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IDA/R2015-0053/1

March 20, 2015

**Closing Date: Tuesday, March 31, 2015
at 6 p.m.**

FROM: The Corporate Secretary

Burundi - Infrastructure Resilience Emergency Project

Project Appraisal Document

Attached is the Project Appraisal Document regarding a proposed grant to Burundi for an Infrastructure Resilience Emergency Project (IDA/R2015-0053), which is being processed on an absence-of-objection basis.

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Report No: PAD1292

INTERNATIONAL DEVELOPMENT ASSOCIATION

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED GRANT

IN THE AMOUNT OF SDR 17.8 MILLION
(US\$25 MILLION EQUIVALENT)

TO THE

REPUBLIC OF BURUNDI

FOR AN

INFRASTRUCTURE RESILIENCE EMERGENCY PROJECT

March 18, 2015

Transport and ICT Global Practice
Eastern Africa Country Cluster 1
Africa Region

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CURRENCY EQUIVALENTS
(Exchange Rate Effective January 31, 2015)

Currency Unit	=	Burundian Franc (BIF)
BIF1,563.59	=	US\$1
US\$1	=	SDR0.70932047
SDR1	=	US\$1.409800002

FISCAL YEAR

January 1 – December 31

ABBREVIATIONS AND ACRONYMS

AfDB	African Development Bank
BAPW	Burundi Agency for Public Works (<i>Agence Burundaise pour la Réalisation des Travaux d'Intérêt Public - ABUTIP</i>)
BOEP	Burundi Office for Environmental Protection (<i>Office Burundais pour la Protection de l'Environnement - OBPE</i>)
CAS	Country Assistance Strategy
CDAs	Community Development Associations
CPAR	Country Procurement Assessment Review
DGR	General Directorate of Roads
DRM	Disaster Risk Management
ESAP	Environmental and Social Action Plan
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
GoB	Government of Burundi
IA	Implementing Agency
ICB	International Competitive Bidding
IDA	International Development Association
IEC	Information, Education and Communication
IFR	Interim Financial Report
ITSC	Inter-Ministerial Technical Steering Committee
M&E	Monitoring and Evaluation
MPS	Ministry of Public Security
MTPWE	Ministry of Transport, Public Works and Equipment
MWEURP	Ministry of Water, Environment and Urban and Regional Planning
NCB	National Competitive Bidding
NR	National Road
NRA	National Road Agency (<i>Office des Routes - OdR</i>)
PFS	Project Financial Statements
PIA	Project Impact Area
PIM	Project Implementation Manual

PMU	Project Management Unit
PWUMP	Public Works and Urban Management Project
RAP	Resettlement Action Plan
RMF	Road Maintenance Funds (<i>Fonds Routier National</i>)
RPF	Resettlement Policy Framework
RSDP	Road Sector Development Project
SEFP	Social and Environmental Focal Point

Regional Vice President:	Makhtar Diop
Country Director:	Philippe Dongier
Senior Global Practice Director:	Pierre Guislain
Practice Manager:	Supee Teravaninthorn
Task Team Leader:	Noroarisoa Rabefaniraka

REPUBLIC OF BURUNDI
INFRASTRUCTURE RESILIENCE EMERGENCY PROJECT

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PAD DATA SHEET*Burundi**Burundi- Infrastructure Resilience Emergency Project (P150929)***PROJECT APPRAISAL DOCUMENT***AFRICA*

Report No.: PAD1292

Basic Information			
Project ID P150929		EA Category B - Partial Assessment	Team Leader(s) Noroarisoa Rabefaniraka
Lending Instrument Investment Project Financing		Fragile and/or Capacity Constraints [X]	
		- Natural or manmade disaster	
		Financial Intermediaries []	
Series of Projects []			
Project Implementation Start Date 1-April-2015		Project Implementation End Date 31-Dec-2018	
Expected Effectiveness Date 23-Jul-2015		Expected Closing Date 30-Jun-2019	
Joint IFC No			
Practice Manager/Manager Supee Teravaninthorn	Senior Global Practice Director Pierre Guislain	Country Director Philippe Dongier	Regional Vice President Makhtar Diop
Borrower: MINISTRY OF FINANCE AND DEVELOPMENT ECONOMIC PLANNING			
Responsible Agency: Road Agency (OdR)			
Contact:	Vincent NIBAYUBAHE	Title:	Directeur General
Telephone No.:	25722253695	Email:	nibayubahev@gmail.com
Safeguards Deferral (from Decision Review Decision Note)			
Will the review of Safeguards be deferred? [X] Yes [] No			
Project Financing Data(in USD Million)			
[] Loan	[X] IDA Grant	[] Guarantee	
[] Credit	[] Grant	[] Other	

Total Project Cost:	25.00	Total Bank Financing:	25.00
Financing Gap:	0.00		

Financing Source	Amount
BORROWER/RECIPIENT	0.00
IDA Grant	25.00
Total	25.00

Expected Disbursements (in USD Million)					
Fiscal Year	2015	2016	2017	2018	2019
Annual	0.40	7.60	10.00	6.00	1.00
Cumulative	0.40	8.00	18.00	24.00	25.00

Institutional Data				
Practice Area (Lead)				
Transport & ICT				
Contributing Practice Areas				
Social, Urban, Rural and Resilience Global Practice				
Cross Cutting Topics				
[X] Climate Change				
[X] Fragile, Conflict & Violence				
[X] Gender				
[] Jobs				
[] Public Private Partnership				
Sectors / Climate Change				
Sector (Maximum 5 and total % must equal 100)				
Major Sector	Sector	%	Adaptation Co-benefits %	Mitigation Co-benefits %
Transportation	Rural and Inter-Urban Roads and Highways	70		
Public Administration, Law, and Justice	Public administration-Water, sanitation and flood protection	16		
Public Administration, Law, and Justice	Central government administration	14		
Total		100		
☒ I certify that there is no Adaptation and Mitigation Climate Change Co-benefits information				

applicable to this project.		
Themes		
Theme (Maximum 5 and total % must equal 100)		
Major theme	Theme	%
Financial and private sector development	Infrastructure services for private sector development	50
Urban development	City-wide Infrastructure and Service Delivery	25
Trade and integration	Trade facilitation and market access	25
Total		100
Proposed Development Objective(s)		
The proposed Project’s objective is to enhance the climate resilience of key transport and drainage infrastructure in Greater Bujumbura while strengthening the country’s capacity to manage and prevent natural disasters.		
Components		
Component Name	Cost (USD Millions)	
Component A. Rehabilitation of Roads and Urban Infrastructure	21.60	
Component B. Capacity Strengthening in Disaster Risk Management	2.00	
Component C. Institutional Support, Project Management and Coordination	1.40	
Systematic Operations Risk- Rating Tool (SORT)		
Risk Category	Rating	
1. Political and Governance	Substantial	
2. Macroeconomic	Substantial	
3. Sector Strategies and Policies	Substantial	
4. Technical Design of Project or Program	Moderate	
5. Institutional Capacity for Implementation and Sustainability	Substantial	
6. Fiduciary	Substantial	
7. Environment and Social	Substantial	
8. Stakeholders	Moderate	
9. Other		
OVERALL	Substantial	
Compliance		

Policy			
Does the project depart from the CAS in content or in other significant respects?		Yes []	No [X]
Does the project require any waivers of Bank policies?		Yes []	No [X]
Have these been approved by Bank management?		Yes []	No []
Is approval for any policy waiver sought from the Board?		Yes []	No [X]
Does the project meet the Regional criteria for readiness for implementation?		Yes [X]	No []
Safeguard Policies Triggered by the Project		Yes	No
Environmental Assessment OP/BP 4.01		X	
Natural Habitats OP/BP 4.04			X
Forests OP/BP 4.36			X
Pest Management OP 4.09			X
Physical Cultural Resources OP/BP 4.11		X	
Indigenous Peoples OP/BP 4.10			X
Involuntary Resettlement OP/BP 4.12		X	
Safety of Dams OP/BP 4.37			X
Projects on International Waterways OP/BP 7.50			X
Projects in Disputed Areas OP/BP 7.60			X
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Safeguards		31-Dec-2015	
Description of Covenant			
On or before six months after the Effective Date, the Recipient shall adopt the ESIA and RAP, as described in Section I. of Schedule 2 to the Financing Agreement.			
Name	Recurrent	Due Date	Frequency
External Auditor Recruitment		23-Oct-2015	
Description of Covenant			
No later than three (3) months after the Effective Date, the Recipient shall recruit, in accordance with the provisions of Section III of this Schedule 2, external financial auditors, with qualifications, experience, and terms of reference satisfactory to the Association, for purposes of the audit referred to in Section II.B.3 of this Schedule.			
Name	Recurrent	Due Date	Frequency
Computerized financial and accounting system		23-Oct-2015	
Description of Covenant			

In furtherance of the provisions of this Section II.B of this Schedule 2, the Recipient shall (a) establish, within the Project Management Unit (PMU), a computerized financial and accounting system satisfactory to the Association, and successfully train relevant staff in the use thereof and (b) no later than three (3) months after the Effective Date, train all fiduciary staff of the PMU and Burundi Agency for Public Works (BAPW) on the Association's fiduciary procedures.

Conditions

Source Of Fund	Name	Type
IDA	Project Management Contract	Effectiveness

Description of Condition

The Project Management Contract referred to in Section I.B of Schedule 2 to this Agreement has been executed between the Recipient and Burundi Agency for Public Works in form and substance satisfactory to the Association.

Source Of Fund	Name	Type
IDA	Project Inter-ministerial Technical Steering Committee	Effectiveness

Description of Condition

The Recipient has established the Project Inter-ministerial Technical Steering Committee in accordance with the provisions of Section I.A.1 of Schedule 2 to the Financing Agreement.

Source Of Fund	Name	Type
IDA	Recruitment	Effectiveness

Description of Condition

The Recipient has (i) recruited to the PMU, a project director, a procurement specialist, a financial management specialist and a chief accountant with qualifications, experience, and terms of reference satisfactory to the Association, in accordance with Section I.A.2(b)(i) of Schedule 2 to this Agreement; and (ii) set up, within the PMU, a computerized financial and accounting system satisfactory to the Association and trained the relevant staff in the use thereof, in accordance with Section II.B.5(a) of Schedule 2 to this Agreement.

Source Of Fund	Name	Type
IDA	Project Implementation Manual	Effectiveness

Description of Condition

The Recipient has adopted the Project Implementation Manual in accordance with Section I.D of Schedule 2 to the Financing Agreement.

Source Of Fund	Name	Type
IDA	Withdrawal prior the date of the Financing Agreement	Disbursement

Description of Condition

No withdrawal shall be made for payments made prior to the date of the Financing Agreement., except that withdrawals up to an aggregate amount not to exceed SDR 400,000 equivalent may be made for payments made prior to this date but on or after January 31, 2015 for Eligible Expenditures under Categories 1 and 2.

Source Of Fund	Name	Type
IDA	Withdrawal under Category (1)	Disbursement
Description of Condition		
No withdrawal shall be made under Category (1) unless the Recipient has disclosed in country and in the Association's InfoShop all Safeguards Instruments required under the Project in accordance with the provisions of Section I.F.1 of this Schedule 2.		
Source Of Fund	Name	Type
IDA	Withdrawal under Category (3)	Disbursement
Description of Condition		
No withdrawal shall be made under Category (3), unless the Association is satisfied, and so indicates by written notification to the Recipient, that all of the following conditions have been met with respect to activities under Part B.2 of the Project:		
Source Of Fund	Name	Type
IDA	Determination of an Eligible Crisis or Emergency	Disbursement
Description of Condition		
(i) The Recipient has determined that an Eligible Crisis or Emergency has occurred, has furnished to the Association a request to include said activities under Part B.2 of the Project in order to respond to said Eligible Crisis or Emergency, and the Association has agreed with such determination, accepted said request and notified the Recipient thereof		
Source Of Fund	Name	Type
IDA	Preparation and Disclosure of Safeguards Instruments	Disbursement
Description of Condition		
(ii) The Recipient has prepared and disclosed in country and in the Association's InfoShop all Safeguards Instruments required for said activities, and the Recipient has implemented any actions which are required to be taken under said safeguards Instruments, all in accordance with the provisions of Section I.G.3(b) of the Schedule 2 to the Financing Agreement.		
Source Of Fund	Name	Type
IDA	Staff of Recipient's Coordinating Authority	Disbursement
Description of Condition		
(iii) The Recipient's Coordinating Authority is adequately staffed and resourced as provided for under the provisions of Section I.G.2 of the Schedule 2 to the Financing Agreement, for the purposes of said activities.		
Source Of Fund	Name	Type
IDA	IRM	Disbursement
Description of Condition		
(iv) the Recipient has adopted an IRM Operations Manual in form, substance and manner acceptable to the Association and the provisions of the IRM Operations Manual remain - or have been updated in accordance with the provisions of Section I.G.1(c) of the Schedule 2 to the FA so as to be appropriate for the inclusion and implementation of said activities under the Part B.2 of the Project.		

Team Composition			
Bank Staff			
Name	Role	Title	Unit
Noroarisoa Rabefaniraka	Team Leader (ADM Responsible)	Sr. Transport. Spec.	GTIDR
Melance Ndikumasabo	Procurement Specialist	Senior Procurement Specialist	GGODR
Bella Lelouma Diallo	Financial Management Specialist	Sr. Financial Management Specialist	GGODR
Alexandre K. Dossou	Team Member	Sr. Transport. Spec.	GTIDR
Alice Museri	Team Member	Team Assistant	AFMBI
Antoine V. Lema	Safeguards Specialist	Senior Social Development Specialist	GSURR
Aurelien Serge Beko	Team Member	Consultant	GMFDR
Bourama Diaite	Team Member	Senior Procurement Specialist	GGODR
Christian Simbananiye	Team Member	Consultant	GGODR
Elikia M. V. Kamga Nenkam	Team Member	Junior Professional Associate	GTIDR
Fabio Galli	Team Member	Lead Transport Specialist	GTIDR
Faly Diallo	Team Member	Financial Officer	WFALA
Jean Baptiste Migraine	Team Member	Disaster Risk Management Specialist	GSURR
Laure Deffa Barry	Team Member	E T Temporary	GTIDR
Monthe Bienvenu Biyoudi	Team Member	Senior Operations Officer	AFCE1
Nneoma Veronica Nwogu	Counsel	Senior Counsel	LEGAM
Noroarisoa Rabefaniraka	Team Member	Sr. Transport. Spec.	GTIDR
Patrice Joachim Nirina Rakotoniaina	Team Member	Senior Municipal Engineer	GSURR
Paul-Jean Feno	Safeguards Specialist	Senior Environmental Specialist	GENDR
Extended Team			
Name	Title	Office Phone	Location
Locations			

Country	First Administrative Division	Location	Planned	Actual	Comments
Burundi	Bujumbura Rural	Bujumbura Rural Province	X	X	
Consultants (Will be disclosed in the Monthly Operational Summary) Consultants may be required for specific tasks, as deemed necessary, during project implementation.					

INTRODUCTION

1. The heavy rains of February 2014 caused extensive flooding and landslides that damaged property in and around Burundi's capital city, Bujumbura. About 80 casualties were reported, a large market was washed away, about 1,000 houses collapsed, and over 20,000 people were left homeless. The damage also affected public infrastructure including key national and urban roads. As a result, transport and drainage infrastructure in the most populated parts of the city were adversely affected. The most urgent actions to respond to the emergency were immediately taken by the Government of Burundi (GoB) with the support of key development partners. The World Bank through the International Development Agency (IDA) was among the first to support the Government in addressing the most urgent needs through the restructuring of two on-going projects, in roads and in urban management. However, for the medium-term response, the government has requested support. Hence, the proposed operation.
2. The proposed Project would enhance the climate resilience of key transport and drainage infrastructure in Greater Bujumbura while strengthening the country's capacity to manage and prevent natural disasters.

I. STRATEGIC CONTEXT

A. Country Context

3. Burundi is a small densely populated landlocked mostly hilly country vulnerable to drought, landslides, and flooding. It has considerable altitude variations, from 774 to 2,600 meters above sea level, and an average annual rainfall of about 150 cm, over two wet seasons. Burundi is one of the smallest countries in Africa with a land area of 27,834 km², with a population of about 9.8 million, giving it a population density of about 350 persons per km². Although it is urbanizing faster than other Sub-Saharan Africa countries, 90 percent of the country's population still lives in rural areas.
4. Burundi has enjoyed moderate GDP growth of about 4 percent during the past decade, mainly due to improved agricultural performance, but poverty remains widespread. With a GDP of about US\$2.4 billion in 2013, the annual per capita income was about US\$240. The share of the poor population declined by 6 percent between 2006 and 2012, but still remains very high at 60 percent. The country remains among the ten poorest countries in the world, with a Human Development Index of 0.389 in 2013, which is well below Sub-Saharan Africa's (SSA) average, estimated at 0.502 for the same period. The population is widely dispersed across the country, and the livelihood of 9 Burundians out of 10 depends directly or indirectly on farming.
5. More than 75 percent of Burundi's urban population lives in Greater Bujumbura, which has an estimated population of about 800,000. The area covered by the city, has expanded rapidly over the last three decades, from about 37 km² in 1983 to over 100 km² today. This rapid expansion has however, not been accompanied by proper land use planning and watershed management, creating a complex hydrological situation.

