REPUBLIC OF MADAGASCAR

Emergency Infrastructure Preservation and Vulnerability Reduction Project

ENVIRONMENTAL AND SOCIAL SCREENING AND ASSESSMENT FRAMEWORK (ESSAF)

September 14, 2012
Environmental and Social Screening and Assessment Framework (ESSAF)

Madagascar: Emergency Infrastructure Preservation and Vulnerability Reduction Project (P132101)
I. OBJECTIVE

1. The Environmental and Social Screening and Assessment Framework (ESSAF) is consistent with Bank operational policies and procedures, investment operations subject to OP/BP 8.00, Rapid Response to Crises and Emergencies and the guidance note for crises and emergency operations for application of the World Bank safeguards and Public disclosure policies. This ESSAF provides general policies, guidelines, codes of practice and procedures to be taken into consideration and integrated as needed into the implementation of World Bank-supported Madagascar Emergency Infrastructure Preservation and Vulnerability Reduction Project. This Framework has been developed to ensure compliance with the World Bank’s safeguards policies during the Project implementation. The objective of this ESSAF is to ensure that activities under the proposed emergency operations will address the following issues:

- Minimize environmental and social degradation as a result of either individual subprojects or their cumulative effects
- Protect and preserve human health
- Enhance positive environmental and social outcomes
- Prevent or adequately compensate any loss of livelihood caused by the Project.

PROJECT BACKGROUND

2. The proposed IDA credit to the Republic of Madagascar is the sum of US$102 million for an Emergency Infrastructure Preservation and Vulnerability Reduction Project. The Project has been developed by a multi-sector Task Team from the World Bank Sustainable Development Department (SD) and seeks to address the emergency needs created by the impacts of the prolonged political crisis and exacerbated by the global financial and food crisis as well as a number of external shocks primarily due to natural disasters such as cyclones, hurricane and floods. These crises have resulted in a dramatic increase in poverty levels, creating a devastating effect on an already poor lifeline infrastructure and leading to a sharp decline in basic service delivery in the social sectors. This operation would help preserve key institutions and infrastructure in the road, agricultural and social sectors which have continued to deteriorate as a consequence of the repeated crises and/or severe cyclone damage. The project would also aim to build resilience through provision of safety net mechanisms to alleviate poverty among the most vulnerable populations affected by the crisis. The project’s main interventions would include (i) the rehabilitation/reconstruction of key road infrastructure to allow the continuation of traffic or restore access to schools, health centers, markets and production sites; (ii) the rehabilitation/reconstruction of agricultural infrastructure that is crucial when considered in the context of an impending food crisis, resulting from a rise of rice prices and low production; (iii) the provision of short-term employment or income generation through cash-for-work programs to address vulnerable populations survival needs; and (iv) the strengthening of the country's capacity for disaster risk management.

3. The Project Development Objectives (PDO) are to preserve key lifeline infrastructure and reduce household vulnerability in targeted areas.
4. The project design will be kept simple and build on existing activities currently being implemented in ongoing projects that can be either continued or scaled-up. The proposed operation would comprise the following three components:

**Component A: Rehabilitation of Lifeline Infrastructure and Disaster Risk Mitigation (US$72 million)**

5. Component A would support the following activities: (i) rehabilitation of transport lifeline infrastructure; (ii) rehabilitation of community-level basic infrastructure; (iii) enhancement of Disaster Risk Management (DRM) capacity; and, (iv) establishment of a zero-budget disaster recovery contingency fund for post-disaster response financing.

6. **Sub-component A.1: Rehabilitation of Transport Lifeline Infrastructure (US$57.5 million).** Consistent with previous IDA approach in the sector, this sub-component would include the following activities: (i) rehabilitation and asset preservation of four existing major metallic bridges on key National Roads; (ii) rehabilitation works on key National Roads including the rehabilitation of road drainage structures, culverts, small bridges, road slope protection works and minor stretches of roads; (iii) reconstruction of smaller bridges that have exceeded their design life; (iv) road asset preservation through the provision of minor civil works and equipment required to enforce axle load limits on key National Roads; (v) acquisition of a stock of portable metallic bridges (bailey bridges); and (vi) minor works and acquisition of equipment to ensure compliance to International Security Codes (ISPS) for Madagascar’s major port. Construction works financed under this component would adopt a “Build Back Better” approach and comply with the norms for climate-proofing transport infrastructure developed by the CPGU. This sub-component would also strengthen capacity of the Roads Authority of Madagascar (ARM) to preserve key transport-related lifeline infrastructure. More specifically, the proposed Project would: (i) finance a study and develop an action plan to make ARM a fully autonomous agency with the key function of managing the road network; and (ii) finance ARM staff salaries. This is to ensure that ARM as the necessary capacity to preserve road infrastructure and to respond to major natural disasters.

7. **Sub-component A.2: Rehabilitation of Community-level Basic Infrastructure (US$10.0 million).** This sub-component would restore access to social and economic services in the aftermath of catastrophic events, including cyclones. It would finance community-level infrastructure sub-projects in crisis-affected areas, including rehabilitation and reconstruction of schools, basic health centers, erosion control structures, water points, and feeder roads. Communities most affected by the crises would be targeted. Representatives of the region, commune and community would prioritize sub-projects most in need of rehabilitation following a transparent and participatory process. Special attention would be given to rehabilitating cyclone-damaged health facilities, nutrition sites and schools, as these are necessary to preserve human capital in coordination with the Emergency Support to Basic Health, Nutrition and Education Service Delivery Project, which is being prepared concurrently with the proposed Project. The basic infrastructures to be rehabilitated during the first year of implementation have
been identified during Project preparation to avoid political capture. This sub-component would also provide training to the agencies involved in its implementation. Community infrastructure rehabilitated and reconstructed under this sub-component would comply with construction norms in keeping with the “Build Back Better” approach embedded in all activities financed under the proposed Project.

8. **Sub-component A.3: Enhancement of Disaster Risk Management Capacity (US$4.5 million).** This sub-component would avert or mitigate the effects of future natural disasters on lifeline infrastructure. It would rehabilitate the existing degraded national hydro-meteorological monitoring and analysis network and strengthen communications links between the national -General Directorate of Meteorology (DGM) and disaster response agencies, as well as improve the DGM’s technical skills in weather forecasts and projections. It would purchase equipment to improve cyclone and flooding EWSs that rely on the forecasts developed by the DGM, and provide training to central and local operators, and affected communities in relation to the functioning of these systems. This sub-component would support the development and application of climate-proof construction norms for key lifeline infrastructure in keeping with the proposed Project’s “Build Back Better” approach.

Furthermore, it would provide centralized and decentralized emergency response agencies with essential equipment and training to improve post-disaster response planning and coordination, including equipping of a recently constructed national disaster response center, and expansion of a system of rapid post-disaster data collection.

9. **Sub-component A.4: Disaster Recovery Contingency Fund (US$0 million).** This sub-component establishes a zero-budget disaster recovery contingency fund that could be triggered in the event of a natural disaster through formal declaration of a national or regional state of emergency, or upon a formal request from the Government in the wake of a disaster. Upon triggering, reallocation of project funds from other project components could be undertaken to facilitate rapid financing of a positive list of goods and services in the transport, agricultural and social protection sectors. Eligible activities would include clearing and rehabilitation of road and irrigation infrastructure, rehabilitation of schools and health centers, purchase of construction materials, agricultural inputs or materials for schools or health centers.

**Component B: Reduction of Household Vulnerability (US$25.5 million)**

10. Component B would seek to reduce household vulnerability in crisis-affected areas through investments designed to boost agricultural production, safeguard food security, and provide short-term employment opportunities. To further improve local governance, activities would develop sustainable community participatory monitoring mechanisms.

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1 The norms developed under this sub-component would be fast-tracked to facilitate their use in line with the “Build Back Better” approach.
2 If required, additional financing could be sought to restore funding to components from which funds have been transferred.
11. **Sub-component B.1: Preservation of Productive Capacity in Agriculture (US$15.5 million).** This sub-component would finance: (i) emergency distribution of improved seed, fertilizer, tools and associated technical assistance to enable rapid increases in food production; (ii) rehabilitation and maintenance of small-scale agricultural infrastructure, mainly micro-irrigation systems; (iii) watershed protection activities needed to preserve the productive capacity of agricultural infrastructure; and (iv) capacity strengthening of producers’ organizations and community groups to sustainably manage irrigation infrastructure and take advantage of income generating opportunities provided through the Project.

12. **Sub-component B.2: Cash-for-Work Program (US$10.0 million).** This sub-component would finance a cash-for-work program, with the twin goals of providing access to short-term employment in areas affected by crises while improving small-scale infrastructure at the community level. The targeting mechanism would be based on a multi-stage process. Allocation of resources and selection of beneficiaries would be derived from formulas based on poverty data and household characteristics to minimize the risk of political capture. The wage rate paid to program participants would be set below the prevailing market rate to ensure minimal replacement effects. The names of selected communities and beneficiaries would be disclosed to the public to ensure transparency and to minimize the risk of elite capture. The selection process would ensure that at least 50 percent of beneficiaries are women. Highly Labor Intensive sub-projects (Projets à Haute Intensité de Main d’Oeuvre, or HIMO) would be selected to ensure that payments to beneficiaries represent at least 75 percent of the total costs of sub-projects. Sub-projects would be selected by the communities themselves in a participatory manner. Activities to be supported would include street and irrigation canal cleaning (which is particularly useful in the aftermath of cyclones), basic road maintenance, soil erosion control, rehabilitation of mangroves, and rehabilitation of feeder roads and small bridges, amongst others. These activities would contribute to improved food production and distribution, and income enhancement. Sub-projects would be technically sound and simple, and those involving infrastructure construction or rehabilitation would meet climate-proof construction norms in keeping with the “Build Back Better” approach of the proposed Project.

**Component C: Project Management and Coordination (US$4.5 million)**

13. Component C would finance project management and coordination costs. It would pay for consultant services, technical advisory services such as technical studies and assessments, operating costs and training, media information campaigns and communication, and financial audits.

