

**COMBINED PROJECT INFORMATION DOCUMENTS / INTEGRATED  
SAFEGUARDS DATA SHEET (PID/ISDS)  
APPRAISAL STAGE**

**Report No.:** PIDISDSA20284

**Date Prepared/Updated:** 18-Oct-2016

**I. BASIC INFORMATION**

**A. Basic Project Data**

<b>Country:</b>	Colombia	<b>Project ID:</b>	P156239
		<b>Parent Project ID (if any):</b>	
<b>Project Name:</b>	CO Plan PAZcifico:Water Supply and Basic Sanitation Infrastructure and Service Delivery Project (P156239)		
<b>Region:</b>	LATIN AMERICA AND CARIBBEAN		
<b>Estimated Appraisal Date:</b>	27-Jun-2016	<b>Estimated Board Date:</b>	18-Oct-2016
<b>Practice Area (Lead):</b>	Water	<b>Lending Instrument:</b>	Investment Project Financing
<b>Borrower(s):</b>	FONDO PARA EL DESARROLLO DEL PLAN TODOS SOMOS PAZCIFICO represented by its Fiduciary Agent and Trust		
<b>Implementing Agency:</b>	National Unit for Disaster Risk Management		
<b>Financing (in USD Million)</b>			
<b>Financing Source</b>			<b>Amount</b>
Borrower			6.81
International Bank for Reconstruction and Development			126.70
Total Project Cost			133.51
<b>Environmental Category:</b>	A - Full Assessment		
<b>Appraisal Review Decision (from Decision Note):</b>	The review did authorize the team to appraise and negotiate		
<b>Other Decision:</b>			
<b>Is this a Repeater project?</b>	No		

**B. Introduction and Context**

## Country Context

Despite Colombia's strong macroeconomic performance, the sharing of that prosperity across its residents remains a challenge. With a population of 48.6 million, Colombia represents Latin America's fourth-largest economy. It is home to a large and stable domestic market and is endowed with a rich natural resources base. During approximately a decade (2006-2015) of continuous and robust economic growth, the country has posted an annualized growth rate of real per capita Gross Domestic Product (GDP) averaging 4.6 percent, coupled with a significant decline in the prevalence of poverty. Extreme poverty fell from 17.7 percent in 2002 to 7.9 percent in 2015, while total poverty (which includes both extreme and moderate poverty) fell from 49.7 percent in 2002 to 27.8 percent in 2015. Despite such advances, Colombia continues to have the region's greatest inequality in income distribution or consumption expenditure among individuals or households, with a Gini coefficient of 0.54, compared to the Latin America and Caribbean average of 0.52. Uneven territorial development-worsened by underinvestment, weak local governance and service delivery, poor market access, and inadequate rural-urban market linkages-has led to persistent gaps in living standards between rural and urban areas, across geographic regions, such as the Atlantic and Pacific regions, and even across departments and municipalities. The longest running armed conflict in the Western Hemisphere has compounded development challenges.

Peace accords are poised to bring Colombia's decades-long armed conflict to an end and create important opportunities to expand public service provision to vulnerable populations. The government seeks to bolster the peace process by reasserting its presence in regions that have been particularly impacted by violence and lack of public services. Within this context, the National Development Plan (NDP) 2014-2018 "Todos por un Nuevo País" (approved through Law 1753 of 9 June 2015) identifies the Pacific region for priority attention as it demonstrates the greatest economic inequality and intra-regional (Pacific Coast vs Andean Pacific) gaps in the country, as seen in Table 1, as well as high levels of violence and forced displacement. The Government of Colombia (GoC) created the Gerencia Pacifico, housed in the Presidency of the Republic of Colombia, who developed the US\$1.2 billion Plan Todos Somos Pacifico (PTSP) to address these challenges. Based on a socioeconomic development gap analysis developed by the Departamento Nacional de Planeación (DNP) and extensive consultations with regional and local stakeholders, the PTSP has prioritized geographic and sectoral areas of intervention. Investments during the initial phase of the PTSP will target urban areas of Buenaventura, Guapi, Quibdó, and Tumaco which are considered emblematic cities of strategic value in the peace building process, and which, taken together, concentrate 47.8 percent of the population in the Pacific region. The PTSP centers on interventions to increase water supply and basic sanitation (WSBS) service coverage; develop a sustainable energy program throughout the entire Pacific coastal region; and improve connectivity with a waterway system as key to promoting poverty reduction, public health, economic growth, and competitiveness. Subsequent phases of the PTSP will broaden infrastructure investments to some 50 municipalities throughout the Pacific region and continue to reestablish the presence of the GoC across remote swaths of territory.

Table 1. Socioeconomic Indicators Comparing the Pacific Coast, Andean Pacific, and National 2014

Indicator	Weighted Averages (%)		
	Pacific Coast	Andean Pacific	National
Mid-secondary education coverage	17.5	36.7	42.0
Sewerage network coverage	24.4	77.7	94.3

Water network coverage	38.1	88.1	89.7
Electricity coverage	66.8	94.5	93.6
Unsatisfied basic needs	60.1	23.8	27.8

Source: Estrategia Todos Somos PAZcifico, Presidencia de la Republica, 2015. Encuesta Nacional De Calidad De Vida. DANE 2014.

The government of Colombia has engaged multilateral development banks to finance up to US \$400 million for the PTSP. The World Bank has been engaged with the GoC since the conceptualization of the PTSP and also supported discussions to mobilize additional partner resources. As a result, the GoC requested financing from the World Bank for two freestanding loans to support the implementation of the PTSP: (i) a US\$40million for the development of a waterway project, or 'acuapista,' to improve connectivity by facilitating safe and reliable boat transportation between cities on the Pacific coast (under preparation), and (ii) a US\$126.7 million for improving WSBS services in the urban perimeter of the municipalities of Guapi and Tumaco (the Project being proposed in this Project Appraisal Document). The GoC also requested financing from the Inter-American Development Bank (IDB), which approved a US\$231.4 million loan in December 2015 for investments in WSBS infrastructure in the municipalities of Buenaventura and Quibdo, as well as an electrification program along the northern Pacific coast. On November 3, 2015, the Consejo Nacional de Política Económica y Social (CONPES) approved the sovereign guarantee to enter into external loan contracts for an amount of US\$400 million and also approved the declaration of national strategic importance of the PTSP allowing the GoC to commit future national budget allocations for debt service. The proposed operation plays a central role in operationalized the comprehensive PTSP and in supporting the peace building process in a particularly vulnerable area of the country.

