Note to Task Teams: The following sections are system generated and can only be edited online in the Portal.

Project Information Document/
Integrated Safeguards Data Sheet (PID/ISDS)

Concept Stage | Date Prepared/Updated: 10-Sep-2017 | Report No: PIDISDSC20986
### BASIC INFORMATION

#### A. Basic Project Data

<table>
<thead>
<tr>
<th>Country</th>
<th>Project ID</th>
<th>Parent Project ID (if any)</th>
<th>Project Name</th>
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<td>Tuvalu</td>
<td>P161540</td>
<td></td>
<td>SOP 1 Tuvalu Maritime Investment in Climate Resilient Operations (P161540)</td>
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<td>May 31, 2018</td>
<td>Transport &amp; ICT</td>
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<th>Implementing Agency</th>
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<td>Ministry of Communications and Transport</td>
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#### Proposed Development Objective(s)

Improve the resilience of Tuvalu’s maritime sector and its capacity to prepare for and respond promptly and effectively to an Eligible Crisis or Emergency in Tuvalu.

#### Financing (in USD Million)

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<td>IDA Grant</td>
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<td>A-Full Assessment</td>
<td>Track II-The review did authorize the preparation to continue</td>
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**Note to Task Teams:** End of system generated content, document is editable from here.
B. Introduction and Context

Country Context

The Pacific region is widely recognized as heavily exposed to natural hazards including floods, droughts, tropical cyclones, earthquakes, volcanic eruptions, and tsunamis. Although there is a high level of uncertainty related to the projected impacts of climate change, it is overall anticipated that this exposure will increase over the coming decades. For example, it is expected that climatic changes will raise ocean and land temperatures, intensify tropical cyclones and increase storm surges in Pacific Islands Countries (PICs). This will adversely impact agriculture, fisheries, coastal zones, water resources, health, and ecosystems and thus threaten entire communities and economies. People and economies in the Pacific are particularly vulnerable to hazard and climate change impacts because of geographical remoteness and isolation, dispersion across a large area of the Pacific Ocean, economic and social challenges and the degradation of natural resources. Vulnerability to extreme climate events is also increasing due to population growth and migration (internal and external), poor coastal development and land use planning, unplanned urban growth, and water and ecosystem degradation including pollution of sub-surface and coastal waters.

Among the PICs, Tuvalu is one of the most vulnerable countries and is therefore a priority country for the Pacific Climate Resilient Transport Program (PCRTP) Series of Projects (SOP). Located approximately 1,100km north of Fiji, Tuvalu consists of nine islands, with a total land area of around 26 km2. Few of the islands are more than 800 meters wide. Of the nine islands, three are reef islands (Nanumaga, Niutao and Niulakita) and six are atolls (Funafuti, Nanumea, Vaitupu, Nui, Nukulaelae and Nukufetau). The islands are very low-lying with a maximum elevation of approximately 4.5 meters. These geographical features have considerably exposed Tuvalu to the impacts of climate change. Storm surges, king tides and floods, which are common occurrences and which have intensified due to changes in weather patterns, as well as sea level rise and more extreme weather events such as tropical storms and cyclones have resulted in significant damage to the islands and their inhabitants in the past.

Currently, roughly half of the country’s population of some 10,500 lives on the main atoll, Funafuti. The remaining population is disbursed across the other eight islands and atolls, each with one or two villages. There are no domestic aviation services from the capital, Funafuti, to the outer islands, and since around 2003, populations on the outer islands have been declining due to the lack of economic opportunity and limited social services. The Government of Tuvalu is actively trying to improve infrastructure in the outer islands to incentivize the return of local populations and to avoid overcrowding in Funafuti.

In 2014, Tuvalu’s gross domestic product was around US$37.8 million. Employment is heavily reliant on the public sector with an estimated 65% of the population working in Government positions. There is little other industry available with the exception of small-scale processing of timber (sourced locally or from New Zealand), handicrafts, and small numbers of Tuvaluans working in the tourism industry. The latest unemployment statistics collected in 2005, show that Tuvalu has an unemployment rate of 6.5%. Tuvalu’s economy is highly dependent on remittances and the country is considered one of the most economically and environmentally vulnerable in the world.

