**Document of the Inter-American Development Bank**



**Haiti**

**TRANSPORT AND DEPARMENTMENTAL CONNECTIVITY**

**HA-L1104**

**Environmental and Social MANAGEMENT REPORT**

**(ESMR)**

September 14th 2018

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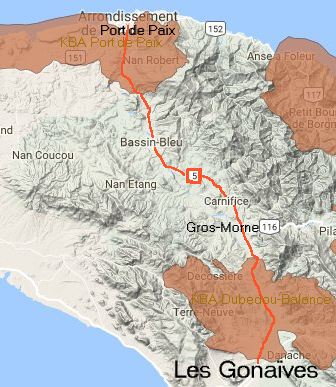
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| **ENVIRONMENTAL AND SOCIAL MANAGEMENT REPORT (ESMR)** | |
| **Operation Name:** | Transport and Departmental Connectivity |
| **Operation Number:** | HA-L1104 |
| 1. **Operation Details** | |
| **IDB Sector** | TRANSPORT |
| **Type of Operation** | Multiple Works |
| **Environmental and Social Impact Categorization** | B |
| **Disaster Risk Rating** | Moderate |
| **Beneficiary** | Government of Haiti (GoH) |
| **Executing Agency** | Ministry of Public Works, Transport and Communications (MTPTC) |
| **IDB Grant US$ (and total project cost)** | 225.000.000 (Total project Cost: 283.180.000 with European Investment Bank, European Union and local counterpart) |
| **Applicable Policies/Directives** | OP-102; OP-704; OP-710; OP-761; OP-703 (B.1, B.2, B.3, B.4, B.5, B.6, B.7, B.9, B.10, B.11, B.14, B.15, B.17) |
| 1. **Executive Summary** | |
| This Multiple Works Program has been classified as Category “B” as per the Environmental Safeguards and Compliance Policy OP-703. As confirmed during due diligence, the sample project RN5 of the Operation’s negative environmental and social impacts are mostly local and short term, and no impact are anticipated to critical natural habitat. Potential impacts are those typical to road construction works (affectation of soil, vegetation, ground and surface water, air pollution, health and safety issues) as well as those related to maintaining the right of way which will result in the resettlement of 111 households (of which a majority will be resettled on the same plot) and expropriation of 8.2 ha of land that does not cause major impacts in livelihoods; in all cases, effective mitigation measures are in place. Disaster risk (Type I) of the Program is classified as moderate considering the combination of the frequency of natural disasters with the level of affectation such disasters can have on projects’ viability.  An Environmental and Social Impact Assessment (ESIA) and Resettlement Plans (RPs) - one for each one of the two sections in the RN5 included in the Program - have been developed for the sample project in compliance with IDB policies, and have been disclosed accordingly. An Environmental and Social Management Framework (ESMF), which includes a Resettlement Framework (RF) annex, has been developed to ensure compliance with IDB policies of each of the future projects to be incorporated in the Program; Category A projects are not eligible. Mitigation measures and institutional and responsibility arrangements were designed taking into consideration lessons learned from past operations in Haiti to mitigate social and environmental risks execution and prevent non-compliance situations.  Development of the ESIA and RPs for the sample project used a participatory approach including various consultation rounds with key stakeholders and a gender perspective to include women’s participation. To this regard the project has incorporated training options to facilitate women accessing job opportunities. | |
| 1. **Operation Description** | |
| **Operation**  The program’s objective is to continue improving the quality, accessibility, and safety conditions of Haiti’s National Road Network (NRN) through an increase in paved road coverage and the rehabilitation and upgrading of departmental roads connecting production centers to local markets. The program will also promote efficiency improvements in the sector by supporting integrated road asset management.  The Program will include:   * **Component 1: Civil works (US$150 M).** This component will finance the execution of projects eligible through the multiple works program. Specific components include: (i) rehabilitation and improvement of road segments; (ii) air transport infrastructure; (iii) social and environmental remediation and road safety measures; (iv) a maintenance contract program that will be initiated with a pilot for national route 2 and other national roads previously rehabilitated with IDB financing; and (v) supervision of civil works by specialized firms. * **Component 2: Civil works on the secondary and rural road networks** **(US$42 M)** covering: (i) rehabilitation and improvement of departmental and rural roads rehabilitated by traditional contracts; also works carried out directly by the MTPTC on the “caravan of change”; (ii) mitigation of social and environmental impacts; and (iii) supervision of all civil works. * **Component 3: Bridge upgrade program (US$65.18 M)** covering construction and rehabilitation of bridges with co-financing support from other donors. * **Component 4: Strengthening of the road infrastructure sector (US$18 M).** The operation will continue supporting the strengthening of the MTPTC, focusing on maintenance. * **Administration costs (US$8 M).** This component will finance: (i) administration costs; (iii) monitoring and evaluation; and (iii) technical and socio-environmental audits.   Geographic scope of the Program is all the country; the ESMF defines eligibility criteria for the projects to be included in the operation and up-front exclusion of Category A projects, as categorized by the Bank’s as per the Environmental and Compliance Safeguard Policy.  **Program Sample**  The Program’s sample comprises the RN5 corridor Gros-Morne, Bassin-Bleu, Port-de-Paix (46 km) located at the Northwest of Haiti (Artibonite and Nord-Ouest departments). Works are expected to last five years. Currently, RN5 presents low service levels and high surface degradation. Most of the road is not paved and has inadequate road alignment, poor signalization, aging and inadequate structures operating under hazardous conditions, and drainage problems. The current road’s geometry increases the risk of accidents and collisions between vehicles, both on and off the road, such as narrow shoulders along the road and limited visibility at certain curves.  The main localities to be connected through the two road segments are: Gros-Morne, Canifice, Savane Carrée, Carrefour Tell, Bassin-Bleu, Fond Papaye, Chamsolme, Aubert and Port-de-Paix. Port-de-Paix, with a population of 200.000 inhabitants, is the most important town in the region and the one with most economic potential.  The project’s area of influence (see map in annex C) is next to two Key Biodiversity Areas (KBAs): Dubedou - Morne Balance KBA located near the Gros Morne and Port de Paix KBA located at the section Bassin Bleu-Port de Paix.  The Key Biodiversity Area of Dubedou - Morne Balance was created to preserve the remains of subtropical dry forests and the existence of endangered predators, birds, amphibians and reptiles. The road near Gros-Morne passes through what was once a mosaic of Subtropical Wetland along creeks and rivers and the Subtropical Dry Forest on the slopes and ridges of hilly terrain. The Key Biodiversity Area of Port-de-Paix was created especially for the rare existence in this area of two plant species and one animal species (Eleutherodactylus rhodesi, a critically endangered and endemic frog).  Both KBAs’ habitats are already much perturbed, having suffered degradation and deforestation for a long time; no preserved habitat appears at nearby areas along the road.  Although Artibonite and the Nord-Ouest departments are rich in historic and cultural sites, the proposed works will not affect any such site.  The expected activities under components 1 and 2 are the following:   * Earthworks * New road base layer * New foundation layer * Engineering works (bridges and culverts) * Drainage infrastructures * Opening quarries and borrowing pits * Dumping sites * Camp sites * Asphalt plant and road asphalting. | |
