

**INTEGRATED SAFEGUARDS DATA SHEET
CONCEPT STAGE**

Report No.: AC4223

Date ISDS Prepared/Updated: 11/10/2010

I. BASIC INFORMATION

A. Basic Project Data

Country: Kenya	Project ID: P113542
Project Name: Kenya Informal Settlements Improvement Programme (KISIP)	
Task Team Leader: Sumila Gulyani	
Estimated Appraisal Date: November 22, 2010	Estimated Board Date: March 24, 2011
Managing Unit: AFTUW	Lending Instrument: Adaptable Program Loan
Sector: General water, sanitation and flood protection sector (40%);Sub-national government administration (30%);General transportation sector (30%)	
Theme: Access to urban services and housing (60%);Municipal governance and institution building (20%);Other urban development (20%)	
IBRD Amount (US\$m.):	0.00
IDA Amount (US\$m.):	100.00
GEF Amount (US\$m.):	0.00
PCF Amount (US\$m.):	0.00
Other financing amounts by source:	
BORROWER/RECIPIENT	10.00
FRANCE: French Agency for Development	45.00
<u>SWEDEN: Swedish Intl. Dev. Cooperation Agency (SIDA)</u>	<u>10.00</u>
	65.00

B. Project Objectives [from section 2 of PCN]

The overall project development objective of the KISIP is to improve living conditions in informal settlements in selected municipalities in Kenya. This will be achieved by improving security of tenure and investing in infrastructure based on plans developed in consultation with the community.

C. Project Description [from section 3 of PCN]

The Kenya Informal Settlement Improvement Program (KISIP) is the second in a series of programs that will support the Government of Kenya (GoK) in the urban and local Government sector. This program will have the following components.

Component 1: Strengthening institutions and program management. This component will support institutional strengthening and capacity building of the Ministry of Housing, the Ministry

of Lands, and the participating municipalities. It will also finance the management activities associated with program implementation and establishment of a monitoring and evaluation system.

Component 2: Enhancing tenure security. This component will support systematization and scale-up of ongoing efforts to strengthen settlement planning and tenure security in urban informal settlements.

Component 3: Investing in infrastructure and service delivery. This component will support implementation of settlement upgrading plans developed at the community level, investment in settlement infrastructure, and, where necessary, extension of trunk infrastructure to settlements.

Component 4: Planning for urban growth. This component will support planning and development of options that facilitate the delivery of infrastructure services, land, and housing for future population growth. The project does not propose to finance the construction of new buildings.

All the investments proposed are upgrades to existing infrastructure, fairly small in scale within the settlement areas focusing on improving living conditions for communities. These would most likely include storm water drain improvement, road rehabilitation for all weather accessibility, sanitation facilities, vending platforms and improved market infrastructure, sewer line improvements etc. Limited land acquisition is expected and resettlement will be minimal primarily to accommodate geometric correction and improved alignments for the proposed infrastructure upgrades. The nature and magnitude of impacts will be determined through the environment and social screening process indicated in the ESMF as part of the feasibility study.

D. Project location (if known)

A list of 15 urban LAs (municipalities) are on the long-list of participants for this program. These municipalities include: Nyeri, Thika, Nairobi, Machakos, Embu, Kitui, Naivasha, Nakuru, Eldoret, Kisumu, Kericho, Mombasa, Malindi, Kakamega and Garissa. However, participation is voluntary and requires municipalities to meet certain rules of access.

E. Borrower's Institutional Capacity for Safeguard Policies [from PCN]

The Ministry of Housing has experience in implementing large government- and donor-financed investment programs. As per the Environment Management and Coordination Act (EMCA, effective since 2000), NEMA requires all ministries and local authorities to depute Environment Officers within their agency. The MoH is currently implementing various slum improvement programs including Kenya Slum Upgrading Program (KENSUP) and the staff are familiar with the issues in slums. The MoH has already assigned staff with environmental and social experience to work on KISIP.

