

Report No. 143725-BR

THE INSPECTION PANEL

REPORT AND RECOMMENDATION ON A REQUEST FOR INSPECTION

BRAZIL

TERESINA ENHANCING MUNICIPAL GOVERNANCE AND QUALITY OF LIFE PROJECT ADDITIONAL FINANCING (P146870)

NOVEMBER 25, 2019

**The Inspection Panel
Report and Recommendation
on a Request for Inspection**

**Brazil: Teresina Enhancing Municipal Governance and Quality of Life Project Additional
Financing (P146870)**

A. Introduction

1. On August 23, 2019, the Inspection Panel (the “Panel”) received a Request for Inspection (the “Request”) of the Teresina Enhancing Municipal Governance and Quality of Life Project – Additional Financing (the “Project”) in the State of Piauí, in Brazil. The Request was submitted by 202 families who live in the Mafrense and São Joaquim neighborhoods of Teresina (the “Requesters”). The Requesters did not ask the Panel to keep their identities confidential and designated three community members, Mmes. Thays Beatryce, Lúcia Araújo and Mr. Francisco Morais, to act on their behalf.

2. The Requesters expressed their support of the Project. However, they oppose their resettlement and claim alternate Project designs would enable them to stay in their homes. They contend community members have been living in these locations for several decades and that by displacing and dislocating their community, the Project will cause cultural, social and economic harm. They feel the Project will lead to their impoverishment. They add concerns about a lack of both disclosure of information and consultation and a lack of opportunity to participate in the resettlement planning.

3. The Panel registered the Request on September 19, 2019, and notified the Board of Executive Directors (the “Board”) and Bank Management. Management submitted its Response on October 22, 2019.

4. In accordance with the Resolution establishing the Panel,¹ the purpose of this report is to make a recommendation to the Board as to whether an investigation into the matters alleged in the Request is warranted. The Panel, based on its consideration of the technical eligibility of the Request and its assessment of other factors in the Panel’s Resolution and Operating Procedures as further described in paragraphs 40-86 below, is recommending an investigation.

5. This report provides a description of the Project (Section B), a summary of the Request (Section C), a summary of the Management Response (Section D) and the Panel’s observations and review (Section E). The Panel’s recommendation to investigate is presented in Section F.

B. The Project

6. The Teresina Enhancing Municipal Governance and Quality of Life Project is a two-phase investment financing operation financed by two International Bank for Reconstruction and

¹ International Bank for Reconstruction and Development (Resolution No. IBRD 93-10), The World Bank Inspection Panel, September 22, 1993 (the “Resolution”), para 19. Available at: <http://siteresources.worldbank.org/EXTINSPECTIONPANEL/Resources/ResolutionMarch2005.pdf>.

Development loans. The first phase was approved for US\$31.13 million on March 27, 2008. This loan was fully disbursed and closed on June 30, 2016.²

7. An Additional Financing loan for US\$88 million was approved on February 24, 2016, as phase 2. According to Management, the Additional Financing was 18 percent disbursed as of October 4, 2019, and the loan is expected to close on December 15, 2021. The loan agreement was entered into by the Municipality of Teresina (the “Borrower”) and the Bank on April 27, 2016, and was declared effective on June 1, 2016. The loan is guaranteed by the Federal Republic of Brazil pursuant to an April 27, 2016, guarantee agreement between the Federal Republic of Brazil and the Bank.³

8. The Project development objectives are to modernize and improve the management capacity of the Municipality of Teresina in the financial, urban, environmental, service-delivery, and economic development fields and to improve the quality of life of the low-income population of the Lagoas do Norte region.⁴ The Project has three components: 1-Municipal Management Modernization, City Development and Project Management; 2-Integrated Urban-Environmental Development in the Lagoas do Norte region; and 3-Social and Economic Development in the Lagoas do Norte region.⁵

9. The Request relates to Components 2 and 3. Component 2 supports comprehensive integrated activities that are being undertaken in the Lagoas do Norte region (see Map 1 of the Management Response).⁶ Component 2 focuses on six neighborhoods of the Lagoas do Norte region (including Mafrense and São Joaquim).⁷ Some of the activities under this component include (i) optimizing and expanding water supply, sewerage and wastewater treatment delivery, (ii) execution of critical urban macro- and micro-drainage activities, (iii) actions to restore the natural environmental aspects of the region’s lagoon and canal network, (iv) actions to reduce flood risks and improve the safety of the dikes along the Parnaíba and Poti rivers, (v) urban upgrading activities, and the rehabilitation and construction of green spaces, parks, and leisure and

² World Bank, Management Response to Request for Inspection Panel Review of the Brazil: Teresina Enhancing Municipal Governance and Quality of Life Project (P088966) and Additional Financing (P146870), dated October 22, 2019 (the “Management Response”), p. v, para. i.

³ Management Response, p. 2, para. 5.

⁴ World Bank, International Bank for Reconstruction and Development, Project Paper on a Proposed Additional Loan in the Amount of US\$88 Million, to the Municipality of Teresina with the Guarantee of the Federative Republic of Brazil for the Teresina Enhancing Municipal Governance and Quality of Life Project, Report No: PAD1136, February 1, 2016 (the “Project Paper”), p. 9.

⁵ Management Response, pp. 2-3, para. 7.

⁶ Management Response, p. 3, paras. 8-9. The main works under the Additional Financing’s Component 2 relating to urban-environmental improvements includes, inter alia, (i) optimizing and expanding water supply, sewerage and wastewater treatment delivery, (ii) execution of critical urban macro- and micro-drainage activities, (iii) actions to restore the natural environmental aspects of the region’s lagoon and canal network, (iv) actions to reduce flood risks and improve the safety of the dikes along the Parnaíba and Poti rivers, (v) urban upgrading activities, and the rehabilitation and construction of green spaces, parks, and leisure and community spaces, and (vi) improvements to the local road network.

⁷ Management Response, p. 4, para. 13. The Additional Financing focuses on six neighborhoods of the Lagoas do Norte region, including Mafrense, Matador, Mocambinho, Poti Velho, Olarias, and São Joaquim, while the original project concentrated activities in five neighborhoods of the region, namely Matadouro, Parque Alvorada, São Joaquim, Olarias and Nova Brasília.

community spaces, (vi) improvements to the local road network, and (vii) resettlement of families from areas of risk and from other areas of Project activities.⁸

10. Component 3 is comprised of social and economic development activities targeting all communities living in the Lagoas do Norte region that are complementary to Component 2. It includes activities that support the promotion of employment and income-generation programs and activities focused on the most vulnerable populations (e.g., Afro-descendant youth and women).⁹

11. The Project was assigned an environmental category “A” and triggered the following safeguard policies: Environmental Assessment (OP/BP 4.01); Natural Habitats (OP/BP 4.04); Physical Cultural Resources (OP/BP 4.11); Involuntary Resettlement (OP/BP 4.12); and Safety of Dams (OP/BP 4.37).¹⁰

12. The Integrated Safeguard Data Sheet indicates that the Resettlement Policy Framework (RPF) prepared for the Additional Financing was publicly disclosed in October 2014 and consulted on in November 2014. It notes that the detailed engineering designs and resettlement plans would be prepared in the first year of implementation. The document also indicates that 2,180 families, encompassing 1,730 properties, would be resettled. The Management Response updated the property figure, explaining that 997 properties are now estimated to be affected by potential displacement.¹¹ Management explains that under the Project, civil works expected to have resettlement impacts have been divided among eight contracts.¹² Six of these contracts relate to works in Mafrense and São Joaquim neighborhoods and are of relevance to the Requesters.

C. Summary of the Request

13. The Request for Inspection was submitted by three community members on behalf of 202 families who live in the neighborhoods of Mafrense and São Joaquim in Teresina. The Request is attached to this report as Annex I. The Requesters’ concerns relate to impact from works in Lagoas do Norte region of Teresina that are financed by the Project. While the Requesters are supportive of the Project, they oppose their resettlement and claim there are alternatives to the current designs that would enable them to remain in their homes. They contend that community members have been living in this location for several decades and the displacement and dislocation by the Project will cause cultural, social and economic harm, including the risk of impoverishment. They also

⁸ Management Response, p. 3, para. 10.

⁹ Management Response, p. 3, para. 8.

¹⁰ According to the Project Paper, there are no changes in the Project’s component structure or safeguard category between the original project and the Additional Financing. Project Paper, p. 5, para. 3.

¹¹ Management Response, p. v. para. vi.

¹² Management Response, p. 6, para. 20. According to Management the eight works are: (i) Mocambinho Works, in the neighborhood of Mocambinho, linked to the restoration of the Mocambinho lagoon, (ii) Matadouro Works, in the Matadouro neighborhood, linked to the rehabilitation of the Matadouro drainage channel, (iii) Works No. 1 in the neighborhood of São Joaquim, linked to the restoration of the lagoons of São Joaquim, Mazerine, Oleiros and Piçarreira, (iv) Works No. 2, in the neighborhood of Mafrense, linked to the restoration of Oleiros lagoon, (v) Works No. 3, in the neighborhood of São Joaquim also linked to the restoration of the Oleiros lagoon, (vi) Works No. 4, in the neighborhoods of Mafrense and Olarias, also linked to the restoration of the Oleiros lagoon, (vii) Works No. 5, in the neighborhood of Mafrense, linked to the restoration of the Piçarreira lagoon, (viii) and Works No. 6, in the neighborhoods of São Joaquim, Poti Velho and Olarias, linked to the strengthening of the Boa Esperança and Mocambinho dikes. Management has attached Map 4 to the Response showing the location of Project sites.

raise concerns about a lack of information disclosure and consultation and their inability to participate in the resettlement planning.

14. **Resettlement.** The Requesters state they belong to families affected by the resettlement. They also state while some families have been included in the Resettlement Action Plans (RAPs), others were left out, including those who settled after the census of 2014. They explain that some families have been living for 40 years in the Project area and have an attachment to their location. Families have businesses in the area and they rely economically on the networks they have formed. The Requesters state they want to benefit from the Project's improvements and opportunities while remaining in their current location.

15. They contend that the Project resettlement violates Bank policy as it does not consider (i) the alternatives to avoid resettlement, (ii) the serious economic, social and environmental harms caused by involuntary resettlement, (iii) the impoverishment associated with loss of property and sources of income, (iv) the lack of economic opportunities in the resettlement site, (v) the existing social networks of the community and their cultural identity ties to the territory, (vi) the possibility of the affected population to partake in Project benefits, (vii) the possibility to participate in the resettlement planning and implementation, (viii) the principle of equal asset sharing between men and women, (ix) the need for compensation payment before displacement, (x) the need for legal counseling, which is resulting in an unfair evaluation of the assets and inadequate compensation amounts, and (sxi) the lack of access to a portion of the land suffered by people without formal land titles (renters, street vendors or informal sellers).

16. **Information Disclosure and Consultation.** The Requesters allege the Project lacks transparency and there has been no dialogue between the affected communities and the municipality. According to them, they were only able to access the RAP after getting in touch with the Public Defender's and Public Prosecutor's offices.

17. The Requesters told the Panel that while most of the households are yet to be resettled, there is lack of information on the Project's timeline and they are concerned their resettlement is imminent. They explained some community members had already been affected and in some cases the resettlement involved the use of police force. They told the Panel they are "*facing intimidation by the Municipality and being told that their houses are worth nothing.*" They asked the Panel to urgently carry out an investigation of the Project.

18. **Supporting Documents.** In addition to the Request, the Panel received a letter dated August 5, 2019, from the Catholic Archdiocese of Teresina's Human Rights Commission. The letter emphasizes that affected communities have been living in the area for many years and their cultural identity is linked to their location and closely related to the history of the founding of Teresina. The letter states the Project will bring benefits to the city but should be implemented with respect to the cultural rights of the affected communities.

19. The Panel also received a letter from the Federal Public Defender's Office in Piauí dated August 14, 2019, in support of the Request for Inspection. The signed letter states that the Public Defender's Office has been following this Project for the past three years and, while it understands the Project's importance and benefits, "*the Project managers have not demonstrated a willingness*

to consider the socio-economic and cultural impacts of the Project on the affected communities that have been living in the area for decades.” The letter adds that the Federal Public Defender’s Office is hoping a clear and impartial investigation is conducted into the Project’s implementation. The Panel also received a copy of an ordinance from the Federal Public Defender’s Office in Piauí establishing an internal commission to respond to concerns pertaining to the Project.

20. Additionally, the Panel received a letter from the Public Prosecutor’s Office of the State of Piauí on August 26, 2019, requesting the Panel’s intervention. According to the letter, the Public Prosecutor’s Office recommended to the Municipality of Teresina that the Project’s resettlement process be stopped. According to the letter, however, resettlement was expedited. The letter states the municipality did not provide studies proving that households to be resettled are in areas at risk.

D. Summary of the Management Response

21. The Management Response is attached in full as Annex II to this report. The Response contains a description of the Request, a description of the Project and its background, and Management’s response. To it is annexed a table presenting the Requesters’ claims and Management’s detailed responses. Also annexed are a list with status of the Project’s works and environmental and resettlement plans (see table below), available Project documents and photographs, a list of consultations and outreach events, and a brochure about the Project in Portuguese, as well as four maps. On November 19, 2019, Management provided further information following the Panel’s visit to the Brazil.

22. The Response notes the Project was designed to respond to two challenges faced by the Municipality of Teresina (population about 840,000). These challenges relate to recurrent floods in the Lagoas do Norte region, one of the most environmentally and socially vulnerable and poorest areas of the city,¹³ and to unplanned urban development over the years.¹⁴ The Response states that floods in the area have rendered thousands of families homeless and recur at a rate of once every 16 years. According to the Response, the municipality had to declare a state of emergency in April 2019.¹⁵ Additionally, unplanned urban development has interfered with the region’s natural drainage systems, which are composed of interlinked lagoons constituting a superficial drainage system that is no longer able to absorb and channel a significant amount of storm water and is contributing to flooding.¹⁶ The Project seeks to rehabilitate and upgrade the flood protection infrastructure and improve the quality of life of the population living in the region.¹⁷

23. Management notes that the impact of the rainy season in the Project area is causing a sharp rise in the level of the Parnaíba and Poti rivers. The region is partially protected by two 5-meter-high earth-fill dikes – the 4.6-kilometer (km)-long Boa Esperança dike built in 1974 along the Parnaíba River and the 4.7-km Mocambinho dike built along the Poti River after the 1985 flood (the area’s worst flood event on record). Despite the dike protection, the region continues to be vulnerable to the rise in the water levels that cause the rivers to overflow and flood the area where

¹³ Management Response, p. v, para. ii, and p. 4, para. 12.

¹⁴ Management Response, p. v, para. iii, and p. 5, para. 17.

¹⁵ Management Response, p. 5, para. 18.

¹⁶ Management Response, p. v, para. iii, and p. 5, para. 17.

¹⁷ Management Response, p. v, para. iv, and p. 8, para. 26.

the lagoon systems are located.¹⁸ Management states that over the years encroachment has taken place on the crest of the dikes and an estimated 174 houses were built illegally on the crest of the Boa Esperança dike.¹⁹

24. **Analysis of Alternatives for the Drainage System.** Management states that viable Project design alternatives are being considered to minimize resettlement. The designs of seven of the eight civil works under the Project are being prepared based on the results of the hydrologic and hydraulic study for the entire drainage system of the Lagoas do Norte region, taking into account (i) social and environmental considerations, (ii) the operation of the lagoons, and (iii) provisioning for a buffer area that can absorb flooding with a 25-year return period.²⁰ Two different alternatives were analyzed. The one eventually adopted significantly reduced the need to relocate Project-affected people (PAPs) from 1,279 fully or partially affected properties to 894.²¹

25. **Analysis of Alternatives for the Dikes (Works No. 6).** Management states that two independent dam safety panels of experts (PoE) were established in 2005 and 2015 during the phase 1 project to examine the state of the dikes and their slopes.²² In February 2016, the second PoE concluded the structures built on the dikes' crest and slopes represented a risk of potential damage to the integrity of the dikes.²³ The same PoE conducted another review, at the request of the State Public Attorney's Office, to evaluate alternatives the community suggested (widening Boa Esperança Avenue and moving the dike's axis closer to the Parnaíba River).²⁴ The PoE determined that maintaining the safety and geotechnical stability of the dike requires relocating those living in the external portion of the Boa Esperança dike.²⁵ It concluded that moving the dike's axis was not feasible and recommended raising it by 1 meter to sustain a peak flood equivalent to a 100-year flood.²⁶ In February 2019, the municipality initiated an additional analysis of alternatives to rehabilitate the dike while minimizing resettlement. This analysis will be completed by end-December 2019 and consulted upon with the communities.²⁷

26. **Involuntary Resettlement.** Management expresses its understanding of the Requesters' desire to remain in their current locations²⁸ and their concerns pertaining to the Project's potentially adverse impacts, mainly the need to resettle residents while rehabilitating the city's flood protection infrastructure.²⁹ The number of properties affected by the Additional Financing is currently estimated at 997. Of this number, 301 families involving 177 properties have already been resettled.³⁰ Management indicates this number is still subject to revision as the designs for some Project activities are being reviewed in an effort to limit the number of families to be resettled.³¹

¹⁸ Management Response, p. 4, para. 15.

¹⁹ Management Response, p. 5, para. 19.

²⁰ Management Response, pp. 8-9, para. 27.

²¹ Management Response, p. 9, para. 28.

²² Management Response, p. 9, para. 29.

²³ Management Response, p. 9, para. 30.

²⁴ Management Response, p. 10, para. 31.

²⁵ Management Response, p. 10, para. 31.

²⁶ Management Response, p. 10, para. 32.

²⁷ Management Response, pp. 11-12, para. 33.

²⁸ Management Response, p. vi, para. x, and p. 8, para. 25.

²⁹ Management Response, p. vi, para. v, and p. 7, para. 22.

³⁰ Management Response, p. 7, para. 22, and p. 18, para. 56, footnote 20.

³¹ Management Response, p. vi, para. v, and p. 7, para. 22, footnote 6.

27. While acknowledging that some Project resettlement instruments were not fully in line with Bank policy requirements and require updating and strengthening,³² Management states that the Project's potential adverse impacts are being thoroughly studied and are being mitigated through various technical alternatives, Environmental and Social Management Plans (ESMPs) and RAPs.³³ Management adds the RAPs did not formally declare and communicate the cutoff date to determine who would be eligible to receive compensation.³⁴ Management thus asked the Borrower to update the census and properly establish and disseminate a cutoff date, now established as October 14, 2019.³⁵ This new cutoff date would benefit all PAPs who are eligible for resettlement under the Project.³⁶

Summary Tables of Status of Works and Related Environmental and Resettlement Plans relating to the Requesters (Source: Management Response, Annex 2, p. 49)

Works Contracts	Neighborhood	Status of the Designs	RAP Prepared, Bank No-Objection, Bank Disclosure Date	Environmental Management Plan Bank Disclosure Date	Works Sections as of September 5, 2019 ³⁷	Status of the Works/RAP Implementation	Estimated number of properties affected, September 5, 2019 ³⁸
Works No.1 (E1)	São Joaquim and Nova Brasília	Completed	Yes Jul-18 Feb-19	Sept -19	Section 1	RAP being negotiated in Sections 2 and 3. Works contract signed. Works Environmental and Social Plan was approved. Works have not started yet.	0
					Section 2		76
					Section 3		104
Works No.2 (E2)	Mafrense	Completed	Yes Jan-19 Feb-19	Sept-19 ³⁹	Section 1	RAP being negotiated in Section 1. Negotiations have not started yet in Section 2. Works contract signed. Environmental and Social Plan was submitted for Bank NO. Works in Section 1 have not started yet.	60
					Section 2		61

³² Management Response, p. vi, para. ix, p. 7, para. 23, and p. 14, para. 40.

³³ Management Response, p. vi, para. vii, and p. 7, para. 22.

³⁴ Management Response, Annex 1, p. 23.

³⁵ Management Response, pp. v-vi, para. vi and ix, and pp. 14-15, para. 42. Management notes that the Project was using as reference the census of 2014 as a cutoff but had not announced it effectively to Project-affected people (PAPs). However, this oversight has no implication as all PAPs who moved to the Project area prior to October 14, 2019, are eligible for compensation should they need to be resettled, including owners of unoccupied illegal structures dismantled in August 2019. See, Management Response, p. vi, para. ix.

³⁶ Management Response, p. vi, para. ix, p. 7, para. 23, and p. 14, para. 40.

³⁷ According to Management, the original RAPs are being revisited to include the works sections consistent with current planning and the revised estimate of PAPs based on the current updated census.

³⁸ According to Management, these numbers are subject to revision as the design for some Project activities is still under review to further reduce the number of families to be resettled. The establishment of the cutoff date of October 14, 2019, might also lead to an adjustment of the number, as the census is being updated.

³⁹ According to Management, the Environmental and Social Management Plan was approved by the Bank but not disclosed.

Works Contracts	Neighborhood	Status of the Designs	RAP Prepared, Bank No-Objection, Bank Disclosure Date	Environmental Management Plan Bank Disclosure Date	Works Sections as of September 5, 2019 ³⁷	Status of the Works/RAP Implementation	Estimated number of properties affected, September 5, 2019 ³⁸
						Section 2 activities have not started.	
Works No.3 (E3)	São Joaquim and Olarias	Completed	Yes Feb-19 Feb-19	Sept-19	Section 1	RAP being negotiated in Section 1. Works are being procured. Section 2 has not started RAP implementation.	68
					Section 2		171
Works No.4 (E4)	Mafrense and Olarias	Still being finalized	No - -	-	Polo Cultural	Awaiting final designs to prepare the RAP, the ESMP and the bidding documents.	152
Works No.5 (E5)	Mafrense	Completed and submitted for Bank no objection	Yes - -	-	Piçarreira	Waiting for the RAP and ESMP to be reviewed and approved by the Bank to start the bidding process.	94
Works No.6 (E6) for the Dikes Safety	São Joaquim, Poti Velho and Olarias	Alternatives are being studied	No - -	-	Boa Esperança Avenue	Waiting for alternative designs to be developed. Then, RAP, ESMP and bidding documents will be prepared.	174
							997

28. Management states the resettled PAPs are offered three compensation options from which to choose: (i) cash compensation; (ii) new housing units;⁴⁰ or (iii) monitored resettlement.⁴¹ Management notes the Project's resettlement instruments provide PAPs compensation beyond the requirements of Bank policy and Brazilian law, as houses would be better and safer than required and PAPs would hold more secure land tenure rights.⁴² Additionally, all PAPs would be provided with free transportation of furniture, goods and all the reusable materials they can salvage from the demolition of their current houses.⁴³

29. Management considers some key Project activities will require the removal of houses and structures that have been built in risky areas and in a manner that undermines the city's drainage

⁴⁰ Management notes that the new housing units are being built in Parque Brasil. They will be of approximately 45 square meters, both single family houses (350 units, 100 of which will have a commercial area) and apartments (672 units), located around 4 km north of the Lagoas do Norte region, where all public services will be provided (e.g., drainage, water supply, sanitation and electricity). Completion is expected in March 2020. Overall infrastructure and services such as education, health, and public transportation are regularly available in the neighborhood. Management adds that Parque Brasil provides the opportunity to preserve and foster family and social networks through construction of community centers, recreational spaces and places of worship. See, Management Response p. 12, para. 36.

⁴¹ Management Response, p. vi, para. vii, p. 7, para. 22, and pp. 13-14, para. 37. According to Management, the monitored resettlement option allows PAPs to relocate to nearby out-of-risk house to be purchased by the Project. See, Management Response, p. 12, para. 35.

⁴² Management Response, p. vi, para. viii, p. 7, para. 23, and p. 13, para. 37.

⁴³ Management Response, pp. 13-14, para. 37.

and flood-protection system. Thus, according to Management, in-situ resettlement will not be feasible everywhere.⁴⁴

30. **Livelihood Programs.** Management states that while the RAP does not provide specific mitigation measures to restore livelihoods, other studies, such as the Anthropological Study and the study titled, *O Projeto Sócio – Ambiental: Participação Popular e Controle Social* (volumes I and II), do outline measures to support resettled Project-affected people to improve or at least restore their livelihood conditions.⁴⁵ The Project’s RPF and subsequent RAPs are based on the principles that (i) several economically appropriate livelihood alternatives would be offered, and (ii) that households would be compensated at full replacement cost for losing their productive activities as a result of Project-related impacts.⁴⁶ Management adds that Component 3 of the Project supports job- and income-generation activities targeting resettled PAPs and the population benefiting from Project interventions. A Social Work Project will be elaborated to support the integration of resettled families and allow them to rebuild community links and income-generation capacity. The Project includes support to people in traditional occupations (such as pottery-making, fishing and small farming or gardening) and training for new skills and new businesses.⁴⁷

31. **Dismantling of New Illegal Structures.** Management states that in August 2019 structures located on public land or areas at risk of flooding were dismantled based on municipal laws. Management was informed that no occupied houses were demolished, no evictions occurred and no physical confrontation took place.⁴⁸ According to Management, PAPs covered by the RAP will be entitled to compensation, including for their structures. The Borrower confirmed to Management that no additional structures have been dismantled.⁴⁹ Management noted that on October 18, 2019, individuals entered into one of the Project areas (the Mafrense neighborhood on the site for Works No. 2), reportedly carrying construction materials that had been delivered in trucks. This incident occurred after the October 14, 2019, cutoff date, which was widely published through posted signs stating that any such encroachment would not be eligible for compensation. Management requested the Project Management Unit (the “PMU”) to document and gather information on such developments and advised the municipality to consult with the Bank prior to taking any action. A Bank team member traveled to the Project area during the week of October 20, 2019, to verify the information on the ground.⁵⁰

32. **Cultural Aspects.** Management states the Project supported the design and construction of the Orixás Plaza (a thematic urban space, the design of which is informed by Afro-Brazilian traditions and religion). Further, Project consultations led to the development of the Anthropological Study, which identified 480 Afro-Brazilian traditional and religious groups in the city and 210 in the Project area.⁵¹ The Anthropological Study assessed potential positive and negative impacts of the Project activities on cultural traditions, including adverse impacts on households that serve as places of worship for Afro-Brazilian religions. For such houses of

⁴⁴ Management Response, p. vi, para. x, and p. 8, para. 26.

⁴⁵ Management Response, Annex 1, p. 44.

⁴⁶ Management Response, p. 14, para. 38.

⁴⁷ Management Response, p. 14, para. 39.

⁴⁸ Management Response, p. 14, para. 41.

⁴⁹ Management Response, pp. 14-15, para. 42.

⁵⁰ Management Response, p. 15, para. 43.

⁵¹ Management Response, pp. 15-16, para. 47.

worship, the Project will provide replacement houses. The Anthropological Study also recommends an action plan, which is under implementation, in compliance with Brazilian legislation on cultural heritage.⁵² In addition to this study, the Project has provided support for the revitalization of the Boi Theater, which is considered an important cultural and popular manifestation in the Project area.⁵³

33. **Information Disclosure and Consultation.** Management recognizes there may have been limitations to the effectiveness of communications with local residents about the benefits of the Project, along with its impacts and risks.⁵⁴ Management notes the Project was using the census of 2014 as a reference for the cutoff timeline, but this had not been properly disclosed to PAPs.⁵⁵ Additionally, some of the flood-protection measures appear to be misunderstood as purely aesthetic, recreational or urban improvements, and hence have won little acceptance from PAPs as justification for resettlement. Moreover, families settled on the crest of the dikes may have misperceptions about flood risks.⁵⁶

34. Nevertheless, Management believes the Project and required safeguard instruments were properly consulted upon and disseminated to PAPs. Since 2014, over 60 public hearings, meetings and presentations were held with affected communities and other stakeholders. Between 2016 and 2018, 87 overall community consultation activities were held, including 25 community meetings and 25 workshops on environmental aspects of the Project. Management notes that communications with PAPs would benefit from improvements and has recommended that the Project (i) further strengthen the quality of consultation, communication and the grievance redress mechanism, and (ii) further improve dissemination of information about the Project.⁵⁷

35. Management commits to ensuring these actions are properly implemented by the end of December 2019. Among these actions are (i) the update of the census, (ii) the review and revision of all RAPs, (iii) the suspension of the dismantling of any structures constructed before the October 14, 2019, cutoff date, (iv) the presentation of a technical and social report of the illegal structures in the Project area that were dismantled by the authorities in August 2019 to ensure eligible structure owners are compensated in line with Bank policy, (v) strengthening the quality of consultation, (vi) improving the quality of communications, (vii) improving dissemination of Project information and ensuring the Project website has updated information about the implementation progress of all the RAPs, (viii) strengthening the Project's grievance redress mechanism, and (ix) ensuring the implementation of the Anthropological Study's recommendations regarding cultural heritage aspects.⁵⁸

36. In conclusion, Management states its belief the Bank made every effort to follow the policies and procedures applicable to the matters raised in the Request. Management adds it identified some weaknesses in the Project's RAPs that are being addressed in line with Bank policy and agreed with the Borrower on actions to improve Project implementation. Management

⁵² Management Response, p. 16, para. 48.

⁵³ Management Response, p. 16, para. 49.

⁵⁴ Management Response, p. vii, para. xii, and pp. 7-8, para. 24.

⁵⁵ Management Response, p. vi, para. ix.

⁵⁶ Management Response, p. vii, para. xii, and pp. 7-8, para. 24.

⁵⁷ Management Response, p. vii, para. xiii, and p. 18, para. 58.

⁵⁸ Management Response, pp. vii-viii, para. xiv, and pp. 19-21, para. 63.

concludes that the Requesters' rights or interests have not been, nor will they be, directly and adversely affected by a failure of the Bank to implement its policies and procedures.

E. Panel Review of the Request and the Management Response, and Eligibility Visit

37. Panel Member Ramanie Kunanayagam and Senior Operations Officer Serge Selwan visited Brazil from November 5 to 11, 2019. The Panel team held meetings in Brasília and Teresina. In Brasília, the team met with representatives of the World Bank Country Office. The team also met with officials from the Brazilian Federal Ministry of Economy and the Federal Ministry of Regional Development. In Teresina, the team met with the mayor, the planning secretariat at the municipality, the PMU. The Panel also met with the Requesters and other potentially affected community members and their representatives in the neighborhoods of Mafrense and São Joaquim. Additionally, the Panel team met with the State Public Prosecutor, the State Public Defender (who are following up on the resettlement in Lagoas do Norte) and the Human Rights Commission of the Archdiocese of Teresina. The Panel conducted several walk-throughs of the areas potentially affected by the Project.

38. The Panel wishes to express its appreciation to all those mentioned above for sharing their views and perspectives. The Panel also wishes to express its appreciation to the World Bank Country Office staff in Brasília for their vital assistance with logistical arrangements.

39. The Panel's review is based on information presented in the Request, the Management Response, relevant Project documents, and information gathered during the site visit. The following review covers the Panel's determination of the technical eligibility of the Request in accordance with the criteria set forth in the 1999 Clarification (subsection E.1), observations on other factors (subsection E.2), and the Panel's review (subsection E.3) supporting the Panel's recommendation.⁵⁹

E.1. Determination of Technical Eligibility

40. The Panel is satisfied the Request meets all six technical eligibility criteria of paragraph 9 of the 1999 Clarification. The Panel notes that its confirmation of technical eligibility, which is a set of verifiable facts focusing to a large extent on the content of the Request as articulated by the Requesters, does not involve the Panel's assessment on the substance of the claims made in the Request.

- Criterion (a): *"The affected party consists of any two or more persons with common interests or concerns and who are in the borrower's territory."* The Panel has verified that the Request was submitted on behalf of affected families living in the neighborhoods of Lagoas do Norte where the Project is being implemented. The Panel considers this criterion as met.

⁵⁹ The 1999 Clarification of the Board's Second Review of the Inspection Panel, April 1999 (the "1999 Clarification"). Available at <http://siteresources.worldbank.org/EXTINSPECTIONPANEL/Resources/1999ClarificationoftheBoard.pdf>.

- Criterion (b): “*The Request does assert in substance that a serious violation by the Bank of its operational policies and procedures has or is likely to have a material adverse effect on the Requester.*” The Requesters claim social, economic and cultural harm as a result of the Project’s resettlement and allege that there are alternatives to avoid the resettlement. They also consider the lack of access to the Project’s environmental and social documents has hindered their ability to understand the Project’s impact and related mitigation measures. The Panel considers this criterion is met.
- Criterion (c): “*The Request does assert that its subject matter has been brought to Management’s attention and that, in the Requester’s view, Management has failed to respond adequately demonstrating that it has followed or is taking steps to follow the Bank’s policies and procedures.*” The Panel has verified that the Requesters’ concerns were brought to the Bank’s attention prior to the filing of the Request. The Requesters attached to the Request a letter they shared with Bank Management in June 2019 in which they raised concerns about the Project. The Panel understands Management received the letter, acknowledged it, and promised to relate these concerns to the Project Implementation Unit. However, according to the Requesters the concerns remained unresolved. The Panel is satisfied that this criterion is met.
- Criterion (d): “*The matter is not related to procurement.*” The Panel is satisfied the claims do not raise issues of procurement and, hence, this criterion is met.
- Criterion (e): “*The related loan has not been closed or substantially disbursed.*” As of October 4, 2019, Project disbursement was at 18 percent.⁶⁰ The Project is expected to close on December 15, 2021. Thus, this criterion is met.
- Criterion (f): “*The Panel has not previously made a recommendation on the subject matter or, if it has, that the Request does assert that there is new evidence or circumstances not known at the time of the prior Request.*” Previously, the Panel had not made a recommendation on the issues raised in this Request, this criterion is therefore met.

E.2. Panel Observations Relevant to its Recommendation

41. In making its recommendation to the Board and in line with its Operating Procedures, the Panel considers the following: whether there is a plausible causal link between the harm alleged in the Request and the Project; whether the alleged harm and possible non-compliance by the Bank with its operational policies and procedures may be of a serious character; and whether Management has dealt appropriately with the issues, or has acknowledged non-compliance and presented a statement of remedial actions that address the concerns of the Requesters. Below, the Panel records its preliminary observations on the alleged harm and compliance, noting that in doing so, it is neither evaluating the sovereign decisions of the Borrower, nor making any definitive assessment of the Bank’s compliance with its policies and procedures, and any adverse material effect this may have caused.

⁶⁰ Management Response, p. 2, para. 5.

42. Most of the concerns raised by Requesters and community members during the visit of the Panel related to the potential resettlement. Bank staff and the PMU explained the status of implementation of the Project and the commitments listed in the Management Response. The Panel understands there are six RAPs related to the affected community. The difference between each of the RAPs is the engineering and infrastructure works. The compensatory terms and conditions of the RAPs are uniform.

43. The Panel heard emphatically from all stakeholders this Project is important and has many benefits to Lagoas do Norte and Teresina more generally. The Panel heard directly both from those who wanted to be resettled (as a result of flooding or precarious conditions), as well as those who did not want to be resettled (unconvinced of the rationale for resettlement or of the belief that the current compensation terms are inadequate to restore their existing quality of life).

44. **The Rationale for Resettlement and Project Alternatives.** The Panel notes the concerns of the PAPs from Mafrense are distinct from the concerns of the PAPs residing on Boa Esperança avenue in the São Joaquim area. The RAPs for Mafrense have been prepared and are now being updated. The RAP concerning the Boa Esperança community is yet to be prepared and is awaiting the ongoing technical study on the analysis of alternatives.

45. The PAPs in Mafrense are affected by three work packages (works numbers 2, 4, and 5). According to the communities the Panel met with, no detailed information has been provided to them as to how they are specifically affected. They understand, based on what other community members have heard, that the reason for their resettlement is due to the risk of flooding from the lagoons. However, some dispute their houses are at risk of flooding. Some of the community members had a copy of a RAP where they could find their names, but no information was provided explaining what that meant.

46. The PAPs from Boa Esperança are affected by works related to the rehabilitation and upgrading of the dikes (works number 6). They pointed out to the Panel the varying distances and elevations between their houses and the river and the fact they have never been flooded, including when most of Teresina was flooded in 1985. They therefore believe the risk-of-flooding as a justification is a disguise to gentrify the area. None of the PAPs the Panel met with had heard or knew about safety risks related to the Boa Esperança dike. Community members in both locations say that they have been living in the area for many decades and now that development and infrastructure services are coming to the area, they are being pushed away.