| 1. **Key Impacts, Risks, and Mitigation Measures** | |
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| **Assessment Requirements** | |
| This multiple works Program has been prepared following OP-703 requirements, therefore:   * an ESIA and RPs (one RP for each one of the 2 sections of the RN5 comprised in the sample) have been prepared, * an Environment and Social Management Framework (ESMF), including a Resettlement Framework (RF) have been prepared for the Program.   The sample has been classified as category “B” as its potential negative environmental and social impacts are mostly local and short-term, and can be mitigated through readily available effective mitigation measures. The road works have been designed to avoid the impacts and risks associated with the projects proximity to the KBA Dubedou-Balance and KBA Port de Paix and prevent any direct impact to any preserved habitat[[1]](#footnote-1). Indirect impacts to habitats are also expected to be negligible. The two RPs prepared comprise mitigation and compensation measures to address identified social impacts and risks, in particular related to the 111 affected households.  The ESIA (2017) was prepared building on a previous study conducted in 2011 for the RN5. This assessment comprises the rehabilitation of the existing road along the current right of way and one bypass at the Gros-Morne Bassin-Bleu section to reduce resettlement and avoid prone flooding areas. The ESIA and RPs have been designed considering lessons-learnt from other transport projects in Haiti such as a comprehensive assessment of resettlement impacts and improved consultation.  The ESIA considered Haitian national regulations as well as Bank’s safeguards policies. It presents a baseline of environmental conditions comprising: i) topography and geomorphology; ii) climate conditions; (iii) biodiversity, focusing on the KBA Dubedou-Morne Balance and Port de Paix; iv) geology; and v) hydrography.  From the social perspective, the study comprises the following matters: i) demography; ii) human habitat; iii) economic activities; iv) education and health infrastructure and services; v) living conditions; vi) energy; vii) tourism sites and cultural monuments; and viii) graveyards, because there are several of them along the RN5. This analysis presents the baseline to facilitate monitoring and evaluation. To address involuntary resettlement impacts, specific RPs have been prepared for each one of the two sections, including mitigation and compensation measures.  The proposed Environment and Social Management Plan, based on the ESIA’s findings, includes recommendations for mitigation, responsibilities for implementation and a monitoring system to ensure compliance. It also includes the environment and social clauses to be incorporated into the bidding documents to be complied with by the construction contractor.  Overall, the projects are expected to cause only temporary environmental impacts, mainly during construction, that can be mitigated with proposed mitigation actions.  Regarding Directive B.14 “Multiphase and repeat loans”, and considering the significant environment liabilities remaining from the IDB operations that financed Les Cayes - Jeremie Road in South-West Haiti, as documented in the external assessment by SMi commissioned by the Bank, the Republic of Haiti has agreed with the Bank on an appropriate course of actions (as well as their financing) to remedy such liabilities on the basis of the recommendations included in SMi assessment.   |  |  |  | | --- | --- | --- | | ***ESHS Assessment*** | ***Date of first disclosure (based on Convergence)*** | ***Link*** | | *ESIA* | *June 2017* | [*https://www.iadb.org/en/project/HA-L1104*](https://www.iadb.org/en/project/HA-L1104) | | *Resettlement Plan* | *June 2017* | | *ESMF and RFs* | *August 2017* | | |
| **Consultation and Stakeholder Engagement** | |
| Consultation has been designed as an integrated process from preparation to construction to be conducted in a participatory and gender equity manner. Consultation was conducted during preparation of the resettlement plans and ESIA in the two sections of the road included in the sample. Further, the contractor will implement a communication program to keep population informed of construction progress and directly address construction-related complaints. Consultation, conducted in creole and following local customary process, comprised several stages:  *Preparation*: Initial consultations were conducted at the time of ESIA and RPs in parallel with the surveys to collect information and opinions of affected population.   1. During ESIA preparation, in January-February 2016, the mayors of Gros Morne and Port-de-Paix were interviewed. While authorities were aware of the projects, general population lacked information. To fill this gap informal meetings were held with local population including residents, taxi drivers, small businesses owners and street vendors. Main expressed concerns were timing and impacts during construction. Most opinions were positive and no conflicts are expected. However, there was no adequate register of this process. To address this gap, additional consultation was conducted ensuring adequate representation, cultural approach and register (see point iii below). 2. The two resettlement plans prepared, to better focus in main villages involved, incorporated a participatory approach with affected population though several surveys (to identify affected families and their assets); public meetings organized with the support of local authorities (CASEC[[2]](#footnote-2)) were conducted to validate eligibility. The mayors of Gros-Morne and Port-de-Paix were also interviewed for this purpose. The result is a full register of affected population which is attached to the RPs, including a summary of main outcomes prepared by the consultant who reported the lack of women’s participation; this issue was addressed in following consultations by conducting women specific sessions. Main expressed concerns were: to measure adequately impacts; the correct evaluation of affected assets; and amounts of compensation payments. 