**Intervention Zone Areas:**

14. The proposed Project is targeting regions along the central and northern tiers of the national road network, and the adjacent agricultural production zones. Social protection activities would similarly target these zones, while retaining the flexibility to respond to as yet unidentified needs in response to future disasters. Disaster risk management work would focus on strengthening national systems, while at the same time
enhancing Early Warning Systems (EWSs) and disaster response capacity in the northern and southeastern parts of the country that are highly exposed to floods and cyclones.

GENERAL PRINCIPLES

15. Due to the emergency nature of the proposed emergency operation and the related need for providing immediate assistance while at the same time ensuring due diligence in managing potential environmental and social risks, the ESSAF is based on the following principles:

- To ensure effective application of the World Bank’s safeguard policies, the ESSAF provides guidance on the approach to be taken during SD multi-sector project implementation for the selection and design of subprojects and the planning of mitigation measures.

- No physical resettlement issues are expected in any of the proposed subprojects under the emergency Project as they are primarily concerned with rehabilitation and reconstruction after catastrophic disaster-induced events. If any occur, Resettlement Action Plans (RAPs) for the specific subprojects will be prepared following the guidelines of the project’s revised Resettlement Policy Framework (RPF).

- The proposed emergency operation will finance feasibility and detailed design studies for subsequent investments to include environmental and social assessments as required by the World Bank safeguards policies.

- Employment/income generating opportunities within the subproject areas will be targeted and expanded as much as possible to the affected communities and households that lost their livelihoods due to the political crisis and/or to natural disasters, especially cyclones. Special attention will be given to women, youth and other most vulnerable groups, including host-communities for displaced disaster-affected populations.

- Participatory Public Consultation and Disclosure requirements, as specified by World Bank Safeguards policies, will be simplified and adopted to meet the special needs of these operations. All subprojects which require public consultations with local communities or beneficiaries will be conducted to help elicit the views and comprehension of the male and female populations.

16. Ultimately, as prescribed by OP/BP 8.00 policy on Rapid Response to Crises and Emergencies, the ESSAF prepared by the Task Team shall comply with World Bank safeguards policies and also be subject to public consultation and disclosure by the Borrower during project implementation. As such, it will be disclosed both in-country (in the appropriate communication channels, concerned sector ministries, and other public places of project intervention areas) as well as at the World Bank InfoShop during project implementation.
Compliance with World Bank safeguards policies

17. Parts of the activities described above will focus on capacity building, material and equipment procurements, and institutional reform where no environmental and social safeguard aspect would be expected. The remainder of the proposed subprojects will focus on: (i) the rehabilitation and asset preservation of four existing metallic bridges and critical road works on key National Roads, pipe culverts and concrete culverts and the clearance and stabilization of eroded slopes (ii) the restoration of access to social and economic services in the aftermath of catastrophic events through the rehabilitation or reconstruction of existing schools, basic health centers, erosion control structures, water points, feeder roads, etc.; (iii) the rehabilitation of small-scale agricultural infrastructure, primarily micro-irrigation systems and grain processing and storage facilities; and (iv) the watershed protection activities to preserve the agricultural infrastructure through the stabilization of soil erosion and slopes and the planting of cover crops and trees. Activities supported by the proposed operation are expected to have certain site-specific adverse environmental and social impacts; therefore, the following Safeguards policies are triggered: OP/BP 4.01 (Environmental Assessment); OP/BP 4.09 (Pest Management), OP/BP 4.11 (Physical Cultural); OP/BP 4.12 (Involuntary Resettlement) and OP/BP 4.37 (Safety of Dams).

18. Considering the nature and magnitude of potential environmental and social impacts from relatively limited scale of rehabilitation and improvement works, the Emergency Infrastructure Preservation Project and Vulnerability Reduction Project is classified as a Category “B” Partial Assessment. As an operation under OP/BP 8.00 - Rapid Response to Crises and Emergencies, the requirement to carry out an Environmental and Social Impact Assessment (ESIA) that includes an Environmental and Social Management Plan (ESMP) will be undertaken during project implementation in parallel with subproject technical feasibility studies. At the same time, prior to subproject appraisal, the implementing agency will agree to apply the following minimum standards during implementation: inclusion of standard Environmental Codes of Practice (ECOP) in the rehabilitation, improvement and reconstruction bid documents of all subprojects; review and oversight of any major reconstruction works by specialists; implementation of environmentally and socially sound options for disposal of debris or drain spoils; and provisions for adequate and satisfactory budget and institutional arrangements for monitoring effective implementation.

III. Environmental and Social Screening and Assessment Framework (ESSAF)

19. This ESSAF has been developed by the Task Team specifically for the proposed operations described above to ensure due diligence, to avoid causing harm, and to ensure consistent treatment of social and environmental issues by the Government of Madagascar. The purpose of this Framework is also to assist the Implementing Agencies (IAs) in screening all subprojects for their likely social and environmental impacts, identifying documentation and preparation requirements, and prioritizing the investments.

20. OP/BP 4.01 (Environmental Assessment): This policy is triggered as most of the proposed subprojects will focus on: (i) the rehabilitation and asset preservation of
four existing metallic bridges and critical road works on key National Roads, pipe culverts and concrete culverts and the clearance and stabilization of eroded slopes; (ii) the restoration of access to social and economic services in the aftermath of catastrophic events through the rehabilitation and/or reconstruction of exiting schools, basic health centers, erosion control structures, water points, feeder roads, …etc.; (iii) the rehabilitation of small-scale agricultural infrastructure, mainly micro-irrigation systems and grain processing and storage facilities; and (iv) watershed protection activities to preserve agricultural infrastructure through the stabilization of soil erosion and slopes and the planting of cover crops and trees. All of these activities may have environmental and social impacts that need to be managed appropriately. The Project will also support activities that will have a positive impact on the environment and social sector. The executing agencies will undertake a thorough social and environmental screening of all subprojects to properly determine whether or not they trigger any World Bank safeguards policies. While the ESSAF guides the preparation of safeguards instruments during project preparation, some of the sub-projects have safeguards instruments acceptable to the Bank that have been prepared, consulted upon, and disclosed some time ago -- notably Environmental and Social Management Frameworks (ESMFs) and Resettlement Policy Frameworks (RPFs) Therefore, for the preparation of the proposed emergency Project, each executing agency will rely upon its applicable safeguards framework (ESMF and/or RPF) to prepare the required safeguard documents. The ESSAF contains sample TORs for Environmental and Social Impacts Assessments (ESIA) (Attachment 8) that may be needed for Project-supported activities, as well as screening guidelines to be used by contractors hired to implement Project-supported works (e.g., rehabilitation of roads and bridges, rehabilitation/reconstruction of small scale agriculture infrastructures). Based on the outcomes of the screening process, Environmental and Social Impact Assessments (ESIAs) will be carried out as necessary and ESMPs will be prepared as needed.

21. **OP 4.09 (Pest Management):** Although the project funds will not be used to purchase and distribute agrochemicals, the agricultural subcomponent (emergency distribution of improved seed, fertilizer, tools and associated technical assistance to enable rapid increases in food production) will encourage farmer groups to use more inorganic fertilizers and pesticides. Therefore, this policy is triggered because the Project will support scaling up and/or intensification of agricultural production activities. Project beneficiaries are likely to adopt integrated pest management practices that may involve increased use of chemical pesticides, which could have negative environmental, health and social impacts (especially since river and lake water is used for drinking purposes throughout the project area). The Recipient will address OP 4.09 requirements by using the existing Pest and Pesticide Management Plan (PPMP) developed for the ongoing IDA funded agriculture project (BVPI). The PPMP includes a number of relevant actions to reduce the exposure of farmer groups to pesticides used in agricultural production systems. It also includes guidelines to be adopted on the possibility of agrochemical application and disposal. Training kits to strengthen capacity building of different actors (farmers, local vendors, regional agricultural agents, etc.) on the use, storage and disposal of agrochemical products are also available. This PPMP has been approved by the Bank and disclosed in-country and at Infoshop on May 25, 2012, by the Bank’s ongoing
22. **OP 4.11 Physical Cultural Resources.** The proposed operation is not expected to pose a risk of damaging cultural property. Nevertheless, proposed subprojects will be reviewed for their potential impact on cultural property and clear procedures will be required and included in ESIA/ESMP standard bidding documents for the identification and protection of cultural property from damage and theft as well as the proper treatment of discovered artifacts. While not damaging cultural property, subproject preparation may later identify and include assistance for preservation of historic or archeological sites. If these opportunities occur, cultural property management plans would be prepared for the pertinent subprojects. As the OP4.11 policy is triggered for the project, chance finds procedures should be incorporated into the EAs/EMP's and civil works contracts. The proposed wording is suggested in Attachment 8.

23. **OP/BP 4.12 Involuntary Resettlement.** The need for involuntary resettlement resulting from land acquisition in specific subproject areas will only be known during project implementation when site-specific plans are available. Therefore, subprojects will be screened for application of the resettlement policy and any subprojects involving involuntary resettlement or land acquisition will only be approved after preparation of a resettlement action plan acceptable to the Bank. Several issues will increase the complexity of land acquisition, including the lack of reliable land record systems and the inability of people losing land to either document ownership or be physically present to make eligibility claims. Based on the existing RPF for Irrigation and Watershed Management Project - PHRD, the safeguards framework will thus include procedures for identifying eligible project-affected individuals, calculating and delivering compensation, and determining mechanisms for land dispute grievance redress, as well as mechanism for adequately monitoring and evaluating the level of compliance.

