

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

**Report No.: ISDSA6596**

**Date ISDS Prepared/Updated:** 06-Mar-2014

**Date ISDS Approved/Disclosed:** 06-Mar-2014

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	Dominica	<b>Project ID:</b>	P129992
<b>Project Name:</b>	Third Phase Disaster Vuln.Reduction APL for Dominica (P129992)		
<b>Task Team Leader:</b>	Zoe Elena Trohanis		
<b>Estimated Appraisal Date:</b>	24-Feb-2014	<b>Estimated Board Date:</b>	01-May-2014
<b>Managing Unit:</b>	LCSDU	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Flood protection (40%), Central government administration (10%), Water supply (15%), General transportation sector (35%)		
<b>Theme(s):</b>	Natural disaster management (50%), Climate change (50%)		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			Yes
<b>Financing (In USD Million)</b>			
Total Project Cost:	39.50	Total Bank Financing:	17.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
BORROWER/RECIPIENT			1.50
International Development Association (IDA)			17.00
Strategic Climate Fund Credit			9.00
Strategic Climate Fund Grant			12.00
Total			39.50
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

**2. Project Development Objective(s)**

The proposed Project Development Objective (PDO) is to reduce vulnerability to natural hazards and

climate change impacts in Dominica through investment in resilient infrastructure, as well as improved hazard data collection and monitoring systems

### **3. Project Description**

The proposed Project would consist of the following four components: (1) Prevention and Adaptation Investments; (2) Capacity Building and Data Development, Hazard Risk Management and Evaluation; (3) Natural Disaster Response Investments; and (4) Project Management and Implementation Support.

**Component 1: Prevention and Adaptation Investments.** This component is designed to reduce physical vulnerability and pilot adaptive measures to build resilience to current and future hydro-meteorological shocks. Activities under this component would include a suite of civil works to improve infrastructure resilience to disaster events and climate change adaptation measures. Sub-projects to be financed under this component, through the provision of works, technical advisory services, operating costs, and acquisition of goods, include: (a) Construction of water storage and distribution infrastructure; (b) Slope stabilization interventions; (c) Climate resilient rehabilitation of primary and secondary roads and bridges along the East coast and in the South; and (d) Improved climate resilient drainage systems.

**Component 2: Capacity Building and Data Development, Hazard Risk Management and Evaluation.** The Project would support building the capacity for analysis and assessment of risks from natural hazards and climate change including the integration of this analysis in the development decision making process. This component will support the creation of relevant core data and data collection systems as well as the integration analytical tools to permit improved decision making and engineering design for risk reduction and climate change adaptation. Core data systems to be developed under this component include inter alia: (a) creation of a high resolution digital topographic and bathymetric model for Dominica; (b) creation of a high resolution soils survey map including chemical and physical characteristics for each soil unit; (c) design and deployment of a robust hydromet network to provide high resolution hydrologic data for use in a wide range of activities to support, for example, engineering design, land use and coastal zone planning, disaster management, roads construction practices and design, agricultural development and others; and (d) district and community level hazard risk mapping and training on climate adaptation measures.

**Component 3: Natural Disaster Response Investments.** This provisional component under this Project would allow for rapid reallocation of IDA funds during an emergency, under streamlined procurement and disbursement procedures. The emergency component would be triggered following an adverse natural event, by an official Government of the Commonwealth of Dominica declaration of a national emergency. Under this component, expenditures on critical imports (imported or locally manufactured) required by the public/private sectors, and reconstruction/rehabilitation (civil works, goods, and services) of damaged infrastructure may be financed as per (OP/BP 10.00).

**Component 4: Project Management and Implementation Support.** Activities under this component would support strengthening and developing the institutional capacity for Project management, including: (a) financing the establishment of a new Project Coordination Unit (PCU) within the Ministry of Environment, including staffing, training, and operating costs; (b) preparation for designs and tender documents; (c) preparation of project reports; (d) processing of contracts and tender evaluation; (e) coordination of participating line Ministries; (f) supervision of the quality of works; (g) training of staff in project management and implementation support; (h) monitoring and evaluation of project progress and results, and (i) related activities to support efficient project

management and implementation, through the provision of technical advisory services, training, operating costs, and acquisition of goods.

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

Project works would be undertaken throughout the island of Dominica, including in the Carib Territory where Dominica's indigenous population resides. Civil works investments include a suite of activities designed to improve resilience to disaster events and adapt to impacts relating to climate change. Activities include comprehensive road rehabilitation and landslide and slope stabilization. Works also include new construction activities in the water sector to improve supply and resilience to drought events.

