



Integrated Safeguards Data Sheet Restructuring Stage

Restructuring Stage | Date ISDS Prepared/Updated: 10-Apr-2017 | Report No: ISDSR21855

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I. BASIC INFORMATION

1. BASIC PROJECT DATA

Project ID	Project Name
P128050	East-West Roads Project (Almaty-Korgos Section): Western Europe - Western China International Transit Corridor (CAREC - 1b)
Task Team Leader(s)	Country
Jacques Bure	Kazakhstan
Approval Date	Environmental Category
01-May-2012	Full Assessment (A)
Managing Unit	Is this a Repeater project?
GTI10	

PROJECT FINANCING DATA (IN USD MILLION)

Total Project Cost	Total Bank Financing
1256000000.00	1256000000.00
Financing Gap	
0	

Financing Source	Amount
Counterpart Funding	188000000.00
International Bank for Reconstruction and Development (IBRD)	1068000000.00
Total	1,256,000,000.00

2. PROJECT INFORMATION

Current Project Development Objective

The project development objectives (PDOs) are to increase transport efficiency along the section of the Western Europe-Western China Road Corridor within Almaty Oblast and to modernize highway management on sections of the Western Europe-Western China Road Corridor.

Proposed New PDO



The project development objective (PDO) is to increase transport efficiency and modernize highway management along the selected road sections of the Western Europe – Western China Road Corridor and the Center-South Corridor.

3. PROJECT DESCRIPTION

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4. PROJECT LOCATION AND SALIENT PHYSICAL CHARACTERISTICS RELEVANT TO THE SAFEGUARD ANALYSIS (IF KNOWN)

The proposed restructuring will finance civil works that will rehabilitate and upgrade the existing Balkhash-Burylbaital road section, for a total length of approximately 297 km (from 1855 km to 2152 km), which is in poor condition and with high accident rates. This road section was assessed in the ESIA prepared by the Borrower for the entire Center South Corridor program as part of the respective project, which was appraised in August 2016 but for which preparation has been recently stopped by the Government. As part of this restructuring, the Borrower has prepared draft ESMP for the 6 sections of the road in line with relevant detailed designs completed by the end of 2016. The existing road is a two lane road in a flat and hilly terrain located in Karaganda (150 km) and Zhambyl oblasts. The road section in Karaganda begins from km 1855 and passes through Aktogai district of Karaganda oblast between Balkhash and Saryshagan villages; the road section in Zhambyl oblast starts at km 2005 to km 2152 km and passes through several villages, i.e. Kashkan Teniz village (1 km from the road), Mynaral village (7 km from the road), Ulken village (is relating to Almaty oblast and passes in 9 km from the road), Shyganak village (1 km from the road), Burylbaital village (0,5 km from the road) of Moiynkum district. The road alignment goes partially along the shore of Lake Balkhash. The alignment area is characterized by semi-desert landscape with complex geological structure, and includes river valleys fed by groundwater sources or originating from mountain areas. As informed by the ESIA, it was concluded that the section of the road in Karaganda oblast passes through conservation zones, while a small section of the existing road in Moyynkum District of Zhambyl Oblast runs through a site with regulated regime of Zhusandalinskaya State Conservation Area of the National Significance (GZZRZ). No historical and cultural heritage facilities, as defined in the national legislation, have been found in the section km 1855-2005 but chance finds procedures will be followed if need be. No endangered species or habitants of animals listed in the Red Book of Kazakhstan have been encountered along the new alignment.

5. ENVIRONMENTAL AND SOCIAL SAFEGUARDS SPECIALISTS ON THE TEAM

Name	Unit
Ruxandra Maria Floroiu	GEN03
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6. SAFEGUARD POLICIES TRIGGERED

Safeguard Policies	Triggered	Explanation
Environmental Assessment (OP) (BP 4.01)	Yes	<p>The environmental Category A including for the additional road sections is justified given that the proposed alignment covers a variety of areas with different environmental and social safeguards implications such as the need to design road crosses and underpasses construction to allow safe trespassing of drivers and animals; special mitigation measures to protect water resources, or conservation areas; land acquisition along specific sections including bypass. The proposed works envisage partial reconstruction and widening the existing Class II road (last reconstructed in 2006) to Class Ib asphalt-concrete covered road, from 2 to 4 lanes, with multi-level interchanges, bypasses around selected settlements (i.e., on the road section km 1955 – km 2005, in the area of Saryagash village) but within the existing right of way (70 m), almost parallel to the existing road and thus, limiting the conversion of land to non-critical land types and land use types. The main impacts during construction is the operation of borrow pits, generation of waste (construction materials, spent consumables, household waste and wastewater from camps), excessive land use, topsoil destruction and erosion. There is also a potential impact on groundwater and surface water from excessive turbidity and siltation, and accidental spills involving fuels and lubricants. There will be no significant disruption of natural habitats and ecosystems by the additional road sections construction and operation. During operation, environmental risks would be linked to road storm drainage management, soils, ground and surface water pollution, noise, dust, and air pollution.</p> <p>In order to address the vulnerability to climate change, the Client has adopted some climate resilient road design standards, with specific measures for road pavement construction to better withstand extreme seasonal temperature differentials. In addition, snow and wind barriers and an elevated road formation are</p>



