



Additional Financing Appraisal Environmental and Social Review Summary Appraisal Stage **(AF ESRS Appraisal Stage)**

Date Prepared/Updated: 04/18/2023 | Report No: ESRSAFA548



BASIC INFORMATION

A. Basic Project Data

Country	Region	Borrower(s)	Implementing Agency(ies)
Haiti	LATIN AMERICA AND CARIBBEAN		
Project ID	Project Name		
P181119	Additional Financing - Haiti Caribbean Air Transport Connectivity Project		
Parent Project ID (if any)	Parent Project Name		
P170907	Caribbean Regional Air Transport Connectivity Project - Haiti		
Practice Area (Lead)	Financing Instrument	Estimated Appraisal Date	Estimated Board Date
Transport	Investment Project Financing	4/24/2023	5/29/2023

Proposed Development Objective

The objectives of the Project (PDO) are to: (i) improve operational safety and navigation efficiency of air transport in the Recipient’s territory; and (ii) increase the climate and disaster resilience of associated infrastructure at the Recipient’s international airports.

Financing (in USD Million)	Amount
Current Financing	84.00
Proposed Additional Financing	0.00
Total Proposed Financing	84.00

B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?

Yes

C. Summary Description of Proposed Project [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]

Public Disclosure



The objective of the Project (PDO) is to: (i) improve operational safety and navigation efficiency of air transport in the Recipient’s territory; and (ii) increase the climate and disaster resilience of associated infrastructure at the Recipient’s international airports.

Given the interdependence of Caribbean nations with respect to air transport sector, CATCOP will deploy a regional approach through the Series of Projects (SOP) instrument. In addition to Haiti, several other countries including St-Lucia, Dominica and Grenada have agreed to participate and all support the common objective of improving regional air transport connectivity and, as such, are seeking IDA financing for targeted country-specific critical investments and technical assistance related to improving safety and resilience. The proposed Project would include five components: (i) PAP and CAP operational safety and navigation efficiency investments; (ii) PAP and CAP airfield drainage system improvements; (iii) Technical Assistance; (iv) Contingent Emergency Response; and (v) Project Management. Total Project cost is estimated at US\$96 million including proposed AF.

D. Environmental and Social Overview

D.1. Detailed project location(s) and salient physical characteristics relevant to the E&S assessment [geographic, environmental, social]

The CATCOP parent project was approved in May 2020 in the amount of US\$84 million. It was one of the first projects to apply the Environmental and Social Framework in Haiti and was prepared following significant training sessions and site visits with PIU focal points and stakeholder consultations. An Additional Financing (AF) is being sought to cover cost overruns related to (i) cost increases from the additional rehabilitation and drainage work required as a result of worse runway conditions than originally anticipated and (ii) high inflation, heightened security challenges, and deteriorating market conditions for procurement of civil works. The proposed AF will be processed under paragraph 12 of Section III of the Bank Policy “Investment Project Financing,” related to the Situations of Urgent Need of Assistance or Capacity Constraints, due to chronic fragility and the urgent need to strengthen the resilience of the air transport infrastructure in a context of recurrent natural and climate hazards. The same implementation arrangements for the parent project approved by the Board of Executive Directors will apply, without any additional or new activities to those originally planned. The five original components remain, namely: (i) PAP and CAP operational safety and navigation efficiency investments; (ii) PAP and CAP airfield drainage system improvements; (iii) Technical Assistance; (iv) Contingent Emergency Response; and (v) Project Management. The total Project cost is estimated at US\$96 million including proposed AF.

The proposed Project in Haiti will focus on the country’s two international airports, Toussaint Louverture airport, Port au Prince (PAP) and the Hugo Chavez International Airport, Cap Haitien (CAP). All activities will take place solely within the existing perimeter of both airports. The principal physical works to be financed under the operation include:

- Construction of additional taxiways and expanding the aircraft parking apron at PAP to eliminate bottlenecks in aircraft movements, reduce aircraft CO2 emissions, improve aircraft operating safety, and allow PAP to better accommodate major air traffic demand surges associated with post-disaster relief flights.
- Rehabilitating the CAP runway, a high priority raised in the course of stakeholder consultations during Project preparation; runway condition has further decreased since the parent project was approved, which has resulted in higher cost estimates for rehabilitation for the AF operation. Runway rehabilitation will improve aircraft operating safety in compliance with the UN’s International Civil Aviation Organization (ICAO) International or regional standards.