24. **OP/BP 4.37 Safety of Dams.** Although the proposed operation will not finance any new construction or rehabilitation of large-scale irrigation facilities and dams above 15 meters, the agriculture subprojects will finance the rehabilitation of small irrigation infrastructure, small check-dams to treat lavakas (gully erosion) and the replacing of old hydraulic equipment/material. As a result, this policy is triggered. The Recipient will address the requirements of OP/BP 4.37 by using the available Dams Safety Manual (DSM) that is currently operational in the agriculture sector with the ongoing IDA project (BVPI). The current Dam Safety Manual (DSM) has been prepared by the Recipient to harmonize and improve Project operations in the existing irrigation perimeters to be funded within agriculture sector. The DSM provides basic characteristics on the types of dams, irrigation equipment and hydraulic materials as well as the forms of management of irrigation schemes, the institutional arrangement and the social and environmental clauses to be respected by construction companies during rehabilitation and exploitation of the existing irrigation perimeters. The small-scale hydro-agriculture infrastructure selected for Project financing after cyclone damages could use the principles and mitigation measures described in the current DSM. This DSM has been cleared by the Bank and publicly disclosed both in Country on May 25, 2012, and at the InfoShop on May 25, 2012.
The following safeguards policies are not triggered:

- **OP/BP 4.04 – Natural Habitats** – The project will not take place in or near natural habitats.
- **OP/BP 4.10 – Indigenous Peoples** – There are no Indigenous Peoples in the project area.
- **OP/BP 4.36 – Forests** – While the project may involve some tree planting/revegetation activities, it does not involve the significant conversion of forests, nor does it involve large-scale reforestation/afforestation.
- **OP/BP 7.50 Projects on International Waterways**. Madagascar is itself an island, therefore the policy doesn’t apply.

### IV. Safeguards Screening, Mitigation and Implementation Support

26. The selection, design, contracting, monitoring and evaluation of subprojects will be consistent with the following guidelines, codes of practice and requirements. The safeguard screening and mitigation process will include:

- A list of negative characteristics rendering a proposed subproject ineligible for support, Attachment 1.
- Steps for Screening potential environmental and social impacts, mitigation measures and implementation, Attachment 2.
- Subproject characteristics and a proposed checklist of likely environment and social impacts to be filled out for each subproject or group of subprojects, Attachment 3.
- Guidelines for land and asset acquisition, entitlements, compensation and land donation, Attachment 4.
- Guidelines for Protection of Cultural Property, Attachment 5.
- Relevant elements of the codes of practice for the prevention and mitigation of potential environmental impacts, Attachment 6.
- A sample Terms of Reference to prepare the Terms of Reference of Environmental and Social Impacts assessment (ESIA) of the selected subproject with the required Environmental and Social Management Plan (ESMP), Attachment 8.

### V. Responsibilities for Safeguards Screening and Mitigation

27. Out of the four existing IAs (ARM, BVPI, FID, CPGU), three (ARM, BVPI, FID) have developed safeguards documents and each has a social and environmental focal point (SEFP) responsible for following up on safeguards concerns and to ensure that all subprojects identified for operation financing have included consistent and coherent environmental and social measures and are responsible for applying the safeguard screening and mitigation requirements to each subproject. Each of the components (Road infrastructure, Agriculture and safety net / basic community-based small infrastructure) will be appropriately coordinated and supervised by an existing
implementing agency (IA), specifically: Autorité Routière de Madagascar (ARM), Programme National Bassin Versant et des Périmètre Irrigués (PN-BVPI) and Fonds d’Investissement pour le Développement (FID), respectively. The IAs will be responsible for day-to-day project management and implementation, including fiduciary management. Established for some time now, each project executing agency has relatively good and proven experience in implementing World Bank projects.

VI. Capacity Building and Monitoring of Safeguards Framework Implementation

28. As stated above, Recipient is familiar with World Bank safeguards policies through the implementation of other World Bank-funded projects. In the Road infrastructure, Agriculture and Social protection sector, Environmental and Social Assessment instruments (ESMF, RPF, RAP, ESIA, ESMP, PPMP, Dams Safety Guideline…etc.) have been prepared, appropriated and satisfactorily implemented in the country under the ongoing IDA-funded projects in each targeted sector. The Project will thus be able to draw upon successful previous experiences from ongoing Bank’s operations in addition to the available teams from the three IAs which are fully operational. During and throughout the project supervision, the World Bank task team will assess the appropriate implementation of the environmental and social mitigation measures and subsequently recommend additional strengthening measures as needed. Information sharing with the public will be part of the capacity building plan and will be accomplished with the help of local media and communication systems.

29. As part of the capacity building to be provided for the implementation of the proposed operation, the Social and Environmental Focal Point of each IA will be trained on ESSAF’s application by the Bank’s Social and Environmental safeguards specialists. During supervision, the project team will assess the implementation of the ESSAF and recommend additional capacity strengthening if required.

VII. Public Consultation and Disclosure

30. IDA funding will support a number of subprojects classified as Environment and Social Category B to which the public consultation and disclosure policy will apply. During implementation of the proposed multi-sector IDA-funded operations in these selected sectors, the Environmental and Social Safeguards instruments (ESIA/ESMP, RAP, etc.) will be prepared and built upon existing safeguards instruments (ESMF, RPF, PMP, DSM, etc.) through a consultative and participatory process involving all stakeholders at the regional and national levels as well as within local communities and among beneficiaries of the subprojects. In particular, the Executing Agency will consult project-affected groups and local nongovernmental organizations on all environmental and social aspects of the project and will take their views into account accordingly. The implementing agency will initiate these public consultations as early as possible and will provide all relevant material in a form and language(s) that are understandable and accessible to the groups being consulted in a timely manner prior to consultation. The ESSAF will be shared with the Government of Madagascar, concerned nongovernmental...
organizations and other Development Partners and will be disclosed in-country and at the World Bank’s InfoShop during project implementation.
ESSAF ATTACHMENTS

Attachment 1

List of Negative Subproject Attributes

Subprojects with any of the following attributes will be ineligible for support under the proposed emergency infrastructure renewal project.

<table>
<thead>
<tr>
<th>Attributes of Ineligible Subprojects</th>
<th>GENERAL CHARACTERISTICS</th>
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<tbody>
<tr>
<td>Concerning significant conversion or degradation of critical natural habitats.</td>
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<td>Damages on cultural property, including but not limited to, any activities that affect the following sites:</td>
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<tr>
<td>• Archaeological and historical sites; and</td>
<td></td>
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<td>• Religious monuments, structures and cemeteries.</td>
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<td>Requiring pesticides that fall in WHO classes IA, IB, or II.</td>
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<tr>
<td><strong>Solid Waste</strong></td>
<td>New disposal site or significant expansion of an existing disposal site.</td>
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<tr>
<td><strong>Irrigation</strong></td>
<td>New irrigation and drainage schemes.</td>
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<tr>
<td><strong>Dams</strong></td>
<td>Construction of dams more than 15 meters high. Rehabilitation of dams more than 15 meters high.</td>
</tr>
<tr>
<td><strong>Income Generating Activities</strong></td>
<td>Activities involving the use of fuel wood, including trees and bush.</td>
</tr>
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<td></td>
<td>Activities involving the use of hazardous substances.</td>
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<tr>
<td><strong>Roads</strong></td>
<td>Construction of new road out of existing road networks</td>
</tr>
</tbody>
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Attachment 2

Steps for Screening potential environmental and social impacts, mitigation measures and implementation

1. The selection, design, contracting, monitoring and evaluation of sub-projects will be consistent with the guidelines, codes of practice and requirements listed below and included as attachments to this document. Screening of potential environmental and social safeguards impacts, mitigation and management measures and implementation will follow these steps:

**Step 1: Screening of potential environmental and social safeguards impacts, and determination of the appropriate set of safeguard instruments.**

2. During the preparation of the sub-projects, the PCU will ensure that technical design can avoid or minimize environmental and social impacts, including land acquisition.
   - A more detailed environmental and social screening criteria, i.e. list of negative sub-project attributes is included as Attachment 1, and
   - A proposed checklist of likely environment and social impacts, to be filled out for each sub-project will be used to determine the type and scope of the environmental and social safeguards impacts (Attachment 3).

**Step 2: Define the environmental and social safeguards instruments of the project and for each sub-project.**

3. The PCU, with the assistance of the consultant team, will determine and prepare the appropriate instruments for mitigating environmental and social safeguards impacts identified in the screening:
   - Sample Environmental Safeguards procedures for inclusion in the Technical Specifications of construction contracts (Attachment 7).
   - An Abbreviated RAP is sufficient for each sub-project requiring land, if it involves less than 200 land owners or all of the PAPs would lose less than 10% of their productive assets and do not need to move to another location. Otherwise, a full RAP will be needed. General guidelines for preparation of a RAP are included in Attachment 9.
   - In the case that the sub-project affected people are voluntarily willing to donate their land despite their understanding that they are eligible for compensation, the PCU has to document the consultation process and the agreement on the donated land. A standard format for land donation is presented in Attachment 4(ii).

4. The PCU will prepare a Safeguard Screening Summary (SSS) which includes:
   - a list of sub-projects that have environmental and social safeguards impacts;
   - the extent of the impacts;
   - the instruments used to address such impacts; and
   - timeline to prepare the instruments.
Step 3: Review of the Safeguards Screening Summary.

5. The PCU will keep the SSS properly for possible review by the MEF and the World Bank. The review, which may be conducted on sample basis, will verify the screening process including the scoping of the potential impacts, and the choice and application of instruments.

Step 4: Preparation of the safeguards instruments.

6. The PCU will prepare the safeguards instruments including the ESMP and RAP as required. The ESMP and RAP will be prepared in consultation with affected peoples and with relevant NGOs, as necessary. The ESMP and the RAP will be submitted to the MEF, for review, prior to the submission to the Bank for approval. The documentation of the process and agreement for land donation will be the responsibility of the PCU, in consultation with the Ministry in charge of Regional Development or Vice Primature en charge de l’Aménagement du Territoire.

Step 5: Application of the safeguards instruments.

7. Appropriate mitigation measures will be included in the bidding documents and contract documents to be prepared by the PCU. Compliance by the contractors will be monitored in the field by the project engineers under close supervision. The performance of the contractors will be documented and kept for review.