6. Uncontrolled urbanization leading to the expansion of informal settlements, coupled with insufficient public investment, especially in Bujumbura's peripheral districts, has resulted in deficiencies in the provision of basic infrastructure and services. The underserved informal settlements are vulnerable to flooding due to the poor drainage infrastructure and the city's geographical location – Bujumbura is nestled in a narrow North South strip of land between the low-lying shore of Lake Tanganyika and a range of high hills to the east.

B. Situations of Urgent Need of Assistance or Capacity Constraints

7. The proposed project qualifies for processing under paragraph 12 of World Bank's Operations Policy governing Investment Project Financing (OP 10.00), which sets out natural or man-made disaster, and capacity constraints because of fragility or specific vulnerabilities, as requirements for funding. These requirements have been met in that:

- **Natural or man-made disaster:** Burundi was affected by flash flooding triggered by heavy rains and the collapse of an unplanned reservoir. The impact of this included casualties and major damage to the country's lifeline infrastructure, which could not be addressed due to lack of funds. The flood caused damages to the country's most vital National Road (NR-1) which plays a vital role in the country's economic activities, and which still needs further strengthening works in order to prevent the country from economic isolation, as well as drainage infrastructure in Greater Bujumbura, creating sanitary and social discomforts. The Government with the support of key technical and financial development partners, including IDA, provided support for the immediate response. However, other infrastructure rehabilitation and capacity strengthening needs - especially for the medium-term response - remain unattended. In addition, the country's existing financial and skills capacities are insufficient to meet the supplemental demands imposed by the natural disaster;
- **Capacity constraints and fragility:** The country's existing financial and skills capacities are insufficient to meet the new demands imposed by the disaster. Furthermore, with a Country Policy and Institutional Assessment (CPIA) of 3.2, Burundi is classified as a fragile state.

8. The government requested IDA to assist in addressing the urgent rehabilitation, reconstruction, and preservation of the flood-damaged infrastructure. IDA participated in a joint needs assessment mission with other development partners, and the main conclusions of the assessment, were as follows:

- (a) The heavy rainfall caused the bursting of a reservoir on the Gasenyi River created by uncontrolled quarrying of material from the riverbed. This released about 15,000 cubic meters of water causing a major flash flood, which ultimately caused about half of the damage and resulted in most of the casualties. The flooding resulted in the closure of key road transport links such as NR-1.
- (b) The country faces the risk of being isolated if urgent road rehabilitation works are not implemented. This is especially the case for NR-1, which is the main road connecting Bujumbura to the rest of the country and to its neighbors. As a result of the damage

caused by the flooding, the road had to be closed to heavy traffic, and the diversion of traffic to secondary roads (mainly, NR-5, NR-10 and NR-7) is causing their premature failure due to the fact that they were not designed to support heavy traffic. Furthermore, transport related costs have risen sharply due to longer travel distances, which have increased in some cases by up to 450 km within the country. (Transporters claim up to US\$500 additional transport costs per trip.)

- (c) The focus of the interventions in response to the floods should be geared towards sustainable recovery and reconstruction, with the objective to increase the country's resilience to natural disasters and to facilitate the implementation of GoB strategies in relation to infrastructure development and disaster risk management.

9. As an immediate response to the infrastructure damage caused by the catastrophic flooding, emergency needs have been addressed by the Government and its partners including IDA. Two Bank-financed projects, in the transport and urban sectors, have been restructured and extended in order to address the most pressing needs and avoid further damage to the infrastructure. The Africa Development Bank (AfDB) and the European Union (EU) have prepared emergency projects for respectively the equivalent of US\$3.5 million and US\$8.5 million, contributing to the rehabilitation of damaged road and drainage infrastructure. The proposed Project is building upon the rapid assessment's recommendations and will address part of the medium term needs to restore connectivity and preserve previous investment which would be otherwise endangered. In the longer term, a future investment project could be envisaged as a follow-up, in order to further strengthen the resilience of the road network and urban infrastructure combined with addressing the needs related in terms of slope stabilization and integrated watershed risk management.

C. Sectorial and Institutional Context

10. The GoB has prepared and is implementing an Infrastructure Action Plan (2010-2015) that comprises the Road Network Improvement Program to support the productive sectors of the economy. Its main objectives for the 2011-2015 period are to: (a) safeguard and preserve the national paved and unpaved road network; (b) pave inter/intra-regional roads; (c) increase budgetary resources allocated to the road network; and (d) build institutional capacity for road maintenance.

11. The Government's efforts are in line with Burundi's overall development policy outlined in "Vision Burundi 2025". In 2012, the country adopted a Second Generation Growth and Poverty Reduction Strategy Paper (PRSP-II), whose strategic thrust is "Transformation of Burundi's economy to ensure sustained and job-generating growth".

Transport sector

12. The road network of Burundi comprises about 12,300 km of roads. About 4,800 km are part of the "classified" road network managed by the Ministry of Transport, Public Works and Equipment (MTPWE) and by the National Road Agency (NRA), while the remaining 7,500 km are part of the "non-classified" road network managed by the local communities. The greater part

of the network was developed between 1960 and 1990, and is mostly in poor condition. Key parts of the road infrastructure network were further damaged by the February 2014 floods.

13. Road transport carries about 90 percent of goods in Burundi due to the absence of a railway network, and increasingly unreliable Inland Water Transport (IWT) on Lake Tanganyika. The main challenges associated with road transportation include the long leads (over 1,000 km) from its primary international gateway ports such as Dar-es-Salaam and Mombasa. Furthermore, road transportation is directly impacted by transit countries' Non-Tariff Barriers (NTBs), poor logistics and efficiencies, as well as burdensome cross-border, customs and other administrative procedures. The high costs of infrastructure development, coupled with equally high transport costs, are major constraints to growth, especially for the predominantly agricultural economy.

Urban sector

14. The Urban Planning and Development Master Plans for Bujumbura, Gitega, Ngozi and Rumonge, which are the main cities of the country, are being finalized. In the case of Bujumbura, the implementation of the city development program for the year 2015 has commenced. The Town planning, Habitat and Construction Code was adopted in 2013.

15. The GoB carried out several programs to develop urban infrastructure to support economic growth, ensure a clean and sustainable environment, and in the case of Bujumbura, to upgrade informal urban settlements through sites and services programs. Major improvements have been undertaken, such as paving roads, provision of water and electricity, rehabilitation of drainage system, and construction of markets. However urban development is still suffering from lack of planning and coordination.

16. The current World Bank-financed Public Works and Urban Management Project (PWUMP) financed the rehabilitation of storm water drainage systems in part of Bujumbura and the Storm Water Drainage Master Plan for the city. The MTPWE is about to initiate a new project focused on the upgrade of bank protections for rivers and streams that flow through the Bujumbura and on the protection of hillsides.

Disaster Risk Management

17. The institutional setting for disaster risk management is as follows: the Defense and Security Forces (DSF), under the aegis of the Ministry of Public Security, are in charge of preventing and responding to natural and other disasters; a multi-sectorial commission, named "*Commission Interministérielle pour la Gestion des Risques et des Catastrophes*" (CIGRC) provides political guidance, while technical coordination is ensured by the "*Plateforme Nationale de Prévention des Risques et de Gestion des Catastrophes*" (PFNPRGC), supported by the "*Bureau National de Gestion des Risques et des Catastrophes*" (BNGRC). The permanent secretary of the BNGRC is the General Director of Civil Protection. In line with the National Strategy for Disaster Risk Management, CIGRC's role is to provide guidance towards a coordinated approach to risk mitigation (development planning, urban planning, land use planning, environmental impact evaluation, etc.), preparedness (early warning and response),

risk financing (insurance and contingent liability funds), and reconstruction planning (early recovery and sustainable reconstruction).

18. The findings from a 2011 United Nations Environment Program (UNEP) study indicated that extreme flood and drought events could reduce long-term growth in the sub-region by about 2.4 percent of GDP per annum. Almost 30 percent of Burundi's climate changes impacts are likely to be affected by recurrent extreme droughts and floods. Also, flooding events are expected to increase in frequency and magnitude in the low-lying areas, due to climate change and localized deforestation. Changes in annual and seasonal rainfall patterns, increasingly affect agricultural production, health, water availability, energy generation, infrastructure, biodiversity and ecosystem services (including forestry and tourism). Impacts disproportionately affect the poor and vulnerable groups since they have fewer resources to adapt to climate change.

19. To improve disaster risk management in Burundi, the following initiatives are being implemented: (a) IDA ongoing Country Environmental Analysis (CEA) supporting the development of an updated nationwide investment plan for disaster risk management and climate adaptation; (b) the German International Cooperation (GIZ)-funded Climate Change Adaptation and Soil and Water Resources Conservation Project (ACCES), aimed at developing strategies and instruments to reduce vulnerability of the rural population to the negative effects of climate change; and (c) the Red Cross-supported Flood and Landslide Preparedness to Improve Community Resilience in Burundi Project.

D. Higher Level Objectives to which the Project Contributes

Relationship to CAS

20. The proposed operation is aligned with the World Bank's Country Assistance Strategy (CAS) for Burundi (2013-2016) and the upcoming Performance and Learning Review. The current CAS identifies the need to improve competitiveness by establishing an enabling environment for inclusive growth and poverty reduction, and to enhance the country's resilience by consolidating social stability as key focus areas. Within this context, IDA is targeting support aimed at reducing infrastructure-related bottlenecks and improving the business climate as well as increasing private sector participation. Even though no new transport infrastructure was envisaged during the current CAS period, the negative impact of the 2014 floods lead IDA to mobilize resources to assist GoB to more quickly recover. Furthermore, the emergency response is consistent with the CAS's focus since it buttresses the country's competitiveness.

II. PROJECT DEVELOPMENT OBJECTIVES

A. PDO

21. The Project's objective is to enhance the climate resilience of key transport and drainage infrastructure in Greater Bujumbura while strengthening the country's capacity to manage and prevent natural disasters.

B. Project Beneficiaries

22. The direct project beneficiaries are expected to be the population of Greater Bujumbura who would benefit from the infrastructure to be rehabilitated under this operation, including transporters, passengers, and the inhabitants of the affected areas. Indirectly, the Project would benefit the country's overall economy by restoring vital intra/inter regional road transport links and increasing the countries capacity to respond to natural disasters.

C. PDO Level Results Indicators

23. The PDO's achievements will be monitored by the following indicators:

- (a) Direct project beneficiaries of key road and urban infrastructure rehabilitated under the project in Greater Bujumbura;
- (b) Number of people with access to improved drainage in the areas served by the project;
- (c) Number of people supported by participatory evaluation of disaster risks and operational early warning and response system; and
- (d) Reduction in unit transport costs along NR-1 in Project Impact Area (PIA).

III. PROJECT DESCRIPTION

24. The proposed project's design has been streamlined as much as possible, and draws heavily on the experience of: (a) preparing/implementing other emergency projects around the world to ensure rapid response to urgent needs; and (b) preparing/implementing relevant projects in Burundi.

A. Project Components

25. The proposed Project will have the following three main components which are described in detail in Annex 2:

Component A. Rehabilitation of Roads and Urban Infrastructure (Estimated cost: US\$21.6 million)

26. This component is related to the implementation of a program of activities to rehabilitate the Recipient's deteriorated and flood-affected roads and urban infrastructure in the Target Area, including:

Sub-Component A.1. Transport Infrastructure Rehabilitation (estimated cost: US\$12.6 million)

27. The works to be financed under this component would consist in the reconstruction or rehabilitation of structures on the Recipient's NR-1 route, including, installation of slope protection mechanisms, stabilization of embankments, rehabilitation of drainage systems, redirection of groundwater and rehabilitation and stabilization of related road pavements.

Sub-component A.2. Urban Infrastructure Rehabilitation (estimated cost: US\$9 million)

28. ***Strengthening of river channels and embankments.*** This will entail the construction or rehabilitation of urban infrastructure in the PIA including: (a) reinforcement of channels of approximately 7.5km along the Recipient's Nyabagere and Kinyankonge rivers; (b) construction of a channel on the Recipient's Gasenyi river; (c) resizing of water outlets underneath the Recipient's NR-9 route; (d) construction of a lined canal in the Recipient's district of Carama; and (e) dredging of the canal, upstream of the Recipient's Buterere waste water treatment plant to improve downstream flow and fortification of the retention walls of said treatment plant.

Component B. Capacity Strengthening in Disaster Risk Management (estimated cost: US\$2 million)

29. This component would deal with the implementation of a program of activities to enhance the Recipient's capacity in natural disaster response and risk management, consisting of:

Sub-component B.1. Capacity Strengthening in Disaster Risk Management (estimated cost: US\$500,000)

30. To prevent the recurrence of similar major impacts in relation with landslide and flooding events in the project area, it is essential to strengthen the capacity of the government and communities to manage disaster risks. Within this context, the project will finance: (a) an evaluation and mapping of risks and underlying factors in the project area including their potential impacts on infrastructure; (b) a strategic information system to prioritize structural and non-structural risk mitigation activities, and take action regarding the location, orientation and design of infrastructure under the project; (c) the establishment of a prevention, early warning and response system in areas at risk of flooding and landslides to reduce losses to infrastructures and protect lives and livelihoods; and (d) the development of risk evaluation and extreme event monitoring tools to be owned by the communities and supported by the Red Cross volunteers, the local Committees for Civil Protection and the hydro-meteorological service (IGEBU). This will also include advocacy, communication, drills, and training sessions (including crisis simulations) for targeted communities to ensure proper monitoring of risks by residents.

Sub-component B.2. Disaster Risk Recovery Contingency Funds (estimated cost: US\$1.5 million)

31. This sub-component would support emergency measures to reduce damage to infrastructure, ensure business continuity, and enable early rehabilitation. An Immediate Response Mechanism (IRM) coordinating unit and expenditure management procedures will be defined during project implementation and reflected in an 'Immediate Response Mechanism Operational Manual', to be prepared separately and approved by IDA, in line with the flexibility provided under paragraph 12 of OP 10.00. Eligible operating costs may include incremental expenses incurred for efforts arising as a result of the natural disaster. All necessary requirements for using IRM will be undertaken before using this mechanism.

Component C. Institutional Support, Project Management and Coordination
(estimated cost: US\$1.4 million)

32. This component would pay for consultancy services, technical advisory services such as technical studies and assessments, training, media Information, Education and Communication (IEC), and financial audits.

33. This component is also expected to finance project management and coordination costs, including the Project Management Unit (PMU) operating costs.

34. The proposed Project will continue the institutional support initiated in the road sector under the RSDP since the capacity of GoB to efficiently manage and maintain the country's road network remains weak. Therefore, as a first priority, the proposed Project will finance a new Transport strategy, including multi-years investment plans and maintenance program covering 5-10 years. It would also support the NRA to improve its performance in the road network management through one or more of the following activities: (a) implementation of the recommendations contained in the assessment of the road recurrent maintenance system with the Community Development Associations (CDAs); (b) implementation of recommendations of the NRA's organizational and performance assessment; and (c) the setting-up of a road database management.

B. Project Financing

35. The proposed Project will be financed by an IDA Grant in the amount of US\$25 million through an Investment Project Financing (IPF). It is intended to complement the financing of IDA and other development partners to address the most urgent needs resulting from the damage to roads and urban infrastructure following major flash flooding in Greater Bujumbura.

36. The project cost and financing from IDA would be as follows:

Table 1: Project Cost and Financing:

Project Components	Project cost (US\$)	IDA Financing	% Financing
A. Roads and Urban Infrastructure Rehabilitation	21,600,000	21,600,000	100
B. Capacity Strengthening in Disaster Risk Management	2,000,000	2,000,000	100
C. Institutional Support, Project Management and Coordination	1,400,000	1,400,000	100
	25,000,000	25,000,000	100

Total Costs			
Total Project Costs	25,000,000		
Total Financing Required	25,000,000		

C. Lessons Learned and Reflected in the Project Design

37. ***Streamlined institutional arrangements and experienced implementing agencies are key in preparing and implementing emergency projects.*** In an emergency project, which is time sensitive, not only is the preparation process to be carried out as fast as feasible, but also its implementation should demonstrate rapid results on the ground to justify the emergency. Therefore, where available, experienced implementing agencies should be involved.

38. ***Proper coordination among key stakeholders is critical.*** For complementary interventions, good coordination among the various stakeholders is critical to ensure transparency, success, and synergies, especially as funds available are limited. For this particular proposed project, all the stakeholders started to work together since the project's identification phase, and they are continuing to coordinate their interventions to make sure that there is no overlap or duplications or omissions. They also regularly exchange lessons learnt to improve their results on the ground. Such approach seems to be efficient so far.