- Construction of ICAO-required Runway End Safety Areas (RESAs) and paved stopways for both PAP runway ends, which will improve aircraft operating safety in compliance with ICAO Standards and Recommended Practices (SARPs).
- Deployment of a new air traffic control tower (ATCT) at CAP will enhance the safety of aircraft operations by replacing the current temporary ATCT with one that provides full line of sight to both runway ends. The new ATCT will be location- and height-compliant with ICAO SARPs and regional standards.
- Automatic Dependent Surveillance-Broadcast (ADS-B) for PAP and CAP, which will improve aircraft operational safety by providing enhanced situational awareness for pilots and air traffic controllers.
- Investments within airport perimeters to reduce the risk of airfield flooding associated with the annual rainy season, hurricanes, and climate change. These investments include CAP drainage system rehabilitation and partial enlargement and PAP airfield drainage improvements and flood management. In addition, consulting and non-consulting services for corresponding supervision activities, associated technical studies, technical assistance, and training as needed including for relevant technical assessment and social and environmental safeguards instruments.

The following technical assistance and institutional capacity building activities are foreseen as part of the Project: (i) OFNAC (regulatory authority) capacity building to improve air traffic control operations; (ii) AAN (airport operating authority) capacity building to improve airport operations with respect to safety; (iii) a Wildlife Management Plan to reduce runway incursions by wildlife and bird strikes for aircraft on landing and takeoff; and (iv) an Aviation Sector Strategy to guide AAN and OFNAC priorities and investment decision-making for the next 10 years with a focus on improving safety and climate and disaster resilience of key airport infrastructure.

In addition, the project design includes provisions to respond rapidly to eligible emergencies (Component 4- CERC).

It is important to note that despite the overall increase in insecurity since the parent project was approved, CATCOP activities – particularly CATCOP project workers - are less susceptible to risks that are impacting other projects financed through the World Bank, or economic activity in Haiti in general. Given that all works are confined within clearly defined, secure perimeters which are subject to security controls, insecurity risks to project workers are more readily manageable.

D. 2. Borrower’s Institutional Capacity

The project implementation unit – the Central Executing Agency under the Ministry of Public Works and Telecommunications (MTPTC-UCE) – has high capacity and a demonstrated track-record in successfully preparing instruments and supervising environmental and social impacts under current and past World Bank-financed operations under both Operational Policies and, since 2020, under ESF. The PIU, whose team comprises both environmental and social specialists, has received significant World Bank provided training (on both OPs and ESF), and its specialists often serve to help provide training and capacity building to other PIUs implementing World Bank financed projects in Haiti. In recent years, the staff has expanded in line with MTPTC-UCE portfolio with additional environmental and social specialists to complement the existing team. Under the parent project, adherence to all commitments as set out in the ESCP has been Satisfactory and project performance for environmental and social risk management has been Satisfactory in all ISR reporting cycles. Given the highly technical nature of the planned CATCOP investments and the specialized expertise involved in airport upgrades to ensure continued airport operations, independent firms and consultants will be contracted to support the assessment of environmental and social risk both for investments under the project as well as for any TA supported through project financing. The



eventual firm(s) will work closely with MTPTC-UCE to ensure that all mitigation measures are robust and tailored to the local context, as necessary. Given the hiring that MTPTC-UCE has undertaken in the years since the parent project was prepared and based on a current assessment of their capacity to implement project-financed activities in line with the requirements of the ESF and the support of international firms, it is unlikely additional hiring will be needed. Nonetheless, the Environmental and Social Commitment Plan (ESCP) will be updated to set out any expectations for institutional capacity strengthening needed during project implementation, including to ensure seamless coordination with the eventual international firm(s) procured under the project.

