

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

**Report No.: ISDSA9430**

**Date ISDS Prepared/Updated:** 18-Dec-2014

**Date ISDS Approved/Disclosed:** 18-Dec-2014

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	Albania	<b>Project ID:</b>	P132982
<b>Project Name:</b>	Results-based Road Maintenance and Safety Project (P132982)		
<b>Task Team Leader:</b>	Artan Guxho		
<b>Estimated Appraisal Date:</b>	17-Dec-2014	<b>Estimated Board Date:</b>	26-Mar-2015
<b>Managing Unit:</b>	GTIDR	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Rural and Inter-Urban Roads and Highways (70%), Public administration-Transportation (30%)		
<b>Theme(s):</b>	Regional integration (30%), Rural services and infrastructure (30%), Administrative and civil service reform (20%), Infrastructure s services for private sector development (20%)		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Financing (In USD Million)</b>			
Total Project Cost:	156.00	Total Bank Financing:	80.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
Borrower			76.00
International Bank for Reconstruction and Development			80.00
Total			156.00
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

**2. Project Development Objective(s)**

To maintain the condition and improve the safety of the Albanian Primary and Primary-Secondary road network, and strengthen sustainable and efficient road asset management and safety practices, for the benefit of road users.

### 3. Project Description

#### Description and Components

The Project seeks to ensure that existing road network investments can be maintained and that road asset management and safety systems can sustainably be introduced. Broadly, this will be realized through: (a) maintaining the project roads under 5-year hybrid performance-based maintenance contracts; (b) the provision of technical assistance (TA) to improve road safety capacity at both ARA and the IMRSC; (c) the provision of TA and institutional support to improve operating efficiencies within ARA, targeted at road asset management, and (d) technical and advisory support to complete and develop sector strategies and programs. It has four components with a total investment of US \$156 million, of which US\$80 million will be financed by IBRD and US\$76 million by GoA.

Component 1 – Maintenance Works and Monitoring (Total US\$139.20 million; IBRD US\$68.46 million) will provide periodic and routine maintenance of project roads, under hybrid type performance-based maintenance contracts, comprising 1,053 km of Primary (P) roads and 282 km of Primary-Secondary (PS) roads. This component will also finance Monitoring Services Consultant. The primary role of the Monitoring Consultant is to ensure that the service levels defined in the maintenance contracts are complied with, but it will also provide an initial road safety audit, arrange for iRAP surveys, ensure that identified additional road safety black-spots and required safety enhancements are incorporated into the capital works, and develop the Social Transparency System (STS). This is a DLI-based component, and financing is linked to the achievement of agreed disbursement linked indicators

Component 2 – Institutional Reforms (Total US\$7.20 million; IBRD US\$3.60 million) will support institutional reforms at both ARA and MoTI, aimed at enhancing capacity in road safety and road asset management on a country level, and will consist of two sub-components:

- (a) (a) Sub-Component 2.A: Operationalize road safety in ARA, MoTI and IMRSC, by strengthening organizational and policy-oriented actions, introducing Road Safety audit training accreditation courses, supporting Road Safety media campaigns, and enhancing the Accident Information System (AIS).
- (b) (b) Sub-Component 2.B: Institutionalize Road Asset Management Systems (RAMS), by enhancing ARA's capacity to collect and analyze road data, and provide training to ARA staff in using the system to plan and budget for road maintenance and investments.

Component 3 – Sector Reforms (Total US\$5.8 million; IBRD US\$4.8 million) will support transport sector reforms. Financing under this component will be based on standard Bank IPF disbursement procedures, and it is fully covered by IBRD loan, with the Government financing only VAT. The component will provide financing to address sector reforms, which would include, but not limited to, technical and advisory assistance to GoA to finalize the Transport Sector Strategy and associated implementation plan; and technical and analytical support for medium term budget planning.