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

M. Yaa Pokua Afriyie Oppong (LCSSO)

Michael J. Darr (LCSEN)

<b>6. Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/ BP 4.01	Yes	The Environmental Assessment Policy is triggered because civil works from subprojects may create negative environmental effects. A project-level EA (Environmental Assessment) has been prepared and disclosed to encompass and evaluate the potential environmental effects of the program as a whole. An EMF (Environmental Management Framework) is also included to set out the principles, rules, guidelines and procedures for screening and assessment of environmental impacts of future individual subprojects of Components 1 and 2 once they have been defined with sufficient detail to be specifically evaluated. The EMF includes a generic standardized Environmental Management Plan (EMP) for simple civil works, as well as criteria for requiring EIAs of individual subprojects if complex or sensitive conditions exist. The EMF also includes a section with clear safeguards guidelines for emergency investments and works under Component 3 including types of activities, responsibilities for screening and environmental/social management, and for preparation of any safeguards studies prior to works as pertinent under OP 10.00 and consistent with the project category. It is likely that the majority of works will be relatively minor in nature and involve simple civil works where the environmental impacts are limited to the construction phase, requiring only the application of the standardized generic EMP. However, any

		exceptions will be identified during screening in the EMF and additional assessment work will be done during project implementation as required.
Natural Habitats OP/BP 4.04	Yes	The Natural Habitats policy has been triggered as a precaution. Potential project activities may occur in highland forest areas, on coastlines, in sensitive riparian areas along streams or rivers, or in other areas where the policy could be triggered owing to the richness of Dominican natural habitat. The EMF would consider natural habitats in screening known works and in screening procedures for any demand-driven or undefined activities to identify areas that may trigger this policy and require additional assessment to develop site-specific mitigation and management measures. Effects on critical natural habitat and primary forests would be excluded.
Forests OP/BP 4.36	Yes	The Forests policy is being triggered as a precaution because limited forest resource harvesting may be done. The term forest harvesting only refers to incidental clearing of a very limited number of trees as may be required for the agroforestry pilot plots which would also include planting of trees for slope stabilization, erosion prevention, or planting of climate resilient crops. All proposed project activities will be screened using the EMF and any negative effects on primary forest would be excluded.
Pest Management OP 4.09	Yes	This policy is being triggered as a precaution. Works for greenhouses, crop management, and others is likely to involve the use of pesticides and herbicides. It is likely that simple management procedures can be applied, since the quantities stored and used are likely to be small. Standard measures will be specified for incidental use of pesticides (e.g. termite treatments for buildings, or safe use of pesticides for vector control) and will be built into a generic standardized EMP. The EMF will screen for any significant pesticide use and will require that a Pest Management Plan be developed if indicated by the Policy.
Physical Cultural Resources OP/ BP 4.11	Yes	The Physical Cultural Resources Policy is triggered as a precaution. Project activities may potentially include retrofitting of historical buildings, restoration of culturally important sites,

		and chance finds of historically or culturally important resources during construction of works; accordingly, the EA/EMF include screening for historical structures, as well as a "chance-find" procedure. Stakeholder contribution to conceptual design of any rehabilitation works will also be solicited.
Indigenous Peoples OP/BP 4.10	Yes	The Indigenous Peoples Policy is triggered as the project will be implemented in the Carib Territories. Consultations have been held with the Ministry of Carib Affairs, Members of the Carib Council, including the Carib Chief, and members of the Carib community. An Indigenous People's Plan with associated social assessment has been prepared. Prior and informed consultations with the community were undertaken during project preparation to inform the IPP and ensure community support.
Involuntary Resettlement OP/BP 4.12	Yes	The Involuntary Resettlement Policy is being triggered as a precaution, as it is possible that works planned under the project, including rehabilitation of primary and secondary roads and bridges, and construction of structures and monitoring stations, might encroach upon private lands therefore necessitating compensation. All works requiring private land acquisition will be subject to prior review. Any voluntary concession of land by the indigenous community will be monitored and legal documentation obtained prior to any transactions. In addition, populations would only be resettled in the event of an emergency, as per component 3. The client prepared a Resettlement Policy Framework (RPF), which will be consulted and disclosed in country and at the Bank's InfoShop prior to appraisal. In the event that land acquisition becomes necessary sub-project resettlement plans will be prepared and affected parties compensated prior to sub-project financing.
Safety of Dams OP/BP 4.37	No	There are no project activities that will support the construction or rehabilitation of dams, nor which rely on the services of existing dams.
Projects on International Waterways OP/BP 7.50	No	There are no project activities which will affect international waterways.
Projects in Disputed Areas OP/BP 7.60	No	There are no project activities which will take place in disputed areas.

## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

#### 1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

Environmental Safeguards:

Environmental Assessment OP/BP 4.01. The borrower has prepared a project-level Environmental Assessment (EA) to encompass and evaluate potential environmental impacts of the entire program, with an Environmental Management Framework (EMF) to screen future projects for additional assessment needs. The EA will be a program-wide evaluation of the potential impacts anticipated from all the types of subprojects being considered under the program. For more complex projects or those in sensitive areas, the EMF will establish under which specific circumstances other safeguards policies for Natural Habitats, Physical Cultural Resources, Forests, or Pest Management may be triggered. The EMF will specifically respond to the types of Projects/subprojects under Components 1 and 2 as well as include standard procedures for mitigating environmental impacts of construction, monitoring and reporting. For relatively simple subprojects and activities, a screening procedure and draft contract clauses for generic standardized environmental mitigation measures will be developed to serve as a generic standardized Environmental Management Plan (EMP) suitable for inclusion into the Project's Operations Manual (OM) to be applied as needed to works construction contracts. The EMF also includes a section with clear safeguards guidelines for emergency investments and works including for the preparation of any safeguards studies prior to works as pertinent under OP 10.00 (as may be considered under Component 3). Consideration would be given to internal/external safeguards specialist review of activities proposed under Component 3 and applying the screening measures in the EMF on an expedited basis.

The Natural Habitats policy (OP 4.04) is triggered as a precaution due to potential Project activities which may occur in highland forest areas, river valleys, coastlines and / or marine areas. The EA and EMF account for natural habitats when screening both known works and any future activities currently undefined. Potential application of this policy is identified in the EA, while screening of future subprojects would be described in the EMF to determine if additional assessment and specialized mitigation measures would be required for these Projects, once detailed designs are known during implementation. Scoping for well-preserved vegetation, intact forest areas, rare or endangered species habitat, and other complex or sensitive ecosystems will be conducted for projects of any considerable size or with potential impacts extending off-site to any considerable extent (e.g., downstream areas, riverbeds, etc.).

The Forests policy (OP/BP 4.36) is triggered as a precaution. This is because limited forest resource harvesting may be done, in the sense that incidental clearing of a very limited number of trees may be required for the agroforestry pilot plots, which would also include planting of trees for slope stabilization, erosion prevention, or planting of climate resilient crops. In addition, some of the projects have implications for changes in forest management, as any lessons learned during the pilot projects may inform future national policy, but this is not an expected output of the project. There are new Land Use Policies being developed by the government, and given that 60% of Dominica's territory is forested (while 20% is officially protected), there will be effects on forested areas and their use, therefore triggering of the Policy was deemed prudent.

<p>The Physical Cultural Resources Policy (OP/BP 4.11) has been triggered as a precaution. The EMF and EMP include a "chance-find" procedure, particularly during activities such as major excavations, road realignments or similar works where such assets could be affected by clearing, blading, excavation or trenching. Archaeological relics may also be encountered and a robust chance-find procedure should be developed, for which interaction with the Carib Community may be relevant, even for lands outside the designated Carib Territory. There is no formal body to screen antiquities, except for Historic Buildings in Roseau; rather, the local practice is to consult the island's historian, if any items of interest are uncovered.</p>
<p>The Pest Management policy (OP/BP 4.09) has been triggered as a precaution. Works for greenhouses, crop management, and others could involve the use of pesticides and herbicides. Simple management procedures could be developed, since the quantities stored and used would likely be small. Standard measures may be applied for incidental use of pesticides (e.g. termite treatments for buildings, or safe use of pesticides for vector control), and will be built into a generic standardized EMP. The EMF will screen for any significant pesticide use and will require that a Pest Management Plan be developed if indicated by the Policy.</p>
<p>Social Safeguards:</p>
<p><b>Involuntary Resettlement:</b> The project triggers the Involuntary Resettlement safeguard policy (OP/BP 4.12) as the proposed civil works may entail both temporary and permanent involuntary land acquisition. The scale of any acquisition is likely to be small and the impacts relatively insignificant.</p>
<p><b>Indigenous Peoples:</b> The Indigenous Peoples safeguard (OP/BP 4.10) is triggered as subprojects will be implemented in the Island's Carib Territory. The Carib/Kalinago population has been consulted during the course of project preparation and an Indigenous Peoples Plan with associated Social Assessment and consultations has been prepared. The community has indicated its broad support of the project during consultations held on February 5, 2014. An Indigenous Peoples Plan has been prepared during project preparation to guide implementation and ensure consultation with and involvement of the Carib/Kalinago community in the sub-projects to be implemented in their territory. Project impacts are likely to be positive and significant/irreversible impacts unlikely.</p>
<p><b>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</b></p>
<p>The environmental and social impacts of the Project are likely to be positive and the project beneficiaries would be the entire Dominican population, including the Island's Indigenous Population.</p>
<p><b>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</b></p>
<p>N/A</p>
<p><b>4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.</b></p>
<p>The PCU, once established, will be a new entity with predominantly fiduciary functions and will be housed within the Ministry of Environment. As the project focal point, the Ministry of Environment would be responsible for communicating project decisions made to participating line</p>