II. SUMMARY OF ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC)

Moderate

Environmental Risk Rating

Moderate

Based on the nature and scale of the proposed project activities in small, well-defined footprints, potential adverse environmental impacts are likely Moderate (unchanged from the parent project). Project activities are expected to be site-specific (occurring uniquely within the current demarcations of both airports), limited in number, reversible in nature, and can be mitigated with measures that are readily identifiable and technically and economically feasible (subject to the additional financing provided). No impact to areas outside the airport perimeter is foreseen. Nonetheless, infrastructure development at high-value assets and the need to ensure adequate environmental management (including occupational health and safety) of construction activities and debris collection and on-site reuse and disposal entails moderate risk, given the project context. With regard to PIU capacity to manage environmental risk, there is currently good technical knowledge and capacity which will be complemented by a Delegated Implementing Agency with technical and environmental and social expertise. At the same time, given the dynamic situation on the ground in Haiti, and the potential additional risks that may become apparent once technical designs are finalized, this risk assessment may be increased during project implementation in line with principles of risk-based and adaptive management, as additional relevant information becomes available.

Social Risk Rating

Moderate

Based on the nature and scale of the proposed project activities, potential adverse social impacts are moderate. Anticipated public works include i) the construction of a new taxiway, a paved runway strip, and runway safety area at the Port-au-Prince airport; and ii) the rehabilitation of the runway and building a new air traffic control tower at the Cap Haitien airport. Based on the current information, no land acquisition is anticipated as activities are to be carried out in the airports' perimeters on existing land under authority of the AAN. The social risks involve the following : i) The Port-au-Prince airport, particularly, is surrounded by a densely populated urban area and the existing heavy traffic, and poor road regulation and safety may be exacerbated by construction vehicles– creating community health and safety risks. ii) The increase in dust and noise pollution from the construction and the related labor influx of workers may also negatively impact communities living and working near the project areas. iii) There are risks related to community support as the proposed interventions may be perceived as only benefiting particular groups and may not be considered a priority by certain segments of the population. A strong stakeholder engagement plan and feedback mechanisms deployed throughout the project will be an important factor to help mitigate this risk. iv) The PIU is aware of the social risks and willing to undertake the necessary steps to preempt and manage them. As noted above in the Environmental Risk Rating, additional risk factors may become known once final technical proposals are developed for each airport site (and related ESMPs are prepared), which could result in the ESRC being increased.

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Nonetheless, on the basis of current information regarding project-financed activities in light of the AF operation, social risk rating remains Moderate.

Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) Risk Rating

Low

SEA/SH risk rating is Low based on the SEA/SH risk rating tool for Major Civil Works. Despite high prevalence of GBV in the country, project specific parameters indicate low SEA/SH risks at this stage.

B. Environment and Social Standards (ESSs) that Apply to the Activities Being Considered

B.1. General Assessment

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

Overview of the relevance of the Standard for the Project:

This standard is relevant. While the project activities are expected to contribute to positive environmental and social outcomes - enhancing disaster resilience, increasing aviation safety, enhancing connectivity for civilian and humanitarian purposes, and reducing localized environmental pollution - a number of environmental and social risks are nonetheless likely to arise. Those potential environmental and social risks and impacts relate to (i) management of waste including construction debris, (ii) occupational health and safety, (iii) localized noise and dust pollution impacting adjacent lands and communities during construction; (iv) community health and safety risks arising from increased construction-related traffic; (v) labor influx from high- or low-skilled workers in the project areas; and (vi) risks to project workers from increased insecurity especially in the PAP area. The client undertook an environmental and social assessment and has presented conclusions as to main risks and impacts in the Stakeholder Engagement Plan prepared for the parent project. Site-specific Environment and Social Management Plans (ESMP) will be undertaken at both PAP and CAP to carefully assess all risks and impacts in line with technical designs from international firms once they are available during implementation. The two ESMPs, to be developed in coordination between technical experts with the support of MTPTC-UCE, will consider technical inputs related to climate and disaster risk screening, greenhouse gas accounting, and other relevant studies, incorporating both the WBG Environmental Health and Safety (EHS) general guidelines and sector-specific (airports and aviation) guidelines. They will present standard mitigation procedures, and where necessary, will draw on international good practices and expertise in the aviation sector. The ESCP includes the main risks and impacts across each of the relevant ESSs, with mitigation measures, implementation timeline, and other requirements such as preparation of additional risk management instruments, should the risk assessment so require. In addition the risk assessment and management instruments will ensure strong provisions for any supplemental supervision and potential third-party supervision given the technical expertise required, as mentioned above. Lastly, ESMPs will similarly include provisions and measures to manage E&S requirements for the Contingent Emergency Response Component (CERC) (should it be triggered during the project). For the proposed Technical Assistance activities, the requirements set out in paragraphs 14–18 of ESS1 will apply, as relevant and appropriate to the nature of the risks and impacts arising from the TA and the terms of reference, work plans or other documents defining the TA scope and outputs will be drafted so that the advice and other support provided is consistent with ESSs 1–10.

ESS10 Stakeholder Engagement and Information Disclosure

Public Disclosure



This standard is relevant. The project has robust stakeholder engagement measures built into its design and implementation. Given the highly technical nature of the interventions, the project provides limited opportunities for participatory decision-making by a broad set of stakeholders during design and implementation, however information-sharing and consultations are emphasized for the general public. The SEP puts a strong emphasis on managing expectations by clearly and effectively communicating the project’s benefits, potential impacts and their mitigation. The project is responding to technical requirements of airport operators and users, who are the project’s primary beneficiaries. Other stakeholders include the AAN, the National Office for Civil Aviation (OFNAC), airline companies, air traffic controllers and other service providers at the airports (e.g., food providers, etc.). Consultations with direct stakeholders have been carried out for the parent project preparation (since March 2019) and through early implementation, and these discussions informed the scope of the project activities. During the most recent reverse mission for the parent project (November 2022), the PIU confirmed that a broad-based stakeholder consultation and training program continues focused on project interventions and on awareness raising around the E&S norms and standards in place, with particular regard to gender inclusion. For example, conversations with the airline companies and airport operators in July 2019 resulted in the integration of a Wildlife Management Plan to be developed under the project’s Component 2.

As noted in the ESCP and detailed in the SEP, UCE will continue to carry out meaningful consultations throughout the project life cycle with relevant stakeholders. A Stakeholder Engagement Plan was disclosed in March 2020 which set out the principles of engagement with all stakeholders that has been applied during project preparation and in implementation to date. A Grievance Redress Mechanism (GRM) is described in the SEP. The GRM builds on existing mechanisms developed for other Bank-funded projects in Haiti (i.e., the Municipal Development and Urban Resilience Project and the Cap-Haitian Urban Development Project) and working well. The project GRM will routinely report and keep records of salient issues or grievances that arise, and UCE will ensure timely follow-up and tracking of grievances to their resolution. Under the parent project, there have been no occupational health and safety (OHS) incidents that would require reporting in line with the provisions set out in ESIRT. The specific GRM for project workers required under ESS2—Labor & Working Conditions—was prepared separately and included in the Labor Management Procedures (LMP) finalized in October 2020.

B.2. Specific Risks and Impacts

A brief description of the potential environmental and social risks and impacts relevant to the Project.

