



## Safeguard Policy Filter Report

### Operation Information

|  |  |             |
|--|--|-------------|
| Operation  |  |             |
| <b>CO-L1234 Metro of Bogota First Line - First tranche</b> |  |             |
| Environmental and Social Impact Category                   | High Risk Rating   |             |
| A  |  |             |
| Country  | Executing Agency   |             |
| COLOMBIA   | CO-DEB - BOGOTA DISTRITO CAPITAL)                                    |             |
| Organizational Unit  | IDB Sector/Subsector   |             |
| Housing & Urban Development                                | PUBLIC TRANSPORT (BUS / TRAIN / CABLE). INFRASTRUCTURE AND EQUIPMENT |             |
| Team Leader  | ESG Primary Team Member  |             |
| ERNESTO MONTER FLORES                                      | ERIK GUSTAF FREDRIK LINDBLOM   |             |
| Type of Operation  | Original IDB Amount  | % Disbursed |
| Loan Operation   | \$70,000,000   | 0.000 %     |
| Assessment Date  | Author   |             |
| 4 Apr 2018   | renaudt  |             |
| Operation Cycle Stage                                      | Completion Date  |             |
| ERM (Estimated)  | 5 Feb 2018   |             |
| QRR (Estimated)  | 19 Apr 2018  |             |
| Board Approval (Estimated)                                 |  |             |
| Safeguard Performance Rating                               |  |             |
|  |  |             |
| Rationale  |  |             |
|  |  |             |

### Safeguard Policy Items Identified

#### [B.1 Bank Policies \(Access to Information Policy– OP-102\)](#)

The Bank will make the relevant project documents available to the public.

#### [B.1 Bank Policies \(Disaster Risk Management Policy– OP-704\)](#)



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The operation is in a geographical area exposed to [natural hazards \(Type 1 Disaster Risk Scenario\)](#). Climate change may increase the frequency and/or intensity of some hazards.

### B.1 Bank Policies (Disaster Risk Management Policy– OP-704)

The operation has the potential to exacerbate risk to human life, property, the environment or cause economic disruption ([Type 2 Disaster Risk Scenario](#)).

### B.1 Bank Policies (Disaster Risk Management Policy– OP-704)

The operation includes activities related to climate change adaptation, but these are not the primary objective of the operation.

### B.1 Bank Policies (Gender Equality Policy– OP-761)

The operation has the potential to affect negatively women or gender equality ([Negative gender impacts may include the following](#))

### B.1 Bank Policies (Gender Equality Policy– OP-761)

The operation will offer opportunities to promote [gender equality](#) or [women's empowerment](#).

### B.1 Bank Policies (Resettlement Policy– OP-710)

The operation has the potential to cause physical displacement of people living in the project area of influence (see also Resettlement Policy)

### B.2 Country Laws and Regulations

The operation is expected to be in compliance with laws and regulations of the country regarding specific women's rights, the environment, gender and indigenous peoples (including national obligations established under ratified multilateral environmental agreements).

### B.3 Screening and Classification

The operation (including [associated facilities](#)) is screened and classified according to its potential environmental impacts.

### B.4 Other Risk Factors

There are [associated facilities](#) (see policy definition) related to the operation.

### B.4 Other Risk Factors

The operation may be of high risk due to controversial environmental and associated social issues or liabilities.

### B.5 Environmental Assessment Requirements

An environmental assessment is required.

### B.6 Consultations

Consultations with affected parties will be performed equitably and inclusively with the views of all stakeholders taken into account, including in particular: (a) equal participation by women and men, (b) socio-culturally appropriate participation of indigenous peoples and (c) mechanisms for equitable participation by vulnerable groups.



## Safeguard Policy Filter Report

### B.7 Supervision and Compliance

The Bank is expected to monitor the executing agency/borrower's compliance with all safeguard requirements stipulated in the loan agreement and project operating or credit regulations.

### B.10. Hazardous Materials

The operation has the potential to impact the environment and occupational health and safety due to the production, procurement, use, and/or disposal of hazardous material, including organic and inorganic toxic substances, pesticides and persistent organic pollutants (POPs).

### B.11. Pollution Prevention and Abatement

The operation has the potential to pollute the environment (e.g. air, soil, water, greenhouse gases).

### B.15. Co-financing Operations

The operation or any of its components is being co-financed.

### B.17. Procurement

Suitable safeguard provisions for the procurement of goods and services in Bank financed operations may be incorporated into project-specific loan agreements, operating regulations and bidding documents, as appropriate, to ensure environmentally responsible procurement.

## Potential Safeguard Policy Items

### B.4 Other Risk Factors

There are other environmental and social sustainability issues that the project team considers to represent a risk for this operation. (e.g. wood sourced from Amazon rainforest).

### B.9 Natural Habitats and Cultural Sites

The operation will result in the degradation or conversion of Critical Cultural Sites in the project area of influence.