### **Sectoral and institutional Context**

Colombia has a solid and comprehensive legal and institutional framework to improve WSBS services. A clear tariff and subsidy regulatory structure is based on socioeconomic conditions and cost recovery principles, coupled with the General Revenue Sharing System (Sistema General de Participaciones, SGP) to transfer national resources to municipalities. The Residential Public Services Law (Law No. 142 of July 11, 1994) initiated a series of reforms that (i) decentralized the provision of public services; and (ii) separated the policy making, regulatory, and operating functions, establishing independent regulatory and supervisory bodies. The Ministry of Housing, City, and Territory (MVCT), through the Vice Ministry of Water, is the sector policy maker and responsible for implementing national policies, plans and programs in the WSBS sector; the Commission for the Regulation of Water Supply and Sanitation (CRA) is responsible for sector regulation, including rates and performance quality; the Superintendence of Residential Public Services (SSPD) is responsible for the control and oversight of residential public services; and municipalities are responsible for ensuring service delivery through private, public or mixed companies, or, in limited instances, through direct provision. These reforms have allowed Colombia to test various WSBS service delivery models, including public, private and mixed-capital companies and such an approach has succeeded in addressing many performance issues in large and medium-sized cities.

Colombia's reform efforts have resulted in important strides in improving national WSBS coverage, but challenges remain in small cities and rural areas. Colombia's national coverage average levels for water and sewerage connections increased from 78 percent and 61.8 percent in 1993 to 94.3 percent and 89.7 percent in 2014 respectively. National coverage of solid waste collection services was 81.9 percent in 2014. However, these advances mask disparities between

urban small towns and dispersed rural areas, where coverage levels remain as low as 57.5 percent, 15.7 percent and 24.1 percent for water, sewerage connections and solid waste collection services respectively and only 42 percent of the water provided meets quality standards for drinking water. In 2007, the MVCT created the Departmental Water Plans (Planes Departamentales de Agua, PDAs) program to promote economies of scale and prevent fragmentation of resources through the regionalization of WSBS services led by the Department with a set of planning and inter-institutional coordination strategies. Furthermore, since 2014, the GoC has embarked on a series of reform and normative adjustments to promote adequate solutions and improve WSBS services in small towns and rural areas. To this end, the GoC (i) approved a national policy for WSBS in rural areas (CONPES 3810 of 2014) and a differentiated regulatory and tariff scheme for small service providers; (ii) started the development of support mechanisms and management models for WSBS in small towns; and (iii) injected public capital investments in priority areas. However, to implement these reforms, coordinated technical and financial support would be required to fully address the inherent challenges of providing WSBS services in poor small towns and rural areas because many departments and municipalities (i) lack the financial, technical and implementation capacity; (ii) have difficulties attracting specialized water operators to work in poor and challenging municipalities; and (iii) are straddled with high investment needs due to significant infrastructure backlogs.

The Municipalities of Guapi and Tumaco face several common WSBS service provision challenges. The urban cores of the municipalities of Guapi and Tumaco face several common WSBS service provision challenges, from low sanitation coverage resulting in diarrhea cases above the national average, to inadequate drinking water quality, as detailed in Table 2. In Guapi, the municipality's public service unit provides WSBS services. However, the SSPD decertified the municipality in 2011 as a result of administrative, financial, and operational difficulties. The Department of Cauca is now responsible for the administration of SGP funds as well as ensuring the provision of WSBS services in the municipality. As part of the MVCT's regionalization policy, the Department, and the departmental water company (Empresa Caucana de Servicios Publicos, EMCASERVICIOS) began partnering in June 2015 with the specialized operator (Empresas de Acueducto y Alcantarillado de Popayan, EAAP) of Popayán, the Departmental capital, to assist Guapi to implement an emergency plan to restore water supply service and to improve service provider management and operation through a series of institutional capacity building activities. The agreement ends in December 2016, but the Project would continue supporting Guapi to develop and implement an adequate service delivery model and to regain SSPD certification. In Tumaco, the public service company (Aguas de Tumaco) has been responsible for providing WSBS services since 2008 and introduced in 2009 a specialized operator (Aquaseo) to provide the urban population with WSBS services through an 18-year management and operation contract. However, an infrastructure backlog and changes in the oil royalties law resulted in a financial shortfall that has not allowed the operator to provide adequate services. The Project will provide much-needed investment financing while supporting financial incentives and technical assistance for the municipality to work with and supervise the specialized operator under the current operational model for improved service performance.

Table 2. WSBS situation in Guapi and Tumaco compared to national average

Service Level Indicators	National	Guapi	Tumaco
Coverage of water network	94.3%	17%	45%
Coverage of sewerage network	89.7%	16%	deficient sewerage coverage; no treatment, 5 significant raw sewage discharges. Inadequate latrines and septic tanks
			0% sewerage;

inadequate latrines and septic tanks; 38 significant raw sewage discharges to the street or water bodies

Water Continuity 20hrs/day; 7 days/week Varies from 1hr/week to 2hrs/day-sector 48 hours/week in Zona Continente

72 hours/week in Isla Tumaco

48 hours/week in Isla El Morro

Non-Revenue Water 34.1% 90% 75%

Micrometering 80% 0% 39%

Revenue Collection Rate 71% 0 39%

Water quality (IRCA) No Risk/ High Risk High Risk Low Risk

Solid waste management coverage 95% \* Inadequate collection and there is no area for final disposal. Solid waste disposed of in the streets.

85% collection and final disposal. Future capacity limited.

Sources: SSPD, June 2015, REDI 2014, and CONPES 3847, 2015, Aquaseo, UASPD.