3. Final consultation of the ESIA, RPs were conducted on September 29th and 30th, 2017, with three consultation events along the road: in Gros-Morne, Chansolme and Bassin-Bleu. Based on the experience of previous efforts a special methodology was put in place to ensure women’s participation (representing finally 40% of consulted persons). Participation, main outcomes and recommendations were adequately registered and documented (cf. Annex of the ESIA).   Project design incorporated main recommendations emerging from the consultation, including changes to reduce resettlement and/or affect water points, school yards and reduce affecting cultivation lands; improved evaluation of affected assets/lands and compensation processing have been incorporated in the Program.  *Construction*: Because eligibility and construction bidding span might take at least 12 months, the two RPs should be updated, according to implementation program, to consider Contractor’s design adjustment and possible changes in affected population’s conditions. Any changes in RPs regarding assets valuation, compensation negotiations and resettlement program will be consulted with affected population; resettlement schedule will be agreed. This process will be conducted by the CPA (the expropriation authority in Haiti) in coordination with the MTPTC. This process should be adequately registered. A grievance redress mechanism will be in place.  Consultation results show an overall support to the projects by authorities and population alike that are eager to overcome current insecure and slow transportation that affects livelihoods and economic activities. No evident opposition has been identified. Adequate and timely compensation of affected population will further reduce this risk.  As described in the ESMF, such a consultation process will apply to other projects to be included in this multiple works Program. The grievance redress mechanism, already agreed with the Executing Agency in the Minister of Transport for other projects, will apply during Program implementation to all sub-projects. | |
| **Information Disclosure** | |
| The ESIA and the RPs have been published in the country and on IDB’s website (on June 23rd, 2017) before the analysis mission in accordance with OP-102.  <http://www.iadb.org/en/projects/project-description-title,1303.html?id=HA-L1104>  A draft ESMF (including the RF) has also been published before the analysis mission on August 18th, 2017.  The final versions of all above documents were disclosed mid-September 2018. | |
| **Environmental and Social Impacts and Risks and Mitigation Measures** | |
| ***For the sample:***  ***Biodiversity/Natural Habitat/Critical Natural Habitat***  The projects’ influence area comprises three main rivers: Mancelle, Montcel and Trois Rivieres, and two Key Biodiversity Areas (KBA): Dubedou-Balance and Port de Paix. Human intervention has contributed to widespread degradation and deforestation of natural habitats and rivers’ contamination. The extraction of materials from the rivers would be authorized only if there is no any other option, and following the specific guidelines provided by the Bank to this aim. It is not expected that the projects will cause measurable or permanent environment damages to the KBAs:   * The project will not cause impacts on the nearby KBAs, further to the current habitat degradation and deforestation (particularly in the areas nearby the road). * Protection measures of the PGAS will be included in bidding documents as mandatory for construction contractors - such as criteria for location of ancillary facilities (worker camps, asphalt plant, deposit and borrowing / quarries sites) and their management.   Temporary and localized impacts during construction will be mitigated and managed through the Environment, Social and Health Safety Plan. This Plan comprises: i) provisions to mitigate impacts during construction (noise and pollution control; adequate fuel use and storage; adequate selection and closing of work sites); ii) health and safety plans for workers and communities; iii) construction standards to prevent erosion, sedimentation control and water management, rehabilitation (reprofiling, revegetation) of slopes; iv) standards to face natural disasters (drainage structures designed considering the rainfall regimes and hurricanes and anti-seismic construction standards, for instance); and v) fauna and a flora periodic surveys.  The bidding documents will incorporate these provisions to be complied with by the contractor; an environment and social coordinator in the Executing Agency will oversee its implementation; the supervision firm will monitor and report compliance and recommend remedial action as needed. Supervision reports will include specific sections reporting progress in social and environmental management plan execution; alerts on retards and non-compliance issues, if any, will be promptly reported.  **Health and safety**: The bidding documents will also include guidelines to comply with safety and health conditions to protect workers; guidelines will also include adequate location of camp sites if necessary, which will be previously agreed with nearby communities. A code of conduct will be established and enforced to ensure community safety and security; specifically to avoid any impact on women.  ***Cultural sites*** | |
| No critical cultural sites have been identified in the sample project’s influence area. Chance-finding procedures will be established and incorporated in bidding documents.  ***Pollution*** | |
| The main pollution could be caused by the works activities.  To prevent the accidental pollution, the bidding documents will precise that the contractor will have to prepare and implement a Site Environmental Protection Plan including all protective measures recommended, for example for:  • Fuel storage  • Management of product spills  • Maintenance of vehicles  • Wastewater management (washing of vehicles – sewage, etc.)  ***Indigenous Peoples*** | |
| Not applicable to the operation  ***Involuntary Resettlement and Livelihood (economic displacement)*** | |