F. Environmental and Social Safeguards Specialists

Ms Sonia Chand Sandhu (SASDI)

Mr I. U. B. Reddy (SASDS)

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies Triggered	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)	X		
<p>It is expected that the specific infrastructure investments to be taken up in the selected informal settlements may have some environmental impacts depending upon the type of infrastructure to be implemented. Once these investments are identified, the environmental impact assessment will be carried out. A program-specific Environmental and Social Management Framework (ESMF), currently under preparation, will specify the mechanisms for screening, assessment, and management of environmental and social issues related to the project. The ESMF will include provisions requiring that settlement -specific Environmental Management Plans (EMPs), where required per GOK regulations and the Bank's OP, be prepared by the Borrower and appropriate regulatory clearances obtained prior to commencement of any works.</p>			
Natural Habitats (OP/BP 4.04)		X	
<p>Natural habitats are not expected to be impacted by the project. Any projects that would affect natural habitats are not eligible for funding for this project, per the exclusion criteria delineated in the ESMF as part of the screening process.</p>			
Forests (OP/BP 4.36)		X	
<p>It is not expected that any investment will indirectly (by providing access to) or directly affect forest areas. Any projects that either would directly or indirectly affect forest are not eligible for funding for this project, per the exclusion criteria delineated in the ESMF as part of the screening process.</p>			
Pest Management (OP 4.09)		X	
Physical Cultural Resources (OP/BP 4.11)	X		
<p>Every effort will be taken to avoid impact on identified physical cultural resources. Chance finds procedures will be incorporated into detailed engineering drawings as well as bidding and contract documents.</p>			
Indigenous Peoples (OP/BP 4.10)		X	
<p>A rapid assessment carried out in the participating urban municipalities indicates that IPs, as described in the Bank's OP 4.10, are not present. Therefore, this policy will not be triggered for the project. Nevertheless, feasibility studies and subsequent screening/selection will include an assessment of whether any indigenous people are affected or have attachment to the project area and, if so, culturally appropriate measures will be proposed in line with Operational Policy 4.10.</p>			
Involuntary Resettlement (OP/BP 4.12)	X		
<p>Specific infrastructure investments in the selected informal settlements will have positive impact in improving the living conditions of the residents. However, given the population density in most of the information in the settlements, the proposed infrastructure investments may entail displacement of small number of people. The proposed Resettlement Policy Framework (RPF) will cover all likely impacts and proposed mitigation measures, including the impact-specific entitlements. Based on the impacts, Resettlement Action Plans or Abbreviated Resettlement Action Plans will be prepared to mitigate the impacts and propose suitable implementation arrangements.</p>			
Safety of Dams (OP/BP 4.37)		X	
Projects on International Waterways (OP/BP 7.50)		X	
<p>This OP is not triggered because activities will not be carried out on international waterways.</p>			

Safeguard Policies Triggered	Yes	No	TBD
Projects in Disputed Areas (OP/BP 7.60)		X	

Environmental Category: B - Partial Assessment

III. SAFEGUARD PREPARATION PLAN

A. Target date for the Quality Enhancement Review (QER), at which time the PAD-stage ISDS would be prepared: 11/01/2010

B. For simple projects that will not require a QER, the target date for preparing the PAD-stage ISDS: N/A

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

A program-specific Environmental and Social Management Framework (ESMF) as well as a Resettlement Policy Framework (RPF) will be prepared by MoH, with the help of local consultants familiar with environmental and social issues. The draft will be discussed in a consultation workshop with the concerned stakeholders and will be adopted for the project.

For investment subprojects, where needed, Environmental Management Plans (EMPs) and Resettlement Action Plans (RAPs) will be prepared; these will be endorsed by the client and the Bank, and will be disclosed prior to acceptance of the sub-projects for Bank financing.

All potential and appropriate project sites for infrastructure need to comply with Bank safeguard requirements and other applicable local regulations. Exclusion criteria will be identified in the ESMF to avoid project activity in areas of high environmental and social impact, such as natural habitats, wetlands, forest areas, sanctuaries, wild life habitats and/or other protected areas as designated by GOK. Once a specific investment is selected within these limits, the next step will be to assess whether the existing safeguards processes and capacities are sufficient or whether additional assessments and modifications to the management and implementation frameworks will be necessary.

The ESMF includes provision to ensure that project-specific Environment Impact Assessments (EIAs), where required per GoK regulations, are prepared by the Borrower and appropriate regulatory clearances are sought, prior to commencement of any works.

Similarly, all adverse impacts associated with land acquisition and displacement, if any, will be mitigated based on the provisions to be incorporated in ESMF and RPF. These documents will be finalized consistent with the Banks operational policy 4.12 on Involuntary Resettlement.

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

IV. APPROVALS

<i>Signed and submitted by:</i>		
Task Team Leader:	Ms Sumila Gulyani	10/29/2010
<i>Approved by:</i>		
Regional Safeguards Coordinator:	Ms Alexandra C. Bezeredi	10/29/2010
Comments:		
Sector Manager:	Mr Alexander A. McPhail	11/05/2010
Comments:	Cleared by Alexander McPhail as Acting SM for AFTUW.	