8. RAPs will be implemented by the PCU in collaboration with the Ministry in charge of Regional Development if necessary. The PCU will ensure that civil works will only start after RAP implementation and land donation process are completed.

9. The PCU will supervise and monitor the overall activities and prepare a progress report on the application of the safeguard policies during the planning, design, and construction phases of the Project. The PCU will also develop the reporting requirements and procedures to ensure compliance of the contractors; conduct public consultation and public awareness programs, and carry out periodic training for field engineers and contractors as appropriate.
Attachment 3

Checklist of Possible Environmental and Social Impacts of proposed multi-sector Project

1. This Form is to be used by the Safeguard Specialist (SP) or Project Coordination Unit (PCU) in Screening Sub-project Applications.

2. Note: One copy of this form and accompanying documentation to be kept in the PCU office and one copy to be sent to the World Bank Task Team Leader.

Name of project:
Number of Sub-projects:
Proposing Agency:
Subproject Location:
Project Objective:
Estimated Cost:
Proposed Date of Commencement of Work:
Community to be included in the sub-project location:
Relevant details:
Any environmental and social issues:
Area of land needed (if there):
Number of land owners:
Scheme for land acquisition (choose appropriate ones) (if appropriate):
   A. Land donation
   B. Cash compensation
   C. Other scheme

Estimated costs:
Proposed starting date of works:
Designs / plans / specifications reviewed: Yes __  No __
Other comments:
Completed by:
Date:
Reviewed by:
Date:
# I. Subproject Related Issues

<table>
<thead>
<tr>
<th>S No</th>
<th>ISSUES</th>
<th>YES</th>
<th>NO</th>
<th>Comments</th>
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<tbody>
<tr>
<td><strong>A.</strong> Zoning and Land Use Planning</td>
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<tr>
<td>1.</td>
<td>Will the subproject affect land use zoning and planning or conflict with prevalent land use patterns?</td>
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<tr>
<td>2.</td>
<td>Will the subproject involve significant land disturbance or site clearance?</td>
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<td>3.</td>
<td>Will the subproject affect community land or agricultural parcels where the income of local population could be lose?</td>
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<tr>
<td><strong>B.</strong> Water and Soil Contamination</td>
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<tr>
<td>4.</td>
<td>Will the subproject require large amounts of raw materials or construction materials?</td>
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<td>5.</td>
<td>Will the subproject generate large amounts of residual wastes, construction material waste or cause soil erosion?</td>
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<td>6.</td>
<td>Will the subproject result in potential soil or water contamination (e.g., from oil, grease and fuel from vehicles)?</td>
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<tr>
<td>7.</td>
<td>Will the subproject lead to contamination of ground and surface waters by herbicides for vegetation control and chemicals?</td>
<td></td>
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<tr>
<td>8.</td>
<td>Will the subproject lead to an increase in suspended sediments in streams affected by road cut erosion, decline in water quality and increased sedimentation downstream?</td>
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<tr>
<td>9.</td>
<td>Will the subproject involve the use of chemicals or solvents?</td>
<td></td>
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<tr>
<td>10.</td>
<td>Will the subproject lead to the destruction of vegetation and soil in the right-of-way, borrow pits, waste dumps, and equipment yards?</td>
<td></td>
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<tr>
<td>11.</td>
<td>Will the subproject lead to the creation of stagnant water bodies in borrow pits, quarries, etc., encouraging for mosquito breeding and other disease vectors?</td>
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<tr>
<td><strong>C.</strong> Noise and Air Pollution Hazardous Substances</td>
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<td>12.</td>
<td>Will the subproject increase the levels of harmful air emissions?</td>
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<tr>
<td>13.</td>
<td>Will the subproject increase ambient noise levels?</td>
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<tr>
<td>14.</td>
<td>Will the subproject involve the storage, handling or transport of hazardous substances?</td>
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<tr>
<td><strong>D.</strong> Fauna and Flora</td>
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<tr>
<td>15.</td>
<td>Will the subproject involve the disturbance or modification of existing drainage channels (rivers, canals) or surface water bodies (wetlands, marshes)?</td>
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<tr>
<td></td>
<td>Question</td>
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<tr>
<td>16.</td>
<td>Will the subproject lead to the destruction or damage of terrestrial or aquatic ecosystems or endangered species directly or by induced development?</td>
<td></td>
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<tr>
<td>17.</td>
<td>Will the subproject lead to the disruption/destruction of wildlife through interruption of migratory routes, disturbance of wildlife habitats, and noise-related problems?</td>
<td></td>
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</tr>
<tr>
<td><strong>E.</strong></td>
<td><strong>Destruction/Disruption of Land and Vegetation</strong></td>
<td></td>
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<tr>
<td>18.</td>
<td>Will the subproject lead to unplanned use of the infrastructure being developed?</td>
<td></td>
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<tr>
<td>19.</td>
<td>Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?</td>
<td></td>
<td></td>
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<tr>
<td>20.</td>
<td>Will the subproject lead to the interruption of subsoil and overland drainage patterns (in areas of cuts and fills)?</td>
<td></td>
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<tr>
<td>21.</td>
<td>Will the subproject lead to landslides, slumps, slips and other mass movements in road cuts?</td>
<td></td>
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<tr>
<td>22.</td>
<td>Will the subproject lead to erosion of lands below the roadbed receiving concentrated outflow carried by covered or open drains?</td>
<td></td>
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<tr>
<td>23.</td>
<td>Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?</td>
<td></td>
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</tr>
<tr>
<td>24.</td>
<td>Will the subproject lead to landslides, slumps, slips and other mass movements in road cuts?</td>
<td></td>
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</tr>
<tr>
<td><strong>F.</strong></td>
<td><strong>Expropriation and Social Disturbance</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>25.</td>
<td>Will the subproject involve land expropriation or demolition of existing structures?</td>
<td></td>
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<tr>
<td>26.</td>
<td>Will the subproject lead to induced settlements by workers and others causing social and economic disruption?</td>
<td></td>
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<tr>
<td>27.</td>
<td>Will the subproject lead to environmental and social disturbance by construction camps?</td>
<td></td>
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<tr>
<td><strong>G.</strong></td>
<td><strong>Utilities and Facilities</strong></td>
<td></td>
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<tr>
<td>28.</td>
<td>Will the sub-project require the setting up of ancillary production facilities?</td>
<td></td>
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<tr>
<td>29.</td>
<td>Will the sub-project require significant levels of accommodation or service amenities to support the workforce during construction (e.g., contractor will need more than 20 workers)?</td>
<td></td>
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<tr>
<td><strong>H.</strong></td>
<td><strong>Cultural Property</strong></td>
<td></td>
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<tr>
<td>30.</td>
<td>Will the sub-project have an impact on archaeological or historical sites, including historic urban areas?</td>
<td></td>
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<tr>
<td>31.</td>
<td>Will the sub-project have an impact on religious</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
monuments, structures and/or cemeteries?

<table>
<thead>
<tr>
<th>S. No</th>
<th>ISSUES</th>
<th>YES</th>
<th>NO</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>32</td>
<td>Have Chance Finds procedures been prepared for use in the sub-project?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>33</td>
<td>Is the sub-project located in an area with designated physical cultural resources, such as archaeological, historical and/or religious sites?</td>
<td></td>
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</tr>
</tbody>
</table>

**I. Games, reserves and Natural Habitat**

34. Does the sub-project require land acquisition? [Note: If YES, fill in the land acquisition form]

35. Will the sub-project negatively impact livelihoods? [Note: Describe separately if YES]

36. Is the sub-project located in an area with designated natural reserves or protected areas?

37. Is the sub-project located in an area with unique natural features?

38. Is the sub-project located in an area with endangered or conservation-worthy ecosystems, fauna or flora?

39. Is the sub-project located in an area falling within 500 m of national forests, protected areas, wilderness areas, wetland, biodiversity, critical habitats, or sites of historical or cultural importance?

40. Is the sub-project located in an area which would create a barrier for the movement of conservation-worthy wildlife?

41. Is the sub-project located close to groundwater sources, surface water bodies, watercourses or wetlands

**J. Pesticides and Agricultural Chemicals**

42. Involve the use of pesticides or other agricultural chemicals, or increase existing use?

43. Cause contamination of soil by agrochemicals and pesticides?

**II. Site Characteristics**

<table>
<thead>
<tr>
<th>S. No</th>
<th>ISSUES</th>
<th>YES</th>
<th>NO</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Is the subproject located in an area with designated natural reserves?</td>
<td></td>
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<tr>
<td>2.</td>
<td>Is the subproject located in an area with unique natural features?</td>
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<td>3.</td>
<td>Is the subproject located in an area with endangered or conservation-worthy ecosystems, fauna or flora?</td>
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<tr>
<td>4.</td>
<td>Is the subproject located in an area falling within 500 meters of national forests, protected</td>
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<tr>
<td>Question</td>
<td>Yes</td>
<td>No</td>
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<td>------------------------------------------------------------------------</td>
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<tr>
<td>areas, wilderness areas, wetlands, biodiversity, critical habitats, or sites of historical or cultural importance?</td>
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<tr>
<td>5. Is the subproject located in an area which would create a barrier for the movement of conservation-worthy wildlife or livestock?</td>
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<td>6. Is the subproject located close to groundwater sources, surface water bodies, water courses or wetlands?</td>
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<td>7. Is the subproject located in an area with designated cultural properties such as archaeological, historical and/or religious sites?</td>
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<td>8. Is the subproject in an area with religious monuments, structures and/or cemeteries?</td>
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<td>9. Is the subproject in a polluted or contaminated area?</td>
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<td>10. Is the subproject located in an area of high visual and landscape quality?</td>
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<td>11. Is the subproject located in an area susceptible to landslides or erosion?</td>
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<tr>
<td>12. Is the subproject located in a densely populated area?</td>
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<tr>
<td>13. Is the subproject located on prime agricultural land?</td>
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<tr>
<td>14. Is the subproject located in an area of tourist importance?</td>
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<tr>
<td>15. Is the subproject located near a waste dump?</td>
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</tbody>
</table>

*Respond with (Yes) or (No) and include quantitative data if available.*

Remarks and recommendations on the selected subproject to be financed:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Signed by Environment and/or Social Specialist:

Name: _______________________________

Title: _______________________________

Date: _______________________________

Signed by Project Manager:

Name: _______________________________
Attachment 4

Guidelines for Land and Asset Acquisition, Entitlements and Compensation

I. Objectives

1. Resettlement and land acquisition will be kept to a minimum, and will be carried out in accordance with these guidelines. Subproject proposals that would require demolishing houses or acquiring productive land should be carefully reviewed to minimize or avoid their impacts through alternative alignments. Proposals that require more than minor expansion along rights of way should be carefully reviewed. No land or asset acquisition may take place outside of these guidelines. A format for Land Acquisition Assessment Data Sheet is attached as Attachment 4(i) below.