\* 79 percent of municipalities adequately dispose of solid waste and 95 percent of waste produced is collected

The Bank is well positioned to support WSBS investments in the context of the PTSP. The World Bank has a long history of support for infrastructure investments and sector reform in Colombia. In the 2000s the World Bank financed the MVCT's Water Sector Reform Assistance Project (Loan 7077-CO) and the Water and Sanitation Sector Support Project (Loan 7281-CO) which initiated a Business Modernization Program aimed at attracting the private sector to manage and operate WSBS in small and medium-sized municipalities. Loan 7281-CO also supported the creation within the MCVT of the now institutionalized Ventanilla Unica process through which all WSBS investment projects financed by the national government undergo a technical, financial, social and environmental evaluation for approval before implementation. In addition, the ongoing La Guajira Water and Sanitation Infrastructure and Service Management Project (Loan 7434-CO) is supporting the first Department Water Plan in Colombia. The World Bank has also supported the Solid Waste Management Program Project (Loan 7742-CO), a national program seeking to improve the quality and coverage of integrated solid waste management services in Colombia. Knowledge services supported by the World Bank, such as the 2014 WSBS Regionalization Study and the 2014 Preparing for the National Strategy for the Infrastructure Development in Water Supply and Sanitation Study, have provided valuable input to the NDP and ongoing sectoral initiatives. The Project would also benefit from the Bank's global experience in the provision of WSBS in challenging and peace building situations. The Bank's global expertise will be especially relevant, given the specific challenges facing municipalities, including extreme poverty, geographic conditions, informal urban growth, and the constant threat of violence and terrorist attacks.

## C. Proposed Development Objective(s)

### Development Objective(s)

The objectives of the Project are to improve: (i) coverage and service quality of water supply and basic sanitation in urban areas in the Municipality of Tumaco and the Municipality of Guapi; and (ii) operational efficiency of the service providers in said municipalities.

### Key Results

The achievement of the PDO will be monitored through the following indicators:

- . Direct project beneficiaries (number), of which women (%), of which poor (%)
- . Number of people in urban areas provided with access to Improved Water Sources under the project
- . People provided with access to "Improved Sanitation Facilities" under the Project (number), of which urban (number)
- . Water supply continuity in the Project's intervention area (Hours/day)
- . Number of untreated sewage discharge points to water bodies eliminated under the Project (percentage)
- . Revenue collection rate in the Municipalities of Guapi and Tumaco (percentage)
- . Level of non-revenue water in each municipality (m3/conn-month)

#### **D. Project Description**

The Project focuses on (i) delivering the necessary WSBS infrastructure; (ii) supporting service providers' institutional performance through targeted capacity building and institutional strengthening measures to establish and consolidate operational efficiency and service quality; and (iii) implementing a comprehensive social plan with a civil-engagement strategy to foster behavior change and Project acceptance among the population. To achieve these goals, the proposed project will finance the four components described below.

##### **Component Name**

Component 1. Water Supply and Basic Sanitation Improvements in the Municipality of Guapi

##### **Comments (optional)**

Provision of goods, works, technical assistance and training to improve water supply and basic sanitation coverage and service quality in the municipality of Guapi, including, inter alia, the following activities: (i) constructing a new water-intake structure and raw water mains, optimizing the existing water treatment plant, and rehabilitating and constructing distribution water mains and networks; (ii) constructing a new wastewater collection, treatment and disposal system and implementing a sanitation demonstration solution for stilt house; and (iii) constructing a solid waste disposal solution and implementing an environmental restoration project.

##### **Component Name**

Component 2. Water Supply and Basic Sanitation Improvements in the Municipality of Tumaco

##### **Comments (optional)**

Provision of goods, works, technical assistance and training to improve water supply and basic sanitation coverage and service quality in the municipality of Tumaco, including, inter alia, the following activities: (i) rehabilitating the existing water-intake structure and raw water mains, optimizing the existing water treatment plant, and rehabilitating and constructing distribution water mains and networks; (ii) constructing a new wastewater collection, treatment and disposal system and implementing a sanitation demonstration solution for stilt houses; and (iii) improving the collection system for solid waste and constructing a solid waste landfill.

##### **Component Name**

Component 3. Capacity Building and Institutional Strengthening of Service Providers in the Municipalities of Guapi and Tumaco

##### **Comments (optional)**

Provision of goods, technical assistance and training for capacity building and institutional

strengthening activities to support improved utility performance and to ensure efficient and sustainable services, including, inter alia, the following activities: (i) supporting the municipality of Guapi to develop a long-term service delivery model; (ii) strengthening the existing service delivery model in the municipality of Tumaco; (iii) assisting the municipalities of Tumaco and Guapi to develop online monitoring tools to assess the quality of services provided; and (iv) carrying out studies on demand management, fecal sludge management, non-revenue water management, and storm-water management.

#### **Component Name**

Component 4. Project Management and Environmental and Social Management

#### **Comments (optional)**

Provision of goods, technical assistance and Training to the PIU for the implementation of the Project (including, inter alia, in the areas of financial management, procurement, disbursement, and safeguards management) and financing of Operating Costs.

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

The Project activities will benefit the approximately 124,475 inhabitants in the municipality of Tumaco (in the Department of Nariño) and the approximately 18,005 inhabitants in the municipality of Guapi (in the Department of Cauca), both of which are located on the Pacific coast of Colombia. The Project activities are focused in the urban or semi-urban environments of the two municipalities. The overall area in these two Departments is characterized by a rich biodiversity and diverse topography rising from sea level to Andean geography where important rivers supplying water to 70 percent of the Colombian population begin their course.

In environmental terms, the overall area includes some mangrove forests, and those near Tumaco and Guapi are important for the local economy (fishing). The municipality of Guapi, has an Environmental Zoning Study for Mangrove prepared in 2009 by the DIMAR, the Regional Autonomous Corporation of Cauca CRC and the Ministry of Environment. Based upon the existing information on the proposed Project activities, the works will not be near the mangroves areas and should not have adverse environmental effects and impacts on these ecosystems. Also near the town of Guapi is the Sanquianga National Natural Park, which is part of the subsystem of marine protected areas of Colombia. None of the Project work will be in proximity to this National Natural Park.

Since the municipality of Tumaco does not have a sewerage collection network, the majority of homes use septic tanks or latrines which discharge wastewater into the soil. Wastewater from these systems contaminates the groundwater. Aquaseo has also identified contamination of the drinking water network as a result of seepage from septic tanks and latrines into leaky water supply pipes. Even in cases where groundwater is highly saline (the islands making up Tumaco are surrounded by ocean) and not used for human consumption, a risk to human health remains through the possibility of contamination of the drinking water network in both the areas of served by the existing network and the areas that will be served by the future network.

The project envisions the following measures to mitigate risks to public health: (i) the operator of the potable water system will carry out ongoing monitoring of drinking water quality in different network sectors, as well as measure residual chlorine, fecal coliforms, and other quality

indicators; (ii) once the new sewerage network is completed, inter-domiciliary connections will be constructed and the existing septic tanks and latrines will be closed; (iii) a diagnostic study will be carried out to identify the sectors of the municipality that are most effected by groundwater contamination and offer mitigation recommendations. The network will have pressure meters and access points to monitor water quality.