| The main social impact will be the involuntary resettlement caused by the works. The two road sections comprised in the sample are expected to cause involuntary resettlement including partial or total demolition of houses and land acquisition as presented in the following table, which focuses on impact type rather than impacts by households. The RPs cover costs of resettlement related to property loss and temporary loss of income in agriculture and commercial activities.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Section | Houses affected | Resettlement options | | Type of affected lands (ha) | | Same land | New land | | Gros Morne-Bassin Bleu | 21 | 19 | 2 | 4.6  (agriculture) | | Bassin Bleu-Port-de Paix | 90 | 48 | 42 | 3.6  (mix use) | | **Total** | **111** | **67** | **44** | **8.2** |   Source: Resettlement Plans  A summary of expected impacts, mitigation and compensation measures for each section in the road are detailed next.  Section Gros Morne - Bassin Bleu  This section is located at the department de l’Artibonite, predominately rural. The most important urban areas are Gros Morne (148,577 inhabitants) and Bassin Bleu (60,546 inhabitants). Agriculture is the main economic activity and banana production is the most important product. Irrigation cover a minimum part of the agriculture land, and the lack of technical and financial support affects commercial production. This road comprises the construction of a bypass intended to reduce resettlement and avoid a flooding prone area.  Affected population: Around 570 persons in 72 households are affected; 68% of the household’s heads are men and only 32 are headed by women; most are small rural farmers.  Main impacts and compensation   * Housing: 21 houses will be demolished; 19 can be rebuild within the same plot. The affected houses are constructions of 48 m2 in average of various materials and quality; 17 of the houses are residential; 2 are also used for commercial activities; the remaining 2 were under construction at the time of que survey. * Lands: Around 4.6 ha of land will be affected; 66% of the persons affected declared to be legal owners with more than of 12 years in average in the site; 30% rent the land and the remaining 4% do not have any established status. * Economic impacts and displacement: 33 banana producers occupying 18,980 m2 (but losses are systematically only partial) will be affected; each farmer cultivates in average less than 1 hectare; some of them rent the land. 232 trees should be cut including: mangos (43), avocados (16), coconuts; citrus trees (6) and wood trees 29. * Economic displacement: Two market areas, one at Carrefour Tell (PK 40+450) with around 10-12 vendors, and the other at Savana Carrée (PK 34+800) with around 100 vendors will be temporarily affected during construction. Only two small vendors of food and soft drinks are expected to be displaced. The Program will provide resources to compensate for partial/temporary displacement, which are not included in Haitian legislation.   Budget: Estimated budget to pay replacement values of affected housing and lands as well as income losses is US$ 180, 611 (HG 11 739 694).  Section Bassin Bleu-Port de Paix  This section is located at a very poor, mostly rural area, concentrated in two communes: Bassin Bleu (60,546 inhabitants), Chansolme (28,974 inhabitants). Commune Port-de-Paix with a population of 194, 653 is the most important population center[[3]](#footnote-3). Subsistence agriculture is the main activity of the zone; some households extract, in a rudimentary way, materials from the river (sand, grave, rocks). A few families are engaged in very small commerce activities. Public infrastructure is inexistent; the children must walk several kilometers to the nearest school or to the nearest water point.  Affected population: Around 1,400 persons in 140 households are directly affected; 13 of those were not identified and are expected to be identified when RPs are updated just before start of construction; 61% of the households are headed by women and only 39 are headed by men.  Main impacts and compensation:   * Housing: 90 houses will be demolished; 48 can be rebuild within the same. The affected houses are constructions of 48 m2 in average of various materials and quality; 66 of the houses are residential; 14 are also used for commercial activities and one for agriculture activities. Other constructions comprise: a church, two schools and a community health center; the remaining are old abandoned constructions. The executing agency in charge of the resettlement will conduct this process. The general agreement is that resettlement should be completed before construction began. * Lands: Around 3.6 ha of land will be affected; 88% of the persons declared to be legal owners with more than 21 years in average in the land; 4% rent the land and the remaining occupy the land without any legal status. Some agriculture plantations, mainly of bananas, will be damaged by the works and will be also compensated. * Other impacts: A graveyard (PK 62+125) will be partially affected (around 4m) which might destroy several graves (5 or more); an irrigation channel (PK 49+655); two community water points (PK 54+750) and a DINEPA[[4]](#footnote-4) Center (PK67+250); a church (PK60-065); and the school “École nationale d’Andro” (PK 57+855) will be all partially affected. It is expected of the constructor to make adjustment to avoid these damages. * Economic impacts and temporary displacement: There will be no permanent economic impact; 14 small commerce stalls (selling food and sodas) will be temporarily affected during construction.   Budget: Estimated budget to pay replacement values of affected housing lands and economic and temporary income losses is US$ 439, 742 (HG 28 583 199).  Main resettlement issues in the sample (two road sections):   * *Vulnerable population*: Because of their economic and social vulnerability women head of household will receive special support to ensure equal access to compensation and project’s benefits. This will comprise recognition of their rights, considering their priorities regarding resettlement and compensation options as well as support during the process and compensation payments. * *Grievances and claims management mechanism*. The mechanism proposed by the MTPTC through the Unite Centrale d’Execution (UCE) and already approved by the Bank for RN1 projects will apply to this project by the MTPTC with UCE’s support if needed.   Monitoring and evaluation: The RPs comprise a monitoring of resettlement process and evaluation after completion to assess reestablishment of previous conditions. Indicators included to this aim are: i) families reinstalled; ii) persons at work and economic activities operational; iii) children accessing local schools.  Legal Framework: In accord with Haitian Regulation the RPs executing body would be the “Permanent Committee for Amicable Acquisition” (CPA[[5]](#footnote-5)), in charge of final assessment and valuation of assets. Haitian law only recognizes payment to legal owners; however, in compliance with Bank’s OP-710, all affected population will be compensated, despite the ownership legal status.  