39. ***Effective disaster risk management interventions require adaptation to local circumstances and participation of local stakeholders.*** The risk reduction and preparedness activities should focus on specific high-risk areas or hotspots identified on the basis of a comprehensive risk mapping exercise. This is to ensure that the resources mobilized are focused on the areas of greatest risk-reward.

IV. IMPLEMENTATION

A. Institutional and Implementation Arrangements

40. As noted above, implementation arrangements for the proposed project will be based on well tested existing institutional structures. Technical oversight and general supervision would be provided by an Inter-Ministerial Technical Steering Committee (ITSC) located in the Ministry of Transport, Public Works and Equipment (MTPWE). Implementation of individual sub-components would be carried out by two Implementing Agencies (IAs) that are already operational under World Bank funded projects: the NRA and the Burundi Agency for Public Works (BAPW, or *Agence Burundaise pour la Réalisation des Travaux d'Intérêt Public - ABUTIP*). A graph presenting the project's institutional arrangements is presented in Annex 3.

41. **Project Technical oversight and general supervision.** The ITSC chaired by a representative of the Minister of MTPWE will be established. The ITSC would include *inter*

alia, representatives of the ministries responsible for water, environment, urban and regional planning, sanitation –currently the Ministry of Water, Environment and Urban and Regional Planning (MWEURP), which has oversight over the BAPW, and representatives of the ministry responsible for public security –currently the Ministry of Public Security (MPS), mandated with the prevention and coordination of Disaster Risk Management (DRM) activities, and representatives of relevant public institutions. The ITSC would provide strategic direction and overall supervision for the proposed Project, approve the Annual Work Programs and budgets, and ensure adequate coordination with line Ministries and alignment with sector strategies.

42. **Project coordination, financial and daily management.** The NRA, supported by the same PMU that is being used for the current transport project, would be responsible for day-to-day project coordination, financial management, monitoring and evaluation, and reporting. The NRA will process the payment of all invoices through the PMU, prepare Activity Progress Reports (APRs) each semester, which would consolidate the progress reports received from the IAs, as well as the quarterly Interim Financial Reports (IFRs) that would consolidate the IFRs received from the IAs.

43. **Implementing Agencies.** To achieve rapid results and to ensure close fiduciary oversight, the NRA and BAPW, under the umbrella of the line Ministries, will be responsible for overall coordination and management of their respective sub-component activities. They will be responsible for: (a) selecting and recruiting consultants; (b) supervising the consultants; (c) managing the bidding process and awarding contracts; (d) monitoring the implementation of the Environmental and Social Management Plans (ESMP); (e) managing contracts and approving invoices; (f) coordinating the overall monitoring and evaluation system; (g) consolidating progress reports and reporting to the SC; and (h) ensuring successful implementation of the project. NRA, assisted by the PMU, will be in charge of the project's financial management aspects.

44. **Transport component specific implementation arrangements.** The same implementation arrangements designed for the RSDP will be maintained. Project implementation will be carried out as follows ,with the NRA as the IA:

- (a) The NRA's Department of Planning will be responsible for design studies, the preparation of bidding documents and the technical audits of the project.
- (b) The NRA's Department of Works will oversee the implementation of works. It will review and approve all payment invoices related to works.
- (c) The PMU will carry out the project management, including procurement. The PMU will report directly to the General Director of NRA.

45. **Urban Infrastructure and DRM component specific implementation arrangements.** The proposed project will build on the institutional and implementation arrangements put in place for the PWUMP, streamlined for efficiency purposes. Therefore, the BAPW, a public works contract management agency, will continue to be the IA through a delegated contract management agreement with the Government. For the smaller activities in the urban sub-component, the private sector will execute all investment works and works supervision to

promote local economic activities. Likewise, since the activities to be financed under the DRM components are similar to those that are usually carried out by BAPW, this latter's responsibilities will include management of the DRM sub-component.

B. Results Monitoring and Evaluation

46. Annex 1 provides the results framework with the list of outcome indicators as well as the intermediate results indicators for each of the project components. For the project's Transport component, implementation, monitoring and evaluation will fall under the responsibility of NRA. For the Urban and DRM components, implementation and monitoring and evaluation will fall under the responsibility of BAPW in coordination with the central government.

C. Sustainability

47. Studies to rehabilitate key National Roads, including NR-1, have already been carried out under the RSDP. The maintenance of all rehabilitated roads, particularly NR-1, will remain the top priority for the Road Maintenance Fund's (RMF) in terms of financing due to the fact that this is the most important road of the core road network carrying about 35 percent of the country's road traffic. To this end, the RMF will continue to secure a monthly contribution of BIF300 million (about US\$200,000) for the recurrent maintenance of the main roads comprising 1,100km of paved and about 400km of unpaved roads, to continue to support the activities implemented with CDAs.

48. The maintenance of urban infrastructure falls under the responsibility of municipalities and sustainability will be sought through: (a) increased mobilization of local revenues; and (b) increased allocation of maintenance funds in municipal budget. The Municipality of Bujumbura has been supported through World Bank-funded PWUMP on policy reforms to increase local tax revenues. However, the budget allocated by the Municipality of Bujumbura to the maintenance of urban infrastructure is still insufficient. To increase Municipality funding, the central Government's involvement will be solicited during the project implementation, either through the close follow up of the Municipality's commitment to continue to allocate an agreed portion of its budget to urban infrastructure maintenance as contained in the existing "City Contract" between both parties, or through the allocation of a block grant to the Municipality, allocated to urban infrastructure maintenance.

49. The use of more climate resilient engineering and construction techniques, should improve the long-term sustainability of the transport and urban infrastructure that will be rehabilitated/reconstructed under the proposed project.

V. KEY RISKS AND MITIGATION MEASURES

A. Risk Ratings Summary Table

Systematic Operations Risk- Rating Tool (SORT)	
Risk Category	Rating

1. Political and Governance	Substantial
2. Macroeconomic	Substantial
3. Sector Strategies and Policies	Substantial
4. Technical Design of Project or Program	Moderate
5. Institutional Capacity for Implementation and Sustainability	Substantial
6. Fiduciary	Substantial
7. Environment and Social	Substantial
8. Stakeholders	Moderate
OVERALL	Substantial

B. Overall Risk Rating Explanation

50. The overall project risk is rated as “Substantial”. Below is a discussion of the various risk categories:

- (a) There is a **Substantial** likelihood that political and governance factors could significantly impact the PDO, due to possible political tensions related to the upcoming June 2015 general elections.
- (b) The macroeconomic risk is **Substantial**. Even though economic growth of Burundi is expected to slightly accelerate, Burundi’s economy remains vulnerable to endogenous/exogenous shocks. Although the budget deficit is expected to be in the range of 1-1.5 percent of GDP, it remains vulnerable to aid volatility, mix revenue performance, and spending pressure on wages and investment projects. Therefore, investments on infrastructure may be negatively affected due to such spending pressure. This situation may in turn endanger the infrastructure maintenance.
- (c) There is a **Substantial** risk of adverse impact on the PDO stemming from inadequate sector strategies and policies. The governance of the transport, urban and DRM sectors remain weak with weak technical, managerial capabilities, and low visibility. In light of this, efforts are ongoing on various fronts, which contribute to mitigate this risk. More specifically, IDA-supported RSDP and BAPW had and have activities to address technical capabilities, capacity constraints, as well as funding for investments. Among the mitigating measures, the proposed project is also scheduled to help the GoB to set up a new Transport Strategy to provide strategic direction for the sector.
- (d) There is a **Substantial** risk that institutional capacity for implementation and sustaining the project may adversely impact the PDO, due in part to the weak capacity of some of the line Ministries to which the IAs are linked. This risk would be mitigated by conferring responsibility for implementation to semi-autonomous IAs staffed with a full complement of key technical and fiduciary specialists. Furthermore, during the course of implementation, should it become apparent that a

particular component or sub-component is underperforming, aggressive restructuring could be undertaken to shift resources away from non-performing components towards well-performing components. Finally, each of the IAs will be expected to maintain the following staff members who in turn will be required to dedicate at least part of their time to the Project: (a) a coordinator; (b) a procurement specialist; and (c) a financial management specialist. At the PMU level, a safeguard specialist and a monitoring and evaluation specialist are already in place.

- (e) Fiduciary risk is rated **Substantial**, due to weak oversight and controls, and governance issues. Although the IAs are all currently staffed with qualified and experienced financial management and procurement specialists, the economic situation could lead to attempts by any person involved in the project to divert IDA resources to non-eligible uses. Measures have been proposed to mitigate this risk by: (a) Within each IA, the internal control environment would be strengthened through the reinforcement of the internal audit functions and by ensuring coverage of all the key operational risk areas within the project; and (b) the IAs would be subject to annual financial and technical audits. The IAs would be required to ensure transparency by having open and fair procurement processes and by ensuring that financial reports are publicly disclosed.
- (f) There is a **Substantial** risk related to exogenous environmental or social factors could adversely affect the achievement of the PDO or the sustainability of results because of the country's geographical and typical climate exposing it to heavy rains. In addition, the country's capacity to implement environmental and social measures is limited. To mitigate potential impacts, the project provides for strengthened and more resilient infrastructure. There are also exogenous social factors that may impact the project and they are related to similar uncontrolled quarrying of material from riverbeds. This risk is mitigated by the ongoing efforts by all partners' coordinating efforts, including the involvement of the Ministry of Public Security which is mandated with the coordination of DRM activities.

51. **Supervision, and monitoring and evaluation arrangements.** Based on the above risk assessment and due to its emergency nature, the proposed Project will be supervised closely, which will include two full implementation review missions per annum and at least two limited implementation review missions. Each implementation review mission would include a procurement specialist and a financial management specialist, while a safeguard specialist would join at least once a year. Other specialists, including in the area of transport and urban infrastructure, risk mitigation management, disbursement, and any targeted specialists as required would also join selected missions. Monitoring and evaluation arrangements for implementation of the proposed Project would be identical to those currently used by the IAs in the implementation of IDA financed projects, while the NRA would consolidate the indicators. The monitoring and evaluation arrangements of the IAs are considered adequate and have been progressively updated during implementation of past projects.

VI. APPRAISAL SUMMARY

A. Economic Analysis

52. The proposed Project is expected to contribute to improve the economic conditions of people living in the project's regions of intervention and generate economic benefits by: (a) improving access to markets; (b) facilitating transport services through the NR-1 reopening to heavy traffic; (c) reducing the time travel and distance between the capital city and border points with Rwanda and Tanzania by ending the current re-routing; (d) reducing transport costs and some commodities price, especially imported goods, such as fuel, cement and other building materials, as well as imported foods, after the secure reopening of the NR-1 to heavy trucks traffic; (e) reducing impacts of future floods in terms of morbidity and mortality for water-borne diseases, but also in terms of damage inflicted on housing, public buildings and other infrastructures, or by the loss of assets and tools; and (f) time and money savings to the affected populations from the removal of waste, cleaning up, and reorganizing of their households.

53. The more specific benefits of the road emergency spot improvement and rehabilitation works will be the reduction in the following costs: (a) high externality costs through important trans-boarding activities or interruption of traffic if a crossing structure collapse or is not repaired; (b) higher costs of the reconstruction of a collapsed structure or bridge, in addition to the cost of a temporary bypass solution to allow traffic flows where possible; and (c) fatality and/or serious injuries costs.

54. The frequency and scope of flooding will noticeably decrease in flood prone and/or low lying areas located in the watersheds after the improvement of the drainage structures/canals (Nyabagere, Kinyankonge and Gasenyi). As a result, higher economic impacts are expected, as there would be fewer damaged assets. Others benefits would include the following: decrease of negative health impact of floods (diarrheal diseases and malaria); and, reduction of economic losses related to housing and urban roads/infrastructures damage, micro-enterprises losing their stocks, and loss of income in the recovery/reconstruction period. Besides, the flood reduction measures through improved drainage systems, and the implementation of a Community based disaster preparedness and response will help populations to be less vulnerable and to mitigate impacts of future floods in terms of loss of shelter, morbidity and mortality for waterborne diseases.

55. The frequency and intensity of similar events are likely to increase due to uncontrolled urbanization, demographic pressure, and climate change. The project is designed to “build back better” public infrastructure that was destroyed during the floods, and to build new infrastructure to control future floods, improve flood water management, rehabilitate infrastructure in the urban areas, strengthen technical and institutional DRM capacity, improve social accountability of all participating government agencies and stakeholders, and strengthen early warning systems, preparedness and response for future disasters. Therefore, the project would have significant direct and indirect economic impacts on the economy of the project area. Furthermore, the project will help mitigate the impact of future natural disasters and increase resilience in Greater Bujumbura. With proper operations and maintenance, the infrastructure rehabilitated and/or built under this project can continue to provide flood control benefits for at least 20-30 years. The

expected benefits of improved DRM capacity and social accountability are likely to be large in terms of meeting local needs, improved governance and managerial efficiencies.

56. The infrastructure planned to be rehabilitated and/reconstructed under the proposed project is being financed with public funds as they are serving the national, regional, and local community needs. The Bank's value added would reside in its previous successful experience in supporting the government in financing similar infrastructure and providing similar services in the most efficient and cost effective way, through experienced IAs, quality supervision, and transparent fiduciary processes.

57. A comprehensive economic assessment for the proposed project could not be carried out due to the emergency nature of the operation and the limited availability of data needed to prepare a formal cost-benefit analysis. Furthermore, as road works will be limited to spot improvements and the rehabilitation of a few bridges and culverts, and would not cover continuous improvement over the total length of the selected roads, the classical benefits in reduced Vehicle Operating Costs (VOC), maintenance costs, and user travel time would not be substantial. However, during implementation, a more comprehensive economic analysis would be developed with the GoB. Furthermore, costs and impacts of the proposed Project would be monitored throughout implementation, to allow a comprehensive ex-post evaluation, and all stakeholders would ensure that investments are cost-effective.

B. Technical

58. Emphasis will be placed on preserving minor bridges/culvers and in improving drainage structures to ensure all-weather/season passability and an adequate level of service for key NRs. The typology of the proposed road infrastructure works is very similar to works financed under the RSDP, which are based on the spots improvements approach. During project preparation realistic cost estimates for the civil works have been used to reduce the risk of higher than expected costs, and effective supervision mechanisms have been designed, to ensure that physical works can be completed within the stipulated time frame. Moreover, all logistical, technical and geotechnical aspects are now well known by the contractors scheduled to be recruited under particular procurement procedure envisaged in the procurement-related section. Therefore, the implementation of the road works is expected to be fairly rapid, within budget and to an acceptable quality standard.

59. The technical design of the urban infrastructure works and disaster risk management component was carried out based on experiences of the PWUMP and lessons learnt during the joint rapid assessment of the February 2014 urban flooding. The designs retained are technically sound with a focus on reducing risk of flooding and destruction of housing and facilities. The drainage works are part of the priority works identified in the Bujumbura Drainage Master Plan developed in 2013 under IDA financed PWUMP. The drainage works will provide acceptable levels of protection in a technically sustainable manner while at the same time it will be designed to avoid any negative impact or, at a minimum, adopt corrective measures to mitigate or compensate this impact. Technologies considered for drainage are well established and have been used in PWUMP and other projects. Execution of works will require well-established, experienced contractors and supervision consultants familiar with drainage works and anti-

erosion structures. This should ensure that project execution and supervision are executed in a satisfactory manner.

C. Financial Management

60. As part of preparation of the proposed project, a financial management assessment of the identified implementation unit was carried out in accordance with the Financial Management Manual for World Bank-Financed Investment Operations. The objective of the financial management assessment was to determine whether the financial management arrangements: (a) are adequate and capable of correctly and completely record all transactions and balances relating to the project activities; (b) facilitate the preparation of regular, accurate, reliable and timely financial statements; (c) safeguard the project's entity assets; and d) are subject to audit arrangements acceptable to IDA.

61. The existing implementing unit for RSDP has been identified by IDA and the GoB to serve as the PMU for this new project. In order to meet IDA's minimum requirements, the existing financial management system will need to be supported through the following measures: (a) strengthening the fiduciary unit with the recruitment of one additional assistant accountant and one administrative assistant and providing them with fiduciary training; (b) updating the Project accounting, administrative and financial management manual of procedures; and (c) upgrading the accounting software which should comply with World Bank procedures especially in terms of accounting and reporting.

62. A Designated Account (DA) will be opened at the Burundi Central Bank (BRB) on terms and conditions acceptable to IDA under the fiduciary responsibility of the PMU. The ceiling of the Designated Account is US\$1,500,000 as set during negotiations. Replenishments to the Designated Accounts will be made on a monthly basis against withdrawal applications supported by Statements of Expenditures (SOE) or records and other documents as specified in the Disbursement Letter (DL).

