

INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

Report No.: ISDSC3090

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I. BASIC INFORMATION

A. Basic Project Data

Country:	Philippines	Project ID:	P145391
Project Name:	Studies for Sustainable Flood Mgmt. (P145391)		
Task Team Leader:	Joop Stoutjesdijk		
Estimated Appraisal Date:	15-Apr-2014	Estimated Board Date:	31-Dec-2015
Managing Unit:	EASPS	Lending Instrument:	Specific Investment Loan
Sector(s):	Flood protection (100%)		
Theme(s):	Water resource management (70%), Natural disaster management (30%)		
Financing (In USD Million)			
Total Project Cost:	7.00	Total Bank Financing:	0.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			0.00
Philippines - Free-standing Trust Fund Program			7.00
Total			7.00
Environmental Category:	A - Full Assessment		
Is this a Repeater project?	No		

B. Project Objectives

The proposed development objective is to prepare priority projects that aim to improve flood management and resilience in the Greater Metro Manila Area.

C. Project Description

The Post Disaster Needs Assessment (PDNA) carried out late 2009 after Ondoy recommended that a comprehensive update of the 1990 master plan be prepared that would propose a comprehensive flood risk management plan and determine an updated set of priority structural and non-structural

measures to provide sustainable flood management up to a certain safety level. The Flood Management Master Plan for the Greater Metro Manila Area (hereafter the Master Plan) has since been prepared, with World Bank assistance. It was approved by the NEDA Board on September 4, 2012 during a Board meeting chaired by the President of the Philippines. The total estimated cost for the implementation of the Master Plan is about Peso 352 billion (US\$8.7 billion) over the next 20-25 years. The Master Plan proposes solutions to reduce flooding from river systems, around Laguna Lake, and for urban drainage.

The Master Plan proposes a program of priority infrastructure to safely manage and control major flood events in the Greater Metro Manila Area. Among the key priority interventions that have been identified in the Master Plan are: (i) a high dam in the upper Marikina River catchment area to reduce the peak flows entering the city during typhoon events; (ii) flood protection works in the Marikina River, upstream of the proposed JICA Phase IV of the Pasig-Marikina River Channel Improvement Program; (iii) land raising along the western shore of Laguna Lake to protect the population against high water levels in the lake; and (iv) further development of a comprehensive flood forecasting system and monitoring and early warning system for the Greater Metro Manila Area, with maximum participation of local communities.

The Government of the Philippines has started the implementation of the Master Plan with a number of small investments (e.g. dredging and pumping station modernization), but is interested to invest in some of the larger infrastructure as well. It is therefore necessary to prepare some of the large high priority investments, both structural and non-structural, as well as develop improved institutional arrangements for flood management. This proposed AusAID grant will finance two components, the main one related to the development of feasibility and design studies of priority infrastructure that will lead to substantially increased safety of the population during flood events. A small second component relates to project management and administration.

Component A – Preparation of feasibility and design studies for priority flood management infrastructure. Feasibility and design studies will be prepared for: (i) a high dam in the upper Marikina River catchment area; and (ii) land raising along the western shore of Laguna Lake. Multi-disciplinary teams of consultants, with expertise in civil engineering, dam engineering, hydrology, economics, resettlement and social development, urban planning, environment, etc., will be recruited to prepare detailed feasibility and design studies for the above mentioned proposed interventions. Separate consulting firms will be hired for the technical studies for the dam and for the Laguna Lake land raising. One consulting firm/institute will be hired for the social and environmental assessments related to both interventions, including the social surveys that will target the communities that are affected by the potential projects and that will have to be resettled. A Panel of Experts will be established with technical, environmental, and social safeguards expertise to provide guidance and oversee the implementation of the studies and provide guidance, where needed. A Dam Safety Review Panel will also be established.

The ancillary facilities and potentially linked projects and activities as well as the area of influence of the studies to be undertaken will be identified by the team at the beginning of the feasibility studies and will be one of the first activities to be undertaken as part of the environment and social studies. The feasibility studies will review the various options for flood management improvements in the study areas to be followed immediately by design studies of the selected option. The design work will include the technical and engineering studies, economic studies, and social and environmental studies, all in compliance with the relevant World Bank Operational and Safeguard Policies, and up to a level ready for appraisal/financing by the government, possibly with the

assistance of international organizations such as the World Bank and JICA. In this respect, the Bank already has a Metro Manila Flood Management Project in its pipeline, for which the detailed scope has yet to be defined based on the outcomes of this AusAID grant and other donor-funded preparation activities (it is envisaged that PHRD will make funds available to finance the preparation of other major interventions mentioned above).

