

**INTEGRATED SAFEGUARDS DATASHEET
APPRAISAL STAGE**

Report No.: 93455

Date prepared/updated: April 7, 2014

I. Basic Information

1. Basic Project Data

Country: Somalia		Project ID: P150374	
		Additional Project ID (if any):	
Project Name: Urban Investment Planning Project			
Task Team Leader: Roland White			
Estimated Appraisal Date: 14 July, 2014		Estimated Board Date: N/A	
Managing Unit: AFTU1		Lending Instrument: RETF (Small Grant)	
Sector: Urban Transport, Water Supply, Solid Waste Management, Sub-National Government			
Theme: Other Urban Development, Municipal Government, Decentralization			
IBRD Amount (US\$m.): IDA Amount (US\$m.): Other financing amounts by source: US\$ 4.90M			
Environmental Category: B – Limited Assessment			
Is this a transferred project	Yes [X]	No []	
Simplified Processing	Simple []	Repeater []	
Is this project processed under OP 8.00 (Rapid Response to Crises and Emergencies)	Yes []	No [X]	

2. Project Objectives:

The PDO is: “To provide (i) an assessment of the feasibility of, and preliminary plans for, selected urban investment and institutional strengthening activities in South-Central Somalia, Puntland and Somaliland, and (ii) enhanced project preparation and implementation capacity of participating agencies.”

3. Project Description:

The UIPP comprises a “project to prepare a project”. The main project, called the Urban Development Project (UDP), has a currently estimated budget envelope of US\$86.11m (excluding currently unspecified contingency amounts), intended for support by the MPF. Pursuant to relevant Bank Operating Procedures, which specifically allow for such situations, and given that the project has an environmental safeguard categorization of B, the activities to be supported under the UDP will include both detailed project design and implementation. In brief they constitute the rehabilitation and upgrading of primary and secondary/community roads and the renovation of the BRA administrative building in Mogadishu, a potential combination of the upgrading of intra-city roads and/or bridge-building in Garowe, the enhancement of solid and liquid waste management and water supply in Hargeisa, the extension and institutionalization of the Local Development Fund, and institutional strengthening activities focused on the three

municipalities and the Hargeisa Water Authority. All of these projects are expected to have moderate to significant environmental impacts, equivalent to Category B. These activities have been identified through a process of technical work and dialogue the Bank Task Team has undertaken during a number of visits to the three cities and are described in the Project Information Document for the UDP and in the Aides Memoire produced after each visit.

Preliminary preparation, which includes feasibility studies and preliminary design for the main infrastructure activities under the SUDP and a range of institutional assessments, will be undertaken under the UIPP – i.e. the project which forms the subject of this assignment - also to be supported by the MPF. The output of the technical work undertaken under the UIPP will provide the basis for the preparation of the UDP. It should be noted that final design work itself – e.g. detailed engineering design, social and environmental impact assessments, exploratory drilling and preparation of bidding documents – will not be undertaken as part of the UIPP. They will be undertaken as part of the UDP, and funding to cover these costs will be included in the project documentation and proposals relating to that operation.

Overall, the UIPP will support two basic types of activity:

1. *feasibility and preliminary design studies* for the physical investments that will supported by the UDP, and institutional assessments of the agencies that will execute these investments to provide an informational and analytic base for the preparation of institutional strengthening activities that will be supported by the UDP. In order to facilitate the quick execution of these activities in the fragile and conflict affected environment of the Somali territories, they will be executed by the Bank pursuant to OP 10 (para 12)
2. *provision of technical assistance* to enhance the capacity of the Somali executing agencies to prepare and implement the UDP effectively and efficiently and to mitigate fiduciary and safeguards risk. These activities will be client executed.

These activities are described on a component-by-component basis below.

Project Component Description

Mogadishu (US\$ 1.56m). Feasibility and preliminary design studies for the primary roads will be undertaken to assess whether the selection of the three roads by the BRA is the most efficient use of roads funds in relation to the roads already being upgraded with Turkish assistance, survey these roads, take soil core samples along the roadway to determine the existing sub-base and base materials of the roads, determine the standards for roads construction, locate the options for road material quarries, locate options for the asphalt and concrete batching plants, assess the labor pool available in Mogadishu vis-à-vis roads construction, provide cost estimates and identify potential environment and social impacts that will be assessed in UDP. For the secondary/community roads, the activities will focus on a dialogue with communities to determine the priority works to be undertaken in each of the 16 Districts in Mogadishu, to determine optimum implementation modalities, and provide cost estimates. As regards the BRA administrative building renovation, the work will comprise a review of the structural integrity of

the building, the BRA design work done thus far, and the cost estimates and phasing plans developed by BRA engineering and architectural staff and consultants.