Sectoral and Institutional Context

Roads, ports and airports are among the region’s vulnerable infrastructure assets in the Pacific. This is because in many vulnerable countries, like Tuvalu, critical transport infrastructure is adjacent to the coast. In some areas, primary roads are less than one meter above sea-level, and the majority of the population lives within one kilometer of the sea. In addition, securing budget for maintenance is a challenge, often leading to neglect in maintenance, making transport assets even more vulnerable to extreme weather events. Pacific transport networks and their respective users already suffer regular temporary breaks of serviceability – sometimes for hours, but occasionally longer – as vulnerable links or
locations can be frequently rendered impassible due to flooding, debris deposit, culvert, and bridge and/or pavement damage. This impacts in particular access to critical infrastructure (e.g. hospitals, schools, and power plants) and services. Expected climate change effects will place coastal assets and communities at an even higher level of risk.

**Transportation Challenges in Tuvalu.** The small size of the outer islands and the infertile soil make inhabitants heavily reliant on shipping operations. Most foodstuffs (excluding local foods, such as fish, coconuts and some fruits), building materials, and manufactured products, as well as critical emergency relief after natural disasters, are imported from Fiji and are distributed among the islands with inter-island vessels. The inter-island vessels visit each island with an average frequency of once every one to three weeks, depending on the length of the route. There is no viable alternative to these vessels as there are no domestic aviation services in the country.

**Maritime infrastructure and operations.** Funafuti is the main port for all domestic and overseas shipments from the region and consists of two concrete wharfs (L-shaped jetties) and an unpaved cargo handling area. Currently, cargo including food items, construction materials and fuel is shipped in from Fiji approximately every 23 days. The port also has a narrow boat ramp, which is used to inspect smaller ships. However, the ramp is in poor condition with rust in many places. Moreover, due to the narrow width of the boat ramp, larger ships cannot be inspected or maintained at Funafuti and must journey to Fiji for these services. This is costly as maintenance of the country’s four vessels makes up 60% of the Department of Marine Services’ current operating budget.

There are three main routes to the outer islands from Funafuti:

- Northern Islands: Islands of Nuitao, Nanumaga and Nanumea
- Central Islands: Vaitupu and Nukufetau
- Southern Islands: Nukulaelae and Niulakita

A full circuit of the central island route takes around one week to complete. Services to the northern and southern islands occur once every two to three weeks. These infrequent services are exacerbated by irregular schedules, which often change to accommodate requests to pick up sick or injured people on short notice. A trip covering all the Northern islands and Vaitupu is undertaken once every three months to allow parents to send school and food supplies to their children attending the secondary school in Vaitupu.

Inter-island ferries are unable to directly access outer islands. This is due to the fact that most of the islands only have narrow reef channels with small turning basins designed for small fishing boats, have narrow entrance channels into the lagoon, or do not have the required depth for the inter-island ferries’ draft. Inter-island vessels must moor offshore and passengers and cargo are transferred onto smaller tenders (which are brought onboard the larger inter-island ferry) and transited to shore. This includes passage through deep water up to the entrances of the reef channel or lagoon. This process must be undertaken across a range of tidal levels, weather and sea conditions, channel widths, depths and currents, and often at night.

Impacts from climate change and natural disasters have taken a considerable toll on maritime infrastructure in Tuvalu, particularly in reef islands such as Nuitao and Nanumaga, which are highly exposed to wind and wave action. Previous investments in jetties and ramps in Niutao and Nanumaga have suffered significantly from erosion and from the consequences of Cyclone Pam in 2015 and have left the islands without access infrastructure. This lack of access infrastructure has resulted in damaged cargo and has considerably impeded the off-loading of cargo, which is particularly critical for the distribution of emergency goods after natural disasters.

**Institutional Context.** The maritime sector in Tuvalu is overseen by the Department of Marine and Ports Services
(DMPS), which is located in the Ministry of Communication and Transport (MCT). DMPS is responsible for administrative matters, management and operations of the ports and management of domestic shipping vessels, including maintenance responsibilities. DMPS is also responsible for technical and policy advice in the sector and certification of the Tuvalu Maritime Training Institute (TMTI). The unit comprises 62 staff, including 2 technical staff, 10 crane operators and 50 vessel crew members for the 3 state-owned domestic vessels. DMPS’ budget is limited by the available national fiscal space amidst competing demands. Budgetary over-expenditure, on account of high vessel operating costs, is the norm. The limited technical staff are only able to address the most pressing issues, which leaves little time to develop strategic approaches for the sector. It is important to enable DMPS to move from a reactive to a more proactive approach to ensure a resilient maritime sector. Streamlining climate resilience within MCT and DMPS in particular will require considerable capacity building. Tuvalu has a limited number of private shipping agents and freight forwarders, but they are reported to have good communications and operational relations with the government.