Component 4 – Project Management and (Total US\$3.60 million; IBRD US\$3.00 million) will (a) support project management functions of ARA's Project Management Team (PMT); (b) provide an operating budget; (c) finance annual DLI and Technical audits; and (d) support project completion and beneficiary impact assessments.

Instrument of Choice: MoF has confirmed their preference for a Hybrid Results-based Investment

Project Financing (IPF), with Disbursement Linked Indicators.

#### Disbursement Arrangements

Disbursements will be made through semi-annual loan advances based on: (i) yearly rolling cash flow forecasts of Interim Financial Reports (IFRs), (ii) documentation of previous advances and (iii) for some advances, documentation of previous advances in parallel with the confirmation of the DLIs achievement. The use of six-month IFRs will allow for loan advances to provide regular and consistent levels of liquidity to implement project activities. Both, the IFRs produced at the end of each second semester and the Independent Audit annual reports, will be used to (i) validate and certify achievement of DLIs, (ii) recognize expenditures incurred and reported as eligible, and (iii) convert prior advances into disbursements -- in part or in total, depending on whether the DLIs have been partially or completely achieved. Almost 90 percent of the Bank's Loan will use results-based disbursement based on DLIs, while the disbursement for the remaining 10 percent, covering sector support and project management will be based on standard IPF disbursement procedures. For Components 1 and 2, the Bank's funding is divided across the number of DLIs in a given percentage with 80 percent of the loan allocated to implementation of maintenance works and 20 percent allocated to road safety and asset management.

#### Preparation of Environmental and Social/Resettlement Documentation.

ARA and the preparation consultant have developed a Resettlement Policy Framework (RPF), an Environmental Policy Framework (EPF); and Environmental Management Plans (EMPs) two representative project roads sections to guide program implementation. It is proposed that the review of EMPs will initially be on a prior approval basis, until the Bank team confirms the acceptable quality of the plans, and after that a certain percentage of the plans will be subject to a post review. While the Project is not envisioned to entail land acquisition, or resettlement, an RPF has been prepared to serve as guide, in the event that temporary and/or partial land acquisition, dislocation of street vendors appears necessary, and to complete site-specific RAPs (template is included in the RPF), which will be subject to prior approval.

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

Throughout Albania, and covering 1,053 km of Primary (P) roads and 282 km of Primary-Secondary (PS) roads.

#### **5. Environmental and Social Safeguards Specialists**

Bekim Imeri (GSURR)

Esma Kreso (GENDR)

<b>6. Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/ BP 4.01	Yes	Since the road sections are not fully defined at the time of project Appraisal, an Environmental Management Framework document (EMF) has been prepared for the project. The EMF sets forth the guidelines for site-specific EMPs and helps formulate sound environmental performance into

		<p>the planning and design stages of the activity. The EMF screening procedure ensures that no activities corresponding to a Category A are financed and that no additional safeguards are triggered. The EMF includes two template Environmental Management Plans (EMPs) for the Paper-Paulesh and Paper-Vidhas road sections. Furthermore, implementation of the EMP will also feed into the results-based approach for the issued maintenance contracts.</p> <p>Major anticipated environmental issues include dust and noise generation from machinery, adequate site organization, storage of paints, equipment and machines, waste separation and management, chance findings, use of salt and/or materials in winter maintenance, and possible small construction interventions in order to improve road safety.</p> <p>It is proposed that the review of implementation-developed EMPs by the WB initially be on a prior approval basis until the WB team confirms the acceptable quality of the plans, after which a certain percentage of the plans will be subject to a post review which will serve as a basis for disbursement.</p>
Natural Habitats OP/BP 4.04	Yes	The EMF provides precautionary measures for the road maintenance activities in the proximity of, or within protected areas or otherwise sensitive natural habitats including forested areas. This provision is mostly due to the fact that the specific road sections to be included under the project are not known at this stage.
Forests OP/BP 4.36	No	The project will not finance any roads in forested areas, while provisions on possible roads maintenance in forested areas under protection regimes included in the EMF under the natural habitats screening procedure.
Pest Management OP 4.09	No	