47. The Panel noted a strong vocal opposition in Boa Esperança to being resettled. There are deep-held doubts about the risk-based necessity of resettling. The Office of the Public Prosecutor said that in 2016 a meeting was held with the archdiocese and the mayor to discuss the possibility of studying alternatives. The Office of the Public Prosecutor and community members stated they had requested an independent commission be established to look into the risk-based necessity of resettlement. The PMU informed the Panel they have commissioned a consultancy to undertake an analysis of alternatives that would conclude on three options. The Public Prosecutor and the community believe this study is being undertaken only to justify the resettlement and therefore give it no credence. The State Public Defender and the archdiocese's Human Rights Commission both acknowledge this analysis of alternatives would provide the municipality with three options.

48. The Panel heard from the offices of the Public Prosecutor and State Public Defender and the archdiocese's Human Rights Commission, along with the community, that households question the drivers for the Project (flood risk and dike safety) and are not convinced these stated drivers are applicable. They argue that avoidance has not been given due consideration. Some of these stakeholders imply this is part of a greater plan to develop the area. One of the stakeholders said this was the main driver of resettlement and there was no real commitment to meet the first principle of the Bank's Involuntary Resettlement Policy – avoidance of resettlement when feasible.

49. **Socioeconomic Characteristics of the Community.** The Panel notes the communities of Mafrense and Boa Esperança are made up of diverse groups in terms of ethnicity, religion, socioeconomic status and income, and education. The Panel notes there appeared to be many female-headed households in the community. Many of the meetings were organized and led by women and had a strong presence of female attendees. In general, the women were extremely vocal about their sentiments and attachment to the community and the area.

50. Management in its Response states a socioeconomic survey was conducted for each area as part of the preparation for each RAP. The survey was conducted to ensure safeguards against impoverishment risks and enable affected people to share in the Project benefits. A baseline analysis for the overall area was also conducted in 2012 to gather information on the conditions and the quality of life of the overall population of the Lagoas do Norte region.

51. During its visit, the Panel noted some of the household sizes seem to exceed the Brazilian average that was stated to the Panel by in-country Bank staff. Households the Panel visited varied in size from two to eight members. For instance, elderly parents lived in one household next door to their adult children who were taking care of them. In another household lived three generations of a family – one or more grandparents, parents and children. The history of occupation of the houses varied from those who have lived there for 35 to 50 years to those who had come in the last 10 years and even those who settled after 2014.

52. Some of the houses the Panel visited were of poor quality with no visible improvements. They were also used as shelter for animals such as chickens. In other cases, houses had very large premises with garages. These were well-furnished, well-equipped and well-maintained. The Panel noted many houses it visited had gardens and large mature fruit trees. Some of the occupants mentioned they sold their produce in the market. In Boa Esperança in particular, backyard gardens are being used for small-scale farming. In Boa Esperança, on the embankment of the river, the Panel noted a cluster of poor-quality houses with large fenced properties within which were big mature fruit trees and animals, including horses. These households seemed distinct from the rest of the Boa Esperança community. The Panel noted in Mafrense several houses on a street cutting through the lagoon and built on its edges. These appeared to be mainly low-cost housing.

53. The Panel learned that many of the long-term occupants came into this area very poor and through hard work, diligence and savings have built and improved their lives over time and have now established a quality of life for themselves and their families with which they are happy. The Panel observed that PAPs include a mix of entrepreneurs, small-scale farmers, artisans, paid workers and religious leaders. PAPs consider themselves pioneers who settled in this area,

contributed to its evolution, and built a life for themselves and their future generations. One PAP told the Panel that he had not built a house, he had “built a dream.”

54. The Panel was informed and received confirmation from all stakeholders it met with during its visit at Lagoas do Norte that none of the households have property land titles. Community members do not see this as an impediment to their livelihood security as the lack of title, in their view, is similar to the situation for the whole community of Lagoas do Norte and that of other areas of Teresina.

55. **Resettlement Action Plan – Consultation, Participation, Disclosure.** The Panel notes the PMU and community members state there was no specific cutoff date for the resettlement. It was only following the Request for Inspection that the cutoff date of October 14, 2019, was established.⁶¹ None of the community members who participated in meetings with the Panel have any recollection of a census or enumerators asking them questions about their household size, occupation, income-generation streams, etc.

56. According to the Management Response, following the 2014 census, houses that were determined to be affected received a “seal” and a census code that is registered in the municipality.⁶² Affected community members spoke about their houses being sealed in 2014. Communities described this process to the Panel during the meetings. They stated that in the case of some households, a seal was simply plastered on their houses. They received no explanation or communication. In other cases, officials came into their houses uninvited, took photographs, surveyed and placed a seal and left with little or no explanation.

57. The communities visited by the Panel in both Mafrense and Boa Esperança were unanimous they were neither invited nor included as part of any type of consultation, communication or disclosure related to the preparation or completion of any RAP. Some heard rumors of negotiations for resettlement taking place with other communities. They said this caused significant anxiety among community members and resulted in them mobilizing to raise their concerns about the Project. This mobilization included the involvement of social activists living in Lagoas do Norte and civil society organizations external to the area. These organizations helped facilitate contacts with the offices of the Public Prosecutor, State and Federal Public Defenders, and the Human Rights Commission of the archdiocese. All these parties are now heavily invested in ensuring there is a fair process and outcome for PAPs.

58. The Panel notes the archdiocese has played a convening role during 2015 – 2016. Currently the public defender who was specifically appointed to work on the issues related to Lagoas do Norte is playing a facilitator role. These entities are the trusted medium of communication for the community.

59. According to the PMU and the Management Response, five RAPs are currently being updated. However, community members state they have not yet been consulted with nor are they being invited to participate in this RAP update.

⁶¹ Management Response, Annex 1, p. 23.

⁶² Management Response, Annex 1, p. 23.

60. Management, in its Response, states the RAPs were properly consulted on and disseminated to the PAPs.⁶³ However, Management also explains communication and consultation with PAPs could benefit from a number of improvements. In the community meetings the Panel attended, there was no sense of improvements in consultation and communication.

61. **Resettlement Action Plan – Compensation and Livelihood Restoration.** Management in its Response claims PAPs resettled under the Project will move to better and safer houses and will hold more secure tenure rights.⁶⁴ Management further states the Project resettlement instruments provide compensation for PAPs in accordance with and beyond the requirements of Bank policy and Brazilian law. The Project is offering a choice between three options of compensation: (i) cash compensation; (ii) new housing units (Parque Brasil); and (iii) monitored resettlement.

62. Based on its field observation and preliminary reading of the RAPs, the Panel observes the compensation offered to PAPs appears to be more oriented towards addressing and improving lives of the poorer segments of the community (i.e., those living in poor-quality houses and whose homes are at risk of flooding). The compensation options offered do not appear to take into consideration the families living in larger houses of higher quality and with higher income streams. The compensation terms do not seem to be entirely clear on how those whose household premises are being used for small-scale farming and garden-based livelihood activities will be compensated fairly.

63. The Panel visited the Parque Brasil resettlement site. The houses and apartments seemed well constructed. The Panel notes the visualized concept for Parque Brasil to function as an integrated suburb with future landscaping, parks, services such as schools, paved road networks and sewage systems etc. The Panel noted that all the houses and apartments are of the same size and therefore do not accommodate those with larger families or those moving from larger households or premises. The Panel also noted the current low number of people who have opted for the Parque Brasil option. According to the Management Response, only 11 percent of PAPs are choosing Parque Brasil.⁶⁵ The Panel observed the provision of additional outdoor space on some of the properties allocated for those with small businesses such as bars, small shops, etc. In discussions with PAPs who do not want to be resettled, the Panel was told cash compensation or monitoring resettlement would not give them the equivalent of what they would lose.

64. The Panel visited the home of one of the PAPs who had chosen the monitored resettlement option and moved to a house purchased by the PMU on his behalf. The Panel noted the PAP was happy with this choice, was able to accommodate his workshop for carpentry and had parking space for his car on the premise. The Panel also noted the house had two bedrooms and the only occupants were the man and his wife.

65. The Panel did not hear information from the communities and the Project about livelihood restoration in relation to the resettlement and especially in regard to those who belong to a higher-income category. Management recognizes the RAP does not provide specific mitigation measures

⁶³ Management Response, p. 18, para. 58.

⁶⁴ Management Response, p. 13, para. 37.

⁶⁵ Management Response, p. 7, para. 22, footnote 11.

to restore livelihoods.⁶⁶ Also unclear are the differences between the livelihood-restoration measures targeting resettled families and the overall social and economic development activities pertaining to Component 3.

66. **Resettlement Action Plan – Grievance Redress Mechanism.** Management in its Response acknowledges that some of the Project’s RAPs were not fully in line with Bank policy requirements and required updating and strengthening. The updating would include a detailed description of the grievance redress mechanism by December 2019.⁶⁷ The Management Response highlights the work of the mobilization committee. Committee members are elected yearly by their respective communities to carry out monthly inspections of Project sites. They hear and gather complaints, if any, from community members and report to the PMU on their findings and propose solutions that they consider relevant for the community.⁶⁸

67. The Panel met with the mobilization committee and noted its lack of capacity to carry out its tasks or responsibilities. Mobilization committee members say they have no idea what their role is, that they lack resources and have received no training or capacity development. Members consider themselves philanthropic, working on a voluntary basis. The Panel’s impression was that the committee is largely non-functional. Community members said they did not know of any grievance redress mechanism and the Panel did not see any evidence of a functioning grievance process accessible to the communities.

68. **Cultural Distinctness.** Management in its Response states cultural issues have been taken into consideration in Project design and implementation. The community, on the other hand, claims that the Project does not recognize its cultural uniqueness. The community has shared with the Panel a cultural study it had commissioned of the area. Their members have described the area as multi-cultural and multi-religious.

69. The Panel notes Management commissioned the 2018 Anthropological Study, which recommended an action plan in compliance with Brazilian legislation on cultural heritage. This action plan is being implemented by the PMU and will be monitored by the National Institute for Historical and Artistic Heritage.⁶⁹

70. The Panel further notes the Project’s commitment to replace houses of worship for Afro-Brazilian religions in case of demolitions. Houses with places of worship were resettled and affected people received additional compensation to continue their activities. The new places of worship have been consecrated following all required rituals.⁷⁰

E.3. The Panel’s Review

71. The Panel notes the strong support for the Project by all stakeholders including the Requesters and the unanimous view on the benefits of the Project to the community at large. The

⁶⁶ Management Response, Annex 1, p. 44.

⁶⁷ Management Response, p. 14, para. 40.

⁶⁸ Management Response, p. 17, para. 54.

⁶⁹ Management Response, Annex 1, p. 37.

⁷⁰ Management Response, Annex 1, p. 37.

Panel further notes there are a number of households that want to be resettled due to their location and the acute flood risk. The Panel agrees with Management that the Requesters' concerns illustrate the challenges and trade-offs of development of essential and effective flood protection infrastructure in an urban setting, which is the case for infrastructure components requiring a specific location to function.⁷¹

72. The Panel notes the concerns raised not just by the community but also by the offices of the Public Prosecutor and the State Public Defender and the Human Rights Commission of the archdiocese that insufficient consideration has been given to avoid resettlement, especially in regard to those who claim to have not been flooded except in 1985. The Panel also notes the concern of the above parties that despite repeated requests, reports on the technical justification for the resettlement have not yet been shared. Concerning Boa Esperança, the Panel notes the ongoing analysis of alternatives that is expected to be completed in December 2019 and provide three options for the operation of the dikes. The Panel notes the entrenched views among a number of the community members that the real justification for the resettlement is to relocate households for the wider development, urbanization and gentrification of the area and to potentially attract private investors.

73. **The Rationale for Resettlement and Project Alternatives.** The Panel during its visit heard doubts from the community about the Project's adoption of the avoidance principle stated in Bank policy. The Panel notes that an analysis of alternatives, relevant to houses located on the crest and slopes of the dike, is being conducted with the aim, partly, to avoid and minimize resettlement. The Panel further notes that the negotiation process to be conducted will address redesigns, where feasible, of the Project in the Mafrense location with the similar aim of avoiding and minimizing displacement. The Panel notes that the RAP update, according to Management, will include, among other things, clearer reasons for resettlement.

74. **Consultation and Participation.** The Panel notes Management's statement that over 60 public meetings and presentations were held since 2014 and 87 community-consultation activities were held during the preparation and design phases. The Panel also notes these meetings seem to have been with neighborhood leaders and local organizations representing the 100,000 people of the 13 benefiting neighborhoods in the greater Lagoas do Norte area. The Panel is uncertain how many of these meetings were targeted at the PAPs. The Panel notes that community members it met with stated that no information was provided to them directly. They also had no opportunity to participate in the design of the compensation packages.

75. The Panel observes a significant trust deficit between the affected communities the Panel met with and the Project. This view was reinforced during the meetings with the offices of the Public Prosecutor and the State Public Defender and the Human Rights Commission of the archdiocese. The Panel notes the involvement of the Human Rights Commission and the State Public Defender in facilitating a dialogue and finding solutions. The Panel believes the involvement of such institutions would not have been necessary had the community perceived the Project's engagement with it as effective.

⁷¹ Management Response, p. vi, para. xi, and p. 8, para. 26.

76. The Panel notes Management's recognition that several aspects of the consultation, participation, disclosure of information and grievance redress mechanism need updating and strengthening. Management commits to complete these actions by December 2019. While the Panel welcomes these commitments, the Panel notes that currently consultation with PAPs is taking place at the same time as RAP implementation, when Project staff hold meetings with each family, group meetings, site visits, negotiations meetings, and guided visits to the new houses for displaced people. The Panel notes the Bank Policy on Involuntary Resettlement requires that these consultations take place during RAP planning and preparation, as well as during implementation, so that PAPs are given information in a timely manner to enable them to participate in and influence RAP design and implementation.

77. **Socioeconomic Baseline.** The Panel notes the existence of different socioeconomic groups with different standards of living among the PAPs. In particular, the Panel notes the presence of a relatively higher income cohort who risk losing a quality of life, physical assets including large houses and in some cases livelihood activities linked to their premises. The Panel notes that the RAPs seem to focus almost exclusively on property: land area affected, size of constructed areas, materials of houses, uses of property, values of built structures, etc. It is not clear whether socioeconomic data on the population to be resettled is disaggregated in terms of production systems, education levels and literacy, or by a breakdown of impacts such as potential losses of jobs, farmland and fisheries, productive resources like gardens and fruit trees, and businesses. The Panel notes what seems to be limited information regarding income streams from agriculture, commercial enterprises or any other productive activities mentioned in the RAPs.

78. The Panel considers that the incompleteness of the data raises questions about the adequacy of the design of the RAP and livelihood-restoration measures. Such absence of information generally constrains activities designed to replicate income levels post-resettlement or to innovate new production systems. Failure to do so, could put some resettled households at risk of impoverishment. None of the community members with whom the Panel met had a recollection of census-related information being sought from them to date.

79. **Adequacy of Compensation Options.** The Panel notes Project documents indicate that 25 percent of Lagoas do Norte residents live below the poverty line and 26 percent are indigent. The Panel also notes from field observations the presence of large houses, farms, gardens with fruit trees, businesses, cars, etc. implying some residents are better off. Project compensation options do not take into account the heterogeneity of the families to be resettled. The Panel believes that such a one-size-fits-all approach may have the potential for improvement in housing for poorer households or smaller businesses but does not seem to provide adequate compensation options at replacement value for all those who are eligible for it. The Panel notes that Parque Brasil provides only two-bedroom houses. Furthermore, monitored resettlement is capped at 77,000 reais. Such options do not account for households with larger families or higher income levels.

80. **Livelihood Restoration Measures.** The Panel notes the Project includes support for the creation of jobs and establishment of income-generation programs. The Panel also notes what seems to be a lack of technical description of these activities and how they specifically target PAPs. Such programs seem to be available to the 13 benefiting neighborhoods of the greater Lagoas do Norte. While on one hand this is a positive aspect, on the other hand it does not seem to target families who are at risk of impoverishment due to resettlement-induced loss of productive assets.

81. The Panel notes that Management considers that the Project includes provisions for livelihood restoration. The Panel observes the RAPs seem to not contain information on socioeconomic-development opportunities in the receiving areas for resettled people, Parque Brasil or where PAPs may acquire houses. Further, the RAPs seem to lack technical descriptions of income-generating projects, identification of employment opportunities, capacity-building measures for new jobs, professional or technical staff assigned to assist in building new livelihoods, and a budget or a financing plan for livelihood-restoration programs. The Panel observes that the general activities described in Component 3 apply to the wider population of Lagoas do Norte. It is unclear to the Panel what activities are being specifically prioritized for the different categories of PAPs demonstrating that they would not have to compete for programs made available to the wider population to restore their livelihoods.

82. **Management Commitments.** The Panel has assessed the aspects it identified above vis-à-vis the Management's commitments. The Panel acknowledges the positive actions Management proposed to address the Requesters concerns and requirements of Bank policy. Management commits to updating the RAPs and provides some details regarding what will be updated from the earlier version, including more information on the rationale for resettlement, the legal framework and more attention to livelihood restoration programs and training.

83. The Panel notes, however, that it remains unclear regarding the adequacy of Management's actions to address the issues raised by the Requesters, especially as they relate to consultations, socioeconomic baseline survey and livelihood restoration. Bank policy requires PAPs to be provided with timely and relevant information, consulted on resettlement options, and offered opportunities to participate in planning, implementing and monitoring resettlement. The Panel notes that consultation with PAPs and their participation is taking place during negotiations and PAPs are making key decisions with little understanding and preparation.

84. The Panel notes important weaknesses in the socioeconomic survey, which does not provide adequate information on a household-basis to determine income streams from agriculture, commercial or any other productive activities to design livelihood restoration measures. While the Project includes job and income-generation activities in Component 3 for the Lagoas do Norte, and Management commits to elaborate on such activities in the RAPs, it is unclear to the Panel how the Project will capture the PAPs who move out of Lagoas do Norte or how the PAPs will have access to these activities. Hence, the Panel is concerned whether these activities would achieve livelihood restoration, which is at the heart of Bank policy.

85. Finally, the Panel notes that the deadline for the completion of Management's actions is December 2019. Given the complexity in implementing the Management's actions, including updating five RAPs and conducting related consultations, the Panel is concerned whether these commitments can be implemented within the suggested timeline.

F. Recommendation

86. The Panel concludes the Requesters and the Request for Inspection meet the technical eligibility criteria set forth in the Resolution establishing the Inspection Panel and the 1999 Clarification. The Panel further notes that the alleged harm is of a serious nature and there is a

plausible causal link between the alleged harm and possible non-compliance by the Bank with its operational policies and procedures.

87. The Panel welcomes Management's commitments as a positive step. However, considering the above stated observations, at this stage the Panel is not satisfied that these commitments are adequate to address the concerns raised by the Requesters in accordance with Bank policies and procedures.

88. In light of the foregoing, the Panel is recommending an investigation into the issues raised in the Request. If the Board of Executive Directors concurs with this recommendation, the Panel will inform the Requesters and Management accordingly.

ANNEX I

REQUEST FOR INSPECTION

Request for Inspection

Request for Inspection

We the undersigned, representing 202 families who reside in the communities and neighborhoods known as Afonso Mafrense and São Joaquim, part of the area designated for the program entitled **Parque Lagoas do Norte, Teresina, Piauí**, specifically Phase 2 of the Resettlement Action Plan, take this opportunity to make a statement about the PRI that the city government of Teresina, capital of the state of Piauí, presented to us.

We do not agree with and do not accept the resettlement of our families that results in our departure from our current places of residence. According to the draft RAP, there are 119 affected families in the Phase 2 area, 34 of them will be partially affected and 85 will be completely affected. We are part of that latter target group, along with other families who live in the same area but are not considered in the records (stamp) of the city government, i.e., new residences and families arriving after the stamp [sic] was conducted in 2014 and the resettlement plan developed.

We emphasize that those families are being drastically impacted in terms of social, political, cultural and economic conditions. The project being executed lacks transparency and there is no dialogue between the city and the residents. The Resettlement Action Plan was not made available to us until after we were able to obtain the assistance of a prosecutor and public defender.

We are submitting this request for inspection and asking for an investigation of the area that comprises the Lagoas do Norte Park, giving priority to the area of the aforementioned phase. We also request a determination as to whether the construction works are being carried out according to World Bank policy.

We ask: For whom is the Lagoas do Norte Park? This project requires the resettlement of more than 70 percent of the homes during the present phase. Some families have lived there for 40 years. Their homes have great sentimental value. Others support their families by work performed at their own homes. Furthermore, there are needy people who depend on the help from others, such as their closest neighbors, since they have lived for so long in that area. There are elderly people who are part of the history of the community. Now, with the arrival of the park, we thought that we would benefit from the wonders of the project adopted by the city hall since we have been waiting for so long for improvements, but now we are not given the choice of staying in order to enjoy the benefits of the park.

We believe that, in accordance with Bank policy, involuntary resettlement is the option of last resort for a project, but the truth is that it's not happening that way. Residents are not being given the option of staying in their homes because the city requires residents to leave the location; there is no need for that because there is sufficient space in which to build the park without displacing the families. *What we want is to stay in our homes and in the future enjoy the beauty of the park.*

Given the actions being taken by the city hall, we residents have formed protest groups in order to strengthen the movement toward allowing families to remain in our communities. These groups have received help from institutions such as the Ferreira de Sousa Defense Center (mobilizing families impacted in other communities, movements, and researchers), the Movement of Persons Affected by Dams/MAB, the Public Prosecutor's Office of the state of Piauí (record of hearing attached), the Federal Public Defender's Office and those of the state of Piauí (a committee of public defenders has been formed – see attached), the Archdiocese of Teresina, through its human rights commission, parishes, and pastors (letter of support from the Archdiocese attached), the Architecture and Urbanism Council of Piauí, the State Council of Engineering and Agronomy, and the Zonal Coordinating Group/GAZ of the North. We also recognize support from many civilian volunteers.

We will persevere in the expectation of being heard, so that our families may be considered as part of the existence of the Lagoas do Norte Park, staying in the places where we now live and are making history.

The involuntary resettlement being carried out by the City of Teresina violates the document entitled World Bank Operational Manual – 2001, inasmuch as it does not consider the following:

1. The serious economic, social, and environmental risks caused by involuntary resettlement and the breakdown of production systems;
2. Impoverishment associated with loss of property or sources of income;
3. The conditions offered for production of goods and services when moved from their places of origin and relocated to more disadvantaged sites;
4. Effect on community-based social networks and institutions now serving families that will be displaced, leading to dispersion of family groups and launching an attack on the cultural identity of the people who founded the city of Teresina;
5. Alternatives to avoid involuntary resettlement;
6. Possibilities for participation in the benefits afforded by the project;

7. Opportunities for participation in planning and implementation of the resettlement program, to have their demands be heard and responded to so that they are assisted in their efforts to restore their living conditions if the alternative of improving those conditions prevails;

5. [sic] The conditions under which the affected population lives, used as basis for finding ways to recover their livelihood;

6. Participation by the involved families, considering the principle of shared property between women and men, in the assets and in negotiations concerning the alternative modes of compensation inherent in the planning and implementation of any kind of resettlement;

7. Mandatory payment of compensation prior to resettlement;

8. Need for legal advisory services during negotiation of compensation; lack thereof has resulted in unfair appraisals of property and real estate that were not even conducted in advance. The replacement cost method, which should include transaction costs, was not adopted.

9. Families who do not have legal title to the property (squatters) and families or individuals who have no legal right to the land (renters, assignors, lace makers, street vendors or informal salespeople) are going to lose the right to access and use a portion of the land (because of the start of construction).

Let the Lagoas do Norte Park be devoted to those who already live near its space!

We are certain that this will involve less financial cost and produce greater social value.

Following are some contact points for continuation of dialogues via e-mail, always copied to all:

Thays: thaysbeatryce@ gmail. com; Morais: franciscomototaxi 1307@gmail.com; and Lúcia Araújo: luciateresina@yahoo.com.br.

Other individuals are mentioned in other attached documents.

Teresina/Piauí, August 13, 2019

ATTACHED PETITIONS SIGNED BY 202 FAMILIES

ANNEX

I, the undersigned, being responsible for the family and residence at the address that also appears below, situated in the area of construction of the Lagoas do Norte Park, do not agree and do not accept the resettlement of my family away from its current place of residence. I am protesting against the World Bank in the expectation of being heard, so that my family will have the opportunity to enjoy the benefits brought about by the environmental park.

NAME

ADDRESS

NEIGHBORHOOD

STREET

NUMBER

Pedido de Inspeção

Nós, abaixo-assinados, representando 202 famílias moradoras das comunidades e bairros Afonso Mafrense e São Joaquim, da área do **Programa Parque Lagoas Do Norte, Teresina, Piauí**, da etapa 2 do plano de reassentamento involuntário/PRI, através desta carta, vimos nos manifestar sobre esse PRI, que a prefeitura de Teresina, capital do Piauí, Brasil, nos apresentou.

Não concordamos e não aceitamos o reassentamento de nossas famílias com a consequente saída do atual local de residência. Segundo a minuta do PRI, nessa área da etapa 2 existem 119 famílias afetadas, sendo previsto 34 remoções parciais e 85 remoções totais. Nós somos parte dessa última meta, se somando a outras famílias que moram na mesma área mas não estão consideradas nos registros(selos) da Prefeitura, ou seja, novas moradias e famílias pós realização do selo em 2014 e plano de reassentamento.

Ressaltamos que essas famílias estão sendo impactadas, de forma brutal, nas suas condições sociais, política, cultural e econômica. Não existe transparência no projeto que está em execução e nem diálogo entre a prefeitura e moradores. O Plano de reassentamento involuntário só foi disponibilizado para nós quando conseguimos a ajuda de um promotor e um defensor público.

Vimos apresentar este pedido de inspeção e solicitamos uma investigação na área que compõe o parque lagoas norte, prioritariamente na área que consiste a etapa supra citada, também para verificar se as obras estão sendo executadas de acordo com a política do banco mundial.

O que nós questionamos: parque lagoas do norte para quem? Neste projeto a ser executado requer a remoção de mais de 70% das moradias da etapa atual, existem famílias que moram há 40 anos de residência nesse local, já existe um grande valor sentimental pela sua moradia, já outros, possuem meios de trabalho na sua própria residência para garantir o sustento da família, e além do mais, existem pessoas necessitadas que dependem da ajuda de outras pessoas, como no caso os vizinhos mais próximos, já que moram a tanto tempo nessa área. Essas pessoas mais antigas, fazem parte da história da comunidade. Agora, com a vinda do parque, pensávamos que iríamos nos beneficiar com as maravilhas do projeto da prefeitura, já que estamos tanto

tempo à espera de uma benfeitoria, pois agora não nos dão escolha de ficar, para usufruir dos benefícios do parque.

Acreditamos que reassentamento involuntário seja a última opção para o projeto, de acordo com a política do banco, mas na verdade não é dessa forma que está acontecendo, os moradores não estão tendo a opção de ficar nas suas residências, pois a prefeitura obriga os moradores a sair do local sem necessidade, por que tem área suficiente para construção parque sem a remoção das famílias. *O que queremos, é permanecer em nossas residências e desfrutar da beleza do parque futuramente.*

Com a movimentação da prefeitura, nós moradores criamos grupos de resistência para fortalecer a permanência das famílias nas nossas comunidades, os grupos de resistência tem recebido o apoio de algumas instituições como: Centro de Defesa Ferreira de Sousa (mobilizando famílias impactadas de outras comunidades, movimentos e pesquisadores), Movimento de Atingidos por Barragens/MAB, Ministério Público do Estado do Piauí (anexado termo de audiência), a Defensoria Pública da União e também do Estado do Piauí (constituído comissão de defensores públicos – ver anexo), a Arquidiocese de Teresina, através de sua comissão direitos humanos, paróquias e pastorais(anexada carta de apoio da Arquidiocese), Conselho de Arquitetura e Urbanismo do Piauí, Conselho Estadual de Engenharia e Agronomia e Grupo de Articulação Zonal/GAZ do Norte. Ressaltamos também muitas adesões de parcerias civis voluntárias.

Vamos continuar perseverando na expectativa de atendimento, que nossas famílias sejam contempladas na participação da existência do parque lagoas do norte, ficando no mesmo lugar em que estamos morando e fazendo história.

O reassentamento involuntário promovido pela Prefeitura de Teresina descumpre o documento Manual Operacional do Banco Mundial de 2001 em razão de não considerar:

1. os graves riscos econômicos, sociais e ambientais provocados pelo reassentamento involuntário e desagregação dos sistemas de produção;
2. o empobrecimento pela perda de patrimônio ou fontes de renda;
3. as condições ofertadas para produção de bens e serviços do local de origem com realocação em locais menos favorecidos;

4. as redes sociais e instituições comunitárias das famílias deslocadas, o que leva à dispersão de grupos familiares e promove ataque à identidade cultural de um povo que deu origem à cidade de Teresina;
5. formas alternativas de evitar o reassentamento involuntário;
6. as possibilidades de participação nos benefícios providos pelo projeto;
7. oportunidades de participação no planejamento e implementação do programa de reassentamento, sendo ouvidas e atendidas suas demandas, de modo a serem assistidas nos seus esforços de restauração das condições de vida, prevalecendo a alternativa de melhoria dessas condições;
5. as condições em que vive a população afetada e com isso buscar recuperar seu modo de vida;
6. a participação das famílias envolvidas, considerando o princípio de partilha conjunta da mulher e do homem nos bens e nas negociações de alternativas de compensação inerentes ao planejamento e na efetivação de qualquer atividade de reassentamento;
7. a obrigatoriedade das compensações antes das remoções;
8. a necessidade de assessoria jurídica no âmbito de negociação da compensação, o que tem resultado em avaliação não justa e nem prévia dos bens e imóveis, sem adotar o método de custos de substituição, que deve incluir os custos de transação;
9. as famílias que não têm regularização fundiária (posseiros) e às famílias ou indivíduos que não têm qualquer direito legal sobre a terra (arrendatários, cedentes, rendeiros, vendedores ambulantes ou informais) e que vão perder o direito de acesso e uso de uma parte da mesma (em virtude da implantação da obra).

Que o Parque Lagoas do Norte seja para quem já mora junto e próximo ao seu espaço!

Temos a certeza que será de menor custo financeiro e maior valor social.

Apresentamos alguns contatos para referência de continuidade dos diálogos, via e-mail e sempre copiados: Thays: thaysbeatryce@gmail.com, Morais: franciscomototaxi1307@gmail.com e Lúcia Araújo: luciateresina@yahoo.com.br.

Além desses contatos, observar outros citados em outros documentos anexados.

Teresina/Piauí, 13 de agosto de 2019.

ABAIXO-ASSINADOS EM ANEXO DE 202 FAMÍLIAS

ANEXO

Eu, abaixo assinado, responsável pela família e residência com o endereço também informado abaixo, localizado em área das obras do Parque Lagoas Do Norte, não concordo e não aceito o reassentamento da minha família do atual local de residência. Venho a reclamar junto ao Banco Mundial, na expectativa de atendimento, e da oportunidade de minha família ser beneficiada pelos bens trazidos pelo parque ambiental.

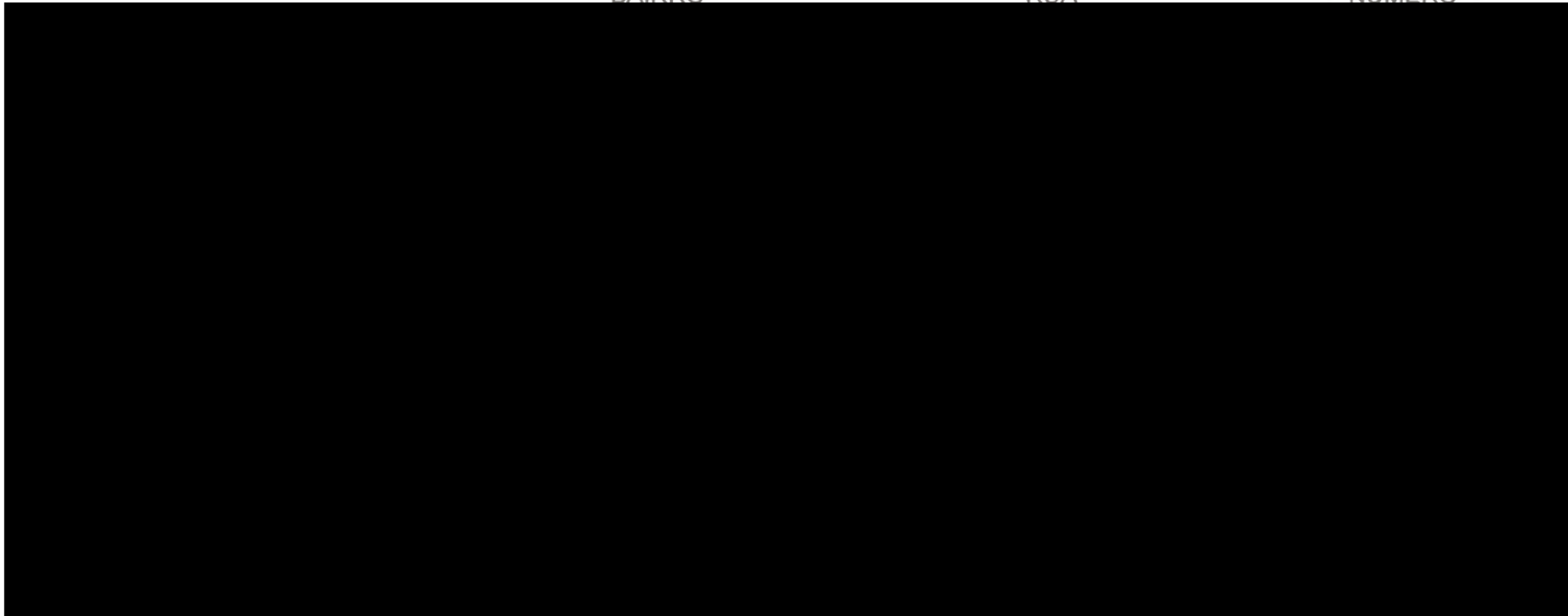
NOME

ENDEREÇO

BAIRRO

RUA

NUMERO



MANIFESTO OF A PEOPLE'S DIALOGUE!

Referring to the Lagoas do Norte Park!!!

We, the undersigned, hereby constitute ourselves as representatives of families from the communities of Poty Velho, Afonso Mafrense and São Joaquim (also including the region of the pottery factories, Avenida Boa Esperança), all situated in the area encompassed by construction of the Lagoas do Norte Park.

First, we want to thank the World Bank for its attention and the opportunity to have the requested dialogue today.

We emphasize that this dialogue is very valuable and is accompanied by many others now in progress with other institutions such as the Federal Office of Public Defenders, the State Prosecutor's Office, the Archdiocese of Teresina (through its human rights commission and the two parishes that serve the area of these communities), university study and research groups, the city government of Teresina, the Regional Council of Engineering and Agronomy (CREA), the Architecture and Urbanism Council of Piauí (CAUPI), the Ferreira de Sousa Defense Center, and associations of residents.

All these dialogues have been held primarily to promote guarantees of the families' rights and safety with respect to the "involuntary resettlement" being carried out by the city government.

We have highlighted questions that we believe are important for the exchange of opinions during this dialogue. In our reflections we considered the following:

- 1) The families have an understanding and they appreciate and are publicizing the **value of the construction work and the park**, both for the city and for themselves;
- 2) **The families also have tremendous value to offer to the construction and sustainability of the park**, as they have been able to offer the city and, especially, to the history of this region. The great majority of families have a long history of living in these communities to which they have lasting ties.¹
- 3) **The "involuntary resettlement"** has proceeded with the dynamics of a negotiation of real estate, but it is important to stress that what is involved is not merely negotiation and dislocation of buildings to make way for the Park, but a change in the living conditions of those families;

¹ Handwritten notation in the margin *Note – in the copy* [initials]

4) **The dialogues** have taken the form of debates, studies and proposals and have moved in the direction of reaffirming commitments associated with construction of the park, provided consideration is given to the key role of the families and their ability to remain in the place where they now live.

5) To that end, we have held various **meetings with city government** and agreed in March 2019 to **establish a technical working group** of varied membership including professionals, in order to revise the size of the project (this has not yet been done). To that end, we have formed partnerships with those who are predisposed to participate and lend support, such as the CREA and CAUPÍ and independent professionals in engineering, architecture, anthropology, etc.