Relationship to CPF
The Systematic Country Diagnostic (SCD) for eight small Pacific Island states was completed in January 2016. The SCD identified the key focus areas for the PICs as: (i) fully exploiting the limited set of economic opportunities; (ii) fostering access to economic opportunities and public services; (iii) protecting incomes, assets and services for the poor; and (iv) selectively addressing weaknesses in economic governance. The SCD particularly focuses on the need for interventions that will strengthen preparedness and resilience to natural disasters and climate change. The SCD also highlights the key role that shipping and internal connectivity play in trade in basic goods in the eight PICs. The diagnostic recognizes that in Tuvalu, domestic shipping still faces a number of significant challenges which need to be addressed. In particular, it identifies the critical need for outer-island shipping services to meet basic standards. The Regional Partnership Framework (RPF) echoes this need for resilience and preparedness as well as investments into connective infrastructure. The RPF clearly articulates that improvements to maritime infrastructure and the regulatory environment are key for sustained growth.

The scope and objective of the project are also in line with the Government of Tuvalu’s (GoTv) development objectives as defined in the National Strategy for Sustainable Development (NSSD). These recognize the need for outer island development and the dependency of outer islands on the quality, frequency, and cost-effectiveness of transport services to the outer islands.

The overall concept of the Pacific Climate Resilient Transport Program (PCRTP) Series of Projects (SOP) is also in line with the Small Islands States Resilience Initiative (SISRI) that draws on the experiences from the World Bank and others in supporting climate and disaster resilience in small island states (see https://www.gfdrr.org/small-island-states-resilience-initiative). The proposed components of PCRTP also follow the four-pillared strategic framework for enhancing transport resilience designed in the Transport and ICT GP’s 2015 Connections Series Note on Enhancing Road Resilience in Pacific Island Countries (World Bank, 2015), which was subsequently incorporated into the GP’s flagship report on Moving Toward Climate Resilient Transport (World Bank, 2015) that was delivered at COP21.

C. Proposed Development Objective(s)

**Note to Task Teams:** The PDO has been pre-populated from the datasheet for the first time for your convenience. Please keep it up to date whenever it is changed in the datasheet.

Improve the resilience of Tuvalu’s maritime sector and its capacity to prepare for and respond promptly and effectively to an Eligible Crisis or Emergency in Tuvalu.
Key Results (From PCN)

Progress will be measured against the following PDO-level results indicators:

a) Nanumaga and Nuitao maritime infrastructure constructed with climate resilient infrastructure solutions (number of ports constructed);

b) Enhanced capacity of MCT to develop a more climate resilient transport network (Capacity measured on a scale of 1-5); and

c) A strengthening of sectoral and strategic spatial planning tools (number of tools adopted);

D. Concept Description

PICs want and need to act urgently to improve the climate resilience of their transport networks. According to the Pacific Possible Report on Climate Disaster and Resilience, roads, for example, account for more than 50 percent of the average costs of climate resilience for most PICs and exceed 90 percent of the average costs in Solomon Islands and Samoa (World Bank, 2016). To address this challenge, the Pacific Climate Resilient Transport Program (PCRTP) Series of Projects (SOP) aims to finance activities to systematically improve the resilience of PIC’s transport networks to natural hazards and climate change.

PCRTP has four components: (i) **Component 1 - Utilizing spatial planning and risk-based tools:** This component will finance technical assistance to mitigate the impact of climate change and extreme weather events by assessing the level of hazard frequency and severity and map this against major points of vulnerability along their transport network.  (ii) **Component 2 – Employing climate resilient infrastructure solutions:** This component will finance fit-for-purpose design solutions and infrastructure works that increase transport infrastructure resilience.  (iii) **Component 3 - Strengthening the enabling environment:** Under this component measures to strengthen the enabling environment including capacity building, and legal and regulatory reform will be financed.  (iv) **Component 4 - Supporting post-disaster recovery:** This component will finance emergency infrastructure works under a “zero-sum” Contingency Emergency Response component (CERC).