Residents of the Municipality of Guapi use rain and river water to cope with deficient potable water service. Wells and cisterns are not widely used for domestic consumption. The operator of the drinking water system has not reported contamination of the network, though the municipality will adopt the same mitigation measures as outlined above for Tumaco to reduce risks to human health.

In socioeconomic terms, the area of the Pacific Coast where both municipalities are located is characterized by high levels of poverty, violence, forced displacement and the government's inability to provide basic services to the population. Poverty is evident in the lack of infrastructure, health, education, employment and large informal economy. The historical presence of armed groups such as FARC and ELN and recent emergence of new organized gangs, among other illicit actors, fuel the drug trade, illegal mining and generate an environment of violence that has led to severe human rights violations. Tumaco in particular is one of the most affected coastal areas in the country; it hosts a significant amount of drug plantations and is simultaneously a city from which high numbers of people have been displaced while also being the third largest recipient of forcibly displaced people nation-wide.

The majority of the territory's population is afro-descendant, but there are minority indigenous populations in rural areas. The largest population groups are children and youth. The area has the highest poverty rate in the country at 65.9 percent compared to the national mean of 28.5 percent. It also has the highest extreme poverty rate in Colombia at 39.1 percent. Both municipalities lack reliable water and sanitation services, and in Guapi solid waste is disposed of in open-air locations and, on occasion, near houses or water bodies, contributing to environmental problems and posing a risk to public health. Intestinal parasitism is one of the main causes of doctor visits in Guapi and Tumaco and infant mortality rate is also much higher than the national average, with Tumaco's being twice the national infant mortality rate of Colombia. Both municipalities, particularly the island areas of Tumaco, show evidence of overpopulation and poor housing conditions, the most concerning of which is vulnerable, stilt houses located near or in water bodies. Both cities, in particular Tumaco, are exposed to risks of sea-level rise, earthquakes, tsunamis, and ensuing liquefaction. In spite of poverty levels and natural vulnerability, Tumaco remains Colombia's second largest port on the Pacific coast and an important entry point for commerce.

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

Carlos Alberto Molina Prieto (GSU04)

Carlos Vargas Bejarano (GEN04)

Robert H. Montgomery (GEN04)

## **II. Implementation**

### **Institutional and Implementation Arrangements**



The implementing Agency for the Project and the overall PTSP is the National Unit for Disaster Risk Management (Unidad Nacional de Gestion del Riesgo de Desastres-UNGRD). The UNGRD is a national level entity, which reports directly to the Presidency of the Republic, based in Bogotá, but with a decentralized operation. The UNGRD is also the implementing agency for several grants and loans that are a national priority, including the Program to Support Sustainable Development of San Andres (a US\$70 million loan financed by IDB approved in 2013). However, UNGRD is a relatively new organization with still limited experience with infrastructure operations financed by multilateral banks. The UNGRD has created a Project Implementing Unit (PIU) responsible for overall project implementation of both Inter-American Development Bank (IDB) and World Bank Plan PAZcifico projects including compliance with the banks environmental and social requirements. The PIU has established a proposed organizational chart and budget allocation, which include social and environmental staff.

The UNGRD, as PIU, currently has a project coordinator, senior engineer, financial specialist, a social lead, and communication specialist. The PIU coordinated the preparation of the safeguards instruments with the support of DNP technical team, MVCT, water operators, the Gerencia Pacifico. The MVCT and DNP staff assigned to this Project have prior experience with application of environmental and social safeguards, including those of the World Bank and IDB. The Korean Green Growth Trust Fund also provided support to the PIU with two consultants for the preparation of the documents, and the Bank social and environmental specialists provided guidance through this process.

The UNGRD is in the process of hiring a complete core team, which includes a lead environmental specialist, a lead water specialist, a lead procurement specialist, and a lead financial specialist. A covenant will be included in the legal agreement for the PIU to complete hiring of an adequate full team satisfactory to the Bank within 45 days of effectiveness. The PIU social and environmental teams will work in close collaboration with Gerencia Pacifico and an interagency technical committee (comprised of technical professionals from MVCT, DNP, Gerencia Pacifico, and representatives of the municipalities) to ensure coordination of the implementation of safeguards with municipal actors. The loan includes covenants to maintain the PIU and technical committee in manner acceptable to the Bank.

The PIU will also hire a construction supervisor (interventor integrado) in each municipality, who will be responsible for supervision of the application of the applicable social and environmental requirements by construction/works contractors.

The Project will include technical assistance and training to the PIU, municipalities, contractors and operators to further consolidate capacity in the application of social and environmental safeguards (project requirements). A kick off workshop, which includes safeguards activities, will be conducted with IDB and the World Bank at the start of project implementation. Bidding documents for works contractors and requests for proposals for the construction supervisor consultancies will include environmental and social provisions. The existing Ventanilla Unica (MVCT project approval process) includes mechanisms associated with social, resettlement, and environmental aspects in the proposed Project works.

The potable water and sanitation systems constructed under the Project must meet quality standards established by national regulations as well as applicable World Bank standards (WBG's Environmental, Health, and Safety (EHS) Guidelines). Annex 7 of the Project Appraisal Document

(PAD) and the EMF detail the environmental quality standards that apply to this project. The national government entities charged with monitoring of environmental standards include: (i) the Autonomous Regional Corporations of Cauca and Narino (CRC and CORPONARINO) for matters related to (a) wastewater discharge standards; (b) atmospheric emissions; and (c) solid waste management and disposal; (ii) the national Ministry of Health and departmental Secretariats of Health for potable water; and (iii) the Superintendence of Residential Public Services for the provision of water, sanitation, and solid waste services. The Autonomous Regional Corporations have offices in Guapi and Tumaco, as well as staff and laboratories to carry out their environmental regulatory functions. All laboratories employed for monitoring procedures must be accredited by the Colombian Institute of Hydrology, Meteorology and Environmental Studies (IDEAM) in accordance with national regulations. Supervision reports and monitoring results will be disclosed to the public in the PIU website as well as in the municipalities websites. Performance and water quality monitoring of the regional environmental authorities and the Superintendencia de Servicios Públicos Domiciliarios are available to the public upon request.