The families and communities are ready and available to participate.

It is our fervent desire that the World Bank, as a follow-up to this meeting, join and support the consolidation of these dialogues and the decisions being made as to the direction of future actions in order to promote guarantees of the families' rights and safety with respect to involuntary resettlement, always keeping in mind the key role played by the families.

Teresina/PI/Brazil, June 16, 2019.

[handwritten] Hand-delivered to [REDACTED] of the "Piauí Pillars of Growth and Social Inclusion" Project being carried out in Teresina/PI/Brazil.

[text cut off at bottom of page]

OFFICE OF THE PUBLIC DEFENDER
OF THE STATE OF PIAUÍ

GDPG ADMINISTRATIVE RULING No. 750/2019

THE ACTING PUBLIC DEFENDER-GENERAL OF THE STATE OF PIAUÍ, using his legal authority under Art. 13, Section XX of State Complementary Law No 059, dated November 30, 2005.

CONSIDERING: The content of the Official Communication from the Archdiocesan Commission on Human Rights issued by the Archdiocese of Teresina;

HEREBY RESOLVES:

Art. 1. **TO ESTABLISH A COMMISSION for construction of planned actions in order to respond to demands pertaining to the Lagoas do Norte Project**, such commission to be composed as follows:

I – **CHAIRMAN:** Dr. Alessandro Andrade Spindola;

II - **MEMBERS:** Dra. Patrícia Ferreira Monte Feitosa, Dr. Igo Castelo Branco de Sampaio, Dra. Karla Araújo de Andrade Leite, Dra. Sheila de Andrade Ferreira, Dr. Marcelo Moita Pierot and Dr. Gerson Henrique Silva Sousa.

Art. 2. This Administrative Ruling enters into force on the date of its publication.

TO BE PUBLICIZED, RECORDED, AND FULFILLED.

OFFICE OF THE PUBLIC DEFENDER-GENERAL, in Teresina, Piauí, August 12, 2019.

[signed]

CRISVALDO MARQUES DOS REIS

Public Defender-General of the state of Piauí

Rua Nogueira Tapety, 138, Bairro dos Noivos |64.046-020 - Teresina - Piauí
defensoriapublica@defensoria.pi.def.br | www.defensoria.pi.def.br | (86) 3232-0350

ODPU
OFFICE OF THE FEDERAL PUBLIC DEFENDER IN PIAUÍ
3RD GENERAL CIVIL OFFICIAL COMMUNICATION

LETTER OF SUPPORT – DPU/PI S/N/2019

Teresina – PiauÍ – Brazil, August 14, 2019

TO THE WORLD BANK

SUBJECT: LETTER OF SUPPORT FOR THE REQUEST FOR INVESTIGATION BY THE WORLD BANK FORMULATED BY THE COMMUNITIES IMPACTED BY THE LAGOAS DO NORTE PROJECT – TERESINA – PIAUÍ – BRAZIL

THE OFFICE OF THE FEDERAL PUBLIC DEFENDER IN PIAUÍ – DPU/PI, represented herein by the undersigned Federal Public Defender, issues this letter TO STATE his support for the REQUEST FOR INVESTIGATION addressed to the World Bank, particularly in the matter concerning implementation of the Lagoas do Norte Project in the municipality of Teresina, state of PiauÍ, in the Federative Republic of Brazil.

THE OFFICE OF THE FEDERAL PUBLIC DEFENDER IN PIAUÍ – DPU/PI, as a permanent institution of the Brazilian State charged with providing full legal assistance free of charge to the needy, as well as defending human rights pursuant to Art. 134 of the 1988 Constitution of the Federative Republic of Brazil, has since 2016 been following the progress of the installation of the Lagoas do Norte Project sponsored by the Municipality of Teresina – PiauÍ – Brazil and financed by the World Bank, in its role of defending the rights of the communities impacted by that project.

During all these months of observing the actions taken under the Lagoas do Norte Project, the DPU/PI, along with other institutions, both public and private, has continually attempted to establish dialogues and hold negotiations between those responsible for the Lagoas do Norte Project and the communities impacted by that project. However, **the municipal managers responsible for conducting the project never demonstrated any willingness to take into consideration the socioeconomic and cultural aspects that involve the communities impacted by the Lagoas do Norte Project and the locality where they have lived for decades, into which they have integrated their unique cultural identity.**

ODPU
OFFICE OF THE FEDERAL PUBLIC DEFENDER IN PIAUÍ
3RD GENERAL CIVIL OFFICIAL COMMUNICATION

It should be emphasized that those communities never protested the installation of the Lagoas do Norte Project. They understand the importance of its implementation in improving living conditions for residents of the entire northern region of Teresina/PI.

However, the communities have always questioned some of the actions taken during execution of the project, primarily the removal and/or attempt to expel thousands of families from areas that they have occupied for decades. Yet the municipal managers have not effectively listened to the appeals by the communities and the entities that support them to make it feasible for the great majority of those families to remain in the area where they live without impairing the execution of the project. This effort would necessitate effective participation by the communities involved.

We emphasize that an analysis of the documents prepared by the Municipality of Teresina – Piauí – Brazil and sent to the World Bank cites as justification for removal of the families from the affected areas the fact that they are living in an area that is vulnerable to risks. However, for purposes of executing that measure they rely on a different argument (expropriation for reasons of public utility) in order to make the removals feasible under the terms of the internal legal order. This is an argument that, when used in this way, would violate procedural rules established by the World Bank itself.

At this point it is appropriate to quote the Archdiocesan Commission on Human Rights of Teresina – PI, which stated: “*the Constitution of the Federative Republic of Brazil is significantly open in relation to fundamental rights. In that connection cultural rights are considered as included among fundamental rights, thus human rights according to Art. 215 of the Constitution of Brazil. Therefore they must be respected in all their dimensions, even when in conflict with Urban Development Law.*”

‘It should be explained that the region in Teresina – PI, state of Piauí where the Lagoas do Norte Project is being established, is a region that features significant landmarks of cultural identity with the people who live there. Its families date back to the earliest years of the founding of the state capital city, and so although any resettlement procedure associated with the Lagoas do Norte Project must consider technical aspects, it must also consider the persuasive wishes of the families who will be affected to remain in the places where they were born.’

ODPU
OFFICE OF THE FEDERAL PUBLIC DEFENDER IN PIAUÍ
3RD GENERAL CIVIL OFFICIAL COMMUNICATION

In light of the foregoing, **THE OFFICE OF THE FEDERAL PUBLIC DEFENDER IN PIAUÍ** hereby expresses its full support for the REQUEST FOR INVESTIGATION made by the community and accompanied by dozens of collected signatures. We hope that the World Bank will clearly and impartially investigate the installation of the Lagoas do Norte Project, a plan that will bring many benefits to the municipality but must proceed with respect for human rights—especially the cultural rights—of the impacted communities. We remain willing and available to assist with whatever investigative actions may be implemented.

Very truly yours,

[signed]

BENONI FERREIRA MOREIRA

Federal Public Defender

Teresina, August 5, 2019

THE COMMISSION ON HUMAN RIGHTS OF THE ARCHDIOCESE OF TERESINA- PI, represented herein by its Chairman and signatory to this **Letter of Support**, hereby announces its **support** for the REQUEST FOR INVESTIGATION addressed to the World Bank, especially as it pertains to the installation of the Lagoas do Norte Project in the municipality of Teresina, state of Piauí, Federative Republic of Brazil.

The Archdiocesan Commission on Human Rights has since 2016 been following the progress of installation of the Lagoas do Norte Project and during that entire time has perceived that some families are opposed to leaving their ancestral lands, primarily because they have strong ties of cultural identity with the locality and, moreover, because they would like to participate in the completed Project and the benefits it will bring to the northern zone of the state capital city.

The Constitution of the Federative Republic of Brazil is significantly open in relation to fundamental rights. In that connection cultural rights are considered as included among fundamental rights, thus human rights according to Art. 215 of the Constitution of Brazil. Therefore they must be respected in all their dimensions, even when in conflict with Urban Development Law.

It should be explained that the region in Teresina – PI, state of Piauí where the Lagoas do Norte Project is being established is a region that features significant landmarks of cultural identity with the people who live there. Its families date back to the earliest years of the founding of the state capital city, and so although any resettlement procedure associated with the Lagoas do Norte Project must consider technical aspects, it must also consider the persuasive wishes of the families who will be affected to remain in the places where they were born.

In light of the foregoing, the Archdiocesan Commission on Human Rights of Teresina – PI issues this letter to express its support for the REQUEST FOR INVESTIGATION made by the community and accompanied by dozens of collected signatures. We hope that the World Bank will clearly and impartially investigate the installation of the Lagoas do Norte Project, one that will bring many benefits to the municipality but must proceed with respect for human rights, especially the cultural rights of the impacted communities.

Very truly yours,

[signed]

CARLOS WAGNER ARAÚJO NERY DA CRUZ

Chairman of the Archdiocesan Commission on Human Rights

Archdiocese of Teresina – state of Piauí

Federative Republic of Brazil

cwanc@uol.com.br

OFFICE OF THE PUBLIC PROSECUTOR OF THE STATE OF PIAUÍ
PUBLIC PROSECUTORS UNIT FOR THE PROTECTION OF PUBLIC HERITAGE AND
ADMINISTRATIVE PROBITY
44th JUDICIAL DISTRICT

RECORD OF HEARING

On the second day of the month of May of 2019, at 9:00 a.m. in Conference Room 04, Mezzanine level of the Office of the Public Prosecutor situated at Rua Lindolfo Monteiro, n° 911, a hearing was held. Present were Dr. Fernando Ferreira dos Santos, Public Prosecutor for the 44th Judicial District; Mr. Raimundo Eugênio Barbosa dos Santos Rocha, representative of the Municipal Secretariat of Government - SEMGOV; Mr. Benoni Ferreira Moreira, Federal Public Defender; and Ms. Dilma Maria Pereira Velante and Mr. Francisco Morais as representatives of the residents. In view of the absence of the Municipal Planning Secretary, who was ill, the hearing was rescheduled for May 8, 2019, at 9:00 a.m. at the Mezzanine level of the Office of the Public Prosecutor situated at Rua Lindolfo Monteiro, n° 911. Then the hearing was adjourned and I, Gabriel Catallini Batista Rosa (Law Intern) drew up this record which, having been read and found to be in order, was duly signed by those in attendance.

_____[signed]_____

Dr. Fernando Ferreira dos Santos
Public Prosecutor for the 44th Judicial District



Raimundo Eugênio Barbosa dos Santos Rocha
Municipal Secretary of the Government

_____[signed]_____

Mr. Benoni Ferreira Moreira
Federal Public Defender

MANIFESTO DE DIÁLOGO POPULAR!

Referente ao Parque Lagoas do Norte!!!

Nós, abaixo assinado, nos constituímos representantes de famílias das comunidades: Poty Velho, Afonso Mafrense e São Joaquim (compreendendo também região das olarias, av. Boa Esperança), todas elas situadas na área de abrangência das obras do Parque Lagoas do Norte.

Inicialmente, vimos agradecer ao Banco Mundial a atenção e abertura para diálogo solicitado, nesta data.

Ressaltamos que esse diálogo é de muito valor e que se soma a muitos outros, em processo, com várias outras instituições, a exemplo da Defensoria Pública da União, Ministério Público do Estado, Arquidiocese de Teresina (através da sua comissão de Direitos Humanos e suas duas paróquias de atuação na área dessas comunidades), Grupos de Estudos e Pesquisas de Instituições de Ensino Superior, Prefeitura Municipal de Teresina, Conselho Regional de Engenharia e Agronomia, Conselho de Arquitetura e Urbanismo do Piauí, Centro de Defesa Ferreira de Sousa e Associações de Moradores.

Todos esses diálogos tem se dado, principalmente, no sentido de promover garantias de direitos e segurança às famílias quanto ao “remanejamento involuntário” sendo executado pela Prefeitura.

Vimos destacar questões que achamos importantes para entendimentos nesse diálogo. Temos considerado em nossas reflexões:

- 1) As famílias têm compreensão, gostam e difundem **o valor das obras e do parque**, tanto para a cidade como para elas.
- 2) **As famílias também têm valor enorme a oferecer para essa construção e sustentabilidade do parque**, assim como tem sido para a cidade e, de modo particular para a história dessa região. As famílias, na sua grande maioria, têm uma longa história de vida e laços de convivência nessas comunidades.
- 3) O **“reassentamento involuntário”** tem se dado com a dinâmica de negociação de imóveis, mas é importante ressaltar que não se trata apenas de negociação

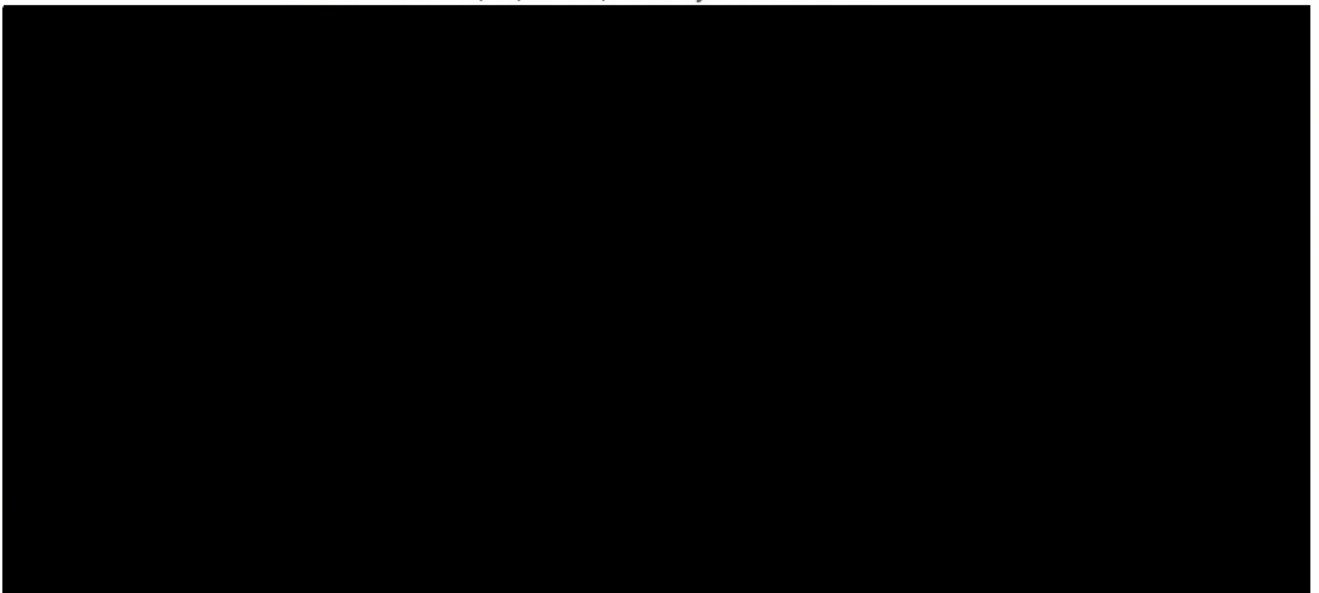
e mudança de imóvel, para dar lugar ao Parque, mas mudança de condições de vida dessas famílias;

- 4) **Os diálogos** tem se constituído de debates, estudos e proposições e têm sido no sentido de reafirmar compromissos com a construção do parque, desde que contemple o protagonismo das famílias e sua permanência no seu local de moradia atual.
- 5) Para tal: realizamos diversas **reuniões com a Prefeitura** e pactuamos em março de 2019 a **instalação de um grupo técnico** e misto de trabalho com profissionais para redimensionar o projeto (ainda sem ter sido efetivada). Para tal, mobilizamos parcerias com pré-disposição de participação e apoio, como é o caso do CREA e CAUPÍ e de profissionais autônomos da engenharia, arquitetura, antropologia e etc.

As famílias e comunidades se colocam à disposição.

Desejamos imensamente que o Banco Mundial, apartir dessa reunião, venha a se somar e apoiar a consolidação desses diálogos e definições de rumos, no sentido promover garantias de direitos e segurança às famílias quanto ao remanejamento involuntário, sempre considerando o protagonismo das famílias.

Teresina/PI/Brasil, 16 de junho de 2019.



Entregue, em mãos ao [redacted]
[redacted] ao Projeto "Pilares de Crescimento e Inclusão Social", realizada em Teresina/PI/BR,



DEFENSORIA PÚBLICA
DO ESTADO DO PIAUÍ

PORTARIA GDPG Nº 750/2019

O DEFENSOR PÚBLICO-GERAL DO ESTADO DO PIAUÍ em exercício, no uso de suas atribuições legais, conferidas pelo art. 13, inciso XX da Lei Complementar Estadual nº 059, de 30 de novembro de 2005.

CONSIDERANDO o constante no Ofício s/n da Comissão Arquidiocesana de Direitos Humanos da Arquidiocese de Teresina;

RESOLVE:

Art. 1º. INSTITUIR COMISSÃO para construção de ações planejadas com o fim de atender as demandas referentes ao Projeto Lagoas do Norte, com a seguinte composição:


I - PRESIDENTE: Dr. Alessandro Andrade Spindola;

II - MEMBROS: Dra. Patrícia Ferreira Monte Feitosa, Dr. Igo Castelo Branco de Sampaio, Dra. Karla Araújo de Andrade Leite, Dra. Sheila de Andrade Ferreira, Dr. Marcelo Moita Pierot e Dr. Gerson Henrique Silva Sousa.

Art. 2º - Esta portaria entra em vigor na data de sua publicação.

CIENTIFIQUE-SE, REGISTRE-SE E CUMPRA-SE.

GABINETE DA DEFENSORIA PÚBLICA GERAL, em Teresina-Pi. 12 de agosto de 2019.


ERISVALDO MARQUES DOS REIS
Defensor Público Geral do Estado do Piauí



DEFENSORIA PÚBLICA DA UNIÃO NO PIAUÍ
3º OFÍCIO CÍVEL GERAL

CARTA DE APOIO – DPU/PI S/N/2019

Teresina – Piauí – Brasil, 14 de agosto de 2019.

AO BANCO MUNDIAL

ASSUNTO: CARTA DE APOIO AO PEDIDO DE INVESTIGAÇÃO PELO BANCO MUNDIAL, FORMULADO PELAS COMUNIDADES IMPACTADAS PELO PROJETO LAGOAS DO NORTE – TERESINA-PIAUÍ-BRASIL

A DEFENSORIA PÚBLICA DA UNIÃO NO PIAUÍ – DPU/PI, neste ato representada pelo Defensor Público Federal signatário deste expediente, vem por meio desta carta MANIFESTAR seu apoio ao PEDIDO DE INVESTIGAÇÃO junto ao Banco Mundial, em especial no que diz respeito à implantação do Projeto Lagos do Norte no município de Teresina, Estado do Piauí, na República Federativa do Brasil.

A DEFENSORIA PÚBLICA DA UNIÃO NO PIAUÍ – DPU/PI, instituição permanente do Estado Brasileiro, incumbida da assistência jurídica integral e gratuita aos necessitados, bem como da defesa dos direitos humanos, nos termos do art. 134 da Constituição da República Federativa do Brasil de 1988, acompanha, desde o ano de 2016, a implantação do Projeto Lagoas do Norte, promovido pelo Município de Teresina – Piauí – Brasil, financiado pelo Banco Mundial, na defesa dos direitos das comunidades impactadas pelo referido projeto.

Durante todo esse período de acompanhamento das ações do Projeto Lagoas do Norte a DPU/PI, juntamente com outras instituições públicas e privadas, tentou-se permanentemente estabelecer diálogos e negociações com os responsáveis pelo Projeto Lagoas do Norte e com as comunidades impactadas por esse projeto, porém, os gestores municipais responsáveis por sua condução jamais demonstraram qualquer disposição para levar em consideração os aspectos socioeconômicos e culturais que

Rua Rio Grande do Sul, nº 585, Ilhotas, Teresina – PI, CEP 64001-550, Tel.: (86) 3194-8800/8801



DEFENSORIA PÚBLICA DA UNIÃO NO PIAUÍ
3º OFÍCIO CÍVEL GERAL

envolvem as comunidades impactadas pelo Projeto Lagoas do Norte e o local no qual residem há décadas, integrando o local no qual vivem a sua própria identidade cultural.

Cumprе ressaltar que essas comunidades jamais se manifestaram contra a implementação do Projeto Lagoas do Norte, entendendo a importância da implementação do Projeto para as melhorias das condições de vida da população de toda a região Norte de Teresina/PI.

Contudo, as comunidades sempre questionaram várias ações realizadas durante a execução do projeto, principalmente a retirada e/ou tentativa de expulsão de milhares de famílias das áreas que ocupam há décadas, sem que os gestores municipais atentassem, efetivamente, para os apelos das comunidades e das entidades que as apoiam, para viabilizarem a permanência da grande maioria dessas famílias nas áreas em que vivem, sem prejuízo da execução do projeto, com a efetiva participação das comunidades envolvidas.

Ressalte-se que a análise dos documentos elaborados pelo Município de Teresina-Piauí-Brasil e enviados para o Banco Mundial mencionam como motivo para justificar necessidade de retirada das famílias das áreas atingidas o fato de residirem em áreas de risco, porém para a execução dessa medida fundamentam-se em argumento diverso (desapropriação por utilidade pública), a fim de poderem ser viabilizadas, nos termos do ordenamento jurídico interno, argumento esse que, na forma como vem sendo utilizado, contraria normas procedimentais estabelecidas pelo próprio Banco Mundial.

Registre-se por oportuno, conforme bem assinalado pela Comissão Arquidiocesana de Direitos Humanos de Teresina – PI, a “Constituição da República Federativa do Brasil é materialmente aberta em relação aos direitos fundamentais e, nesse sentido, os direitos culturais são considerados de natureza fundamental, portanto, direitos humanos, conforme art. 215 da Carta Magna desta República. Em sendo assim, devem ser respeitados em todas suas dimensões, mesmo quando em conflito com o Direito Urbanístico.



DEFENSORIA PÚBLICA DA UNIÃO NO PIAUÍ
3º OFÍCIO CÍVEL GERAL

Convém esclarecer que a região de implantação do Projeto Lagoas do Norte em Teresina – PI, no Estado do Piauí, na República Federativa do Brasil, é uma região que guarda fortes marcas de identidade cultural com o povo que lá mora, cujas famílias remontam aos anos primeiros de criação da própria capital, sendo assim todo processo de reassentamento do Projeto Lagos do Norte deve considerar aspectos técnicos, mas também o desejo efetivo das famílias que serão atingidas de permanecerem em seus locais de origem. “

Diante do exposto, a **DEFENSORIA PÚBLICA DA UNIÃO NO PIAUÍ – DPU/PI**, manifesta seu integral apoio ao PEDIDO DE INVESTIGAÇÃO feito pela comunidade, conforme dezenas de assinaturas colhidas, esperando que o Banco Mundial investigue, de forma clara e isenta, a implantação do Projeto Lagos do Norte, que trará muitos benefícios ao município, mas que deve seguir com respeito aos direitos humanos, em especial aos direitos culturais das comunidades impactadas, ao tempo em que se coloca à disposição para contribuir com as ações investigativas que forem implementadas.

Atenciosamente,


BENONI FERREIRA MOREIRA
Defensor Público Federal



Teresina, 05 de agosto de 2019

A COMISSÃO ARQUIDIOCESANA DE DIREITOS HUMANOS DA ARQUIDIOCESE DE TERESINA – PI, neste ato representada pelo seu Presidente, signatário da presente **Carta de Apoio**, vem por meio da mesma, apresentar seu **apoio** ao **PEDIDO DE INVESTIGAÇÃO** junto ao **Banco Mundial**, em especial no que diz respeito à implantação do Projeto Lagos do Norte no município de Teresina, Estado do Piauí, na República Federativa do Brasil.

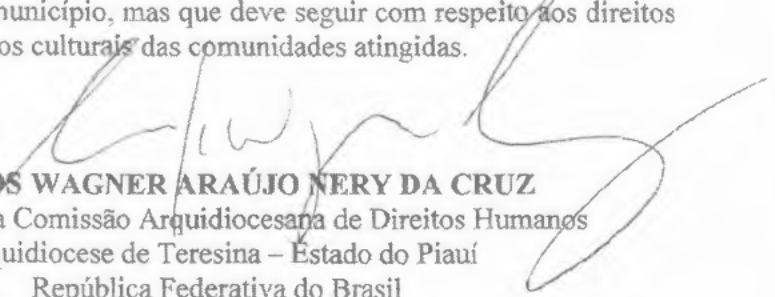
A Comissão Arquidiocesana de Direitos Humanos acompanha desde o ano de 2016 a implantação do Projeto Lagoas do Norte e durante todo esse tempo tem percebido que algumas famílias não desejam sair dos seus locais de origem, em especial porque guardam laços de identidade cultural com o local e, sobretudo, porque gostariam de participar do Projeto em toda sua completude, inclusive com o beneficiamento que o mesmo trará, ao final, na região da Zona Norte da capital do Estado.

A Constituição da República Federativa do Brasil é materialmente aberta em relação aos direitos fundamentais e, nesse sentido, os direitos culturais são considerados de natureza fundamental, portanto, direitos humanos, conforme art. 215 da Carta Magna desta República. Em sendo assim, devem ser respeitados em todas suas dimensões, mesmo quando em conflito com o Direito Urbanístico.

Convém esclarecer que a região de implantação do Projeto Lagoas do Norte em Teresina – PI, no Estado do Piauí, na República Federativa do Brasil, é uma região que guarda fortes marcas de identidade cultural com o povo que lá mora, cujas famílias remontam aos anos primeiros de criação da própria capital, sendo assim todo processo de reassentamento do Projeto Lagos do Norte deve considerar aspectos técnicos, mas também o desejo efetivo das famílias que serão atingidas de permanecerem em seus locais de origem.

Diante disso, pela presente Carta a Comissão Arquidiocesana de Direitos Humanos, de Teresina – PI, apoia o PEDIDO DE INVESTIGAÇÃO feito pela comunidade, conforme dezenas de assinaturas colhidas, esperando que o Banco Mundial investigue, de forma clara e isenta, a implantação do Projeto Lagos do Norte, que trará muitos benefícios ao município, mas que deve seguir com respeito aos direitos humanos, em especial aos direitos culturais das comunidades atingidas.

Atenciosamente,


CARLOS WAGNER ARAÚJO NERY DA CRUZ
Presidente da Comissão Arquidiocesana de Direitos Humanos
Arquidiocese de Teresina – Estado do Piauí
República Federativa do Brasil
cwanc@uol.com.br

MINISTÉRIO PÚBLICO DO ESTADO DO PIAUÍ
NÚCLEO DAS PROMOTORIAS DE JUSTIÇA DE DEFESA DO PATRIMÔNIO PÚBLICO E DA
PROBIDADE ADMINISTRATIVA
44ª PROMOTORIA DE JUSTIÇA

TERMO DE AUDIÊNCIA

Aos dois dias do mês de maio do ano de dois mil e dezenove, às nove horas, na Sala 04 de Reunião, Mezanino, do Ministério Público, localizado na Rua Lindolfo Monteiro, nº 911, presentes o Dr. Fernando Ferreira dos Santos, Promotor de Justiça da 44ª PJ; o Sr. Raimundo Eugênio Barbosa dos Santos Rocha, representante da Secretaria Municipal de Governo – SEMGOV; o Sr. Benoni Ferreira Moreira, Defensor Público da União; a Sra. Dilma Maria Pereira Velante e o Sr. Francisco Moraes, representantes dos moradores. Tendo em vista a ausência, por motivo de saúde, do Secretário Municipal de Planejamento, a audiência ficou remarcada para o dia 8 (oito) de maio de 2019 às nove horas, no Mezanino, do Ministério Público, localizado na Rua Lindolfo Monteiro, nº 911. Em seguida, encerrou-se a audiência, e, para constar, eu, Gabriel Catallini Batista Rosa (Estagiário de Direito) lavrei o presente termo que, depois de lido e achado conforme, vai devidamente assinado pelos presentes.



Dr. Fernando Ferreira dos Santos
Promotor de Justiça da 44ª PJ



Sr. Raimundo Eugênio Barbosa dos Santos Rocha
Secretaria Municipal do Governo



Sr. Benoni Ferreira Moreira
Defensor Público da União

MPPI
Prosecution Service of the State of Piauí

PROSECUTION SERVICE OF THE STATE OF PIAUÍ
OFFICE OF THE PROSECUTORS IN THE DEFENSE OF ADMINISTRATIVE PROBITY
44TH PROSECUTORIAL OFFICE

To the Ombudsman of the World Bank Inspection Panel

The PROSECUTION SERVICE OF THE STATE OF PIAUÍ, represented herein by the Prosecutor of the 44th Prosecutorial Office - Public Treasury for the Judicial District of Teresina-PI, instituted, in 2015, Civil Inquiry No. 19/2015 (Doc. 1) in order to identify possible irregularities in the Lagoas do Norte Program – Phase II.

To that end, since 2015 it has held several public hearings for the purpose of mediating the conflict between the communities affected by the Lagoas do Norte Program – Phase II and the City Government of Teresina, PI.

From the outset the Prosecution Service has called attention to two fundamental points: a) observance of World Bank Operational Policy 4.12, especially as regards one of the generic objectives of Bank policy referring to involuntary resettlement, i.e., that *“Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs;”* (b) compliance with the determinations of Law 12.608, dated April 10, 2012, particularly its Art. 3-B: *“Having verified the existence of occupations of land in areas vulnerable to landslides of significant impact, flash floods, or related geological or hydrological processes, a municipality shall take steps to reduce the risk, such as executing the contingency plan and safety-related construction work and, when necessary, the removal of buildings and resettlement of their occupants in a safe place.”*

And so we have insisted that, contrary to the provisions of the Lagoas do Norte Project, involuntary resettlement cannot be the first and only option since, as World Bank Operational Policy 4.12 states, removal of families from their natural habitat should be avoided whenever possible in light of the serious economic, social, and environmental risks it may pose. Hence our insistence that the City Government of Teresina look for alternatives that would enable the families to stay in their homes.

In this regard, in October 2015 we sent the Municipal Secretary of Planning Official Communication No. 652/2015 (Doc. 2), cautioning that *“the documents ‘Framework of Involuntary Resettlement of the families and properties affected by installation of the 2nd phase of the PLN’ and*

MPPI
Prosecution Service of the State of Piauí

PROSECUTION SERVICE OF THE STATE OF PIAUÍ
OFFICE OF THE PROSECUTORS IN THE DEFENSE OF ADMINISTRATIVE PROBITY
44TH PROSECUTORIAL OFFICE

‘Environmental and Social Assessment Report – RAAS’” do not present studies or expert reports indicating that the properties situated along Avenida Boa Esperança fall within areas of risk. The same can be said about several properties situated on the banks of the lagoons, on Avenida Rua Barbosa and Avenida Campo Maior, which are objects of the interventions by the program.”

We also warned that *“Even if such studies existed, attesting to the presence of properties in areas of risk it must be emphasized that such fact, in itself, would not authorize their removal since, as we have repeatedly said, the advance study about the possibility of families remaining who will be affected by the Lagoas do Norte Program constitutes a requisite sine qua non for their possible removal, according to the City Charter, the São José Pact, and the United Nations International Covenant on Economic, Social and Cultural Rights.”*

Lastly, *“We insist that removal be the last resort, occurring only in cases where the hazardous situations, exposure, or vulnerability cannot be resolved or mitigated, i.e., cannot be corrected by engineering work or reduction of vulnerability.”*

At a meeting held on November 21, 2016, by the Archdiocesan Commission on Human Rights (Doc. 3), attended by representatives of the World Bank, we reiterated that the Involuntary Resettlement Plan under the Lagoas do Norte Program violates Operational Policy 4.12. We call attention to the various testimonies by residents who attended the meeting.

In light of the persistence by the City Government of Teresina in executing the Involuntary Resettlement Plan, in March of this year the Prosecution Service of the State of Piauí, the Federal Office of Public Defenders, and the Office of Public Defenders of the State of Piauí issued Recommendatory Notification No. 01/2019 (Doc. 4), recommending (a) the **Suspension** of all activities related to the application of RFPs I and II of the Lagoas do Norte Program; and (b) that prior notice be given to the Prosecution Service of the State of Piauí, the Office of Public Defenders of the State of Piauí, and the Federal Office of Public Defenders in Piauí through the heads of those agencies that issued that recommendatory notification in the event any discussions take place referring to removal, indemnification, or resettlement of residents who are affected by the Lagoas do Norte Program.

MPPI
Prosecution Service of the State of Piauí

PROSECUTION SERVICE OF THE STATE OF PIAUÍ
OFFICE OF THE PROSECUTORS IN THE DEFENSE OF ADMINISTRATIVE PROBITY
44TH PROSECUTORIAL OFFICE

In response, the City Government has accelerated the process of involuntary resettlement. But there is a unique aspect. According to the Involuntary Resettlement Plan, various residents will be resettled because they were in unhealthful or risky areas. However, the City Government of Teresina has used as legal instrument the procedure of expropriation for reasons of public utility, which is regulated by Federal Law 4.132/62, alleging that *“the property declared as public utility under this decree is intended as a site for construction of urban and environmental improvements, drainage, sanitation, sanitary sewers, and installation of roads and areas of recreation and fellowship that are part of the Lagoas do Norte Program.”* Hence the urgency of this Complaint (emphasis ours).

That is why we request intervention by the Inspection Panel, to order:

(a) IMMEDIATE SUSPENSION OF ANY INVOLUNTARY RESETTLEMENT PROCEDURE BY THE CITY GOVERNMENT OF TERESINA IN THE CONTEXT OF THE LAGOAS DO NORTE PROGRAM;

(b) That the City Government of Teresina comply with World Bank Operational Policy 4.12 and so seek alternatives that would enable the families to remain in their homes and, only as a last resort, face involuntary resettlement;

(c) With respect to the families who are in areas of risk, that the City Government of Teresina comply with Law No. 12.608, dated April 10, 2012, by *“taking steps to reduce the risk, such as executing the contingency plan and safety-related construction work.”*

Pursuant to the above, granting expected.

Teresina, August 26, 2019.

[signed electronically by Fernando Ferreira dos Santos]

Fernando Ferreira dos Santos

Prosecutor

MINISTÉRIO PÚBLICO DO ESTADO DO PIAUÍ
NÚCLEO DAS PROMOTORIAS DE JUSTIÇA DE DEFESA DA PROBIDADE
ADMINISTRATIVA
44ª PROMOTORIA DE JUSTIÇA

Exmº Sr. Ombudsman do Painel de Inspeção do Banco Mundial

O MINISTÉRIO PÚBLICO DO ESTADO DO PIAUÍ, representado pelo Promotor de Justiça da 44ª Promotoria da Fazenda Pública da Comarca de Teresina-PI, instaurou, ainda no ano de 2015, o Inquérito Civil nº 19/2015 (doc. 1), a fim de apurar possíveis irregularidades no projeto Lagoas do Norte – Etapa II.

Para tanto, desde o ano de 2015, realizou várias audiências públicas com o objetivo de mediar o conflito entre as comunidades atingidas pelo Programa Lagoa do Norte - Etapa II e a Prefeitura Municipal de Teresina-PI.

Desde o início, o Ministério Público chamou a atenção para dois pontos fundamentais: a) a observância da Norma Operacional OP 4.12 do Banco Mundial, sobretudo quanto a um dos objetivos genéricos da política do Banco referente a reassentamento involuntário qual seja *“o reassentamento involuntário deve ser evitado sempre que possível, ou então minimizado, explorando-se todas as alternativas viáveis para o design do projeto”*; b) o cumprimento das determinações da Lei nº 12.608, de 10 de abril de 2012, mormente o [Art. 3º-B](#): *“Verificada a existência de ocupações em áreas suscetíveis à ocorrência de deslizamentos de grande impacto, inundações bruscas ou processos geológicos ou hidrológicos correlatos, o município adotará as providências para redução do risco, dentre as quais, a execução de plano de contingência e de obras de segurança e, quando necessário, a remoção de edificações e o reassentamento dos ocupantes em local seguro”*.