Physical Cultural Resources OP/BP 4.11	No	The EMF and site-specific EMPs have provisions in case of chance findings on site, while precautionary section in the EMF is included for works that may deal with maintenance of specific bridges, which may, due to their historical value or age be a cultural monument. All works on such sites will include direct involvement of the monument and heritage protection authorities.
Indigenous Peoples OP/BP 4.10	No	
Involuntary Resettlement OP/BP 4.12	Yes	A precautionary Resettlement Policy Framework (RPF) including a template Resettlement Action Plan (RAP) has been prepared for the project. As the project is not envisioned to entail land acquisition or resettlement, no RAPs have been prepared during project preparation. In the event that some land acquisition appears necessary, a RAP will be prepared and will be subject to prior approval.
Safety of Dams OP/BP 4.37	No	
Projects on International Waterways OP/BP 7.50	No	
Projects in Disputed Areas OP/BP 7.60	No	

## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

<p><b>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</b></p> <p>The main environmental impacts associated with the project include those associated with small-scale construction works related to road maintenance activities, such as dust and noise generation, waste management, material supply and worker safety. The EMF screening procedure will help guide the Client in ensuring that the site-specific impacts are mitigated, that no additional safeguards policies are triggered and that no category-A works are financed.</p>
<p><b>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</b></p> <p>The road maintenance activities will also help improve the road safety aspects in project roads and in the entire National Road Network, and as such are expected to have long-term positive social impacts.</p>
<p><b>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</b></p> <p>No alternatives are considered but the environmental and social screening of each proposed activity will help ensure no additional safeguards are triggered and that the project activities financed are not corresponding to a Category A.</p>

<b>4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.</b>
The project will be implemented through the the Project Management Team (PMT) within the Albanian Road Authority (ARA) – formerly General Roads Directorate. The ARA has been implementing Bank-funded projects since 1998, the most recent of which was the Albania Transport Project, a Category A construction of a section of the motor-way to the North of the Country. During implementation of the Transport Project, PMT fully and satisfactorily implemented requirements of the Environmental Assessment and EMPs, and RAP, with no significant issues or deviations with excellent staff support from the in-house Environmental and Expropriation departments, and adequate reporting. Similar implementation arrangements will remain for this project.
<b>5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.</b>
The EMF and two Environmental Management Plans for Paper-Vidhas and Paper- Paulesh road sections have been disclosed in country, both online and in the local community in October 2014. The public consultations were announced in the local community and in the newspapers, with targeted invitations sent out to different institutions including NGOs. The consultations were held on October 22, 2014. All subsequent EMPs will be disclosed in a similar manner within the local communes prior to start of any works. The EMF, RPF and two EMPs have been finalized and were disclosed, both in-country and the Bank Infoshop on December 1, 2014.

### ***B. Disclosure Requirements***

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	30-Oct-2014
Date of submission to InfoShop	01-Dec-2014
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
Albania	01-Dec-2014
<i>Comments:</i> Disclosed on the website of ARA and also in Paper and Vidhas communes.	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	30-Oct-2014
Date of submission to InfoShop	01-Dec-2014
"In country" Disclosure	
Albania	01-Dec-2014
<i>Comments:</i> Disclosed on the website of ARA and also in Paper and Vidhas communes.	
<b>If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP/GP 4.01 - Environment Assessment</b>
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Does the project require a stand-alone EA (including EMP) report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>OP/BP 4.04 - Natural Habitats</b>	
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [ <input type="checkbox"/> ] No [ <input checked="" type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
<b>OP/BP 4.12 - Involuntary Resettlement</b>	
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>The World Bank Policy on Disclosure of Information</b>	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>All Safeguard Policies</b>	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]

### III. APPROVALS

Task Team Leader:	Name: Artan Guxho	
<b><i>Approved By</i></b>		
Practice Manager/ Manager:	Name: Juan Gaviria (PMGR)	Date: 18-Dec-2014