D. Procurement

63. Procurement for the project will be carried out in accordance with the following Bank Guidelines: (a) "*Guidelines: Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Borrowers*" dated January 2011, revised July 2014; (b) "*Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers*" dated January 2011, revised July 2014; (c) "*Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants*", dated October 15, 2006, revised in January 2011; and the provisions stipulated in the Financing Agreement. Procurement under the proposed Project would operate under OP/BP 10.00 on Projects in Situations of Urgent Need of Assistance or Capacity Constraints and would therefore benefit from the flexibility on procurement methods (with competitive methods as a rule, and the possibility to use Direct Contracting and Single Sourcing when duly justified) and applicable thresholds (which would be subject to update throughout the project implementation based on actual procurement assessed risk) among others.

64. As already mentioned, NRA will implement the overall project, and BAPW will be delegated procurement and contract management of urban infrastructure and DRM components. The two agencies have been implementing other Bank-financed projects in a satisfactory manner with regard to procurement. Procurement risks and their mitigation measures are summarized in Annex 3.

65. **Advance Contracting.** To accelerate project implementation, the Borrower is considering starting the procurement process before signing the Financing Agreement. The procurement procedures, including advertising, will be conducted in accordance with IDA's Guidelines for the contracts to be eligible for IDA financing, and the review process by the Association will be followed in accordance with the Procurement and Consultant Guidelines as if the financing agreement had already been signed.

66. **Simplified Procurement Plan.** The Borrower has developed a simplified procurement plan as per requirement of OP/BP 10.00 indicating procurements to be carried out at least for the first 18 months of the project. The procurement plan consisted of the procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, prior review requirements, and time frame has been agreed between the Borrower and IDA at negotiations. The procurement plan would be updated at least annually, or more frequently as required, to reflect the actual project implementation needs and improvements in institutional capacity.

E. Social (including Safeguards)

67. **Social Benefits – Poverty, Equity Gender.** Civil works related to road and urban infrastructure rehabilitation works will provide short-term income-generating opportunities for skilled and less skilled labor force. In the long term, the implementation of the planned activities will further contribute to the improvement of food security, enhanced road access, and increased rural and urban mobility, trade between rural and urban areas and export and import. In addition, the project will strengthen national integration and regional trade.

68. The proposed project will benefit women, children, men and elderly and the physically challenged by responding to their basic transport and urban infrastructure needs, and providing them with better access to some of their basic social services: water; health; school and markets. A sample of expected social and poverty outcomes of the proposed Project will include, but not limited to, the following: (a) job creation and income generating opportunities in urban areas; (b) enhanced transport access and services; (c) rehabilitation of infrastructures to promote the growth of small towns; (d) enhanced import and export; and (e) social cohesion.

69. **Consultations.** The proposed project concept and implementation strategy builds on a consultation process at several levels: at local community level, at civil society level, at local and provincial administration level, at private sector level, at national level as well as at international donor level. Consequently, the project components are the results of consultative process, and are designed to address assessed and expressed needs by the government of Burundi. Both the Government and the development partners have welcomed World Bank engagement.

70. The intended project design and implementation arrangements were discussed with the Government of Burundi. During implementation of the proposed operations, the Environmental and Social Safeguards instruments -Environmental and Social Impact Assessment (ESIA) and/or Environmental and Social Management Plan (ESMP), Resettlement Action Plan (RAP), etc. - will be prepared through a consultative and participatory process involving all stakeholders at national levels as well as at local community level, including beneficiaries and project affected persons. In particular, the Executing Agencies will consult with project-affected groups, civil society, and local governments to further inform project sub-component design and implementation. The implementing agencies will initiate the public consultations as early as possible and will provide prior to the consultations, all relevant material informs and language(s) that are understandable and accessible to the groups being consulted in a timely manner.

71. Civil works under Component A (*Rehabilitation of roads and urban infrastructure*), may require land acquisition. However, potentially adverse environmental or social impacts are expected to be reversible and easily mitigated as project activities are limited in scope and confined to existing infrastructures. Although only minor environmental and social impacts are anticipated, OP/BP 4.12 Involuntary Resettlement has been triggered, and an RPF will be prepared and disclosed within six months after project effectiveness date, as stipulated under the exceptional deferral paragraph 12(a) of OP 10.00. No civil works will be commenced unless and until all of the relevant safeguards instruments have been prepared, cleared, and disclosed. Compensation for involuntary resettlement, if any, will be covered by government funds.

F. Environment (including Safeguards)

72. The proposed project is classified as an “Environmental Category B” operation under World Bank’s OP/BP 4.01, and it triggers two World Bank environmental safeguards policies: OP/BP 4.01 – Environmental Assessment, and OP/BP 4.11 Physical Cultural Resources.

73. Negative environmental impacts of the project will come mainly during the construction phase from the rehabilitation of roads and urban infrastructure, especially on the NR-1 and in Greater Bujumbura with the reinforcement of existing river channels. Whereas no digging nor dredging is involved, the civil works could cause the following localized negative impacts: soil erosion; soil and water pollution; loss of vegetation; noise; dust; and risk of accident and the generation of waste. However, the potential environmental impacts are likely to be small-scale and site-specific and thus easily remediable and reversible. Civil works impacts on neighborhoods and the natural environment will be minimized or avoided through better environmental planning and integration with civil works design. Environmental specification to mitigate civil works related impacts will be prepared and incorporated in corresponding works contracts and will be enforced by works supervision. The mitigating measures would further include re-planting of trees/slope stabilization on key sections of NR-1 to reduce the environmental impacts of the NR-1 and increase its climate resilience.

74. As the proposed project is processed under the exceptional deferral paragraph 12(a) of OP 10.00 and the guidance note for crises and emergency operations for application of IDA safeguards and Public disclosure policies, an Environmental and Social Action Plan (ESAP) has been prepared (see Annex 5) and will also be subject to public consultation and disclosure by the

Borrower during project implementation. The safeguards action plan, as referred to in paragraph 53 of World Bank's BP 10.0, consists of the preparation of an ESIA, ESMP, and if needed, a RAP, no later than six months after the project effectiveness date. The ESIA will include the ESMP. The preparation of these instruments is the responsibility of the Recipient through their two Implementing Agencies, the NRA and the BAPW. Both agencies have already Social and Environmental Focal Points (SEFPs) who have relatively good experience in implementing World Bank infrastructure projects, and are familiar with World Bank safeguards policies. NRA and BAPW will appoint independent consultants to carry out the ESIA and prepare the safeguard instruments including the RAP, if needed, under TOR that will be reviewed and approved by IDA. No additional safeguards instruments are required for OP 4.11 – Physical Cultural Resources, but instructions on how potential chance finds of physical cultural resources will be managed will be covered in the ESIA. Finally, none of the civil works funded under the proposed project can start until and unless all of the deferred relevant social and environmental instruments have been completed by the Recipient, cleared by IDA, and disclosed.

75. Considering the nature and magnitude of potential environmental and social impacts from relatively limited scale of rehabilitation and improvement works, the proposed Project Safeguard Environmental category is “B”. The policies triggered are as follows:

Safeguard Policies Triggered by the Project	Yes	No
Environmental Assessment (OP/BP 4.01)	☒	☐
Natural Habitats (OP/BP 4.04)	☐	☒
Pest Management (OP 4.09)	☐	☒
Indigenous Peoples (OP/BP 4.10)	☐	☒
Physical Cultural Resources (OP/BP 4.11)	☒	☐
Involuntary Resettlement (OP/BP 4.12)	☒	☐
Forests (OP/BP 4.36)	☐	☒
Safety of Dams (OP/BP 4.37)	☐	☒
Projects on International Waterways (OP/BP 7.50)	☐	☒

76. In accordance with the conclusions and recommendations of the seventeenth replenishment of IDA resources, a screening of the proposed project for short and long term climate change and disaster risks was undertaken using World Bank Climate and Disaster Risk Screening Tool. The key risks are related to landslides and flooding caused by heavy rainfall and denuded hill slopes. Project design incorporates resilience measures for extreme precipitation and flooding risks, and they will form part of the final engineering solutions for road infrastructure. Project activities related to strengthening the early warning and rapid response systems are designed to reduce the human vulnerability.

G. Gender

77. As part of the proposed project's aims to improve the livelihoods of vulnerable communities, specific attention would be paid to women and children/youth, as well as the elderly and other vulnerable groups. Therefore, the proposed project will contribute to the broader goal of reducing vulnerability of women and girls in the country, by providing an

enabling environment for participation in economic and social life, through safer road transport services and urban drainage infrastructure, aimed to specifically target vulnerable groups with focus on women. The project's ESIA is being prepared with specific attention to gender issues. Monitoring of gender-related project activities and benefits will be part of the project social safeguards reports.

H. World Bank Grievance Redress Service

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to IDA's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to IDA's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to IDA Inspection Panel, please visit www.inspectionpanel.org

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Annex 1: Results Framework and Monitoring
Burundi– Infrastructure Resilience Emergency Project

The Project's objective is to enhance the climate resilience of key transport and drainage infrastructure in Greater Bujumbura while strengthening the country's capacity to manage and prevent natural disasters.

PDO Level Results Indicators*	Core	Unit of Measure	Baseline	Cumulative Target Values**				Frequency	Data Source/ Methodology	Responsibility for Data Collection	Description
				2015	2016	2017	2018				
Direct Project Beneficiaries, of which female (%)	☒	Number	0	800,000	840,000	882,000	926,000	Annual evaluation report	Geographic assessment tool	NRA	Number of people in Bujumbura with access to better climate resilient road infrastructure rehabilitated/ reconstructed by the project
		%	N/A	50	50	50	50				
Number of people with access to improved drainage in the areas served by the project, of which female (%)		Number	0	11.000	57.000	77.000	77.000	Annual evaluation report	Geographic assessment tool (Estimate areas drained by new collectors and calculate pop using detailed census data)	BAPW	Urban infrastructure PDO indicator
		%	N/A	50	50	50	50				
Number of people supported by participatory evaluation of disaster risks and operational early warning and response systems, of which female (%)		Number	0	0	7,000	21,000	39,000	Annual evaluation report	Project reports	BAPW	DRM PDO indicator
		%	N/A	50	50	50	50				
Reduction in unit transport costs along NR-1 in PIA		%	N/A	0	0	2	4	Annual	TBC	NRA/ Ministry of Transport	Consultant to be recruited to set up database

INTERMEDIATE RESULTS

PDO Level Results Indicators*	Core	Unit of Measure	Baseline	Cumulative Target Values**				Frequency	Data Source/ Methodology	Responsibility for Data Collection	Description
				2015	2016	2017	2018				
Intermediate Result (Component A):Roads and Urban Infrastructure Rehabilitation											
Number of drainage structures rehabilitated/reconstructed		Number	0	2	8	13	17	Annual	Project Progress reports	NRA	
Number of kilometers of newly constructed/ rehabilitated drainage network			0	2.6	7.00	12.6	12.6	Annual	Progress status report	BAPW	
Number of crossing structures rehabilitated			0	0	2	3	3	Annual	Progress status report	BAPW	
Intermediate Result (Component B):Disaster Risks Management											
Number of municipalities supported for emergency information dissemination, emergency response and contingency planning		Number	0	0	2	4	8	Annual	Progress status report	BAPW	
Contingency funding mechanism established and ready to provide access to financial resources in case of an eligible crisis or emergency.		Y/N	N	Y	Y	Y	Y	Annual	Disbursements reporting	BAPW	Contingency Emergency Response Component indicator
Intermediate Result (Component C): Institutional Support, Project Management and Coordination											
Transport strategy and road investment plan completed		Y/N	N	N	Y	Y	Y	Annual	Project Progress reports	PMU	Monitoring of planning capacity of the Transport Sector
Road Database completed and tested for paved and unpaved roads		Y/N	N	N	Y	Y	Y	Annual	Project Progress reports	PMU NRA	Planning and programming capacity of NRA

											indicator
Annual maintenance budget and percentage Share of annual road maintenance budget disbursed		%	68	70	75	80	85	Annual	Project Progress reports	PMU/NRA and RMF	Disbursed road maintenance budget will measure delivery capacity of NRA

Annex 2: Detailed Project Description

Burundi - Infrastructure Resilience Emergency Project

1. The proposed Project's design is streamlined, and draws heavily on the preparation and implementation experience of: (a) other emergency projects in the region to ensure rapid response to urgent needs; and (b) on-going projects in transport and urban management sectors, so that the synergies among those projects can facilitate the implementation of this operation, which has similar activities.

2. The proposed Project will have the following three components:

Component A. Rehabilitation of Roads and Urban Infrastructure (about US\$21.6 millions)

Sub-Component A.1. Transport Infrastructure Rehabilitation (about US\$12.6 millions)

3. The reconstruction or rehabilitation of structures on the Recipient's NR-1 route would include, installation of slope protection mechanisms, stabilization of embankments, rehabilitation of drainage systems, redirection of groundwater and rehabilitation and stabilization of related road pavements, as NR-1 is the main priority of the Government because of its critical role for the intra/inter regional movement of goods, services and people. The road was constructed about forty years ago and once the civil works funded under the project will be completed, together with other works funded by other development partners, it will bring it back to acceptable level of service and all-weather/season passability. Furthermore, the planned works will allow the end of the post flooding diversions due to the damage caused on NR-1. Finally, the reasons for prioritizing works on NR-1 include the urgent need to: (a) repair the flood caused damages; (b) rehabilitate and reconstruct pavement structure damaged by landslides and flooding; (c) improve road safety; and (d) enhance their climate resilience. Consequently, the planned emergency road works will focus on:

- Rehabilitation and improvement of the drainage structures on the highest trafficked and most degraded section of NR-1 between Bujumbura and Bugarama. The works will focus on enhancing the current undersized longitudinal drainage structures in order to make them more resilient with higher rainfall patterns as a consequence of climate change, changes in land use patterns and deforestation. The scheduled works will also include the replacement of some culverts/minor bridges together with the downstream stabilization of the embankments.
- Slope stabilization to prevent landslides including construction of retaining walls and afforestation.
- Improving road safety by repairing road shoulders and redirecting groundwater. Five particular spots along the road have been identified for such repairs.

4. The locations, the type of works, and the estimated costs are summarized in the following table:

Table 2-1: Locations and brief definition of the works to be undertaken

No.	Works to be undertaken	Estimated costs (US\$)
1	Site installation	700,000
2	NR-1 - the PK8 + 200 in PK34 – Ditches rehabilitation	3,500,000
3	NR-1 – du PK8+200 au PK34 – Downstream stabilization of 23 structures	1,000,000
4	NR-1 - the PK8 + 200 in PK34 - Replacement of 17 drainage structures	1,350,000
5	NR-1- PK8 + 200 – Downstream treatments of the road section, in parallel with upstream interventions carried out by other parties on the bed of the Gasenyi river	500,000
6	NR-1 - the PK34 PK36 + 500 + 000 – Pavement rehabilitation	1,000,000
7	NR-1 - PK69 + 400 – Spur drainage and Pavement rehabilitation	450,000
8	NR-1 - PK75 + 300 - Road Stabilization and Reconstruction	100,000
9	NR-1 - PK79 + 100 –Rehabilitation of downstream existing structure and protection of the roadbed	250,000
10	NR-1 - PK84 + 600 - Replacement of a damaged structure, road reconstruction and stabilization of the fill slope by a gabion wall	200,000
11	NR-1 - PK87 + 200 - Spur drainage and rehabilitation of the roadway, gabions embankment, and slope turfing	350,000
12	NR-1 - PK96 + 800 – Slope stabilization from the excavated side with a gabion retaining wall; replacement of the drainage structure; rehabilitation of the downstream outlet over 200 ml; and, resizing of the ditches juxtaposing the slope over 250 ml	1,250,000
13	NR-1 - PK109 + 600 - Embankment stabilization of the platform by a gabion wall and pavement reconstruction	250,000
14	Studies and Work Supervision / Environmental and Social Study on NR-1	1,700,000
15	TOTAL	12,600,000

Sub-Component A.2. Urban Infrastructure Rehabilitation (Estimated cost: US\$9 millions)

5. This sub-component will rehabilitate primary drainage system and reduce flooding in prone areas through improved discharge of storm water. The sub-component will use labor-intensive construction techniques to generate employment for local population. This sub-component includes two main activities:

(a) Rehabilitation of primary drainage structures at Nyabagere, Kinyankonge, Gasenyi and strengthening of embankments

6. The rehabilitation work on primary drainage structures at Nyabagere, Kinyankonge, and Gasenyi will consist of widening and strengthening the beds and banks of these drains for a length of about 10 km. Civil works will include the construction of a lined channel along Nyabagere and Kinyankonge rivers to Lake Tanganyika for a distance of 7.5 km, as well as rehabilitation of cross drainage structures under the NR-9. The rehabilitation work of Gasenyi River will be 2.5 km long from Districts Carama 1 and 2 to the water outlet after the NR-9, and will include the construction of a surfaced collector and crossing structures under the NR-9. Excavation and disposal at the landfill, and construction of additional works such as energy dissipation structures and protection of the banks in gabion or masonry will be included as part of the works. This work will be supplemented by environmental protection actions intended to stop soil erosion other measures to attenuate the risks of the works to the environment. Finally, the scheduled works would mitigate the impacts of insufficient municipal budget allocated to infrastructure maintenance.