approaches being used to ensure the road performs better during snow and floods. These features will help the road survive during extreme weather conditions such as intensive snow, flood, and wind, as well as large winter/summer temperature gradient. Moreover, modern road-side service facilities will provide emergency services and evacuation points for road-users caught in extreme events. The project will finance Technical Assistance to design, plan and implement e-tolling strategies that will lead to green and sustainable growth for road transport. E-tolling tariffs will be designed so that heavy vehicles, and those with high green-house gas (GHG) emissions pay more, a policy approach aimed at promoting a switch to cleaner vehicles. The Borrower has prepared the ESIA for the entire CSRCP corridor, and an ESMP for Balkhash-Burylbaital section (1855-2152 km). The projected road expansion from 2 to 4 lane will go along the existing road alignment other than the proposed by-passes, thus number of people who will be affected by the project in connection to the existing road rehabilitation and reconstruction will be minimal. Only 23 persons and properties will be affected by the project. It has been found that within the road reserve no other properties will be affected. Reconstruction of the road may also require temporary land use for the entire period of construction to accommodate concentrated off-the-way borrows soil, construction camps, parking areas for road-building equipment and road-building materials warehousing sites. However, some of these impacts cannot be verified accurately at this stage. A RAP has been prepared which identifies broader social impacts including potential land acquisitions, PAPs, and mitigation measures. It also specifies the procedures to be followed by the Government of Kazakhstan through the Committee for Roads (CfR) and the Ministry of Investment and Development (MID), as well as actions that will be taken for proper resettlement and compensation payment to the Affected Persons.

The social management measures, in addition RAP implementation, require particular attention to provision of cattle crossing, ensuring accessibility to



		<p>settlements and improvements of the road signage. The contractors, through their social and environmental management specialist will provide regular monitoring and work to ensure feasible adjustment needed during construction works in consultations with local beneficiaries and project affected persons. The previous experience shows that the social specialist attached to the Supervision Consultant team carry out regular visits to each construction site and record concerns and suggestions of the affected person and road users. These records then shared with the contractor and necessary actions were taken to address people's concerns and their suggestions. This has been proved to be a 'good practice' and a similar exercise will be followed under this road section as well.</p> <p>An ESIA was cleared and disclosed under the Center South Project in 2016 (the CWP was in preparation then) and the same ESIA was disclosed again under the current project on June 1, 2017. A draft ESMP was disclosed on May 31 (local) and June 1, 2017 (English version).</p>
Natural Habitats (OP) (BP 4.04)	Yes	<p>The policy has not been triggered for the original project. However, it will apply to the additional alignment which runs along the current road through Karaganda and Zhambyl oblasts as well as along the Balkhash Lake, one of the largest lakes in Central Asia. According to the ESIA and ESMP field studies' findings, the sections of the road in Karaganda oblast pass through conservation areas. Also, a small section of the existing road in Moyynkum District of Zhambyl Oblast runs through an area with regulated regime of economic activity located at the Northern boundary of Zhusandalinskaya State Conservation Area. Based on the ESIA, there is no indication of concentration of rare or endangered species of this conservation area in the proximity of the additional road sections considered for this restructuring. Also, no regular or seasonal strong movement of animals has been observed in this area. The detailed designs incorporate specific adequate elements such as bridges over rivers, culverts and cattle and agricultural underpasses that will serve as potential routes for random movement of animals in</p>