The resettlement process has been identified by the Donor Community as the main execution bottleneck in road construction in Haiti, therefore, an improved process will be put in place to address this issue. The MTPTC will continue to be the end-responsible of the resettlement process that relies operationally mostly on the CPA (including MTPTC and MEF[[6]](#footnote-6)) and notaries; MTPTC will continue approving all key resettlement related milestones and instruments. However, the Executing Agency in the MTPTC (UCE) will support the resettlement process and the institutions involved, thus mitigating the risk of delays or poor execution. Additionally, compensation resources will be incorporated in the project budget to avoid delays for lack of financing, which is currently the one major issue causing delays. To achieve these goals the Bank has been working on four improvement measures: (i) first, a data collection analysis conducted to map the resettlement process in the country; (ii) second, concentrating institutional support on the CPA, which is the main inter-governmental body in the expropriation process; (iii) third an expropriation management firm will be hired to this aim, providing logistics support and implementing improved procedures such as: a two-step process of land tenure verification to match with the new early-resolution process for the different resettlement cases thus facilitating subsequent payments to the beneficiaries; (iv) fourth, the operation will finance the expropriation costs; (v) fifth a strengthened institutional oversight and follow-up will be applied.  ***Vulnerable People*** | |
| **Program**  The population affected by the Project (PAP) has different levels of vulnerability. While some of them are well-off landowners capable of recovering more easily from resettlement and expropriation, others may be more affected in their livelihoods. Some households may also be harmed by physical disabilities, illness, lack of regular income, or are single-head household; these cases make the families more vulnerable to resettlement impacts.  The identification of vulnerable PAPs will be conducted by using the following verifiable indicators:   * Households headed by a single parent (men or women); * Households without a formal source of income; * Households including dependent elderly people (over 70 years old); * Households supporting disabled person(s); * Households supporting ill persons unable to work; * Households with no or few assets.   These households will benefit from specific support and monitoring, especially:   * During consultation: they will be specifically supervised and will benefit from additional explanations as needed. * Identified vulnerable households will be corroborated through the resettlement committee and interviewed individually to assess their needs. * Specific consultation sessions will be organized for vulnerable households to better explain compensation agreements to ensure their understanding. * Specific sessions will be established for vulnerable households receiving compensations. * Specific support will be provided to identify resettlement options. A monitoring process will be established to ensure reestablishment of all involuntary resettled households; the process will prevent ill-intentioned person seeking to benefit from PAPS.   ***Gender*** | |
| According to the EIAS the projects in the sample (RN5) will not cause measurable gender-based negative impacts. To prevent negative impacts and ensure equal participation in decision-making opportunities as follows:   * *Consultation*: during project preparation women were included in consultation process and will continue to be consulted during implementation of the RPs. * *Work opportunities*: The Program includes the training of women to give them work opportunities; * *Community Health and Security*: The contractor will be required to prepare and implement this plan to avoid negative impacts on community relationships and specifically on women. The supervision firm will provide periodical reports in the situation. * *Monitoring and evaluation*: The MTPTC through the UCE will monitor and report on these activities and provide a separate report on women’s participation. * *Gender Action Plan*: Based on a recent study conducted by the Bank (see below) the project sample will incorporate an Action Plan to enhance women’s participation in benefits and support related measures such as receiving training and job opportunities.   ***Disaster Risk*** | |
| The risk of potential impacts of natural disasters (type I) has been classified as moderate considering: on one hand, the high frequency of significant natural disasters in the country; on the other hand, the moderate direct sensitivity of the road sector to such disasters in terms of their viability.  Because the program aims to improve and rehabilitate highways throughout the country, a quick vulnerability assessment was conducted for climate-related stress factors such as rain and the increase in the number of days with temperatures over 35º Celsius. The results are available in a geographical information system that helps identify the vulnerability and exposure of the road sections that will be financed by the program. The grant will finance preparation of a comprehensive climate change vulnerability assessment to define the criteria to be integrated in roads designs. These studies will be based on hydrological analysis providing key information so the roads drainage designs are calculated using the correct superficial run-off data considering potential climate change impacts.  Additionally, an “extreme weather vulnerability assessment” study, also referred to as Blue Spot Analysis, will be carried out to inform how to integrate climate change-related risks into the process of prioritizing interventions to ensure service resilience of Haiti’s road network. For instance, deciding between competing measures such as increased maintenance, larger culverts, elevated roads, or redundant network links. The Spot Analysis will also support investment prioritization of the Multiple Works Program, hence the efforts to improve the resilience of the transport network in a context of scarce resources and rising climate uncertainty, and proposing adaptation measures that perform well under a large set of scenarios.  ***Capacity of executing agency/beneficiary*** | |
| Despite the Bank’s efforts to fund institutional support and capacity-building efforts at the MTPTC, the increasing number of projects in execution in the past years has added pressure to the Central Executing Unit, illustrating that more effective execution capabilities are required to adequately manage the increasingly complex portfolio and the growing demand for the monitoring of social and environmental policies, before and during construction.  The Operation will provide technical and financial support to the Beneficiary to manage environmental and social matters (see section on Livelihood and Resettlement); on resettlement issues, the proposed program mitigates risks by early engagement with a firm to support the MEF and the CPA, and by providing direct financial resources within the program’s budget. | |