ESS2 Labor and Working Conditions

This standard is relevant as public works will be financed by the project. MTPTC-UCÉ developed Labor Management Procedures (LMP) which take into account (i) direct workers; (ii) contracted workers; and (iii) primary supply workers. Given the technical nature of the works the project does not expect to hire community workers. Certain provisions of ESS2 (paras. 17-20 and 24-30) are applicable to the government employees that may be involved in the project implementation and oversight. Civil servants working full-time or part-time in connection with the project remain subject to the terms and conditions of their existing public sector employment unless there is an effective legal transfer of their employment to the project. The project will ensure the labor and working conditions applying to those employed by the project’s primary suppliers are in accordance with the ESF – particularly as it relates to child and forced labor, and safety issues. The bidding documents and labor contracts will spell out the various code of conducts, including the prohibition on forced and child labor. The LMP contains a review and comparison between



national laws on labor and working conditions and ESS2, including measures to avoid discrimination in recruitment, prevent child and forced labor and measures related to occupational health and safety. Detailed health and safety measures for workers will be spelled out under the site-specific ESMPs, the LMP and the relevant bidding documents. These measures include procedures on incident investigation and reporting; recording and reporting of nonconformity; emergency preparedness and response; continuous training and awareness raising for workers; and the adoption and enforcement of Code of Conducts addressing labor influx, workers' behavior and GBV risks.

The number of workers that will be employed by the project is currently unknown. Worker camps are not anticipated, though temporary housing solutions on within airport footprints are not ruled out. Given the high levels of informality in the construction of buildings around the airports in addition to the requirements for housing that is in a secure environment, experience suggests that housing options close to the airports may be limited or the quality may not meet World Bank standards. As such, for the non-local workers, arrangements may be needed on-site, or in the adjacent municipalities. With particular regard to foreign workers, the project will ensure all persons hired have legitimate work permits. Site-specific ESMPs will confirm if there will be onsite accommodation for workers; ESMPs and bidding documents will include the standards of accommodation for workers. A GRM will be available for all workers covered under ESS2, which will be described in the LMP. Any gaps in MTPTC-UCE's capacity to manage the labor, working conditions and community health and safety will be addressed through targeted capacity building activities, if necessary.

ESS3 Resource Efficiency and Pollution Prevention and Management

This standard is relevant. The ESMPs will include an assessment of how resources will be managed efficiently to prioritize resource reuse and minimize waste generation, with a priority given to repurposing debris and/or waste in on-site engineering works (drainage enhancement, runway elevation). Waste management plans for each site will establish protocols to deal with construction debris and non-hazardous materials that may need to be disposed of. It is not anticipated that any hazardous materials will need to be handled, but waste management plans will take this possibility into account, while also setting out protocols to assess for the management and disposal of any legacy pollution in the project intervention area. Should hazardous or legacy waste be identified during the course of feasibility and design studies, or should the need arise for significant volumes of waste and/or construction debris to be removed from individual airport perimeters, these process for removal and end disposal will be described in detail in project ESMPs. In the event that either of these situations arise, the environmental risk rating for the project may be increased, given the significant challenges with effective waste management in Haiti and lack of landfill sites meeting relevant international standards. Project interventions to reduce aircraft taxiing and queuing times will contribute to GHG mitigation and improve local air quality. The precise contribution in terms of GHG reduction will be outlined in the respective ESMPs through a GHG Accounting should an appropriate aviation methodology be available. In addition, the potential for energy efficient lighting (LED) will be considered in site-specific ESMPs subject to technical standards approved by ICAO.

ESS4 Community Health and Safety

This standard is relevant. The project is primarily financing civil works. The project areas are confined to the existing and secured perimeters of the two airports, however the airports are located adjacent to dense urban settlements