		the area of the alignment. The draft ESMP acknowledges potential impacts on natural habitats and includes relevant mitigation measures for contractors during works.
Forests (OP) (BP 4.36)	No	The project does not involve forestry operations; no significant impacts on forests are expected and the policy remains not triggered as for the original project.
Pest Management (OP 4.09)	No	As in the original project, the policy will not be triggered for the additional road sections. No pesticides or herbicides are foreseen to be purchased or used for control of the roadside vegetation.
Physical Cultural Resources (OP) (BP 4.11)	Yes	The policy was triggered by the original project given the location of one PCR site identified on the considered alignment. In accordance with Kazakhstan legislation, PCRs that might be located within the protected zone of 200 meters from the road could be directly affected by works and as such the Client needs to prepare specific PCR Action Plans (APPCR). For the additional sections considered under the restructuring, no PCR sites have been identified close to the additional road sections (1855 km -2005 km) on the existing alignment. However, the policy remains triggered preventively; and in case of more PCRs identified in the project area during actual works, the national legislation will be implemented accordingly (works stopped and specific actions undertaken following the advice of the relevant authorities).
Indigenous Peoples (OP) (BP 4.10)	No	Not applicable as no indigenous peoples live in the project area.
Involuntary Resettlement (OP) (BP 4.12)	Yes	RPF was cleared and disclosed in April 2016. The policy is triggered due to anticipated land acquisition and resettlement activities primarily related to construction works associated with expansion to four lanes from the existing two. Additional impacts are expected to allow land allocation for parking of the road-building equipment, bypasses, borrows pits, construction camps, and road-building materials and warehousing sites. A RAP has been prepared for the road section. The impacts identified are as follows; Extent of lands required for permanent and temporary use for the road are 1433ha and 942ha respectively. Total number



land lots/PAPs are 23 which include both temporary and permanent loss of lands. The lands that to be acquired are largely belong to the State (except 6 cases where the PAPs use State lands on long term rental basis). There are no built structures or properties in these lands and they are used only for grazing or pasture lands for cattle and other livestock. As per the preliminary assessments, main adverse impact would be loss of grazing lands and all the affected persons will be provided with alternative pasture lands in the same locality. Lands that required for construction of camps and borrow pits to be acquired from the State and/or obtained through rental agreement on a temporary basis by the contractor, in case of private land. It has been agreed that the contractor pays cash compensation for rental and materials at replacement value rates for the lands acquired. Where willing buyer/willing seller is not feasible, an ARAP will be prepared based on the RPF. All the lands acquired temporarily and on rental basis will restored to original status at end of rental.

The construction activities require both skilled and unskilled labor. As per the experience from pervious road sections completed through Bank funds, contractors may accompany a sizable number of outside labor force (It is difficult make an estimate on actual size/number required at this stage). Nevertheless, influx of labor will be kept minimal and project will employ local labor force as much as possible for construction works. In order to minimize adverse impacts, efforts will be taken establish labor camps in locations outside of major settlements to ensure no undue social disturbance to local communities. The road sections completed under the previous Bank support shows that the labor camps established by the contractors are managed well and no reported incidence of adverse social impacts or disputes with local communities. One important observations in this regard is most of the outside labor force that brought for previous road works belong to same cultural/religious groups as the local communities and therefore social relations between outside labor force and local community was cordial



		<p>and mutually beneficial. A specific GRM was established at local community and camp level to address issues related to labor camp management. The grievance management and implementation will follow the GRM procedures as defined by the RPF/RAP. There is an outstanding compliant/issue of borrow pit #4 at km 88 of the project. The issue is mainly due to following reasons: Lack of constructive dialogue between the contractor and the land owner. The land owner is skeptical and less confidence on the Contractor's ability to address his concerns. Secondly, lack of supervision and effective use of grievance redress system. In the existing grievance redress mechanism, the complaints first go to the local government first and then to the Client. There is no evidence in place that complaints are registered and monitored by the Supervisor or Contractor. However, an agreement has been reached to find an amicable solution and the contractor agreed to resolve the issue of 20% slope gradient by either additional soil or using the existing space of the borrow pit. Nevertheless, in order to avoid such situations in future, it is necessary to have a liaison staff to resolve the conflict between PAPs and Contractor at the ground level. Also the exiting GRM of the project level reviewed and strengthened to address the issues effective and timely manner.</p>
Safety of Dams (OP) (BP 4.37)	No	<p>No additional dam safety issues were identified during the ESIA filed visits. There are only small low dykes required in line with designs for protection of river banks or related crossing infrastructures. No large reservoirs are located in the additional road sections.</p>
Projects on International Waterways (OP) (BP 7.50)	No	<p>As in the original project, no international waterways will be affected by the additional works. Theses sections are boarding the Lake Balkhash which is a basin shared by Kazakhstan (downstream riparian), and China, with a small part in Kyrgyzstan. The basin drains into the lake via several rivers, of which the Ili River is the major one. There are no grounds for triggering the policy since China is upstream of the additional sections.</p>



Projects in Disputed Areas (OP) (BP 7.60)	No	The project is not located in or near disputed areas.
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II. KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