2. These guidelines provide principles and instructions to compensate negatively affected persons to ensure that they will be assisted to improve, or at least to restore, their living standards, income earning or production capacity to pre-project levels regardless of their land tenure status.

II. Categorization

3. Based on the number of persons that may be affected by the project, Project Affected People (PAPs) and the magnitude of impacts, projects will be categorized as follows:

   (a) Projects that will affect more than 200 PAPs due to land acquisition and/or physical relocation and where a full Resettlement Action Plan (RAP) must be produced. If the RAP cannot be prepared prior to project appraisal, a waiver can be provided by the World Bank Managing Director (MD) in consultation with the Resettlement Committee. In such cases, the Task Team should agree with the Borrower on a timetable for preparation of the RAP.

   (b) Projects that will affect less than 200 persons require the following documentation: (i) a land acquisition assessment, (ii) the minutes or record of consultations which assess the compensation claimed and agreement reached, and (iii) a record of the receipt of the compensation, or voluntary donation, by those affected (see below).

   (c) Projects that are not expected to have any land acquisition or any other significant adverse social impacts; on the contrary, significant positive social impact and improved livelihoods are expected from such interventions.
III. Eligibility

4. PAPs are identified as persons whose livelihood is directly affected by the project due to acquisition of the land owned or used by them. PAPs deemed eligible for compensation are:

   (a) Those who have formal legal rights to land, water resources or structures/buildings, including recognized customary and traditional rights;

   (b) Those who do not have such formal legal rights but have a claim to usufruct rights rooted in customary law; and

   (c) Those whose claim to land and water resources or building/structures do not fall within (a) and (b) above, are eligible to resettlement assistance to restore their livelihood.

IV. Compensation Principles

5. The project implementation agencies will ensure timely provision of the following means of compensation to affected peoples:

   (a) PAPs losing access to a portion of their land or other productive assets with the remaining assets being economically viable are entitled to compensation at a replacement cost for that portion of land or assets lost to them. Compensation for the lost assets will be made according to the following principles:

       (i) Replacement land with an equally productive plot, cash or other equivalent productive assets;

       (ii) Materials and assistance to fully replace solid structures that will be demolished;

       (iii) Replacement of damaged or lost crops and trees, at market value;

       (iv) Other acceptable in-kind compensation;

       (v) In case of cash compensation, the delivery of compensation should be made in public, i.e., at the Community Meeting; and

       (vi) In case of physical relocation, provision of civic infrastructure at the resettlement sites.

   (b) PAPs losing access to a portion of their land or other economic assets rendering the remainder economically non-viable will have the options of compensation for the entire asset by provision of alternative land, cash or equivalent productive asset, according to the principles in (a) i-iv above (See Attachment 4-iii below).
V. Consultation Process

6. The PCU and the concerned implementing entity will ensure that all occupants of land and owners of assets located in a proposed subproject area are consulted. Community meetings will be held in each affected district and village to inform the local population of their rights to compensation and options available in accordance with these Guidelines. The Minutes of the community meetings shall reflect the discussions held; agreements reached, and include details of the agreement, based on the format provided in Attachment 4(ii) below.

7. The PCU and the concerned implementing entity shall provide a copy of the Minutes to affected people and confirm in discussions with each of them, their requests and preferences for compensation, agreements reached, and any eventual complaint. Copies will be recorded in the posted project documentation and be available for inspection during supervision.

VI. Subproject Approval

8. In the event that a subproject involves acquisition against compensation, the PCU through the concerned implementing entity shall:

(a) Not approve the subproject unless satisfactory compensation has been agreed between the affected person and the local community; and

(b) Not allow works to start until the compensation has been delivered in a satisfactory manner to the affected persons.

VII. Complaints and Grievances

9. Initially, all complaints should be registered by the PCU and the concerned implementing entity as the case maybe, which shall establish a register of resettlement/compensation related grievances and disputes mechanism. The existence and conditions of access to this register (where, when, how) shall be widely disseminated within the community/town as part of the consultation undertaken for the sub-project in general. A committee of knowledgeable persons, experienced in the subject area, shall be constituted at a local level as a Committee to handle first instance dispute/grievances. This group of mediators attempting amicable mediation/litigation in first instance will consist of the following members: (a) Head of District; (b) Legal advisor; (c) Local Representative within the elected Council; (d) Head of Community Based Organization; and (e) Community leaders. This mediation committee will be set up at local level by the implementation agency on an “as-needed” (i.e. it will be established when a dispute arises in a given community).

10. When a grievance/dispute is recorded as per above-mentioned registration procedures, the mediation committee will be established, and mediation meetings will be organized with interested parties. Minutes of meetings will be recorded. The existence of
this first instance mechanism will be widely disseminated to the affected people as part of the consultation undertaken for the sub-project in general. It is important that these mediation committees be set up as soon as RAP preparation starts. Disputes documented e.g. through socio-economic surveys should be dealt with by appropriate mediation mechanisms which must be available to cater for claims, disputes and grievances at this early stage. A template form for claims should be developed and these forms be collated on a quarterly basis into a database held at project level.

VIII. Verification

11. The Mediation Meeting Minutes, including agreements of compensation and evidence of compensation made shall be provided to the Municipality/district, to the supervising engineers, who will maintain a record hereof, and to auditors and socio-economic monitors when they undertake reviews and post-project assessment. This process shall be specified in all relevant project documents, including details of the relevant authority for complaints at the municipal/district or implementing agency level.
Attachment 4(i)

Land Acquisition Assessment Data Sheet
(To be used to record information on all lands to be acquired)

1. Quantities of land/structures/other assets required:

2. Date to be acquired:

3. Locations:

4. Owners:

5. Current uses:

6. Users:
   - Number of Customary Claimants:
   - Number of Squatters:
   - Number of Encroachers:
   - Number of Owners:
   - Number of Tenants:
   - Others (specify): ___________________ Number: ___________________

7. How land/structures/other assets will be acquired (identify one):
   - Donation
   - Purchase

8. Transfer of Title:
   - Ensure these lands/structures/other assets are free of claims or encumbrances.
   - Written proof must be obtained (notarized or witnessed statements) for the voluntary donation, or acceptance of the prices paid from those affected, together with proof of title being vested in the community, or guarantee of public access, by the title-holder.

9. Describe available grievance redress mechanisms:
Attachment 4 (ii)

Format to Document Contribution of Assets

The following agreement has been made on........................ day of.................... between..................................................resident of .................(the Owner) and ...............................................................(the Recipient).

1. That the Owner holds the transferable right of .......................................................... land (m²)/structure/asset in..........................................................

2. That the Owner testifies that the land/structure is free of squatters or encroachers and not subject to other claims.

3. That the Owner hereby grants to the Recipient this asset for the construction and development of .............for the benefit of the villagers and the public at large.

4. (Either, in case of donation:)

5. That the Owner will not claim any compensation against the grant of this asset.

6. (Or, in case of compensation:)

7. That the Owner will receive compensation against the grant of this asset as per the attached Schedule.

8. That the Recipient agrees to accept this grant of asset for the purposes mentioned.

9. That the Recipient shall construct and develop the.........................and take all possible precautions to avoid damage to adjacent land/structure/other assets.

10. That both the parties agree that the.........................so constructed/developed shall be public premises.

11. That the provisions of this agreement will come into force from the date of signing of this deed.

______________________________  ______________________________
Signature of the Owner  Signature of the Recipient

Witnesses:
1. ________________________________
2. ________________________________
(Signature, name and address)
## Attachment 4(iii)

### Schedule of Compensation of Asset Requisition

<table>
<thead>
<tr>
<th>Summary of Affected Unit/Item</th>
<th>Units to be Compensated</th>
<th>Agreed Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Urban/agricultural land ($m^2$):</td>
<td>______________________</td>
<td>__________________</td>
</tr>
<tr>
<td>b. Houses/structures to be demolished (units/m$^2$):</td>
<td>______________________</td>
<td>__________________</td>
</tr>
<tr>
<td>c. Type of structure to be demolished (e.g. mud, brick, cement block, etc.,)</td>
<td>______________________</td>
<td>Not Applicable.</td>
</tr>
<tr>
<td>d. Trees or crops affected:</td>
<td>______________________</td>
<td>__________________</td>
</tr>
<tr>
<td>e. Water sources affected:</td>
<td>______________________</td>
<td>__________________</td>
</tr>
</tbody>
</table>

Signatures of local community representatives, Sheikh/Head of Tribe:

Include record of any complaints raised by affected persons:

Map attached (showing affected areas and replacement areas):
Attachment 5

Protection of Cultural Property

1. Cultural property include monuments, structures, works of art, or sites of significance points of view, and are defined as sites and structures having archaeological, historical, architectural, or religious significance, and natural sites with cultural values. This includes cemeteries, graveyards and graves.