**MINISTÉRIO PÚBLICO DO ESTADO DO PIAUÍ
NÚCLEO DAS PROMOTORIAS DE JUSTIÇA DE DEFESA DA PROBIDADE
ADMINISTRATIVA
44ª PROMOTORIA DE JUSTIÇA**

Assim, temos insistido que, ao contrário do que prevê o Projeto Lagoa do Norte, o reassentamento involuntário não pode ser a primeira e única opção, eis que, como preceitua a Norma Operacional OP 4.12 do Banco Mundial, a remoção de famílias do seu habitat natural deve ser evitado sempre que possível, ante os graves riscos econômicos, sociais e ambientais que pode causar. Daí a insistência na necessidade de a Prefeitura de Teresina em buscar alternativas que possibilitem a permanência das famílias em suas moradias.

Neste sentido, ainda no mês de outubro de 2015, encaminhamos ao Secretário Municipal de Planejamento, o Ofício nº 652/2015 (doc 2), alertando que “os documentos ‘Marco de Reassentamento Involuntário das famílias e imóveis afetados pela implantação da 2ª fase do PLN’ e ‘Relatório de Avaliação Ambiental e Social – RAAS’ não apresentam estudos ou laudos apontando que os imóveis localizados ao longo da Avenida Boa Esperança encontram-se em áreas de risco. O mesmo pode-se dizer quanto a vários imóveis situados nas margens das lagoas, nas avenidas Rui Barbosa e Campo Maior, objetos de intervenções do programa”.

Alertamos, ainda, que “ainda que existissem tais estudos comprovando a existência de imóveis em áreas de risco, deve-se ressaltar que tal fato, por si só, não autorizaria a remoção, eis que, como temos reiterado, o estudo prévio quanto à possibilidade de permanência das famílias que serão afetadas pelo Programa Lagoas do Norte constitui requisito *sine qua non* para possível remoção, conforme o Estatuto da Cidade, o Pacto São José da Costa Rica e o Pacto Internacional dos Direitos Econômicos, sociais e culturais da ONU”.

Por fim, “insistimos que a remoção é a *ultima ratio*, ocorrendo apenas nos casos em que as situações de perigo, de exposição ou de vulnerabilidade não podem ser solucionadas ou mitigadas, ou seja, não podem ser corrigidas por obras de engenharia ou redução de vulnerabilidade”.

Em reunião realizada, no dia 21 de novembro de 2016, pela Comissão Arquidiocesana de Direitos Humanos (doc 3), com a presença de representantes do Banco Mundial, reiteramos que o Plano de Reassentamento

MINISTÉRIO PÚBLICO DO ESTADO DO PIAUÍ
NÚCLEO DAS PROMOTORIAS DE JUSTIÇA DE DEFESA DA PROBIDADE
ADMINISTRATIVA
44ª PROMOTORIA DE JUSTIÇA

Involuntário do Programa Lagoa do Norte descumpria a Norma Operacional OP 4.12. Ressalte-se os vários depoimentos dos moradores presentes na reunião.

Ante a inistência da Prefeitura de Teresina em executar o Plano de Reassentamento Involuntário, o Ministério Público do Estado do Piauí, a Defensoria Pública da União e a Defensoria Pública do Estado do Piauí expediram, em março deste ano, a Notificação Recomendatória nº 01/2019 (doc. 4), recomendando a) A **suspensão** de todas as atividades referentes à aplicação dos Editais I e II do Programa Lagoas do Norte; b) A prévia comunicação ao Ministério Público do Estado do Piauí, à Defensoria Pública do Estado do Piauí e à Defensoria Pública da União no Piauí, por meio dos titulares dos órgãos que emitiram a presente notificação recomendatória em caso de quaisquer tratativas referentes à remoção, indenização ou reassentamento de moradores atingidos pelo Programa Lagoas do Norte.

Em resposta, a Prefeitura de Teresina acelerou o processo de reassentamento involuntário. E há um dado sui generis. Segundo o Plano de Reassentamento involuntário, vários moradores serão reassentados em virtude de estarem em áreas de risco ou insalubres, porém a Prefeitura de Teresina tem utilizado, como instrumento legal, a desapropriação por utilidade pública, regulada pela Lei Federal 4.132/62, alegando que *“o imóvel declarado de utilidade pública na forma deste Decreto se destina a obras de requalificação urbana e ambiental, drenagem, saneamento, esgotamento sanitário e **implantação de vias de circulação e áreas de lazer e convivência**, inseridas dentro do Programa Lagoas do Norte”*. Daí a urgência da presente Denúncia. Grifo nosso

Em sendo assim, requer-se a intervenção deste Painel de Inspeção determinando-se

a) **IMEDIATAMENTE A SUSPENSÃO DE QUALQUER PROCESSO DE REASSENTAMENTO INVOLUNTÁRIO PELA PREFEITURA DE TERESINA NO ÂMBITO DO PROGRAMA LAGOA DO NORTE.**

b) que a Prefeitura de Teresina cumpra a Norma Operacional OP 4.12 do Banco Mundial, e, assim, busque alternativas que possibilitem a permanência das

MINISTÉRIO PÚBLICO DO ESTADO DO PIAUÍ
NÚCLEO DAS PROMOTORIAS DE JUSTIÇA DE DEFESA DA PROBIDADE
ADMINISTRATIVA
44ª PROMOTORIA DE JUSTIÇA

famílias em suas moradias, e, apenas em último caso, faça o reassentamento involuntário;

c) quanto às famílias que se encontram em áreas de risco, que a Prefeitura de Teresina cumpra a Lei nº 12.608, de 10 de abril de 2012, adotando todas “as providências para redução do risco, dentre as quais, a execução de plano de contingência e de obras de segurança”.

Termos em que espera deferimento

Teresina, 26 de agosto de 2019.

Fernando Ferreira dos Santos

Promotor de Justiça

ANNEX II

MANAGEMENT RESPONSE

**MANAGEMENT RESPONSE TO
REQUEST FOR INSPECTION PANEL REVIEW OF THE
BRAZIL: TERESINA ENHANCING MUNICIPAL GOVERNANCE AND
QUALITY OF LIFE PROJECT (P088966) AND ADDITIONAL FINANCING (P146870)**

Management has reviewed the Request for Inspection of the Brazil: Teresina Enhancing Municipal Governance and Quality of Life Project (P088966) and Teresina Enhancing Municipal Governance and Quality of Life Project Additional Financing (P146870), received by the Inspection Panel on August 23, 2019 and registered on September 19, 2019 (RQ19/10). Management has prepared the following response.

October 22, 2019

CONTENTS

Abbreviations and Acronyms	iv
Executive Summary	v
I. INTRODUCTION.....	1
II. THE REQUEST	1
III. PROJECT BACKGROUND.....	2
IV. MANAGEMENT’S RESPONSE.....	7

Annexes

Annex 1.	Claims and Responses
Annex 2.	Summary Tables of Status of Works and Related Environmental and Resettlement Plans under the Phase 2 Project
Annex 3.	List of Documents Available in Files
Annex 4.	Project Pictures
Annex 5.	Consultations and Outreach Events
Annex 6.	Brochure About the Project (in Portuguese)

Maps

Map 1.	IBRD No. BRA41306 – Overall Program Showing Areas 1-4
Map 2.	IBRD No. BRA44689 – Location of Neighborhoods in the <i>Lagoas do Norte Region</i>
Map 3.	IBRD No. BRA44705 – Location of Dikes and Lagoons in the Phase 2 Project Area
Map 4.	IBRD No. BRA44706 – Location of the Phase 2 Project Works Sites

Figures

Figure 1.	Houses on Top of the <i>Boa Esperança</i> Dike identified by the 2015/2016 PoE Review
Figure 2.	Foundations of a House Built on the River Side of the <i>Boa Esperança</i> Dike Slope identified by the 2017/2018 PoE Review
Figure 3.	Existing Water Well and Trees on the River Side of the <i>Boa Esperança Dike</i> identified by the 2017/2018 PoE Review
Figure 4.	Ongoing Construction of Resettlement Homes in <i>Parque Brasil</i>

ABBREVIATIONS AND ACRONYMS

APP	Permanent Protected Areas – <i>Áreas de Proteção Permanente</i>
COLAB	GRM municipal smartphone application – <i>Aplicativo da Ouvidoria da Prefeitura de Teresina</i>
CONAMA	National Counsel for Environment – <i>Conselho Nacional de Meio Ambiente</i>
DPE	Office of the Public Defender of the State of Piauí – <i>Defensoria Pública do Estado do Piauí</i>
DPU	Office of the Federal Public Defender in Piauí – <i>Defensoria Pública da União no Piauí</i>
ESIA	Environmental and Social Impact Assessment – <i>Avaliação de Impacto Ambiental e Social</i>
ESMP	Environmental and Social Management Plan – <i>Plano de Gestão Ambiental e Social</i>
GRM	Grievance Redress Mechanism – <i>Mecanismo de reclamo</i>
IPHAN	<i>Instituto do Patrimônio Histórico e Artístico Nacional</i> (National Institute for Historical and Artistic Heritage)
MPE	State Public Attorney Office – <i>Ministério Público do Estado do Piauí</i>
OAB	Brazilian Lawyers Organization – <i>Ordem dos Advogados do Brasil</i>
PMU	Project Management Unit – <i>Unidade de Gerenciamento do Projeto</i>
PTS	Social Work Project – <i>Projeto de Trabalho Social</i>
RAP	Resettlement Action Plan – <i>Plano de Reassentamento Involuntário</i>
RPF	Resettlement Policy Framework – <i>Marco de Reassentamento Involuntário</i>
SDU	Superintendence for Urban Development – <i>Superintendência de Desenvolvimento Urbano</i>
SMPM	Municipal Secretary for Women's Policies – <i>Secretaria Municipal de Políticas Públicas para Mulheres</i>
UPS	Project Social Unit – <i>Unidade de Projeto Social</i>

Currency Unit – Brazilian Real

(as of October 20, 2019)

USD 0.24 = 1 BRL

USD 1 = 4.10 BRL

EXECUTIVE SUMMARY

Background

i. ***The Project.*** The Brazil - Teresina Enhancing Municipal Governance and Quality of Life Project (P088966) and its Additional Financing (P146870) aim to (i) modernize and improve the management capacity of the Borrower in the financial, urban, environmental, service-delivery, and economic development fields; and (ii) improve the quality of life of the low-income population of the Lagoas do Norte Region. The original “Phase 1 Project” for US\$31.13 million was approved in March 2008; the loan was fully disbursed and closed in June 2016; the Additional Financing “Phase 2 Project” for US\$88 million was approved on February 24, 2016 and is expected to close on December 15, 2021.

ii. ***One of the biggest problems facing the Municipality of Teresina (total population about 840,000) relates to the recurrent floods in the Lagoas do Norte Region, one of the most environmentally and socially vulnerable and poor areas of the city.*** In 1995, heavy rains over a short period of time raised the water levels in the rivers and lagoons of the Lagoas do Norte Region, causing a major flood that rendered thousands of families homeless. In 2005, the risk of a recurrence of floods of such size was estimated at once every 16 years. Most recently, strong rains and disastrous floods occurred in 2009, in 2018, and again in 2019, when the Municipality declared a state of emergency.

iii. ***Unplanned urban development over a number of years has interfered with the region’s natural drainage systems and has significantly contributed to flooding.*** The lagoons are an interlinked superficial drainage system which was originally able to absorb a significant amount of storm water. Today, however, these lagoons have been substantially degraded and hence their ability to absorb, contain and channel storm water has been significantly reduced. This has negatively affected the safety and quality of life of the local population due to recurrent flood damage and heavy contamination of the lagoons caused by the uncontrolled discharge of domestic wastewater and garbage.

iv. ***The Project was designed to respond to these challenges by seeking to rehabilitate and upgrade the flood protection infrastructure and improve the quality of life of the population living in the region.*** This includes improving the drainage system by restoring and preserving the lagoons, as well as strengthening and upgrading the Boa Esperança and Mocambinho dikes, channels and embankments. The Project also supports urban improvements, including water supply and wastewater collection, rehabilitation of green spaces, construction of leisure spaces, housing improvements and urban mobility. These improvements to the flood infrastructure require the resettlement of those households currently located in areas at risk of flooding, including houses built on lagoon edges and on the crest of the dikes.

v. ***The Request.*** The Requesters disagree with the proposed resettlement and claim that the Project will harm the people who have been living in the area for many decades. They allege that the project did not sufficiently analyze potential alternatives to the proposed resettlement and claim that they were not sufficiently consulted or informed about it.

Management Response

vi. ***Management understands the concerns of the Requesters regarding the Project’s potentially adverse impacts, mainly the need to resettle residents to rehabilitate the city’s flood protection infrastructure.*** The number of properties to be affected in the Phase 2 Project is currently estimated at 997. This includes 177 properties already affected involving 301 families. This number is still subject to revision as the designs for some project activities are still under review in efforts to further reduce the number of families to be resettled. The establishment of the

cut-off date of October 14, 2019 might also lead to an adjustment of the number, as the census is being updated.

vii. ***In Management's view, potential adverse impacts from the Project are being thoroughly studied prior to carrying out Project investments and are being mitigated through the Project's design, Environmental and Social Management Plans (ESMPs) and Resettlement Action Plans (RAPs).*** Together with the various technical alternatives considered, the consultation process carried out throughout the Project cycle has assisted in further reducing potential adverse impacts. All eligible Project-affected people who need to be physically resettled because of the Project are offered three options of compensation among which they can choose according to their needs: (i) cash compensation, (ii) new housing units, or (iii) monitored resettlement. The monitored resettlement option allows Project-affected people to remain in the same area by choosing to relocate in a nearby but out-of-risk house to be purchased by the Project.

viii. ***Management notes that Project-affected people who need to be resettled under the Project have the option to move to better and safer houses and hold more secure land tenure rights.*** The Project's resettlement instruments provide compensation for Project-affected people in accordance with and beyond the requirements of Bank policy and Brazilian laws.

ix. ***Management acknowledges that some of the Project's resettlement instruments were not fully in line with Bank policy requirements and required updating and strengthening, which is currently being addressed.*** This pertains mainly to the declaration and communication of a cut-off date for the Phase 2 Project area, which the Borrower only undertook to do recently. The Phase 2 Project was using as reference the census of 2014 as a cut-off but had not announced it effectively to Project-affected people. Therefore, the Borrower recently agreed to establish a new cut-off date of October 14, 2019, which is now properly communicated and disclosed. Management, however, believes that this oversight has not adversely affect Project-affected people as all Project-affected people who moved to the Project area prior to the October 14, 2019 cut-off date are eligible for compensation should they need to be resettled. This includes the owners of unoccupied illegal structures that were dismantled by the Borrower in August 2019. Regarding this action, the Municipality informed Management that no evictions occurred. The Project Management Unit (PMU) is reviewing the intervention and following the findings of this review, Management will work with the Borrower to ensure that eligible owners of these structures are compensated in line with Bank policy. Management also has reminded the Borrower in writing about the need to undertake due process and compensation, in line with Bank policy, before moving Project-affected people or dismantling structures.

x. ***Management recognizes the Requesters' desire to remain in their current location.*** The Project has carefully considered possible alternative solutions to address the flooding risk in order to reduce the Project's footprint, which has already led to a significant reduction in the number of households that require resettlement for the Phase 2 Project activities. However, some of the Project's key activities will require the removal of houses and structures that have been built in risky areas and in a manner that undermines the city's drainage and flood protection system, and hence puts the residents of these houses as well as others at risk of flooding. Thus, while appreciating the Requesters' concern and preference to remain *in situ*, this will not be feasible everywhere.

xi. ***Management considers that the Requesters' concerns illustrate the challenges and trade-offs of supporting development of essential and effective flood protection infrastructure in an urban setting.*** This is especially the case for infrastructure components that require a specific location to function and which cannot be moved outside the city or away from residences. This may at times compete with particular residents' preferences.

xii. ***Management recognizes that there may have been limitations to the effectiveness of communications with local residents about the benefits that the Project will bring, along with its impacts and risks.*** Some of the flood protection measures appear to be misunderstood by Project-affected people as purely aesthetic, recreational, urban improvements, and hence have found little acceptance by some residents as the reason for resettlement. Moreover, there may be a misperception about the flood risk among the families settled on the crest of the dikes.

xiii. ***Management believes that the Project and required safeguards instruments were properly consulted upon and disseminated to the Project-affected people.*** Since 2014, over 60 public hearings, meetings and presentations were held with affected communities and other stakeholders. Between 2016 and 2018, 87 overall community consultation activities were held, including 25 community meetings and 25 workshops on environmental aspects of the Project. However, Management notes that communications with the Project-affected people would benefit from a number of improvements and has recommended that the Project: (i) further strengthen the quality of consultation and communication; and (ii) further improve dissemination of information about the Project.

Action Plan

xiv. Based on discussions with the community and Project Management Unit, the following actions, agreed with the Borrower, have been initiated to help improve Project implementation and address concerns presented in the Request (see details in paragraph 63 of the Response):

- Action 1: Complete the update of the census and disseminate information about the cut-off date, by November 20, 2019.
- Action 2: Review and revise all RAPs by December 13, 2019. The revised RAPs will include the cut-off date of October 14, 2019.
- Action 3: Suspend the dismantling of any structures in the Project area constructed before the now set cut-off date, in line with Bank policy.
- Action 4: Present by November 20, 2019 a technical and social report of the illegal structures in the Project area that were dismantled by the authorities in August 2019. Following the findings of this evaluation, Management will work with the Borrower to ensure that eligible owners of these structures are compensated in line with Bank policy.
- Action 5: Further strengthen the quality of consultation by November 29, 2019. This involves the mobilization by Management of a local consultant to provide targeted training to the PMU staff on how to conduct meaningful consultations with stakeholders.
- Action 6: Improve the quality of communications by November 29, 2019. This involves the following: (i) mobilizing support of a specialized communication firm for the formulation of a communication strategy and action plan; (ii) starting implementation of the action plan, drawing on technical information and transforming it into language understandable to the Project-affected people; (iii) updating and distributing brochures with summary information about the Project; and (iv) opening/strengthening information points in the various works sites.
- Action 7: Further improve dissemination of Project information by December 30, 2019. This involves the following: (i) improving the Project website by correcting technical glitches; and (ii) ensuring the website has updated information about the implementation progress of all the RAPs.
- Action 8: Strengthen the Project's grievance redress mechanism by December 20, 2019.

- Action 9: Management will follow-up with the PMU on the implementation of the recommendations regarding cultural heritage aspects identified by the Anthropological Study during Phase 2 Project implementation. This will include support for (i) a heritage education program; (ii) an inventory of cultural heritage references; (iii) institutional strengthening of the Municipality to better consider cultural aspects; and (iv) monitoring progress of these interventions.

I. INTRODUCTION

1. On September 19, 2019, the Inspection Panel (the “Panel”) registered a Request for Inspection, IPN Request RQ 19/10 (hereafter referred to as “the Request”), concerning the Brazil: Teresina Enhancing Municipal Governance and Quality of Life Project (P088966) and Teresina Enhancing Municipal Governance and Quality of Life Project Additional Financing (P146870), financed by the International Bank for Reconstruction and Development (the “Bank”).

2. **Structure of the Text.** The document contains the following sections: Section II presents the Request; Section III provides a description of the Project and its background; and Section IV contains Management’s response. Annex 1 presents the Requesters’ claims, together with Management’s detailed responses, in table format. Other annexes include status of Project works and environmental and resettlement plans (Annex 2), available Project documents and photographs (Annexes 3 and 4), consultations and outreach events (Annex 5), a brochure about the Project (Annex 6 in Portuguese); and four maps.

II. THE REQUEST

3. The Request for Inspection was submitted by 202 families who live in the Afonso¹ Mafrense and São Joaquim neighborhoods of Teresina (hereafter referred to as the “Requesters”). The families have designated three community members to act on their behalf. Attached to the Request were lists of signatures, which were redacted in the Request received from the Panel. Several supporting documents were also included:

- (i) A signed annex stating that the signatories do not agree to or accept resettlement of their families away from their current place of residence.
- (ii) A “manifesto” of the families’ representatives concerning the dialogue with the World Bank and the ongoing dialogues with the various federal and local institutions regarding the Project.
- (iii) A letter from the Federal Public Defender's Office in Piauí dated August 14, 2019 that supports the Request.
- (iv) An Order (*Portaria*) from the Federal Public Defender's Office in Piauí establishing an internal commission for construction of planned actions in order to respond to demands pertaining to the Project.
- (v) A letter dated August 5, 2019 from the Catholic Archdiocese of Teresina's Human Rights Commission supporting the Request.
- (vi) A record of a hearing on May 2, 2019 of the Public Prosecutor’s Unit for the Protection of Public Heritage and Administrative Probity, 44th Judicial District.

¹ The correct name of the neighborhood is *Mafrense*.

- (vii) A letter from the Public Prosecutor's Office of the State of Piauí to the Panel on August 26, 2019, requesting the Panel's intervention in order to immediately suspend any involuntary resettlement under the Project.
4. No further materials were received by Management in support of the Request.

III. PROJECT BACKGROUND

5. **The Project.** The Brazil: Teresina Enhancing Municipal Governance and Quality of Life Project (the Project) is a two-phase investment financing operation financed by two IBRD loans: an Original Loan (Ln 7523-BR) (“Phase 1 Project”) for US\$31.13 million approved in March 2008 fully disbursed and closed in June 2016; and an Additional Financing Loan (Ln 8586-BR) (“Phase 2 Project”) for US\$88 million approved on February 24, 2016, 18 percent disbursed as of October 4, 2019, and expected to close on December 15, 2021. The Loan Agreement for Phase 1 Project was entered into between the Municipality of Teresina (the “Borrower”) and the Bank on July 24, 2008, and declared effective on September 3, 2008. The Loan Agreement for Phase 2 Project was entered into between the Borrower and the Bank on April 27, 2016, and entered into effect on June 1, 2016. Ln 7523-BR and Ln 8586-BR were guaranteed by the Federal Republic of Brazil (the “Guarantor”) pursuant to Guarantee Agreements entered into between the Guarantor and the Bank on July 24, 2008 and April 27, 2016, respectively.

6. **Project Objectives.** The objectives of the Project (locally known as *Programa Lagoas do Norte*) are to (i) modernize and improve the management capacity of the Borrower in the financial, urban, environmental, service-delivery, and economic development fields; and (ii) improve the quality of life of the low-income population of the Lagoas do Norte Region.

7. **Project Components.** The Phase 1 Project components were:

- **Component 1: Municipal Management Modernization, City Development and Project Management.** Some of the activities under this Component include: (i) consolidating and improving the efficiency of the Borrower’s financial and budget management and planning capacity; (ii) modernizing the water supply and sanitation service delivery to comply with the Water and Sanitation Law; (iii) modernizing the Borrower’s education management; (iv) modernizing the Borrower’s urban and environmental management; (v) developing and implementing a local economic development strategy for the Borrower; and (vi) carrying out Project management, monitoring and evaluation, to support the Project Management Unit (PMU) to carry out the procurement, financial management, environmental, social and other requirements of the Project.
- **Component 2: Integrated Urban-Environmental Improvement in Lagoas do Norte Region.** The Component includes activities to: (i) optimize and expand water supply delivery; (ii) implement wastewater collection and treatment systems; (iii) undertake critical urban macro- and micro-drainage measures; (iv) restore the natural aspects of the region’s lagoon and canal network, and the adjacent banks of the Parnaíba and Poti Rivers; (v) undertake urban upgrading, and rehabilitate and construct green spaces, parks, and leisure and community spaces; (vi) improve the local road network, traffic flow, access and safety in the region; and (vii) resettle beneficiary families from areas of risk and from other areas of Project activities, and implement housing improvements for other eligible households.

- **Component 3: Social and Economic Development in Lagoas do Norte Region.** This component is comprised of social and economic development activities in the Lagoas do Norte Region that are complementary to Component 2. Some of the activities under this Component include: (i) strengthening of community associations and other community groups in order to improve access of eligible families to the Project's social programs, creches, and basic health and education services; (ii) environmental and sanitary education and promotion activities; (iii) promotion of employment and income creation programs; (iv) renovation, expansion and construction of community facilities; and (vi) promotion of community mobilization and participation in all aspects of Components 2 and 3 of the Project.

8. In the Phase 2 Project, Component 1 focuses on strengthening of the Municipality's environmental management capacity and activities and consolidating and improving the efficiency of the Municipality's financial and budget management and planning capacity. Component 2 continues to focus on the same set of activities as under the Original Loan, incorporating the lessons learned during the implementation of the Phase 1 Project, with a focus on six neighborhoods of the Lagoas do Norte Region. In this regard, Component 2 supports comprehensive, integrated activities (drainage, sanitation, urban upgrading, and resettlement) that are being undertaken in Areas 2 and 3 of the Lagoas do Norte Region (the bulk of Phase 2 activities are taking place in Project Area 2, see Map 1). Component 3 supports the Borrower to develop socioeconomic activities complementary to Component 2 activities, including activities focused on the most vulnerable populations (e.g., Afro-descendant youth and women).

9. **Project Designs for the Phase 2 Project.** During the design of the Phase 1 Project, in 2005, assessments of the macro-drainage, water supply, sewerage, urban and landscape design, and road network aspects were carried out for Areas 1, 2, 3, and 4 as a whole. During the preparation of the Phase 2 Project in 2014, however, a new set of Project design alternatives was analyzed considering the new environmental and housing regulatory framework in place and the results of the Phase 1 Project interventions: (i) "Inundation Control and the Maintenance of the levels of the Lagoas do Norte Region: Hydrologic and hydraulic simulations of the flooding scenarios" reevaluated the global macro-drainage system and the Lagoas do Norte Region and simulated scenarios for the years in which activities would take place; (ii) new alternatives for sanitation solutions were analyzed, resulting in the channeling of sewage from Areas 2, 3, and 4 to the Pirajá Wastewater Treatment Plant; and (iii) scenarios for the urban and landscape design of the lagoons' riparian areas (permanent protected areas) were assessed.

10. **Project Activities.** The main works under the Phase 2 Project (Component 2) relate to urban-environmental improvements, *inter alia*: (i) optimizing and expanding water supply, sewerage and wastewater treatment delivery; (ii) execution of critical urban macro- and micro-drainage activities; (iii) actions to restore the natural environmental aspects of the region's lagoon and canal network; (iv) actions to reduce flood risks and improve the safety of the dikes along the Parnaíba and Poti Rivers; (v) urban upgrading activities, and the rehabilitation and construction of green spaces, parks, and leisure and community spaces; and (vi) improvements to the local road network.

11. **Safeguards.** The Project was categorized as "A" for environmental and social assessment purposes and the following safeguard policies are applicable to the Project: Environmental Assessment (OP/BP 4.01); Natural Habitats (OP/BP 4.04); Physical Cultural Resources (OP/BP 4.11); Involuntary Resettlement (OP/BP 4.12); and Safety of Dams (OP/BP 4.37).

Project Context

12. **Main challenges of the Municipality of Teresina.** One of the biggest problems facing the Municipality of Teresina (total population about 840,000) relates to the recurrent floods in the *Lagoas do Norte* Region, one of the most environmentally and socially vulnerable and poor areas of the city. The Project was designed to respond to the main development challenges of this area, with a focus on addressing the urban-environmental-social and flooding problems that set it apart from the rest of the city. Specific studies were carried out in 2005 during the preparation of the Phase 1 Project to define the best approach to mitigate these problems, including, *inter alia*: (i) hydraulic modeling of the lagoon drainage system, with flood simulation scenarios; and (ii) water quality modeling of the lagoons and the adjacent rivers, demonstrating effects of different scenarios regarding wastewater effluent quantity and quality on various possible receiving water bodies.

13. **Features of the Lagoas do Norte Region.** The Lagoas do Norte Region consists of 13 neighborhoods covering an area of about 1,311 km². Approximately 100,000 people live in the area, and the population density varies between 200 inhabitants per hectare in the Vila São Francisco neighborhood and 18 inhabitants per hectare in Olarias. The Phase 1 Project concentrated activities in five neighborhoods of the Lagoas do Norte Region, namely Matadouro, Parque Alvorada, São Joaquim, Olarias and Nova Brasília. The Phase 2 Project concentrates activities in six of this region's 13 neighborhoods, namely Mafrense, Matadouro, Mocambinho, Poti Velho, Olarias, and São Joaquim (see Map 2).

14. **The Lagoas do Norte Region, located at the confluence of the Poti and Parnaíba Rivers, is highly vulnerable from an environmental point of view** as a result of the combination of: (i) a high incidence of river/lake sediment deposition; (ii) a large, flat, low-lying, flood-prone area; (iii) permeable sandy soils; and (iv) large and shallow water bodies forming an interlinked series of lagoons. The region used to contain some 34 lagoons formed by the "paleocanals" of the Parnaíba River, with the Mocambinho lagoon area forming an independent superficial drainage system. Today, however, the majority of these lagoons have been filled in.

15. **Impacts of the rainy season in the Project area.** The rainy season normally causes a sharp rise in the level of the Parnaíba and Poti Rivers and upstream, particularly during February-April when torrential rains are frequent. The region is partially protected by two dikes – Boa Esperança dike built in 1974² along the Parnaíba River; and the Mocambinho dike³ built along the Poti River after the 1985 flood (the worst flood event on record). As a result of the protection provided by the dikes and the rapid population growth, irregular expansion began to take place on the floodplain delineated by the dikes. Despite the dike protection, the region continues to be vulnerable to the rise in the water levels that causes the rivers to overflow and flood the area where the lagoon systems are located.

16. **Besides impacts from river flow, the region is also vulnerable to inland flood risks.** The drainage system in the lagoon area consists of canals or channels linking the various lagoons with the São Joaquim lagoon, and then from the São Joaquim lagoon to the Oleiros lagoon, from which the water is pumped into the Parnaíba River. The same torrential rains that raise the river levels also affect and cause overflow of the lagoons and the channels between the lagoons as they are a preferential route for stormwater flow in the drainage system (see Map 3).

² This is an earth-fill dike, 4.6 km long and 5 m high (maximum), without any known study or design.

³ This is an earth-fill dike, 4.7 km and 5 m high (maximum).

17. ***Unplanned urban development over a number of years has interfered with the Lagoas do Norte Region's natural drainage systems and has significantly reduced the lagoons' ability to absorb perennial floods.*** The 34 lagoons formed an interlinked superficial drainage system which was originally able to absorb a significant amount of storm water. This natural drainage system also consisted of channels linking the lagoons and a pumping station from where the water was pumped into the Parnaíba River. Today, however, the filling of the majority of these lagoons has led to their substantial degradation, and hence significantly reduced their ability to absorb, contain and channel storm water. This has negatively impacted the safety and quality of life of the local population due to recurrent flood damage and heavy contamination of the lagoons caused by the uncontrolled discharge of domestic wastewater and garbage.

18. ***A major problem facing the Municipality of Teresina relates to the recurrent floods in the Lagoas do Norte Region, which frequently lead to flood disasters.*** In 1995, heavy rain over a short period raised the water level to 57 meters, or 2 meters over the high-water level in the lagoons, causing a major flood that rendered some 2,000 families homeless. In 2005, the risk of a recurrence of floods of this size was estimated at once every 16 years. Disastrous floods occurred again in early 2004, making another 3,000 families homeless and in need of assistance from the Municipality's welfare services through temporary housing in public shelters. Floods have since occurred in 2009, 2018, and the latest in April 2019, when strong rains and river flooding in the Project area led the Municipality to declare a state of emergency.⁴ More than 500 families were affected by this event and three people lost their lives.⁵ As a result, the Project Management Unit (PMU) requested additional support to expedite Project implementation, based on requests from 140 flood-affected families.

19. ***In order to better protect local residents from recurring floods and improve their quality of life, the Project seeks to rehabilitate and upgrade the flood protection infrastructure.*** This includes improving the drainage system by restoring and preserving the lagoons, as well as strengthening and upgrading the Boa Esperança and Mocambinho dikes, channels and embankments. The crest of Boa Esperança dike and part of the Mocambinho dike are paved and integrated in the city traffic network and form the Boa Esperança Avenue. Over the years, encroachments of several kinds have taken place on the crest of the dikes, and it is estimated that there are approximately 174 illegally built houses on the crest and slopes of the Boa Esperança dike. This threatens the integrity of the dike and in turn jeopardizes the safety of the local population of the Lagoas do Norte Region – approximately 100,000 people. As required by Brazilian environmental legislation to protect water bodies and avoid further encroachment of the restored lagoons, the Project also supports the rehabilitation of permanent protected areas (APP – *Áreas de Proteção Permanente*), in strips up to 30 meters wide (average width of strips in the Project area is 10 meters) measured from the lagoon when at maximum level, which ranges between 55-56 meters above sea level, as a buffer zone in the form of linear parks, to further minimize encroachment. Additional urban upgrading activities such as improvement of the sanitation system, of housing units and of urban mobility and integration are also supported by the Project to improve the quality of life of the local population as well as the water quality of the lagoons.

⁴ A state of emergency is declared by the Municipality by a Municipal Decree, in close consultation with Civil Defense, when an abnormal situation caused by adverse factors results in imminent damage to health and public services for affected populations. During a state of emergency and to respond to the emergency situation, the municipality can carry out, on an exceptional basis, the procurement procedures established by Brazilian Law and is eligible for additional sources of federal and state funds.

⁵ <http://agenciabrasil.ebc.com.br/geral/noticia/2019-04/teresina-chuva-atinge-mais-de-40-casas-e-deixa-pelo-menos-tres-mortos>

20. ***Civil works that are expected to have resettlement impacts under the Phase 2 Project have been grouped into eight packages.*** These are: (i) Mocambinho Works, in the neighborhood of Mocambinho, linked to the restoration of the Mocambinho lagoon; (ii) Matadouro Works, in the Matadouro neighborhood, linked to the rehabilitation of the Matadouro drainage channel; (iii) Works No. 1 in the neighborhood of São Joaquim, linked to the restoration of the lagoons of São Joaquim, Mazerine, Oleiros and Piçarreira; (iv) Works No. 2, in the neighborhood of Mafrense, linked to the restoration of Oleiros lagoon; (v) Works No. 3, in the neighborhood of São Joaquim also linked to the restoration of the Oleiros lagoon; (vi) Works No. 4, in the neighborhoods of Mafrense and Olarias, also linked to the restoration of the Oleiros lagoon; (vii) Works No. 5, in the neighborhood of Mafrense, linked to the restoration of the Piçarreira lagoon; (viii) and Works No. 6, in the neighborhoods of São Joaquim, Poti Velho and Olarias, linked to the strengthening of the Boa Esperança and Mocambinho dikes. (See Map 4 for location of Project sites.)

IV. MANAGEMENT'S RESPONSE

21. The Requesters' claims, accompanied by Management's detailed responses, are provided in Annex 1.

22. ***Management understands the concerns of the Requesters regarding the Project's potentially adverse impacts, mainly the need to resettle residents to rehabilitate the city's flood protection infrastructure.*** Management would like to stress that a careful and comprehensive consideration of viable Project alternatives has already resulted in a significant reduction of adverse impacts, including the number of Project-affected people. Moreover, in Management's view, potential adverse impacts from the Project are being thoroughly studied prior to carrying out Project investments and are being mitigated through the Project's design and its environmental and social management instruments, particularly the Environmental and Social Management Plans (ESMPs) and Resettlement Action Plans (RAPs). Together with the various technical alternatives considered, the consultation process carried out throughout the Project cycle has assisted in further reducing potential adverse impacts. All eligible Project-affected people who need to be physically resettled because their properties will be affected by the Project, currently estimated at 997 properties,⁶ are offered three options of compensation among which they can choose according to their needs: (i) cash compensation, (ii) new housing units, or (iii) monitored resettlement.⁷

23. ***Management notes that Project-affected people who need to be resettled under the Project have the option to move to better and safer houses with more secure land tenure rights.*** The Project's resettlement instruments provide compensation for Project-affected people in accordance with and beyond the requirements of Bank policy and Brazilian laws. At the same time, Management has identified parts of the resettlement instruments that require strengthening and that are currently being addressed. These pertain mainly to the formal declaration and communication of a cut-off date for the Phase 2 Project area,⁸ which the Borrower only undertook to do recently. However, Management believes that this oversight has not adversely affected Project-affected people as Bank Management has requested the Borrower and the Borrower has agreed to ensure that all Project-affected people who have moved to the Project area prior to the October 14, 2019 cut-off date are eligible for compensation in case they need to be resettled, in line with Bank policy.

