

# INTEGRATED SAFEGUARDS DATA SHEET

## CONCEPT STAGE

Report No.: ISDSC2587

Date ISDS Prepared/Updated: 25-Jul-2013

Date ISDS Approved/Disclosed: 05-Mar-2014

### I. BASIC INFORMATION

#### A. Basic Project Data

Country:	Guatemala	Project ID:	P143495
Project Name:	GT Urban Infrastructure (P143495)		
Task Team Leader:	Angelica Nunez del Campo		
Estimated Appraisal Date:	01-Apr-2014	Estimated Board Date:	28-May-2014
Managing Unit:	LCSDU	Lending Instrument:	Investment Project Financing
Sector(s):	Sub-national government administration (100%)		
Theme(s):	Urban services and housing for the poor (70%), Other social development (30%)		
Financing (In USD Million)			
Total Project Cost:	40.00	Total Bank Financing:	40.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			0.00
International Bank for Reconstruction and Development			40.00
Total			40.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

#### B. Project Objectives

9. The proposed Project PDO is to improve the quality of life of citizens in selected, vulnerable urban communities located in the Mancomunidad del Sur (MS) through increased access to basic infrastructure and interventions targeted to reduce vulnerability to natural disasters and crime and violence.

#### C. Project Description

11. Description: To address the interrelated challenges that characterize the economically and

socially vulnerable communities rapidly expanding on the outskirts of the metropolitan area, in the Mancomunidad del Sur (MS), the Project proposes a multi-layered approach that combines: interventions targeted towards mitigating crime and violence, upgrades to quality of and access to basic infrastructure, and interventions to address the vulnerability of these areas to natural disasters. The Project envisages investing both in 'hard' infrastructure upgrades and 'soft' activities (e.g., training in conflict resolution) that would reduce crime and violence and risk of natural hazards, as well as improve quality of services accessible to citizens.

12. The Project offers an innovative and needed framework for improving conditions in crime and violence-afflicted, poor urban communities. The Bank is well placed to support an integrated approach to urban upgrading that addresses social vulnerability given its previous experience supporting the implementation of similar projects in Latin America. These projects include the Honduras Barrio Ciudad Project (P088319), the Honduras Safer Municipalities Project (P130819), the Jamaica Inner City Basic Services for the Poor Project (P091299), and the Bolivia Urban Infrastructure Project (P083979). One key difference between these previous experiences and the proposed Project is the intended supra-municipal approach of the proposed operation. Working with an integral MS vision rather than only at municipal level is expected to enhance the Project's ability to find synergies between the neighborhoods (notably in economic development and crime and violence prevention) and improve the spatial organization of the Guatemala City Metropolitan Area. Such an exercise would constitute a first attempt towards integrated planning between the municipalities in the outskirts of Guatemala City. If successful, this Project could serve as a 'pilot' which could be replicated and expanded to other municipalities in Guatemala.

13. To achieve the PDO, the Project would screen candidate neighborhoods to be targeted by the Project on the basis of 'eligibility criteria' that include: demographics (economic and social indicators), crime and violence statistics, and access to infrastructure. The Project would leverage information from the urban spatial plan, comprised of geo-referenced cartography that will integrate information on land use (including informal settlements), natural hazards, key infrastructure (streets, water and sanitation networks, public transport routes) densities, and GIS-based data on crime and violence for the municipalities within the MS. The team anticipates that the data will show that the most vulnerable communities are characterized by a statistically significant correlation between high crime and low access to public infrastructure/ services.

14. Selected neighborhoods will prepare proposals for financing on the basis of community-driven diagnosis to identify infrastructure needs and priorities as well as the main drivers of vulnerability. Proposals will be further discussed and developed with the MS and the relevant municipality to ensure consistency with the municipal and regional development plans. The agreed neighborhood proposals – or neighborhood plans – which will include a combination of infrastructure works and social interventions for project financing will be the main unit of analysis for costing and for safeguards assessment. The list of infrastructure works in each neighborhood plan will be packaged to be procured under one contract to simplify implementation, which should occur with community supervision and monitoring. Social and capacity building interventions would be provided in coordination with the infrastructure works and other agencies and/or ministries.