Chance Find Procedures

2. If the Contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:

   (a) Stop the construction activities in the area of the chance find;

   (b) Delineate the discovered site or area;

   (c) Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Ministry of Culture take over;

   (d) Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Ministry of Culture immediately (within 24 hours or less);

   (e) Responsible local authorities and the Ministry of Culture would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists of the Ministry of Culture (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;

   (f) Decisions on how to handle the finding shall be taken by the responsible authorities and the Ministry of Culture. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;

   (g) Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Ministry of Culture; and

   (h) Construction work could resume only after permission is given from the responsible local authorities and the Ministry of Culture concerning safeguard of the heritage.
3. These procedures must be referred to as standard provisions in construction contracts, when applicable, and as proposed in section 1.5 of Attachment 7. During project supervision, the Site Engineer shall monitor the above regulations relating to the treatment of any chance find encountered are observed.

4. Relevant findings will be recorded in World Bank Implementation Status Reports (ISRs), and Implementation Completion Report (ICR) will assess the overall effectiveness of the project’s cultural property mitigation, management, and activities, as appropriate.
## Codes of Practice for Prevention and Mitigation of Environmental and Social Impacts

<table>
<thead>
<tr>
<th>Potential Impacts</th>
<th>Prevention and Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Roads</strong></td>
<td></td>
</tr>
</tbody>
</table>
| • Rehabilitation/Reconstruction (improvement) of National roads.  
• Rehabilitation/Reconstruction (improvement) of access road /bridges |                                                                                                   |
| **Disruption of drainage:**       | 10. Design to provide adequate drainage and to minimize changes in flows, not limited to the road reserve.  
11. Provision of energy dissipaters, cascades, steps, and checks dams.  
12. Provision of sufficient number of cross drains.  
14. Revegetation to protect susceptible soil surfaces.  
15. Rehabilitation of borrow areas. |
| **Erosion:**                      | 10. Design to prevent soil erosion and maintain slope stability.  
11. Construction in the dry season.  
13. Physical stabilization of erodible surfaces through turfing, planting a wide range of vegetation, and creating slope breaks.  
14. Rehabilitation and re-grading of borrow pits and material collection sites. |
11. Revegetation to protect susceptible soil surfaces.  
13. Revegetation and replanting to compensate any loss of plant cover or tree felling. |
<table>
<thead>
<tr>
<th>Potential Impacts</th>
<th>Prevention and Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loss/Restriction of access</td>
<td>• Design to include accessibility to road sides in case roadbed is raised.</td>
</tr>
<tr>
<td></td>
<td>• Alternative alignments to avoid bisecting villages by road widening.</td>
</tr>
<tr>
<td>Impacts during construction:</td>
<td>• Provision of fuel at work camps to prevent cutting of firewood.</td>
</tr>
<tr>
<td>• Fuelwood collection.</td>
<td>• Provision of sanitation at work camps.</td>
</tr>
<tr>
<td>• Disease due to lack of sanitation.</td>
<td>• Removal of work camp waste, proper disposal of oil, bitumen and other hazardous wastes.</td>
</tr>
<tr>
<td>• Introduction of hazardous wastes.</td>
<td>• Management of construction period worker health and safety.</td>
</tr>
<tr>
<td>• Groundwater contamination (oil, grease).</td>
<td>• Use archaeological chance find procedures and coordinate with appropriate agencies.</td>
</tr>
<tr>
<td>• Accidents during construction.</td>
<td></td>
</tr>
<tr>
<td>• Potential risk to improve HIV/Aids contaminations</td>
<td></td>
</tr>
<tr>
<td>• Increased migration from nearby cities.</td>
<td>• Provide comprehensive community participation in planning, and Migration issue to be resolved through local conflict resolution system.</td>
</tr>
</tbody>
</table>

**Construction or rehabilitation of buildings and refurbishment of offices and facilities**
<table>
<thead>
<tr>
<th>Potential Impacts</th>
<th>Prevention and Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Disease caused by inadequate provision of water and sanitation services.</td>
<td>• Environmentally appropriate site selection led by application of the environmental and social screening form provided in this ESSAF, design and construction guidance, and a procedure for ensuring that this guidance is followed before construction is approved.</td>
</tr>
<tr>
<td>• Deforestation caused by unsustainable use of timber and wood-firing of bricks.</td>
<td>• Replace timber beams with concrete where structurally possible.</td>
</tr>
<tr>
<td>• Generation of waste materials.</td>
<td>• Ensure fired bricks are not wood-fired. Where technically and economically feasible, substitute fired bricks with alternatives, such as sun-dried mud bricks, compressed earth bricks, or rammed earth construction.</td>
</tr>
<tr>
<td>• Disturbances during construction (dust, noise) and contamination from inadequate sanitation facilities.</td>
<td>• Ensure engineering designs include adequate sanitary latrines and access to safe water.</td>
</tr>
<tr>
<td></td>
<td>• Handling of waste during building renovation will require appropriate disposal of waste materials and the protection of the workforce in the event of asbestos removal or that of other toxic materials.</td>
</tr>
</tbody>
</table>

**Rehabilitation and construction of rural roads.**

<table>
<thead>
<tr>
<th>Disruption of drainage:</th>
<th>16.  Design to provide adequate drainage and to minimize changes in flows, not limited to the road reserve.</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Hampers free drainage, causes stagnant pools of water.</td>
<td>17.  Provision of sufficient number of cross drains.</td>
</tr>
<tr>
<td>• Increased sediments into ponds, streams and rivers due to erosion from road tops and sides.</td>
<td>18.  Balancing of cut and fill.</td>
</tr>
<tr>
<td>• Increased run-off and flooding.</td>
<td>19.  Revegetation to protect susceptible soil surfaces.</td>
</tr>
<tr>
<td></td>
<td>20.  Rehabilitation of borrow areas.</td>
</tr>
<tr>
<td>Potential Impacts</td>
<td>Prevention and Mitigation Measures</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Erosion:</td>
<td>• Design to prevent soil erosion and maintain slope stability.</td>
</tr>
<tr>
<td>• Erosion of land downhill from the road bed, or in borrow areas.</td>
<td>• Construction in the dry season.</td>
</tr>
<tr>
<td>• Landslides, slips or slumps.</td>
<td>• Protection of soil surfaces during construction.</td>
</tr>
<tr>
<td>• Bank failure of the borrow pit.</td>
<td>• Physical stabilization of erodible surfaces through turfing, planting a wide range of vegetation, and creating slope breaks.</td>
</tr>
<tr>
<td></td>
<td>• Rehabilitation and re-grading of borrow pits and material collection sites.</td>
</tr>
<tr>
<td>Loss of vegetation.</td>
<td>• Balancing of cut and fill.</td>
</tr>
<tr>
<td></td>
<td>• Revegetation to protect susceptible soil surfaces.</td>
</tr>
<tr>
<td></td>
<td>• Minimize loss of natural vegetation during construction.</td>
</tr>
<tr>
<td></td>
<td>• Revegetation and replanting to compensate any loss of plant cover or tree felling.</td>
</tr>
<tr>
<td>Loss of access.</td>
<td>• Design to include accessibility to road sides in case roadbed is raised.</td>
</tr>
<tr>
<td></td>
<td>• Alternative alignments to avoid bisecting villages by road widening.</td>
</tr>
<tr>
<td>Potential Impacts</td>
<td>Prevention and Mitigation Measures</td>
</tr>
<tr>
<td>------------------</td>
<td>-----------------------------------</td>
</tr>
<tr>
<td>Impacts during construction:</td>
<td></td>
</tr>
<tr>
<td>• Fuel wood collection.</td>
<td>• Provision of fuel at work camps to prevent cutting of firewood.</td>
</tr>
<tr>
<td>• Disease due to lack of sanitation.</td>
<td>• Provision of sanitation at work camps.</td>
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<td>• Introduction of hazardous wastes.</td>
<td>• Removal of work camp waste, proper disposal of oil, bitumen and other hazardous wastes.</td>
</tr>
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<td>• Groundwater contamination (oil, grease).</td>
<td>• Management of construction period worker health and safety.</td>
</tr>
<tr>
<td>• Accidents during construction.</td>
<td>• Use archaeological chance find procedures and coordinate with appropriate agencies.</td>
</tr>
<tr>
<td>• Potential impacts to cultural property.</td>
<td></td>
</tr>
<tr>
<td>• Increased migration from nearby cities.</td>
<td>• Provide comprehensive community participation in planning, and Migration issue to be resolved through local conflict resolution system.</td>
</tr>
</tbody>
</table>

1) **Dams**

- Construction of dams lower than 5 meters or rehabilitation of dams lower than 15 meters.

<table>
<thead>
<tr>
<th>Injury, death or loss of productive resources caused by dam failure.</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Application of generic dam safety measures and rapid hydrological assessment by qualified engineers.</td>
<td></td>
</tr>
<tr>
<td>• For earthen dams, crushing of earth lumps, watering to near optimal moisture content, and compacting during construction.</td>
<td></td>
</tr>
<tr>
<td>• Design of earthen dams to prevent excessive seepage through the dam-body and piping at or near the toe or abutment of the dam.</td>
<td></td>
</tr>
<tr>
<td>• Design to incorporate spillway to prevent over-topping.</td>
<td></td>
</tr>
<tr>
<td>• Local awareness-raising for breach situations.</td>
<td></td>
</tr>
</tbody>
</table>

2) **Irrigation and Drainage**
<table>
<thead>
<tr>
<th>Potential Impacts</th>
<th>Prevention and Mitigation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Siltation and erosion.</td>
<td>• Plan disposal of spoil material from cleaned canals to ensure it will not wash back into the system, and is not deposited on fields without the owners’ permission.</td>
</tr>
<tr>
<td></td>
<td>• Re-grading and rehabilitation of borrow areas or pits.</td>
</tr>
<tr>
<td>Water-logging and salinization.</td>
<td>• Incorporation of adequate drainage to prevent water-logging and salinization.</td>
</tr>
<tr>
<td>Over-exploitation of aquifers.</td>
<td>• Analysis of the sustainability of groundwater yield, if increased abstraction is proposed.</td>
</tr>
<tr>
<td>Injury, death or loss of productive resources caused by dam failure</td>
<td>• See section on dams, above.</td>
</tr>
<tr>
<td><strong>Livestock</strong></td>
<td></td>
</tr>
<tr>
<td>Unsustainable grazing.</td>
<td>• Before livestock are purchased, grazing requirements for the new and projected herd should be estimated, and legal access to sufficient sustainable grazing ensured.</td>
</tr>
<tr>
<td><strong>Small Scale Agricultural Production</strong></td>
<td></td>
</tr>
<tr>
<td>Environment Impacts:</td>
<td>• Avoid infringing on protected areas, critical habitats or areas with significant biodiversity (e.g., wetlands).</td>
</tr>
<tr>
<td></td>
<td>• Apply pesticides, herbicides and fertilizers at recommended times and doses.</td>
</tr>
<tr>
<td></td>
<td>• Educate population in the proper use, storage and disposal of pesticides, herbicides and fertilizers.</td>
</tr>
<tr>
<td></td>
<td>• Ensure that construction and rehabilitation of irrigation systems are carried out by using materials easily accessible through local market.</td>
</tr>
<tr>
<td>Social Impacts:</td>
<td>• Ensure that inhabitants around water reserves are not deprived of access to water due to irrigation and other activities.</td>
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</tbody>
</table>
Attachment 7

Safeguards Procedures for Inclusion in the Technical Specifications of Contracts

I. General

1. The Contractor and his employees shall adhere to the mitigation measures set down and take all other measures required by the Engineer to prevent harm, and to minimize the impact of his operations on the environment.