(b) Drainage works in Carama District and protection of the wastewater treatment plant at Buterere

7. Civil works will include the construction of a lined canal to be built between the two areas of Camara Districts and the water outlet size to allow full drainage capacity. The civil works will start from the new principal channel towards the NR-9 then along the NR-9 for a distance of about 2 km. It will include cleaning of channel 600 m upstream of the wastewater treatment plant of Buterere to restore a regular flow, as well as the reinforcement using a 50 m long retaining wall, gabions, and masonry at the wastewater treatment plant of Buterere. Work will also include other environmental protection measures.

8. The table below presents a summary of the activities to be financed under Sub-component A.2:

Table 2-2: Urban Activities

Description of the works	Estimated Costs (US\$)
Channelization of Nyabagere and Kinyankonge rivers	2,700,000
Channelization of Gasenyi river	4,350,000
Rehabilitation of Carama Canal and reinforcement of Buterere Wastewater Treatment Plant	785,000
TOTAL OF WORKS	7,835,000

Works Supervision	615,000
BAPW Fees	550,000
TOTAL	9,000,000

Component B. Capacity strengthening in Disaster Risk Management (Estimated cost: US\$2 millions)

9. This component would mitigate the effects of possible future natural disasters on main infrastructure, especially on roads and urban infrastructure.

Sub-component B.1. Capacity strengthening in Disaster Risk Management (Estimated cost: US\$500,000)

10. Heavy rains caused the major floods of February 2014, but the impacts were aggravated by: (a) improper risk mitigation in the quarrying near the banks of the Gasenyi River; and (b) inadequate evaluation and management of the risk caused by the temporary water storage. To prevent the recurrence of similar events in the PIA, and to reduce risks related to flooding and landslides, it is essential to strengthen the Government's capacity to manage disaster risks. In this context, it is planned to finance: (a) an evaluation and mapping of risks in the project area including their potential impacts on infrastructure; (b) the establishment of a system of prevention, early warning and response in areas at risk of landslides, to avoid the creation of water reservoirs, and to enable evacuation of people; and (c) a strategic information system to prioritize structural and non-structural risk mitigation activities, and take action regarding the location, orientation and design of infrastructure under the project. This Component will require collaboration among competent technical services and communities, with citizen participation. Similarly, awareness creation will be supported in order to ensure sustainability of the activities. To this end, this Component will also support advocacy, communication, and training, monitoring of risks by residents, and water and soil conservation activities.

11. Under risk evaluation, the proposed project will finance risk assessments in order to inform the mainstreaming of disaster risks into infrastructure design and planning, and the optimal development of rapid warning systems. Hazard, exposure, vulnerability, and loss probability information will be developed through collaboration with relevant technical experts and stakeholders and will be made available under the framework of the Geospatial Central Office (Bureau Central de Géomatique - BCG).

12. Preparedness and emergency response including real-time multi-hazard early warning systems in priority areas will enable proper monitoring of hazards, evaluation of associated risks and support decision making. Emergency related information, alerts, and standard operating procedures would get translated into local dialects.

13. Sub-component B.1 will be implemented with due regard to the activities being undertaken under Sub-components A.1 and A.2 because of the inter-relationship of the interventions. All activities under the project will inform a geographical information system

connected to an emergency information dissemination system. These systems will enable tracking progress, and exchange of crucial information both for prevention and emergency response, as well as for monitoring and evaluation.

Sub-component B.2. Disaster risk recovery contingency funds (Estimated cost: US\$1.5 million)

14. The project would make specific use of the provisions of OP 10.00, paragraph 12, related to emergency contingency financing through the establishment of a disaster recovery contingency fund, to allow the allocation of project funds to rapidly respond to future eligible emergencies. This component could support emergency measures to reduce damages to infrastructure, ensure business continuity, and enable rapid rehabilitation and sustainable reconstruction. This component would be governed by a specific section of the project implementation manual, and triggered in the event of a natural disaster through a formal declaration of a state of emergency. Eligible activities will include procurement of goods, works, and services needed for response, mitigation, recovery, and reconstruction.

Component C: Institutional Support, Project Management, and Coordination (Estimated cost: US\$1.4 million)

15. This component would fund the required consultancy services, technical advisory services, such as technical studies and assessments, training, media Information, Education and Communication (IEC), and financial audits.

16. The project will continue to support institutional strengthening, as initiated under the RSDP, to improve the capacity within Government and its related agencies to manage and maintain the country's road network. The project would finance the development of a Transport Sector strategy, including multi-years investment plans and maintenance program for 10 years. It would also support the NRA to improve its performance in the road network management through one or more of the following activities, depending on the resources available: (i) implementation of the recommendations contained in the assessment of the road recurrent maintenance system with the Community Development Association; (ii) implementation of recommendations of the NRA's organizational and performance assessment; and (iii) the setting-up of a Road Database management system within the NRA, to complement the already ongoing EU funded activities in the same field.

17. This component would also finance project management and coordination costs, including the eligible PMU operating costs.

18. The overall project cost breakdown is as follows:

Table 2-3: Project overall Cost Breakdown

Components and sub-components	Estimated Costs (US\$ million)
Component A. Roads and Urban Infrastructure Rehabilitation	21.6
A.1. Transport Infrastructure Rehabilitation	12.6
A.2. Urban Infrastructure Rehabilitation	9.0
Component B. Capacity Strengthening in Disaster Risk Management	2.0
B.1. Capacity Strengthening in Disaster Risk Management	0.5
B.2. Disaster Risk Recovery Contingency Funds	1.5
Component C. Institutional Support, Project Management and Coordination	1.4
Total cost	25.0

Annex 3: Implementation Arrangements

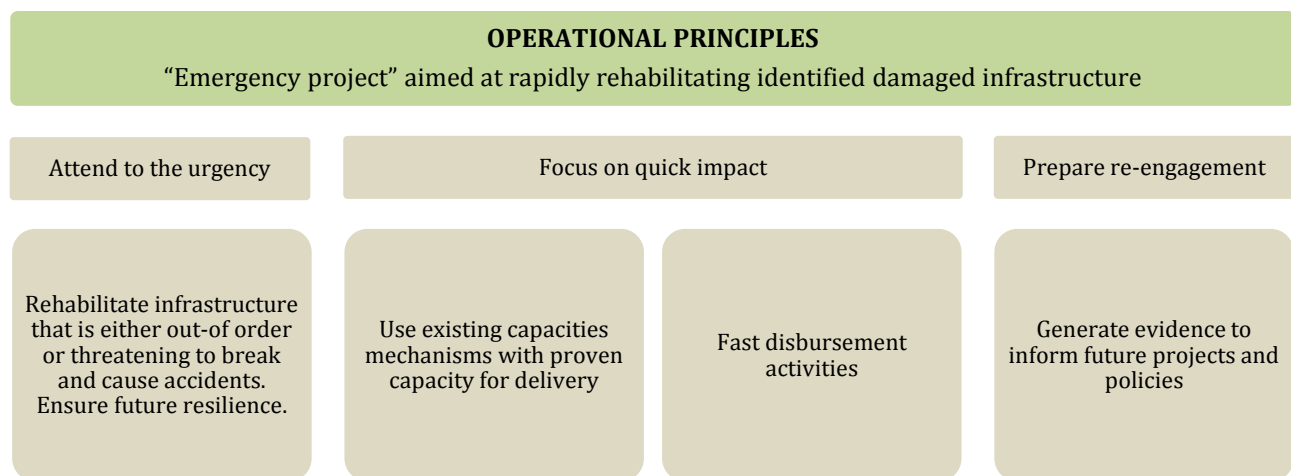
Burundi - Infrastructure Resilience Emergency Project

Project Institutional and Implementation Arrangements

Project administration mechanisms

1. Table 3-1 below shows the proposed streamlined operational & implementation framework.

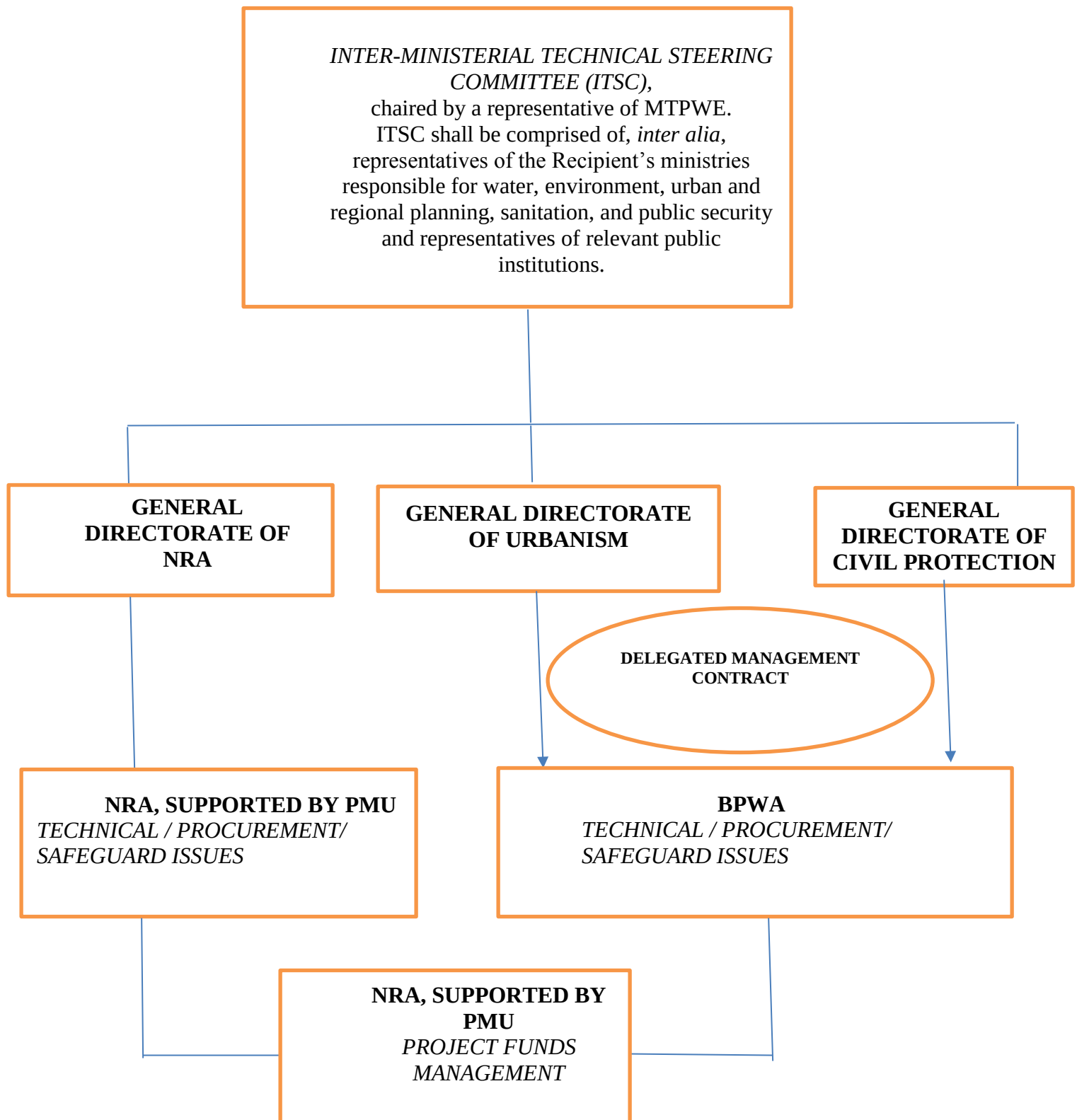
Table 3-1: Operational & Implementation Framework



2. In order to accelerate the proposed Project’s preparation and implementation, the institutional arrangements set up under the Road Sector Development Project (RSDP) and the Public Works and Urban Management Project (PWUMP) will be maintained. What follows is a description of the institutional and implementation arrangements:

- **Transport sub-component** (Sub-component A.1.): The National Roads Agency (NRA) will continue to be responsible for the coordination of the project activities, under the aegis of the Ministry of Transport, Public Works and Equipment (MTPWE). The Project Management Unit (PMU) will support the NRA and directly report to the CEO of NRA; it will be in charge of the fiduciary aspects of the project implementation. The Directorate of Planning within NRA remains in charge of technical studies, preparation of bidding documents, and technical audits. The Directorate of Road Works at NRA will continue to supervise the works execution, and will validate all invoices related to works and supervision contracts.
- **Urban sub-component and DRM Component.** The urban infrastructure rehabilitation (Sub-component A.2.) and Capacity Strengthening in Disaster Risk Management (Component B) will be implemented by BAPW, on the basis of a Project Management Contract with the Representative of the Government.

3. The project's institutional arrangements are presented in the graph below:



4. **Retroactive financing mechanism:** In order to hasten the implementation of the project and to allow for the launch of works on NR-1 upon the project's effectiveness, the Government has agreed to pre-finance some agreed preliminary activities. The agreed expenses (completion of technical, studies on NR-1; ESIA and RAP related to the works on NR-1; and, consultant fees and operating expenses for the PMU), up to an aggregate amount not to exceed SDR 400,000 equivalent, would be reimbursed under the project's funds for payments made prior to the date of the Financing Agreement but on or after January 31, 2015 for Eligible Expenditures under Categories 1 and 2, as defined in the Financing Agreement. It is envisaged that IDA would pay such expenses based on a prior review. Besides, under the retroactive financing clause, IDA would reimburse costs related to activities that have been financed in full coherence with IDA's procurement Guidelines.

5. **Readiness for implementation.** The implementation arrangements to put in place for the proposed Project are based on existing structures with demonstrated capacity and have been streamlined wherever possible to facilitate rapid implementation. The PMU within the NRA for the RSDP will serve as the PMU for this Project. Technical and engineering standards that would be applied to the activities financed under the proposed Project are similar, if not identical, to those being used by the various IAs for other IDA-financed projects. Safeguards policies that would be triggered by the proposed Project have all been triggered by other projects currently under implementation, so existing safeguards policies and procedures are already well known and could easily be adapted. Two Implementing Agencies (NRA and BAPW) already have in place operational SEFPs. Since most activities would involve the rehabilitation of existing infrastructure, mandatoryESIAs, ESMPs and RAPs could be prepared relatively quickly: those studies are in-progress for the urban infrastructures; for the road component, the consultant is being recruited and should start the corresponding studies by mid-March 2015.

6. **PMU staffing and duties.** The PMU under the supervision of NRA will be composed of a project director, a procurement specialist, a financial management specialist, one chief accountant, one assistant accountant, one administrative assistant, and a monitoring and evaluations specialist, all with qualifications, experience, and terms of reference satisfactory to IDA. All these PMU staff members (except for the assistant accountant, the administrative assistant and the monitoring and evaluations specialist) should have been recruited before the project's effectiveness. The PMU will coordinate all the reporting tasks for the activities financed by the project, especially regarding the fiduciary aspects (procurement planning consolidation and all financial management duties).

Financial Management, Disbursements, and Procurement

Financial Management

7. As part of project preparation of the Infrastructure Resilience Emergency Project, a financial management assessment of the identified implementation unit was carried out in accordance with the Financial Management Manual for World Bank-Financed Investment Operations that became effective on March 1, 2010. The objective of the financial management

assessment was to determine whether the financial management arrangements: (a) are adequate and capable of correctly and completely record all transactions and balances relating to the project activities; (b) facilitate the preparation of regular, accurate, reliable and timely financial statements; (c) safeguard the project's entity assets; and (d) are subject to audit arrangements acceptable to IDA.

8. The existing implementing unit for RSDP has been identified by IDA (WB) and the GoB to serve as the PMU for this new project. In order to meet IDA's minimum requirements, the existing financial management system will need to be supported through the following measures: (a) strengthening the fiduciary unit with the recruitment of one additional Assistant accountant and one administrative assistant and providing them with fiduciary training; (b) updating the Project accounting, administrative and financial management manual of procedures; and (c) upgrading the accounting software which should comply with World Bank procedures especially in terms of accounting and reporting.

A. Risk Assessment and mitigation measures

9. The main risks and mitigating measures of this project are listed in the Systematic Operation Risk-Rating Tool (SORT) table in the PAD Datasheet. Taking into consideration the general country financial management context, the issues related to the PMU and other involved ministries such as Public Security, Environment, Transport and Urban, as well as the mitigation measures provided, the overall financial management risk rating for this project is Substantial. Therefore, the setting-up of the ITSC should help to bring together all the stakeholders in order to coordinate the search of solutions to complex and multi-sectorial issues.

B. Implementing entity

10. It has been agreed that the PMU's fiduciary team within the NRA, which is well experienced in WB fiduciary procedures, will have the overall responsibility of handling the financial management aspects of this project, including budgeting, disbursement, book keeping, reporting, supervision, management of the designated account and auditing.

11. The financial team will be composed of one financial management expert, one chief accountant, and two accountants who will be working fully on the project. They have been handling the financial management aspects of the RSDP and have been producing unqualified audit reports and timely quarterly interim unaudited financial reports. Training on fiduciary procedures will be conducted for all FM staff throughout the life of the project.