Environmental and social due diligence work will contribute to the sub-component via two main types of activities: (i) a baseline survey of environmental and social information, data and issues that would help to identify E&S constraints, but also areas of potential enhancement of project outcomes, and provide E&S information, criteria and constraining factors for the subsequent design process; (ii) the development of an environmental and social management framework, which would constitute a generic tool for managing social and environmental risks related to urban investments, regardless of funding source, in the Somali territories for use by entities such as local governments and water utilities.

At the institutional level, an assessment will be undertaken of the BRA and the Ministry of Public Works (MoPW) of the FGS in order to provide an informational and analytic foundation for the detailed preparation and execution of institutional strengthening activities that will be undertaken under the UDP. The assessment will focus on basic conditions of performance, strategic planning capacity, technical and operational capacity, fiduciary systems, transparency and accountability mechanisms and environmental and social management.

In order to establish sufficient capacity to prepare and then implement the UDP, technical assistance for the BRA will need to be recruited under UIPP comprising a full-time project coordinator, full-time procurement specialist, full-time financial management specialist, a part-time social and environmental specialist, and a part-time monitoring and evaluation specialist.

Garowe (US\$ 0.82m). Feasibility and preliminary design studies for the identified roads and potential bridges will be undertaken to estimate costs and identify the trade-offs to inform the selection of potential roads and bridge construction activities to be undertaken under UDP within the available budget envelope, survey the roads, determine the standards of roads/bridge construction, identify options for sourcing of materials and equipment, and assess the labour pool.

Environmental and social due diligence work will contribute to the sub-component via two main types of activities: (i) a baseline survey of environmental and social information, data and issues that would help to identify E&S constraints, but also areas of potential enhancement of project outcomes, and provide E&S information, criteria and constraining factors for the subsequent design process; (ii) the development of an environmental and social management framework, which would constitute a generic tool for managing social and environmental risks related to urban investments, regardless of funding source, in Puntland for use by entities such as local governments and water utilities.

At the institutional level, an assessment will be undertaken of the Garowe Municipality (GM) in order to provide an informational and analytic foundation for the detailed preparation and execution of institutional strengthening activities that will be undertaken under the UDP. The assessment will focus on basic conditions of performance, strategic planning capacity, technical and operational capacity, fiduciary systems, transparency and accountability mechanisms and environmental and social management.

In order to establish sufficient capacity to prepare and then implement the UDP, technical assistance for the GM will need to be recruited under UIPP comprising a full-time project coordinator, full-time procurement specialist, full-time financial management specialist, a part-time social and environmental specialist, and a part-time monitoring and evaluation specialist. It is possible that some of these roles could be combined, thus generating efficiencies. The potential for this will be explored as the UIPP is executed.

Hargeisa (US\$ 0.74m). Feasibility and preliminary design studies for the solid and liquid waste investments will be undertaken to determine the costs and siting of bulk solid and liquid waste disposal/treatment sites and improvements in transfer points/stations, determine necessary construction standards and the basic technologies that are most appropriate and cost-effective, identify options for sourcing of materials and equipment, and assess the labour pool, and determine requirements (financial, technical and institutional) for sustaining and expanding the system of solid waste collection that has been introduced under donor-funded technical assistance efforts in recent years, and identify potential environmental and social impacts that will be assessed in UDP. This work has already been completed for the water supply sub-component (under the UN-Habitat supported project) and so is not required under UIPP.

Environmental and social due diligence work will contribute to the sub-component via two main types of activities: (i) a baseline survey of environmental and social information, data and issues that would help to identify E&S constraints, but also areas of potential enhancement of project outcomes, and provide E&S information, criteria and constraining factors for the processes for design and environmental / social assessments planned for UDP or other downstream planning activities; (ii) the development of an environmental and social management framework, which would constitute a generic tool for managing social and environmental risks related to urban investments, and planning follow-up investigations, assessments and analyses (for e.g. water supply and waste management activities) regardless of funding source, in Somaliland for use by entities such as local governments and water utilities.

At the institutional level, assessments will be undertaken of the Hargeisa Municipality and the Hargeisa Water Authority in order to provide an informational and analytic foundation for the detailed preparation and execution of institutional strengthening activities that will be undertaken under the UDP. The assessments will focus on basic conditions of performance, strategic planning capacity, technical and operational capacity, fiduciary systems, transparency and accountability mechanisms and environmental and social management. In the case of the HWA, the assessment will build on the review being carried out by the Water and Sanitation Program (WSP) as part of their Corporate Governance Advisory support to the agency. The UIPP institutional assessment will identify potential residual activities from WSP's work; and recommend areas for future support in UDP to enable HWA to take on these residual activities.

In order to establish sufficient capacity to prepare and then implement the UDP, technical assistance which can be shared by the HM and HWA will need to be recruited under UIPP comprising a full-time project coordinator, full-time procurement specialist, a full-time social and environmental specialist, and a full-time monitoring and evaluation specialist.

