

# INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

**Report No.:** ISDSC6252

**Date ISDS Prepared/Updated:** 28-Jan-2014

**Date ISDS Approved/Disclosed:** 03-Feb-2014

## I. BASIC INFORMATION

### A. Basic Project Data

<b>Country:</b>	Ecuador	<b>Project ID:</b>	P147280
<b>Project Name:</b>	EC Ibarra Transport Infrastructure Improvement Project (P147280)		
<b>Task Team Leader:</b>	Anna R. Okola		
<b>Estimated Appraisal Date:</b>	20-Mar-2014	<b>Estimated Board Date:</b>	29-May-2014
<b>Managing Unit:</b>	LCSTR	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	General transportation sector (50%), Urban Transport (50%)		
<b>Theme(s):</b>	City-wide Infrastructure and Service Delivery (80%), Other urban development (20%)		
<b>Financing (In USD Million)</b>			
<b>Total Project Cost:</b>	20.00	<b>Total Bank Financing:</b>	15.00
<b>Financing Gap:</b>	0.00		
<b>Financing Source</b>			<b>Amount</b>
Borrower			5.00
International Bank for Reconstruction and Development			15.00
Total			20.00
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

### B. Project Objectives

9. The proposed Project Development Objective (PDO) is to improve accessibility in the Municipality of Ibarra and enhance mobility within its recreational and touristic urban spaces.

### C. Project Description

The proposed project would achieve the above mentioned objective through the implementation of four components:

Component 1: Municipal road infrastructure improvement (IBRD \$7.5 million, local US\$2.5million). This component will support infrastructure investments including: (i) labor intensive brick paving works; (ii) capacity expansion asphalt road improvement works; and (iii) associated works supervision. The brick paving works will take place within the existing right of way. The second sub-component consists of the widening of a major access roadway linking to Yahuarcocha to add capacity (two lane to four lane) and alleviate congestion.

Component 2: Neighborhood improvement (IBRD \$2.5 million, local US\$0.75million). This component aimed to improve public spaces, will support construction and restoration of infrastructure to support sustainable tourism including the provision of sidewalks, footpaths, cycle infrastructure, as well as enhancing streetscapes, urban environment, green spaces and installation of urban community equipment to promote social interactions and potentially increase economic activities.

Component 3: Bridge construction (IBRD \$4.5 million, local US\$1.25million). This component will support the rehabilitation of community bridges to improve vehicular (and non-motorized) access to isolated indigenous communities in the peri-urban parishes of Ibarra. The component also includes the two-lane to four lane capacity expansion of the Tahuando Bridge that links to the access road to the Yahuarcocha Lagoon. This component will also seek to incorporate measures to enhance resilience and mitigate the risks of flooding in the future, as some of the bridges were destroyed by flooding in 2010.

Component 4: Technical assistance (IBRD US\$0.5 million, local US\$0.5million). This component will provide technical assistance to support units in the Municipality of Ibarra responsible for mobility, public works, traffic, and urban planning. The activities will be focused to strengthen institutional capacity for road asset management, transport planning with a focus on strategies to improve urban mobility, cycle inclusive planning, and the citizen-municipality interface and engagement on these topics, as well as community participation to support and promote sustainable tourism. During preparation, the team will explore opportunities to incorporate resilience to natural disasters and climate change as well as gender aspects in the project scope and activities, and possibility of leveraging additional grant resources.

This component will also finance targeted incremental costs associated with overall project management, such as project-related audits, monitoring and evaluation, environmental and social management, beneficiary assessments, feedback mechanisms, public communications campaign on sustainable waste management (lake contamination) and use of cycling as active (sustainable, green, healthy) mode of transport.

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

The Project is located in the Municipality of Ibarra. Project activities under different components will take place in various locations in the municipality, primarily in urban (such as Ibarra city) and semi-urban areas, with the exception of bridge works which are in more rural areas. The city of Ibarra (pop. 182,000 in 2010, 18% of which is Indigenous and Afro-Ecuadorian; with 77% of the total population in urban areas and 23% in rural parishes) is a medium-sized fast growing mountain city with agriculture, service industry, and tourism as its main economic activities. One of the sub-projects will involve works near the Laguna de Yahuarcocha, which is a sensitive environmental and tourist area. Some of component 2 works will involve community resources such as parks. The

bridge works are mostly in non-urban areas near the inactive volcano Imbabura, with the exception of one bridge in a more semi-urban area over the Rio Tahuando (Puente Los Molinos). The proposed works are reportedly not in any environmental protected areas.