2. The Contractor shall not be permitted to unnecessarily strip clear the right of way. The Contractor shall only clear the minimum width for construction and diversion roads should not be constructed alongside the existing road.

3. Remedial actions which cannot be effectively carried out during construction should be carried out on completion of each Section of the road (earthworks, pavement and drainage) and before issuance of the Taking Over Certificate (TOC):

   (a) These sections should be landscaped and any necessary remedial works should be undertaken without delay, including grassing and reforestation;

   (b) Water courses should be cleared of debris and drains and culverts checked for clear flow paths; and

   (c) Borrowed pits should be dressed as fish ponds, or drained and made safe, as agreed with the land owner.

4. The Contractor shall limit construction works to between 6 am and 7 pm if it is to be carried out in or near residential areas.

5. The Contractor shall avoid the use of heavy or noisy equipment in specified areas at night, or in sensitive areas such as near a hospital.

6. To prevent dust pollution during dry periods, the Contractor shall carry out regular watering of earth and gravel haul roads and shall cover material haulage trucks with tarpaulins to prevent spillage.

7. Prohibitions

The following activities are prohibited on or near the project site:

- Cutting of trees for any reason outside the approved construction area;
- Hunting, fishing, wildlife capture, or plant collection;
- Use of unapproved toxic materials, including lead-based paints, asbestos, etc.
- Disturbance to anything with architectural or historical value;
- Building of fires;
- Use of firearms (except authorized security guards);
II. Transport

7. The Contractor shall use selected routes to the project site, as agreed with the Engineer, and appropriately sized vehicles suitable to the class of road, and shall restrict loads to prevent damage to roads and bridges used for transportation purposes. The Contractor shall be held responsible for any damage caused to the roads and bridges due to the transportation of excessive loads, and shall be required to repair such damage to the approval of the Engineer.

8. The Contractor shall not use any vehicles, either on or off road with grossly excessive, exhaust or noise emissions. In any built up areas, noise mufflers shall be installed and maintained in good condition on all motorized equipment under the control of the Contractor.

9. Adequate traffic control measures shall be maintained by the Contractor throughout the duration of the Contract and such measures shall be subject to prior approval of the Engineer.

III. Workforce

10. The Contractor should whenever possible locally recruit the majority of the workforce and shall provide appropriate training as necessary.

11. The Contractor shall install and maintain a temporary septic tank system for any residential labor camp and without causing pollution of nearby watercourses.

12. The Contractor shall establish a method and system for storing and disposing of all solid wastes generated by the labor camp and/or base camp.

13. The Contractor shall not allow the use of fuel wood for cooking or heating in any labor camp or base camp and provide alternate facilities using other fuels.

14. The Contractor shall ensure that site offices, depots, asphalt plants and workshops are located in appropriate areas as approved by the Engineer and not within 500 meters of existing residential settlements and not within 1,000 meters for asphalt plants.

15. The Contractor shall ensure that site offices, depots and particularly storage areas for diesel fuel and bitumen and asphalt plants are not located within 500 meters of watercourses, and are operated so that no pollutants enter watercourses, either overland or through groundwater seepage, especially during periods of rain. This will require lubricants to be recycled and a ditch to be constructed around the area with an approved settling pond/oil trap at the outlet.

16. The contractor shall not use fuel wood as a means of heating during the processing or preparation of any materials forming part of the Works.
IV. Distribution of Agricultural Inputs

17. The treated seed should be well labeled with such information as the variety name, whether it is hybrid or open pollinated, maturity period and lot number to help farmers understand what they are receiving. Detailed information about treated seeds should be included into capacity-building activities.

18. The seed distribution should be targeted in coordination with the efforts of other Development Partners and NGOs to ensure farmers do not receive multiple packs from different Development Partners.

31. Strong monitoring is necessary to ensure agricultural inputs are supplied by the seed companies on a timely basis and distributed to farmers on time.

V. Quarries and Borrow Pits

17. Operation of a new borrow area, on land, in a river, or in an existing area, shall be subject to prior approval of the Engineer, and the operation shall cease if so instructed by the Engineer. Borrow pits shall be prohibited where they might interfere with the natural or designed drainage patterns. River locations shall be prohibited if they might undermine or damage the river banks, or carry too much fine material downstream.

18. The Contractor shall ensure that all borrow pits used are left in a trim and tidy condition with stable side slopes, and are drained ensuring that no stagnant water bodies are created which could breed mosquitoes.

19. Rock or gravel taken from a river shall be far enough removed to limit the depth of material removed to one-tenth of the width of the river at any one location, and not to disrupt the river flow, or damage or undermine the river banks.

20. The location of crushing plants shall be subject to the approval of the Engineer, and not be close to environmentally sensitive areas or to existing residential settlements, and shall be operated with approved fitted dust control devices.

VI. Earthworks

21. Earthworks shall be properly controlled, especially during the rainy season.

22. The Contractor shall maintain stable cut and fill slopes at all times and cause the least possible disturbance to areas outside the prescribed limits of the work.

23. The Contractor shall complete cut and fill operations to final cross-sections at any one location as soon as possible and preferably in one continuous operation to avoid partially completed earthworks, especially during the rainy season.
24. In order to protect any cut or fill slopes from erosion, in accordance with the drawings, cut off drains and toe-drains shall be provided at the top and bottom of slopes and be planted with grass or other plant cover. Cut off drains should be provided above high cuts to minimize water runoff and slope erosion.

25. Any excavated cut or unsuitable material shall be disposed of in designated tipping areas as agreed to by the Engineer.

26. Tips should not be located where they can cause future slides, interfere with agricultural land or any other properties, or cause soil from the dump to be washed into any watercourse. Drains may need to be dug within and around the tips, as directed by the Engineer.

VII. Historical and Archeological Sites

27. If the Contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:
   a. Stop the construction activities in the area of the chance find.
   b. Delineate the discovered site or area.
   c. Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Ministry of Culture take over.
   d. Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Ministry of Culture immediately (less than 24 hours).
   e. Contact the responsible local authorities and the Ministry of Culture who would be in charge of protecting and preserving the site before deciding on the proper procedures to be carried out. This would require a preliminary evaluation of the findings to be performed by the archeologists of the Ministry of Culture (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage, including the aesthetic, historic, scientific or research, social and economic values.
   f. Ensure that decisions on how to handle the finding be taken by the responsible authorities and the Ministry of Culture. This could include changes in the layout (such as when the finding is an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage.
   g. Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Ministry of Culture; and
h. Construction work will resume only after authorization is given by the responsible local authorities and the Ministry of Culture concerning the safeguard of the heritage.

VIII. Disposal of Construction and Vehicle Waste

28. Debris generated due to the dismantling of the existing structures shall be suitably reused, to the extent feasible, in the proposed construction (e.g. as fill materials for embankments). The disposal of remaining debris shall be carried out only at sites identified and approved by the project engineer. The contractor should ensure that these sites: (i) are not located within designated forest areas; (ii) do not impact natural drainage courses; and (iii) do not impact endangered/rare flora. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas.

29. In the event any debris or silt from the sites is deposited on adjacent land, the Contractor shall immediately remove such, debris or silt and restore the affected area to its original state to the satisfaction of the Supervisor/Engineer.

30. Bentonite slurry or similar debris generated from pile driving or other construction activities shall be disposed of to avoid overflow into the surface water bodies or form mud puddles in the area.

31. All arrangements for transportation during construction including provision, maintenance, dismantling and clearing debris, where necessary, will be considered incidental to the work and should be planned and implemented by the contractor as approved and directed by the Engineer.

32. Vehicle/machinery and equipment operations, maintenance and refueling shall be carried out to avoid spillage of fuels and lubricants and ground contamination. An oil interceptor will be provided for wash down and refueling areas. Fuel storage shall be located in proper bounded areas.

33. All spills and collected petroleum products shall be disposed of in accordance with standard environmental procedures/guidelines. Fuel storage and refilling areas shall be located at least 300m from all cross drainage structures and important water bodies or as directed by the Engineer.
Attachment 8

Term of Reference to prepare the Environmental and Social Impacts Assessment (ESIA) for the selected subproject with the required Environmental and Social Management Plan (ESMP)

1. The environmental and social impacts assessment should be composed of the following core aspects:

**PROJECT DESCRIPTION:**

2. The Components of this section are as follows:

- Project components and its technical infrastructure
- Project right-of-way (ROW) and its legal status
- Timeline and useful future maintenance
- Implementation timetable
- Resources and Workforce used
- Pollution, disturbances and potential nuisances directly caused by the project

**ENVIRONMENTAL DESCRIPTION**

3. The components of this section are as follows:

*Environmental Challenges:*

- Physical Environment (includes nuisances and aesthetic aspects)
- Biological Environment
- Human Environment

*Physical Environment (includes nuisances and aesthetic aspects):*

- Climate
- Geology, topography, geomorphology, soils and erosion
- Hydrology et hydrogeology
- etc.