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| **For the Program:**  An ESMF, including a RF, has been prepared to apply during Program’s implementation to ensure that future sub-projects comply with environment and social safeguards. This Framework has been prepared to address environment and social impacts of category “B” projects financed by the Program, facing similar potential impacts and risks to those in the sample.  The ESMF and the RF define procedures to guarantee the compliance of future projects with Bank’s Safeguard Policies during Program execution, addressing specifically resettlement and livelihood reestablishment. A new executing process including specific support to the UCE during resettlement implementation and Program’s financing compensation will address identified issues.  The Program will include a Gender Action Plan (GAP) following the outcomes of a recent study conducted by the Bank. This study identified the difficult conditions working women face in Haiti and the potential benefits they can obtain from a better transport. This study identified gender labor gaps in transport and proposes to conduct under this operation the following: (i) gender studies[[7]](#footnote-7) to have a better understanding of women’s transport, economic and security needs; and (ii) the development of a Gender Action Plan (GAP). The objective of the first set of studies is to help identify specific transport interventions that can help improving working conditions of women in charge of commerce (known in Haiti as Madan Saras). The GAP intends to develop comprehensive gender plan for the transport sector, to define gender priorities[[8]](#footnote-8) and activities to be mainstream in the current and future transport operations in Haiti. | |
| **Supervision and Execution** | |
| The Program comprises a supervision plan specifically incorporating reporting on social and environment matters as established in the ESHS Plan:  *Monthly reporting*: The supervision firm will prepare monthly reports on compliance with the environment and social clauses comprised in the bidding documents and will propose, if required, remedial actions. Specific reports on community and workers safety and health conditions will be prepared.  *Semester reports*: The MTPTC will present to the Bank in the months of February and August every year, a six-month progress report describing the works’ physical status and financial progress, and including a summary of reports produced by the supervision firm and of the internal reports of contract supervision. This report will incorporate: i) Environment action plans recommendations; ii) progress in resettlement execution; iii) reports of community relations program; iv) a summary of grievances and claims presented and solved, identifying issues that might require further attention; v) actions taken to face deviation of ESHS mechanisms.  *Field visits and missions*: The Bank will perform periodic field supervision visits to monitor execution progress of the different project’s components. ESG will join supervision mission or conduct as necessary special missions to assess execution progress of the ESHS Plan, specifically: i) compliance with environment construction guidelines, including extraction of materials from rivers; ii) identification of activities that might present a danger for KBA; iii) progress in resettlement and reestablishment of previous conditions; iv) actions targeting women; v) grievances presented and solved/pending; vi) MTPTC’s environment and social staff participation in monitoring activities. ESG will also ensure that projects to be incorporated to the Program comply with the ESMF, and RF in case of involuntary resettlement. | |
| 1. **Environmental and Social Requirements** | |
| To meet the requirements of the Bank’s Environmental and Social Safeguard Policies, the Executing Agency will comply to the satisfaction of the Bank with the ESHS contractual terms and conditions set forth in Annex B. These terms and conditions can only be modified with the prior written consent of the Bank, including clearance by ESG. These include (i) standard conditions for implementation of the ESHS Plans and measures as well as reporting and supervision requirements; (ii) conditions that address key risks and impacts; (iii) conditions to be included in the Operating Manual. These conditions will be incorporated into the Grant Agreement and as such the Beneficiary is legally bound to comply with these conditions. | |
| 1. **Summary of Compliance with IDB Safeguard Policies** | |
| See Annex “A”. | |

**Annex A. Summary of Compliance with IDB Safeguard Policies**

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| **Policies / Directives** | **Compliance Status and Rationale with Policy / Directive Requirements** | **Requirements / Actions / Plans / Timing** |
| **OP-703 Environment and Safeguards Compliance Policy** | | |
| B.2 Country Laws and Regulations | **Full compliance achieved.** | To maintain compliance: for the sample and other projects to be included in the Program, relevant licenses and authorizations will be obtained during execution (e.g. for material extraction). |
| B.3 Screening and Classification | **Full compliance achieved**  Program has been classified category “B” | - |
| B.4 Other Risk Factors | **Full compliance achieved**  Other risks of the operation have been assessed, in particular related to capacity of executing agency; relevant measures have been included in the Program (see above: capacity of executing agency/beneficiary). | To maintain compliance: institutional arrangements and technical and financial support to execute certain tasks (particularly resettlement) will mitigate risks related to the limited local institutional capacity. |
| B.5 Environmental Assessment and Plans Requirements | **Full compliance achieved**  An ESIA was developed for the sample, as well as an ESMF for the Program. |  |
| B.5 Social  Assessment and Plans Requirements (including Livelihood Restauration Plan[[9]](#footnote-9)) | **Full compliance achieved**  Resettlement plans for the sample is completed. A RF for the program has been prepared. |  |
| B.6 Consultation (including consultation with affected women, indigenous persons, and/or minority groups) | **Full compliance achieved**  Relevant consultations were performed on ESIA and RPs of the sample during Program’s preparation (completed September 30th, 2017).  The ESMF includes also a consultation process to be complied with during execution. | - |
| B.7 Supervision and Compliance | **Compliance achievable through specific conditions established in legal documentation for actions over the program’s life span.**  Supervision plan to be implemented during implementation. | Supervision firm will prepare monthly reports; MTPTC will send to the Bank progress reports every six months. The Bank will conduct periodical supervision missions. |
| B.8 Transboundary Impacts | **Not applicable (policy not relevant)**  The Program will not cause this type of impacts. | - |