24. ***Management recognizes that there may have been limitations to the effectiveness of communication with local residents on the benefits that the Project will bring, along with its impacts and risks.*** Some of the flood protection measures – such as the linear parks to protect the lagoons from encroachment, so they can increase their flow capacity during floods – appear to be misunderstood by the Requesters as purely aesthetic, recreational, urban improvements, and hence have found little acceptance by some local residents as the reason for the need to be resettled. The Requesters also appear to have limited awareness of the Brazilian regulation requiring the establishment of buffer zones for water bodies. Similarly, there may be a misperception about the

⁶ This number is subject to revision as Project designs are under review in efforts to further reduce the number of families to be resettled. The establishment of the cut-off date of October 14, 2019 might also lead to an adjustment of the number, as the census is being updated.

⁷ The preferred option for compensation among those families already resettled has been cash compensation (73 percent), followed by monitored house acquisition (16 percent) and new housing units in Parque Brasil (11 percent).

⁸ The Phase 1 Project used similar resettlement instruments, where 493 families were resettled without issue, as shown in the independent assessment report of the resettlement actions carried out on Phase 1 ("*Reassentamento involuntário na Área 1 – avaliação de resultados e impactos*" dated September 2011). The Phase 2 Project has used as reference the census of 2014 as a cut-off date but has not declared it as such through formally disclosed documents.

flood risk among the families settled on the crest of the dikes that protect the Lagoas do Norte Region from floods. They appear to have a false sense of security from potential floods and do not see the need to rehabilitate the dikes to sustain peak floods (such as that of 1985, which is currently estimated to have less than a 100-year return period). In addition, some families occupying the banks of the Parnaíba and Poti Rivers may be unaware that their houses interfere with the free flow of the rivers during floods. Since 2014, the Project has undertaken over 60 public hearings, meetings and presentations with affected communities and other stakeholders in different neighborhoods to explain and discuss the Project's flood protection measures, which are aimed at benefitting all Lagoas do Norte's residents. Between 2016 and 2018, 87 overall community activities were held, including 25 community meetings, and 25 workshops on the Project's environmental aspects. Feedback from the consultations has been taken on board in shaping and reviewing alternative Project designs. Management will continue to work with the PMU to help ensure that factual and accurate information about the Project, as well as its impacts and risks, is available and delivered in a user-friendly manner that is relevant to the local communities and that reduces misunderstandings and misperceptions.

25. ***Management recognizes the Requesters' desire to remain in their current location.*** The Project has carefully considered possible alternative solutions to address the flooding risk in order to reduce the Project's footprint, which has already led to a significant reduction in the number of households that require resettlement for the Phase 2 Project activities.⁹ The Project is committed to reviewing outstanding activities in order to ascertain whether it is viable for the number of households to be resettled to be further reduced.

26. ***However, some of the Project's key activities will require the removal of houses and structures that have been built in risky areas and in a manner that undermines the city's drainage and flood protection system, and hence puts the residents of these houses as well as others at risk of flooding.*** Thus, while appreciating the Requesters' concern and preference to remain *in situ*, this will not be feasible everywhere. In Management's view this concern illustrates the challenges and trade-offs of supporting development of essential and effective flood protection infrastructure in an urban setting. This is especially the case for infrastructure components that require a specific location to function and which cannot be moved outside the city or away from residences. This may at times compete with particular residents' preferences. Management notes that the Requesters claim that there are "other possible project designs that would allow them to stay in their current location;" however, neither the Request nor the Requesters have presented any viable alternatives that would meet the Project's objectives.

Specific Issues Raised in the Request

(i) Project alternatives for flood protection considered

27. ***Viable Project design alternatives to minimize resettlement without compromising the safety of the population have been and continue to be considered.*** The designs of seven of the eight civil works under the Phase 2 Project are being prepared based on the results of the hydrologic and hydraulic study for the entire drainage system of the Lagoas do Norte Region, which determined the optimal level of the water in the lagoons (ranging between 55-56 meters above sea level), taking into account (i) social and environmental considerations (including water quality),

⁹ As a result of revisions to Project designs and priorities; and following consultations with Project-affected people, the estimated number of properties affected by resettlement in the Phase 2 Project was reduced from 1,730 (in 2014) to 997 (in 2019). Further analysis of design options is underway to determine if the number of properties affected can be further reduced.

(ii) the operation of the lagoons, and (iii) provisioning for a buffer area that can absorb flooding with a 25-year return period.¹⁰ Based on hydrologic and hydraulic simulations of the flooding scenarios, it was determined that the maintenance of the 55-meter level in the Oleiros lagoon was the most appropriate operational scenario, because it minimizes the need for resettlement on the banks of the lagoon and allows the water level to be maximized before the onset of the dry season.

28. As shown in the ESIA, two different alternatives were also analyzed for the establishment of the APP around the lagoons. The alternative eventually adopted significantly reduced the need to relocate Project-affected people estimated at the time of this analysis at: 763 properties fully affected, and 131 properties partially affected, instead of 1,214 properties fully affected and 65 partially affected under the other alternative.

29. ***Analysis of alternatives for the design of the civil works for strengthening of the Boa Esperança and Mocambinho dikes (Works No. 6) is ongoing.*** Considering the critical importance of the operation and maintenance of the Boa Esperança and Mocambinho dikes for the Project, an independent dam safety panel of experts (PoE) was established in 2005 during the preparation of the Phase 1 Project to assess the stability and safety of these dikes (in line with OP/BP 4.37 on Dam Safety).¹¹ The PoE visited the site in January 2006 and examined the state and inclination of the slopes of the dikes and recommended the removal of houses built on the crest of the Boa Esperança dike and between it and the river, the rehabilitation of the dikes for a 100-year flood, the construction of a freeboard, and the carrying out of a topo-bathymetric survey, among other measures.¹²

30. During the preparation of the Phase 2 Project, a new PoE was established in 2015 to review and update the safety assessment carried out during the Phase 1 Project in light of developments that had occurred since 2006 (such as the 2008 floods in the Parnaíba and Poti Rivers, the adoption of an urban drainage master plan for Teresina, the increased pumping capacity of the Boa Esperança station and the 2015 risk assessment of the dikes conducted by the Geological Service of Brazil),¹³ and taking into consideration a proposal to widen Boa Esperança Avenue. The PoE completed its assessment in February 2016 and its 2015/2016 report also concluded that the housing and other structures built on the dikes' crest and slopes represented a risk of potential damage to the integrity of the dikes.¹⁴

¹⁰ For additional details on (ii) and (iii), please refer to the ESIA, World Bank. 2015. *Executive Summary in English - Environmental Assessment for Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/338591468214488807/pdf/942700BR0P14680OU00900SecM201500038.pdf>

¹¹ OP 4.37 was triggered because the drainage works financed under Phase 1 Project depended on the good functioning of the dikes.

¹² Municipality of Teresina. 2006. *First Dam Safety Panel of Experts Final Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2006.pdf>

¹³ Geological Services of Brazil. 2015. *Mapping of Risk Areas and Natural Disasters – Boa Esperança Avenue between Rua Minas Gerais and Pesqueirinho Restaurant*. Ministry of Mines and Energy. https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/ESTUDO_CPRM_Detalhamento-Poligonal.pdf.

¹⁴ Municipality of Teresina. 2016. *Second Dam Safety Panel of Experts Final Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2016.pdf>

Figure 1. Houses on Top of the Boa Esperança Dike Identified by the 2015/2016 PoE Review



31. At the request of the State Public Attorney Office (MPE – *Ministério Público do Estado*), between 2017 and 2018, the same PoE conducted a second review to evaluate the potential alternatives suggested by the community, namely the widening of the Boa Esperança Avenue and the moving of the axis of the dike closer to the banks of the Parnaíba River to avoid the removal of houses, and produced another report. The 2017/2018 report determined that for the purposes of maintaining the safety and geotechnical stability of the dike, the occupation of the external portion of the Boa Esperança dike (between the dike and the Parnaíba River) represented a high risk to the dike's structural integrity and safety, and for this reason those living in this area should be relocated.^{15,16} The PoE also concluded that the alternative of moving the axis of the dike to avoid the removal of houses was not feasible, because of the difficulties involved due to the existing paleochannels along the Parnaíba River's left bank and high costs of both investment and maintenance.

32. The 2017/2018 PoE review also concluded that the Boa Esperança dike was not in accordance with safety criteria¹⁷ due to the existing interference in the slopes, such as construction of foundations to support houses and commercial establishments, drilling of water supply wells and digging of sanitation pits. (See Figures 2 and 3.) In addition, the PoE recommended raising the Boa Esperança dike's freeboard by 1 meter above the 1985 water mark to sustain a peak flood equivalent to the 100-year flood.

¹⁵ Municipality of Teresina. 2017. *Third Dam Safety Panel of Expert - Part 1 Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2017.pdf>

¹⁶ Municipality of Teresina. 2018. *Third Dam Safety Panel of Expert - Part 2 Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2018.pdf>

¹⁷ National and international technical guidelines for safety of dams including hydrologic, hydraulic and geotechnical criteria.

Figure 2. Foundations of a House Built on the River Side of the Boa Esperança Dike Slope Identified by the 2017/2018 PoE Review



Figure 3. Existing Water Well and Trees on the River Side of the Boa Esperança Dike Slope Identified by the 2017/2018 PoE Review



33. In February 2019, during a Bank supervision mission, two courses of action were discussed with the Municipality: proceed with the rehabilitation of the dike as per the recommendations of the PoE, including the resettlement of families; or conduct additional studies to analyze other

alternatives to rehabilitate the dike and increase security while aiming at minimizing resettlement. The Municipality opted for the second course of action. Currently, a consulting firm retained by the Borrower is reviewing alternatives based on new surveys/assessments to be carried out to further minimize resettlement needs where viable, while ensuring the safety of the local population. The review will be completed by end-December 2019 and consulted upon with the communities. In addition, the Project will support the development of non-structural measures to minimize risks to the population, such as an early warning system and emergency action plan.

(ii) Resettlement options for residents

34. ***All eligible Project affected people who need to be physically resettled, regardless of their legal status as owners or illegal occupants of the land, are offered three options of compensation among which they can choose according to their needs: (i) cash compensation, (ii) new housing units, or (iii) monitored resettlement.***

35. ***All Project-affected people may choose the resettlement option that allows them to stay in the same area, thus retaining the ability to maintain existing social ties.*** While some Project-affected people need to be resettled for safety reasons and may not stay in their current place of residence, the Project offers the option (*monitored resettlement*) to remain in the same area by choosing to relocate in a nearby but out-of-risk house to be purchased by the Project. Under this option, the family seeks new housing in the real estate market, with monetary incentive (cash portion for purchase of another property, which is purchased by the PMU on behalf of the Project-affected person and then registered in that person's name). The Project has identified 200 houses available for sale in nearby areas within the ceiling value of monitored resettlement.

36. ***Project-affected people may also choose to relocate to housing units that are under construction in a residential complex called Parque Brasil.*** The Municipality of Teresina is building around 1,022 housing units of approximately 45 m², both single family houses (350 units, 100 of which will be equipped to have an area for commercial activities) and apartments (672 units), located around 4 km north of the Lagoas do Norte Region, where all public services will be provided (e.g., drainage, water supply, sanitation and electricity). Works are on track and Parque Brasil is expected to be completed by March 2020. Overall infrastructure and services such as education, health, and public transportation are regularly available in the neighborhood. For the households that choose to be relocated in the Parque Brasil, the Project ensures that there are opportunities to preserve and foster family and social networks through construction of community centers, recreational spaces and places of worship, among others. The Bank team has visited the construction site several times; the most recent visit was in September 2019 (see pictures below and in Annex 4).

Figure 4. Ongoing Construction of Resettlement Homes in *Parque Brasil*



37. ***Project-affected people who are resettled under the Project will move to better and safer houses and will hold more secure land tenure rights.*** As stated above, the Project's resettlement instruments provide compensation for Project-affected people in accordance with and beyond the requirements of Bank policy and Brazilian laws. Owners are compensated at full replacement cost for their land and the improvements they made to it. Squatters (those who have no recognizable legal right or claim to the land they are occupying) are compensated at 70 percent of the value of these lands and at full replacement cost for the assets lost and improvements they made to them. Renters are eligible for resettlement assistance for a period of 12 months. Benefiting the most vulnerable, the entitlements scheme also provides that Project-affected people (both owners and squatters) whose asset values are below the threshold of BRL77,000 (US\$18,780) can choose between cash compensation for the actual value of their assets, monitored resettlement in houses they choose up to this threshold value (with title in their name), or a new house unit in their name in Parque Brasil. All Project-affected people are also provided with free transportation of furniture,

goods, and all reusable materials they can salvage from the demolition of their houses to their new houses.

38. ***In line with Bank policy, the Project considered social, environmental and economic impacts in developing the resettlement and livelihood program.*** Following OP/BP 4.12, the Project's Resettlement Policy Framework (RPF) and subsequent RAPs were based on the principles that: (i) several economically appropriate compensational alternatives would be offered (as described in Claims 1 and 15, Annex 1); and (ii) households that have their productive activities disrupted or reduced as a result of Project-related impacts would be compensated for these losses at full replacement cost in order to enable them to rebuild their lives in the shortest possible time.

39. ***The Project also supports job and income generation activities targeting both the families affected by resettlement and the beneficiary population of the direct areas of Project intervention.*** The RAPs provide for the elaboration of an overall Social Work Project (PTS, *Projeto de Trabalho Social*) to support the integration of resettled families and allow them to rebuild family and community links, as well as income-generation capacity. The Project includes efforts to support people in traditional occupations, such as pottery, fishing and small farms/gardens. It also has funded a series of support activities such as job retraining, and, as a result, a number of Project-affected people have learned new skills and started new businesses.

40. ***Management acknowledges that some of the Project's resettlement instruments were not fully in line with Bank policy requirements and required updating and strengthening, which is currently being addressed.*** These weaknesses pertain mainly to the lack of formal declaration and communication of a cut-off date for the Phase 2 Project area, which the Borrower only undertook to do recently. Together with the cut-off date, the revised RAPs will also include (i) information regarding the updating of the census; (ii) detailed description of the GRM system; (iii) enhanced resettlement justification and legal framework; (iv) detailed explanation of the standardized asset evaluation methodology; and (v) improved reflection of the feedback received from the consultation process. ***However, in Management's view these weaknesses have not adversely affect Project-affected people*** as all Project-affected people who have moved to the Project area prior to the cut-off date of October 14, 2019, are eligible for compensation, should they need to be resettled.

(iii) *Dismantling of new unoccupied illegal structures in the Project area.*

41. Management was informed in September 2019 by the Borrower that in August 2019, the Superintendence for Urban Development within the Municipality (SDU – *Superintendência de Desenvolvimento Urbano*) stopped the illegal construction works of 15 new unoccupied structures in the *Vila Apolônia* area of the *Olarias* neighborhood and dismantled them under police supervision. The structures were located on public land within the APP and/or areas at risk of flooding. The Borrower explained that this intervention was based on the applicable municipal laws. According to the information provided by the Borrower to the Bank, no occupied houses were demolished, no evictions occurred, and no physical confrontation took place.¹⁸

42. ***Upon learning of the dismantling of illegal structures, Management required the Municipality to immediately suspend all such interventions in the Project area until the cut-off-date is established and publicized. The Municipality agreed and the cut-off date was posted in the Project area on October 14, 2019.*** The dismantling of these structures is currently being reviewed by the Borrower, and remedial measures and procedures will be undertaken, per the requirements of the Bank's safeguard policies. Project-affected people who are covered by the RAP will be entitled to compensation, including for their structures. The Bank has expressed its concern

¹⁸ During the course of Phase 2 Project implementation, no cases of evictions were encountered.

with the risk of new encroachments in the Project area and has consistently recommended to the Borrower that it take preventive measures to avoid new encroachments, such as posting signs in the affected areas. ***The Borrower has confirmed to Management that no additional structures have been dismantled and no evictions occurred. Management will intensify supervision to reconfirm this***

43. ***Management has been informed by the PMU that, on October 18, 2019, a group of individuals entered into one of the project areas (Mafrense neighborhood on the site for Works No. 2), reportedly carrying construction materials that had been delivered in trucks.*** This incident happened after the RAP cut-off date of October 14, 2019, which the PMU has reported was widely published through posted signs in the area and through verbal and written communication to local households. The signs posted state that any encroachment in the area after the establishment of the cut-off date would not be permissible, or eligible for compensation under the Bank-supported Project. Management has requested the PMU to document and gather information on this incident and on any other relevant developments in the Project sites after the RAP cut-off date, so that the PMU can promptly update the Bank and send a written detailed report by November 1, 2019. Management also advised the Municipality to consult with the Bank prior to taking any action in the Project area. A Bank team member is traveling to the project area during the week of October 20, 2019, to verify the information on the ground.

(iv) *Consultations and disclosure*

44. ***There have been numerous consultations and stakeholder engagement activities throughout Project design and implementation.*** Safeguard documents have been appropriately disclosed for the Phase 2 Project. Feedback from these consultations have led to the commissioning of supplemental studies that have provided technical input to the Project design to minimize involuntary resettlement, strengthen the grievance redress mechanism (GRM), and provide key social and cultural benefits to Project-affected people.

45. ***Consultations on the Environmental and Social Impact Assessment (ESIA) and RPF for the Phase 2 Project commenced in October 2014 and have been continuing to date.*** The consultations have discussed potential environmental and social impacts and how they will be mitigated through instruments such as the Environmental and Social Management Plan (ESMP), the RAPs and supplementary studies such as the Anthropological Study commissioned in 2017.

46. ***In this context, over 60 public hearings, meetings and presentations were held with affected communities and other stakeholders in different neighborhoods since 2014.*** Between 2016 and 2018, 87 overall community consultation activities were held, including: 25 community meetings and 25 workshops on environmental aspects of the Project. These consultation meetings have fostered the participation of the community and aimed at establishing and maintaining a dialogue with community members to allow Project-affected people to provide feedback and raise questions they might have about Project activities that affect them and benefits the Project will provide. They have also allowed improvements in the resettlement process such as the introduction of the mediation role during negotiations with the social unit (UPS – *Unidade de Projeto Social*) within the Project's PMU regarding the selection of the compensation option.

47. ***Cultural aspects have been considered as a result of consultations.*** Evidence that the consultations have promoted a two-way dialogue over the years are many. For example, in consultation with the community, the Phase 2 Project supported the design and construction of the Orixás Plaza (a thematic urban space, the design of which is informed by Afro-Brazilians' traditions and religion). The final design for this Plaza was selected by a committee formed of six

representatives (one from the municipality and five from the Afro-Brazilians' groups). Consultations during the environmental licensing process on the Phase 2 Project have also led to the development of the Anthropological Study, which identified 480 Afro-Brazilian traditional and religious groups in the city and 210 in the Project area, and has been considered during Project implementation. In addition, consultations resulted in additional technical work being done that resulted in reduced resettlement (for example, because a road was not widened or the Project-affected people in some locations could safely remain *in situ* in the lagoon areas), improvements to the GRM, livelihood restoration and key social and cultural benefits.

48. ***Cultural aspects have been taken into consideration in Project design and implementation.*** The Anthropological Study, in addition to identifying cultural activities and traditional groups in the Project area, assessed potential positive and negative impacts of the Phase 2 Project activities on cultural traditions, including adverse impacts on households that serve as places of worship for Afro-Brazilian religions. In this regard, the ESIA and RPF/RAPs state that, where houses of worship for Afro-Brazilian religions need to be demolished, the Project will provide replacement houses. To date, two houses with places of worship for Afro-Brazilian religions have been resettled. The Anthropological Study also recommends a management action plan in compliance with Brazilian legislation on cultural heritage. This action plan is being implemented by the PMU.

49. ***The Project involves the implementation of multiple activities taking into account the social, economic and environmental characteristics of the community.*** Besides the 2018 Anthropological Study, the Project has provided support for activities such as: (i) strengthening community associations and civil society organizations to improve the access of families to social programs; (ii) promoting environmental and sanitary education; (iii) creating jobs and establishing income-generation programs, including support to micro-entrepreneurship. Other activities have included: (a) revitalization of Boi Theater (Boi is considered an important cultural/popular manifestation) in the Project area; (b) entrepreneurship activities targeted at women and youth; and (c) support for community proposals for crime and violence prevention, among others.

50. Management notes that in November 2014, a group of people – *Atingidos pelo Lagoas do Norte* (People Affected by the Lagoas do Norte) – complained through the media about the Project's potential involuntary resettlement measures under the Phase 2 Project due to proposed works to widen the Boa Esperança Avenue. The Bank responded with a supervision mission, recommending to the PMU an action plan to undertake additional technical studies and another assessment of the dike safety by a PoE, and improve communication and engagement, to clarify to the population that the need for resettlement was linked to the safety of the dike and not to the widening of the road. The PMU is still assessing alternatives to improve the safety of the Boa Esperança dike (Works No. 6) while minimizing resettlement needs, and the widening of the Boa Esperança Avenue is no longer under consideration by the Phase 2 Project. The feasibility of potential alternatives to improve the safety of the Boa Esperança dike will be subject to further consultations.

51. ***Disclosure of the RAPs.*** Under the Phase 2 Project, eight RAPs in total are envisaged, of which five have been completed; another was submitted for the Bank's no objection and two are currently being prepared. Draft RAPs have been shared with Project-affected people ahead of public consultations and final versions have also been disclosed. To date, five RAPs prepared under the Phase 2 Project have been disclosed on the World Bank's external website and in country on the

Project's website (<https://semplan.teresina.pi.gov.br/lagoas-do-norte/>).¹⁹ Hard copies of the final five RAPs are available at the Municipality's office. Brochures with information on the Project have been handed out at the consultation events, distributed door-to-door in the Project intervention areas and disclosed on the Project's website. (See Annex 2 for details about the RAPs.)

52. ***Stakeholder Engagement in the Project.*** Under the Project's stakeholder engagement strategy, engagements are carried out in each work area during the preparation and design phases. They include public hearings with the affected local communities, and technical meetings and presentations to introduce the Project, describe the safeguard instruments and discuss issues and concerns. Before construction works start, at the time of the implementation of the RAPs, UPS staff engage with the affected families by holding meetings with each family, group meetings, site visits, negotiations meetings and guided visits to new houses for displaced people, among others.

53. The UPS teams operate in each of the Project-affected areas. They are responsible for: engaging with affected people in the resettlement process (individual meetings with the families including negotiations); providing a grievance redress channel to affected community members to raise their concerns; helping the community to get organized; and, in general, working with the community to foster a better understanding of the Project, its impacts and the mitigation and compensation measures to which Project-affected people are entitled.

54. The communities are represented by a Citizen Engagement Committee, locally known as the Mobilization Committee ("Committee"), the establishment of which was supported by the UPS staff. This Mobilization Committee is constituted of representatives of 17 community organizations representing 13 neighborhoods. It is responsible for: community mobilization; supporting dissemination of information regarding the Project and the interests of the affected communities; representing the interests and concerns of the residents; monitoring Project implementation; ensuring that meetings are held frequently with residents to ensure engagement and participation of people and communities in Project activities. Committee members are elected every year by their respective communities and the Mobilization Committee meets monthly. Participation in these meetings is open to all residents. The Committee carries out inspections of Project sites once a month. During these visits the Mobilization Committee also hears concerns and gathers complaints, if any, from community members, and reports to the PMU in writing about its findings and proposes solutions and activities that it considers relevant for the communities.

55. Additional channels of communications open for the community are the municipal hearings office; the GRM phone application (COLAB); the Project's Facebook page; and the WhatsApp numbers of the PMU (especially the communication specialist) and UPS team members. Since the establishment of COLAB in 2017, 18,279 complaints have been made municipality-wide. Out of the total complaints, only nine concerned the Project. The complaints about the Project were about lack of maintenance of public infrastructure and traffic incidents in the region of Parque Lagoas do Norte, all of which have been addressed.

56. ***Implementation of the RAPs.*** Once the designs are finalized and the RAPs are prepared, the PMU, with support from the UPS, invites the affected population for group meetings. Individual meetings are then carried out to start negotiations on the compensation package. Once the family

¹⁹ These are the RAPs for: Mocambinho, which was disclosed on March 30, 2017; Canal do Matadouro, which was disclosed on July 12, 2017; Works No. 2 (Mafrense, Rua Manoel de Aguiar Filho Trecho 2), which was disclosed on February 11, 2019; Works No. 1 (São Joaquim), which was disclosed on February 25, 2019; and, Works No. 3 (Porção Sudoeste da Lagoa dos Oleiros), which was disclosed on September 23, 2019.

has chosen one of the three compensation options made available under the Phase 2 Project, the process is sent to the Municipal Attorney General for clearance and conclusion. Based on lessons learned from the Phase 1 Project, the PMU convenes meetings in a phased approach, by works section, and with three different groups for each section: (i) the people whose assets will be totally affected; (ii) the people whose assets will be partially affected, and (iii) the people whose assets have been registered but, due to improvements in Project designs, will not be affected. After this initial phase, individual family meetings are arranged to start negotiations with the partially and totally affected people.²⁰

57. The engagement with Project-affected people through rounds of information on their rights, available compensation alternatives, and negotiation takes an average of three months before an agreement is reached. Project-affected people have brought community leaders and lawyers to the negotiations. For example, in the implementation of the RAP for Matadouro under the Phase 2 Project, the Brazilian Lawyers Organization (*Ordem dos Advogados do Brasil*, or OAB, from the Piauí branch) was involved as a Mediation and Arbitration Chamber, having been hired by the Project to support Project-affected people in the negotiation.

58. *Management believes that the RAPs were properly consulted upon and disseminated to the Project-affected people. However, Management notes that, as expressed by the representatives of the Requesters during the meeting with the September Bank mission, the Citizen Engagement Committee and the PMU, communications with the Project-affected people could benefit from a number of improvements.* The Bank team therefore recommended that the Project: (i) further strengthen the quality of consultation and communication; and (ii) further improve dissemination of information about the Project (see paragraph 63 below).

Interactions with the Requesters and other Project-affected People

59. *Interaction with Requesters.* On September 9, 2019, the Bank team, together with the PMU, met with the Requesters and representatives from the MPE, the Office of the Federal Public Defender in Piauí (DPU – *Defensoria Pública da União no Piauí*), and the Office of the Public Defender of the State of Piauí (DPE – *Defensoria Pública do Estado do Piauí*) to learn about their complaints and concerns. Following the meeting, minutes were signed and a follow-up meeting, to give the PMU the opportunity to address the issues raised, was scheduled.

60. During a high-level mission carried out to Teresina, September 17-20, 2019, the Bank participated in the follow-up meeting scheduled by the PMU with the representatives of the Requesters as well as representatives from the DPU, and DPE, and in other meetings with the MPE and the Commission of Human Rights of the Archdiocese of Teresina. At the follow-up meeting, the PMU was able to clarify many of the concerns raised regarding reasons for involuntary resettlement; alternatives under consideration for strengthening the Boa Esperança dike; the process followed in the formulation of the RAPs, including consultations; eligibility criteria to receive compensation under the RAP for those settled in the area after the 2014 initial census; and the status of development of the Parque Brasil housing complex, among others. Participants expressed satisfaction with the explanations provided by the PMU but raised concerns about the demolitions in the Project area, the need for support to Project-affected people in the negotiation of resettlement options, the lack of information about the Project and the impression that limited attention was paid

²⁰ As of September 5, 2019, 177 properties have been resettled, involving 301 households.

to cultural heritage²¹ by the Project design; and requested the establishment of a multi-disciplinary technical committee reviewing Project progress.

61. **Interaction with Project-affected people.** The Bank team met with two families resettled by the Project. One family selected the option of monitored resettlement, the other family opted for cash compensation. During these interactions, the Bank team was able to confirm that the Project indeed is improving the living conditions of vulnerable families that did not have security of tenure (title) for their previous houses and whose assets had low financial value, by offering them the opportunity to own a house with better conditions than previously.

62. The Bank also met several Project-affected people living on the edges of the Oleiros lagoon, which is subject to flooding during the rainy season. These Project-affected people are requesting to be resettled prior to the next rainy season as they fear for their safety. During the visit, the Bank also met with a Project-affected person who used to produce bricks/pottery with clay from the lagoon and who had received professional training supported by the Project to find an alternative source of livelihood that is less damaging to the lagoon ecosystems and health of the communities. This training has allowed her to open her own hairdresser shop.

Actions Going Forward

63. Based on discussions with the community and PMU, the following actions have been initiated to address concerns presented in the Request. These actions have been discussed and agreed with the Borrower:

- **Action 1: Complete the update of the census and disseminate information about the cut-off date, by November 20, 2019.** This involves the following: (i) establishing the cut-off date of October 14, 2019; (ii) preparing and putting up signs to be posted in the Project area to convey, at minimum, the following message in Portuguese:²² “*The Project is finalizing the census process for eligible Project-affected people: people settled in the area after October 14th, 2019 are not eligible for compensation and anyone who believes they are eligible for resettlement benefits may bring their complaints/claims to the Grievance Redress Mechanism channels of the Project*” and delivering the message door-to-door; (iii) registering houses using images/seals and providing a registration seal to all “consolidated occupations”²³ in Project area for properties not yet registered in the RAPs; (iv) disseminating information on completion of the process for updating the census; and (v) after the completion of the registration in the census, disclosing the list of all sealed properties (names redacted) that are eligible for entitlements under the Project per the RAPs in the city’s official gazette (*Diário Oficial do Município*). **Progress:** The Borrower has agreed to implement this action by the above-referenced deadline, following the discussions carried out with the Bank on the inclusion of the new occupants in the area after the census and sealing carried out in 2014, the original cut-off date. The Borrower has agreed to the cut-off date of October 14, 2019, has prepared signs and messages with

²¹ Requesters claim that the Project design is focused on tourism and does not integrate local cultural aspects; they further stressed the need to carry out studies on the communities, especially traditional communities prior to designing the Project. They also mentioned a new anthropological study that they would share with the Project authorities.

²² Before posting the sign, the PMU requested the Bank’s no objection on the proposed language.

²³ “Consolidated occupations” refers to households that have been established in the Project area, not only through construction, but including furnishings and occupation by families.

language agreed and approved by the Bank; has put the signs up in the Project area and distributed the message door-to-door.²⁴ The Borrower is committed to carry out all remaining activities.

- **Action 2: Review and revise all RAPs by December 13, 2019. The revised RAPs will include the cut-off date of October 14, 2019.** This action involves the following: (i) updating RAPs²⁵ by the PMU and submitting them for the Bank's no objection; and (ii) carrying out consultations on the revised RAPs. *Progress:* The Borrower has agreed to implement this action by the above-referenced deadline and the PMU is currently reviewing and updating the RAPs.
- **Action 3: Suspend the dismantling of any structures in the Project area constructed before the recently set cut-off date, in line with Bank policy.** This is based on Bank Management's request of September 19, 2019. *Progress:* The Borrower confirmed to Management that no further structures were dismantled between the September 19 mission and the established cut-off date of October 14, 2019.
- **Action 4: Present by November 20, 2019 a technical and social report of the illegal structures in the Project area that were dismantled by the authorities in August 2019.** The Borrower will prepare and submit the technical and social report based on the outline and information agreed with the Bank. *Progress:* The Borrower has agreed to implement this action by the above-referenced deadline. The Bank team has already provided to the Borrower the information and outline for the technical social report. Following the findings of this evaluation, Management will work with Borrower to ensure the eligible owners of these structures are compensated in line with Bank policy.
- **Action 5: Further strengthen the quality of consultation by November 29, 2019.** This involves the mobilization by Management of a local consultant to provide targeted training to the PMU staff on how to conduct meaningful consultations with stakeholders. *Progress:* The Bank team expects to mobilize the consultant by November 29, 2019.
- **Action 6: Improve the quality of communications by November 29, 2019.** This involves the following: (i) mobilizing support of a specialized communication firm for the formulation of a communication strategy and action plan; (ii) starting implementation of the action plan, drawing on technical information and transforming it into language understandable to the Project-affected people; (iii) updating and distributing brochures with summary information about the Project, including updates on the various works fronts, and on eligibility and compensation entitlements under the RAPs; and (iv) opening/strengthening information points in the various works sites, including Parque Brasil. *Progress:* The Borrower has agreed to implement this action by the above-

²⁴ The Borrower informed the Bank that signs were posted in the Project areas and a one-pager communicating the new cut-off date was delivered door-to-door to Project-affected people. The PMU has shared with the Bank pictures of some of the posted signs and of confirmations of receipt for distributed flyers. The Borrower has informed to the Bank that pictures and videos of the Project areas were taken between October 8 – 11, 2019 to document existing buildings. Areal pictures were also taken using drone cameras on October 14, 2019 for the same purpose.

²⁵ Together with the cut-off date, the revised RAPs will also include (i) information regarding the updating of the census; (ii) detailed description of the GRM system; (iii) enhanced resettlement justification and legal framework; (iv) detailed explanation of the standardized asset evaluation methodology; and (v) improved reflection of feedback from the consultation process.

referenced deadline. To date, the Borrower has already hired a communication firm, which is working on the formulation of the communication strategy and action plan.

- **Action 7: Further improve dissemination of Project information by December 30, 2019.** This involves the following: (i) improving the Project website by correcting technical glitches; and (ii) ensuring the website has updated information about the implementation progress of all the RAPs. *Progress:* Activity (i) has been completed. The Borrower has committed to carry out activity (ii) above, once it has received the Bank's no objection to the complemented versions of the RAPs and the revised RAPs have been disclosed on the Project's and Bank's websites. Updates will be released on a quarterly basis.
- **Action 8: Strengthen the Project's grievance redress mechanism by December 20, 2019.** This involves the following: (i) ensuring that COLAB, the Project's complaint handling system, maintains communication with the complainant during the complaint resolution process; (ii) continuing to have the UPS liaise directly with the community and ensuring that the UPS also logs complaints received into the COLAB system; (iii) providing training to the members of the UPS and the Mobilization Committee for complaints handling; (iv) disseminating information on the GRM system, the process to submit complaints and how they are handled, including timelines; and (v) continuing to have the Municipality Ombudsman be an appeal avenue. *Progress:* The Borrower has agreed to implement this action by the above-referenced deadline, but activities have not started as yet.
- **Action 9: Management will follow-up with PMU on the implementation of the recommendations regarding cultural heritage aspects identified by the Anthropological Study during Phase 2 Project implementation.** This will include support for (i) a heritage education program; (ii) an inventory of cultural heritage references; (iii) institutional strengthening of the Municipality to better consider cultural aspects; and (iv) monitoring progress of these interventions. These actions will have participation of and will be monitored by the *Instituto do Patrimônio Histórico e Artístico Nacional* (IPHAN) and will follow IPHAN's national guidelines. *Progress:* The Borrower has agreed to continue to implement the recommendations of the Anthropological Study.

64. **Conclusion.** Management believes that the Bank has made every effort to follow the policies and procedures applicable to the matters raised in the Request and pursued its mission statement in the context of the Project. Management, however, has identified some weaknesses in the Project's RAPs that are being addressed in line with Bank policy and has agreed with the Borrower on actions to further improve Project implementation. As a result, Management believes that the Requesters' rights or interests have not been, nor will they be, directly and adversely affected by a failure of the Bank to implement its policies and procedures.