Local Development Fund (US\$0.17m). The preliminary preparation activities for the LDF component to be conducted under the UIPP will constitute an assessment of the LDF focusing on quantum and allocation of the funding it provides, the usage of the funds, the efficiency of the funding and allocation process, the performance criteria, fiduciary issues, environmental and social management approaches used by beneficiary local governments, reporting and monitoring, budgeting and planning, and related issues. Detailed design of the support to be provided will be undertaken under the SUDP.

Additional Cross-cutting studies. There will be two of these. One will focus on the issue of conflict. The UDP will be implemented in three urban areas, namely, Mogadishu, Hargeisa and Garowe. These contexts – and particularly those most affected by conflict - require that enhanced attention be paid to understanding potentially harmful conflict and fragility factors which could affect the project, that the potential conflict-increasing impacts of each of the main project activities be assessed, and that mitigating strategies be identified. To this end, conflict assessment/mitigation work is necessary at two levels. First, an assessment will be undertaken to identify differentiated sources of conflict and fragility and their potential impacts on the specific activities which are likely to constitute the SUDP, to sensitize the design of the operation to such factors, and to develop a screening tool which can be utilized in the detailed preparation of the project components to identify potentially conflict-aggravating impacts of project activities and develop strategies to mitigate these impacts. This will include an initial, quick “do no harm” screening of the proposed SUDP investment activities which will feed into the feasibility studies under the UIPP. Second, the conflict screening tool will need to be applied in greater detail during the detailed preparation of UDP to gain a better understanding of the conflict factors surrounding the project activities and to identify opportunities for the activities to help, where possible, mitigate conflict.

Second, evidence indicates that infrastructure development projects can have social, human and economic impacts and outcomes for targeted communities. Infrastructure development furthermore can have different impacts and outcomes on men and women, influencing access to services and economic opportunities, resource allocations, and participation in community decision-making. Given that the SUDP will be one of the first major infrastructure investment projects that will take place across the Somali territories in many years, it is important to begin to develop an understanding of these impacts, particularly to inform the character and design of infrastructure investment interventions that will take place in the future.

To this end, an evaluation of the socio-economic impact of select urban infrastructure components will be conducted, including a disaggregation of some of the results by gender, to improve the understanding and knowledge of the impact of project activities of the kind anticipated under UDP. This evaluation will be conducted in two phases. Overarching survey design, including evaluation tools and protocols, will be developed during the UIPP to assess and evaluate the social and economic impacts of the UDP, including the differentiated impact of select components on men and women, both during and at the end of the project (i.e. the impact of project implementation and project outputs). Thereafter, impact evaluation activities, including survey administration, data collection and analysis of results, will be undertaken during the implementation of UDP. The evaluation activities will focus tentatively on road construction activities in Garowe, assuming the feasibility of security and other conditions.

4. Project Location and salient physical characteristics relevant to the safeguard analysis:

The project will be implemented in the cities of Mogadishu, Hargeisa and Garowe in the territories of Somalia. The physical environment in all project areas and locations is characterized by a strong existing anthropogenic imprint typical for intra-urban areas, including transport infrastructure, residences, shops, workshops, managed drainage systems and highly altered biodiversity and land cover. Virtually all of the project planning activities will pertain to the footprint of pre-existing infrastructure, which has deteriorated or been destroyed due to war or neglect.

5. Environmental and Social Safeguards Specialists on the Team: Wolfhart Pohl, Abdoul-Wahab Seyni.

6. Safeguard Policies Triggered (<i>please explain why</i>)	Yes	No
Environmental Assessment (OP/BP 4.01)	X	
Natural Habitats (OP/BP 4.04)		X
Forests (OP/BP 4.36)		X
Pest Management (OP 4.09)		X
Physical Cultural Resources (OP/BP 4.11)		X
Indigenous Peoples (OP/BP 4.10)		X
Involuntary Resettlement (OP/BP 4.12)		X
Safety of Dams (OP/BP 4.37)		X
Projects on International Waterways (OP/BP 7.50)		X
Projects in Disputed Areas (OP/BP 7.60)		X

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:

At this stage, the project will not finance any physical activities, civil works or final design studies for the potential investments in urban infrastructure in Mogadishu, Hargeisa and Garowe. Nevertheless, as the technical assistance and preparatory work provided is intended, and likely to result in concrete investment planning, the project has been classified as safeguards category B. SUIPP's main focus will be on the establishment of institutional structures and capacity, the definition of potential project portfolios, and the production of feasibility studies and environmental and social framework instruments.

A separate and subsequent project, the Urban Development Project (UDP), will be dedicated to the concrete preparatory work, which would include the identification of specific projects, their respective technical designs and eventual implementation, as well as the associated environmental and social assessments, management plans and possibly additional thematic studies (e.g. on waste management and water supply). Preparation of the UDP will commence once the preparatory work supported by the UIPP is completed.

