



THE WORLD BANK

IBRD • IDA | WORLD BANK GROUP

Operations Policy & Country Services

Setting Standards for Sustainable Development

Update and Review of the World Bank's Safeguard Policies

Country Case Studies

*Phase 3 Consultation in
Afghanistan
December 13-14, 2015*

Content

- **Objective: Testing the proposed Framework for operational implications**
- **Approach and methodology**
- **Projects to be discussed**
- **Discussion**

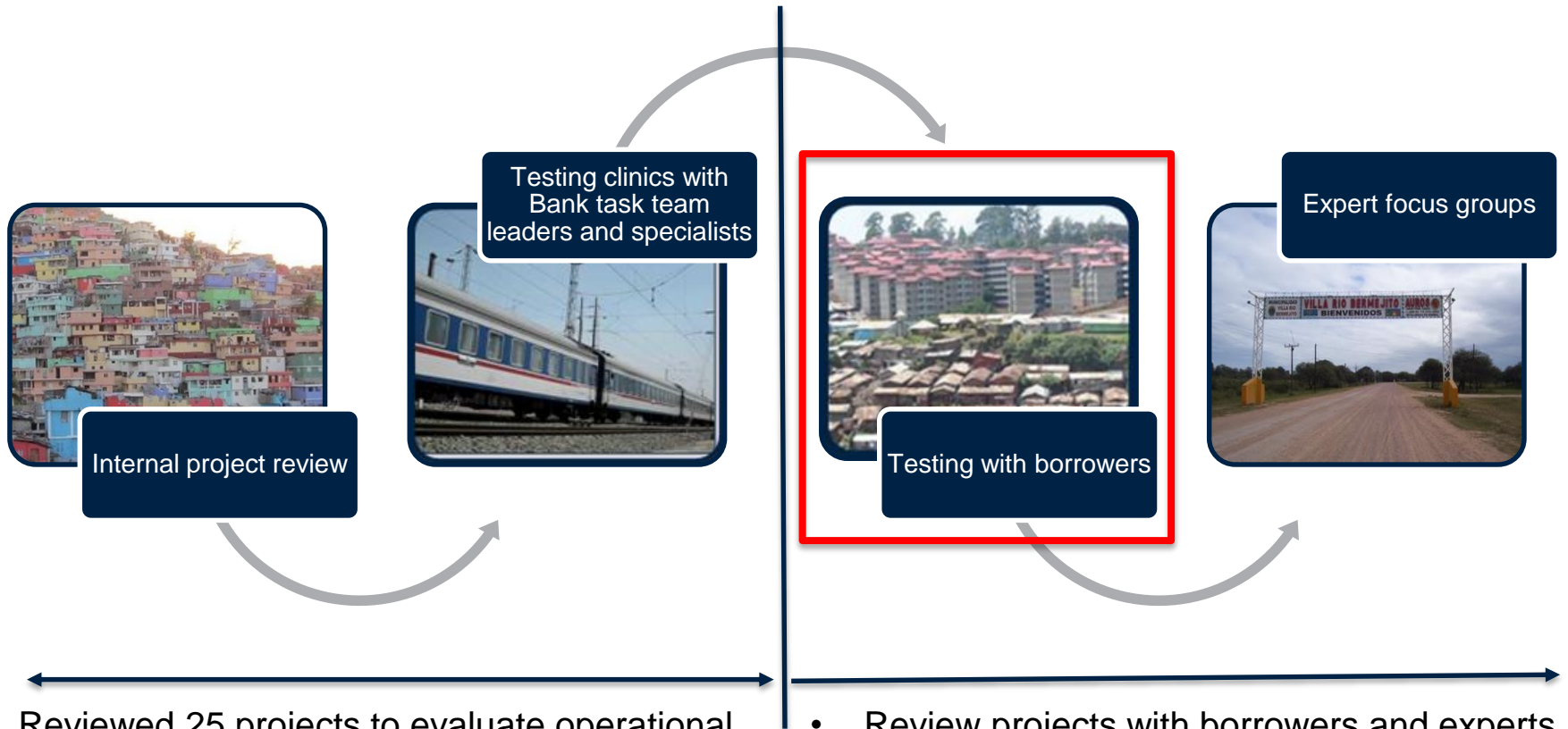


Objective

Testing the proposed Framework for Operational Implications

- identify implementation challenges and opportunities
- identify aspects that require additional clarification/need for additional operational guidance

