

# INTEGRATED SAFEGUARDS DATA SHEET

## CONCEPT STAGE

**Report No.: ISDSC14152**

**Date ISDS Prepared/Updated:** 19-Nov-2015

**Date ISDS Approved/Disclosed:** 17-Dec-2015

### I. BASIC INFORMATION

#### A. Basic Project Data

Country:	Haiti	Project ID:	P155201
Project Name:	Municipal Development and Urban Resilience Project (P155201)		
Task Team Leader(s):	Elisa Muzzini		
Estimated Appraisal Date:	02-Feb-2016	Estimated Board Date:	26-May-2016
Managing Unit:	GSU10	Lending Instrument:	Investment Project Financing
Sector(s):	General water, sanitation and flood protection sector (75%), Sub-national government administration (25%)		
Theme(s):	Natural disaster management (20%), City-wide Infrastructure and Service Delivery (40%), Municipal governance and institution buildin g (15%), Climate change (15%), Urban planning and housing policy (10%)		
Financing (In USD Million)			
Total Project Cost:	37.50	Total Bank Financing:	30.00
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			0.00
IDA Grant			30.00
Strategic Climate Fund Grant			7.50
Total			37.50
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

#### B. Project Objectives

The Project Development Objective is to improve delivery of resilient infrastructure, local services and urban management in the metropolitan area of Cap-Haitien.

## C. Project Description

The Project will contribute to the sustainable and resilient urban development of the metropolitan region of Cap Haitien through a combination of investment support and capacity building. The Project will focus on the six municipalities of the metropolitan region of Cap Haitien, benefiting the populations of Cap Haitien (244,660 inhabitants), Limonade (50,150 inhabitants), Quartier Morin (24,881 inhabitants), Plaine du Nord (37,518 inhabitants), Acul du Nord (50,884 inhabitants) and Milot (29,094 inhabitants). The Project will include four main components:

### Component 1: Investment Support and Capacity Building for Metropolitan Local Authorities

The component aims at providing investment and technical support to municipalities in the metropolitan region with the objective of enhancing the capacity of the municipalities to plan, fund, and implement resilient infrastructures and local services and coordinate delivery of services at the metropolitan level through on-the-job training. The component also aims at reducing disparities in service delivery and capacity among Metropolitan Local Authorities (MLAs) and promoting sustainable and resilient growth opportunities in peripheral municipalities of the metropolitan region, thus contributing to a more balanced spatial development pattern within the metropolitan region of Cap-Haitien. The component will fund the following three inter-linked sub-components: (i) investment support for municipalities; (ii) support to metropolitan development planning and strategies, and (iii) institutional strengthening and capacity building for municipalities. Resilience considerations will be mainstreamed in all sub-components.

#### Sub-component 1-1: Investment support for municipalities

This sub-component aims at strengthening municipal capacity to deliver local services through targeted investment support and on-the-job training. To do so, this sub-component would fund a line of financing (grant) and implementation support for small scale municipal investments (sub-projects) identified based on local priorities and implemented under a number of conditions and incentives agreed with the MLAs to ensure the sustainability and resilience of the investments, and full alignment with metropolitan and local plans. The investment support will help MLAs to (i) respond effectively to local demand for better and more resilient services and infrastructures and gain greater credibility with their constituencies through immediate and visible service delivery improvements, and (ii) support implementation of selected pilot inter-municipal projects of metropolitan relevance. The design of the line of financing will build on the experience of the Investment Fund of Local Authorities (FICT) under the pilot Appui à la Gouvernance et à l'Investissement Local en Haiti (AGIL) (Euro 5.5 million) funded by the European Union in 16 municipalities in the North and North-East Departments. One of the emerging lessons learnt from AGIL is the importance of providing strong technical support to the municipalities in the implementation of works. The line of financing would comprise two complementary windows: (i) investment support for small-scale municipal investments. The objective of this window would be to build local capacity to implement resilient urban development sub-projects through on-the-job training. (ii) investment support for pilot inter-municipal investments. The objective of this window is to incentivize municipalities to take incremental steps toward inter-jurisdictional voluntary cooperation at the metropolitan level by supporting MLAs in the joint identification, preparation, and implementation of small-scale, inter-municipal pilot investments – with potential demonstration effects on the benefits of metropolitan coordination. Possible inter-municipal projects that could be financed under this window include rehabilitation of inter-municipal roads, solid waste management, and disaster preparedness plans. Municipal sub-projects would be identified by MLAs in line with needs identified in the Local