with heavy traffic and street activity. The main projected Community Health and Safety-related risks and impacts include (i) exposure to dust emission and noise pollution; (ii) risks linked to potential misconduct of workers (sexual or otherwise) in the communities around work sites; (iii) risks associated with property theft especially at times when equipment or material is not being used; and (iv) risks to project workers from arising from the deteriorated and volatile security situation that is affecting the country. These risks and proposed mitigation measures are mentioned in the environment and social risk evaluation included in the SEP. They will be further detailed in the site-specific ESMPs. Mitigation measures will be taken to reduce impacts on communities to minor/acceptable levels, including: carefully controlling access to project sites; developing emergency response procedures; implementing measures for site and community safety, including through waste management plans, life and fire safety plans, and traffic management plans; as well as specifying in Codes of Conduct the rules of engagement for workers with the adjacent communities. It is not currently anticipated that additional security protection beyond the security and access protocols already in place at each site will be needed, but if deemed necessary based on prevalent conditions at commencement of works, a Security Management Plan in line with applicable good practice would be prepared alongside or as part of planned ESMPs to outline how best to manage risks and impacts to project workers. For project activities that may require the use of security personnel or security forces (based on the need for additional security beyond standard operating protocols at each airport), any security management plans that may be necessary will set out Codes of Conduct and expected minimum training for any armed security that may be hired by MTPTC-UCE and/or the Delegated Entities, who will ensure that specific measures consistent with the requirements of ESS4 and World Bank guidance on Use of Security Forces are adopted. Furthermore, the MTPTC-UCE and/or Delegated Entities will ensure that security personnel follow a strict code of conduct and avoid any likely adverse impacts throughout project implementation.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

This standard is not relevant based on the existing information. Project activities are only planned within the existing perimeter of the two airports. No risks and impacts are identified in terms of land acquisition, physical or economic resettlement, and no Resettlement Policy Framework is needed. In 2007 in Cap Haitien, land was acquired to increase airport security through perimeter reinforcements, principally to deter unlawful airport incursions by the local community. In 2012 a runway extension took place, partially on land acquired during the 2007 acquisition. The land acquisition is not considered an associated facility as it does not affect the viability of this project, as the proposed interventions in Cap Haitien could exist had the airport expansion not taken place. While no land acquisition at either site is currently foreseen, MTPTC-UCE will monitor all potential ESS5-related risks, through the preparation and implementation of the ESMPs.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

This standard is relevant. Project interventions will not increase the risk of wildlife strikes at either site. Nonetheless, initial consultations with airport authorities at both sites indicate that wildlife strikes and wildlife runway incursions currently pose an operational safety risk and that project-financed activities to reduce this risk would be welcomed. One of the identified technical assistance (TA) activities is to support the development of a Wildlife Management Plan to reduce runway incursions by wildlife and bird strikes for aircraft on landing and takeoff. The Plan will keep in mind the mitigation hierarchy and international wildlife control best practice in the aviation sector. The requirements set out in paragraphs 14–18 of ESS1 will apply, as relevant and appropriate to the nature of the risks and impacts arising



from the TA and the terms of reference, work plans or other documents defining the TA scope and outputs will be drafted so that the advice and other support provided is consistent with ESSs 1–10. In addition, technical designs for interventions in Cap Haitien will consider land directly adjacent to the airport, including wetlands and watersheds that increase the risk of seasonal flooding in the Any River. The river’s drainage canals will be rediverted outside the airport in a coordinated flood management intervention with a separate World Bank-financed project (Cap Haitien Urban Development, P168951). The site-specific ESMP will outline measures to ensure operational safety of the airport while maintaining environmental integrity in the area. Detailed analyses will be presented in the relevant E&S instruments as set out in Section III (B) below.

ESS7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

This standard is not relevant. There are no Indigenous Peoples in Haiti that fulfill the four characteristics indicated under ESS7.

ESS8 Cultural Heritage

This standard is not currently relevant. Given the spatially confined scope of project’s activities, this standard is not considered relevant at this time. Chance Find procedures will be set out in the ESMPs and included in the contracts for physical works.

ESS9 Financial Intermediaries

This standard is not relevant. No financial intermediaries are involved in the project.

C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways No

OP 7.60 Projects in Disputed Areas No

B.3. Reliance on Borrower’s policy, legal and institutional framework, relevant to the Project risks and impacts

Is this project being prepared for use of Borrower Framework? No

Areas where “Use of Borrower Framework” is being considered:

As with the parent project, the use of borrower framework is not being considered.

IV. CONTACT POINTS

Public Disclosure



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Borrower/Client/Recipient

Implementing Agency(ies)

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VI. APPROVAL

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