The UNGRD is responsible for ensuring the application of all safeguards policies through the project cycle. During the planning and design phase, several consultancies, financed with local and Bank funds, will prepare environmental and social assessments for each subproject, including EIAs and EMPs. The UNGRD with the support of the construction supervisor will review and approve the instruments. In addition, detailed designs of all the sub-projects will have to go through the MVCT Ventanilla Unica review process (a national requirement), which includes a check list for social, land acquisition, and environmental aspects in the proposed Project works. The UNGRD is responsible for the preparation of bidding documents and contracts, which includes environmental and social chapters. During construction, contractors will be responsible for the application of environmental and social measures, and the construction supervisors will be responsible for monitoring and ensuring compliance. The UNGRD will also conduct environmental supervision activities and generate monitoring reports. In addition, the technical committee will provide technical guidance to the UNGRD, and monitor overall project implementation.

The UNGRD has prepared a comprehensive Social Assessment to establish baseline social conditions in the urban cores of the municipalities of Guapi and Tumaco and document the complex way of life in Guapi and Tumaco, including considerations related to historical background, economic and sociocultural dynamics, demographics, education, health, housing, gender, and armed conflict. The instrument identifies potential social impacts of the proposed project and offers guidance on the application of these safeguards policies, including citizen participation, complaint mechanisms, and gender mainstreaming. While neither physical nor economic displacement of people is expected as a result of project activities, the Borrower prepared a Resettlement Policy Framework (RPF) in the unlikely event that resettlement becomes necessary. The Project also includes a Social Inclusion Plan (SIP) and an Information, Communication, and Participation Plan (ICPP) as described in the section below.

The draft social assessment was presented to national stakeholders and incorporates feedback received. Relevant social management instruments will be included in the bidding documents of consulting firms and contractors, and the PIU social team will oversee the implementation of these social strategies.

### **III. Safeguard Policies that might apply**

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	<p>The Project is classified as Environmental Category A due to the two solid waste landfills; although all these projects will result in significant environmental positive impacts. The remaining Project works (sub-projects) are considered to have relatively minor to moderate potential environmental impacts (non-significant) that can be mitigated with relatively standard mitigation measures.</p> <p>Technical design studies and site selection for all civil works in Guapi, as well as the sanitation and solid waste disposal and some waterworks interventions in Tumaco will not be completed during project preparation. As such, the UNGRD prepared an EMF for these works. The EMF includes: (i) baseline data; (ii) policy, legal, and institutional framework; (iii) analysis of alternatives and identification of environmental impacts; (iv) an environmental screening framework; (v) environmental management measures; and (vi) measures for control and supervision of sub-projects by the PIU. The EMF annexes detail the procedures for complying with environmental safeguards throughout the implementation of the Project, including the eventual preparation of Environmental and Social Impact Assessments (ESIA), applicable for two municipal waste sub-projects (landfills), and other Environmental Management Plans for the other sub-projects instruments. The ESIA for the two landfill sub-projects will comply with OP/BP 4.01 requirements for Category A projects, be based upon the final designs to be developed by pending technical studies (e.g., waste management plan) and will include analysis for alternative locations and/or designs, environmental management plan, and stakeholder participation (information disclosure and stakeholder consultation). The EMF also enumerates the environmental instruments that require a no objection from the Bank. Tables 4 and 5 present a summary of environmental instruments for specific sub-projects. In accordance with the EMF, in Guapi, EMCASERVICIOS, the departmental water company, is undertaking feasibility studies to define a cost effective solid waste management solution that is socially and environmentally viable, taking into consideration water demand management, appropriate technology, and land availability. In Tumaco, the MVCT is undertaking a wastewater master plan and solid waste management studies.</p> <p>An EMP was prepared for completed detailed designs for six waterworks activities in Tumaco. The sub-projects include (i) construction of 5.5 km of a 20-inch raw water main; (ii)</p>