### B.9 Natural Habitats and Cultural Sites

The operation will use invasive species, or lead to a high risk of their accidental introduction in the project area of influence.

## Recommended Actions

Operation has triggered 1 or more Policy Directives; please refer to appropriate Directive(s). Complete Project Classification Tool. Submit Safeguard Policy Filter Report, PP (or equivalent) and Safeguard Screening Form to ESR.

## Additional Comments

[No additional comments]



## Safeguard Policy Filter Report



## Safeguard Screening Form

### Operation Information

|   |  |             |
|---|--|-------------|
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| Safeguard Performance Rating                              |  |             |
|   |  |             |
| Rationale   |  |             |
|   |  |             |

### Operation Classification Summary

|                  |                         |
|------------------|-------------------------|
| Overriden Rating | Overriden Justification |
|                  |                         |
| Comments         |                         |
|                  |                         |



## Safeguard Screening Form

### Conditions / Recommendations

Category "A" operations require an Environmental Impact Assessment or a Strategic Environmental Assessment (see Environment Policy Guideline: Directive B.5 for EIA and SEA requirements) and at least two consultations with affected parties.

These operations will require an environmental assessment (EA), normally an Environmental Impact Assessment (EIA) for investment operations, or other environmental assessments such as a Strategic Environmental Assessment (SEA) for programs and other financial operations that involve plans and policies. Category "A" operations are considered high safeguard risk. For some high safeguard risk operations that, in the Bank's opinion raise complex and sensitive environmental, social, or health and safety concerns, the borrower should normally establish an advisory panel of experts to provide guidance for the design and/or execution of the operation on issues relevant to the EA process, including health and safety. However, these operations will also establish safeguard, or monitoring requirements to address environmental and other risks (social, disaster, cultural, health and safety etc.).

The Project Team must send to the ESR the PP (or equivalent) containing the Environmental and Social Strategy (the requirements for an ESS are described in the Environment Policy Guideline: Directive B.3) as well as the Safeguard Policy Filter and Safeguard Screening Form Reports.

### Summary of Impacts / Risks and Potential Solutions

[Third party employment practices](#) are inadequate.

**Achieve Consistency in Applying Labor Practices:** The borrower should be required to improve employment and employment rights for non employees including: (a) clarification of employment practices and terms; (b) support of collective bargaining; (c) approaches to workers' organizations; (d) non-discrimination and equal opportunity; (e) development of appropriate grievance mechanisms (for contract workers only). Depending on the financial product, requirements should be referenced in appropriate legal documentation (covenants, conditions of disbursement, project completion tests etc.).

Borrower is committed to complying with applicable [ILO requirements](#) (including commitment to non-discrimination, equal opportunity, [collective bargaining](#) and rights of association) and national employment in relation to [working conditions](#) but does not fully address all employment requirements.

**Confirm Labor Practices are Adequate:** The borrower should be required to improve employment and employment rights including (as appropriate): (a) clarification of employment practices and terms; (b) support of collective bargaining; (c) approaches to workers' organizations; (d) non-discrimination and equal opportunity; (e) fair and transparent retrenchment/redundancy amongst workers; and (f) development of appropriate grievance mechanisms. These issues should be defined in a human resources policy. Depending on the financial product, requirements should be referenced in appropriate legal documentation (covenants, conditions of disbursement, etc).

Generation of solid waste is [moderate](#) in volume, does not include [hazardous materials](#) and follows standards recognized by multilateral development banks.



## Safeguard Screening Form

**Solid Waste Management:** The borrower should monitor and report on waste reduction, management and disposal and may also need to develop a Waste Management Plan (which could be included in the ESMP). Effort should be placed on reducing and re-cycling solid wastes. Specifically (if applicable) in the case that national legislations have no provisions for the disposal and destruction of hazardous materials, the applicable procedures established within the Rotterdam Convention, the Stockholm Convention, the Basel Convention, the WHO List on Banned Pesticides, and the Pollution Prevention and Abatement Handbook (PPAH), should be taken into consideration.

Likely to have [minor](#) to [moderate](#) emission or discharges that would negatively affect [ambient environmental conditions](#).

**Management of Ambient Environmental Conditions:** The borrower should be required to prepare an action plan (and include it in the ESMP) that indicates how risks and impacts to ambient environmental conditions can be managed and mitigated consistent with relevant national and/or international standards. The borrower should (a) consider a number of factors, including the finite assimilative capacity of the environment, existing and future land use, existing ambient conditions, the project's proximity to ecologically sensitive or protected areas, and the potential for cumulative impacts with uncertain and irreversible consequences; and (b) promote strategies that avoid or, where avoidance is not feasible, minimize or reduce the release of pollutants, including strategies that contribute to the improvement of ambient conditions when the project has the potential to constitute a significant source of emissions in an already degraded area. The plan should be subject to review by qualified independent experts. Depending on the financial product, this information should be referenced in appropriate legal documentation (covenants, conditions of disbursement, etc.).