SOP 1 - Tuvalu Maritime Investment in Climate Resilient Operations (MICRO) will have four components, which align directly to the PCRTP components. The proposed project design will also be based on the currently ongoing Tuvalu Outer Island Maritime Infrastructure Project (TOIMIP), which is funded by the Asian Development Bank (ADB). The ADB prepared TOIMIP between 2014-2016 to rehabilitate and improve maritime infrastructure on several outer islands. TOIMIP also addressed damage caused by Tropical Cyclone Pam (TC Pam) in March 2015. ADB’s proposed investments cover Nukulaelae, Nanumaga, Nuitao and Nui islands. Posing the highest-risk environment for shipping operations, these islands were identified as a key priority by the GoTv. Under TOIMIP, funding is currently only confirmed for the first project on Nukulaelae and it is uncertain when additional funds would become available. The MICRO project will fund the Niutao and Nanumaga infrastructure in place of the TOIMIP project.

The following project components and activities are being considered under the project:

(i) **Component 1: Utilizing Spatial Planning and Risk-Based Tools (est. US$ 0.7 million):** Under MICRO, this component would finance spatial planning and risk-based tools for infrastructure investments. This will include activities such as data collection and modeling of long-term environmental impacts of proposed harbor designs, a vulnerability assessment of maritime assets for outer islands and an evaluation of economic impacts of investments. This will largely be financed from the Project Preparation Advance and grant by Global Facility for
Disaster Reduction and Recovery (GFDRR), which will be conducted prior to Project Appraisal.

(ii) **Component 2: Employing climate resilient infrastructure solutions (est. US$16.6 million)**: This component would construct resilient maritime, access and utility infrastructure on Nanumaga and/or Niutao (2.1), and on Funafuti (2.2).

   a. **2.1 Infrastructure investments and equipment on Outer Islands.** This sub-component would finance resilient and efficient maritime access infrastructure in Nanumaga and/or Niutao. Expected activities include widening of existing, or construction of new ('greenfield'), reef channels and turning basins, as well as construction of breakwaters to protect the channels and basins from wave action. It will also include the financing of jetties, small wharves, concrete ramps for fishing vessels and aids to navigation. The options analysis from Component 1, along with financial assessments and inputs from stakeholders will determine the final investments to be funded under this Component.

   b. **2.2. Infrastructure Investments at Funafuti Port.** This sub-component would include the paving of Funafuti Port’s cargo handling area to protect it from severe weather.

(iii) **Component 3: Strengthening the Enabling Environment (US$ 2.9 million)**: Possible activities under this component could include:

   a. **3.1 Technical Assistance.** Technical assistance may include: (i) design and supervision of works; (ii) Climate Resilient Transport Advisors and resilience-related training/and or workshops; and (iii) support to the Maritime Training Institute, including revision of syllabus and provision of learning materials.

   b. **3.2 Project Management Support.** This sub-component could finance the provision of technical, advisory and administrative support to DMPS, other line ministries, and the Project Support Team. This would include preparation of safeguards documents as well as the provision of office space, equipment, supplies, and financial auditing services.

(iv) **Component 4: Supporting post-disaster recovery (US$0 million)**: This zero-sum component will finance response to an Eligible Crisis or Emergency, as needed. Following triggering of pre-agreed disbursement conditions (e.g. the declaration of a national disaster), the fund would be implemented in accordance with the rapid response procedures governed by the World Bank OP/BP 8.0 *Rapid Response to Crises and Emergencies*. The disbursement condition will define the circumstances under which the fund would become available. The specific details of the proposed implementation arrangements and procedures governing the use of the funds will be detailed in a standalone annex within the Project Operations Manual (POM).

**Note to Task Teams:** The following sections are system generated and can only be edited online in the Portal.

**SAFEGUARDS**

**A. Project location and salient physical characteristics relevant to the safeguard analysis (if known)**
The proposed wharf and port facility investments are located in the outer islands of Nanumaga and / or Niutao (depending on final budget), and Funafuti, Tuvalu.