C. Planning and budgeting

12. The Annual Work Plan and Budget (AWPB), along with the disbursement forecast will be elaborated by the PMU in coordination with the Project IAs. It will be submitted to the ITSC for approval, and thereafter to IDA for no objection no later than December 31 of the year preceding the year the work plan should be implemented, except for year 2015, for which such deadline would be three months after the project's effectiveness. The fiduciary unit of the PMU will monitor its execution with the accounting software in accordance with the budgeting

procedures specified in the manual of procedures as well as in the Financial Regulation and Rules. The budgeting system should forecast for each fiscal year the origin and use of funds under the project. Only budgeted expenditures would be committed and incurred so as to ensure that the resources are used within the agreed upon allocations and for the intended purposes. The quarterly IFRs will be used to monitor the execution of the Annual Work Plan and Budget.

D. Information and Accounting System

13. Burundi is a member of the “*Organisation pour l’Harmonisation en Afrique du Droit des Affaires - OHADA*”. In line with the international accounting standards, Burundi adheres to OHADA accounting standards, namely SYSCOHADA. Hence SYSCOHADA accounting standards will apply to this project. An integrated financial and accounting system will be put in place and used by the fiduciary unit. The Project code and chart of accounts will be developed to meet the specific needs of the project and documented in the Manual of Procedures. The accounting system is expected to include a general ledger, auxiliary ledgers, general balance, cash record, and fixed assets record. The charter project account will be prepared according to the wording used in tables for sources and uses of funds for the accepted eligible expenditures as agreed during negotiations. These ledgers and records should be maintained with the support of financial management software that will be operational no later than three (3) months after Project effectiveness. Financial management staff at the PMU and the IAs will also be trained in the use of the software by the same date.

E. Internal control and financial, administrative, and accounting manual

14. A financial management manual which details out key internal control procedures from transaction initiation, review, approval, recording, and reporting will be implemented. The financial management manual will be ready by the project effectiveness. There will be a clear separation of duties within the financial management unit.

F. Disbursement arrangements

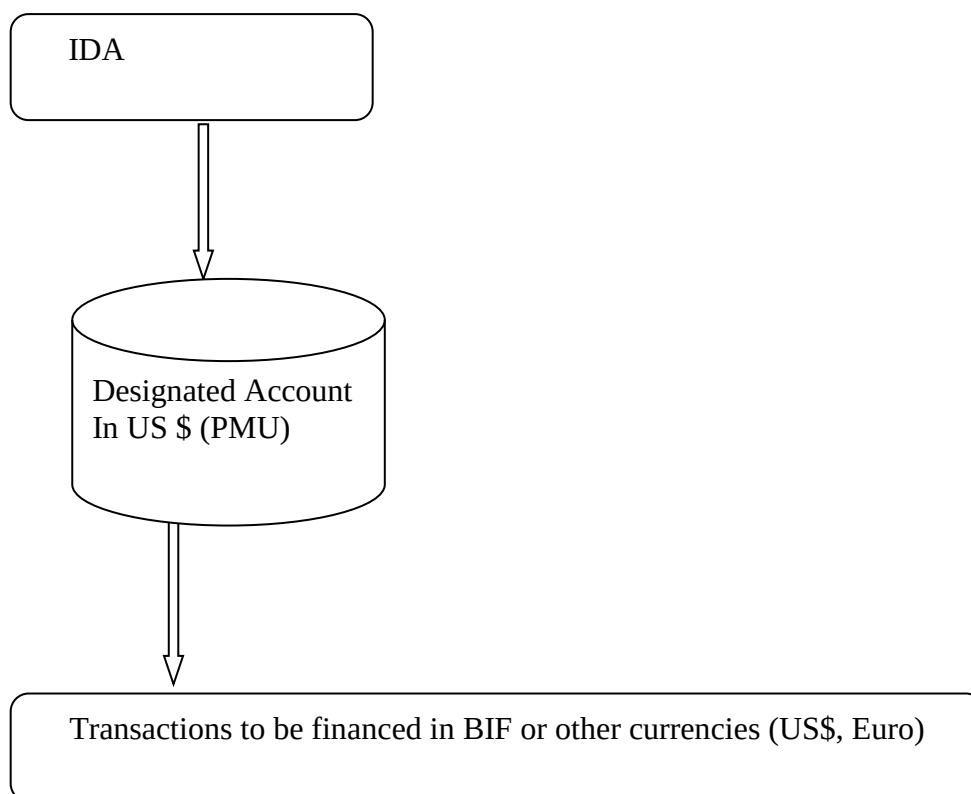
15. The proceeds of the Grant will be disbursed in accordance with IDA’s traditional disbursement procedures and will be used to finance activities through the disbursement procedures currently used, namely Direct Payment, Advances, Reimbursement and Special Commitment.

16. Upon project effectiveness, transaction-based disbursements will be used. The PMU should produce regular unaudited interim financial reports (IFRs). IDA will review the quarterly IFRs and issue a pronouncement on their accuracy and adequacy. Thereafter, the option to disburse against submission of quarterly unaudited IFR (also known as the Report-based disbursements) could be considered subject to the quality and timeliness of the IFRs submitted to IDA and the overall FM performance as assessed in due course. The other methods of disbursing the funds (reimbursement and direct payment) will also be available to the project. The minimum value of applications for these methods is 20 percent of the DA ceiling.

17. Another acceptable method of withdrawing proceeds from the IDA grant is the special commitment method whereby IDA may pay amounts to a third party for eligible expenditures to be paid by the Recipient under an irrevocable Letter of Credit (LC).

18. The project will have the option to sign and submit Withdrawal Applications (WA) electronically using the e-Signatures module accessible from IDA's Client Connection website.

19. The flow of funds is summarized as follow:



G. Reporting arrangements

20. The PMU will record and report on project transactions and submit to IDA Interim Financial Monitoring Reports (IFRs) no later than 45 days after the end of each calendar quarter. At a minimum, the financial reports must include the following tables with appropriate comments: (a) Sources and Uses of Funds; (b) Uses of Funds by Project Activity/Component and comparison between actual expenditures and budget; (c) Special account activity statement; and (d) Notes to the IFR. At the end of each fiscal year, the project will issue the Project Financial Statements (PFS) comprising: (a) A balance sheet; (b) a statement of sources and uses of funds; (c) accounting policies and procedures; and (d) notes related to significant accounting policies and accounting standards adopted by management and underlying the preparation of financial statements. These PFS will be subject to annual external audits as described below.

H. External auditing arrangements

21. A qualified, experienced, and independent external auditor will be recruited on approved terms of reference three months after project effectiveness. The external audit will be carried out according to International Standards on Auditing (ISAs) and will cover all aspects of project activities implemented and include verification of expenditures eligibility and physical verification of goods and services acquired. The report will also include specific controls such as compliance with procurement procedures and financial reporting requirements and consistency between financial statements and management reports and field visits (e.g. physical verification). The audit period will be on annual basis and the reports including the project financial statements submitted to IDA and to the auditors six months after the end of each fiscal year.

22. The project will comply with IDA disclosure policy of audit reports (e.g. making them publicly available, promptly after receipt of all final financial audit reports (including qualified audit reports) and place the information provided on its official website within one month of the report being accepted as final by the team.

I. Governance and accountability

23. The risk of fraud and corruption within project activities is substantial, given the country context. However, the effective implementation of the proposed fiduciary mitigation measures should contribute to strengthen the control environment. Also, appropriate representation in, and adequate oversight by the ITSC, transparency in implementation of project activities, as well as sound communication to and with stakeholders and the wider public, should constitute a strong starting point to tackle governance and corruption issues during project implementation.

J. Financial management action plan

24. The Financial Management Action Plan described below has been developed to mitigate the overall financial management risks.

Table 3-2: Financial Management Action Plan

Issue	Remedial Action Recommended	Responsible entity	Completion date	FM conditions
Project Staffing	Recruitment of one Financial Management Specialist and one accountant.	NRA/PMU and WB	Before effectiveness	Yes
Accounting software	Upgrade the existing software that integrates all the functionality required to manage a World Bank (WB) project. Train the fiduciary staff on the use of that software.	NRA/PMU and WB	Before effectiveness	No
Training	Training of fiduciary staff at the PMU and the IAs	WB	3 months after effectiveness	No
FM procedures manual	Update the existing project manual of procedures that will define FM and	PMU, IAs and WB	Before effectiveness	No

	accounting procedures to run the project.			
Reporting (IFRs)	Agree on the format and content of Unaudited Interim Financial Reporting (IFRs)	PMU	During negotiation. Done.	No
External auditing	Selection of an external auditor.	PMU	3 months after effectiveness	No

K. Supervision Plan

25. Supervision missions will be conducted over the project's lifetime. The project will be supervised on a risk-based approach. It will comprise inter alia, the review of audit reports and IFRs, advice to task team on all FM issues. Based on the team's current assessment, the financial risk is substantial. Therefore, the project will be supervised at least twice a year; if needed, this frequency may be increased. The Implementation Status and Results Report (ISR) will include a FM rating of the project. An implementation support mission will be carried out before effectiveness to ensure project readiness. To the extent possible, mixed on-site supervision missions will be undertaken with procurement monitoring and evaluation and disbursement colleagues. Based on the outcome of the FM risk assessment, the following implementation support plan is proposed with the objectives of ensuring the project maintains satisfactory financial management systems throughout the project's life.

Table 3-3: Implementation Support Plan

FM Activity	Frequency
Desk reviews	
Interim financial reports review	Quarterly
Audit report review of the program	Annually
Review of other relevant information such as interim internal control systems reports.	Continuous as they become available
On site visits	
Review of overall operation of the FM system	Semi-Annually (Implementation Support Mission)
Monitoring of actions taken on issues highlighted in audit reports, auditors' management letters, internal audit and other reports	As needed but at least during each implementation support mission
Transaction reviews (if needed)	As needed
Capacity building support	
FM training sessions by World Bank FM team	Before Project start and thereafter as needed

L. List of conditionality and covenants

26. Other FM standard covenants, include: (a) IFRs will be prepared on a quarterly basis and, submitted to IDA 45 days after each quarter; (b) Annual detailed work program and budget, including disbursement forecasts will be prepared each year by end of December; and (c) The overall FM system will be maintained operational during the project's entire life in accordance with sound accounting practices.

Procurement

27. **The Country Procurement Environment:** In 2008, Burundi enacted a new public procurement law that provides a set of modern rules on standardized procurement processes, procedures and controls, and their application. However, its implementation is facing, among others, weak institutional capacity and significant shortcomings in procurement processes as revealed by the recent public procurement independent audit of September 2014. In addition, the Government has initiated revision process of the current law. This public procurement law, as it is now, allows external financing to take precedence over any contrary provisions in local regulations.

28. **Applicable Guidelines:** Procurement for the project will be carried out in accordance with IDA's (i) "Guidelines: Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Borrowers" dated January 2011, revised in July 2014; (ii) "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers" dated January 2011, revised in July 2014; (iii) "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006, revised in January 2011; and the provisions stipulated in the Financing Agreement.

29. Furthermore, in accordance with OP 10.00, Paragraph 11, the project will be processed under specific procurement arrangements as set forth in "Procurement under Situations of Urgent Need of Assistance or Capacity Constraints: Simplified Procurement Procedures" (referred to in OP 11.00, paragraph 20). The various items under different expenditure categories, identified by appraisal, are described in general terms below. For each contract to be financed by the grant, the client and IDA will agree upon, and record in the Procurement Plan, the different procurement methods or consultant selection methods, the need for prequalification, estimated costs, prior review requirements, and time frame. The procurement plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity. The Borrower, as well as contractors, suppliers, and consultants, will observe the highest standards of ethics during procurement and execution of contracts financed under this project.

30. ***Specific procurement procedures may be used to avoid implementation delay deriving from complex works technical approach.*** The proposed emergency works on the NR-1 consist mainly of spot improvement works instead of linear road rehabilitation. Such approach has been experienced under the RSDP and caused implementation delays, as the contractors were not familiar with it. However, thanks to the "learning by doing" approach combined continuous support from the Supervision Firm, the NRA and IDA team, the contractor is now used to this approach. Therefore, it is important to capitalize on that experience through specific procedures

to save time during the implementation of the proposed emergency Project by allowing the works to start upon the project's effectiveness with an experienced contractor. His option may be considered upon the procurement of the works on NR-1.

31. ***Advance Contracting and Retroactive Financing.*** To accelerate project implementation, the Borrower is considering proceeding with the initial steps of procurement before signing of the Financial Agreement. The procurement procedures, including advertising, will be conducted in accordance with IDA's Guidelines for the contracts to be eligible for IDA financing, and the review process by the Association will be followed in accordance with the Procurement and Consultant Guidelines as if the financing agreement had already been signed.

32. ***Accelerated Bid Times.*** Under International Competitive Bidding (ICB) and National Competitive Bidding (NCB), accelerated bid times might be envisaged, but bidding periods shorter than 21 days for ICB and 10 days for NCB should be cleared with the Regional Procurement Management (RPM), taking into consideration the capacity of firms (local and international) to prepare responsive bids in a short period.

33. ***Procurement documents:*** Procurement would be carried out using IDA's Standard Bidding Documents (SBD) for all ICB for goods and works and Standard Request for Proposal (RFP) for the selection of consultants through competitive procedures. The Recipient will continue using standard documents already developed for NCB.

34. ***Scope of procurement:*** *Procurement of works* would include: rehabilitation of NR-1 (drainage system, slopes stabilization, road safety); rehabilitation of primary drains of rivers Nyabagere, Kinyankonge and Gasenyi; drainage of Carama district and protection of Butere wastewater treatment plant. *Procurement of goods* would merely include supplies and equipment for PMUs management and functioning. Selection of consultants would include services for activities such as engineering designs and supervision of works, environmental and social safeguards studies and supervision, technical and financial audits, technical assistance, etc. *Procurements of non-consulting services* are services that are not intellectual or advisory in nature and shall follow the competitive bidding procedures acceptable to the association and as prescribed in the Project Implementation Manual (PIM).

35. ***Procurement and Selection Methods:*** Procurement of goods, works, and non-consulting services would follow methods such as ICB, NCB, Shopping, and Direct Contracting. Selection of consultants would follow QCBS, QBS, Selection based on Consultants' Qualification (CQS), LCS, FBS, Selection of Individual Consultants and SSS.

36. Training, Workshops and Conferences would be carried out on the basis of approved annual/semi-annual work plans that would identify the general framework of training or similar activities, including the nature of training/conference/workshops, number of participants, and estimated cost.

37. ***Operational Costs*** financed by the project are incremental expenses incurred for implementing project activities. They include facility services (electricity, internet, vehicles operation and maintenance, maintenance of equipment, communication costs, supervision costs

(i.e. transport, accommodation and per diem), and salaries of locally contracted staff but excluding salaries for government civil servants. They are not subject to procurement guidelines but will be procured using the procurement procedures specified in the Project Financial and Accounting Manual.

38. **Assessment of Borrower's capacity to implement procurement:** The project will be overall implemented by NRA and BAPW will be delegated procurement and contract management of urban infrastructure component. The two agencies have been, and still are, implementing other WB financed projects that are ending within 6 months, in a satisfactory manner with regard to procurement. However, given the project external factors and its emergency context, the risk associated to procurement is assessed as High.

39. Procurement risks and their mitigation measures are summarized in the table below:

Table 3-4: Main Procurement risks and their mitigation measures

Risk	Mitigation measure	Date	Responsible entity
Limited experience in conducting procurement in emergency situation	Close hands-on support, including in applying simplified procurement procedures, dealing with procurement bottlenecks, handling of procurement complaints, etc.	Continuous	WB
Fraud and corruption with regard to the use of simplified procurement procedures, particularly direct contracting/single source selection	Proactivity and due diligence with comparison of prices to the markets and past references	Continuous	Implementing agencies
Delay in procurement processes (particularly during the political elections process)	Close follow up of the implementation of the procurement plan	Continuous	Implementing agencies
Specifically for NRA, Delays in project or increase in claims due to slow contract implementation	Review causes for recurrent amendments and cost overruns and develop suitable corrections to planning, estimates, lack of proper designs, etc.	Continuous	NRA with support from WB

40. **Procurement methods and Prior review thresholds.** Based on the overall procurement risk and the emergency aspect of the project, the recommended methods of procurement/selection and the prior review thresholds for the project would be as given below:

A. Procurement of Works, Goods, and Non-Consulting Services:

Table 3-5: Procurement methods and prior thresholds for works, goods, and non-consulting services

Expenditure category	Procurement method	Procurement Threshold	Prior Review Threshold
1. Works	ICB NCB Shopping Direct Contracting	≥ US\$7 million < US\$7 million < US\$500,000 Any Value	≥ US\$5 million ≥ US\$5 million None ≥ US\$100,000
2. Goods	ICB NCB Shopping Direct Contracting	≥ US\$1 million < US\$1 million < US\$200,000 ≥ US\$100,000	≥ US\$500,000 ≥ US\$500,000 None ≥ US\$100,000
3. IT Systems, and Non-consulting Services	NCB Shopping Direct Contracting	< US\$500,000 < US\$100,000 Any value	≥ US\$500,000 None ≥ US\$100,000

B. Selection of Consultants:

Table 3-6: Procurement methods and prior thresholds for consultants

Expenditure category	Selection method	Contract value (Threshold)	Contracts subject to prior review
(a) Firms	QCBS, QBS, FBS, LCS	Any value	≥ US\$200,000
	CQS	< US\$300,000	≥ US\$200,000
	SSS	Any value	≥ US\$100,000
(b) Individuals	Three CVs	Any value	≥ US\$200,000
	SSS	Any value	≥ US\$100,000

41. These thresholds would be subject to update throughout the project implementation based on actual procurement assessed risk.