Potential to exclude or discriminate women or men from project benefits based on [gender](#) \*NOTE

**Incorporation of gender analysis into its social impact and risk assessments:** Where the Project or its context present potential for discrimination against women or men based on gender, Project preparation should include an analysis of exclusion or discriminatory factors (specific or as part of overall social assessment) and the Project should include information, dissemination, training and other corrective measures as appropriate aimed at overcoming barriers to afford women or men the same protection and access afforded to other groups and equal access to Project-generated resources and benefits (e.g. credit, employment, public services, etc.). The social impact and risk assessment and associated mitigation framework must address all the factors specifically. The mitigation framework will be referenced in the legal documentation (covenants, conditions of disbursement, etc.), require regular reporting, frequent and independent monitoring, and independent review of implementation, including participatory monitoring.

Potential to introduce unequal requirements for access to benefits and economic opportunities based on [gender](#)

**Incorporation of gender analysis into its social impact and risk assessments:** Where project impacts will potentially introduce unequal requirements for access to benefits and economic opportunities based on gender, project preparation and implementation should include specific analysis and consultation/agreements regarding these issues and the social impact and risk assessment and associated mitigation framework must address them specifically. The mitigation framework will be referenced in the legal documentation (covenants, conditions of disbursement, etc.), require regular reporting, frequent and independent monitoring, and independent review of implementation, including participatory monitoring.



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Potential to introduce unpaid work unevenly between men and women (volunteer work or community participation).

**Incorporation of gender analysis into its social impact and risk assessments:** Where project has the potential to introduce unpaid work unevenly between men and women (volunteer work or community participation), project preparation and implementation should include specific analysis and consultation regarding these issues and the social impact and risk assessment and associated mitigation framework must address them specifically. The mitigation framework will be referenced in the legal documentation (covenants, conditions of disbursement, etc.), require regular reporting, frequent and independent monitoring, and independent review of implementation.

Project construction activities are likely to lead to localized and temporary impacts (such as dust, noise, traffic etc) that will affect local communities and [workers](#) but these are [minor](#) to [moderate](#) in nature.

**Construction:** The borrower should demonstrate how the construction impacts will be mitigated. Appropriate management plans and procedures should be incorporated into the ESMP. Review of implementation as well as reporting on the plan should be part of the legal documentation (covenants, conditions of disbursement, etc).

Safety issues associated with structural elements of the project (e.g. dams, public buildings etc), or road transport activities (heavy vehicle movement, transport of [hazardous materials](#), etc.) exist which could result in [moderate](#) health and safety [risks](#) to local communities.

**Address Community Health Risks:** The borrower should be required to provide a plan for managing risks which could be part of the ESMP; (including details of grievances and any independent audits undertaken during the year). Compliance with the plan should be monitored and reported. Requirements for independent audits should be considered if there are questions over borrower commitment or potential outstanding community concerns.

The negative impacts from production, procurement and disposal of [hazardous materials](#) (excluding POPs unacceptable under the Stockholm Convention or toxic pesticides) are [minor](#) and will comply with relevant national legislation, [IDB requirements on hazardous material](#) and all applicable International Standards.

**Monitor hazardous materials use:** The borrower should document risks relating to use of hazardous materials and prepare a hazardous material management plan that indicates how hazardous materials will be managed (and community risks mitigated). This plan could be part of the ESMP.

The project has or will have [moderate](#) to [minor](#) negative effect on cultural site(s) and it is justified to be unavoidable. Affected stakeholders have indicated approval through a documented process of [good faith negotiation](#).





## Safeguard Screening Form

**Protection of Cultural Sites:** Where impacts to cultural site are anticipated, the borrower should generally seek the advice of professional experts and a mitigation plan should be developed which includes the following basic elements: (a) demonstration that mitigation will comply with relevant legislation; (b) evidence that the borrower has the capacity/commitment to protect cultural site; (c) implementation of chance finds procedures; (d) establishment of consultation processes with affected communities and appropriate experts; and (e) appropriate controls on the removal of cultural site. Additional special requirements will come into play if cultural site is likely to be affected by the investment. Depending on the financial product, this information should be referenced in appropriate legal documentation (covenants, conditions of disbursement, project completion tests, etc.). The borrower should develop an action plan that describes how cultural sites will be protected.

The project has or will significantly affect [cultural sites](#) in a negative manner.