15. The proposed Project is expected to have three components:

16. Component 1: Integrated Urban and Social Interventions. This component would finance comprehensive packages including infrastructure improvements as well as social interventions to respond to vulnerability to crime and violence and natural disasters. The interventions could include,

inter alia, street and sidewalk paving, installation of public lighting, drainage connections, stabilization walls, improvement of public spaces, community infrastructure, reforestation, skills-training programs, community-driven maintenance, and gender-based violence prevention activities, among others.

17. Component 2: Technical Assistance and Capacity Building. The proposed component would finance technical assistance and capacity building to municipalities and the MS to strengthen regional and municipal planning processes and urban management, and to design crime and violence prevention strategies and community-driven approaches for disaster risk reduction and asset maintenance.

18. Component 3: Project Management Monitoring and Reporting. This component would finance the set-up and staffing of a Project Implementation Unit (“PIU”) in INFOM, plus the necessary technical assistance, capacity building and equipment necessary for project implementation, monitoring, evaluation and reporting.

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

Because the Project will develop a spatial urban plan and eligibility criteria for neighborhood eligibility, the exact location of sub-projects will not be known at the time of appraisal. However, because the Project will focus on rehabilitating infrastructure in poor urban areas, the communities targeted by the Project will likely be characterized by the informal occupation of public land and encroachment of private structures on the right of way of infrastructure subject to rehabilitation. Similarly there are risks of potential environmental and social impacts related to location of targeted neighborhoods in areas that can be prone to natural disasters (landslides, flooding, erosion, etc), protected areas, or not suitable to subproject development due to slopes, geological characteristics of the area, etc. Safeguard management will be reassessed during preparation of the proposed project.

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

Currently there is limited experience in applying the World Bank’s Safeguard Policies among potential implementing agencies. Therefore, capacity building will be required during preparation and implementation. During preparation this would involve training and mentoring agency officials, along the recruitment of a specialist consultant to prepare and disclose the ESMF and RPF. During implementation, the implementing agency will need to recruit environmental and social specialists dedicated to the ensuring compliance with the ESMF and RPF. Also, it may be necessary to recruit community based social specialists to ensure implementation of the social section of the ESMF.

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

Marco Antonio Zambrano Chavez (LCSEN)

Martin Henry Lenihan (LCSSO)

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

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/ BP 4.01	Yes	This policy is triggered given that the type of works to be financed and the magnitude of their impact are limited and easily identifiable, with mitigation measures readily available. Following the Operational Policy the project

		<p>would be “Category B”.</p> <p>An Environmental and Social Management Framework (ESMF) will be developed during project preparation in order to ensure adequate environmental and social management during the project implementation. The unit of analysis for environmental assessment during implementation will be the community specific investments plans (or neighborhood plans) which will identify the types of specific investments prioritized by the community.</p> <p>Also, during project preparation the client will need to consider broader social issues surrounding sub-project investments. These issues include community consultation, communicating with non-literate and non-Spanish speaking groups, ensuring vulnerable groups (women, youth, and ethnic minorities) are engaged in community consultation, and resolving complaints and conflicts surrounding sub-project selection and implementation. It is proposed that the social section of the ESMF deals comprehensively with these issues.</p>
Natural Habitats OP/BP 4.04	TBD	<p>The team does not expect negative impacts on natural habitats as the sub-projects will be implemented in consolidated urban areas.</p> <p>Whether or not the policy is triggered will depend on the type of activities (to be identified during preparation) that might be supported under community investment plans. If the policy is triggered, the ESMF will include appropriate screening provisions and management measures.</p>
Forests OP/BP 4.36	TBD	<p>Due to the potential location of the sub-projects in consolidated urban areas the team does not expect negative environmental impacts on forest areas, but the sub-projects could potentially support municipal forest reserves in order to improve the quality of life of the surrounding community.</p> <p>Whether or not the policy is triggered will depend on the type of activities (to be identified during preparation) that might be supported under community investment plans. If the policy</p>