	<p>construction of 2.5 km of a 20-inch raw water main to replace the existing water main from the water intake structure to the water treatment plant; (iii) improvements to the existing potable water treatment plant; (iv) construction of main distribution system for the Zona Continental; (v) construction of distribution networks for the Zona Continental Phase I; and (vi) construction of distribution networks for the Zona Continental Phase II. These works are non-significant impacts. The UNGRD has disclosed the EMP and performed consultations of the EMP.</p> <p>The EMF/EMP identified potential environmental risks during the construction phase, such as disruptions to traffic and noise associated with construction machinery and activities; possible impacts on water bodies associated to earthworks and wastewater generated from construction activities; emissions of particulate matter by earthworks and removal of vegetation cover; community resistant from land acquisition and installation of water metering. The impacts during construction phase will be temporary while works are carried out. During the operation phase, the potential risks include unpleasant odors and noise from the operation of sanitation facilities; inadequate sludge management and wastewater effluent discharges; possible impacts on surface and/or ground water due to leachate generation and waste disposal on the ground; possible ground water or aquifer contamination due to failure of landfill liner system; and possible social conflicts from potential tariff increase and volumetric billing and existing waste pickers in Tumaco. All Project adverse impacts are expected to be managed with known technology, good practices and management solutions. The wastewater facilities are relatively small with a 0.13 m<sup>3</sup>/s design flow for Tumaco and a 0.05 m<sup>3</sup>/s design flow for Guapi. Furthermore, national and regional environmental institutions and regulations provide assurance for the compliance of environmental measures identified for the Project. Related to existing asbestos cement water supply pipes, no new pipes purchased will contain asbestos, as per current legislation. The Project expects a generation of about 5 m<sup>3</sup> of asbestos cement waste from pipe handling in the water intake structure and drinking water plant in Tumaco. Therefore, the EMF (annex) and the subsequent sub-project EMP include management measures for the removal, packaging, transportation and disposal of existing asbestos waste.</p> <p>The closure of the existing Buchelly landfill (Tumaco) and the Temuey Landfill (Guapi) are neither included in the Project</p>
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	<p>nor are they considered associated activities.</p> <p>Guapi and Tumaco are considered small towns and, are located in somewhat isolated areas where large-scale manufacturing and agricultural industries are not present. The Project only expects management of municipal waste and not hazardous waste. Municipal solid waste production in Tumaco is estimated at 72 tons/day and in Guapi 8.5 tons/day. Nevertheless, the Colombian solid waste regulation (Decree 4741 of 2005) prohibits the introduction of hazardous waste in municipal solid waste landfills and only allows the management of hazardous waste to specialized and certified operators. The EMP and EMF include measures and guidelines to manage hazardous waste, including a list of specialized and certified companies, in particular if required during the construction phase.</p> <p>Complete drafts of the EMF and EMP have been disclosed on the World Bank's external website and were published on the UNGRD's website on February 2 and May 5, 2016, respectively. The UNGRD held meetings to present the draft EMF to national authorities in December 2015, to local and regional authorities in January 2016. The UNGRD conducted similar meetings to share the environmental instruments with civil society and the private sector in Guapi and Tumaco in March 2016. The final version of the instruments incorporates feedback from consultation meetings. A workshop to present and gather stakeholder feedback on the EMP the six waterworks sub-projects were conducted in Tumaco in July 2016; the document was subsequently updated to incorporate feedback.</p> <p>Water quality standards will follow the WBG's EHS Guidelines. Supervision reports and monitoring results will be disclosed to the public in the PIU website as well as in the municipalities websites.</p> <p>Social Aspects</p> <p>The UNGRD conducted a social assessment to establish baseline social conditions in the urban cores of the municipalities of Guapi and Tumaco. The instrument identifies potential social impacts of the proposed project and offers guidance on the application of these safeguards policies, including citizen participation, complaint mechanisms, and gender mainstreaming. The complete draft social assessment incorporates stakeholder feedback received and was disclosed</p>
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		<p>on the UNGRD website on February 15, 2016 and the final version was disclosed on August 22, 2016. A revised version was disclosed on October 13, 2016. The UNGRD has put the following measures in place based on the findings in the social assessment:</p> <p>The project would finance the implementation of a Social Inclusion Plan for the informal waste pickers that might be attracted to the new landfill. Said social inclusion plan can also be used by the Borrower for informal waste pickers at existing landfills, even though those landfills are not part of the Project. The social inclusion plan entails an assessment of the population involved in recycling activities, analyzes alternatives for performing permitted economic activities under Colombian law, and includes the improvement of the labor, health, and security conditions of informal recyclers.</p> <p>The UNGRD prepared an ICPP to promote sustained engagement between the community, the municipal governments, and implementing agency over the course of project preparation and implementation. The plan addresses issues identified in the social assessment, including low levels of citizen trust in government institutions owing to a lengthy history of inadequate responses to social and economic challenges in both municipalities. This plan has been shared with stakeholders and the final version was disclosed on the UNGRD website on February 15, 2016.</p>
Natural Habitats OP/ BP 4.04	Yes	<p>While no significant negative impacts on natural habitats, including in particular mangroves, are anticipated by project works, this policy is triggered given the types of works and the potential locations and associated environmental conditions.</p> <p>National environmental regulations restrict infrastructure works in protected areas. Regional autonomous corporations (CARs) will verify that the construction and operation of potable water and sanitation infrastructure does not unduly impact protected areas or sensitive ecosystems (based on decree number 1076 of 2015). Additionally, the Environmental Management Framework includes an annex that establishes environmental criteria for the location of civil works and clearly outlines relevant restrictions. Regional autonomous corporations (CARs) also verify compliance with wastewater discharge permits as well as proposed sites and impacts of sewerage systems and wastewater treatment plants.</p> <p>The exact location of the sanitary landfills of Guapi and Tumaco remains to be defined, though the available</p>

		information indicates that they will be outside urban environments per Colombian regulation.
Forests OP/BP 4.36	Yes	<p>The policy is triggered because mangrove forests are present in Guapi and Tumaco. However, the design of the project will be made in such a way to prevent any adverse impacts on the mangrove or any other forests through proper site selection.</p> <p>Decree number 1076of 2015 restricts the construction of infrastructure works in protected areas or sensitive ecosystems. The Environmental Management Framework includes an annex that establishes environmental criteria for the location of civil works and clearly outlines relevant restrictions.</p> <p>The environmental assessment and management will be part of instruments developed under OP/BP 4.01.</p>
Pest Management OP 4.09	No	This safeguard will not be triggered as no pesticides will be used and the Project will not lead to increased/changed use of pesticides.
Physical Cultural Resources OP/BP 4.11	Yes	<p>This safeguard is only triggered in a preventive manner. Based on a preliminary assessment it is unlikely that physical cultural resources would be found in the areas directly affected by the Project sub-projects. In the case of the six waterworks sub-projects in Tumaco, all works will take place along existing roadways in urban areas.</p> <p>As a precaution, the EMF includes measures for chance finds. As part of the EIAs Guapi and Tumaco, an Archaeology Program Preventive and a Plan of Archaeological Management (Decree 1185 of 2008) must be submitted to the ICANH (governmental authority) for approval. The purpose of this program is to assess the expected levels of involvement on the archaeological heritage by the construction and operation of the works, as well as develop and implement management measures that may be required for the Archaeological Management Plan.</p>
Indigenous Peoples OP/BP 4.10	No	This safeguard will not be triggered as the Project will only be implemented in urban areas of the municipalities and screening conducted by the team confirmed that there are no indigenous peoples present in the Project area. No impact on Indigenous Peoples is expected as per the social assessment conducted for the project.
Involuntary Resettlement OP/BP 4.12	Yes	The main activity relevant to this safeguard is the construction of water and sanitation works in the two municipalities. Although the Project has not identified concrete land acquisition at the moment, this safeguard is triggered taking into consideration the future possibility of land requirements