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

The Municipality of Ibarra, specifically the General Administration (GA) is responsible for overall project preparation and implementation of the project. The GA will coordinate across other units responsible for technical aspects (Planning, Public Works, Mobility, Community Participation, Environmental, Tourism, Fiduciary). The works components are overseen by the Public Works Department, while project design is overseen by the Planning Department to ensure linkages to overall municipal development strategy. The Environmental unit will support the GA related to environmental aspects. Community engagement is overseen by the Citizen Participation Department, who are responsible for community relations and outreach, including engagement with women and indigenous persons. Responsibility for land acquisition lies with the Valuation and Cadaster, Planning and Development, Legal and relevant technical department (e.g. Public Works and Transit / Tourism Planning and Development).

The Municipality has not previously implemented a WB financed project thus does not have direct experience with bank safeguard policies. However, the municipality does have experience related to environmental and social management of civil works, including development of environmental assessments and environmental permitting.

During project preparation, a more thorough review of institutional capacity of the relevant units (in particular Environmental and Public Works) to manage environmental aspects will be performed, and as needed, specific actions developed and included in the project Environmental and Social Management Framework and/or in project component 4.

The citizens participation department has significant experience in community outreach and engagement, and a deep knowledge of the communities that will benefit from this project. They are well placed to work on the preparation, consultation and implementation of the indigenous peoples plans and a wider consultation-communication process. The Planning and Development, as well as the Valuation and Cadaster Department have experience in completing expropriation using the existing legal framework and negotiating the relocation of vendors. This experience mostly relates to the Autonomous Local Government Law (COOTAD), which includes procedures for expropriation that on the one hand guarantees a just price for expropriated properties, but which also has some important differences with the Bank's Involuntary Resettlement Policy. Given that the municipality does not have direct experience in applying the Bank's social safeguards, timely technical assistance will be necessary during preparation and the early stages of implementation.

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

Jose Vicente Zevallos (LCSSO)

Martin Henry Lenihan (LCSSO)

Claudio Luis Daniele (LCSTR)

Robert H. Montgomery (LCSN)

Miguel Sarabia (LCCEC)

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

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/ BP 4.01	Yes	<p>The project team proposes an environmental category of B per OP/BP 4.01, as some of the sub-projects in components 1,2 and 3 involve relatively standard works with no significant long-term environmental or social negative impacts and that can be readily prevented or mitigated with standard measures.</p> <p>An Environment Impact Assessment (EIA) is being prepared for the widening of the Yahuarcocha access roadway (part of Component 1) and expansion of the Tahuando bridge (part of Component 3) to assess the potential environmental and social impacts. The EIA will be consulted with the public and submitted for approved by the Ministry of Environment. The EIA includes an Environmental Management Plan (EMP). The EMP and its implementation will be subject to an environmental audit by a third party, as part of the Environmental License issued by the Ministry of Environment.</p> <p>The other sub-projects under components 1, 2and 3 will develop an Environmental Assessment (Ficha Ambiental) and an Environmental Management Plan (EMP) for submission to the Ministry of Environment for review and approval. The works include: brick paving of approximately 17 km of existing roads (component 1); improvements in public spaces in the area of San Antonio and in the Boulevard of Laguna Yahuarcocha brick (component 2); and rehabilitation/construction of 5 small community bridges to improve vehicular (and non-motorized) access to isolated indigenous communities in the peri-urban parishes of Ibarra.</p> <p>All project works/components will be developed and implemented according to Ecuadorian environmental law (e.g., obtaining environmental license, etc.). Appropriate information disclosure and consultation (including disclosure of EIA and EMPs) will be performed. In addition, other actions as deemed</p>

		appropriate will be implemented (e.g., environmental clauses for construction contracts, supervision by municipality, use of independent environmental supervisors for some works, etc.).
Natural Habitats OP/BP 4.04	Yes	<p>There are no environmental protected areas in the direct area of influence of the proposed project works and the project will not result in any significant conversion or degradation of critical natural habitats. Part of Component 1 and 2 works will be near the Yahuarcocha lagoon, which is a sensitive ecosystem. However the works will likely not result in any direct or indirect significant impacts on the lagoon since the works are relatively minor and will be carried out in areas already affected. The lagoon is located approximately 600 to 700 m from the Boulevard, and is separated by an area of agriculture, residential and tourist use. The EIA and EMP will provide an assessment and mitigation of potential environmental impacts. The EIA will also specifically assess the potential indirect impacts that could occur due to the proposed project, such as those caused by increased traffic and increased tourism in the project's area of influence.</p> <p>During some of the works, it may be necessary that a few isolated trees located in the new bridge area or the widening of the access roadway linking to Yahuarcocha will be removed and new ones planted. Given the types of works and planned locations, this policy will be triggered and the assessment and mitigation of any potential impacts will be managed by the EIA developed under OP/BP 4.01. The relevant EMPs will include the appropriate measures to mitigate the impacts, including long term potential impacts due to the increased activity in this area.</p>
Forests OP/BP 4.36	No	There are no forests, as defined under OP/BP 4.36, in the project area. Nevertheless, any potential impacts on forest habitats will be evaluated as part of the EIA which will include screening mechanisms.
Pest Management OP 4.09	No	The project will not involve the purchase or use of any significant quantities of pesticides.