Particular mention is made of the need for detailed social and resettlement (also called ‘rehousing’ in the Philippines) studies as some 300,000 people, often informal settlers, are living in the flood plain of the Laguna Lake study area. Most of these people would have to move out of the flood plain to allow land raising to take place, during which time they could benefit from rental voucher or other schemes, but it is envisaged that many of them could return to live on the raised land in multi-story social housing units. The implications of the (temporary) move would be assessed in close cooperation with the affected people who should be involved in participatory planning processes. There will have to be extensive formal (through workshops) and informal consultations with the affected communities, non-governmental organizations (NGO) and civil society organizations (CSO) that work with the affected communities, Local Government Units (LGU), government agencies, etc. to ensure that the rehousing/resettlement proposals will be understood and acceptable to all parties. The Bank task team in close cooperation with DPWH and other agencies will work on a public consultation and information campaign that emphasizes expectations and transparency.

Component B – Project management and administration. Operational expenses for the Department of Public Works and Highways (DPWH) will be financed to manage the implementation of the grant and monitor the consultants and the outputs of the services. The component will also finance the annual audit of the grant. Fixed costs, such as staff costs, will be paid for by DPWH.

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

The project location is the Greater Metro Manila Area, in particular a dam site in the upper catchment area of the Marikina River and the western shore of Laguna Lake.

E. Borrowers Institutional Capacity for Safeguard Policies

DPWH has been implementing both TA and lending operations of the Bank and possesses adequate technical and fiduciary capacity to implement this grant. DPWH is also familiar with the WB Safeguards Policies. It has an Environment and Social Safeguards Office (ESSO) primarily dedicated to the environmental and social impact management of their different projects, although it maintains separate sets of safeguard standards depending on the funding source of the project it implements. Implementation of mitigation activities are usually done by contractors supervised by DPWH project teams at times assisted by consultants and monitored and reported by ESSO, where appropriate. The performance of ESSO, based on the recent World Bank thematic review for the Philippines, points to the need of putting in place a capacity building program if it is to be in charge of handling safeguard issues during the future implementation of the designs prepared under this project. The large scale and complexity of the resettlement/rehousing aspects also point to the need to provide additional support. ESSO will benefit by strengthening its capacity to manage and coordinate the safeguards principles and procedures especially related to the preparation of the environmental and social assessment studies and for resettlement/rehousing of affected communities. The consultants preparing the Environment and Social Impact Assessment (ESIA), rehousing studies, and Resettlement Action Plan (RAP) will work very closely with ESSO during the preparation of the studies. ESSO and the consultants will also coordinate closely with various other government agencies.

A number of consulting teams will be working under the project and there has to be good cooperation and close interaction. This is especially true for the consulting teams working on the dam and the team working on the flood protection works in the Marikina River (funded from the PHRD) as hydrological design parameters will be similar for both studies and the two structures will complement each other. This is also true for the technical consultants and the environmental and social consultants that will have to work together closely to come up with the best technical solutions that are environmentally and socially sound and that can minimize resettlement of people.

F. Environmental and Social Safeguards Specialists on the Team

Maya Gabriela Q. Villaluz (EASPS)

Josefo Tuyor (EASDE)

Victoria Florian S. Lazaro (EASPS)

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/ BP 4.01	Yes	<p>While the project only supports the preparation of feasibility studies and engineering designs of the two priority investments identified in the Metro Manila Flood Master Plan, i.e. a high dam in the upper Marikina River catchment area and the raising of low-lying areas along the western shores of Laguna Lake, and the conduct of environmental and social assessments for these priority investments, including resettlement studies, the policy is triggered since these studies are expected to lead to investments expected to have positive but also potentially adverse environmental and social impacts, including resettlement of mostly informal settlers, if not managed adequately.</p> <p>Part of this project is the conduct of environmental and social assessments and resettlement (rehousing) studies to precisely assess impacts and put forward options and mitigation measures that will be considered in the feasibility studies and engineering designs of the proposed two main investments. The environmental and social assessments will be carried out by DPWH with technical assistance and support from qualified consultants to ensure that the Bank's and the National government's environmental and social safeguard policies are being followed and complied with and that the project will follow standards that are sound and acceptable. The ESIA's (one ESIA for the dam</p>