42. **Frequency of procurement reviews and supervision:** Bank's prior and post reviews will be carried out on the basis of thresholds indicated in the table above. The IDA will conduct six-monthly supervision missions and annual Post Procurement Reviews (PPR); with the ratio of post review of at least one to ten contracts. The IDA may also conduct an Independent Procurement Review at any time until two years after the closing date of the project.

43. **Simplified Procurement Plan:** The Borrower has developed a simplified procurement plan as per requirement of OP/OB 10.00 indicating procurements to be carried out over the first 18 months of the project. This procurement plan below consists of the procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, prior review requirements and time frame, has been agreed with IDA during the Financing Agreement negotiations. The procurement plan would be updated at least annually, or more frequently as required, to reflect the actual project implementation needs and improvements in institutional

capacity. Below is an indicative summary of the procurement packages to be processed within the first eighteen month following project approval (including retroactive financing).

Table3-7: Summary of the Procurement Packages planned during first 18 months after project effectiveness

<i>a. Procurement of works, goods, and non-consultant services</i>						
1	2	3	4	5	6	7
Ref. No.	Description	Procurement Method	Domestic Preference	Review by Bank	Expected Bid opening date	Comments
1	Emergency rehabilitation and stabilization of sections of NR-1	ICB	No	Prior	June 5, 2015	Upon request from the GoB, IDA will consider the possibility of Direct contracting during Procurement of this activity. Works duration: 18 months.
2	Rehabilitation of primary drains of rivers Nyabagere, Kinyankonge and Gasenyi	ICB	No	Prior	August 31, 2015	
3	Drainage of Carama district and protection of Buterere wastewater treatment plant	NCB	No	Post	July 13, 2015	
4	Acquisition of TomPro software for PMU	Direct contracting	No	Post	June 30, 2015	Justification for direct contracting and proposed cost of the contract to be reviewed by IDA (as due diligence) at the time of procurement.

<i>b. Consultant services, including core staff of the PMU</i>					
Ref. No.	Description of Assignment	Selection Method	Review by Bank (Prior / Post)	Expected Proposals Submission Date	Comments
1	Technical study of emergency works for NR-1 rehabilitation and stabilization	SSS	Prior	March 31, 2015	The client intends to hire the firm that has performed the study and supervision for similar works on the same road.
2	Supervision and control of emergency works for NR-1 rehabilitation and stabilization	SSS	Prior	May 5, 2015	Ditto
3	Environmental and social impact study	SSS	Post	March 31, 2015	The client intends to hire the consultant who performed the same tasks of road rehabilitation for the previous road project. Justification for direct contracting and proposed cost to be reviewed by IDA (as due diligence) at

					the time of procurement.
4	Supervision and control of works for drainage of rivers Nyabagere, Kinyankonge and Gasenyi	QCBS	Prior	May 18, 2015	
5	Supervision and control of works for drainage of Carama district and protection of Buterere wastewater treatment plant	CQ	Post	May 22, 2015	
6	Financial audit 2015-2017	LCS	Post	June 25, 2015	
8	Administrative and technical manual	LCS	Post	September 21, 2015	
9	National strategy of transport sector planning and management	QCBS	Prior	December 17, 2015	
10	Renewal of PMU staff contracts + Monitoring and evaluation expert	SSS	Post	Done. Monitoring and Evaluation Expert to be recruited on a part time basis within the first year of project implementation	(*) Salaries to be in line with the new harmonized salary scale of WB financed projects. Contracts to be reviewed by IDA (due diligence) at the time of renewal.
11	Administrative and technical manual of national road sector	IC	Post	September 21, 2015	
12	Toolkits for Implementation of road maintenance study	IC	Post	September 5, 2015	
13	National strategy of transport sector planning & management	N/A	QCBS	Prior	December 12, 2015

Environmental and Social safeguards

44. Environmental policies and their compliance are governed by the Ministry of Transport, Public Works, and Environment. Environmental monitoring and management are handled by the NRA and BAPW, which already received capacity building support from IDA.

45. The proposed project is classified as an “Environmental Category B” operation under World Bank’s OP/BP 4.01, and it triggers two World Bank environmental safeguards policies: OP/BP 4.01 – Environmental Assessments, and OP/BP 4.11 – Physical Cultural Resources. The proposed project also triggers OP/BP 4.12 – Involuntary Resettlement, to mitigate potentially adverse impacts that might result from rehabilitation of roads and urban infrastructure. Therefore, the project requires an ESIA and a RAP. No additional safeguards instruments are required for OP 4.11 – Physical Cultural Resources, but instructions on how potential chance finds of physical cultural resources are to be managed, will be covered in the ESIA.

46. As required in paragraph 53 of World Bank’s BP 10.00, this PAD includes an ESAP, which explains the policies triggered, the safeguards documents that will be prepared during project implementation, and the guidance for contractors. As the proposed project is processed under the exceptional deferral paragraph 12(a) of OP 10.00, the safeguards action plan consists of the preparation of an ESIA and, if needed, a RAP, no later than six months after the project

effectiveness date. The ESIA will include the environmental and social management plan. The preparation of these instruments is the responsibility of the Recipient through their two Implementing Agencies, the NRA and the BAPW. Both Agencies have already SEFPs who have relatively good experience in implementing World Bank infrastructure projects, and who are familiar with World Bank safeguards policies through the implementation of other previous or current World Bank-funded projects. NRA and BAPW will procure the services of independent consultants to carry out the ESIA and prepare the safeguard instruments including the RAP, if needed, under terms of reference that will be reviewed and approved by IDA by end February 2015. A draft environmental and social screening report will be submitted by the consultant by June 30, 2015. None of the civil works funded under the project can start until and unless all of the deferred relevant social and environmental instruments have been completed by the Recipient, cleared by IDA, and disclosed in country and at IDA InfoShop.

47. In the Road and Urban infrastructure sectors, Environmental and Social Assessment instruments (ESMF, RPF, RAP, ESIA, ESMP) have been prepared, appropriated, and satisfactorily implemented under the ongoing IDA-funded projects in each targeted sector. The National Road Agency has an environmental unit, which is expected to oversee the proper preparation and implementation of environmental and social safeguards instruments. Under the RSDP, the unit ensured the preparation and implementation of the safeguards instruments. This unit was also strengthened by RSDP through capacity building. During implementation of the proposed operations, new appropriate Environmental and Social Safeguards instruments will be prepared 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 non-governmental 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.

48. RAPs will be prepared as need be, after the Environmental and Social Assessment, and disclosed within six months after project effectiveness date. There is a legislation that defines compensation rates and other dispositions relating to expropriations and compensations. Compensation for involuntary resettlement, if any, will be covered by government funds.

49. **HIVAIDS Prevention:** A recurrent concern in the road sector is the belief that “imported” practices tend to increase local exposure to sexually transmissible diseases, particularly HIV AIDS. The project will include an HIV AIDS sub-component to be implemented by the contractor through a local NGO. The program will be designed so as to mainstream HIV AIDS prevention in ongoing road works. It includes requirements in bidding documents for potential road bidders to propose, as part of their bids, an HIV AIDS prevention strategy and action plan. The plans will be required to include sensitizing and counseling activities as well as IEC-related activities to roadside workers and communities.

50. The project design will include regular supervision of safeguards compliance by the supervision engineer to complement standard Bank and Borrower supervisions. Supervision reports will be used to streamline project safeguards compliance.

Monitoring & Evaluation

51. Each Implementing Agency will be in charge of the collection and monitoring of their respective indicator values: NRA, for the project's transport related component, and BAPW for the urban and DRM related components.

52. *Project oversight.* The project is under the administrative supervision of the Ministry of Public Works and Equipment for the Transport subcomponent and the Ministry of Water, Environment and Urban and Regional Planning (MWEURP) for the urban infrastructures subcomponent. The MWEURP is responsible for: (i) ensuring project execution and viability according to the agreed work program; (ii) analyzing quarterly reports prepared by BAPW, and (iii) for ensuring compliance with fiduciary and safeguards procedures.

53. Under the umbrella of Delegated Management Contract Agreement signed with the MWEURP, BAPW will be responsible for overall coordination and management of the urban subcomponent activities. In particular, BAPW will be responsible for: (i) selecting and recruiting consultants in charge of supervision of works; (ii) managing the bidding process and awarding contracts for works; (iii) supervising contracts and approving invoices; (iv) monitoring implementation of the ESMPs of the identified sub-projects; (v) proceeding to acknowledgement of the completion of works; (vi) coordinating the overall monitoring and evaluation system; and (vii) consolidating progress reports, and reporting to the MWEURP.

Role of Partners

54. IDA was among the first development partners to respond to the disaster, by reallocating US\$3.4 million from ongoing infrastructure projects. The African Development Bank (AfDB) responded to the emergency by: (a) reallocating about US\$3 million; and (b) providing about US\$420,000 to finance part of the water drainage urgent works identified in the above-mentioned report assessment. The EU, through budget support (about €6.7 million), is expected to finance the rehabilitation of roads (including NR-1) and hydro-agricultural infrastructure damaged by the heavy rainfall. The disbursement of the first tranche amounting to €5 million was authorized in December 2014. Finally, the GoB will finance the repairs to the most urgent drainage structures, the strengthening of a portion of the road pavement, and the rehabilitation of banks at the Narangua River, all on the NR-1, for an amount of about US\$3 million.

55. The Government and the other development partners are respectively managing the activities that they are financing. However, for the activities to be financed by the Budget Support from the EU, a specific Steering Committee, in charge *inter alia* of the validation of technical specifications, the verification of the works and goods conformity with those specifications, the monitoring of indicators and disbursement criteria, and the acceptance of goods and works, has been put in place in order to involve all the key stakeholders. It includes the representatives of various Ministries, as well as those of the AfDB, the Food and Agriculture

Organization of the United Nations (FAO) and the European Union (EU). IDA is not a member of this specific Steering Committee because of this latter's mission, but it will be participating in some of its meetings as an observer in order to ensure better coordination of the respective interventions of all the stakeholders.

Annex 4: Implementation Support Plan

Burundi - Infrastructure Resilience Emergency Project

Strategy and Approach for Implementation Support

1. Since this is an emergency project, the implementation arrangements will rely on the existing and proven implementation structures as a strategy. The approach to implementation support will entail close monitoring of deadlines and quality control of the interventions for each agreed action. For the key implementing agencies, it is not expected that further training or familiarization with Bank policies and procedures will be required.
2. The strategy for implementation support has been developed based on the nature of activities involved in the project and the commensurate risk profile in accordance with the risk assessment. The Implementation Support Plan, as described below, will be a live document and will be reviewed regularly and revised as and when required during the implementation, at least on a half yearly basis.
3. **Technical Support.** IDA will provide the necessary technical support through sector specialists to review the technical aspects of the engineering and bidding documents. The support will be provided through at least two implementation missions in a year and through continuous exchange of correspondence and regular communication. Frequent use of telecommunication and short interim visits will be conducted to maintain a close coordination among IDA team and the project staff.
4. **Procurement.** Implementation support will include: (a) reviewing procurement documents and providing timely no objections; (b) providing detailed guidance on IDA's Procurement Guidelines to project staff; (c) monitoring procurement progress against the detailed Procurement Plan; and (d) identifying the capacity building/training needs of project staff on procurement processing and providing training if required. The support will be provided through regular interactions, half-yearly implementation support missions, and thematic implementation support missions, if required.
5. **Financial Management.** The objective of the FM implementation support plan is to ensure that the project maintains satisfactory financial management systems throughout the project's life. FM supervisions will be conducted over the project's lifetime. The project will be supervised on a risk-based approach. It will comprise inter alia, the review of audit reports and IFRs, and advice to IDA's task team on all FM issues. Based on the current risk assessment, which is substantial, the project will be supervised at least twice a year and this frequency may be adjusted when the need arises. IDA's Implementation Status Reports (ISRs) will include a FM rating of the project. As indicated previously, an implementation support mission will be carried out before effectiveness to ensure the project readiness. To the extent possible, joint on-site supervision missions will be undertaken with World Bank procurement, monitoring and evaluation, and disbursement specialists. Based on the outcome of the FM risk assessment, the following implementation support plan is proposed:

Table 4-1: Financial Management Implementation Support Plan

FM Activity	Frequency
Desk reviews	
Interim financial reports review	Quarterly
Audit report review of the program	Annually
Review of other relevant information such as interim internal control systems reports.	Continuous as they become available
On site visits	
Review of overall operation of the FM system	Annually (Implementation Support Mission)
Monitoring of actions taken on issues highlighted in audit reports, auditors' management letters, internal audit and other reports	As needed
Transaction reviews (if needed)	As needed
Capacity building support	
FM training sessions by World Bank FM team	Before Project start and thereafter as needed.

6. **Environmental and Social Safeguards.** IDA safeguards specialists in the team will supervise various activities to ensure full compliance with IDA's operational policies and procedures including the agreed framework related to environment and social safeguards aspects. The implementation support will be provided through regular interactions, implementation support missions and thematic review missions if required, and in full cooperation with the other technical members in IDA team.

Implementation Support Plan

Primary Focus of Implementation Support

Time	Focus	Skills Needed	Resource Estimate	Partner Role
First twelve months	- Project design - Terms of Reference - Fiduciary	- Technical - Financial management - Procurement - Safeguards	4-5 staff; 2 trips per staff	Design, procurement training and supervision
12-60 months	- Procurement - Project implementation - Monitoring and Evaluation - Supervision	- Technical (Construction and operations) - Financial management - Procurement - Safeguards	4-5 staff; 2 trips per staff	Procurement, financial management, implementation, M&E

Skills Mix Required

Skills Needed	Number of Staff Weeks	Number of Trips	Comments
Transport Experts	1 to 2 staff: 30 staff-weeks	10	2 trips of 2 weeks each per year
Urban Expert	1 staff: 20 staff-weeks	10	2 trips of 2 weeks each per year
Disaster Risk Management Expert	1 staff: 20 staff-weeks	10	2 trips of 2 weeks each per year
Procurement	1 staff: 10 staff-weeks	10	2 trips of 1 week each per year
Financial management	1 staff: 10 staff-weeks	10	2 trips of 1 week each per year
Safeguards	2 staff: 10 staff-weeks	10	2 trips of 1 week each per year

Annex 5: Environmental and Social Action Plan (ESAP)

Burundi - Infrastructure Resilience Emergency Project

OBJECTIVE

1. The ESAP is consistent with Bank operational policies and procedures, investment operations subject to OP/BP 10 paragraph 12, Investment Project Financing and the guidance note for crises and emergency operations for application of IDA safeguards and Public disclosure policies. This ESAP provides general policies, guidelines, codes of practices and procedures to be taken into consideration and integrated as needed into the implementation of World Bank-supported Burundi - Infrastructure Resilience Emergency Project. It has been developed to ensure compliance with IDA's safeguards policies during Project implementation. The objective of this ESAP 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 and cultural property;
- Enhance positive environmental and social outcomes; and,
- Prevent or adequately compensate any loss of livelihood caused by the Project.

PROJECT BACKGROUND

2. Following a heavy rainfall in February 2014, and the subsequent flooding, about 80 casualties were reported, about 1,000 houses collapsed, a large market was washed away, and 20,000 people were left without shelter. Other public infrastructure have been damaged, including key National Roads and urban infrastructure in the most populated and capital city, Bujumbura.

3. The proposed IDA Grant to the Republic of Burundi for an Infrastructure Resilience Emergency Project is amounting US\$25 million. The proposed project's design is streamlined, and draws heavily on the experience of: (i) other emergency projects in the world to ensure rapid response to urgent needs; and (ii) on-going projects in transport and urban management sectors, so that the synergies among the three projects can facilitate the implementation of similar activities. The project's main interventions would include (i) the rehabilitation of road and urban infrastructure; and (ii) the strengthening of the country's capacity to prevent and manage disasters.

4. The Project Development Objective (PDO) is to enhance the climate resilience of key transport and drainage infrastructure in Greater Bujumbura while strengthening the country's capacity to manage and prevent natural disasters.

5. The project design will be kept simple and build on existing activities currently being implemented in ongoing projects in transport and urban management sectors that can be either

continued or scaled-up. The proposed operation would comprise the following three components, which are summarized here:

Component A. Rehabilitation of Roads and Urban Infrastructure (Estimated cost: about US\$21.6 million): The activities to be financed under this component are exclusively the rehabilitation or reconstruction of existing transport and urban infrastructure, as identified in the post-disaster assessment report.