Physical Cultural Resources OP/ BP 4.11	Yes	<p>Component 2 will support construction and restoration of infrastructure for community use and cultural heritage preservation, in the area of San Antonio and the Boulevard by Yahuarcocha lagoon. The National Institute of Cultural Heritage declared the Yahuarcocha Laguna as the third sacred lake of the country. The lagoon and its surrounding area have been heavily modified, being a major attraction of tourism, sports and recreation, residential and agricultural use. The area is reportedly visited by more than 20,000 people per month. There are some existing environmental problems with the lagoon, including water pollution (eutrophication). Works (to more than 600 m of the lagoon) are made on a wide Avenue in an already fully modified environment. However, no significant or long-term negative impacts are expected on the cultural heritage in Ibarra or of the lagoon. Regardless, this policy will be triggered for precautionary measures, and as required, applicable measures included in the EIA (see OP/BP 4.01) which will include specific screening provisions for evaluating potential impacts on cultural resources and provide specific guidance on chance finds procedures.</p> <p>The project-related EIA/EA for works near the Yahuarcocha lagoon will assess potential impacts and the relevant EMPs include appropriate mitigation measures.</p>
Indigenous Peoples OP/BP 4.10	Yes	<p>Ibarra is a multicultural Canton with indigenous and afro-descendent people, which account for 18% of the population. According to the 2001 Census, 9% of the population is indigenous. The four major indigenous groups in Ibarra include the Karanki, Imbaya, and Natabuela, who mostly speak Kichwi, as well as the Awá, whose language is Awapít. These communities will need to be actively engaged in planning culturally appropriate improvements to connectivity and public spaces to be financed under the project. Investments that will be especially relevant to indigenous people include the bridges financed under Component 3, and culturally important public spaces under</p>

		Component 2. Given that the location of activities will be known prior to appraisal, site specific social assessments and indigenous peoples plans will be prepared, in particular for the bridges under Component 3. The overall project engagement, consultation and participation strategy, will accommodate different sub-populations within the urban contexts, being sensitive to the needs of women and indigenous communities in those areas.
Involuntary Resettlement OP/BP 4.12	Yes	This policy is triggered because one of the activities in Component 1 includes widening of a major access roadway, the two-lane to four lane capacity expansion of the Tahuando Bridge, as well as the acquisition of other small parcels of rural land under Component2, and the possibility of the temporary displacement of vendors from public spaces under Component 3. Given that the location of activities will be known prior to appraisal, site specific resettlement plans will be prepared
Safety of Dams OP/BP 4.37	No	The Project will not support the construction or rehabilitation of dams nor will support other investments which rely on the services of existing dams.
Projects on International Waterways OP/BP 7.50	No	Project activities will not affect international waterways.
Projects in Disputed Areas OP/BP 7.60	No	The Project will not be implemented in areas known to involve disputed areas.

### III. SAFEGUARD PREPARATION PLAN

**A. Tentative target date for preparing the PAD Stage ISDS:** 20-Mar-2014

**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:**

An Environmental Impact Assessment (EIA) and Environmental Assessment/Environmental Management Plans will be developed for the relevant sub-projects prior to appraisal of the Project. During project preparation, a review of institutional capacity to manage environmental aspects will be performed, and as needed, specific actions developed and included in the project operations manual and/or in project component 4.

The project will require the preparation of resettlement and indigenous people's plans over the coming months. Work is commencing on these instruments, and with timely technical assistance, these should be finalized in time for appraisal by the beginning of March. During implementation the task team will continue to provide timely support to the client on the execution of these plans, and the incorporation of the principles of both social safeguards into technical assistance delivered

<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.

under Component 4, especially those TA activities related to urban planning, transport planning and sustainable tourism.

#### IV. APPROVALS

Task Team Leader:	Name: Anna R. Okola	
<b><i>Approved By:</i></b>		
Regional Safeguards Coordinator:	Name: Glenn S. Morgan (RSA)	Date: 03-Feb-2014
Sector Manager:	Name: Aurelio Menendez (SM)	Date: 03-Feb-2014