| B.9 Natural Habitats | **Full compliance achieved.**  Management plans of the sample include relevant measures for siting of ancillary facilities and limiting impacts to fauna and flora. | To maintain compliance: as established in the ESMF, future projects to be included in Program will incorporate management plans including measures for siting of ancillary facilities and limiting impacts to fauna and flora. |
| B.9 Invasive Species | **Full compliance achieved.**  Management plans of the sample include requirement to ensure no invasive species are used. | To maintain compliance: as established in the ESMF, management plans of future projects to be included in Program will include the requirement not to use invasive species. |
| B.9 Cultural Sites | **Full compliance achieved.**  Management plans of the sample include chance findings procedures. | To maintain compliance: as established in the ESMF management plans for future projects to be included in Program will include chance findings procedures. |
| B.10 Hazardous Materials | **Full compliance achieved.**  Management plans of the sample include adequate management and mitigation measures. | To maintain compliance: as established in the ESMF, management plans of future projects to be included in Program will include adequate management and disposition of such materials. |
| B.11 Pollution Prevention & Abatement | **Full compliance achieved.**  Management plans of the sample include adequate management and mitigation measures. | To maintain compliance: as established in the ESMF, management plans of future projects to be included in Program will include adequate management and mitigation measures. |
| B.12 Projects under Construction | **Not applicable (policy not relevant)** | - |
| B.13 Noninvestment Lending and Flexible Lending Instruments | **Not applicable (policy not relevant)** | - |
| B.14 Multiple Phase and Repeat Loans | **Full compliance achieved**  The Republic of Haiti has agreed with the Bank on an appropriate course of action to remedy liabilities from past completed operations. | - |
| B.15 Co-financing Operations | **Full compliance achieved.**  The Bank coordinates approach on environmental and social matters with other lenders, and incorporated their Environmental and Social requirements. | To maintain compliance: maintain coordinated approach with other lenders on environmental and social matters. |
| B.16 In-Country Systems | **Not applicable**  This operation will not apply national safeguards systems. | - |
| B.17 Procurement | **Compliance achievable through specific conditions established in legal documentation for actions over the life span of the program.** | Bidding documents and then contracts will incorporate relevant Environmental and Social requirements. |
| **OP-704 Natural Disaster Risk Management Policy** | | |
| A.2 Analysis and, if necessary, management of Type 2 risk[[10]](#footnote-10) scenario | **Full compliance achieved.**  Natural disaster risk was analyzed, in particular through a quick vulnerability assessment conducted for climate-related stress factors. | To maintain compliance: a comprehensive climate change vulnerability assessment will allow to define the criteria to be integrated in final roads designs. |
| A.2 Contingency planning in case of emergencies (Emergency response plan, Community health and safety plan, Occupational health and safety plan) | **Full compliance achieved.** | To maintain compliance: Relevant contingency planning will be developed through ESMF execution. |
| **OP-710 Operational Policy on Involuntary Resettlement** | | |
| Resettlement Minimization | **Full compliance achieved.**  In particular, the design of the sample incorporated two bypasses to reduce resettlement impacts. | To maintain compliance: The Resettlement Framework establishes conducting an analysis of alternatives to avoid/reduce such impacts.  Revised executive resettlement plans will be developed based on final project’s design before construction starts under the same principle. |
| Impoverishment Risk Analysis | **Full compliance achieved**  For the sample, RPs comprise analysis and compensation of affected housing, assets and sources of income and proposes alternatives to avoid impoverishment. | To maintain compliance: execution of RF will ensure application of same analysis and measures as for the sample. |
| Resettlement Plan and/or Resettlement Framework Requirement[[11]](#footnote-11) | **Full compliance achieved**  RPs for the sample, and RF have been completed. | - |
| Resettlement Plan Consultations | **Full compliance achieved**  Consultation on the RPs for the sample has been completed. |  |
| **OP-765 Operational Policy on Indigenous Peoples** | | |
| **Not applicable (policy not relevant)**  There are no indigenous peoples in the project’s area. | | |
| **OP-761 Operational Policy on Gender Equality in Development** | | |
| Consultation and effective participation of women and men | **Full compliance achieved**  Consultations performed in 2016 & 2017 were designed and conducted in a participatory and gender equity manner. | To maintain compliance: execution of management plans. |
| Gender equality risk[[12]](#footnote-12) analysis | **Full compliance achieved**  The sample (as the program) is not expected to have gender differentiated negative impacts.  Both RPs and ESIA assessed gender differentiated impacts and includes provisions on this matter (in particular for equal access to compensation, benefits and safety measures). | To maintain compliance: execution of management plans. |
| **OP-102 Access to Information Policy** | | |
| Disclosure of relevant Environmental and Social Assessments[[13]](#footnote-13) Prior to Analysis Mission, QRR, OPC and submission of the operation for Board consideration | **Full compliance achieved**  ESIA, RP, ESMF (and RF) were disclosed before analysis mission and their updates before presentation to Board. |  |
| Provisions for Disclosure of Environmental and Social Documents during Project Implementation | **Compliance achievable through specific conditions established in legal documentation for actions over the life span of the Program.** | ESIAs, RPs and other relevant studies prepared for new projects under the Program will be published before becoming eligible for financing. |

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| **Annex B. ESHS Legal Requirements** |
| **“A. ESHS Conditions of the Grant Agreement.”**  “The following ESHS conditions are required to be fulfilled to the satisfaction of the Bank and will be included in the Grant Agreement in order to comply with the Bank’s ESHS Safeguard Policies.” |