Component B. Capacity Strengthening in Disaster Risk Management (Estimated cost: about US\$2 million): This component would avert or mitigate the effects of possible future natural disasters on main infrastructure, especially on roads and urban infrastructure.

Component C. Institutional Support, Project Management and Coordination (Estimated cost: about US\$1.4 million):

6. This component would (i) pay for consultancy services, technical advisory services such as technical studies and assessments, training, media Information, Education and Communication (IEC), and financial audits, (ii) finance project management and coordination costs, including the Project Management Unit (PMU) operating costs, and (iii) continue the institutional support initiated in the road sector under the RSDP.

Intervention Zone Areas:

7. The proposed project is targeting selected road transport (NR-1) and urban infrastructure (mainly drainage and canal structures) in Greater Bujumbura. The disaster risk management work would focus on strengthening systems at the national level.

GENERAL PRINCIPLES

8. 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 ESAP is based on the following principles:

- To ensure effective application of IDA's safeguard policies, the ESAP provides guidance on the approach to be taken during 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 scheduled activities as they are primarily related to the rehabilitation and reconstruction of damaged infrastructure after the flooding. If any necessity of resettlement occurs, RAPs will be prepared for the specific activity, to comply with the requirement of OP 4.12 Involuntary Resettlement.
- The proposed emergency operation will finance feasibility and detailed design studies for subsequent investments to include environmental and social assessments as required by IDA 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 natural disasters, especially floods. 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.

9. The ESAP shall comply with World Bank safeguards policies and shall be also 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 IDA Infoshop during project implementation.

Compliance with World Bank safeguards policies

10. Parts of the scheduled activities in the proposed project will focus on capacity building, equipment procurements, and institutional reforms for which no environmental and social safeguard aspect are expected. The remaining activities will focus on works consisting in (i) the rehabilitation of sections of NR-1 and (ii) the construction and/or reinforcement of existing river channels and embankments in Bujumbura neighborhood. Though the project is not expected to have major negative or irreversible environmental and social impacts, these activities 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 4.11 (Physical Cultural); OP/BP 4.12 (Involuntary Resettlement).

11. Considering the nature and magnitude of potential environmental and social impacts from relatively limited scale of rehabilitation and improvement works, the proposed project is classified as a Category “B”. As the proposed operation is an Investment Project Financing processed under OP/BP 10 paragraph 12, based on the guidance note for crises and emergency operations, the requirement to carry out an ESIA that includes an ESMP will be undertaken during project implementation in parallel with subproject technical feasibility studies. At the same time, prior to the activities’ procurement launching, the implementing agencies will agree to apply the following minimum standards during the project’s implementation: inclusion of standard Environmental Codes of Practice (ECOP) in the bidding documents for all rehabilitation, improvement and reconstruction activities; 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 Action Plan (ESAP)

12. This ESAP has been developed by IDA specifically for the activities described in the proposed project to ensure due diligence, avoid causing harm, and ensure consistent treatment of social and environmental issues by the Government of Burundi. The purpose of this Plan 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.

13. **OP/BP 4.01 (Environmental Assessment):** This policy is triggered as most of the proposed subprojects will focus on: (i) the rehabilitation of roads and urban infrastructure, mainly the NR-1 and (ii) the construction and/or strengthening of existing river channels and embankments in Bujumbura neighborhood, including stabilization of soil erosion and slopes, as well as trees planting. All of these activities may have environmental and social impacts that need to be managed appropriately. The executing agencies will undertake a thorough social and environmental screening of all activities to properly determine whether or not they trigger any World Bank safeguards policies. While the ESAP guides the preparation of safeguards instruments during project preparation, some of the sub-projects have safeguards instruments acceptable to IDA 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 ESAP 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, strengthening and/or construction of existing river channels). Based on the outcomes of the screening process, ESIA's will be carried out as necessary and ESMPs will be prepared as needed.

14. **OP 4.11 Physical Cultural Resources.** The proposed operation is not expected to pose a risk of damaging cultural property. Nevertheless, proposed activities 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, activities preparation may later identify and include assistance for preservation of historic or archeological sites. If these possibilities occur, cultural property management plans would be prepared for the pertinent subprojects. As the OP4.11 policy is triggered for the project, the corresponding procedures should be incorporated into the EAs/EMP's and civil works contracts. The proposed wording is suggested in Attachment 8.

15. **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 RAP acceptable to IDA. 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 the current World Bank-financed Public Works and Urban Management Project (PWUMP) and Road Sector Development Project (RSDP), 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.

IV. Safeguards Screening, Mitigation and Implementation Support

16. 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 Environmental Safeguards with procedures/clauses for Inclusion in the Technical Specifications of Contracts, Attachment 7.
- A sample Terms of Reference to prepare the Terms of Reference of ESIA of the selected subproject with the required ESMP, Attachment 8.
- General Guidelines for Preparation of RAP, Attachment 9.

V. Responsibilities for Safeguards Screening and Mitigation

17. Out of the two existing Implementing Agencies (IAs), National Road Agency (NRA) and Burundi Agency for Public Works (BAPW), both have developed safeguards documents and each one has a Social and Environmental Focal Point (SEFP) responsible for (i) following up on safeguards issues, (ii) ensuring that all identified activities include consistent and coherent environmental and social measures, and, (iii) applying the safeguard screening and mitigation requirements to each activity. Each of the subcomponents of Component A (Rehabilitation of Road and Urban Infrastructure) will be appropriately coordinated and supervised by the above mentioned IAs.

VI. Capacity Building and Monitoring of Safeguards Environment and Social Implementation

18. As the Recipient is familiar with World Bank safeguards policies through the implementation of other World Bank-funded projects, Environmental and Social Assessment instruments (ESMF, RPF, RAP, ESIA, ESMP) have been prepared, appropriated and satisfactorily implemented in the country under the ongoing IDA-funded projects in the road and urban infrastructure sectors. During and throughout the project supervision, IDA task team will assess the appropriate implementation of the environmental and social mitigation measures and 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.

19. As part of the capacity building to be provided for the implementation of the proposed operation, the SEFP of each IA will be trained on ESAP's application by IDA's Social and Environmental safeguards specialists.

VII. Public Consultation and Disclosure

20. IDA funding will support a number of projects classified as Environment and Social Category B to which the public consultation and disclosure policy will apply. During implementation of the proposed operations, the Environmental and Social Safeguards instruments will be prepared and built upon existing safeguards instruments (ESMF, RPF) 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 IAs 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 ESAP will be shared with the Government of Burundi, pertinent nongovernmental organizations and other Development Partners and will be disclosed in-country and at IDA's InfoShop during project implementation.

ESAP 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.

Attributes of Ineligible Subprojects
GENERAL CHARACTERISTICS
Concerning significant conversion or degradation of critical natural habitats.
Damages on cultural property, including but not limited to, any activities that affect the following sites: • Archaeological and historical sites; and • Religious monuments, structures and cemeteries.
Solid Waste New disposal site or significant expansion of an existing disposal site.
Income Generating Activities Activities involving the use of fuel wood, including trees and bush. Activities involving the use of hazardous substances.
Road infrastructure Construction of new road out of existing road networks
Urban infrastructure Construction of new channel or changed bed rivers out of existing river alignment

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 Project Management Unit (PMU) 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 PMU, 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).
- A RAP is sufficient for each sub-project requiring land, affected of assets and do not need to move to another location. 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 PMU 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 PMU 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 PMU will keep the SSS properly for possible review by the Ministry of Transport, Public Works and Equipment and IDA. 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 PMU 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 Ministry in charge of Environment and Forest (MEF), for review, prior to the submission to IDA for approval. The documentation of the process and agreement for land donation will be the responsibility of the PMU, in consultation with the Ministry in charge of Land.

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 PMU. 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 PMU in collaboration with the Ministry of Transport, Public Works and Equipment if necessary. The PMU will ensure that civil works will only start after RAP implementation and land donation process are completed.

9. The PMU 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 PMU 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 Management Unit (PMU) in Screening Sub-project Applications.
2. Note: One copy of this form and accompanying documentation to be kept in the PMU office and one copy to be sent to IDA 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

S No	ISSUES	YES	NO	Comments
A.	Zoning and Land Use Planning			
1.	Will the subproject affect land use zoning and planning or conflict with prevalent land use patterns?			
2.	Will the subproject involve significant land disturbance or site clearance?			
3.	Will the subproject affect community land or agricultural parcels where the income of local population could be lost?			
B	Water and Soil Contamination			
4.	Will the subproject require large amounts of raw materials or construction materials?			
5.	Will the subproject generate large amounts of residual wastes, construction material waste or cause soil erosion?			
6.	Will the subproject result in potential soil or water contamination (e.g., from oil, grease and fuel from vehicles)?			
7.	Will the subproject lead to contamination of ground and surface waters by herbicides for vegetation control and chemicals?			
8.	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?			
9.	Will the subproject involve the use of chemicals or solvents?			
10.	Will the subproject lead to the destruction of vegetation and soil in the right-of-way, borrow pits, waste dumps, and equipment yards?			
11.	Will the subproject lead to the creation of stagnant water bodies in borrow pits, quarries, etc., encouraging for mosquito breeding and other disease vectors?			
C.	Noise and Air Pollution Hazardous Substances			
12.	Will the subproject increase the levels of harmful air emissions?			
13.	Will the subproject increase ambient noise levels?			
14.	Will the subproject involve the storage, handling or transport of hazardous substances?			
D.	Fauna and Flora			
15.	Will the subproject involve the disturbance or modification of existing drainage channels (rivers, canals) or surface water bodies (wetlands, marshes)?			
16.	Will the subproject lead to the destruction or damage of terrestrial or aquatic ecosystems or endangered species directly or by induced development?			
17.	Will the subproject lead to the disruption/destruction of wildlife through interruption of migratory routes, disturbance of wildlife habitats, and noise-related problems?			

E.	Destruction/Disruption of Land and Vegetation			
18.	Will the subproject lead to unplanned use of the infrastructure being developed?			
19.	Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?			
20.	Will the subproject lead to the interruption of subsoil and overland drainage patterns (in areas of cuts and fills)?			
21.	Will the subproject lead to landslides, slumps, slips and other mass movements in road cuts?			
22.	Will the subproject lead to erosion of lands below the roadbed receiving concentrated outflow carried by covered or open drains?			
23.	Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?			
24.	Will the subproject lead to health hazards and interference of plant growth adjacent to roads by dust raised and blown by vehicles?			
F.	Expropriation and Social Disturbance			
25.	Will the subproject involve land expropriation or demolition of existing structures?			
26.	Will the subproject lead to induced settlements by workers and others causing social and economic disruption?			
27.	Will the subproject lead to environmental and social disturbance by construction camps?			
G.	Utilities and Facilities			
28.	Will the sub-project require the setting up of ancillary production facilities?			
29.	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)?			
H.	Cultural Property			
30.	Will the sub-project have an impact on archaeological or historical sites, including historic urban areas?			
31.	Will the sub-project have an impact on religious monuments, structures and/or cemeteries?			
32.	Have Chance Finds procedures been prepared for use in the sub-project?			
33.	Is the sub-project located in an area with designated physical cultural resources, such as archaeological, historical and/or religious sites?			
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 natural 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

S. No	ISSUES	YES	NO	Comments
1.	Is the subproject located in an area with designated natural reserves?			
2.	Is the subproject located in an area with unique natural features?			
3.	Is the subproject located in an area with endangered or conservation-worthy ecosystems, fauna or flora?			
4.	Is the subproject located in an area falling within 500 meters of national forests, protected areas, wilderness areas, wetlands, biodiversity, critical habitats, or sites of historical or cultural importance?			
5.	Is the subproject located in an area which would create a barrier for the movement of conservation-worthy wildlife or livestock?			
6.	Is the subproject located close to groundwater sources, surface water bodies, water courses or wetlands?			
7.	Is the subproject located in an area with designated cultural properties such as archaeological, historical and/or religious sites?			
8.	Is the subproject in an area with religious monuments, structures and/or cemeteries?			
9.	Is the subproject in a polluted or contaminated area?			
10.	Is the subproject located in an area of high visual and landscape quality?			
11.	Is the subproject located in an area susceptible to landslides or			

	erosion?			
12.	Is the subproject located in a densely populated area?			
13.	Is the subproject located on prime agricultural land?			
14.	Is the subproject located in an area of tourist importance?			
15.	Is the subproject located near a waste dump?			

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: _____

Title: _____

Date: _____

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 (PAP) 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 RAP must be produced. If the RAP cannot be prepared prior to project appraisal, a waiver can be provided by IDA 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 PMU 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 PMU 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 PMU 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 PMU 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 mayor and 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 offor 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

Summary of Affected Unit/Item	Units to be Compensated	Agreed Compensation
a. Urban/agricultural land (m ²):	_____	_____
b. Houses/structures to be demolished (units/m ²):	_____	_____
c. Type of structure to be demolished (e.g. mud, brick, cement block, etc.,)	_____	Not Applicable.
d. Trees or crops affected:	_____	_____
e. Water sources affected:	_____	_____

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.

Attachment 6

Codes of Practice for Prevention and Mitigation of Environmental and Social Impacts

Potential Impacts	Prevention and Mitigation Measures
Roads and urban infrastructures	
Disruption of drainage: • Inhibits free drainage, causes stagnant pools of water. • Increased sediments into ponds, streams and rivers due to erosion from road tops and sides. • Increased run-off and flooding.	• Design to provide adequate drainage and to minimize changes in flows, not limited to the road reserve. • Provision of energy dissipaters, cascades, steps, and checks dams. • Provision of sufficient number of cross drains. • Balancing of cut and fill. • Re-vegetation to protect susceptible soil surfaces. • Rehabilitation of borrow areas.
Erosion: • Erosion of land downhill from the road bed, or in borrows areas. • Landslides, slips or slumps. • Bank failure of the borrow pit.	• Design to prevent soil erosion and maintain slope stability. • Construction in the dry season. • Protection of soil surfaces during construction. • Physical stabilization of erodible surfaces through turfing, planting a wide range of vegetation, and creating slope breaks. • Rehabilitation and re-grading of borrow pits and material collection sites.
Loss of vegetation.	• Balancing of cut and fill. • Re-vegetation to protect susceptible soil surfaces. • Minimize loss of natural vegetation during construction. • Re-vegetation and replanting to compensate any loss of plant cover or tree felling.
Loss/Restriction of access.	• Design to include accessibility to road sides in case roadbed is raised. • Alternative alignments to avoid bisecting villages by road widening.

Potential Impacts	Prevention and Mitigation Measures
Impacts during construction: - Fuelwood collection. - Disease due to lack of sanitation. - Introduction of hazardous wastes. - Groundwater contamination (oil, grease). - Accidents during construction. - Potential risk to improve HIV/Aids contaminations	- Provision of fuel at work camps to prevent cutting of firewood. - Provision of sanitation at work camps. - Removal of work camp waste, proper disposal of oil, bitumen and other hazardous wastes. - Management of construction period worker health and safety. - Use archaeological chance find procedures and coordinate with appropriate agencies.
Increased migration from nearby cities.	Provide comprehensive community participation in planning, and Migration issue to be resolved through local conflict resolution system.
- Disease caused by inadequate provision of water and sanitation services. - Deforestation caused by unsustainable use of timber and wood-firing of bricks. - Generation of waste materials. - Disturbances during construction (dust, noise) and contamination from inadequate sanitation facilities.	- Environmentally appropriate site selection led by application of the environmental and social screening form provided in this ESAP, design and construction guidance, and a procedure for ensuring that this guidance is followed before construction is approved. - Replace timber beams with concrete where structurally possible. - 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. - Ensure engineering designs include adequate sanitary latrines and access to safe water. - 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.

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

8. 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.

9. 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.

10. 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

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

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

13. 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.

14. 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.

15. 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.

16. 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.

17. 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

18. 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.

19. The seed distribution should be targeted in coordination with the efforts of other Development Partners Development Partners and NGOs to ensure farmers do not receive multiple packs from different Development Partners Development Partners.
20. 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

21. 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.
22. 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.
23. 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.
24. 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

25. Earthworks shall be properly controlled, especially during the rainy season.
26. 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.
27. 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.
28. 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.
29. Any excavated cut or unsuitable material shall be disposed of in designated tipping areas as agreed to by the Engineer.

30. 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.

HISTORICAL AND ARCHEOLOGICAL SITES

31. 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

32. 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.

33. 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.

34. 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.

35. 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.

36. 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.

37. 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 ESIA 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.

ESMP 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 PMU will have to prepare a technical design that could, as much as possible, avoid or minimize land acquisition. In the case that land acquisition is unavoidable; the PMU 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 to 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.

12. *Costs and budget.* Cost estimates for land acquisition for the sub-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.
14. *Monitoring.* Arrangements for monitoring land acquisition activities and the delivery of compensation to PAPs.
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 PMU 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 percent 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 IDA, 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 IDA; 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.