**Cultural Sites:** Where cultural sites are significantly impacted, appropriate measures to protect, mitigate, or compensate noncritical cultural sites need to be integrated into the ESMP. Projects likely to encounter chance finds, should develop and implement specific procedures to handle chance finds occurrences, integrated into the project's ESMP. Category A projects should include in their EIA, when applicable, an analysis of the archeological potential of the areas of direct influence, and, as necessary, propose chance find procedures, based on internationally accepted practices

The project includes dangerous and hazardous [working conditions](#) where there could be [significant](#) negative impacts to [workers](#) or communities.

**Ensure that the borrower Addresses Occupational Health and Safety:** The borrower should provide details of how occupational health and safety issues will be addressed (including those found in the supply chain as appropriate) in a timely and efficient manner as a condition of disbursement and annual audits by third party experts should be considered. This should be addressed using an occupational health and safety management plan.

The project is located in an area prone to [inland flooding](#) and the likely severity of the impacts to the project is [moderate](#).

A Disaster Risk Assessment, that includes a Disaster Risk Management Plan (DRMP), may be necessary, depending on the complexity of the project and in cases where the vulnerability of a specific project component may compromise the whole operation. The DRMP should propose measures to manage or mitigate these risks to an acceptable level. This must take into consideration changes in the frequency and intensity of intensive rainfall and in the patterns of snowmelt that could occur with climate change. The DRMP includes risk reduction measures (siting and engineering options), disaster risk preparedness and response (contingency planning, etc.), as well as the financial protection (risk transfer, retention) of the project. The DRM Plan takes into account existing vulnerability levels and coping capacities, the area's disaster alert and prevention system, general design standards, land use regulations and civil defense recommendations in flood prone areas. However, the options and solutions are sector- and even case-specific and are selected based on a cost analysis of equivalent alternatives.

The project is located in an area prone to [landslides](#) and the likely severity of the impacts to the project is [moderate](#).



## Safeguard Screening Form

A Disaster Risk Assessment, that includes a Disaster Risk Management Plan (DRMP), may be necessary, depending on the complexity of the project and in cases where the vulnerability of a specific project component may compromise the whole operation. The DRMP should propose measures to manage or mitigate these risks to an acceptable level. The measures should consider both the risks to the project, and the potential for the project itself to exacerbate risks to people and the environment during construction and operation. The measures should include risk reduction (siting and engineering options), disaster risk preparedness and response (contingency planning, etc.), as well as financial protection (risk transfer, retention) for the project. They should also take into account the country's disaster alert and prevention system, general design standards and other related regulations.

The project is located in an area prone to [earthquakes](#) and the likely severity of impacts to the project is [moderate](#).

A Disaster Risk Assessment, that includes a Disaster Risk Management Plan (DRMP), may be necessary, depending on the complexity of the project and in cases where the vulnerability of a specific project component may compromise the whole operation. The DRMP should propose measures to manage or mitigate these risks to an acceptable level. The measures should consider both the risks to the project, and the potential for the project itself to exacerbate risks to people and the environment during construction and operation. The measures should include risk reduction (siting and engineering options), disaster risk preparedness and response (contingency planning, etc.), as well as financial protection (risk transfer, retention) for the project. They should also take into account the country's disaster alert and prevention system, general seismic design standards and other related regulations.

The project will require [significant involuntary resettlement](#) and/or economic displacement (i.e. it is a [direct](#) impact of the project)

**Develop Resettlement Plan (RP):** The borrower should be required to develop a RP (as part of the ESMP) that demonstrates the following attributes: (a) detailed socio-economic survey and baseline of the affected households and groups; (b) successful engagement with affected parties via a process of Community Participation; (c) mechanisms for delivery of compensation in a timely and efficient fashion; (d) a livelihoods restoration program; (e) budgeting and internal capacity (within borrower's organization) to monitor and manage resettlement activities as necessary over the course of the project; and (f) a grievance mechanism for resettled people. Depending on the financial product, the RP should be referenced in legal documentation (covenants, conditions of disbursement, credit and operating regulations, project completion tests, etc.), require regular (quarterly, bi-annual or annual) reporting and independent review of implementation, including participatory monitoring.

Transport of [hazardous materials](#) (e.g. fuel) with [minor](#) to [moderate](#) potential to cause impacts on community health and safety.

**Hazardous Materials Management:** The borrower should be required develop a hazardous materials management plan; details of grievances and any independent health and safety audits undertaken during the year should also be provided. Compliance with the plan should be monitored and reported. Depending on the financial product, this information should be referenced in appropriate legal documentation (covenants, conditions of disbursement etc). Consider requirements for independent audits if there are concerns about commitment of borrower or potential outstanding community concerns.



## Safeguard Screening Form

### Disaster Risk Summary

Disaster Risk Level

**A**

Disaster / Recommendations

### Disaster Summary

Details

Actions

Operation has triggered 1 or more Policy Directives; please refer to appropriate Directive(s).  
Complete Project Classification Tool. Submit Safeguard Policy Filter Report, PP (or equivalent) and  
Safeguard Screening Form to ESR.