		is triggered, the ESMF will include appropriate screening provisions and management measures.
Pest Management OP 4.09	No	This policy is not triggered because the Project will not finance any agricultural investments that may result in the use of pesticides.
Physical Cultural Resources OP/BP 4.11	Yes	This Policy is triggered given Guatemala's rich archaeological and cultural resources and the likelihood of the Project to support works requiring excavations. The ESMF will include Chance Find Procedures (CFP) as well as measures to screen for and manage potential impacts on cultural heritage or property that could be affected by neighborhood development plans.
Indigenous Peoples OP/BP 4.10	TBD	<p>It is possible that the Bank's Policy on Indigenous Peoples (OP 4.10) will be triggered due to the ethnically diverse nature of the communities that will benefit from the project. The project can provide an opportunity to engage with indigenous peoples organizations within these communities as part of the participatory planning process, and to design culturally appropriate interventions.</p> <p>The need to trigger this policy will be determined during the course of project preparation based on: (i) the identification of indigenous peoples living collectively within the beneficiary neighborhoods, and (ii) if indigenous communities are identified that could meet OP 4.10's definition of "forced severance", i.e., their urban migration was caused by violent conflict, natural calamities, land dispossession, government resettlement or integration of their lands within urban areas (iii) the existence of customary cultural, economic, social, or political institutions that are separate from those of the dominant society.</p> <p>The need to trigger this policy will be determined during project preparation. If the policy is triggered, the social section of the ESMF will serve as the Indigenous Peoples Policy Framework, and would include measures to ensure indigenous peoples communities benefit from the design of culturally appropriate investments and access to culturally appropriate</p>

		decision making mechanisms. An indigenous peoples policy framework is appropriate as the exact communities for intervention will not be defined during preparation.
Involuntary Resettlement OP/BP 4.12	Yes	For resettlement, infrastructure sub-projects will be small scale investments implemented on public land. In participating Municipalities target communities are likely to be informally planned with unclear property boundaries and possible encroachment on infrastructure rights of way. Therefore, even if the project does not require land acquisition or the displacement of residential households, it is possible that civil works will impact private structures encroaching or occupying public land. Disaster risk reduction measures will be limited to small-scale structural and non-structural measures, but will not include any significant collective resettlement. Also, the Resettlement Policy Framework will include robust criteria to screen for and manage voluntary land donations.
Safety of Dams OP/BP 4.37	No	The project will not finance the construction or rehabilitation of Dams.
Projects on International Waterways OP/BP 7.50	No	The project will not finance activities that will result in the extraction or addition of water or waste products to international waterways.
Projects in Disputed Areas OP/BP 7.60	No	The project will not finance any activities in areas subject to international disputes.

### III. SAFEGUARD PREPARATION PLAN

**A. Tentative target date for preparing the PAD Stage ISDS:** 01-Nov-2013

**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:**

<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.

Because the project will develop a spatial urban plan and criteria for neighborhood eligibility, the exact location of sub-projects will not be known during project preparation. In this regard, an Environmental and Social Management Framework (ESMF) should be developed by the client during project preparation and before appraisal. The team is expecting to start with the preparation of this instrument during June 2013 and aims to disclose it by October 2013. During this time the team will conduct the necessary analysis to determine whether or not the indigenous peoples policy is triggered through analyzing census data and social research conducted in the target municipalities, discussions with planners and community workers working at the municipal level, and discussions with expert social scientists.

The ESMF will include a Resettlement Policy Framework (RPF) detailing how the client will comply with OP/BP 4.12, the steps they will take to screen sub-projects for resettlement impacts, and to prepare site-specific resettlement plans as needed. The ESMF should also include a social management section dealing with key social concerns such as communication, consultation, conflict resolution and complaints handling). This social management framework will be based on municipal level social analysis that will include consultation with key stakeholders (including civil society and community based organizations), analysis of secondary data, and focus group meetings with groups of potential beneficiaries. If the indigenous peoples policy is triggered, the framework will also include mechanisms to engage with indigenous organizations and groups in the community planning process and the design of culturally sensitive investments. This section of the ESMF will serve as the Indigenous Peoples Policy Framework (IPPF). An IPPF is appropriate because the communities which will benefit from the project will not be identified prior to appraisal.

Currently, the client has limited experience in the application of the Bank environmental and social safeguards. In order to prepare the ESMF the client will need to hire consultants with experience in social and environmental management during preparation, who will also be responsible for training client representatives and municipal officials in the implementation of the framework. Also, during implementation the client will need hire dedicated environmental and social development specialists to oversee the application of the ESMF in the field.

#### IV. APPROVALS

Task Team Leader:	Name: Angelica Nunez del Campo	
<b><i>Approved By:</i></b>		
Regional Safeguards Coordinator:	Name: Glenn S. Morgan (RSA)	Date: 06-Aug-2013
Sector Manager:	Name: Anna Wellenstein (SM)	Date: 05-Mar-2014