A. SUMMARY OF KEY SAFEGUARD ISSUES

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

The design of the additional road sections considered measures for minimization of possible impacts to protect environment and the adjacent population from noise (routing, barriers), increase traffic safety by speed controls (traffic management plan), pedestrian crossings and underpasses (occupational health safety). It also took into account requirements from villagers along the alignment for safe crossings for animals and farm traffic through sufficiently dimensioned underpasses, and to facilitate wildlife crossings. Standard procedures for the control and mitigation of emissions (dust, noise, exhaust fumes and liquid discharges from camps and the road platform) will be followed in line with site specific ESMPs. Wastewater from construction camps will be treated on site before discharge into surface streams or rivers. Septic sludge from toilets will either be composted on site or trucked to existing water treatment plants along the alignment. Groundwater is not expected to be impacted by the project, as no deep excavations are envisaged. Water for the construction activities as well as the camps will be extracted in small quantities from existing wells, the public supply system or Lake Balkhash. Borrow pits will be operated by Contractors at locations that have been pre-identified by designers and for which both operational and environmental permits have been obtained. No borrow pit will be operated without a site specific ESMP that will contain a plan for its closure, remediation and re-cultivation approved by the local environmental authorities (as required under Kazakh regulations) and by the supervising engineer (who will ensure that international good practice is followed). All environmental management measures carried out by Contractors during the construction period will be integrated in the tender documents and become part of the works contracts. Monitoring of air, noise and water quality will be done in line with parameters listed in national standards and EHS Guidelines.

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

Currently, the area of project influence is underdeveloped and there are no known cumulative impacts in relation to the implemented road works under the ongoing project. However, the ESIA for CSRP (June 2016) noted that there is no information about future infrastructure projects that are planned to be implemented in the region around the alignment. For the additional road sections, construction of bridges, overpasses, pedestrian and animal passes; culverts; rest areas; drainage channels and other road infrastructure have been advised where required by the detailed design and informed by environmental and social impact assessment as well as the consultation process. Road widening will take place mainly within the ROW of the existing road and no potential irreversible indirect and/or long-term impacts are expected. The construction of bypass will involve greenfield construction across open space and agricultural areas. Land plots that are subject to acquisition have been identified in line with the detailed design and relevant RAPs drafted. During operation the functionality of noise and traffic safety measures will be monitored and maintained as done for the original project. Any required modifications, upgrades or additions (e.g. issues relating to pedestrian safety or to excessive road kills of domestic or wild animals) will be flagged and integrated into the road repair and maintenance plans for rectification. As the road corridor already exists no significant impacts are expected



from induced or secondary development. While traffic volumes are expected to increase the optimized alignment will reduce environmental stress in the long term. The road will not contribute to habitat fragmentation in addition to the impacts already in place from historic economic activity.

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

Road section alignment alternatives have been considered for bypasses, bridges, interchanges, etc. during the detailed designs to address presence or proximity of nature protected areas, physical cultural resources, environmentally sensitive elements of environment (e.g. rivers, lakes, wetlands), residential areas, sensitive receptors (i.e. schools, hospitals, daycare facilities, elderly housing and convalescent facilities). Based on the detailed designs for the 6 specific sections for the Balkhash-Burybaital road (1855-2152 km), given that the alignment of these sections primarily follow the existing road, only alternatives for the bypasses at village Saryshagan have been analyzed. In this case, the final alignment will cross the railway tracks twice, and road overpasses will be constructed accordingly at each location. The proposed alignment and routing of bypasses has been chosen as having most socio-economic benefits and minimal potential negative environmental and social impacts.

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.

For the ongoing project, environmental compliance is generally moderately satisfactory as per several assessment missions carried out by the Bank. The isolated re-cultivation issue at the borrow pit lot 2 remains to be addressed by CR (Bank will carry out an environmental audit of all pits used as informed by detailed designs). Environmental impacts of the additional road sections are standard for road widening and new alignment. Physical-geographical location and geotechnical conditions are similar to conditions under EWRP. Mitigation measures to minimize potential negative environmental impacts are provided in site-specific ESMPs, which implementation will be monitored by the Supervision Engineer and the Client. The Grievance Redress Mechanisms (GRMs) are in place at all sites. Contractors tend to solve grievances in close collaboration with local authorities. In relation with the additional Balkhash-Burybaital road construction, an Environmental and Social Impact Assessment (ESIA), including generic ESMP Framework was prepared by the CR as part of the Center South Corridor Project. These documents were approved by the Bank and disclosed in country and at the Bank on May 6, 2016 (ESIA) and on April, 27, 2016 (RPF). Furthermore, an updated set of ESMP and RAP were prepared for the Balkhash-Burybaital road sections in line with specific detailed designs for each 6 road sections; they will be integrated into civil works contracts to create contractual obligations for proper environmental supervision (including occupational health and safety aspects). ESMP will be revised by contractors to address final costs for mitigation measures and monitoring actions if required. In addition to resettlement related impacts, labor influx issues will be assessed and addressed systematically. As per the experience gained under the ongoing project, works generate a sizable number of outside labor force (about 500 per USD100million). Labor influx will be kept minimal as contractors employ mainly local workers. The road sections completed under the previous Bank support shows that camps sites established by contractors are managed well with no incidence of adverse social impacts or disputes with local communities. Also outside labor force brought for previous road works belong to same cultural/religious groups as the local communities. The risks related to labor influx is minimal and managed carefully. Site specific environmental documentation have been kept on file.