Investment Plans, and based on conditions, eligibility criteria and incentives set in the Operational Manual. The project will draw on municipal implementation capacity and participatory mechanisms developed under the Cultural Heritage Preservation and Tourism Sector Support Project and the Urban Community Driven Development Project (PRODEPUR) for the selection of the investments. It is expected that the first batch of municipal investments will be identified during project preparation.

#### Sub-component 1-2: Support to Metropolitan Development Planning and Strategy

This sub-component will support strategy and planning for resilient metropolitan development to provide a coherent strategic framework for the development and implementation of local plans. The subcomponent will finance the following activities: (i) update and validation by local constituencies of the existing metropolitan strategy for Cap Haitien (Esquisse de Plan d'Urbanisme) prepared in 2013 by the Ministere de la Planification et de la Cooperation Externe (MPCE); (ii) development of a metropolitan plan with associated investment and financing plan incorporating resilient considerations; and (iii) detailed studies for selected priority resilient metropolitan services as identified in the metropolitan plan. In the absence of a regional metropolitan agency, it is expected that the departmental office of the MPCE in the North, which led the preparation of the 2013 plan, will continue coordinating the metropolitan planning function with municipalities. Special attention will be paid to the governance and institutional arrangements of the metropolitan planning process, and participatory process will developed to ensure ownership of the participating municipalities in the metropolitan planning process.

#### Sub-component 1-3: Institutional strengthening and capacity building for municipalities

This sub-component will support capacity building for institutional strengthening of municipalities in the priority areas of (i) municipal development and resilient spatial planning and (ii) municipal finance. Capacity building would aim at strengthening capacity of the municipalities to provide sustainable local services, with an emphasis on resilient planning for urban expansion. Given the significant difference in capacity and needs across the MLAs, a customized capacity building program will be developed for each municipality, while aiming to bring all MLAs to a minimum level of institutional capacity. The delivery of capacity building will draw on local institutions (e.g. the University of Limonade) to the extent possible to ensure the sustainability of the outcomes. Progress in the implementation of the capacity building agenda will be rewarded with a higher allocation under the line of financing for small-scale municipal investments. The capacity building program will build on the Programme d'Intervention Nord/Nord-Est (PINNE), a flagship initiative of the Ministry of Interior and Local Authorities (MICT) covering 16 municipalities. Five of the six MLAs receive support from PINNE (except Plaine du Nord). PINNE aims at strengthening municipal administrative structures by funding the recruitment and training of competitively hired key professional municipal posts based on local needs. The capacity building will also complement the LOKAL+ project (\$19.8 million, Jan 2013-2018), funded by USAID in 9 municipalities in Haiti, including 3 MLAs (Acul du Nord, Cap-Haitien and Limonade). LOKAL+ provides technical support to municipalities to generate a sustainable increase in local own-source revenues.

#### Component 2: Investments in Vulnerability Reduction and Climate Resilient Urban Infrastructures

The component aims at building the physical resilience of Cap Haitien metropolitan area through vulnerability interventions in selected high risk areas. This includes urban watershed restoration and river bank stabilization interventions, and strengthening institutional capacity to maintain urban

infrastructure. These interventions build on the results from a detailed flood risk assessment of Cap-Haïtien, conducted in 2014 under the Emergency Bridge Reconstruction and Vulnerability Reduction Project (P114292). The component will fund the following three sub-components: (i) integrated urban “ravines” management; (ii) investments in flood mitigation management, and (iii) investments in resilient infrastructure.