*Biologic Environment:*

- Flore et habitats
- Fauna
- etc.

*Socio-economic environment:*

- Geographic and administrative context
- Population and demographics
- Education
- Health
• Habitats and Land
• Local Culture
• Infrastructure and services
• Economic activities
• Etc.

ENVIRONMENTAL AND SOCIAL IMPACTS ASSESSMENT AND MITIGATION MEASURES

4. This section focuses on the assessment of both the positive and negative impacts of the project throughout its life cycle:
• Preparatory Phase (includes supply of materials and equipment)
• Construction phase
• Implementation and Maintenance

5. The analysis includes the identification of actions to optimize positive impacts while also working to mitigate, prevent or compensate the negative impacts.

6. Pollution, disturbances and damages will have environmental impacts which are identified and assessed in this section. The impacts are identified for the physical biological and socio-economic environment. The impact analysis comes from the inventory of foreseen impacts, taking into account the project elements, the phases and the known impacts of the projects as well as the environment description. To improve clarity and to be more concise, the negative and positive impacts assessment and also the mitigation measures of the negatives impacts are presented in a table.

7. Impacts are evaluated on 4 criteria:
   a. Intensity: ranked as strong, average and low; this ranking takes into account disturbances and also sensitivity of the affected component
   b. Duration: ranked as temporary (limited to the work duration or only a short period of time following the work duration) or permanent (irreversible or not reversible for an extended time after the work duration)
   c. Size: expressed in terms of affected geographical element (adjacent land, Fokontany/Commune, carrier and borrowing, access, etc.)
   d. Frequency: expressed in terms of occurrence (at each material exploitation, at each rainy season, at each truck passage, etc.)

8. It is important to note that the majority of the impact evaluations is performed qualitatively, and therefore reflects the professional judgment of the consultant. In fact, the quantitative assessment of the intensity, duration, or size of the expected impacts is often impossible due to numerous reasons, including: a lack of data, a lack of means, an insufficient appropriate model, or simply because of abstract values that cannot easily be quantified.
ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN AND ENVIRONMENTAL MONITORING

9. The potential components of this section are given below:
   a. Summary of mitigation measures, schedule and responsibilities
   b. Specifications related to carriers and borrowing
   c. Pollution control and prevention during the work:
      • General measures
      • Other measures (specific)
   d. Pollution control and prevention during exploitation phase
   e. Waste evacuation plan
   f. Site close-out and restoration plan
   g. Awareness raising, communication and education programs toward the affected population
      • Public communication plan before and during the work
      • Communication plan for health services
      • Communication plan for local authorities and local population representatives
      • Communication plan for users and operators
   h. Emergency prevention plan for accidents during the work
      • Scenarios
      • Prevention measures
      • Emergency actions
   i. Emergency plan for accidents during the exploitation phase
      • Objectives of the emergency response plan
      • Potential accident scenarios and preventive measures
      • Emergency actions
      • Emergency equipment
      • Emergency contact
      • Logbook maintenance
   j. Environmental training program for the affected staff
   k. HIV/AIDS prevention during the work
   l. Environmental monitoring indicators
   m. Cost estimation
   n. Remaining negative impacts after mitigation measures:
      • Impacts of the preliminary phase (including site installation, carriers and borrowing, if applicable)
      • Impacts of work
      • Impacts after the work
      • Conclusion
   o. Non-technical summary in Malagasy and French
   p. Annexes (map, pictures, protocols, etc.)
Attachment 9.

General Guidelines for Preparation of Resettlement Action Plan (RAP)

1. Following the screening and identification of the potential land acquisition that is needed for a sub-project, the PCU will have to prepare a technical design that could be as much as possible avoid or minimize land acquisition. In the case that land acquisition is unavoidable; the PCU will prepare a RAP. As it is expected that the amount of land acquisition needed by a sub-project or a section of the road will be insignificant and is likely involve less than 40 land owners, an abbreviated RAP will suffice.

2. **An abbreviated RAP** covers the following minimum elements:

3. **Description of the sub-project.** General description of the project and identification of the project area.

4. **Potential impacts.** Identification of (i) the sub-project component or activities that will require land acquisition; and (ii) the zone of impact of such component or activities.

5. **Census of Sub-project Affected Persons (PAPs) and inventory of affected assets.** The results of the census and the inventory of assets, including (i) a list of PAPs, distinguishing between PAPs with land rights and land users without such rights; and (ii) an inventory of plots and structures affected. The information generated by the census should be summarized in a table.

6. **Legal analysis.** Descriptions of legal steps to ensure the effective implementation of land acquisition under the sub-project, including, as appropriate, a process for recognizing claims to legal rights to land—including claims that derive from customary law and traditional usage.

7. **Eligibility.** Identification of the PAPs who will be eligible for compensation and explanation of the criteria used to determine eligibility.

8. **Valuation of assets and calculation of compensation for losses.** A description of the procedures that will be followed to determine the form and amount of compensation to be offered to PAPs.

9. **Consultations with persons who lose land and other assets.** A description of the activities carried out to (1) inform PAPs about the impacts of the project and the compensation procedures and options and (2) give the PAPs opportunities to express their concerns.

10. **Organizational responsibilities.** A brief description of the organizational framework for implementing land acquisition.
11. Implementation schedule. Develop an implementation schedule covering land acquisition, including target dates for the delivery of compensation. The schedule should indicate how the land acquisition activities are linked to the implementation of the overall project.


13. Grievance procedures. Affordable and accessible procedures for third-party settlement of disputes arising from land acquisition; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.


15. Full RAP. In the case that a sub-project affects more than 40 land owners (or more than 200 persons) the project will have to prepare a full RAP. The PCU will prepare a full RAP with reference to the following outline:

16. Description of the sub-project. General description of the sub-project and identification of the sub-project area.

17. Potential impacts. Identification of (a) the subproject location that will require land acquisition or give rise to resettlement; (b) the zone of impact of such component or activities; (c) the alternatives considered to avoid or minimize resettlement; and (d) the mechanisms established to minimize resettlement, to the extent possible.

Objectives. The main objectives of the RAP:

18. Census of Project Affected Persons (PAPs) and inventory of affected assets. The results of the census and the inventory of assets, including the following information:

- list of PAPs, distinguishing between PAPs with land rights and occupants without such rights;
- inventory of affected assets.
- total number of PAPs and Project Affected Households (PAHs)
- number of PAHs who will lose more than 10% of their productive assets.

19. Socioeconomic study. The socioeconomic study should produce information to facilitate resettlement planning, such as the following:

- the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the sub-project;
- information on vulnerable groups or persons for whom special provisions may have to be made;
• public infrastructure and social services that will be affected;
• social, economic and cultural characteristics of displaced communities; and
• baseline information on livelihoods and standards of living of the displaced population.

20. **Legal analysis.** The results of an investigation of any legal steps necessary to ensure the effective implementation of land acquisition and resettlement activities under the sub-project, including, as appropriate, a process for recognizing claims to legal rights to land—including claims that derive from customary law and traditional usage.

21. **Institutional Framework.** The findings of an analysis of the institutional framework covering:
• the identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;
• an assessment of the institutional capacity of such agencies and NGOs; and
• any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for resettlement implementation.

22. **Eligibility.** Identification of the PAPs who will be eligible for compensation, resettlement assistance and rehabilitation support and explanation of the criteria used to determine eligibility, including relevant cut-off dates.

23. **Valuation of affected assets.** A description of the procedures or methods to calculate the value the assets affected by the sub-project.

24. **Compensation, resettlement assistance and rehabilitation support.** A description of (1) the compensation packages to be offered to PAPs who lose land and/or other assets, (2) resettlement assistance to be offered to physically displaced persons, and (3) rehabilitation support to persons who lose income sources or livelihoods as a result of land acquisition for the sub-project. The compensation packages, combined with other assistance and support offered to each category of PAPs should be sufficient to achieve the objectives of World Bank Operational Policy 4.12 on Involuntary Resettlement. The relocation options and other assistance offered to the PAPs should be prepared in consultation with them and should be technically and economically feasible, as well as compatible with the cultural preferences of the PAPs.

25. **Site selection, site preparation, and relocation (in cases of group relocation).** Alternative relocation sites considered and explanation of those selected, covering

• institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;
• any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;
• procedures for physical relocation under the sub-project, including timetables for site preparation and transfer; and
• legal arrangements for regularizing tenure and transferring titles to resettles.

26. **Housing, infrastructure, and social services.** Plans to provide (or to finance resettles' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services), plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.

27. **Environmental protection and management.** A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

28. **Community participation.** Involvement of resettles and host communities:

• a description of the strategy for consultation with and participation of resettles and hosts in the design and implementation of resettlement activities;
• a summary of the views expressed and how these views were taken into account in preparing the resettlement plan;
• a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individuals families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries);
• institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that vulnerable groups are adequately represented; and
• measures to mitigate the impact of resettlement on any host communities, including consultations with host communities and local governments, arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettles, arrangements for addressing any conflict that may arise between resettles and host communities; and any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettles.

29. **Grievance procedures.** Affordable and accessible procedures for third-party settlement of disputes arising from activities included in the RAP; such grievance procedures should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.
30. **Organizational responsibilities.** The organizational framework for land acquisition and resettlement, including identification of agencies responsible for the implementation of the RAP, the delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettles themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

31. **Implementation schedule.** Develop an implementation schedule covering all resettlement activities, from preparation through implementation, including target dates for the achievement of expected benefits to resettles and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

32. **Costs and budget.** Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.

33. **Monitoring and evaluation.** Arrangements for monitoring of land acquisition and resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; submission of monitoring reports to the Bank; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.