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

The key stakeholders of the road are: the Committee for Roads, an agency of the Government of Kazakhstan, as the project proponent; commercial and private road users, who will be the primary beneficiaries from improved road quality; and PAPs such as the residents of communities along the road, farmers, herders, and proprietors of roadside



services. For this last group there will be benefits as well as some disadvantages and negative impacts caused by the project. To ensure that all stakeholders' views and concerns are duly reflected in project design and implementation, and environmental and social safeguards instruments fully capture the baseline situation, the expected impacts and the views and concerns of the PAPs, two sets of consultations were undertaken during the preparation of the CSRP project, covering also the Balakash-Burylbaital road sections (1855 km-2152 km); such consultations took place starting in June 2015 in villages along the alignment in Karagandy and Zhambyl oblast and continued up to June 2016. The ESIA was disclosed in May 2016 and followed by additional public consultations held on May 6 2016, with participation of residents from the nearby settlements located along the alignment in Karagandy and Zhambyl oblasts. The draft ESMP and RAP relevant to the 6 road sections covering the Balakash-Burylbaital road (1855 km-2152 km) have been reviewed by the Bank and disclosed in country and on the Bank external website in May 2017, after revisions were addressed in line with detailed designs. The grievance management and implementation will follow the GRM procedures as defined by the RPF/RAP and will be applied to both safeguards and all other project related grievances, including health, safety, and labor influx issues. The social management measures, in addition RAP implementation, require particular attention to provision of animal and cattle passes, ensuring accessibility to settlements and improvements of the road signage. The contractors, through their social and environmental management specialist will provide regular monitoring and work to ensure feasible adjustment needed during construction works in consultations with local beneficiaries and project affected persons.

B. DISCLOSURE REQUIREMENTS

Environmental Assessment/Audit/Management Plan/Other

Date of receipt by the Bank

12-May-2017

Date of submission for disclosure

26-May-2017

For Category 'A' projects, date of distributing the Executive Summary of the EA to the Executive Directors

06-Jun-2016

"In country" Disclosure

Country

Kazakhstan

Date of Disclosure

26-May-2017

Comments

Updated ESIA for the proposed CSRPC including the Balkhash-Burylbaital road section was disclosed on project's website on June 6, 2016; the relevant English version and the Executive Summary was disclosed in Washington, DC in former Infoshop on June 6, 2016. The same ESIA applicable to this restructuring has been re-disclosed on WB external website on May, 26, 2017. Draft ESMP for the Balkhash-Burylbaital road section prepared recently for the purpose of this restructuring has been disclosed in country and on the WBG external website in May 2017. The ESM{ for the Balkash - Burylbaital will be updated, finalized and disclosed before the presentation to the Board.

Resettlement Action Plan/Framework Policy Process



Date of receipt by the Bank	Date of submission for disclosure
30-Jan-2012	27-Feb-2012
"In country" Disclosure	
Country	Date of Disclosure
Kazakhstan	26-May-2016
Comments	
RPF was disclosed on April 2016. Draft RAP is disclosed locally and on external website of the Bank on 26th May 2017. The RAP will be finalized and disclosed again prior to the signing of civil works contracts.	

C. COMPLIANCE MONITORING INDICATORS AT THE CORPORATE LEVEL**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 4.04 - Natural Habitats

Would the project result in any significant conversion or degradation of critical natural habitats?	No
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes

OP/BP 4.11 - Physical Cultural Resources

Does the EA include adequate measures related to cultural property?	Yes
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes

OP/BP 4.12 - Involuntary Resettlement

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes
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If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes
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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

III. APPROVALS

Task Team Leader(s)	Jacques Bure Aliya Karakulova
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Approved By

Safeguards Advisor	Nina Chee	06-Jun-2017
Practice Manager/Manager	Binyam Reja	06-Jun-2017