Approach



- Reviewed 25 projects to evaluate operational implications of the proposed Framework for Borrowers and Bank
- More reviews to be added throughout consultation phase

- Review projects with borrowers and experts throughout consultation phase
- Case studies (2-3 projects) base on country portfolio, exploring how the proposed Framework might or might not differ from the Bank's current policies

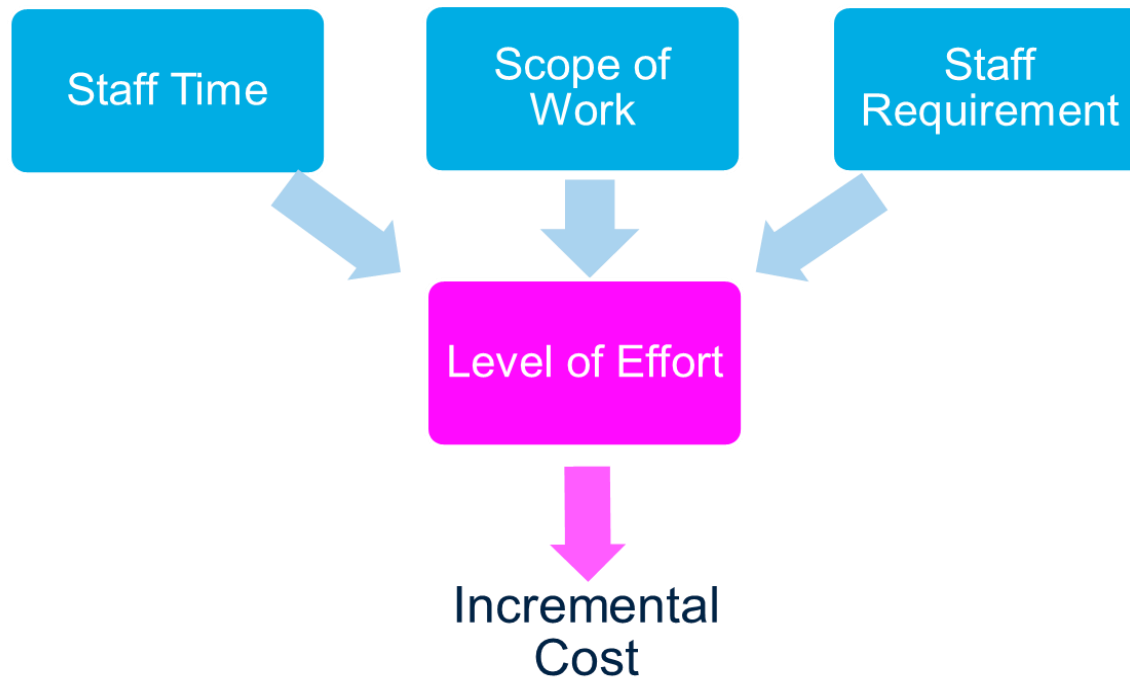
Methodology [1/2]

- Comparison of current safeguard policies as applied to existing projects with provisions of proposed Framework. **Incremental changes to the scope of work** for Bank and Borrowers are specified as below:

| Incremental Level of Effort | Incremental Staff Time | Scope of Work | Staff Requirement |
|-------------------------------|------------------------|---|--|
| NO CHANGE/COST SAVINGS | -- | -- | -- |
| LOW | Hours | Limited work, building on existing analysis already done for the project with fine tuning | Environmental and social qualified staff |
| MODERATE | Days | Minor additional works, also based on existing analysis already done for the project. | Environmental and social qualified staff supplemented by credible external staff |
| HIGH | Weeks | New analytical work, not considered before, based on collecting secondary data and synthesizing existing information or generating new and specific knowledge | External subject matter expert on specific issues |

Methodology [2/2]

- Incremental cost will depend on the staffing and expertise of the PIU, and the availability of other studies not aimed particularly as safeguards studies, but which may provide cost savings (e.g. maternal health or gender study).