#### Sub-component 2-1: Integrated Urban “Ravines” Management

The objective of this sub-component is to pilot risk mitigation interventions in specific ravines of Cap-Haïtien in the context of an integrated urban watershed management approach. Specific activities identified include: (i) the preparation of an urban watershed management plan (with flood and landslide risk analysis using high resolution data already collected under the on-going IDA financed DRM and Reconstruction project), (ii) the identification of ravine corridors and critical points for interventions, (iii) upper watershed restoration activities to reduce storm water runoff, and (iv) lower watershed interventions such as slopes stabilization, canal cleaning and sediment management, and protection of critical urban infrastructures. The sub-component will also support the establishment of a service responsible for maintenance and cleaning of the cities’ canals and drainage systems and roads within the Direction Départementale and/or the municipality, and in coordination with the ongoing waste management inter-municipal project to better ensure the sustainability and efficiency of the mitigation interventions’ implementation.

#### Sub-component 2-2: Investments in Flood Mitigation Management

This sub-component aims at protecting the populations living in the proximity of the Rivière Haut du Cap from flooding, and stop illegal urbanization along the river banks. To do so, this sub-component will include (i) the development of an integrated flood management plan for the metropolitan area of Cap-Haïtien, (ii) the cleaning of the river from solid waste and sediments, and (iii) the stabilization of the river banks with infrastructure works and its occupation with public spaces.

Cleaning operations associated with removal of materials accumulated in the Rivière Haut du Cap will be carefully designed to avoid the redirection of the removed material towards the river’s upstream areas or the estuarine water basin of Bassin Rodo where land is illegally reclaimed with solid waste as well as to ensure proper handling and treatment of the removed materials. Sub-component

#### 2-3: Investments in Resilient Infrastructure

Within the designated metropolitan region, the proposed project would support a balanced urban metropolitan development by financing complementary medium-scale resilient infrastructure investments to benefit local communities such as public structural investments at the communal levels pertaining to small urban equipment, water and sanitation facilities. This sub-component would also focus on specific locations of the transportation network that are known to be vulnerable to erosion, flash floods, river overflows, and sea level rise, given their importance in terms of access and connectivity to social and economic services such as health centers, airports, or domestic markets.

#### Component 3: Contingent Emergency Response

The proposed Project includes a Contingent Emergency Response (CER) component, to respond rapidly at the GoH’s request in the event of an eligible emergency, including, the carrying out of

emergency infrastructure reconstruction, rehabilitation and associated studies (Emergency Response Activities). Disbursements would be made against a list of critical goods or the procurement of goods, works, and consultant services required to support the immediate response and recovery needs of the GoH. If not disbursed 24 months prior to the closing date, the resources will be reallocated to other project components.

#### Component 4: Project Management and Implementation Support

This component would finance the costs associated with strengthening and developing the institutional capacity for Project management, coordination, implementation, and monitoring and evaluation, as well as costs associated with supporting the project implementing agencies. Component 4 would be divided into two sub-components. Sub-component 4.1 would finance the strengthening of UCP-DPC/MICT capacity for: (i) overall coordination of the Project including, consolidation of financial and progress reports; and (b) management, coordination, implementation, monitoring and evaluation of the municipal strengthening and emergency preparedness capacities elements of the Project. Sub-component 4.2 would finance the strengthening of the capacity of the UCE-MTPTC for management

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

The project will take place in the Cap Haitien metropolitan region, which includes coastal areas; low-lying areas prone to flooding; and elevated zones surrounding the downtown area. While heavily degraded from an environmental point of view, some areas still harbor important biodiversity. Also, Cap Haitien is the original capital of Haiti, and one of the oldest towns in the Caribbean, with strong historical and cultural significance.