Annex 1. Claims and Responses

No.	Claim	Responses
1.	<p>We do not agree with and do not accept the resettlement of our families that results in our departure from our current places of residence. According to the draft RAP, there are 119 affected families in the Phase 2 area, 34 of them will be partially affected and 85 will be completely affected. We are part of that latter target group, along with other families who live in the same area but are not considered in the records (stamp) of the city government, i.e., new residences and families arriving after the stamp [sic] was conducted in 2014 and the resettlement plan developed.</p>	<p><i>Under the Project, resettlement is necessary to reduce flood risk in the area and is carried out in accordance with Bank policy.</i></p> <p>The Project was designed to respond to the main development challenges of the Lagoas do Norte area.</p> <p><i>The Lagoas do Norte Region is a highly-vulnerable, flood-prone area.</i> The region is located at the confluence of the Poti and Parnaíba Rivers and lies in a floodplain with a series of interlinked lagoons. It faces perennial flooding in low-lying areas at the confluence of the rivers. It is one of the most environmentally and socially vulnerable and poor areas of the city. The RPF for the Phase 2 Project, which was prepared in 2014, indicated the need to resettle families due to: (i) the rehabilitation of the drainage system; (ii) urban upgrading works; (iii) areas subject to floods; (iv) compliance with protected areas buffer zone; (v) urban road network improvement; and (v) safety of the airport buffer area.</p> <p><i>The original Phase 2 Project design considered various viable Project alternatives in an effort to minimize resettlement of the local population, as required by Bank policy (refer to Claims 3 and 4).</i> During implementation, additional modifications were adopted aiming to strike a right balance between reducing flood risks and minimizing resettlement. The following considerations were taken into account when deciding which families would be physically resettled or partially affected: houses subject to flood risks and in environmentally protected areas; houses built in areas compromising the safety of the dikes; houses on the right-of-way of the drainage, water supply, sewerage and wastewater systems; and the vulnerability of the house condition.</p> <p><i>As a result of revisions to Project designs and priorities; and following consultations with Project-affected people, the estimated number of properties affected by resettlement in the Phase 2 Project was reduced from 1,730 (in 2014) to 997 (in 2019).</i> A preliminary census of the overall Project area to identify potentially affected households was carried out during Phase 2 Project preparation. It started in October 2014 and was finalized in 2015. At that stage, it was estimated that the Phase 2 Project would affect 1,730 properties, encompassing 2,180 households.</p> <p><i>In accordance with OP/BP 4.12, people are provided compensation if they have occupied the Project area prior to the cut-off date established by the Borrower and acceptable to the Bank. People who have encroached on the area after the cut-off date are not entitled to compensation or any other</i></p>

No.	Claim	Responses
		<p><i>form of resettlement assistance.</i> The RAPs did not formally declare and communicate the cut-off date to determine who would be eligible to receive compensation. Management thus requested the Borrower to update the census and properly establish and disseminate a cut-off date.</p> <p><i>The preliminary census originally prepared in 2014/15 will be formally updated and finalized by November 20, 2019 and an updated list of Project-affected people included in the RAPs. The cut-off date was determined to be October 14, 2019 and has already been widely announced in the Project area.</i> Under the 2014/2015 census, potentially affected properties received a seal and a census code that is registered in the Municipality. The preliminary census done in 2014/2015 was validated and updated as part of the RAP implementation process, particularly in the stage leading to the negotiation of compensation packages. Since there was not a properly established and disseminated cut-off date, the PMU included new households who consolidated and settled in the area in the list of Project-affected people to be compensated as RAP implementation progressed. However, the RAPs do not include this updated list of Project-affected people and only describe the 2014/2015 census. Management requested the Borrower to revise and formally update the census and the RAPs accordingly, as required by Bank policy.</p> <p><i>All Project-affected people who need to be physically resettled, regardless of their legal status as owners or illegal occupants of the land, are offered three options of compensation among which they can choose according to their needs: (i) cash compensation, (ii) new housing units, or (iii) monitored resettlement.</i> Monitored resettlement means that while people need to be resettled for safety reasons and may not stay in their current place of residence, the Project offers the option to remain in the same area by choosing to relocate in a nearby but out-of-risk house to be purchased by the Project. Under this option, the family seeks new housing in the real estate market, with monetary incentive (cash portion for purchase of another property, which is purchased by the PMU on behalf of the Project-affected person and then registered in that person's name).</p> <p>In addition, Project-affected people may choose to relocate in housing units that are under construction in a residential complex called Parque Brasil and, in this regard, are provided with temporary rental houses until the housing units in Parque Brasil are made available, which is expected to be completed by March 2020. The Municipality of Teresina, with funding from the <i>Caixa Economica Federal</i>, is building around 1,022 housing units of approximately 45 m², both single family houses (350 units, 100 of which will be equipped to have an</p>

No.	Claim	Responses
		<p>area for commercial activities) and apartments (672 units), located around 4 km north of the Lagoas do Norte Region, where all public services will be provided (e.g., drainage, water supply, sanitation and electricity). Overall infrastructure and services such as education, health, and public transportation are available in the neighborhood. For the households that choose to be relocated in the Parque Brasil, the Project ensures that there are opportunities to preserve and foster family and social networks through construction of community centers, recreational spaces and places of worship, among others.</p>
2.	<p>We emphasize that those families are being drastically impacted in terms of social, political, cultural and economic conditions. The project being executed lacks transparency and there is no dialogue between the city and the residents. The Resettlement Action Plan was not made available to us until after we were able to obtain the assistance of a prosecutor and public defender.</p>	<p><i>As stated in the response to Claim 1, the Project aims to improve the living conditions of the most vulnerable and poverty-stricken region of Teresina by reducing perennial flooding, reducing pollution, and improving sanitation and roads. Resettlement of some households is required to meet these Project objectives. Compensation packages under the Project aim at restoring, if not enhancing, the living conditions of Project-affected people.</i></p> <p><i>There have been numerous consultations and stakeholder engagement activities throughout Project design and implementation. Safeguard documents have been appropriately disclosed for the Phase 2 Project. The consultations have resulted in supplemental studies, such as the Anthropological Study, being prepared that have provided technical input to the Project design to minimize involuntary resettlement, strengthen the GRM, and provide key social and cultural benefits to Project-affected people.</i></p> <p><i>Management believes that the RAPs were properly consulted upon and disseminated to the Project-affected people. However, Management notes that, as expressed by the representatives of with the Requesters during the September Bank mission, the Citizen Engagement Committee and the PMU, communications with the Project-affected people could benefit from a number of improvements and has recommended that the Project: (i) further strengthen the quality of consultation and communication; and (ii) further improve dissemination of information about the Project.</i></p> <p><i>Consultations and Access to Information on the ESIA and RPF for the Phase 2 Project:</i> Consultations on the ESIA and RPF for the Phase 2 Project commenced in October 2014 and have been continuing to date.</p> <p>The consultations have discussed potential environmental and social impacts and how they will be mitigated thorough instruments such as the ESMPs, the RAPs and supplementary studies such as the Anthropological Study commissioned in 2017 (see Claims 5, 6 and 8).</p>

No.	Claim	Responses
		<p>In this context, since 2014 over 60 public hearings, meetings and presentations were held with affected communities and other stakeholders in different neighborhoods. Between 2016 and 2018, 87 overall community activities were held, including: 25 community meetings and 25 workshops on environmental aspects of the Project. These meetings have fostered the participation of the community and aimed at establishing and maintaining a dialogue with community members to allow Project-affected people to provide feedback and raise questions they might have about Project activities that affect them and benefits the Project will provide.</p> <p>The draft ESIA and RPF for the Phase 2 Project were disclosed for consultation on the Project's website (www.semplan.teresina.pi.gov.br) on October 24, 2014.¹ The RPF was consulted upon with various stakeholders on November 4, 2014. The consultations involved the Lagoas do Norte Forum, which comprised representatives of associations of neighborhoods in the North Zone of the city, and an open public hearing to which several neighborhood associations were invited. Some 180 people participated in the ESIA and RPF consultations. The ESIA (Annex 6) includes the list of community associations and social organizations invited to the consultations on the ESIA, as well as the minutes of the public hearing.</p> <p>Annex 5 of this Management Response includes a list of the consultations held during the Phase 2 Project.</p> <p>At the time of the preparation of the Phase 2 Project, the ESIA noted that communities were supportive of the Project and its progress to date. The ESIA, recent RAPs (disclosed in February 2019) and consultations demonstrate an emphasis on effective participation to ensure good design and implementation outcomes as well as longer-term sustainability and responsibility in maintaining systems and equipment. The consultations have also focused on ensuring the census is complete, clarifying the location and timing of the works and setting in detail the resettlement process, including mediation/negotiations with the UPS on compensation. There were also discussions regarding the design and construction of the Orixás Plaza, a cultural site around one of the lagoons being rehabilitated under the Project. Ongoing consultations on the Project designs have led to additional technical work being done that resulted in reduced resettlement (for example, because a road was not widened or the Project-affected people</p>

¹ <https://semplan.teresina.pi.gov.br/2014/10/24/lagoas-do-norte-divulga-relatorio-de-avaliacao-ambiental-e-social-e-realiza-consulta-publica/>

No.	Claim	Responses
		<p>could safely remain in situ in the lagoon areas), improvements to the GRM, livelihood restoration and cultural benefits.</p> <p>Management notes that in November 2014, a group of people – “Atingidos pelo Lagoas do Norte” (People Affected by the Lagoas do Norte) – complained through the media about the Project’s potential involuntary resettlement measures under the Phase 2 Project due to proposed works to widen the Boa Esperança Avenue. The Bank responded with a supervision mission, recommending to the PMU an action plan to undertake additional technical studies and another assessment of the dike safety by a PoE, and improve communication and engagement, to clarify to the population that the need for resettlement was linked to the safety of the dike and not to the widening of the road. The PMU is still assessing alternatives to improve the safety of the Boa Esperança dike (Works No. 6) while minimizing resettlement needs, and the widening of the Boa Esperança Avenue is no longer under consideration by the Phase 2 Project. The feasibility of potential alternatives to improve the safety of the Boa Esperança dike will be subject to further consultations.</p> <p>Disclosure of the RAPs: Under the Phase 2 Project, eight RAPs in total are envisaged, of which five have been completed; another was submitted for Bank’s no objection and two are currently being prepared. Draft RAPs have been shared with Project-affected people ahead of public consultations and final versions have also been disclosed. To date, five RAPs prepared under the Phase 2 Project have been disclosed on the World Bank’s external website and in country on the Project’s website (https://semplan.teresina.pi.gov.br/lagoas-do-norte/). They are: the RAP for Mocambinho, which was disclosed on March 30, 2017; the RAP for the Canal do Matadouro, which was disclosed on July 12, 2017; the RAP for Works No. 2 (Mafrense, Rua Manoel de Aguiar Filho Trecho 2), which was disclosed on February 11, 2019; the RAP for Works No. 1 (São Joaquim), which was disclosed on February 25, 2019; and, the RAP for Works No. 3 (Porção Sudoeste da Lagoa dos Oleiros), which was disclosed on February 1, 2019. Hard copies of the final five RAPs are available at the Municipality’s office; brochures with information on the Project have been handed out at the consultation events, distributed door-to-door in the Project intervention areas and disclosed on the Project’s website. Annex 6 includes a copy of this brochure.</p> <p>Stakeholder Engagement in the Project: Under the Project’s stakeholder engagement strategy, engagements are carried out in each work area during the preparation and design phases. They include public hearings with the affected local communities, and technical meetings and presentations to introduce the Project, describe the safeguard instruments and</p>


No.	Claim	Responses
		<p>discuss issues and concerns. Before construction works start, at the time of the implementation of the RAPs, UPS staff engage with the affected families by holding meetings with each family, group meetings, site visits, negotiations meetings and guided visits to new houses for displaced people, among others.</p> <p>The UPS teams operate in each of the Project-affected areas. They are responsible for: engaging with affected people in the resettlement process (individual meetings with the families including negotiations); providing a grievance redress channel to affected community members to raise their concerns; helping the community to organize and in general working with the community to foster a better understanding of the Project, its impacts and the mitigation and compensation measures to which Project-affected people are entitled.</p> <p>The communities are represented by a Citizen Engagement Committee, locally known as the Mobilization Committee, the establishment of which was supported by the UPS staff. This Committee is constituted of representatives of 17 community organizations representing 13 neighborhoods. It is responsible for: community mobilization; supporting dissemination of information regarding the Project and the interests of the affected communities; representing the interests and concerns of the residents; monitoring Project implementation; ensuring that meetings are held frequently with residents to ensure engagement and participation of people and communities in Project activities. Committee members are elected every year by their respective communities and the Mobilization Committee meets monthly. Participation in these meetings is open to all residents. The Committee carries out inspections of Project sites once a month. During these visits the Mobilization Committee also hears concerns and gathers complaints, if any, from community member; reports to the PMU in writing about its findings; and proposes solutions and activities that it considers relevant for the communities.</p> <p>Additional channels of communications open for the community are the municipal hearings office; the GRM phone application (COLAB); the Project's Facebook page; and the WhatsApp numbers of the PMU (especially the communication specialist) and UPS team members. Since the establishment of COLAB in 2017, 18,279 complaints have been made municipality-wide. Out of the total complaints, only nine concerned the Project. The complaints about the Project were about lack of maintenance of public infrastructure and traffic incidents in the region of Parque Lagoas do Norte, all of which have been addressed.</p> <p>Implementation of the RAPs: Once the designs are finalized and the RAPs are prepared, the PMU, with support from the</p>

No.	Claim	Responses
		<p>UPS, invites the affected population for group meetings. Individual meetings are then carried out to start negotiations on the compensation package. Once the family has chosen one of the three compensation options made available under the Phase 2 Project, the process is sent to the Municipal Attorney General for clearance and conclusion. Based on lessons learned from the Phase 1 Project, the PMU convenes meetings in a phased approach, by works section, and with three different groups for each section: (i) the people whose assets will be totally affected; (ii) the people whose assets will be partially affected, and (iii) the people whose assets have been registered but, due to improvements in Project designs, will not be affected. After this initial phase, individual family meetings are arranged to start negotiations with the partially and totally affected people.</p> <p>The engagement with Project-affected people through rounds of information on their rights, available compensation alternatives, and negotiation takes an average of three months before an agreement is reached. Project-affected people have brought community leaders and lawyers to the negotiations. For example, in the implementation of the RAP for Matadouro under the Phase 2 Project, the OAB (from the Piauí branch) was involved as a Mediation and Arbitration Chamber, having been hired by the Project to support Project-affected people in the negotiation.</p>
3.	<p>We also request a determination as to whether the construction works are being carried out according to World Bank policy. We ask: For whom is the Lagoas do Norte Park? This project requires the resettlement of more than 70 percent of the homes during the present phase. Some families have lived there for 40 years. Their homes have great sentimental value. Others support their families by work performed at their own homes. Furthermore, there are needy people who depend on the help from others, such as their closest neighbors, since they have lived for so long in that area. There are elderly people who are part of the history of the community. Now, with the arrival of the park, we thought that we would benefit from the wonders of the project adopted by</p>	<p><i>The Project works are being implemented in accordance with Bank policy, including OP/BP 4.01, OP/BP 4.04, OP/BP 4.11, OP/BP 4.37 and OP/BP 4.12, and the requirements of the ESMP.</i></p> <p><i>Households in flood-prone areas, occupying the lagoons or drainage channels, or compromising the safety of the dikes protecting the region need to be moved, but have the option to remain close to the Lagoas do Norte Park, which itself was created as a flood control measure.</i></p> <p>As noted above in the response to Claim 1, the Lagoas do Norte Region is subject to floods caused by heavy rains and river overtopping. Many of the lagoons in the region, including the drainage channels, are partially or totally filled in. Urban sprawl has exacerbated and disrupted the natural drainage process, which has a negative impact on the safety and quality of life of the local population.</p> <p>In 1960 and 1970, floods were recorded through the entire Lagoas do Norte Region. Due to the low population density in the area at that time, the flood damage was limited. After the 1970 flood, the Boa Esperança dike was built along the Parnaíba River. As a result of the protection provided by the</p>

No.	Claim	Responses
	<p>the city hall since we have been waiting for so long for improvements, but now we are not given the choice of staying in order to enjoy the benefits of the park.</p>	<p>dike and the rapid population growth, irregular expansion began to take place on the floodplain delineated by the dikes.</p> <p>In April 1985, both the Parnaíba and Poti Rivers simultaneously experienced high flood levels, resulting in the Poti River overflowing. This flood event prompted an extension of the dike as far as Mocambinho lagoon along the Poti River.</p> <p>The crest of the Boa Esperança dike and part of the Mocambinho dike are paved and integrated in the city traffic network, and form the Boa Esperança Avenue. Over the years, encroachments of several kinds have taken place on the crest of the dikes, and it is estimated that there are approximately 174 illegally built houses on the crest and slopes of the Boa Esperança dike. This threatens the integrity of the dike and in turn jeopardizes the safety of the local population of the Lagoas do Norte Region – approximately 100,000 people.</p> <p>In 1995, heavy rain over a short period resulted in a flooding incident that made some 2,000 families homeless. Disastrous floods also occurred at the beginning of 2004 leaving about 3,000 families homeless. Floods have occurred in 2009, 2018, and the latest in April 2019, when strong rains and river floods in the Project area led the Municipality to declare a state of emergency.² More than 500 families were affected by this event and three people lost their lives.</p> <p><i>In order to better protect local residents from recurring floods and improve their quality of life, the Project seeks to rehabilitate and upgrade the flood protection infrastructure.</i></p> <p>This includes improving the drainage system by restoring and preserving the lagoons, as well as strengthening and upgrading the Boa Esperança and Mocambinho dikes, channels and embankments.</p> <p>As required by Brazilian environmental legislation to protect water bodies and to avoid further encroachment of the restored lagoons, the Project also supports the rehabilitation of permanent protected areas (APP – <i>Áreas de Proteção Permanente</i>), in strips up to 30 meters wide (average width of strips in the Project area is 10 meters) measured from the lagoon when at maximum level, which ranges between 55-56 meters above sea level, as a buffer zone in the form of linear parks, to further minimize encroachment.</p>

² A state of emergency is declared by the Municipality by a Municipal Decree, in close consultation with Civil Defense, when an abnormal situation caused by adverse factors results in imminent damage to health and public services for affected populations. During a state of emergency and to respond to the emergency situation, the municipality can carry out, on an exceptional basis, the procurement procedures established by the Brazilian Law and is eligible for additional sources of federal and state funds.

No.	Claim	Responses
		<p>Additional urban upgrading activities such as improvement of the sanitation system, of housing units and of urban mobility and integration are also supported by the Project to improve the quality of life of the local population as well as the water quality of the lagoons.</p> <p><i>The construction works are guided by Bank procedures.</i> Works have been carried out by contractors selected through competitive and transparent bidding processes in accordance with the World Bank procurement rules. An independent supervising engineering consortium has also been hired to supervise the works, in compliance with World Bank procurement rules under terms of reference cleared by the Bank. This consortium is responsible for supervision of all aspects of construction, including environmental measures related to the Environmental Construction Manual, the mitigation measures described in the environmental licenses, as well as other measures spelled out in the ESMP, prepared in accordance with World Bank procedures and also cleared by the Bank, are carried out. The PMU in turn has a team of engineers that is responsible for overseeing contract implementation and management. In addition, the Bank routinely supervises the execution of the works and compliance with the ESMP, at least every semester. Supervision missions indicate that execution of the works is in compliance with the ESMP.</p>
4.	<p>We believe that, in accordance with Bank policy, involuntary resettlement is the option of last resort for a project, but the truth is that it's not happening that way. Residents are not being given the option of staying in their homes because the city requires residents to leave the location; there is no need for that because there is sufficient space in which to build the park without displacing the families. <i>What we want is to stay in our homes and in the future enjoy the beauty of the park.</i></p>	<p><i>As indicated above in the response to Claim 3, resettlement is required to rehabilitate the flood protection infrastructure, including establishing the required APP around the lagoons, in the form of linear parks. These measures will help minimize the impacts of floods on the population. Management notes that resettlement should, indeed, be avoided or minimized, where feasible.</i></p> <p>Thus, there are no other possible locations for the linear parks, which are needed to avoid encroachments of the APP area and ensure the restoration of flood protection functions of the lagoons. When feasible from a flood risk management perspective, the Project has tried to accommodate families to stay in the area, for example, by not enforcing the 30-meter buffer zone strip and allowing some already consolidated housing structures within them. (See chart below).</p>

No.	Claim	Responses
		 <p>Existing consolidated housing</p> <p><i>While resettlement is needed for safety/health reasons, efforts have continued to be made to minimize it where feasible, in accordance with Bank policy.</i> Please refer to Claim 9 on alternatives considered. Changes in Project design following consultations have helped reduce the number of families to be resettled (see Claim 1). The five RAPs that have been approved by the Bank involve the resettlement of 577 properties (out of which 25 percent are partially affected). In total, eight RAPs are expected to be prepared and implemented under the Phase 2 Project. There is still room for further reduction to this number by improving the designs for works that are yet to start or for which the designs are ongoing.</p>
5.	<p>The involuntary resettlement being carried out by the City of Teresina violates the document entitled World Bank Operational Manual – 2001, inasmuch as it does not consider the following:</p> <ul style="list-style-type: none"> • The serious economic, social, and environmental risks caused by involuntary resettlement and the breakdown of production systems; 	<p><i>In line with Bank policy, the Project considered social, environmental and economic impacts in developing the resettlement and livelihood program.</i></p> <p>Following OP/BP 4.12, the Phase 2 Project's RPF and subsequently approved five RAPs were based on the principles that: (i) several economically appropriate compensation alternatives would be offered (as described in Claims 1 and 15); (ii) households that have their productive activities disrupted or reduced as a result of project-related impacts would be compensated for these losses in order to enable them to rebuild their lives in the shortest possible time (as also described in the responses to Claims 6, 7 and 8).</p> <p><i>Social:</i> The Project provides support for activities to: (i) strengthen community associations and civil society organizations to improve the access of families to social programs; (ii) promote environmental and sanitary education; (iii) create jobs and establish income generation programs, including support to micro-entrepreneurship; and (iv) construct a Center of Cultural Traditions.</p>

No.	Claim	Responses
		<p>Project activities aiming to benefit those who will be resettled have taken into account the social, economic and environmental characteristics of the community. These include: (a) revitalization of Boi Theater (Boi is considered one of the main cultural / popular manifestation) in the Project area; (b) economic inclusion activities targeted at potters; (c) entrepreneurship activities targeted at women and youth; and (d) support for community proposals for crime and violence prevention. In particular, the Orixás Plaza (a thematic urban space whose design is informed by Afro-Brazilians' traditions and religion) was constructed. The final design for the Plaza was selected by a committee formed of six representatives (one from the municipality and five from these Afro-Brazilians' groups). In parallel, the Anthropology Study carried out by the Project identified 480 Afro-Brazilians' traditional and religious groups in the city, and 210 in the Project area.</p> <p><i>The resettlement program takes into consideration issues of access and mobility.</i> The area selected for the construction of the new resettlement sites (Parque Brasil) is closely located to the areas of intervention (approximately 8 km from the Lagoas do Norte Park and 5 km from the Mocambinho Park), accessible through nine public transport bus lines and paved roads, served by four public schools, two primary care health units and a hospital located within a one-kilometer radius. Families that choose this alternative option will have the choice to be located in houses and apartment buildings that are close to each other, to keep their social ties and networks intact.</p> <p><i>Opportunities for income generation (see also responses to Claims 7 and 8)</i> The Project supports job and income-generation activities targeting both the families adversely affected by resettlement and the beneficiary population of the direct areas of intervention. The RAPs provide for the elaboration of an overall PTS to support the integration of resettled families and allow them to rebuild family and community links, as well as income-generation capacity. The Project has funded a series of support activities such as job retraining, and as a result, a number of Project-affected people have learned new skills and started new businesses (e.g., hairdressing and construction). Livelihood restoration for potters focuses on promoting legally approved clay extraction from other high-quality deposits.</p> <p>Specifically, the Project offers: (i) professional training for employment in activities with market demand; (ii) support for the training of entrepreneurs and for the creation of small businesses; (iii) support for cooperative ventures; (iv) support for upgrading the quality of ceramic products; and (v) support for the regularization of pottery activities and identification of new deposits. In addition to these activities, the Project –</p>

No.	Claim	Responses
		<p>through the Centre-North SDU and with the support of the PMU – ensures that potters participate in the organization of the training activities so that the latter meet their needs.</p> <p>In partnership with the Wall Ferraz Foundation and other institutions, the Project offers courses of professional retraining, prioritizing women and youth. The courses already offered have included: building painter, ceramic tile layer, cashier, call center operator, microcomputer operator, barber, Android App programmer, Java web programmer and Web on Rail programmer.</p> <p>Information available at:</p> <p>https://fwf.pmt.pi.gov.br/cursos-profissionalizantes-gratuitos-chegam-a-variados-bairros-de-teresina/;</p> <p>https://fwf.pmt.pi.gov.br/programa-de-incentivo-ao-primeiro-emprego-esta-com-inscricoes-abertas/;</p> <p>https://fwf.pmt.pi.gov.br/parceria-entre-lagoas-do-norte-e-fwf-oferece-cursos-para-moradores-de-13-bairros-beneficiados-com-o-programa/;</p> <p>https://fwf.pmt.pi.gov.br/lagoas-do-norte-e-fwf-iniciam-cursos-na-area-da-construcao-civil-para-comunidade/;</p> <p>http://www.uespi.br/site/?p=86263).</p> <p>Environmental: As part of the Program of Environmental Education (ESIA, p. 171), the Project supports a set of activities targeting the affected population, with the aim of maintaining the new houses and common spaces, supporting the resettled population's social insertion within the host communities and peaceful co-existence in the new housing units. Activities for resettled families include workshops on environmental preservation, proper water use and hygiene habits; "Know, Conserve And Preserve" events; theatrical performance on "Lagoas do Norte" to sensitize the population to environmental issues; waste collection and recycling workshop for youth; campaigns to combat diseases caused by inadequate sanitary and environmental habits; afforestation along residential streets and incentives for planting backyard seedlings.</p>
6.	<ul style="list-style-type: none"> Impoverishment associated with loss of property or sources of income; 	<p>Compensation options offered under the Project allow resettled people to improve their houses and living conditions in accordance with Bank policy. Following OP/BP 4.12, the Project's RPF and subsequent five approved RAPs were based on the principles that people whose productive activities are disrupted or reduced as a result of Project-related impacts would be compensated for these losses at full replacement cost in order to enable them to rebuild their lives in the shortest possible period of time. Affected properties are assessed and</p>

No.	Claim	Responses
		<p>compensated according to their use (housing only, commerce/economic only, mixed use). The area of properties used for commerce/economic purposes is compensated at a value 50 percent higher than the area used only for housing purposes, which is compensated at replacement cost. When Project-affected people' commerce/economic activities are affected and they choose a new housing unit in Parque Brasil as their compensation, they are allocated houses with additional space for reestablishing their commercial/economic activities on a priority basis.</p> <p><i>Project-affected people who need to be resettled under the Project will move to better and safer houses and will hold more secure land tenure rights.</i> The Project's resettlement instruments provide compensation for Project-affected people in accordance with and beyond the requirements of Bank policy and Brazilian laws. Owners are compensated at full replacement cost for their land, assets and the improvements they made to them. Squatters (those who have no recognizable legal right or claim to the land they are occupying) are compensated at 70 percent of the value of these lands and full replacement cost for the assets lost and improvements they made to them. Renters are eligible for resettlement assistance for a period of 12 months (cash compensation equal to BRL5,770.65, or USD 1,407.47). Benefiting the most vulnerable, the entitlements scheme also provides that Project-affected people (owners and squatters) whose asset values are below the threshold of BRL77,000 (USD 18,780) can choose between cash compensation for the actual value of their assets, monitored resettlement in houses they choose up to this threshold value (with title in their name), or a new house unit in their name in Parque Brasil. All Project-affected people are also provided with free transportation to their new houses for their furniture, goods, and all reusable materials they can salvage prior to the demolition of their old houses.</p> <p><i>There are livelihood restoration options dedicated to improving the living conditions of Project-affected people and local population, in general.</i> See response to Claim 5 above. During the Phase 1 Project, special actions were taken to restore the livelihoods of community vegetable gardeners and potters (See response to Claim 7 below). During the Phase 2 Project, the Project inaugurated the new São Joaquim Market, improving the labor conditions of artisanal fishermen; and intends to revitalize the "Polo Cerâmico" to improve labor conditions of potters.</p>
7.	<ul style="list-style-type: none"> The conditions offered for production of goods and services when moved from their places of origin 	<p><i>The Project aims to restore livelihoods so that Project-affected people can continue to work in their communities.</i> The Project includes efforts to support people in traditional occupations, such as pottery, fishing and small farms/gardens. It also</p>

No.	Claim	Responses
	and relocated to more disadvantaged sites;	<p>provides opportunities for Project-affected people to receive training in new occupations (See response to Claim 5).</p> <p>The social assessment carried out during the preparation of the Phase 1 Project in 2005 identified 150 people working at that time in illegal clay extraction in 50 fields in the lagoons for production of bricks. A second social diagnostic carried out during Phase 1 Project implementation in August 2011 noted the existence of 59 so-called “owners” of the clay extraction sites and 189 workers in clay fields in the area of the Project. An Anthropological Study, commissioned following feedback received from stakeholders under the Phase 2 Project in 2017 and concluded in 2018, assessed the potential impacts of the Project on cultural activities and traditional groups found in the Project area. It analyzed impacts on community vegetable gardens, artisanal fisheries, “vazanteiros” (small farmers growing products on river islands and in the ebb of the rivers), clay extraction fields located in the São Joaquim lagoon and pottery artisans located in the “Polo Cerâmico.”</p> <p>Potters: While pottery has a cultural history in the area, changes were necessary because traditional clay extraction was posing a health hazard to pottery workers, as well as polluting the lagoons and interfering with their natural drainage processes.</p> <p>The Project prepared a plan for livelihood and labor restoration for these social groups (“Projeto de Reassentamento Econômico e Social dos Oleiros do Poti Velho”) in response to the stopping of the clay extraction activities. This plan addressed the economic and social losses and included the following activities: (i) cash compensation of 59 so-called “owners” of the clay fields; (ii) payment of allowances equal to the minimum wage to 189 workers for four months; and (iii) seven job retraining courses offered to 106 workers.</p> <p>The Project will also support the revitalization of the “Polo Cerâmico” – a center of production and commercialization of clay arts and crafts. Livelihood restoration for the potters has focused on promoting clay extraction from other, high-quality deposits, with such extraction conforming to all applicable legislation. See response to Claim 5 for additional information on livelihood restoration for the potters.</p> <p>Fisheries: Potential adverse impacts on the livelihoods of the artisanal fishery have been addressed through the Project’s support to the revitalization of the São Joaquim Market (December 2017), aimed at improving the commercialization of fish previously sold by middlemen under poor hygiene conditions on sidewalks and street corners. Fishermen and</p>

No.	Claim	Responses
		<p>middlemen have benefited from the revitalization of the São Joaquim Market.</p> <p>Farming/vegetable gardens: To address potential adverse impacts on community vegetable gardeners, the Project has supported the creation of new community vegetable gardens in Mocambinho, Vila Carlos Feitosa and Vila Apolônia. Community vegetable gardeners were provided with courses on olericulture; the construction and maintenance of infrastructure; the acquisition of seeds, irrigation kits and other inputs and tools, as well as technical assistance provided by the Municipal Secretariat of Rural Development. More than 120 families have benefited from these activities. Similar activities are envisaged for those working in Vazanteiros and other community vegetable gardens in the Boa Esperança Avenue area that have not yet been affected by the Project. In 2017, the Vazanteiros were organized into a producer's association composed of 50 families so that they could better represent their interests and improve their livelihoods.</p> <p>The Contractor's ESMPs prepared for each of the works supported by the Project address potential temporary adverse impacts related to the construction stage. They include a robust strategy of communication with neighboring communities and safety and accessibility measures. For example, it is required that, in each street, one lane and one sidewalk remain open to the flux of pedestrian and vehicles, reducing impacts on local commerce and activities by street vendors.</p>
8.	<ul style="list-style-type: none"> Effect on community-based social networks and institutions now serving families that will be displaced, leading to dispersion of family groups and launching an attack on the cultural identity of the people who founded the city of Teresina; 	<p><i>Social networks, family and neighborhood ties have been considered in the resettlement process.</i> The Project has taken careful account of existing social networks and impacts as described in the documents. Initial social assessments mapped participation in community-based organizations. For example, the final evaluation of resettlement activities carried out during the Phase 1 Project showed that 77 percent of Project-affected people perceived that their family and social networks had improved. Their existing social networks were kept intact because they were moved to a nearby area. As indicated in the response to Claim 1 above, during the Phase 2 Project, the compensation options for resettlement have included the monitored resettlement option for those Project-affected people who choose to remain close to the area. The Phase 2 Project has identified 200 houses available for sale in nearby areas within the ceiling value of monitored resettlement. As noted in the response to Claim 5, the area selected for the construction of the new housing units (Parque Brasil) is closely located to the areas of intervention. Families that choose this alternative will have the option to be located in houses and apartment buildings near to one another to keep their social ties and networks intact. The PMU is planning social work activities to promote social</p>

No.	Claim	Responses
		<p>interaction and community organization. Under Component 3, the Project has also been supporting activities to strengthen community associations and civil society organizations as well as to improve the access of families to social programs.</p> <p><i>Cultural issues have been taken into consideration in Project design and implementation (see response to Claim 5).</i></p> <p>The 2018 Anthropological Study was commissioned during Phase 2 Project implementation, following feedback received from stakeholders during the environmental licencing process. It identified the following cultural activities/traditional groups in the territory: African Religions, ceramic crafts, artisanal fishery, the “Bumba Meu Boi” dance, community vegetable gardens, religious woodcrafts and small farmers sowing on ebb rivers (i.e., in areas along the rivers when the floods recede). The Anthropological Study assessed potential positive and negative impacts of the Project activities on cultural traditions, which included potential adverse impacts on four households that serve as places of worship for Afro-Brazilian religions, “Terreiros de Umbanda or Candomblé”. The ESIA and RPF/RAPs state that, where houses of worship for Afro-Brazilian religions need to be demolished, the Project will provide replacement houses; to date, two houses with places of worship for Afro-Brazilian religions have been resettled. The affected people were relocated in houses and received additional compensation to continue their activities. Their new places of worship have been consecrated following all required rituals. Ritual services have continued in the new locations.</p> <p>The Anthropological Study also recommends a management action plan in compliance with Brazilian legislation on cultural heritage, including four programs: (i) heritage education program; (ii) cultural reference registration, inventory and patrimonialization program; (iii) institutional strengthening program; and (iv) monitoring program. The management action plan is being implemented by the PMU, with support from the supervision firm that has hired an archeologist, and will be monitored by the National Institute for Historical and Artistic Heritage – <i>Instituto do Patrimônio Histórico e Artístico Nacional</i> (IPHAN, the federal agency responsible for protection of cultural heritage).</p>
9.	<ul style="list-style-type: none"> Alternatives to avoid involuntary resettlement; 	<p><i>Viable Project design alternatives to minimize resettlement without compromising the safety of the population have been and continue to be considered.</i></p> <p>The conceptual design of seven of the eight civil works activities under Phase 2 are based on the results of the 2014 updated hydrologic and hydraulic study for the entire drainage system of the Lagoas do Norte Region, which determined the optimal level of the water in the lagoons, taking into account</p>

No.	Claim	Responses
		<p>social and environmental considerations (including water quality), the operation of the lagoons and provisioning for a buffer area that can absorb flooding with a 25-year return. The analysis of alternatives for the establishment of the APP around the lagoons led to adoption of the “landscape window” concept, taking into account the need to minimize resettlement.</p> <p><i>Analysis of alternatives for the drainage system:</i> In 2005/06, the flooding situation in the northern lagoon region was studied, based on hydrological and hydraulic analysis, which evaluated intervention scenarios in the lagoon and canal system to strike a balance between flood risk reduction and resettlement needs. In order to maximize the flow capacity of the lagoons, it was necessary to increase the pumping capacity from Oleiros lagoon to the Parnaíba river. As a result, during the Phase 1 Project, a pumping station with an additional capacity of 8 m³/s was installed adding to the existing capacity of 2 m³/s.</p> <p>During the preparation of the Phase 2 Project in 2014, Tucci and Souza, in a study entitled “Inundation Control and the Maintenance of the levels of the Lagoas do Norte Region: Hydrologic and hydraulic simulations of the flooding scenarios,” reevaluated the macro-drainage global system and the Lagoas do Norte Region using various scenarios. As per Brazilian legislation, the macro-drainage system was designed for a 25-year return period. The study aimed at simulating and projecting a 25-year risk of flooding conditions in the lagoons of the system that flow into the Oleiros lagoon. Many scenarios were studied for the system, which permitted the authors to obtain the maximum inundation levels for the 25-year return period in the lagoons.</p> <p>This 2014 study determined that the maintenance of the 55-m level in Oleiros lagoon was the most appropriate operational scenario, because it minimizes the need for resettlement on the banks of the lagoon and allows the water level to be maximized in the beginning of the dry season. The study also verified the scenario for a 50-year outflow during the period of high discharge.</p> <p><i>Analysis of alternatives for the establishment of the APP:</i> Lagoons and their riparian areas are protected by Brazilian environmental legislation. The APP means the protected area or buffer zone, covered or not by native vegetation, with the environmental function of preserving water bodies, the landscape, geological stability and biodiversity; facilitating the gene flow of fauna and flora; protecting the soil; and ensuring the well-being of human populations.</p> <p>As shown in the ESIA, two different alternatives were also analyzed for the establishment of the APP around the lagoons</p>

No.	Claim	Responses
		<p>to avoid further encroachment: Alternative 1, the rehabilitation of the APP of the lagoons with a strip 30 m wide as measured from the maximum level of the lagoon, with the addition of a 10 m strip for sanitation facilities, road access, etc.; and Alternative 2, the rehabilitation of the APP of the lagoons based on an urban design³ that makes provisions for already consolidated housing structures within the APP using a “landscape windows” design. The second alternative was adopted because of the significant reduction in the need to relocate families estimated at the time of this analysis at 763 households fully affected, and 131 households partially affected, vis-à-vis 1,214 fully affected and 65 partially affected under the first alternative.</p> <p><i>Analysis of alternatives for the design of the civil works for strengthening of the Boa Esperança and Mocambinho dikes (Works No. 6) is ongoing.</i></p> <p>Considering the critical importance of the operation and maintenance of the Boa Esperança and Mocambinho dikes for the Project, an independent dam safety panel of experts (PoE) was established in 2005 during the preparation of the Phase 1 Project to assess the stability and safety of these dikes (in line with OP/BP 4.37 on Dam Safety). The PoE visited the site in January 2006 and examined the state and inclinations of the slopes of the dikes and recommended the removal of houses built on crest of the Boa Esperança dike and between it and the river, among other measures.</p> <p>During the preparation of the Phase 2 Project, a new PoE was established in 2015 to review and update the safety assessment carried out during the Phase 1 Project in light of developments that had occurred since 2006 (such as the 2008 floods in the Parnaíba and Poti Rivers, the adoption of an urban drainage master plan for Teresina, the increased pumping capacity of the Boa Esperança station and the 2015 risk assessment of the dikes conducted by the Geological Service of Brazil), and taking into consideration a proposal to widen Boa Esperança Avenue. The specific objectives of this work was to: (i) review and assess the current status of the dike in terms of stability and safety, (ii) evaluate the pumping station investment carried out in Phase I Project along the dike and determine whether any further work would be needed to guarantee the safety and stability of the dike, and (iii) review the detailed engineering designs that were still under preparation and assess whether these would have any impact on the stability or safety of the dike. The PoE completed its assessment in February 2016 and</p>

³ In keeping with the criteria set forth in the decision of the National Council for Environment – *Conselho Nacional de Meio Ambiente* (CONAMA Decision 396/2006), further replaced by the Forest Code 12,651/2012; and the National law 11.977/2009 – Minha Casa Minha Vida Program.