Projects to be discussed today

- National Solidarity Program III
- Trans-Hindukush Road Connectivity Project

National Solidarity Program III



National Solidarity Program III

Project facts

- **Objectives:** To build, strengthen, and maintain community development councils (CDCs) as effective institutions for local governance and socio-economic development.
- **Financing (US\$):** 1,506 million (ARTF 1302 million; IDA 40 million; and Community contribution 164 million.)
- **Environmental Category:** B
- **Safeguards Triggered:** Environment Assessment (OP 4.01) and Involuntary Resettlement (OP 4.12)
- **Safeguards Instruments:** Environment and Social Management Framework (ESMF)
- **Approved:** June 2010

Context

- NSP is one of the **flagship development programs** of the government of Afghanistan.
- Building on the first two phases of NSP, the third phase NSP continues to build **local governance** and providing **basic public infrastructure to rural Afghanistan**.
- In the last 12 years, 34,800 CDC have implemented over **88,000 community level subprojects**: over 10,000km of road construction/rehabilitation; access to improved water to 3.5 million people; 8.6 MW of power generation; and irrigation services to over 147,000 hectares of land.
- Activities under the project will **not entail significant and negative environmental and social impacts**.
- The compliance with environmental and social safeguards has been **satisfactory**.
-

ESS 1: Assessment and Management of Environmental and Social Risks and Impacts

- The key aspect of the ES Framework is “proportionality:”
 - High risk subproject: in accordance with the ESSs
 - Non-high risk subproject: in accordance with national law and relevant ESSs.
- Under the ES Framework, the requirement of social assessment becomes more focused, and includes specific reference to vulnerable groups. It also requires to assess threat to human security. These would require some additional work in this project.
- The preparation of the ESCP would entail minor effort as this is basically a procedural aspect, and it refers to other instruments. It is a process of formalizing in a different manner elements/documents that we already have now.
- The expected additional level of effort is low to moderate.



ESS 2: Labor and Working Conditions

- Labor standard has not been applied in the past. It is expected to need efforts on the part of the borrower to provide baseline information to the Bank and assist with Bank due diligence process.
- This ESS would apply to workers in community labor in this project. Appropriate measures would need to be taken to ascertain whether such labor will be provided on a voluntary basis.
- The principles of Occupational Health and safety (OHS) would be applied in a manner proportionate to the type of subproject and the nature of the potential risks and impacts. The ESMF has some references to OHS.
- Where there is a risk of harmful child labor or forced labor in the community labor, the Borrower would take appropriate steps to remedy them.
- A grievance redress mechanism for all project workers would be required to be established.
- The borrower would be responsible to set in place procedures for monitoring of this ESS.
- The expected additional level of effort is moderate to high.



ESS3: Resource Efficiency and Pollution Prevention and Management

- Efforts to meet this standard is not expected to be a major one. The ESMF already identifies appropriate measures for water use and pollution management. Use of pesticide is not eligible for the subproject.
- Annual estimation of GHG emissions would be required, if the emissions exceed the threshold established by the Bank. Considering the scale of subprojects, this would be unlikely.
- The expected additional level of effort is low.



ESS 4: Community Health and Safety

- The ESMF already contains requirements related to risk and impacts on community health and safety, including infrastructure design, road safety and disease.
- Minor work for Emergency Response Plan (ERP) would be required for some subproject.
- Requirements on security personnel would not be applicable to the project.
- The expected additional level of effort is low.



ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

- There is no significant change in this standard from the current policy (Operational Policy 4.12).
- The project is expected to have only minor land acquisition. The ESMF meets all the requirements of the standard, such as holding of consultation with stakeholders, preparation of resettlement framework, provision of a grievance redress mechanism, disclosure of information etc.
- Regarding ensuring consultation with women, the project already includes a gender-sensitive mechanism for women.
- No additional effort is required for this ESS.



ESS 6: Biodiversity and Living Natural Resources

ESS 7: Indigenous Peoples

ESS 8: Cultural Heritage

ESS 9: Financial Intermediaries

ESS6

- There is no implication for additional efforts in the application of this standard as there will be no risks related to biodiversity and living natural resources in the project.

ESS7

- No presence of Indigenous Peoples identified in project areas.
- Approach in this standard remains the same as in the current Bank policy (OP4.10).
- No additional effort is required for this ESS.

ESS8

- There is no implication for additional efforts in the application of this standard as any activity that would significantly damage cultural property is ineligible by the negative list of the project.

ESS9

- There are no Financial Intermediaries (FIs) in the project and hence no incremental efforts would be required.
- No additional effort is required for this ESS.



ESS 10: Stakeholder Engagement and Information Disclosure

- Under the ESS 10, stakeholder engagement for the E&S impacts and their mitigation would be more systematic and an on-going activity over the life of the project.
- The design of NSP follows key principles of stakeholder engagement, such as inclusion, participation and transparency.
- Some effort would be required to prepare and implement a Stakeholder Engagement Plan (SEP).
- The NSP already has a grievance redress mechanism in place. The project also has three tier grievance redress mechanism for persons affected by land acquisition (village, district and implementing agencies levels). Some minor effort would be required to disclose information about the status of resolution of all grievances.
- The expected additional level of effort is low to moderate.



Trans-Hindukush Road Connectivity Project



Trans-Hindukush Road Connectivity Project

Project facts

- **Objectives:** To improve road transport connectivity across the Hindukush mountain range.
- **Financing (US\$):** 255 million (IDA Grant 250 million; Borrower 5 million)
- **Environmental Category:** A
- **Safeguards Triggered:** Environment Assessment (OP 4.01), Physical Cultural Resources (OP4.11), and Involuntary Resettlement (OP 4.12)
- **Safeguards Instruments:** Environment Management Framework (EMF) and Resettlement Policy Framework (RPF), and Environmental and Social Impact Assessment (ESIA), Environmental and Social Management Plan (ESMP) and Resettlement Action Plan (RAP) for Segment 1 of the Baghlan to Bamiyan (B2B) road.
- **Approved:** October 2015

Context

- The project undertakes physical works on two separate roads, Salang highway (87km) and B2B road (152km). Salang highway is limited to repairs, rehabilitation and maintenance. On the B2B road, the existing road will be upgraded to paved standard and widened at many locations, requiring limited land acquisition and resettlement.
- Both roads pass through heavily mountainous terrain with less vegetation. During the winter the slopes are covered with snow.
- Much of the B2B road alignment passes through an area where there is no effective governmental control.

ESS 1: Assessment and Management of Environmental and Social Risks and Impacts

- Some additional effort beyond social assessment that was done, for more detailed assessment of and measures for enhancing distribution of benefits, and addressing issue of threats to human security.
- Management of contractors would need more focused attention in terms of assessing E&S risks associated with them.
- The preparation of the ESCP would entail minor effort as this is basically a procedural aspect, and it refers to other instruments
- The expected additional level of effort is moderate

ESS 2: Labor and Working Conditions

- This Policy has not been applied in the past and is expected to need efforts on the part of the borrower to provide baseline information to the bank and assist with Bank due diligence process.
- This ESS would apply, in varying degrees, to direct workers, contracted workers and primary supply workers in this project.
- The principles of Occupational Health and safety (OHS) were applied in this project.
- This standard includes recognition of the workers' right to organize, prohibition of forced labor and child labor.
- A grievance redress mechanism for all project workers would be required to be established.
- The borrower would be responsible to set in place procedures for monitoring of this ESS.
- The expected additional level of effort is moderate to high.



