

INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

Report No.: ISDSC14947

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I. BASIC INFORMATION

A. Basic Project Data

Country:	Ghana	Project ID:	P151026
Project Name:	Transport Sector Improvement Project (P151026)		
Task Team Leader(s):	Petrus Benjamin Gericke		
Estimated Appraisal Date:	11-Apr-2016	Estimated Board Date:	22-Sep-2016
Managing Unit:	GTI01	Lending Instrument:	Investment Project Financing
Sector(s):	Rural and Inter-Urban Roads and Highways (85%), Law and justice (10%), General agriculture, fishing and forestry sector (5%)		
Theme(s):	Other rural development (75%), Other public sector governance (20%), Other trade and integration (5%)		
Financing (In USD Million)			
Total Project Cost:	150.00	Total Bank Financing:	150.00
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			0.00
International Development Association (IDA)			150.00
IDA Grant			0.00
Total			150.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

B. Project Objectives

19. The proposed project development objective is to improve the management of Transport Sector and improve road asset management of the classified road network. This will be achieved through targeted institutional and expenditure reviews, the introduction of performance-based road contracting on selected roads and selected coordinated road safety activities.

C. Project Description

a. Improved Transport Sector Oversight: Government wishes to modernize management and oversight of the Sector. While several Agencies were established to take up certain functions and responsibilities, several problem areas developed over time. A major issue is the allocation and utilization of funds in the road sub-sector. A Public Expenditure and Institutional Review of the Transport Sector will review these issues and will, with the review of the implementation progress of the 2008 National Transport Policy, provide good guidance on how to adjust current practices. The proposed National Multi-modal Transport Master Plan, including the development of an updated Integrated Development Plan, will give overall guidance on where and when transport infrastructure and services investments should be made to accommodate future transportation demand.

b. Improved Road Sub-sector Management: The Road Sub-sector is currently managed through several Government Departments and Agencies, among these the DFR, DUR, GHA and the Ghana Road Fund. Since the establishment of the Road Fund Board in 1997, Government agreed to implement a Decentralization Policy impacting the overall management of the national road network. Government is also considering the strengthening of GHA to become more autonomous and self-financed. The mission agreed to assist Government in financing studies to review the current status and to advise on the best way to incorporate these policy changes and improve overall sub-sector management efficiency.

c. Improved Road Asset Management: To date the respective road infrastructure agencies applied the traditional contracting methodologies where a Consultant designs and prepares bid documents to implement the design. This approach led to many delays, cost overruns and it does not ensure complete preservation of the road network. Government wishes to introduce performance-based contracting methodologies on Trunk, Feeder and Urban roads under the Project to strengthen road asset management and preservation. Each road type has its specific user characteristics and the methodology has to be adapted accordingly. Performance-based contracting is of particular interest to Government, as the design and construction risks are transferred to the Contracting Entity who will be paid a lump sum amount to provide (and maintain) the road at specific levels of service.

While working towards these outcomes, the works activities are selected to provide maximum support to Government's initiatives to develop the northern part of Ghana.

a. The Feeder Road networks consist of the feeder road links prioritized by MOFA as essential to the implementation of the GASIP. This Program, funded by IFAD and implemented by MOFA, provides a basis to scale up investments in private sector-led pro-poor agricultural value chain development. Key areas of intervention are (i) value chain development through agribusiness linkages development, rural financial services and resilience to climate change; (ii) supporting rural infrastructure including productive infrastructure facilities and public enabling infrastructure such as roads, farm tracks and rural electrification; and (iii) knowledge management, policy support and coordination. GASIP is a long-term program that will be implemented in cycles of three years each. With the proposed Project taking responsibility for providing good connectivity between farms and markets, the funds available under the GASIP could be focused on improving farming operations and inputs as well as strengthening the individual farmers.

b. The improvement of roads in the north will generally improve accessibility and lower transport costs for the rural poor.

c. While Government already placed a strong development focus on the north-south corridors (Western, Central and Eastern) the East-West links, required for trade flow across the country, have been neglected. The project's support to the road between Tamale and Tatale will provide a good quality link between the largest town in the Northern Region and Togo while also crossing the Eastern and Central corridors.