		<p>for the location and construction of pumping stations and other infrastructure. A Resettlement Policy Framework for both municipalities has been developed as a precaution.</p> <p>The UNGRD held meetings to present the Resettlement Policy Framework to national authorities in December 2015 and to local authorities in January 2016. The UNGRD held workshops to present the RPF in the municipalities of Tumaco and Guapi on February 18 and March 3, 2016, and share the scope of the proposed Project with beneficiaries, civil society, and other interested parties. Communities were very supportive of the proposed Project. The complete draft framework has been consulted, and a final version was published on the UNGRD website on February 15, 2016. A revised version has been disclosed on October 13, 2016.</p>
Safety of Dams OP/ BP 4.37	No	The Project will neither support the construction or rehabilitation of dams nor will it support other investments which rely on the performance of existing dams.
Projects on International Waterways OP/BP 7.50	Yes	<p>As per paragraph 1(a) of OP 7.50, the Project triggers OP 7.50 since activities described in Component 2 (Tumaco) involve the Mira River that flows through Ecuador and Colombia. The Project will be implemented within Colombia in a section of the river that is about 55 km downstream of the Ecuador boundary.</p> <p>The existing Tumaco water supply system extracts raw water from the Mira River through an intake structure constructed in 2012. The intake structure has an installed capacity of 350 l/s to meet the projected 2023 water demand and has physical capacity to expand to 550 l/s to meet the projected 2041 water demand. The Municipality of Tumaco has a water withdrawal authorization for the Mira River of 550 l/s to take into account future demands.</p> <p>The River Mira watershed receives a high average annual rainfall of approximately 4,000 mm, typical of the Pacific Region. The Mira River is considered a large river with an annual average capacity 870 m<sup>3</sup>/s, with a maximum of 1,105 m<sup>3</sup>/s and a minimum of 534 m<sup>3</sup>/s, close to the intake structure. The withdrawal of 350 l/s in the Mira River represents about 0.07 percent of the river minimum flow during dry weather.</p> <p>As the water supply works in Tumaco involve additions and alterations to an ongoing water scheme that (i) will not adversely change the quality or quantity of the water flows to the other riparians; and (ii) will not be adversely affected by the other riparians' possible water use, the proposed Project falls within the exception set forth in paragraph 7(a) of OP</p>



		<p>7.50, which was approved by the RVP.</p> <p>The works to be financed are located on the furthest downstream part of the river; and as a result, the proposed works will not adversely change the quality or quantity of the river section in Ecuador. Furthermore, the Project will not increase water withdrawal from what it is currently designed and permitted. Works will not be adversely affected by Ecuador's possible water use because of high rainfall in the area and large river flows in the Mira River. The water works are considered minor additions or alterations to the ongoing scheme to improve coverage, efficiency and service quality.</p> <p>According to national regulations, withdrawal permit is maintained because estimated withdrawal will not increase. In addition, the proposed works do not require notification to Ecuador according to international water regulation in Colombia.</p> <p>The Project also seeks to finance the construction of a new wastewater system for the collection, treatment, and disposal of wastewater generated in the urban perimeter of Tumaco. The wastewater treatment plant (average flow of 0.13 m<sup>3</sup>/s) will discharge treated wastewater into the Pacific Ocean and/or in tidal channels between the continental area and the Pacific Ocean. Discharging treated effluent in the Mira River is not a feasible option due to high cost of the conveyance system (sewer mains and pumping stations). As such, there is no concern that the project may lead to the potential pollution of any international waterways. The wastewater treatment plant will need to comply with water quality standards and effluent regulations set by the Environmental Authority and the WBG's EHS Guidelines.</p>
Projects in Disputed Areas OP/BP 7.60	No	The Project will not finance activities in disputed areas as defined in the policy.

#### IV. 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 proposed Project is designed to generate positive long term impacts for the Municipalities of Guapi and Tumaco. The water and sanitation works that will be built in the municipalities of Tumaco and Guapi will bring important benefits for public health, economic growth, and the territory's environmental sustainability primarily through: (i) the elimination of latrines and septic pits that contaminate surface water, groundwater sources and drinking water networks, (ii) by eliminating the discharge of untreated municipal wastewaters to surface water sources and beaches, (iii) increasing coverage and improving quality of drinking water systems, and (iv)</p>

assisting in eliminating the practice of burying garbage in urban areas and public roadways.

There are no anticipated large scale, significant or irreversible negative environmental impacts associated with the project.

**2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:**

As indicated above, the long term environmental impact of the Project is expected to be positive. Future risks depend in large part on adequate operation of the WSBS facilities. To that end, the Project also include capacity building and institutional strengthening of service operators in Guapi and Tumaco, as described in Component 3, and Component 1 also includes knowledge transferring from the contractor to the service provider (operators) and delivering of operating manuals. The Project also include analytical studies on stormwater management, non-revenue water and demand management, and on-site sludge management to improve operations and better plan for future solutions.

Future land use changes or growth of the urban footprint, including migration dynamics or economic activity driven by the peace process, could change the demands on the WSBS infrastructure to be financed. Such developments are beyond the scope of this project, though have been taken into account in the preparation of strategic planning instruments by Municipal and Departmental authorities. In particular, Tumaco's land use plan includes the Nuevo Tumaco sector as an area of growth due to its low disaster risk profile. Tumaco's drinking water infrastructure program includes works in this area, and the wastewater master plan is also considering Nuevo Tumaco as a potential area of growth. The Project is financing some waterworks in Nuevo Tumaco to support water services in this area.

**3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.**

Alternatives to the proposed Project were considered at both the strategic level and are underway at the specific investment level for technical solutions and sites for solid waste disposal and wastewater treatment is underway, though will not be completed before Project appraisal. These technical studies include evaluation of alternatives. The EMF outlines the range of environmental studies to be conducted for the Project, including analysis of alternatives as part of the EIA for the two landfill sub-projects. The EMF includes guidelines for the preparation of alternative site analysis based on Colombian environmental norms and Bank safeguards procedures with additional criteria for each municipality.

For the case of Guapi, the government is preparing an analysis of alternatives to define solid waste management systems for the Municipality. Based on the results from the consultancy to date, potential technical solutions include a Sorting and Recycling Facility, a sanitary landfill, or a combination of the two. The EMF provides a list of environmental instruments for both approaches.

With regard to the selection of the site for the future Tumaco landfill, the Municipal administration began a series of studies dating from 2009 to locate an adequate site in accordance with the existing municipal land use master plan. Nevertheless, the selection process has not yet located an adequate site. The Municipality is currently preparing an updated study based on the existing analysis from 2009 and evolving land use patterns that will serve as the basis for site selection for the landfill that would be financed by the proposed Project. This study will be consulted with local stakeholders and subject to the no objection of the Bank.

**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.**

As indicated in Section B, the UNGRD, as PIU, with support of other national technical agencies and consultants has prepared an EMF that provides guidance on a range of activities that can generate environmental and social impacts during the construction phase, including removal of vegetation; demotion and excavation; excavation of contaminated solid waste; construction materials; groundwater usage; construction staging areas; and special procedures for activities in stilt house areas. The operational and maintenance phase implies a distinct set of potential social and environmental impacts. The EMF identifies potential risks and mitigation techniques to incorporate at the design stage, including buffers zones around drinking water and wastewater treatment plants to lessen the impact of noise and odors, as well as the selection of technologies and equipment. The PIU also led the preparation of other social and environmental instruments, including the EMP for six waterworks activities in Tumaco, the RFP, SIP and ICPP.