Under the above described project design, the appropriate environmental instrument for the SUIPP has been determined as an environmental and social management framework (ESMF) to inform and guide the overall engineering designs and techno-economic planning process. The TOR for this E&S management framework have been produced by the Bank team during the project preparation phase as safeguards planning instrument. The TOR have been prepared under continuous dialogue with key stakeholders in the participating municipalities, and a summary has been disclosed in the World Bank's infoshop.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

N/A

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts:

N/A

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:

The Borrower's safeguards capacities were assessed to be low during project preparation. Thus the team has taken the lead in designing the safeguards process and preparing the required documentation. The Borrower has been involved in a consultative and information-sharing manner, but will be trained and guided to assume successively more responsibility during further project preparation, especially UDP. While specific environmental experience and expertise is sparse in the municipal authorities (which are expected to be the implementing agencies), engineering capacities are significantly higher.

The project thus plans to build on and expand safeguards expertise from the technical personnel of the implementing agencies, who will be trained in good housekeeping and basic environmental management. In parallel the project will deliver targeted capacity building in form of training and parallel work of counterpart staff with World Bank specialists and Consultants, in a "learning by doing" manner.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people:

The key stakeholders at this stage will be the urban management institutions and utilities in Mogadishu, Hargesia and Garowe. They have been continuously involved in the safeguards process, as well as the preparation of the TOR for the ESMF. The TOR have been disclosed in the World Bank's infoshop.

<i>B. Disclosure Requirements Date</i>	
Environmental Assessment/Audit/Management Plan/Other: TOR for ESMF	
Was the document disclosed <i>prior to appraisal</i> ?	N.A.
Date of receipt by the Bank	N.A.
Date of "in-country" disclosure	N.A.

Date of submission to InfoShop	2 Dec 2014
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	N.A.
Resettlement Action Plan/Framework/Policy Process:	
Was the document disclosed <i>prior to appraisal</i> ?	N/A
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
Indigenous Peoples Plan/Planning Framework:	
Was the document disclosed <i>prior to appraisal</i> ?	N/A
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
Pest Management Plan:	
Was the document disclosed <i>prior to appraisal</i> ?	N/A
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
* 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.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP 4.01 - Environment Assessment			
Does the project require a stand-alone EA (including EMP) report?	Yes []	No [X]	N/A []
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?			
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?			
OP/BP 4.04 - Natural Habitats			
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes []	No []	N/A [X]
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?			
OP 4.09 - Pest Management			
Does the EA adequately address the pest management issues?	Yes []	No []	N/A [X]

Is a separate PMP required?	Yes []	No []	N/A [X]
If yes, has the PMP been reviewed and approved by a safeguards specialist or Sector Manager? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?			
OP/BP 4.11 – Physical Cultural Resources			
Does the EA include adequate measures related to cultural property?	Yes []	No []	N/A [X]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on physical cultural resources?			
OP/BP 4.10 - Indigenous Peoples			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes []	No []	N/A [X]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?			
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit?			
OP/BP 4.12 - Involuntary Resettlement			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes []	No []	N/A [X]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review and approve the plan/policy framework/process framework?			
OP/BP 4.36 – Forests			
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes []	No []	N/A [X]
Does the project design include satisfactory measures to overcome these constraints?			
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?			
OP/BP 4.37 - Safety of Dams			
Have dam safety plans been prepared?	Yes []	No []	N/A [X]
Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank?			
Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training?			
OP/BP 7.50 - Projects on International Waterways			
Have the other riparians been notified of the project?	Yes []	No []	N/A [X]

If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?	
What are the reasons for the exception? Please explain:	
Has the RVP approved such an exception?	
OP/BP 7.60 - Projects in Disputed Areas	
Has the memo conveying all pertinent information on the international aspects of the project, including the procedures to be followed, and the recommendations for dealing with the issue, been prepared	Yes [] No [] N/A [X]
Does the PAD/MOP include the standard disclaimer referred to in the OP?	
The World Bank Policy on Disclosure of Information	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [] No [] N/A [X]
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?	
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [] No [] N/A [X]
Have costs related to safeguard policy measures been included in the project cost?	
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	

D. Approvals

<i>Signed and submitted by:</i>	<i>Name</i>	<i>Date</i>
Task Team Leader:	Roland White	17 Nov 2014
Environmental Specialist:	Wolfhart Pohl	18 Nov 2014
Social Development Specialist	Abdoul-Wahab Seyni	18 Nov 2014
Additional Environmental and/or Social Development Specialist(s):		
<i>Approved by:</i>		
Regional Safeguards Coordinator:	Alexandra Bezeredi	08 Dec 2014
Comments:		
Acting Practice Manager:	Alex Bakalian	19 Nov 2014
Comments:		