The road safety activities as well as the support to the DVLA will assist to make road transportation safer and will contribute to the reduction of crashes and associated fatalities and injuries.

Following are the four components of the Project:

Institutional Strengthening and Capacity Building (Estimated cost: US\$ 12.5 million): The MOT and MRH will collaborate on various initiatives to improve the current Transport Sector management in Ghana. The findings from these studies will identify opportunities for improving the management of the Transport Sector and assist with the restructuring of the current Agencies and Ministries. To this end the Project will support the following activities;

- Public Expenditure Institutional Review (PEIR) of the Sector.
- Review the implementation progress made with the National Transport Policy (2008) to identify potential adjustments to the current implementation activities.
- Review the current status of Road Sub-Sector management and identify the best manner in which to improve and modernise the current Agencies and consider the benefits of establishing the National Road Authority, as identified in the National Transport Policy.
- Develop a National Multi-Modal Transport Master Plan for Ghana to guide investment and policy decisions to satisfy the future transportation demand within Ghana and that generated by neighbouring countries.
- Assist the MOT to implement a comprehensive Transport Sector Data Management System.
- Support the review of the Ghana Tolling Policy and the GHA Design Standards to provide guidance to and support the establishment of future Toll Roads under PPP-principles.
- Capacity Building of the respective institutions in support of the planned activities.

Road Asset Preservation (About US\$125.0 million): The works packages already identified for support, are all in the Northern part of Ghana focusing on (i) improving regional connectivity, (ii) supporting agricultural development, and (iii) improving access in selected urban areas.

This Component will support the introduction of Performance-based contracting on road links of the GHA, DFR, and DUR. The methodology will be rolled out on both paved and unpaved roads. These contracts are based on Design-Build-Operate-Maintain-Transfer (DBOMT) contracting principles and will include the initial rehabilitation works and maintenance services in lump sum contracts where payments are based on achieving performance targets. Based on experience gained elsewhere the duration of these contracts would be between 7 and 10 years for paved and about 5 years long for unpaved roads.

The following activities have already been identified:

- The rehabilitation, where required, and bringing to standard, the road linking Tamale-Yendi-Zabzugu-Tatale in the Northern Region. The road link consists of about 118 km of paved and about 63 km of unpaved roads with several temporary bridges needing replacement with permanent structures. This road link forms an important part of the East-West trunk road links of Ghana and is a good candidate for a longer term performance-based contract.

- There is agreement to support the Axle Load Program being implemented by GHA. The specific support packages will be finalised during preparation.
- The preparation of four performance-based works packages for the rehabilitation and maintenance of about 595 km of Feeder Roads in four Regions in the north of Ghana. These are Brong Ahafo, Northern, Upper East and Upper West Regions. With the available funding only one works package in one Region (about 150 km) would be supported.
- Socio-economic Impact Assessment measuring the impact of the longer term support to the road sector and other GASIP-activities. This assessment study will include the development of an initial baseline, prior to the works contracts commencing, and two surveys, one about one year and the second about three-four years after the initial rehabilitation works have been completed.
- Improve selected urban roads in and around Tamale, including the provision of sidewalks, road safety features, and good quality access to local markets. The planned works would incorporate design-build methodologies and the possible use of labour-based construction through the use of interlocking bricks as road surfacing.

Safer Road Transportation (About US\$8.0 million): This Component will support activities related to improving road safety in Ghana. The National Road Safety Commission (NRSC) will coordinate these activities, ranging from the establishment of a crash data base to coordinating with other Agencies to support the improvement of pedestrian and other facilities and emergency services along selected road links.

The Project will also support the DVLA with the implementation of selected programs like (i) the improvement of the curriculum of driving schools, (ii) driving instructor training, especially including hazard perception, and (iii) the roll-out of private sector operated vehicle inspection facilities.

Project Implementation Support (About US\$4.5 million): This Component will provide for part of the operational costs for all MRH and MOT implementing agencies to implement the Project.

D. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

1. The project is located primarily in the Northern part of Ghana. There, the project will include the rehabilitation of the Tamale-Yendi-Zabzugu-Tatale road, which is an important part of the East-West trunk road in the Northern Region. Some temporary bridges on this road may be replaced by permanent structures depending on funding availability. In addition, about 595 km of Feeder Roads in Brong Ahafo, Northern, Upper East, and Upper West Regions are also targeted for study, and about 150 km of them for physical rehabilitation/maintenance, although their precise location is still to be determined. The target roads lead through legally protected areas, e.g. IUCN-listed Sinsableswani Forest Reserve and Bilisu Forest Reserve on the Tamale – Yendi road. Other protected areas may be potentially affected by yet-to-be identified roads in the Brong Ahafo, Northern, Upper East and Upper West Regions.

Finally, the Project will include works and improvements on selected urban roads in and around Tamale, including provision of sidewalks, road safety features, and access to local markets. Tamale is one of the fastest growing cities in Ghana, characterized by increasing numbers of commercial and small scale business activities. It has viable markets with traders coming from all over the northern regions and Burkina Faso. The markets are congested with structures located in front of residences, by road sides and walkways and open spaces. These unplanned development contributes to the environmental challenges of solid and liquid waste management in the city. Any development project, especially road constructions in these busy areas, is likely to impact business leading to loss of income if not adequately mitigated.

The city roads of Tamale, Bolgatanga and Wa, are occupied by large numbers of motorbikes. Riders are mostly without the safety helmet and sometimes carrying passengers and children more than the approved numbers. These motor cyclists share the road with private and commercial cars with risks of accidents occurring. Motor bike lanes may be considered in the road design to help mitigate this challenge. Also during construction, extra road safety measure to secure the work site from accidents is emphasized, especially at nights.

Safeguards Risk Management Approach Under the Performance Based Contracting:

A comprehensive and detailed screening for environmental and social risks with adequate mitigation measures consistent with the World Bank safeguards policies will be undertaken for this project.

2. The works packages for this project will either be design-build or design-build-operate-maintain packages using lump sum performance based contracting principles. The associated processing procedure for Safeguards instruments when dealing with performance-based contracts is proposed as follows: .

a. For Board disclosure the associated Environmental and Social Safeguards Framework (ESMF) should be cleared. Under the ongoing TSP, the Bank reviewed and cleared an ESMF for the road sector, and there is a long implementation experience in the sector using it. This ESMF will be revised to ensure that it will adequately serve the purposes of the new, performance-based contracting approach, particularly that it will serve as an adequate technical reference to clearly guide contractor's environmental and social management, and the Government's monitoring of it.

b. For works Assessment studies, the consultant is required to undertake a comprehensive safeguards screening for the agreed Concept Design. The Client may use, if resettlement and land acquisition are identified, the screening report to prepare a RAP and commence with the RAP activities prior to contract award. This approach carries a risk in that the Contractor may change his design from the concept design and the implemented RAP may not cover the new alignment of the road. For the instances when the screening identifies potential impacts on protected forest reserves requiring changes to the existing Forest Management Plans for the affected Forest Reserves (due to potential impacts (direct or indirect) stemming from road rehabilitation or operation), Project will fund the necessary update of the Forest Management Plans.

c. The respective assessment studies (for the GHA, DFR and DUR-works packages) would include specific activities for the consultant to properly identify and screen the potential safeguards issues. The findings and recommendations from the screening exercise will be included in the respective works bid documents to ensure that the interested bidders understand the potential safeguards impact of the works contracts.

d. The Contractor will submit all required safeguards instruments with his design for review and approval. At this time the safeguards review will take place. The principle is the contractor does not commence with works until these instruments have been consulted upon, disclosed, and cleared by the Government and the Bank.

e. The improvement of roads in urban areas (towns and villages), would normally include the provision for an adequate road prism that includes the pavement surface, drainage and provision for sidewalks. In some cases, smaller works may be included to also improve the basic access to local markets. These activities will be carefully reviewed following the procedures set out in the project ESMF to ensure compliance with the Bank's safeguards policies and Government regulations.

3. The implementation of RAP-activities usually delays the implementation of the works activities. The Bank should review options to incorporate the implementation of the approved RAP-activities in the works contracts. If possible, the speed of project implementation would be improved. Government will retain the responsibility to prepare the RAP and agree with all Project Affected Persons (PAPs) on the extent of the resettlements activities while the Contractor would be responsible to implement the agreed activities. If found feasible and practical, the Team would work with Government to implement this approach under the proposed Project.