		<p>(and the Marikina River retarding basin, the design of which is financed from PHRD) and another one for the Laguna Lake raising) will carefully assess the environment and social impacts of the priority investments, including impacts from ancillary facilities as well as cumulative impacts, and lay out detailed plans for mitigation in the Environmental and Social Management Plan (ESMP), monitoring and reporting program, including institutional assessment and capacity building for ESSO. The EMSP will be properly costed to ensure that the costs get incorporated into the civil works contracts. The various options in terms of sites, alignments, resettlement (rehousing) will also be analyzed as part of the ESIA.</p> <p>A Grievance Redress Mechanism will also be developed and will be detailed in the ESMP and be presented to the communities during public consultations.</p>
Natural Habitats OP/BP 4.04	Yes	<p>The ESIA will identify natural habitats and other ecologically sensitive areas that may be affected by the priority investments. The project will not support activities that would significantly convert or degrade critical natural habitats consistent with the policy. If the ESIA indicates that a project would significantly convert or degrade non-critical natural habitats, the project would include acceptable mitigation measures. Such mitigation measures could include, as appropriate, minimizing habitat loss (e.g., strategic habitat retention and post-development restoration) and establishing and maintaining an ecologically similar protected area.</p>
Forests OP/BP 4.36	TBD	<p>The ESIA will confirm the project impacts on forests and forest-dependent communities, particularly in and around the proposed dam site. If the forest policy is triggered, the ESMP will include measures to address impacts on forests, forest health, and forest-dependent communities.</p>
Pest Management OP 4.09	No	<p>The Project will not support directly or indirectly any investments that would trigger the policy.</p>

Physical Cultural Resources OP/ BP 4.11	TBD	The ESIA will closely assess the various alternative alignments to determine any possible cause of disturbance and negative impacts to historical areas, architectural land marks, and other cultural property, which may need to be mitigated. During construction, the landscape of the sites may also be affected and structural damage to old structures may occur due to vibrations and excavation of adjacent areas. The ESIA will confirm impacts of priority investments on physical cultural resources (PCR), and where needed a PCR management plan will be formulated as part of the ESMP, including chance find procedures that will be followed during construction.
Indigenous Peoples OP/BP 4.10	TBD	The whole of Metro Manila does not have ancestral domains and/or Indigenous Peoples (IP) communities. However, a study done in early 2000s for another project found that there are IP communities in the upland areas of 8 LGUs of Rizal Province. The upper Marikina catchment may also be home to Dumagat-Remontados. It is important to determine if any IP community is present at the project area of influence of the proposed dam in the Upper Marikina area. Screening for the presence of IPs in the areas of the priority investments will be done during preparation and if the screening confirms their presence in the project areas, a social assessment to comply with the policy will be incorporated in the ESIA and an IP Framework and/or IP Plan will be developed.
Involuntary Resettlement OP/BP 4.12	Yes	<p>The Master Plan has indicated that thousands of families are living in the flood plain of the Marikina River and along the western shore of Laguna Lake. It is not expected that people live in the possible reservoir area of the dam. The priority investments may cause both temporary and permanent physical and economic displacement of people, many illegal, occupying the flood plains of the lake and the river.</p> <p>A Resettlement Policy Framework (RPF) and/or Resettlement Plans (RP) will be prepared. The RPF and/or RPIs will be guided by and include a series of rehousing studies. The RPF and/or RP will assess various alternatives/options that</p>

		<p>will have the least impacts on settlers and factor these in the findings in the engineering designs. In addition, impacts to potentially affected persons and planning for mitigation of the same to their housing and livelihood conditions are important aspects of the studies to be made. The outcomes of these studies will influence the decision on the final configuration of the investments, including alignments. Resettlement action plans, where needed, will also be prepared together with the preparation of the detailed engineering design of the infrastructure to be built as soon as the final sites for the priority investments are known.</p> <p>The Resettlement Framework or Plan studies will provide a sufficiently detailed analysis of the resettlement/rehousing impacts, social impacts and the institutional aspects in order to able to provide detailed recommendations on how these should be taken into account during implementation. Particular attention will be given to the key institutions and different government entities involved in the resettlement/rehousing. Interventions may include institutional strengthening activities, development of Peoples Plans, and the possible implementation of a rental voucher scheme. The TORs for the Resettlement Framework or Plan studies will be cleared by the RSA prior to their beginning.</p> <p>An independent Panel of Experts will be established to oversee the implementation of the social and Resettlement Policy Framework and/or Plans studies and provide guidance, where needed. The Panel will include expertise in social, resettlement, and urban development.</p>
Safety of Dams OP/BP 4.37	Yes	<p>Since the project will entail the design of a high dam as one of its priority investments, this policy is triggered. OP 4.37 requires that experienced and competent professionals design and supervise construction, and that the borrower adopts and implements dam safety measures through the project cycle. A Panel of Experts on Dams will be established.</p>

Projects on International Waterways OP/BP 7.50	No	There will be no sub-projects in international waterways.
Projects in Disputed Areas OP/BP 7.60	No	There will be no sub-projects in disputed areas.

III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 29-Mar-2013

B. Time frame for launching and completing the safeguard-related studies that may be needed.
The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

Safeguard-related studies will be implemented together with technical studies from around July 2014 to June 2016.

IV. APPROVALS

Task Team Leader:	Name: Joop Stoutjesdijk	
<i>Approved By:</i>		
Regional Safeguards Coordinator:	Name: Peter Leonard (RSA)	Date: 02-Feb-2014
Sector Manager:	Name: Ousmane Dione (SM)	Date: 03-Feb-2014

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