No.	Claim	Responses
		<p>its 2015/2016 report also concluded that the housing and other structures built on the dikes' crest and slopes represented a risk of potential damage to the integrity of the dikes, which could lead to weakening of its structure in the medium to long term, and a risk of piping.⁴</p> <p>At the request of the MPE, between 2017 and 2018, the same PoE conducted a second review to evaluate the potential alternatives suggested by the community, namely the widening of the Boa Esperança Avenue and the moving of the axis of the dike closer to the banks of the Parnaíba River to avoid the removal of houses, and produced another report. The 2017/2018 report determined that for the purposes of maintaining the safety and geotechnical stability of the dike, the occupation of the external portion of the Boa Esperança dike (between the dike and the Parnaíba River) represented a high risk to the dike's structural integrity and safety, and for this reason those living in this area should be relocated.^{5,6} The PoE also concluded that the alternative of moving the axis of the dike to avoid the removal of houses was not feasible, because of the difficulties involved due to the existing paleochannels along the Parnaíba River's left bank and high costs of both investment and maintenance.</p> <p>The 2017/2018 PoE review also concluded that the Boa Esperança dike was not in accordance with safety criteria⁷ due to the existing interference in the slopes, such as construction of foundations to support houses and commercial establishments, drilling of water supply wells and digging of sanitation pits. (See Figures 2 and 3.) In addition, the PoE recommended raising the Boa Esperança dike's freeboard by 1 meter above the 1985 water mark to sustain a peak flood equivalent to the 100-year flood.</p> <p>In February 2019, during a Bank supervision mission, two courses of action were discussed with the Municipality: proceed with the rehabilitation of the dike as per the recommendation of the PoE, including the resettlement of families; or conduct additional studies to analyze other alternatives to rehabilitate the dike and increase security while</p>

⁴ Piping starts when there is a difference in water levels, resulting in the uplift of the blanket layer on the inside of the dike. A groundwater flow then washes away the sand below the dike. The result is a pipe which undermines the dike, leading to a possible failure

⁵ Municipality of Teresina. 2017. *Third Dam Safety Panel of Expert - Part 1 Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2017.pdf>

⁶ Municipality of Teresina. 2018. *Third Dam Safety Panel of Expert - Part 2 Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2018.pdf>

⁷ National and international technical guidelines for safety of dams including hydrologic, hydraulic and geotechnical criteria.

No.	Claim	Responses
		<p>aiming at minimizing resettlement. The Municipality opted for the second course of action. Currently, a consulting firm retained by the Borrower is reviewing alternatives based on new surveys/assessments to further minimize resettlement needs where viable and while ensuring the safety of the local population. The review will be completed by end-December 2019 and will be consulted upon with the communities. In addition, the Project will support the development of non-structural measures to minimize risks to the population, such as an early warning system and emergency action plan, as recommended by the PoE.</p>
10.	<ul style="list-style-type: none"> Possibilities for participation in the benefits afforded by the project; 	<p><i>The Project intends to benefit local residents by ensuring flood protection, improving the water quality of the lagoons, increasing access to environmentally clean leisure areas, and improving access to water and sanitation. In addition, the Project promotes opportunities for training, cultural activities, gender and youth-related incentives.</i> The Project supported the creation of Lagoas do Norte Park and Mocambinho Park and the rehabilitation of the Encontro dos Rios Park, all of which provide free access to the population.</p> <p>The Project has also supported key studies/plans that have had an impact on the city as a whole, such as the Drainage Master Plan, Water and Sanitation Master Plan; Transport and Urban Mobility Master Plan; capacity building and modernization of the municipal government.</p> <p><i>Project component 3 provides for training, scholarships, job retraining classes, etc., to both residents and affected people. See responses to Claims 5 and 7.</i></p> <p><i>The Project includes targeted support to assure women also benefit from these activities.</i> Female-headed households comprise a large number of the Project-affected people in the Lagoas do Norte Region. As further addressed in the response to Claim 13, Management would like to underscore that the Project – under Component 3 – includes support to several activities geared towards gender. These activities include: (i) professional training (civil construction, auto mechanics, hairdresser) and women’s labor market insertion (ongoing); (ii) a diagnostic of violence against women (completed); (iii) capacity building activities of municipal employees to assist women victims of violence and the improvement and standardization of procedures for providing assistance to women victims of violence in the municipal care centers (ongoing); (iv) job retraining of women victims of violence (planned); and (v) activities strengthening the Municipal Secretariat of Women's Rights.</p>

No.	Claim	Responses
		<p>As previously mentioned, between 2016-2018, 87 overall community activities were held in the Lagoas do Norte Park. They include: (a) 25 community meetings; (b) 25 workshops on environmental aspects; (c) cultural activities for students and children; (d) workshops and training for women affected by the Project (see Claim 14).</p>
11.	<ul style="list-style-type: none"> • Opportunities for participation in planning and implementation of the resettlement program, to have their demands be heard and responded to so that they are assisted in their efforts to restore their living conditions if the alternative of improving those conditions prevails; 	<p><i>As described above, the Project has designed and implemented a process for stakeholder engagement, consultation, and participation of Project-affected people in Project activities throughout all phases of the Project (See response to claim 2).</i> Multiple channels of communication are open with the community to ensure meaningful engagement and participation of Project-affected people in Project activities, and to provide an avenue for residents to raise questions and concerns about efforts to restore the living conditions of people who are resettled. Several rounds of consultations were held during the preparation of the RPF and subsequent RAPs to ensure that Project-affected people could express their views and preferences regarding compensation and livelihood restoration options.</p> <p><i>Project-affected people' concerns raised during public hearings and other instances of consultations and participation led to changes in Project design and a reduction of the number of people to be resettled (See response to claim 3).</i></p> <p>The Project also promotes active engagement with, and participation of, residents through the UPS and Mobilization Committee (see response to claim 2).</p> <p><i>The Project has established a grievance redress system with multiple channels available to Project-affected people to submit complaints.</i> The main complaint redress mechanism that can be used by the population is the COLAB phone application, which is the official channel of the Municipality for receiving complaints. COLAB was established in 2017 and has received thus far 18,279 complaints from Teresina's residents. Only nine of these complaints concerned the Phase 2 Project and such complaints raised concerns mainly related to lack of maintenance of public infrastructure and traffic incidents in the region of Parque Lagoas do Norte, all of which have been addressed. No resettlement related complaints have been received by COLAB.</p> <p>Within three days of receiving the complaint, COLAB assesses it to refer it to the Municipality department that is competent to address the issues raised in the complaint. The department has 23 days (3 days for assessment, 20 for resolution) to take actions to solve the complaint. The complainant receives an acknowledgement of receipt and a communication that the</p>

No.	Claim	Responses
		<p>issues has been resolved. During the resolution process, COLAB maintains communications with the complainant.</p> <p>Prior to the adoption of COLAB, the UPS was a “one-stop-shop” placed in the Project area as the GRM to resolve issues and complaints and to answer citizens’ questions, and this role is still being played by the UPS. The Municipality’s Ombudsman is also an integral part of the GRM.</p> <p>Complaints received by the UPS are registered in a complaint registry. Complaints are referred to the PMU to be addressed. The PMU may also refer complaints to the competent office in the Municipality, depending on the subject matter of the complaint. The Mobilization Committee also receives complaints from Project-affected people.</p> <p><i>Management has assessed the effectiveness of the GRM system and has suggested improvements to ensure that complaints are assessed and reviewed in a timely manner, communication with the complainant is maintained throughout the complaint handling process and an appeal process is available.</i></p> <p>Suggested improvements are:</p> <ul style="list-style-type: none"> - COLAB to ensure that communication is maintained with the complainant during the complaint resolution process. - UPS to liaise directly with the community and log complaints received into the COLAB system, which will then be referred them to the Municipality’s office responsible to handle complaints. - Members of the UPS and the Mobilization Committee to receive training on handling complaints. - The PMU to further disseminate information on the GRM system and process. - The Municipality Ombudsman to continue to be an appeal avenue.
12.	<ul style="list-style-type: none"> • [sic] The conditions under which the affected population lives, used as basis for finding ways to recover their livelihood; 	<p><i>As required under Bank policies, a socioeconomic and baseline survey was conducted for each area as part of the preparation of each RAP.</i> The socioeconomic analysis covered all aspects relevant to the development of the resettlement program to ensure that it addresses and safeguards against impoverishment risks and enables affected people to share in the Project benefits. The analysis evaluated, among other things, family composition, gender aspects, income generation activities, structures and their use by affected people (residential, commercial).</p> <p>A baseline survey of the overall Project area was also conducted in 2012 to gather information on the conditions and</p>

No.	Claim	Responses
		<p>quality of life of the overall population of the Lagoas do Norte Region. The analysis focused on environmental and social sustainability.</p> <p>This data serves as the basis to monitor and evaluate the implementation of the resettlement, including the livelihood restoration program. Ex-post monitoring and evaluation are developed in a process parallel to the resettlement planning and execution phase, as these processes aim to verify that the objectives, action plan and policy of the RAP are being met. <i>Management has requested the Municipality to ensure that the ex-post evaluation includes livelihood restoration (commercial activities and access to employment), access to services including health, education, public transport and social network in resettled, remaining and host communities.</i></p> <p>While the RAP does not provide specific mitigation measures to restore livelihoods, other studies, such as the Anthropological Study and the study entitled, O Projeto Sócio – Ambiental: Participação Popular e Controle Social (volumes I and II), do outline measures to support resettled Project-affected people to improve or at least restore their livelihood conditions, as described in the responses to Claims 6, 7 and 8. <i>Management has requested the Borrower to improve and update the description of the livelihood restoration program in the updated RAPs.</i></p>
13.	<ul style="list-style-type: none"> Participation by the involved families, considering the principle of shared property between women and men, in the assets and in negotiations concerning the alternative modes of compensation inherent in the planning and implementation of any kind of resettlement; 	<p><i>Women are favored in the negotiations concerning the alternative modes of compensation and in the planning and implementation of resettlement.</i></p> <p>The Project follows Laws 11977/2009 and 12693/2012, which rules that all contracts under <i>Minha Casa Minha Vida</i> shall give preference to registering the house in the name of the woman.</p> <p>The Law 1263/2012 also establishes that in case of divorce, the house shall be registered in the name of the woman (except when the man gains full custody of the children, in which case the property should be registered or transferred to him). The census of affected families identifies the gender of the household head. For example, the RAP for Works No. 2 identified that in affected households, women represent 77 percent of heads of household.</p> <p>For the houses financed under the <i>Minha Casa Minha Vida</i> program, such as those in Parque Brasil, property titles for new houses are preferably registered in the name of women. If the house is in an area that is not part of the program, the titles are issued in the name of both spouses.</p> <p>For example, the RAP for Matadouro, dated March 2017, on page 10, section 2.6.1 states that “The head of the household is considered to be <u>the person responsible for making decisions</u></p>

No.	Claim	Responses
		<p><u>regarding domestic life</u>”, showing that the RAP was well thought out, and had a progressive and inclusive approach in its preparation. The following baseline information disclosed in the RAP shaped the instrument: ”it was found that 65 percent of families are headed by women and 29 percent by men, revealing the predominant role of women in leading the lives of these families” (page 11).</p> <p>In the case of cash compensation and monitored resettlement, the compensation goes to the married couple.</p> <p><i>The Project promotes the institutionalization of an integrated gender mainstreaming approach that aims at promoting female empowerment, inclusion and protection.</i></p> <p>In particular, under Component 3: Social and Economic Development in Lagoas do Norte Region, the Project supported a participatory Crime and Violence Diagnostic, which informed the development and implementation of a Municipal Violence Prevention Plan, with a special focus on gender-based violence, that was also financed by the Project. These activities were accompanied by a series of capacity-building events with a strong focus on youth and gender-based violence, which also contributed to institutionalize an integrated gender approach to social and economic development (2017-2019). This component also includes a cross-cutting project, “Teresina Mais Mulher,” in the process of implementation, which aims at empowering and protecting women from the most vulnerable areas of Lagoas do Norte by providing ongoing job training in areas of high demand in the city, such as construction and information technology; promoting public awareness about domestic violence; and providing psychological and judicial support to victims of violence.</p> <p>Component 3 also included specific capacity-building activities for the Municipal Secretary for Women’s Policies (SMPM), in charge of ensuring gender mainstreaming across municipal policies and responsible for specific programs focused on providing support to women survivors of domestic violence.</p> <p>During implementation of the Phase 2 Project, a Diagnostic of Violence Against Women in Teresina was undertaken between 2017 and 2018. This was the first thorough analysis carried out in the city on this issue. The study served as an input to the development of Teresina’s Municipal Plan for Women’s Policies, as well as to the overall strategy and action plan followed by the SMPM. This included a stocktaking analysis of current services available to victims and recommendations on how to fill the gaps in service provision. The Project has recently hired a new consultant firm to continue to provide technical assistance support to the SMPM in the areas</p>

No.	Claim	Responses
		identified as gap priorities by the diagnostic (e.g., monitoring and evaluation of services provided to victims of violence).
14.	<ul style="list-style-type: none"> • Mandatory payment of compensation prior to resettlement; 	<p><i>The RPF and the five approved RAPs clearly require payment of compensation at full replacement value prior to any resettlement.</i> The Borrower has kept records documenting the payment to all eligible Project-affected people of compensation at full replacement value (in one installment) in advance of vacating the property. As indicated in the RPF and RAPs, after payment of compensation is made to eligible Project-affected people, they have up to 15 days to vacate the property, which can be extended upon the request of the Project-affected people on a case-by-case basis.</p>
15.	<ul style="list-style-type: none"> • Need for legal advisory services during negotiation of compensation; lack thereof has resulted in unfair appraisals of property and real estate that were not even conducted in advance. The replacement cost method, which should include transaction costs, was not adopted. 	<p><i>The provision of legal services during the negotiation of compensation is not a requirement under Bank policy.</i> Nevertheless, the Project's RPF and the five approved RAPs set out, as a matter of good practice, the option of provision of legal support to Project-affected people, free of charge, during the negotiation of compensation. The RAPs further state that Project-affected people can also avail themselves of the support of lawyers or the Public Defender's Office (an independent public institution mandated to provide legal assistance to poor households) to obtain legal support. The possibility of requesting legal support during negotiation of compensation is an option that is widely publicized among Project-affected people, including through Project Q&A brochures provided to Project-affected people during public consultations (see Annex 6). In this regard, Project-affected people have already benefited from different forms of free legal support under the Project, including through the successful use of independent mediation services paid by the Project, which have been provided by lawyers from OAB, during negotiations for payment of compensation for involuntary resettlement. Finally, the Municipality has confirmed to Management its commitment to continue to offer the possibility to Project-affected people of obtaining legal advisory services, free of charge, during ongoing and future compensation negotiations, as stated in the RPF and RAPs.</p> <p><i>The principle of full replacement cost, in line with OP 4.12, has been reflected in all Project documentation, including in the RPF and the five approved RAPs, and consistently applied in the compensation packages offered under the Project.</i> Even though an explicit reference to the inclusion of "transaction costs" in the calculation of replacement cost is not made in all Project resettlement instruments, all these costs have been covered by the Project or waived. Nonetheless, to avoid any doubt, the Bank has requested the Borrower to update all</p>

No.	Claim	Responses
		<p>Project resettlement instruments to ensure that such an explicit reference is incorporated therein.</p> <p><i>The Bank has seen no evidence to date that “unfair appraisals” of assets were conducted and considers that the principle and methodology of full replacement cost has been consistently used in the Project, in line with OP 4.12.</i> The Bank has reviewed a sample of compensation packages (all three compensation options) provided to eligible Project-affected people and found that such packages were adequate to replace the assets lost. Management will request the Borrower to review and explain any allegedly <i>unfair appraisal</i> brought to its attention.</p>
16.	<ul style="list-style-type: none"> Families who do not have legal title to the property (squatters) and families or individuals who have no legal right to the land (renters, assignors, tenants, street vendors or informal salespeople) are going to lose the right to access and use a portion of the land (because of the start of construction). 	<p><i>The resettlement entitlements (compensation and assistance) being offered to all eligible Project-affected people (including but not limited to squatters, or renters/tenants) under the Project, as set out in the RPF and RAPs, are in line with OP 4.12.</i> For example, in the case of squatters, the RAPs provide not only for compensation at full replacement cost for loss of assets (including compensation for improvements and option to salvage and transport assets free of charge), but also compensation for 70 percent of the value of the land that they are occupying, whereas OP 4.12 does not stipulate land compensation in the case of Project-affected people without legal title.</p> <p>In the case of renters and assignors, they receive rental allowances equivalent to 12 months’ worth of rental and free transportation for assets owned.</p> <p>Regarding temporary displacement impacts, the ESMPs prepared for each of the works supported by the Project address potential temporary adverse impacts related to the construction stage. They include a robust strategy of communication with neighboring communities and safety and accessibility measures. For example, it is required that, in each street, one lane and one sidewalk always remain open to the flux of pedestrians and vehicles, reducing impacts on local commerce and activities by street vendors and informal salespeople.</p>
17.	<ul style="list-style-type: none"> Let the Lagoas do Norte Park be devoted to those who already live near its space! We are certain that this will involve less financial cost and produce greater social value. 	<p><i>The Lagoas do Norte Park is open to all residents, including those that will be relocated due to the Project.</i> First, the residents are served by the flood management functions of the Lagoas do Norte Park. It protects the lagoons by helping to assure their capacity to absorb seasonal flooding, reducing the region-wide frequency and severity of flooding events. Second, the Lagoas do Norte Park provides a recreation area to all residents of Lagoas do Norte. Said Park has 13.2 hectares of recreational area (a total of 25.7 ha including the area of the lagoons). This Park is open to the public at all times. In addition, the 4.8 ha Mocambinho Park is surrounded by fences</p>

No.	Claim	Responses
		<p>for public security, although the three public entry gates are open from Tuesdays through Sundays, 5:30-11am and 3-9pm and on Mondays 5:30-10am (Mondays are also used for maintenance purposes). Finally, resettled households can remain in proximity to the Park. For households opting for relocation to Parque Brasil, the complex would be approximately 8 km from the Lagoas do Norte Park and 5 km from Mocambinho Park, with ready access by bus as well as other private means of transportation. Resettled households choosing monitored resettlement or cash compensation can opt to locate within the same area with good proximity to the Park. A survey was carried out in August 2018 when more than 200 houses were identified as available in the Project area with potential to be acquired by the affected families.</p>

Annex 2. Summary Tables of Status of Works and Related Environmental and Resettlement Plans under the Phase 2 Project

Works Contracts	Neighborhood	Status of the Designs	RAP Prepared Bank NO Date Published WB	Environmental Management Plan Date Published WB	Works Sections as of Sept. 5, 2019 ¹	Status of the Works/RAP Implementation	Estimated number of properties affected as of Sept. 5, 2019 ²
MOCAMBINHO	Mocambinho	Completed	Yes Mar-17 Mar-17	Oct-16	Mocambinho	RAP fully implemented. Works completed.	1
MATADOURO	Matadouro	Completed	Yes Jul-17 Mar-17	Sept-19	Matadouro	RAP under implementation. Works second phase contracted. Works Environmental and Social Plan submitted for Bank no objection.	36
Works No.1 (E1)	São Joaquim and Nova Brasília	Completed	Yes Jul-18 Feb-19	Sept -19	Section 1	RAP being negotiated in Sections 2 and 3. Works contract signed. Works Environmental and Social Plan was approved. Works have not started yet.	0
					Section 2		76
					Section 3		104
Works No.2 (E2)	Mafrense	Completed	Yes Jan-19 Feb-19	Sept-19 ³	Section 1	RAP being negotiated in Section 1. Negotiations have not started yet in Section 2. Works contract signed. Environmental and Social Plan was submitted for Bank NO. Works in Section 1 have not started yet. Section 2 activities have not started.	60
					Section 2		61
Works No.3 (E3)	São Joaquim and Olarias	Completed	Yes Feb-19 Feb-19	Sept-19	Section 1	RAP being negotiated in Section 1. Works are being procured. Section 2 has not started RAP implementation.	68
					Section 2		171
Works No.4 (E4)	Mafrense and Olarias	Still being finalized	No - -	-	Polo Cultural	Awaiting final designs to prepare the RAP, the ESMP and the bidding documents.	152

¹ The original RAPs are being revisited to include the works sections consistent with current planning and the revised estimate of Project-affected people based on the current updated census.

² These numbers are subject to revision as the designs for some project activities are still under review in an effort to further reduce the number of families to be resettled. The establishment of the cut-off date of October 14, 2019 might also lead to an adjustment of the number, as the census is being updated.

³ The ESMP was approved by the Bank but not disclosed.

Works Contracts	Neighborhood	Status of the Designs	RAP Prepared Bank NO Date Published WB	Environmental Management Plan Date Published WB	Works Sections as of Sept. 5, 2019 ¹	Status of the Works/RAP Implementation	Estimated number of properties affected as of Sept. 5, 2019 ²
Works No.5 (E5)	Mafrense	Completed and submitted for Bank no objection	Yes - -	-	Piçarreira	Waiting for the RAP and ESMP to be reviewed and approved by the Bank to start the bidding process.	94
Works No.6 (E6) for the Dikes Safety	São Joaquim, Poti Velho and Olarias	Alternatives are being studied	No - -	-	Boa Esperança Avenue	Waiting alternative designs to be developed. Then, RAP, ESMP and bidding documents will be prepared.	174
							997

Annex 3. List of Documents Available in Files

- Geological Services of Brazil. 2015. *Mapping of Risk Areas and Natural Disasters – Boa Esperança Avenue between Rua Minas Gerais and Pesqueirinho Restaurant*. Ministry of Mines and Energy. [https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/ESTUDO CPRM Detalhamento-Poligonal.pdf](https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/ESTUDO_CPRM_Detalhamento-Poligonal.pdf).
- Municipality of Teresina. 2006. *First Dam Safety Panel of Experts Final Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2006.pdf>
- Municipality of Teresina. 2012. *Baseline Report of the Lagoas do Norte Program*. Prepared by Tecnometrica. Teresina. <http://semplan.35.193.186.134.xip.io/wp-content/uploads/sites/39/2015/05/PLN-ESTUDO-DE-LINHA-DE-BASE-2013.pdf>
- Municipality of Teresina. 2012. *Urban Drainage Master Plan for the Municipality of Teresina*. Prepared by Concremat Engenharia. [http://semplan.35.193.186.134.xip.io/wp-content/uploads/sites/39/2014/09/PDDrU THE VF TOMO01 impressao.pdf](http://semplan.35.193.186.134.xip.io/wp-content/uploads/sites/39/2014/09/PDDrU_THE_VF_TOMO01_impressao.pdf)
- Municipality of Teresina. 2014. *Flood Control and Maintenance of Lagoons Levels in Lagoas do Norte Region – Hydrological and Hydraulic Simulation of Floods*. Prepared for the Planning and Coordination Secretariat of the Municipality of Teresina by C. Tucci. C. and R. Souza.
- Municipality of Teresina. 2015. *Public Audience March 2015 – Second Phase of Lagoas do Norte Program*. <http://semplan.35.193.186.134.xip.io/wp-content/uploads/sites/39/2014/10/Lagoas-do-Norte-audi%C3%Aancia-p%C3%ABlica-dia-17-de-mar%C3%A7o.pdf>
- Municipality of Teresina. 2016. *Plan of Basic Sanitation for Teresina*. Prepared by DRZ Geotecnologia e Consultoria. Teresina. <https://semplan.teresina.pi.gov.br/plano-municipal-de-saneamento-basico/>
- Municipality of Teresina. 2016. *Second Dam Safety Panel of Experts Final Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2016.pdf>
- Municipality of Teresina. 2017. *Third Dam Safety Panel of Expert - Part 1 Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2017.pdf>
- Municipality of Teresina. 2018. *Third Dam Safety Panel of Expert - Part 2 Report*. Teresina. <https://semplan.teresina.pi.gov.br/wp-content/uploads/sites/39/2019/09/Painel-de-Seguranca-2018.pdf>
- Plano de Reassentamento Involuntário para Canal do Matadouro of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Resettlement Plan*. Washington, DC: World Bank, 2017. <http://documents.worldbank.org/curated/en/109651499878835889/pdf/SFG3507-RP-PORTUGUESE-P088966-PUBLIC-Disclosed-7-12-2017.pdf>
- Plano de Reassentamento Involuntário para Mocambinho of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Resettlement Plan*. Washington, DC: World Bank, 2017. <https://projects.worldbank.org/en/projects-operations/document-detail/P088966>
- Plano de Reassentamento Involuntário para Pri Edital-1 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Resettlement Plan*. Washington, DC: World Bank, 2019. <http://documents.worldbank.org/curated/en/470721551242426024/pdf/PRI-EDITAL-1-P9.pdf>
- Plano de Reassentamento Involuntário para Pri Rua Manoel de Aguiar Filho - Trecho 2 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project:*

Resettlement Plan. Washington, DC: World Bank, 2019.

<http://documents.worldbank.org/curated/en/470721551242426024/pdf/PRI-EDITAL-1-P9.pdf>

World Bank. 2007. *Environmental Assessment of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/583721468021292553/pdf/E16180v20RAA04final053March306072.pdf>

World Bank. 2007. *Executive Summary in English - Environmental Assessment of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/585741468006635585/pdf/E16180exec0sum10final01March0301071.pdf>

World Bank. 2007. *ISDS Appraisal Stage of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Integrated Safeguards Data Sheet*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/357591468019776219/pdf/Integrated0Saf1et010Appraisal0Stage.pdf>

World Bank. 2007. *ISDS Concept Stage of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Integrated Safeguards Data Sheet*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/729341468239983724/pdf/Integrated0Saf1heet010Concept0Stage.pdf>

World Bank. 2007. *Project Information Document Appraisal Stage of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Project Information Document*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/539781468743767776/pdf/Teresina0PID010appraisal0stage.pdf>

World Bank. 2007. *Resettlement Policy Framework of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Resettlement Plan*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/808081468020061367/pdf/RP5480REVISED010final01March0301071.pdf>

World Bank. 2008. *Loan Agreement for Loan 7523-BR of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Agreement*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/750701468201238682/pdf/L75230BR0CONFORMED.pdf>

World Bank. 2008. *Project Appraisal Document of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Project Appraisal Document*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/457731468019778469/pdf/426680PAD0P08810only10SecM200810095.pdf>

- World Bank. 2011. *ISR Sequence No: 06 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/870971468767985746/pdf/P0889660ISR0Di022620111298759020520.pdf>
- World Bank. 2011. *ISR Sequence No: 07 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/568781468769194347/pdf/ISR0Disclosabl009201201341867195301.pdf>
- World Bank. 2012. *ISR Sequence No: 08 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/568781468769194347/pdf/ISR0Disclosabl009201201341867195301.pdf>
- World Bank. 2013. *ISR Sequence No: 09 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/957291468016759739/pdf/ISR-Disclosable-P088966-03-03-2013-1362357559943.pdf>
- World Bank. 2013. *ISR Sequence No: 10 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/445641468232150320/pdf/ISR-Disclosable-P088966-12-07-2013-1386465192174.pdf>
- World Bank. 2013. *Loan Agreement for Loan 7523-BR of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Agreement*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/414031468228875616/pdf/RAD15078280.pdf>
- World Bank. 2013. *Project Paper for Loan 7523-BR of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Project Paper*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/294031468015577986/pdf/798960PIRP0P080Box0379795B00PUBLIC0.pdf>
- World Bank. 2014. *Environmental Assessment Annexes for Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/421811468017449924/pdf/E46750v10EA0P10losed011012014000v10.pdf>
- World Bank. 2014. *Environmental Assessment for Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank.
<http://documents.worldbank.org/curated/en/774641468224700865/pdf/E46750v20EA0P10losed011012014000v20.pdf>
- World Bank. 2014. *ISDS Appraisal Stage for Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Integrated Safeguards Data Sheet*.

Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/754621468213580934/pdf/AppraisalISDS-Print-P146870-01-02-2015-1420235252208.pdf>

World Bank. 2014. *ISR Sequence No: 11 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/291411468020961379/pdf/ISR-Disclosable-P088966-07-19-2014-1405771874128.pdf>

World Bank. 2014. *ISR Sequence No: 12 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/541631468013206885/pdf/ISR-Disclosable-P088966-11-28-2014-1417222789765.pdf>

World Bank. 2014. *Resettlement Policy Framework for Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Resettlement Plan*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/341981468226149739/pdf/RP17040RP0P1460t0Instrument0P146870.pdf>

World Bank. 2015. *Executive Summary in English - Environmental Assessment for Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/338591468214488807/pdf/942700BR0P14680OUO0900SecM201500038.pdf>

World Bank. 2015. *ISR Sequence No: 13 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/142631468237284001/pdf/ISR-Disclosable-P088966-05-06-2015-1430929408526.pdf>

World Bank. 2015. *ISR Sequence No: 14 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/365561468015573045/pdf/ISR-Disclosable-P088966-11-16-2015-1447703636581.pdf>

World Bank. 2015. *Project Paper for Loan 8586-BR of Brazil – Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Project Paper*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/242131468233069560/pdf/Teresina-Restructuring-Paper-Nov-17-15-final.pdf>

World Bank. 2016. *ISR Sequence No: 15 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/340571468015056900/pdf/ISR-Disclosable-P088966-05-12-2016-1463060926126.pdf>

World Bank. 2016. *ISR Sequence No: 16 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/842131481987076524/pdf/ISR-Disclosable-P088966-12-17-2016-1481987066086.pdf>

- World Bank. 2016. *Loan Agreement for Loan 8586-BR of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Agreement*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/346981468020964164/pdf/RAD1035301880.pdf>
- World Bank. 2016. *Loan Agreement for Loan 8586-BR of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Agreement*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/430471468232160880/pdf/RAD1800469580.pdf>
- World Bank. 2016. *Loan Agreement of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Agreement*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/439501484772818255/pdf/ITK171540-201700181552.pdf>
- World Bank. 2016. *Plano de Controle Ambiental Lagoa do Mocambinho of Brazil – Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/492181570596123242/pdf/Plano-de-Controle-Ambiental-Lagoa-do-Mocambinho-Segmento-Uma.pdf>
- World Bank. 2016. *Project Paper Additional Financing of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Project Paper*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/664961467999720331/pdf/PAD1136-PJPR-P088966-R2016-0015-1-PUBLIC.pdf>
- World Bank. 2017. *ISR Sequence No: 17 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/120621498690188993/pdf/ISR-Disclosable-P088966-06-28-2017-1498690177162.pdf>
- World Bank. 2018. *Estudo Antropologico: Programa Lagoas do Norte - Etapa Segundo of Brazil – Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/494641569394833317/pdf/Estudo-Antropologico-Programa-Lagoas-do-Norte-Etapa-Segundo.pdf>
- World Bank. 2018. *ISR Sequence No: 18 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/235091513917347276/pdf/Disclosable-Version-of-the-ISR-BR-Municipal-APL-Teresina-Enhancing-Municipal-Governance-and-Quality-of-Life-Project-P088966-Sequence-No-18.pdf>
- World Bank. 2018. *ISR Sequence No: 19 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/794931530072199317/pdf/Disclosable-Version-of-the-ISR-BR-Municipal-APL-Teresina-Enhancing-Municipal-Governance-and-Quality-of-Life-Project-P088966-Sequence-No-19.pdf>
- World Bank. 2019. *Inspection Panel Notice of Registration of Brazil – Municipality of Teresina - Enhancing Municipal Governance and Quality of Life and Additional Financing Projects: Notice of Registration*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/359851569858270694/pdf/Brazil-Teresina-Enhancing->

[Municipal-Governance-and-Quality-of-Life-and-Additional-Financing-Projects-Notice-of-Registration.pdf](#)

World Bank. 2019. *ISR Sequence No: 20 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/604971546887248357/pdf/Disclosable-Version-of-the-ISR-BR-Municipal-APL-Teresina-Enhancing-Municipal-Governance-and-Quality-of-Life-Project-P088966-Sequence-No-20.pdf>

World Bank. 2019. *ISR Sequence No: 21 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Implementation Status and Results Report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/690851561091686969/pdf/Disclosable-Version-of-the-ISR-BR-Municipal-APL-Teresina-Enhancing-Municipal-Governance-and-Quality-of-Life-Project-P088966-Sequence-No-21.pdf>



World Bank. 2019. *Plano de Controle Ambiental Mazerine-São-Joaquim-Oleiros-Prioridade of Brazil – Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/603191568870759583/pdf/Plano-de-Controle-Ambiental-Mazerine-Sao-Joaquim-Oleiros-Prioridade.pdf>

World Bank. 2019. *Plano de Controle Ambiental Oleiros Oeste Edital 3 of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/999951568870897756/pdf/Plano-de-Controle-Ambiental-Oleiros-Oeste-Edital-3.pdf>

World Bank. 2019. *Plano de Controle Ambiental: Canal Matadouro of Brazil – Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Environmental Assessment*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/535941568870619898/pdf/Plano-de-Controle-Ambiental-Canal-Matadouro.pdf>

World Bank. 2019. *Plano de Reassentamento Involuntario para Pri Edital 3 Porcao Sudoeste da Lagoa dos Oleiros of Brazil - Municipality of Teresina - Enhancing Municipal Governance and Quality of Life Project: Resettlement Plan*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/421891569322362359/pdf/Plano-de-Reassentamento-Involuntario-para-Pri-Edital-3-Porcao-Sudoeste-da-Lagoa-dos-Oleiros.pdf>

Annex 4. Project Pictures









Records of Selected Flood Events	
Flood event of 1995 in the Project area	
Flood event of 2008 in the Project area	

Flood event
of 2018
reaching up
to the
“Encontro
dos Rios”
renovated
plaza













Flood event
of April 2019
in the Project
area







Works Supported by the Project		
Phase 1 Project - 2008 to 2012		
Description	Before	After
Conclusion of the cultural complex of the Teatro do Boi (capacity for 150 people)		
Cleaning of the Lourival and Cabrinha lagoons		
Cleaning of lagoon, improvement in urban mobility and canal edge urbanization		
Cleaning and environmental revitalization and urban improvement		

<p>Cleaning of lagoon and canal, and the reestablishment of the APP with a leisure park.</p>		
<p>Capacity building events</p>		
<p>Social activities in the Project area</p>		
<p>Socio-environmental education activities</p>		

Phase 2 Project – 2016-2022		
Description	Before	After
Mocambinho Lagoon	 <p>Google Earth</p>	 <p>Google Earth</p>  
“Encontro dos Rios” Square	 <p>Localização</p>  <p>Situação pretendida</p>	 
Orixás Square		
Resettlement examples		

<p>Resettlement: Olim 056- Antonio Nilson Lopes Cunha</p>	 <p>FIGURA 1</p>  <p>FIGURA 2</p>  <p>FIGURA 3</p>  <p>FIGURA 4</p>  <p>FIGURA 5</p>  <p>FIGURA 6</p>	 <p>FACHADA DO IMÓVEL</p> 
<p>Resettlement: Olim 012- Raquel Cardoso Da Silva</p>		
<p>Resettlement: Olim 595- Samara Jaqueline Lima Silva</p>		




Parque Brasil Housing Complex		
Status in September 2019		
Current status of Project-affected people not resettled yet		
Oleiros Lagoon area		

Records of Consultations and Outreach Sessions	
Records of meetings with the Project-affected people	

<p>Records of meetings with the Project-affected people at the PMU office</p>	 A group of approximately ten people are seated around a long white table in a meeting room. A presentation is projected onto a screen at the far end of the room, showing a close-up of a person's face. The room has white walls and a window with a metal grille.
<p>Meeting at a Project-affected person's house in the Mafrense neighborhood with affect families.</p>	 A man in a light blue striped shirt is standing and speaking into a microphone. He is positioned in front of a white tent. Several people are seated at a table in front of him, and a woman is seated to his right, looking towards him. The background shows a brick wall.
<p>Meeting at a Project-affected person's house in the Mafrense neighborhood with affect families.</p>	 A woman in a red dress is standing at a table covered with a white cloth, addressing a group of people. The setting is outdoors at night, with a white tent and a brick wall in the background. Several people are seated at tables, and the scene is illuminated by artificial lights.