E. Borrowers Institutional Capacity for Safeguard Policies

4. The Ministry of Roads and Highways has an established record implementing projects under the Bank safeguard policies. They are professional Environmental Officers in each agency responsible for infrastructure who have experience with implementation of Bank financed transport projects.

Under the performance-based road contracting principle, the contractor is now responsible for screening and preparation of RAP. As such capacity building on the Bank's safeguards policies will be undertaken for the contractors and a refresher for the MRH designated staff. Environmental and Social specialist will also be part of the contractor's team to ensure effective design, implementation and monitoring of the RAP.

F. Environmental and Social Safeguards Specialists on the Team

Anil H. Somani (GSURR)

Gloria Malia Mahama (GSURR)

Martin Fodor (GENDR)

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	OP 4.01 is triggered because the road rehabilitation and maintenance works (or their design studies) funded under the project in several regions of Ghana have a potential for adverse environmental and social impacts. These are expected to be site-specific, largely reversible, and manageable with readily designed mitigatory measures that are already commonly implemented in similar works context in Ghana. Application of the project's ESMF will ensure these are built into the performance based contracting arrangements under the project.
Natural Habitats OP/BP 4.04	Yes	OP 4.04 is triggered because it is possible that some of the 181 km of target road links to be rehabilitated on the Tamale-Yendi-Zabzugu-Tatale trunk road in the Northern Region, or some of the 150 km km of feeder roads to be rehabilitated (and some additional 445 km of feeder roads for which performance based contract packages and related studies will be prepared) in the Brong Ahafo, Northern, Upper East

		and Upper West Regions may have potential for adverse impacts on adjacent natural habitats including forests. The Tamale-Tatale road, for example, passes through several Forest Reserves, e.g. IUCN-listed Sinsableswani and Bilisu forest reserves. Potential impacts of the project on natural habitats will be managed through the application of the ESMF the project will use.
Forests OP/BP 4.36	Yes	For rationale, see above. For safeguards risk management, ESMF will be applied. In addition, Project will before appraisal consult Forestry authorities to assess whether changes to the existing Forest Management Plans for the affected Forest Reserves is necessary due to potential impacts (direct or indirect) stemming from road rehabilitation or operation impacts, and if so, fund the update for the Forest Management Plans.
Pest Management OP 4.09	No	The policy is not triggered because the project is not expected to procure or lead to appreciably increased use of pesticides.
Physical Cultural Resources OP/BP 4.11	Yes	The policy is triggered due to potential for chance finds during earth works on the target road links. The policy requirements will be incorporated in the project's ESMF.
Indigenous Peoples OP/BP 4.10	No	The policy is not triggered because there are no indigenous peoples (as per policy definition) in the project area and Ghana.
Involuntary Resettlement OP/BP 4.12	Yes	<p>OP 4. 12 is triggered because this project involves improvement of roads in urban areas as well feeder roads in towns and villages to increase urban connectivity and access between farms and local markets. Specific activities include pavement surface, drainage and provision for sidewalks. These activities may result in loss of residential housing and other assets, relocation or obstruction of small business and possible destruction of crops.</p> <p>The project is adopting the performance-based road contracting principle, as such an RPF is prepared for now. However based on the road design, the Contractor will be required to prepare a Resettlement Action Plan and submit with the designs for review and approval. The action plan will be cleared, disclosed, and fully implemented before civil works commence.</p>

Safety of Dams OP/BP 4.37	No	Project does not involve Dams.
Projects on International Waterways OP/BP 7.50	No	Project does not involve International Waterways.
Projects in Disputed Areas OP/BP 7.60	No	Project does not involve Disputed Areas.

III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 25-Feb-2016

B. Time frame for launching and completing the safeguard-related studies that may be needed.

The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

An ESMF & RPF for the project will be prepared and disclosed before project appraisal.

IV. APPROVALS

Task Team Leader(s):	Name: Petrus Benjamin Gericke	
<i>Approved By:</i>		
Safeguards Advisor:	Name: Johanna van Tilburg (SA)	Date: 09-Nov-2015
Practice Manager/ Manager:	Name: Supee Teravaninthorn (PMGR)	Date: 09-Nov-2015

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.