Nanumaga is a single reef island (301ha), popn 551 (2012 census). Niutao is also a single reef island (235ha). Both islands have internal brackish lagoons. Funafuti is a coral atoll; the investments will be in the urban centre of Fogafale islet, popn approx. 6000. There are no fresh water rivers or streams; fresh water exists underground as water lenses floating on seawater, derived from rainwater infiltration.

Due to pollution and salinity, all islands are now reliant on rain water.

The marine environments of the outer islands include a fringing reef shelf (corallinerock) and live coral communities seaward of the reef shelf. There is no recent data available on the ecology and biodiversity of the marine environments in Niutao and Nanumaga however a 2012 study on Funafuti, Nukelaelae and Nanumea concluded that there is low endemism in the Tuvalu reef systems and diversity is moderate. Each island's brackish lagoons have distinct (possibly unique) ecosystems. Many species of bony fish, mollusks, sharks, rays and turtles classified as vulnerable or endangered by the IUCN Red List are found in Tuvalu.

Climate change risks include increasing coral bleaching risk, ocean acidification, sea level rise, increased intensity and frequency of extreme heat days and rainfall, and a projected decrease in droughts and cyclone numbers.

A survey of physical cultural resources has not yet been done but MCT identified an underwater cave off the northern shore of Nanumaga located more than 40m below sea level down the wall of a coral cliff which has cultural significance.

Land is held either as kaitasi - land that is used and controlled for and on behalf of the extended family - or vaevae. Vaevae represents a division of lands amongst the kaitasi, generally nuclear or compound families. The Native Lands Act establishes the principle of indefeasibility of native title to land once it had been registered by the Commission. Native lands may be alienated to the Crown by lease or compulsorily acquired by Government under the Crown Acquisition of Lands Act. Land below the high tide mark is Crown land. Land above and below the high tide mark will be required for the investments.

B. Borrower’s Institutional Capacity for Safeguard Policies

The Ministry of Communications and Transport has had experience with the Tuvalu Aviation Investment Project for several years. The Project Management Unit for the aviation project has managed specialist consultants to prepare Environmental Management Plans for road, runway and terminal upgrades on Funafuti, in accordance with the project ESMF. The project engineers have been responsible for monitoring the implementation of the Project ESMP by the Contractors through the Contractor’s ESMP. The safeguards oversight role is performed by part time safeguards consultants working for the TFSU. Capacity in the PMU and TFSU has developed through the timeline of the aviation project, and they have good systems in place for developing TOR, reviewing ESMP, integrating safeguards into bid documents and supervising Contractors.

The Ministry and the aviation PMU /TFSU safeguards team have no experience in preparing ESIA or resettlement instruments for Category A projects, and the Ports and Harbours Department has no experience in preparing and implementing safeguards instruments for Work Bank projects. The implementation arrangements for the preparation of the ESIA and resettlement instruments need to take this into account. The Ministry will need the support of a safeguards advisor to manage the preparation of the safeguards instruments, including the supervision of the specialist firm that will be employed to undertake the ESIA and land due diligence studies, prepare the instruments and assist with stakeholder
engagements, consultations and disclosure. This advisor must be able to prepare TOR, review proposals and select consultants, and review and critique the work of the specialist consultants, on behalf of the Ministry / PMU. During project implementation the PMU will retain at least one safeguards advisor to oversee the ongoing monitoring and data gathering, stakeholder engagements, contractor supervision, grievance redress mechanism and safeguards and community-related M&E. The advisor will also contribute to the terms of reference and outputs of technical advisory services funded by the project, to ensure that World Bank safeguards policies are integrated into the approach and outputs.

C. Environmental and Social Safeguards Specialists on the Team

Penelope Ruth Ferguson, Environmental Safeguards Specialist  
Ross James Butler, Social Safeguards Specialist