As indicated in Section B, the UNGRD will be responsible for ensuring the application of all social and environmental safeguards policies with the support of the contract supervisor for each municipality, guidance of the technical committee, and coordination support from Gerencia Pacifico. All bidding documents and contracts for works, goods and consulting services financed by the Project will incorporate environmental and social requirements, including, inter alia, compliance with environmental and social management plans; construction health and safety; required environmental licenses and authorizations from Regional Environmental Authorities (CARs); and the preparation of environmental performance reports. Environmental monitoring will include (i) environmental monitoring and reporting by construction contractor, (ii) environmental supervision of construction works by independent consultants, and (iii) supervision by UNGRD environmental staff.

Section B of this document and Chapter 7 of the EMF indicate the roles and responsibilities of the different entities for monitoring, tracking and monitoring of the environmental and social aspects of the Project. These arrangements have been assessed to be adequate for compliance with Bank and Colombian norms. To further strengthen capacities, the Project will provide technical assistance for the PIU, municipalities, contractors and operators, and the Bank will closely supervise the application of safeguards policies.

**5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.**

Key stakeholders include residents of the urban cores of the Municipalities of Guapi and Tumaco, where the proposed Project will finance investments, and relevant local, departmental, and national level authorities who are responsible for crafting and implementing government policy in these areas.

The UNGRD began the consultation process with key stakeholders for the Environmental Management Framework, sub-project Environmental Management Plans, and social instruments—social assessment, RPF, SIP, and ICPP—developed for the proposed Project in late 2015, and the process has informed the development and finalization of these documents.

The first round of consultation on the draft EMF and EMP took place in Bogota on December 17, 2015 and included the following national level participants:

- Ministry of Environment and Sustainable Development
- Ministry of Housing, City, and Territory

- National Planning Department

Based on the feedback from the consultations, language regarding the preparation of terms of reference for the EIAs to be prepared for the landfills was updated to reflect guidance from the Ministry of Environment and Development. The consultation meeting also discussed the analysis of site selection study, which is no longer a requirement under Colombian norms, though will be conducted in compliance with Bank norms for Category A projects. During the consultations no other significant observations were voiced concerning the draft instruments, and the instruments were considered adequate by the authorities present.

At the municipal level in Tumaco, a workshop covering the draft EMF was carried out on January 19, 2016, and subsequent workshop was held on July 18, 2016, to cover the draft EMF, that included participants from the Mayor's Office, Office of City Planning, Aguas de Tumaco (public service entity), Aquaseo (specialized operator), CORPONARINO (environmental authority), and Departmental Government of Nariño.

Similar consultations were undertaken in Guapi for the EMF on January 18, 2016 that included participants from the Mayor's Office, Office of City Planning, EMCASERVICIOS, Corporación Regional de Cauca (environmental authority), and the Departmental Government of Cauca.

The mayors of both Municipalities, inaugurated in January 2016, expressed strong support for the Project. The main topics raised by the community and by local authorities during the municipal level consultations related to the scope of the works to be carried out and the supervision thereof.

The UNGRD, with support from mayors, held public consultation meetings in February and March 2016 in Tumaco and Guapi, respectively, to elicit feedback on the draft EMF that included participants from the Mayor's Office, community members, civil society, public sector employees, non-governmental organizations, and the private sector.

Local residents and key stakeholders were similarly supportive of the Project and indicated that they hoped to see the timely completion of the works, particularly in light of a perception that previous public works projects have been promised but not delivered. The government expressed a high level of commitment to complete the WSBS works in both municipalities, and that the UNGRD would actively monitor progress in coordination with the construction supervisor (interventor integrado).

The Government will make hard copies of relevant safeguards documents available at an accessible location for project affected people.

As per Pelosi Amendment requirements, all draft safeguards instruments were disclosed in-country and on the Bank's external website at least 120 days before Board date. An English-language Executive Summary of the Environmental Management Framework and Social Safeguards Instruments was submitted to the World Bank's Board of Directors on May 10, 2016.

The final versions of the instruments (EMF, etc.) incorporate feedback from consultation meetings. All social and environmental instruments, as well as reports from the consultations, have been made available on the UNGRD website: <http://repositorio.gestiondelriesgo.gov.co/handle/20.500.11762/20013>.

**B. Disclosure Requirements**

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	12-Jan-2016
Date of submission to InfoShop	07-May-2016
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	10-May-2016
<b>"In country" Disclosure</b>	
Colombia	02-Feb-2016
<i>Comments:</i> The complete draft EMF was disclosed on the UNGDR website on February 2, 2016. A final version was published on September 2, 2016 and a revised version with minor modifications was published in country and on WB external website on October 13, 2016.	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	12-Jan-2016
Date of submission to InfoShop	29-Apr-2016
<b>"In country" Disclosure</b>	
Colombia	15-Feb-2016
<i>Comments:</i> The complete draft Resettlement Policy Framework was disclosed on the UNGRD website on February 15, 2016. Final version was published on August 19, 2016; revised version was published in country and on WB external website on October 13, 2016.	
<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>	
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	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]

degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	
<b>OP/BP 4.11 - Physical Cultural Resources</b>	
Does the EA include adequate measures related to cultural property?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input 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"/> ]
Is physical displacement/relocation expected?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] TBD [ <input checked="" type="checkbox"/> ]
Provided estimated number of people to be affected	
Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] TBD [ <input checked="" type="checkbox"/> ]
Provided estimated number of people to be affected	
<b>OP/BP 4.36 - Forests</b>	
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
Does the project design include satisfactory measures to overcome these constraints?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [ <input type="checkbox"/> ] No [ <input checked="" type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>OP 7.50 - Projects on International Waterways</b>	
Have the other riparians been notified of the project?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Has the RVP approved such an exception?	Yes [ <input 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"/> ]

## V. Contact point

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## VII. Approval

Task Team Leader(s):	Name: Carmen Rosa Yee-Batista, Victor Vazquez Alvarez, Antonio Manuel Rodriguez Serrano	
<b>Approved By</b>		
Safeguards Advisor:	Name: Agnes I. Kiss (SA)	Date: 18-Oct-2016
Practice Manager/ Manager:	Name: Rita E. Cestti (PMGR)	Date: 29-Nov-2016
Country Director:	Name: Jutta Ursula Kern (CD)	Date: 31-Jan-2017