<p>ministries and foster coordination between technical agencies and central Government. To build capacity, the Bank will provide continued support and training as part of preparation and supervision to build capacity of the PCU and Ministry of Environment. The Ministry of Environment will take the lead in the hiring of key PCU staff and has taken the lead to mobilize staff to prepare the safeguards instruments. As part of PCU staffing, an environmental specialist would be mobilized; a Social Specialist will also be hired by the PCU on a full time basis to implement the IPP and conduct regular consultations with the Carib/Kalinago population as well as to handle the land acquisition aspects of the project.</p>
<p><b>5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.</b></p>
<p>The key stakeholders are the residents of the Island of Dominica since the planned works and activities will be conducted Island-wide and will have benefits for the entire population. In addition, the Island's Indigenous Population will benefit through activities specifically planned for the Carib Territories. An Indigenous Peoples Plan with associated Social Assessment has been prepared and consultations held with the Carib/Kalinago population. Consultations with the general population and the Carib population more specifically will continue during project implementation as the Resettlement Framework and Indigenous Peoples Plan are implemented. All safeguards instruments, including the EA/EMF, the Resettlement Policy Framework and Indigenous Peoples Plan have been consulted and publicly disclosed prior to project appraisal, as per OP/BP 4.12 and OP/BP 4.10.</p>

### ***B. Disclosure Requirements***

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	20-Feb-2014
Date of submission to InfoShop	21-Feb-2014
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
Dominica	27-Feb-2014
<i>Comments:</i>	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	25-Feb-2014
Date of submission to InfoShop	26-Feb-2014
"In country" Disclosure	
Dominica	05-Mar-2014
<i>Comments:</i>	
<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	19-Feb-2014
Date of submission to InfoShop	25-Feb-2014
"In country" Disclosure	
Dominica	25-Feb-2014
<i>Comments:</i>	
<b>Pest Management Plan</b>	
Was the document disclosed prior to appraisal?	NA

Date of receipt by the Bank	NA
Date of submission to InfoShop	NA
"In country" Disclosure	
Dominica	00000000
<i>Comments:</i> N/A	
<b>If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP/GP 4.01 - Environment Assessment</b>	
Does the project require a stand-alone EA (including EMP) report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>OP/BP 4.04 - Natural Habitats</b>	
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [ <input type="checkbox"/> ] No [ <input checked="" type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
<b>OP 4.09 - Pest Management</b>	
Does the EA adequately address the pest management issues?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Is a separate PMP required?	Yes [ <input type="checkbox"/> ] No [ <input checked="" type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, has the PMP been reviewed and approved by a safeguards specialist or SM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?	Yes [ <input type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input checked="" type="checkbox"/> ]
<b>OP/BP 4.11 - Physical Cultural Resources</b>	
Does the EA include adequate measures related to cultural property?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>OP/BP 4.10 - Indigenous Peoples</b>	
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]

If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Sector Manager?	Yes [ ] No [ ] NA [ × ]
<b>OP/BP 4.12 - Involuntary Resettlement</b>	
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [ × ] No [ ] NA [ ]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?	Yes [ × ] No [ ] NA [ ]
<b>OP/BP 4.36 - Forests</b>	
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [ ] No [ ] NA [ × ]
Does the project design include satisfactory measures to overcome these constraints?	Yes [ ] No [ ] NA [ × ]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [ ] No [ × ] NA [ ]
<b>The World Bank Policy on Disclosure of Information</b>	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ × ] No [ ] NA [ ]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [ × ] No [ ] NA [ ]
<b>All Safeguard Policies</b>	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ × ] No [ ] NA [ ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ × ] No [ ] NA [ ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ × ] No [ ] NA [ ]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [ × ] No [ ] NA [ ]

### III. APPROVALS

Task Team Leader:	Name: Zoe Elena Trohanis	
<b>Approved By</b>		
Sector Manager:	Name: Anna Wellenstein (SM)	Date: 06-Mar-2014