#### **E. Borrowers Institutional Capacity for Safeguard Policies**

Borrower capacity for managing environmental and resettlement aspects is moderately weak. One of the two executing agencies (UCE) has experience implementing Bank-funded projects and is familiar with Bank policies. However, the preparation of the Framework documents and implementation of mitigation measures will require specific follow up and training. Robust solutions for disposal of solid waste in particular will require special attention, as this issue remains problematic in the project area.

#### **F. Environmental and Social Safeguards Specialists on the Team**

Asli Gurkan (GSURR)

Nicolas Kotschoubey (GEN04)

## **II. SAFEGUARD POLICIES THAT MIGHT APPLY**

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/BP 4.01	Yes	The policy is triggered because potential environmental impacts are expected from components 1 (upgrading of local market facilities, road works, development of open spaces) and 2 (works within ravines to control flooding). Key impacts associated to these components include construction impacts related to earthworks, noise, dust, sourcing and disposal of construction waste,



		<p>etc.; and health and safety of workers and the public, including traffic disruption.</p> <p>Disposal of debris from ravines, which consists of municipal solid waste (MSW), gravel and soil, will have to be done in a designated, controlled disposal site. The disposal of this material in the natural environment, and especially in a sensitive habitat, wetland, forest, along the shore, in or near a water body, will not be acceptable.</p> <p>Improving drainage of ravines, rivers or wetlands may have negative environmental impacts to the hydrology of these water bodies if the natural hydrology is not considered. Specifically, the ecology of the Bassin Rodo in Cap Haïtien is not well known, and altering its hydrology will require specific studies. During sediment removal, it is important not to remove or damage aquatic plants, which are critical to absorb organic pollutants and provide oxygen.</p> <p>Finally, however, some of the risks that the project will address will also reduce environmental liabilities, for example, the project will remove waste from ravines, which will also improve the urban environment, and the project will stabilize slopes in the watershed and along riverbanks, which will have environmental benefits.</p> <p>As the exact nature and location of some of the works remains unknown, a “Framework” approach will be adopted by the Project, in which each sub-project implemented will be screened according to the Framework. An Environmental and Social Management Framework (ESMF) will be used to screen each sub-project and determine what measures and documents are required to mitigate any environmental, social, cultural, and resettlement impacts. Once the sites are known, site-specific Environmental Assessments or Environmental and Social Management Plans (ESMPs) will be prepared, according to the Framework, and implemented by the client prior to the start of any construction.</p> <p>ESMPs or Environmental Assessments (EAs) for the Bassin Rodo and for the ravines will be prepared in</p>
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		accordance to the ESMF. ESMPs and EAs will cover environmental, natural habitat and cultural resource impacts. Any work within the Bassin Rodo will require taking into account the existing wetland hydrology, aquatic plants, wildlife, unplanned settlement in the Bassin, and a bridge that was built at the mouth of the wetland. The works contract for the Bassin will specify exactly the actions to carry out, including how to dispose of excess material, and how to minimize the removal of aquatic plants.
Natural Habitats OP/BP 4.04	Yes	Any works from Components 1 or 2 next to or within Bassin Rodo, a wetland near Cap Haitien city center, which provides habitat to Caribbean flamingos, may have impacts on this natural habitat. Although the ecology of the Bassin Rodo is heavily degraded in places, and not well known, some parts of the Bassin are still relatively unspoiled, and will require specific studies. Any work within the Bassin Rodo will require taking into account the existing wetland hydrology, aquatic plants, wildlife, unplanned settlement in the Bassin, and a bridge that was built at the mouth of the wetland (NB the bridge was constructed independently, and was not financed by the Bank).
Forests OP/BP 4.36	Yes	The project could have impacts on mangrove forests around the municipalities by coastal works and other investments. Since not all investments are known at appraisal, the ESMF will include screening, assessment, and management measures for Forests.
Pest Management OP 4.09	No	The project will not finance any pesticides, nor will it attempt to control pests, or agricultural pests.
Physical Cultural Resources OP/BP 4.11	Yes	<p>While activities to be carried out under the Project are not expected to impact any known cultural heritage sites, impacts on physical cultural resources could occur, as Cap Haitien and surrounding municipalities are over 300 years old, and contain some historical monuments and buildings. If restoration of physical cultural resources is required under the project, for example of ancient bridges over the ravines (Component 2), this will have to be done in a historically acceptable way.</p> <p>Also, technical specifications for works will include "chance find procedures" to be followed in the event that culturally significant materials are discovered during the execution of works.</p>