Individual meetings
with Project-affected
people at UPS



Pictures of Dikes	
Mocambinho dike to protect the Project area from Poti River floods	 A wide, light-colored concrete dike runs diagonally from the foreground towards the background, separating a grassy area with some trees on the left from the Poti River on the right. In the distance, a bridge is visible across the river under a clear blue sky.
Boa Esperança dike to protect the Project area from Parnaíba River floods	 An aerial view shows a long, straight concrete dike running between a residential area with many houses on the right and the Parnaíba River on the left. The sky is overcast with grey clouds.
Family living between the Boa Esperança dike and the Parnaíba River – flood event of 2018	 A man in a red shirt and blue shorts stands on a narrow concrete path. To his left is a brick house with laundry hanging on a line. To his right is a flooded area with green vegetation and muddy water, illustrating the flood event of 2018.

Meeting of the two rivers – Parnaíba River on the bottom and Poti River up – and the “Encontro dos Rios” plaza (marked in red).



Annex 5. Consultation and Outreach Events

Number	Main topic of the discussion	Participants	Date
1	Elevação do greide da Av. Boa Esperança.	-	2/13/2004
2	Prefeito empossa membros do Fórum Lagoas do Norte.	PLN, Comitê Lagoas Norte, Secretários do Município. 30 a 50 municípios.	7/4/2014
3	Divulgação do Relatório de Avaliação Ambiental e Social (RAAS).	-	10/24/2014
4	Registro de apresentação do PLN, consulta pública, e apresentação do RAAS para a comunidade.	PLN, comunidade. 200 participantes.	11/6/2014
5	Esclarecimentos sobre o cadastramento de famílias para efeitos de desapropriação e propostas de remoção e reassentamento das famílias da Av. Boa Esperança do Bairro São Joaquim.	MPE, PLN, OAB/PI (CDH), Comunidade da Av. Boa Esperança. 20 a 30 participantes.	2/23/2015
6	Audiência pública sobre o Programa Lagoas do Norte destacando as realizações da fase 1 e proposições para fase 2.	PLN, Câmara de Teresina, MPE, Comunidade da Av. Boa Esperança. 150 a 200 participantes.	2/27/2015
7	Registro de apresentação do PLN no bairro Matadouro. Audiência proposta pela Câmara Municipal de Teresina	PLN, comunidade Matadouro. 30 a 50 participantes.	3/6/2015
8	Diálogo para esclarecimentos sobre o processo de desapropriação.	MPE, PLN, DPE, PGM(PMT), Câmara de Teresina, Comunidade da Av. Boa Esperança. 50 a 100 participantes.	3/17/2015
9	Continuidade dos diálogos entre a comunidade afetada e o PLN.	MPE, PLN, DPE, SPU, Comunidade da Av. Boa Esperança, CPRM, Câmara de Teresina, PGM(PMT). 50 a 100 participantes.	3/23/2015
10	Registro de apresentação do Programa Lagoas do Norte, fase 2, para os ceramistas da zona norte de Teresina.	PLN, ceramistas. 50 a 100 participantes.	3/26/2015
11	Registro da “Ação Cívico Social” no Parque Lagoas do Norte.	-	3/28/2015
12	Registro de diálogo com a comunidade sobre o planejamento da fase 2 do PLN.	-	4/10/2015
13	Registro de participação no evento “Sanear é Viver”.	-	4/13/2015
14	Registro de visita do Prefeito ao bairro Parque Alvorada.	-	5/2/2015

Number	Main topic of the discussion	Participants	Date
15	Registro de apresentação do PLN para o curso de Economia da UFPI.	-	5/6/2015
16	Registro de reunião de discussão sobre segurança no Parque Lagoas do Norte.	PM, PLN, comunidade	6/22/2015
17	Prefeito participa de posse do Comitê Gestor do Lagoas do Norte.	Prefeito de Teresina, Comitê Lagoas do Norte. 20 a 30 participantes.	6/30/2015
18	Prefeito participa de reunião com comunidade dos bairros Nova Brasília e Alto Alegre.	PMT, Câmara de Teresina, comunidades da Nova Brasília e Alto Alegre	7/5/2015
	VI Mostra de Teatro de Bonecos de Teresina – Parque Lagoas do Norte	-	7/29/2015
19	Informando a promoção do segundo Paineis de Segurança dos diques referente a segunda fase do PLN.	-	8/14/2015
20	Registro da apresentação do PLN na Semana Mundial da Água em Estocolmo.	-	8/21/2015
21	Registro de reunião de apresentação às lideranças comunitárias do bairro Mafrense sobre o PLN.	PLN, comunidade Mafrense. 5 a 10 participantes.	8/27/2015
22	Registro de participação do PLN em evento de gestão energética em sistemas de saneamento na Colômbia.	-	9/16/2015
23	Registro de reunião do Fórum Comunitário Lagoas do Norte de avaliação e monitoramento do Programa Lagoas do Norte.	PLN, Comitê Lagoas do Norte, Secretário da PMT. 30 a 50 participantes.	9/23/2015
24	Registro de apresentação do PLN aos alunos do curso de Arquitetura e Urbanismo do ICF.	-	9/29/2015
25	Registro de visita técnica às áreas de intervenção do PLN com alunos de engenharia.	PLN, UNINOVAFAP. 30 a 50 participantes.	10/7/2015
26	Apresentação do PLN na mesa de debates “Cidades, Comunidade e Desenvolvimento Urbano” durante o encontro Mambembe Teresina 2015 de estudantes de Arquitetura e Urbanismo.	-	10/18/2015
27	Registro de reunião com os pais, mães e filhos de santos sobre o projeto da Praça dos Orixás.	PLN, pais, mães e filhos de santos. 20 a 30 participantes.	11/4/2015
28	Registro de reunião com o Presidente da Associação Comunitária dos Moradores do bairro Mafrense.	-	11/4/2015
29	Registro da apresentação do PLN na Semana de Engenharia da Faculdade Santo Agostinho.	-	11/18/2015

Number	Main topic of the discussion	Participants	Date
30	Registro da apresentação do PLN do Painei “Resiliência Urbana na África – Perspectivas de Peritos e Gestores Públicos”.	Prefeito de Teresina, Banco Mundial, UNHabitat, ONU	11/19/2015
31	Registro da consagração do local onde seria construída a praça dos orixás.	-	11/23/2015
32	Apresentação do segundo Painei de Segurança dos diques.	DPE, Defesa Civil do Piauí, PGM(PMT), SDU-CN, Arsete, CREA, Chesf, CEF, 2 BEC, CPRM.	2/17/2016
33	Registro de audiência pública no bairro Nova Brasília para informar sobre os projetos do PLN.	PLN, MPE, Comunidade. 100 a 200 participantes.	2/20/2016
34	Destaque dos benefícios do PLN para Teresina.	-	2/27/2016
35	Diálogo com a comunidade para esclarecimentos sobre as futuras obras de reestruturação do dique boa esperança.	Arquidiocese (CDH), MPE, PLN, Prefeito de Teresina , IFPI, Comunidade da Av. Boa Esperança. 50 a 100 participantes.	3/11/2016
36	Registro do diálogo com a comunidade para esclarecimentos sobre as futuras obras de reestruturação do dique boa esperança no Palácio Episcopal.	-	3/11/2016
37	Informando sobre a fase 2 do PLN.	-	3/12/2016
38	Acompanhamento Social - PRI Canal Matadouro	-	5/11/2016
39	Registro de reunião com a comunidade do matadouro apresentando as intervenções sobre as obras do canal.	PLN, Comunidade Matadouro. 50 a 100 participantes.	5/14/2016
40	Registro de reunião com os permissionários do Mercado São Joaquim para discussão de sua gestão.	PLN, Permissionários do Mercado São Joaquim	5/20/2016
41	Registro de diálogo em audiência pública na Câmara Municipal de Teresina com a comunidade sobre o andamento do PLN. 12a. Audiência	PLN, Câmara de Teresina, Comunidade, UFPI, FSA, ICF. 100 a 200 participantes.	5/23/2016
42	Informando a realização do estudo antropológico da região do PLN.	-	5/25/2016
43	Registro de reunião com os permissionários do Mercado São Joaquim para preparação de sua inauguração.	PLN, Permissionários do Mercado São Joaquim	5/31/2016
44	Registro de reunião do Fórum Comunitário do Programa Lagoas do Norte.	PLN, Comitê Lagoas do Norte, Secretários do Município	6/1/2016

Number	Main topic of the discussion	Participants	Date
45	Registro de apresentação do PLN aos presidentes do CREA Nordeste	PLN, CREA, CONFEA. 5 a 10 participantes.	6/2/2016
46	Diálogo com a comunidade sobre as futuras obras de reestruturação do dique boa esperança.	Arquidiocese (CDH), Comunidade da Av. Boa Esperança, Nova Brasília, Mafrense, Olarias. MPE, PLN, MPF, Câmara de Teresina. 50 a 100 participantes.	6/10/2016
47	Registro do diálogo com a comunidade no Palácio Episcopal.	-	6/10/2016
	Circuito de Folgedos do Parque Lagoas do Norte	-	6/25/2016
48	Registro e reunião com moradores dos bairros São Joaquim, Parque Alvorada, Matadouro e Acarape sobre as obras das ligações intradomiciliares.	PLN, Comunidade São Joaquim, Parque Alvorada, Matadouro e Acarape	7/12/2016
49	Relatório das ações de requalificação socioambiental da Lagoa do Mocambinho.	-	7/29/2016
50	Lançamento de edital para seleção de artistas plasticos para Praças dos Orixás.	-	10/4/2016
51	Lançamento da segunda fase do Programa Lagoas do Norte.	-	10/17/2016
52	Resposta ao MPE - Esclarecimentos sobre o andamento do PLN fase 2.	-	10/28/2016
53	Registro da assinatura da ordem de serviço das obras da Praça dos Orixás.	Prefeito de Teresina, Martin Raiser (Banco Mundial), Vice-governadora Margareth Coelho, Comunidade de Terreiro.50 a 100 participantes.	11/1/2016
54	Informando a composição da comissão que fará o julgamento durante a seleção do artista plástico que criou as esculturas para a praça dos orixás.	-	11/3/2016
55	Divulgação do resultado da seleção do artista plástico que criou as esculturas para a praça dos orixás.	-	11/7/2016
56	Informar sobre a preocupação das autoridades municipais com a exacerbação das manifestações em eventos relacionados ao Programa Lagoas do Norte.	-	11/16/2016
57	Registro de reunião para discussão da confecção de esculturas da Praça dos Orixás com representantes da Ubanda e Candomblé.	8 a 10 participantes.	11/23/2016

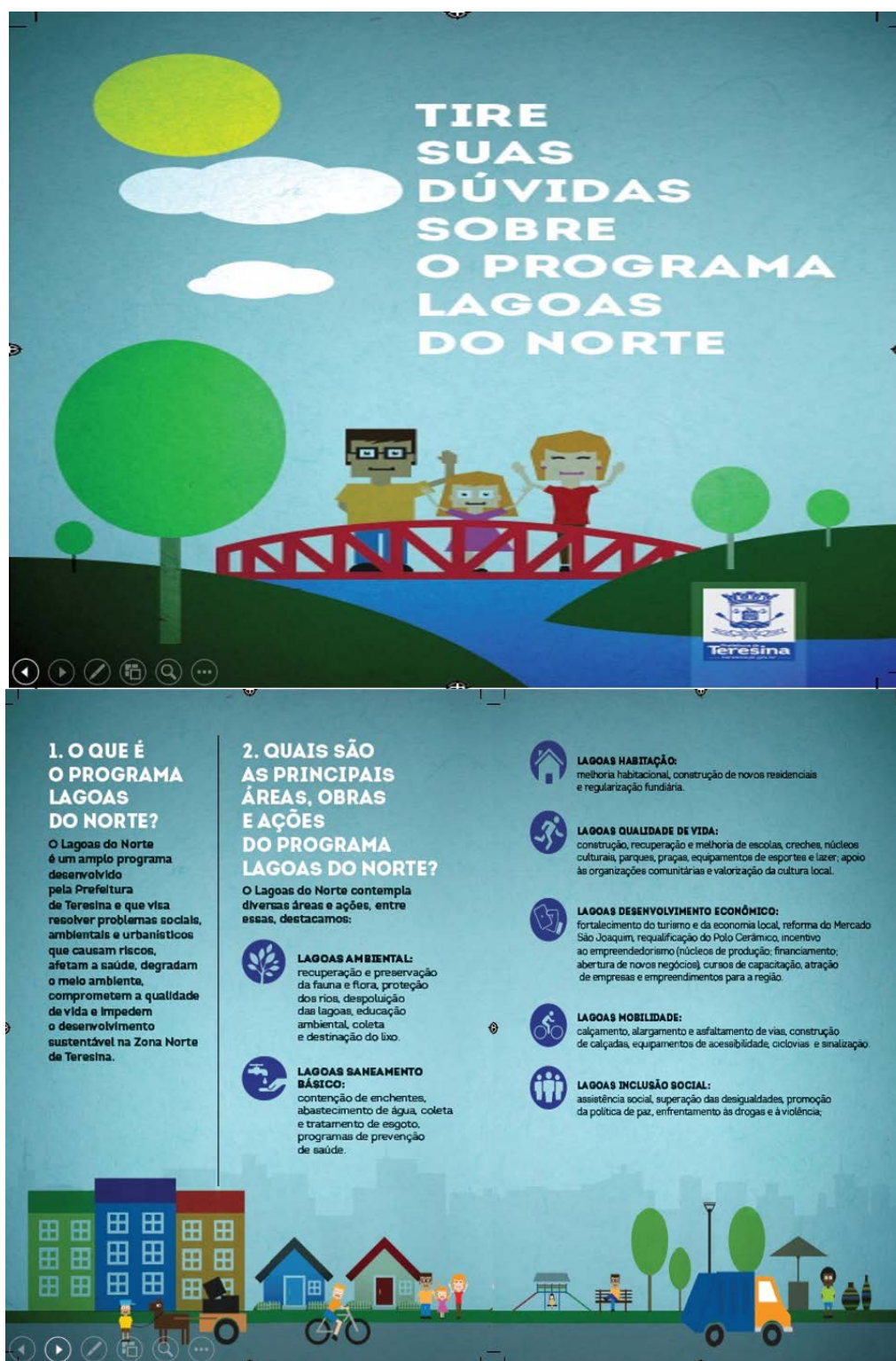
Number	Main topic of the discussion	Participants	Date
58	Sistema de macrodrenagem evita alagamentos de bairros da zona norte.	-	2/16/2017
5	Reunião setorial de apresentação do projeto do parque mocambinho.	PLN, comunidade do Mocambinho. 20 a 30 participantes.	4/5/2017
60	Apresentação do PLN para o curso de Arquitetura e Urbanismo do Instituto Camilo Filho	PLN, ICF. 30 a 40 participantes.	5/3/2017
61	Apresentação de intervenção no Bairro Mocambinho é apresentada a comunidade.	PLN, comunidade Mocambinho	5/17/2017
62	Reunião mostra importância do esgotamento sanitário no Bairro Matadouro.	PLN, comunidade Matadouro	5/24/2017
63	Técnicos conscientizam comunidade do bairro Parque Alvorada sobre esgotamento sanitário.	PLN, comunidade Parque Alvorada	5/25/2017
64	Pais de Santo visitam obra da Praça dos Orixás.	PLN, Pais de Santo	5/29/2017
	São João no Parque Lagoas do Norte.	-	6/14/2017
65	Mobilização da comunidade Matadouro para obras do Canal.	PLN, comunidade Matadouro	7/5/2017
	I Festival de Tambozeiros de Teresina, na sede administrativa do Parque Lagoas do Norte	-	7/11/2017
66	Benefícios do PLN para a zona norte de Teresina.	-	8/17/2017
67	Registro da apresentação do PLN na Semana Mundial da Água em Estocolmo na Suécia.	-	8/30/2017
74	Oficina Tambores Naginga: Toques de atabaques – Parque Lagoas do Norte	-	9/02/2017
68	Registro de reunião do PLN com a comunidade da Avenida Boa Esperança.	PLN, MPE, Arquidiocese, DPU, OAB	10/16/2017
69	Esclarecimentos sobre desapropriações no bairro Matadouro.	DPE, PLN, Arquidiocese (CDH). 15 participantes.	11/1/2017
70	Registro do dia da inauguração da Praça dos Orixás.	-	11/10/2017
71	Reunião técnica de apresentação do terceiro Painel de Segurança.	PLN, CPRM, Painel de Segurança, MPF, DPE, DPU, IFPI, SEMAM, SDU-CN, JB Engenharia*, Eng. José Medeiros*.	11/29/2017
72	Apresentação para a comunidade do terceiro Painel de Segurança. Vale ressaltar que o mesmo foi elaborado a pedido do MPE.	PLN, MPE, MPF, DPE, DPU.	12/11/2017
73	Informando sobre as interferências no dique Boa Esperança bem como sobre os riscos que toda a região está correndo.	-	12/14/2017

Number	Main topic of the discussion	Participants	Date
74	Registro de reunião entre autoridades reafirmando o compromisso da PMT com o adequado reassentamento de famílias.	MPE, DPU, MPF, Prefeito de Teresina, Câmara de Teresina.	12/21/2017
75	Registro de reunião com os vazanteiros do bairro Olarias sobre as futuras obras de intervenção no dique Boa Esperança.	PLN, vazanteiros, comunidade São Joaquim. 30 a 50 pessoas.	1/21/2018
76	Registro de diálogo com a comunidade da Vila Santo Afonso (bairro Matadouro) sobre as obras de implantação do sistema de esgotamento sanitário.	-	1/25/2018
77	Encaminhando Parecer Técnico n. 393/2018/SPPEA-MPF sobre o projeto de duplicação da Av. Boa Esperança (que faz parte da implantação do Projeto Lagoas do Norte), situada no Bairro São Joaquim, nesta capital, cujo programa de trabalho prevê o reassentamento de famílias que residem nos imóveis ao longo da avenida.	-	4/13/2018
78	Registro de reunião com o Comitê Lagoas do Norte para tratar de demandas das comunidades dos 13 bairros beneficiados pelo PLN.	Comitê Lagoas do Norte, UPS/UGP. 13 participantes.	4/13/2018
79	Informando sobre o acolhimento pelo MPF dos resultados do Painel de Segurança dos Diques.	-	4/24/2018
80	Registro de reunião de acompanhamento das ações do PLN com os membros do Comitê Lagoas do Norte e membros da ONG CABAR (protetores dos animais silvestres de Teresina).	UGP/UPS, Comitê Lagoas do Norte, CABAR. 20 a 30 participantes.	5/4/2018
	A escola de capoeira NaGinga comemorou quatro anos de atividades exercidas no Parque Lagoas do Norte	-	5/17/2018
81	Celebração de acordo para elaboração do projeto executivo de re-conformação e requalificação urbana e ambiental para segurança do dique.	MPE, MPF, DPU, PLN, PGM(PMT)	5/30/2018
	Apresentação do caso “How to use citizen engagement in Operations?”	-	5/30/2018
82	Registro de visita de comitiva internacional ao PLN.	PLN, Banco Mundial, representantes da Indonésia, Gana e Etiópia.	6/25/2018
83	Reunião com moradores do entorno da Lagoa do São Joaquim de apresentação dos projetos do Edital 1.	50 a 60 participantes	7/19/2018
84	Reunião com moradores do entorno da Lagoa do São Joaquim de apresentação dos projetos do Edital 1.	50 a 60 participantes	7/23/2018

Number	Main topic of the discussion	Participants	Date
85	Esclarecimentos para manifestantes da Av. Boa Esperança sobre projeto executivo de re-conformação e requalificação urbana e ambiental para segurança do dique.	-	9/17/2018
86	Registro de reunião sobre apresentação do App Colab aos representantes dos 13 bairros beneficiados pelo PLN (Comitê Lagoas do Norte).	20 a 30 participantes	11/8/2018
87	Relatório de Atividades Socioambientais e de Monitoramento do PLN (jan a ago/19)	-	1/1/2019
88	Informando sobre a preparação da licitação do projeto para reestruturação dos diques.	-	1/7/2019
89	Registro de reunião com a comunidade beneficiadas pelo Edital 1 (Lagoas do Mazerine, São Joaquim, Oleiros e Piçarreira) sobre as opções de reassentamento.	40 a 60 participantes	1/17/2019
90	Destacando sobre o trabalho voluntário durante a Colônia de Férias do Parque Lagoas do Norte.	-	2/4/2019
91	Acompanhamento Social – PRI 2/ Frentes 1 e 2.	-	2/13/2019
92	Registro de visita com as famílias que serão reassentadas pelo PLN no Residencial Parque Brasil.	25 a 30 participantes	2/22/2019
93	Registro da reunião com a comunidade Mafrense no “Bar da Dilma”.	PLN, DPU, MPE, comunidade Mafrense	3/13/2019
94	Informando os contatos da Defesa Civil do município.	-	3/25/2019
95	Informando sobre o programa “Cidade Solidária” para as famílias que moram em área de risco e que estão enfrentando o severo período chuvoso.	-	3/25/2019
96	Informando sobre a execução do Residencial Parque Brasil.	-	3/26/2019
97	Registro do curso de capacitação de mulheres na área de construção civil que o PLN ofertou para a comunidade beneficiada.	-	3/26/2019
98	Informando que o Rio Poti atingiu a cota de atenção durante o período chuvoso.	-	4/3/2019
99	Registro de reunião com a comunidade do bairro Olarias e Vila Apolônia que ficam localizados às margens da Avenida Boa Esperança.	PLN, SEMGOV, MPE. 50 a 100 participantes	4/6/2019
100	Informando a licitação para contratação da empresa que irá elaborar o projeto de reestruturação do dique.	-	4/11/2019
101	Resposta ao MPE e sua Notificação Recomendatória 001/2019 e informando que o PLN atende à O.P 4.12 do Banco Mundial.	-	6/3/2019

Number	Main topic of the discussion	Participants	Date
102	Acompanhamento Social – PRI 3/ Frente 1	-	6/24/2019
103	Registro de reunião com moradores da Vila Apolônia.	PLN, moradores da Vila Apolônia. 30 a 50 participantes.	6/27/2019
104	Registro de reunião com a comunidade do Matadouro sobre a retomada das obras do canal.	PLN, SEMCASPI, SEC. Estadual de Segurança, SDU-CN	8/7/2019
105	Reunião com o Comitê Lagoas do Norte.	Liderança dos bairros que compreendem o PLN, Direção da UGP/PLN	8/21/2019

Annex 6: Brochure about the Project



3. POR QUE O LAGOAS DO NORTE É DIVIDIDO EM FASES?

O Lagoas do Norte é dividido em fases por envolver diversas etapas e ações que alcançam uma grande região com muitos problemas e desafios. Assim, o Programa procura realizar os trabalhos de forma a causar o mínimo de transtorno ou desconforto aos moradores. O objetivo é que todos fiquem sabendo, com a devida antecedência e com absoluta clareza, O QUE SERÁ FEITO, ONDE SERÁ FEITO, COMO SERÁ FEITO E POR QUE SERÁ FEITO.

4. QUAIS OS BAIRROS QUE SERÃO CONTEMPLADOS DIRETAMENTE PELO LAGOAS DO NORTE?

São Joaquim, Matadouro, Acarape, Parque Alvorada, Nova Brasília, Poti Velho, Olarias, Mafrense, Alto Alegre, Itaperu, Aeroporto, São Francisco e Mocambinho. Essa grande e importante região de Teresina tem uma população de aproximadamente 100 mil pessoas.

5. QUAIS AS OBRAS E AÇÕES DA FASE 1? ELA FOI TERMINADA?

A FASE 1 será concluída em dezembro de 2015 e compreende as seguintes obras e ações nos bairros Acarape, Matadouro, Parque Alvorada e São Joaquim:

MEIO AMBIENTE E CONTENÇÃO DE ENCHENTES

- limpeza e despoluição de lagoas;
- ligação entre as lagoas e comportas;
- ampliação do sistema de bombas;
- ações de educação e preservação ambiental.

SANEAMENTO

- sistema de esgotamento sanitário;
- reforço de abastecimento de água;
- coleta de lixo.

MORADIA

- construção do Residencial Zilda Arns (327 casas com infraestrutura de água, esgoto, energia e ruas calçadas).

TRÂNSITO E MOBILIDADE

- melhoria do sistema viário com abertura, calçamento e asfaltamento de ruas, sinalização, ciclovia.

GERAÇÃO DE EMPREGO E RENDA

- curso de capacitação profissional.

CULTURA

- construção do Complexo Cultural Teatro do Bol.

ESPORTES, LAZER E TURISMO

- construção do Parque Lagoas do Norte.



6. QUANTO FOI INVESTIDO NA FASE 1 E QUAL A ORIGEM DOS RECURSOS?

Na Fase 1 foram investidos

MAIS DE 100 MILHÕES,

recursos da Prefeitura de Teresina, Banco Mundial e Governo Federal. O Programa Lagoas do Norte representa o maior investimento já feito na história de Teresina para transformar uma região da cidade.

7. QUANTAS FAMÍLIAS FORAM REASSENTADAS NA FASE 1 E PARA ONDE ELAS FORAM?

Foram reassentadas

493 FAMÍLIAS

que viviam em área de proteção ambiental ou de risco, sendo que 327 FAMÍLIAS ganharam novo endereço no Residencial Zilda Arns, enquanto 166 FAMÍLIAS optaram por receber indenização.

8. QUANTO SERÁ INVESTIDO NA FASE 2?

Na FASE 2 serão investidos cerca de

400 MILHÕES

de reais, ou seja, quatro vezes mais do que foi empregado na Fase 1. Os recursos serão garantidos pela Prefeitura de Teresina, Banco Mundial e Governo Federal.

9. QUE AÇÕES A FASE 2 DO PROGRAMA LAGOAS DO NORTE CONTEMPLA?

A FASE 2 contempla o mesmo tipo de obras e ações da FASE 1 (meio ambiente, contenção de enchentes, saneamento básico, moradia, urbanização, infraestrutura, mobilidade, cultura, esportes, lazer, proteção social, desenvolvimento econômico e geração de emprego e renda), atendendo a novas áreas (bairros: Nova Brasília, Poti Velho, Olarias, Mafrense, Alto Alegre, Itaperu e Aeroporto).



10. POR ONDE A FASE 2 COMEÇARÁ E QUANDO?

A Prefeitura de Teresina está trabalhando para iniciar as obras ainda em 2015. Para isso, depende apenas da autorização dos entes institucionais parceiros do Programa e dos processos seguintes de licitação e contratação. O prazo dessa fase é de cinco anos. As obras começarão pela área do ENCONTRO DOS RIOS, que passará por grandes transformações para se tornar uma nova atração turística e de lazer de Teresina, contribuindo para a melhoria da qualidade de vida e a transformação econômica da região.

11. PARA QUE ESTÁ SENDO FEITO O CADASTRO DAS FAMÍLIAS?

A Prefeitura de Teresina quer conhecer a realidade das pessoas na área: as condições de moradia e quais as atividades econômicas que desenvolvem para o sustento das famílias. Essas informações servirão para garantir os direitos e fortalecer o Programa na busca das melhores soluções para os moradores, para a comunidade e para toda a cidade.

12. POR QUE TIRAR FOTOS DAS CASAS NO MOMENTO DO CADASTRO?

É necessário fazer fotos para identificar as necessidades de melhoria habitacional e garantir a essas famílias a proteção a seus direitos e às suas atividades, em caso de reassentamento.

13. TODAS AS FAMÍLIAS CADASTRADAS SERÃO REASSENTADAS?

Nem todas as famílias serão reassentadas. Apenas o necessário para garantir a segurança das pessoas, a preservação ambiental, o respeito à legislação e a qualidade de vida. Muitas famílias receberão melhoria habitacional e permanecerão no local.

14. O QUE PODE ACONTECER COM A MORADIA DAS FAMÍLIAS?

Há três tipos de ação:

1. MELHORIA HABITACIONAL
2. REASSENTAMENTO
3. INDENIZAÇÃO



15. QUANDO ACONTECE A MELHORIA HABITACIONAL?

A melhoria habitacional acontece quando o imóvel está localizado em uma área que não oferece riscos aos moradores, bem como respeita a legislação ambiental. Nestes casos, o programa realiza melhorias no imóvel, como a construção de banheiros, reforço estrutural e outras obras, de acordo com as necessidades técnicas e o consentimento dos moradores.

16. OS MORADORES TERÃO DESPESAS COM AS OBRAS DE MELHORIA HABITACIONAL?

Não. Todo o custo da obra é bancado pelo Programa.

17. QUANDO ACONTECE O REASSENTAMENTO?

O reassentamento acontece nas seguintes condições:

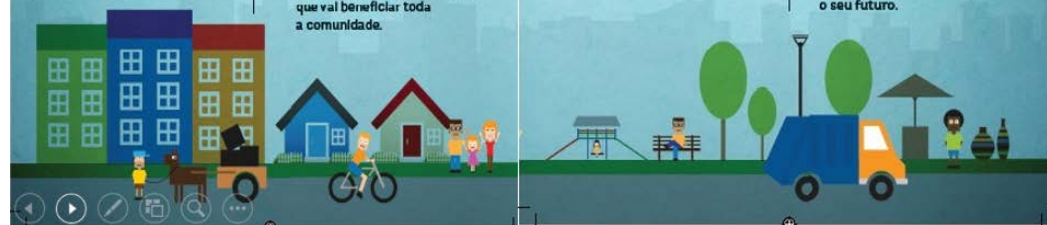
1. quando o imóvel está localizado em área de risco;
2. quando o imóvel está localizado em área ou em situação inadequadas segundo a legislação ambiental;
3. quando o imóvel está localizado em área ou em situação que, não havendo alternativa viável, precisará ser removido para a realização de uma obra que vai beneficiar toda a comunidade.

18. SE EU ESCOLHER O REASSENTAMENTO, PARA ONDE EU VOU?

O Lagoas do Norte vai construir três residenciais com casas e apartamentos e toda a infraestrutura, como ruas pavimentadas, energia, água, saneamento, áreas de lazer e esportes, além de pontos comerciais.

19. QUANDO ACONTECE A INDENIZAÇÃO?

A Indenização é uma opção para aqueles que podem ser reassentados, ou seja, em vez de preferir um novo imóvel nos residenciais que serão construídos pelo Programa, o morador pode escolher receber a indenização em dinheiro. Neste caso, é feita a avaliação do imóvel e se inicia a negociação, que poderá ser acompanhada por uma pessoa da sua confiança, além de instituições como o Ministério Público, OAB, Igrejas e associação de bairro para garantir transparência no processo. A negociação será individual, para que cada família possa analisar com clareza todas as opções e definir livremente o seu futuro.



20. O QUE É ÁREA DE RISCO?

É a área ou situação que representa risco para a vida humana, sendo, portanto, imprópria para a moradia. Essa condição é definida por Lei Federal N. 12.608, de 10 de abril de 2012. As áreas de risco são assim consideradas por representar perigo por vários fatores. No caso do Programa Lagoas do Norte, as áreas de risco representam perigo de inundação.

21. COMO VOU SABER SE A MINHA CASA ESTÁ DENTRO DA ÁREA A SER REASSENTADA?

Após a finalização do cadastro e da conclusão dos estudos técnicos, será definida a necessidade de reassentamento. Todos os proprietários de imóveis localizados nessa área serão comunicados oficialmente e será iniciado o processo de negociação individual, visando contemplar as necessidades de cada família e oferecer a melhor solução para cada caso.

22. O PROCESSO DE REASSENTAMENTO CONSIDERA AS CONDIÇÕES DE TRABALHO E VIZINHANÇA DOS MORADORES?

Sim. Como foi feito na Fase 1, a Fase 2 respeitará os casos de familiares que desejam ou necessitam ficar próximos, bem como outras situações onde a proximidade se revelar importante, como em casos de vizinhança antiga ou de preservação dos laços comunitários. Há ainda a garantia de condição de trabalho para comerciantes, horticultores ou pessoas com outro tipo de atividade econômica.

23. A FAMÍLIA PAGARÁ ALGUM VALOR PELA NOVA RESIDÊNCIA?

Não. A família receberá o documento de propriedade da nova residência, sem custos. Os residenciais serão construídos em parceria com o Governo Federal, pelo Programa Minha Casa, Minha Vida.

24. COMO É FEITO O REASSENTAMENTO DAS FAMÍLIAS?

Todos os custos da mudança serão por conta da Prefeitura de Teresina, que acompanhará as famílias até sua completa integração à nova comunidade.



25. SE EU FOR REASSENTADO, QUANDO TEREI DE ME MUDAR?

Qualquer mudança só poderá acontecer após você ter um outro imóvel para morar, conforme a sua opção. Se você optou pelo reassentamento em residencial, por exemplo, sua mudança definitiva acontecerá quando esse residencial estiver concluído, pronto para morar.

26. EU TENHO UM PEQUENO NEGÓCIO NA MINHA CASA DE ONDE EU TIRO O SUSTENTO DA MINHA FAMÍLIA. COMO FICA A MINHA SITUAÇÃO?

Quem desenvolve alguma atividade econômica junto com a residência terá direito de manter essa atividade no novo endereço. Por isso, além de casas e apartamentos, os residenciais terão também pontos comerciais. Além disso, o Programa oferece cursos de formação e qualificação profissional e apóia o empreendedorismo para que você e sua família possam melhorar de vida.

27. ONDE POSSO BUSCAR MAIS INFORMAÇÕES?

UPS – UNIDADE DE PROJETO SOCIOAMBIENTAL
Rua 02, nº 283, Conjunto Lagoa Azul 2, Matadouro. Fone: 3216.5075.

UGP- UNIDADE DE GERENCIAMENTO DO PROGRAMA LAGOAS DO NORTE

Praça Marechal Deodoro da Fonseca, 860 - Palácio da Cidade, quarto andar - Centro
FONE: 3215.7520 3215.7525

SITE:
semplan.teresina.pi.gov.br/lagoas-do-norte

FACEBOOK:
www.facebook.com/LagoasDoNorte