| **“1. Conditions of Execution for Compliance During the Life of the Grant.”**  a) The Beneficiary agrees to design, build, operate, maintain, and monitor the Project and manage the ESHS risks of the Project’s Associated Facilities directly or through the Executing Agency or through every other contractor, operator or any other person performing Project related activities in accordance with the environmental, social, occupational health provisions provided for Environmental Impact Assessment, Environmental and Social management plan, Environmental and Social Framework, Involuntary Resettlement Plan and other environmental, social and occupational health plans and requirements included in the Corrective Action Plan  b) “Any substantive changes to the ESHS provisions or ESHS Plans referred to herein shall be in writing and approved by the Bank in a manner consistent with the Bank's environmental and social safeguards policies.”  c) The Executing Agency shall not engage in any of the following activities with respect to the Operation: (i) category A projects, in accordance with the classification of projects contained in the environmental and social safeguard requirements of the Bank, either because it is expected potential adverse impacts on indigenous peoples, their lands, territories or intellectual property, result in significant involuntary resettlement or displacement of subsistence activities of vulnerable groups, affect critical natural habitats or cultural resources or any other criteria contained in said classification system; and (ii) in addition, for force account activities of component 2: any activity involving resettlement, or projects categorized B by the Bank.  d) In the event the Bank determines that a Corrective Action Plan (CAP) is required, the Beneficiary or the Executing Agency shall submit a CAP, including the corresponding schedule and budget, that is satisfactory to the Bank within thirty days of the Bank’s request.  e) Prior to initiating works for the sample of component I of the Program, the Beneficiary or the Executing Agency shall present updated Population Affected by the Project (PAP) information based on consultations with relevant stakeholders, as well as the case may be any updated project design, and submit a relocation proposal for housing, small businesses and community water centers.  f) The Executing Agency must: (i) implement participation processes with the interested parties in the works foreseen in the Program to guarantee that the affected communities are informed and consulted about the progress of the work and the socio-environmental management of the Program, and have access to conflict resolution mechanisms; and (ii) disclose any evaluation and socio-environmental management plan related to the works. |
| **“B. Provisions to be included in the Operational Manual (“ROP”)”**  “The following ESHS conditions are required to be fulfilled to the satisfaction of the Bank and will be included in the Operations Manual in order to comply with the Bank’s ESHS Safeguard Policies.”  **“ Monitoring, Reporting and Supervision.”**  “For the purposes of monitoring supervision of ESHS compliance, the following requirements shall apply:”  (i) “The Beneficiary or the Executing Agency shall prepare and present to the Bank’s satisfaction, an ESHS Compliance Report (ESCR), in the form and content agreed upon with the Bank, as part of the semester progress report until construction is completed, then annually for two years after construction is completed;”  (ii) “The Beneficiary or the Executing Agency shall fully cooperate with the Bank’s Project supervision and preparation of supervision reports to (i) verify compliance of the implementation of the ESHS requirements for the Project and (ii) address any ESHS impact or liability which has not been adequately mitigated or compensated; to this end, the Beneficiary or the Executing Agency shall allow and collaborate with the Bank, including requiring and facilitating access to documentation and sites”  **“ESHS Management. Definitions”**  “5.01: Definition: ESMF for the Project means a set of ESHS systems and commitments including the following elements: (i) policy commitments, (ii) procedures for classifying, evaluating, managing and monitoring environmental and social aspects of Sub-Projects, (iii) ESHS compliance standards, (iv) the roles, responsibilities and resources for ESHS management, (v) training and capacity building, (vi) reporting and documentation, and (vii) a procedure for continual improvement.” |

**Annex C. Sample project area’s map**



KBA Dubebou-Balance & KBA Port-de-Paix along RN5, in red (source ESIA).

1. ESIA includes requirements not to install any ancillary facilities in such areas, while the sideways of the road do not include such preserved habitats. [↑](#footnote-ref-1)
2. Conseil d'Administration de la Section Communale.  [↑](#footnote-ref-2)
3. Institute Haitien of Statistics and Information (IHSI), estimates for 2009 [↑](#footnote-ref-3)
4. Direction Nationale de l’Eau Potable et l’Assainissement. [↑](#footnote-ref-4)
5. The Expropriations for Public Utility Law approved in September 1979 gave birth to the CPA under the supervision of the MTPTC. The CPA’s role is to evaluate the financial amount required for property expropriations, to reach agreements with the parties affected by the projects, and to ensure that these parties receive adequate compensation. The CPA works closely with local notaries to verify land titles and with the Ministry of Economy and Finance (MEF), which usually finances expropriation costs – not for this Program. [↑](#footnote-ref-5)
6. Ministry of Economy and Finance. [↑](#footnote-ref-6)
7. Studies include: (i) a gender diagnostic to collect information about gender issues in the intervention areas, as well as current gender projects being carried out in Haiti; (ii) a qualitative report about Madan Saras; and (iii) a pilot program to collect data on Madan Saras travel patterns and needs. [↑](#footnote-ref-7)
8. The past three transport operations have included a variety of gender activities. [↑](#footnote-ref-8)
9. OP-703 applies when livelihood impacts are not significant and don’t lead to physical displacement (see *Transitional Guidance in instruments for Physical Displacement, Economic Displacement and Economic Losses under OP-710 and OP-703* (TG-005) for more information) [↑](#footnote-ref-9)
10. Type 2 risk scenario occurs when the operation has a potential to exacerbate hazard risk to human life, property, the environment and the project itself. [↑](#footnote-ref-10)
11. OP-710 applies when livelihood impacts lead to physical displacement (see *Transitional Guidance in instruments for Physical Displacement, Economic Displacement and Economic Losses under OP-710 and OP-703* (TG-005) for more information) [↑](#footnote-ref-11)
12. Risks may include: (i) Unequal access to project benefits/ compensation measures, (ii) Men or women disproportionally affected due to gender factors, (iii) Non-compliance with applicable legislation related to equality between men and women, (iv) Increased risk of gender-based violence, including sexual exploitation, human trafficking and sexually transmitted diseases, and (v) Disregard of women’s ownership rights. [↑](#footnote-ref-12)
13. Environmental and Social Assessments include ESIAs, ESMPs, RPs, RFs, and ESMFs. [↑](#footnote-ref-13)