D. Policies that might apply

<table>
<thead>
<tr>
<th>Safeguard Policies</th>
<th>Triggered?</th>
<th>Explanation (Optional)</th>
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</table>
| Environmental Assessment OP/BP 4.01 | Yes        | The improvement in the safety and reliability of marine transport will have social and economic benefits to the people of Niutao, Nanumaga and Funafuti. The construction of channels and modification of the coastline can affect coastal erosion, remove and alter habitats and ecosystem services, increase the risk of salt water intrusion into groundwater lenses, and impact on food gathering and livelihoods. These impacts may be cumulative to climate change and disaster-related impacts. Social benefits and impacts may be unequal and create issues in the small communities. Imported workforces can cause social harm and health risks to remote communities. The maintenance of channels creates a periodic risk of disturbances and impacts to benthic and reef ecosystems in the immediate area. The increased number of vessel movements increases the risk of biosecurity incursions, impacting on social wellbeing, livelihoods, ecosystem function and food gathering. Technical advisory services may include the recommendations for future maritime investment priorities. The policy is triggered because of the potential for environmental and social impacts. The activity is categorized A as the foreshore investments may create irreversible or significant impacts to vulnerable habitats and ecosystem services. For remote subsistence communities this can have significant
impacts on the ability to be resilient and sustain life and livelihoods.
An ESIA and ESMP will be prepared in accordance with the policy. Community and stakeholder engagement will be at the core of the ESIA and design processes to ensure that affected people are meaningfully involved. Stakeholder engagement plans will need to be sensitive to ‘over consultations’ and the cumulative impacts of other projects and development activities planned for the outer islands.
TOR for technical advisory services will include the requirement to comply with World Bank safeguards policies.
The emergency funds under Component 4 will follow the policy 8.0. Safeguards screening will be undertaken at the time of the event. This process will be documented in the POM.

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<th>Natural Habitats OP/BP 4.04</th>
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<tr>
<td>The policy is triggered because the proposed investments in Nuitao and Nanumaga will involve the modification of natural habitats in the foreshore and marine environment. The potential impacts include changes to coastal erosion and sedimentation and the removal of coral communities. The conservation of natural habitats is essential for the sustainable development of Tuvalu, as they provide food, livelihoods, protection from wave energy and cultural significance for the people. The ESIA will determine the nature of the existing environment, including the identification of any critical habitats as defined by the policy, and the ESMP will identify the avoidance and enhancement measures, as well as mitigation and management of impacts from each phase of the project.</td>
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<th>Forests OP/BP 4.36</th>
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<td>The ESIA will determine whether the health or function of the inland terrestrial or mangrove forests in Nuitao and / or Nanumaga will be impacted by the project. If this is the case, the policy will be triggered at appraisal and the ESMP will contain measures to avoid or mitigate the impacts on forests. The project concept does not involve changes to the management, protection or utilization of forests and the design and implementation is not expected to affect the rights and welfare of people who depend on, or interact with, forests.</td>
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<td>Projects in Disputed Areas OP/BP 7.60</td>
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E. Safeguard Preparation Plan

Tentative target date for preparing the Appraisal Stage PID/ISDS

Jan 03, 2018

Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing should be specified in the Appraisal Stage PID/ISDS

A draft Terms of Reference for the ESIA and Involuntary Resettlement instruments will be prepared by March 30, 2017 and will be consulted, revised, finalized and cleared by RSS by April 30, 2017. The recruitment of specialist consultants will be completed by May 31, 2017. The draft ESIA and Involuntary Resettlement Instruments will be completed, disclosed and consulted by January 3, 2018.

There are a few risks with regard to the ongoing collaboration with ADB that may disrupt the above timeframe, which the task team acknowledges may be optimistic. The first risk is that ADB does not deliver to the World Bank the preparatory design documents in a timely fashion, resulting in delayed preparation of the ESIA. The second risk is that given operational constraints on its end, ADB may formally request the Bank to change its outer-island focus. The third risk is that the procurement of consultants to prepare the ESIA takes longer than expected. The task team will need to continue collaborate closely with ADB to help mitigate such risks and should a disruption occur discuss with management revision of the timeframe.

CONTACT POINT

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Senior Infrastructure Specialist

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APPROVAL

<table>
<thead>
<tr>
<th>Task Team Leader(s):</th>
<th>James A. Reichert, Sean David Michaels</th>
</tr>
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Approved By

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<tr>
<th>Safeguards Advisor:</th>
<th>Svend Jensby</th>
<th>26-Jul-2017</th>
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<tr>
<td>Practice Manager/Manager:</td>
<td>Georges Bianco Darido</td>
<td>28-Jul-2017</td>
</tr>
<tr>
<td>Country Director:</td>
<td>Mona Sur</td>
<td>25-Sep-2017</td>
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Note to Task Teams: End of system generated content, document is editable from here.