		The ESMF will include screening, assessment, and management measures for physical cultural resources.
Indigenous Peoples OP/BP 4.10	No	The policy is not triggered as there are no indigenous people in Haiti.
Involuntary Resettlement OP/BP 4.12	Yes	<p>The overall social impacts are expected to be positive, particularly linked flood prevention and mitigation, better access to infrastructure services, and improved community health and safety as a result of ravine rehabilitation. Potential negative social impacts include land acquisition, resettlement, loss of economic livelihoods particularly for street vendors who are common and widespread in urban areas in Haiti. Other social risks are linked to illegal settlers and shortage of safe alternative land sites to resettle people in congested urban areas such as Cap Haitien. Temporary adverse impacts on access to basic services are possible, should the dismantled structures include schools, clinics, electric poles, water points etc. (all of which will be rebuilt under the project). Land acquisition and resettlement impacts could potentially be irreversible. To mitigate some of these risks, the project will rule out any sub-project that will likely result in significant land acquisition/resettlement/economic loss of livelihood impact. The project will retain an experienced social safeguards specialist based in the project site who will be in charge of monitoring social and resettlement impacts for the project. Local government representatives will also be trained as part of overall capacity-building activities on social and environmental safeguards.</p> <p>The rehabilitation of urban infrastructure, such as the rehabilitation of ravines, riverbanks, and roads, public squares etc. may result in land acquisition, possible involuntary resettlement of affected people, and/or temporary or permanent loss of economic sources of livelihood. The exact location of the works remains unknown, and the feasibility studies to identify the sites are just starting which will only be completed in the next few months. Due to this fact, a “Framework” approach will be adopted. Resettlement Policy Framework (RPF) will be prepared, consulted on and disclosed before appraisal. Once the sites are known, site-specific Resettlement Action Plans (RAP)- including</p>



		cumulative RAPs- will be prepared and implemented by the client. Prior to the start of any construction, the affected people must have received their compensation, relocated or re-housed under conditions equal to or better than their conditions before the investments. The first draft of the ESMF and RPF will be ready December 15. Consultations are scheduled to take place the second week of January and the ESMF/RPF will be finalized before the end of January.
Safety of Dams OP/BP 4.37	No	No dams will be financed, or included, in the project.
Projects on International Waterways OP/BP 7.50	No	The policy is not triggered as there are no international waterways under the project.
Projects in Disputed Areas OP/ BP 7.60	No	The policy is not triggered as there are no disputed territories under the project.

### III. SAFEGUARD PREPARATION PLAN

**A. Tentative target date for preparing the PAD Stage ISDS: 05-Jan-2016**

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

**The specific studies and their timing<sup>1</sup> should be specified in the PAD-stage ISDS:**

The first draft of the ESMF and RPF will be ready December 15. Consultations are scheduled to take place the second week of January and the ESMF/RPF will be finalized before the end of January.

### IV. APPROVALS

Task Team Leader(s):	Name: Elisa Muzzini	
<b><i>Approved By:</i></b>		
Safeguards Advisor:	Name: Francis V. Fragano (SA)	Date: 24-Nov-2015
Practice Manager/ Manager:	Name: Catalina Marulanda (PMGR)	Date: 17-Dec-2015

<sup>1</sup> 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.