engagement and Information Disclosure</td>
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<td>Stakeholder Engagement Plan (SEP)</td>
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<td>Adopt a grievance mechanism, as described in the SEP.</td>
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<td>ESS 2 Labor and Working Conditions</td>
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<td>Labor Management Procedure (LMP)</td>
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<td>ESS 3 Resource Efficiency and Pollution Prevention and Management</td>
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<td>Waste Management Plan consistent with the updated ESMPs</td>
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<td>Hazardous Materials Control Plan consistent with the updated ESMPs</td>
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<td>Resource Efficiency and Pollution Management Plan (REPMP) consistent with the updated ESMPs</td>
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ESS 4 Community Health and Safety

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<th>Traffic and Road Safety Plan (TRSP) consistent with the updated ESMPs.</th>
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<tr>
<td>Site Specific ESMP consistent with the updated ESMPs.</td>
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<td>Community Health and Safety Plan (CHSP) consistent of update ESMPs.</td>
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<td>Security Plan (SP), if necessary</td>
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</table>

ESS 5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

ESS 6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

ESS 7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

ESS 8 Cultural Heritage

| Chance finds procedure as part of ESA                            | 03/2020 |

ESS 9 Financial Intermediaries

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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Borrower/Client/Recipient
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Implementing Agency(ies)
Implementing Agency: Office of the Prime Minister

V. FOR MORE INFORMATION CONTACT
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VI. APPROVAL
Task Team Leader(s): Malaika Becoulet, Vickram Cuttaree
Practice Manager (ENR/Social) Valerie Hickey Cleared on 21-Mar-2020 at 20:12:15 EDT