THE WORLD BANK

IBRD • IDA | WORLD BANK GROUP

Operations Policy & Country Services

ESS3: Resource Efficiency and Pollution Prevention and Management

- Efforts to meet this standard is not expected to be a major one given that much of the work required for this project would have been done under the current policies.
- Appropriate measures have been identified for pollution management, soil erosion/sedimentation and waste generation relevant to this project.
- Impacts on climate change have not been discussed in the ESMF and ESIA for Segment 1 of the B2B road. Annual estimation of GHG has already been conducted.
- The expected additional level of effort is low to moderate.



ESS 4: Community Health and Safety

- The ESMF, ESIA and ESMP already contain many of the requirements related to community health and safety of the project including traffic and road safety, management of hazardous material and emergency preparedness and response.
- As the project is situated in high risk locations affected by heavy snowfall, landslides, heavy traffic and maintenance issues, engagement of external experts would be needed to review each stage of the project.
- Some additional work would be needed for the risks potentially posed by the arrangement of security personnel.
- The expected additional level of effort is moderate.



THE WORLD BANK

IBRD • IDA | WORLD BANK GROUP

Operations Policy & Country Services

ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

- There is no significant change in this standard from the current policy (Operational Policy 4.12).
- The project is expected to meet all the requirements of the standard in terms of work already completed under the current policy, such as holding of consultation with stakeholders, preparation of resettlement framework, provision of a grievance redress mechanism, disclosure of information etc.
- Regarding ensuring consultation with women, the project already includes a reference to women and others as vulnerable groups.
- No additional effort is required for this ESS.



ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

- The B2B road requires extensive cut and fill and involve minor clearance of trees and vegetation. There are no forest and no identified potential habitat for threatened or endangered plant species within the immediate vicinity of the project road.
- The ESMF, ESIA and ESMP have analyzed the implication of project activities for natural habitats and identified a management approach to minimize potential harms to natural ecosystems. The ESMF, ESIA and ESMP contain measures to avoid, minimize and mitigate vegetation clearance from the project.
- No additional effort is required for this ESS.



ESS 7: Indigenous Peoples

ESS 8: Cultural Heritage

ESS 9: Financial Intermediaries

ESS7

- No recognized ethnic minority settlement in the project areas.
- Approach remains the same.
- No additional effort is required for this ESS.

ESS8

- The only potential low incremental effort is to ascertain whether “intangible heritage” exists in the area of the project.
- The expected additional level of effort is low.

ESS9

- Presently there are no FIs in the project and hence no incremental efforts would be required.
- No additional effort is required for this ESS.

ESS 10: Stakeholder Engagement and Information Disclosure

- Broad consultations have been conducted with various stakeholders for the preparation of this project.
- Under the ESS 10, stakeholder engagement for the E&S impacts and their mitigation would be more systematic and an on-going activity over the life of the project. Some effort would be required to prepare a Stakeholder Engagement Plan (SEP) where currently, stakeholder consultation is covered in the E&S assessment and the mitigation plans.
- Currently the project has three tier grievance redress mechanism in place to respond to complaints (road segment level, project level and head quarter level). Some minor effort would be required to disclose information about the status of resolution of all grievances.
- The expected additional level of effort is low to moderate.



THE WORLD BANK

IBRD • IDA | WORLD BANK GROUP

Operations Policy & Country Services

Discussion

1. *Feasibility and resources for implementation?*

- What are the implementation and resource implications for Borrowers?
- What can the Bank do to mitigate additional burden and cost?
- How can the implementation of projects be made more efficient?

2. *Borrower capacity building and support for implementation?*

- How can the Bank support capacity building?
- Are there specific areas of focus, and approaches?
- Approach to implementing the ES Framework in situations with capacity constraints, e.g., Fragile and Conflict-affected Situations (FCS), small states and emergency situations?



WORLD BANK GROUP

THANK YOU

More information available at:

<http://consultations.worldbank.org/consultation/review-and-update-world-bank-safeguard-policies>