

Safeguard Policies Review
Consultations with Project-Affected Communities
Consultation Period – May - December 2013

SUMMARY FEEDBACK

Introduction

In 2012 the World Bank began a two-year process to review and update its eight environmental and social safeguard policies.

As part of its review process, the Bank committed to engage with as many stakeholders as possible to gain inputs. The **present report presents a summary of the community consultation process** that was commissioned to solicit the opinions of **project-affected communities related to a sample of Bank-funded projects in six countries around the world** (Bolivia, Colombia, Kenya, Tanzania, Philippines and India) with the following objectives:

- To solicit feedback from locally-affected communities on **communications processes** and the **key social and environmental issues and challenges** encountered with regard to selected Bank-funded projects; and
- To inform World Bank safeguards review and update processes in regard to the effectiveness of the safeguards in terms of intent and implementation.

The sample of projects was selected by the World Bank according to the following criteria:

- Balanced representation of range of countries and regions.
- Balanced representation of sectors, project type, instruments and impacts – positive and negative – on populations.

The selected sample of projects included sectors such as urban infrastructure, transport, transport and trade, agriculture, rural roads and water. As most communities are not aware of the Bank's policies, the consultation processes were conducted to document **affected communities' experiences and perceptions** about how they have been consulted and how Bank projects have had an impact on them. The goal of the project was **not** to evaluate overall project performance, or to assess the accomplishments of Project Co-ordination Units (PCUs) in regard to the Bank's Safeguard Policies, but rather to make a concerted effort to have the voices of a sample of project-affected people included in the review and updating processes.

Methodology

The consultations were designed to elicit **stakeholders' perceptions** about how they were informed and consulted, and what the outcomes of the projects were. A methodological approach was followed so that these consultations with affected people would provide insights into how the policies were applied in their local communities.

The assignment was carried out by a multi-lingual, senior-level consulting team, in association with local partners in the six countries.

A rapid assessment qualitative research methodology was applied, based on a triangulation approach to provide a good level of verification as to results. The techniques that were applied included the following:

- A literature review and stakeholder mapping/identification process;
- Semi-structured interviews with a large number of key informants;
- Focus groups (gender disaggregated where possible) in locally affected communities; and
- Case study interviews to present personal stories of many local stakeholders.

In total, the consulting team conducted personal discussions with **over 700 key informants and local stakeholders** throughout the sampled communities.

Key takeaways

Following are the key messages to be taken away from this perception survey:

- **All of the projects generated positive impacts** and contributed, in varying degrees, to the safeguards' broad goal of poverty reduction. However, in most cases positive impacts were sub-optimal and could have been significantly greater with the proper implementation of safeguard policies;
- **Safeguard Policies are generally not well understood by most Project Implementation Units (PIU) and virtually unknown to most project-affected communities**, thereby limiting their effectiveness or application;
- **Even if the Safeguard Policies and instruments were perfectly crafted, their frequent lack of implementation represents a major challenge for the Bank;**
- **Capacity at all operational levels is often very weak, representing a fundamental factor underlying the relative lack of implementation.** Project Implementation Units (PIUs) often lack capacity to adequately address the different areas they need to consider, such as design and implementation of consultation processes, contractor management, time scheduling of projects, grievance management, monitoring, etc. Bank staff are also often under-resourced to provide the training and engage the types of experts required to monitor and report on implementation;
- **The social element within the Safeguard Policies is largely lacking/unspecified and, to the extent it does exist, is often absent in practice.** The deficit of clarity and attention related to social factors, both in content and implementation, leave many gaps/weaknesses including; lack of stakeholder mapping; stakeholder engagement planning; social impact assessment; disclosure; consultation; participatory monitoring; grievance mechanisms and reporting;
- **Stakeholder mapping and engagement plans appear to be generally insufficient.** Mapping and engagement planning are essential, as they define who the project-affected communities are likely to be, the types of issues/opportunities that may arise, and how best to include them in the process, as well as identify other stakeholders such as those able to influence and contribute to projects. In the case of the six projects, various stakeholders' interests were often not recognized and led to sub-optimal results;
- **Gender-related considerations, if not integrated into project design, tend to generate a sub-optimal result.** Women are essential partners for a successful project – and often the most vulnerable – functioning as the principle caregivers and often acting as single heads of households;
- **The value/necessity of consultation with project-affected communities as a means of improving a project appears to be highly underestimated.**

Consultation processes ranged from non-existent to very good. People everywhere expressed strong desires to be consulted, and expressed that they had, or could have had, useful inputs to improve projects. Those projects with good consultation processes clearly benefitted. Conversely, to the extent that project-affected communities' views are not sought or integrated into project design and implementation, sub-optimal results occurred;

- **Post-project impacts have not been considered during project design thereby lessening projects' positive outcome.** Implementation of a large road improvement project can have negative impacts after project completion (e.g., safety);
- **There were a number of resettlement-related issues:**
 - a. **Voluntary land donation** needs to be clarified. "Peer pressure" and other types of "encouragement" can bring into question the "voluntary" nature of some cases, especially for the most vulnerable;
 - b. **Economic resettlement** appears to be misunderstood, although there were relatively frequent examples that were not addressed;
 - c. **Compensation** can be a problem when Bank policies differ from national ones in terms of the valuing of property;
 - d. **Resettlement of community facilities** needs to be clarified in the safeguard policies;
 - e. **Delay in the implementation of the Resettlement Action Plan** caused complications with compensation and mitigation measures.
- **Labor and working conditions** were mentioned by several stakeholders as an issue that the World Bank should be concerned about in terms of project safeguards;
- **Incentive for success:** In projects with successful safeguards implementation, there were built-in incentives that appeared to contribute to project results. Such incentives include subsidies, community contribution to projects such as user-charges or manpower.

Samples of community perception

The summary below presents a synthesis of the feedback from project affected communities. While the summary cannot fully capture the richness of the discussions, it reflects the key points that people raised.

Consultation Processes: What Has Worked

Adequate Dissemination	<p>Communities from three projects in three countries confirmed that adequate information was provided to them and that was valued.</p> <ul style="list-style-type: none"> • In Colombia, they confirmed that they <i>had</i> received information about the project, and the plans and benefits to be expected for the city. Members of the community reported that they <i>had</i> been satisfied by the initial information dissemination process. Information about physical resettlement <i>had</i> also been properly disseminated. • In Tanzania, affected communities were generally well informed about the project as a result of program design, which encompassed participatory inputs including consultations and use of local employment. • In Kenya, Communication and consultations with the communities have been carried out through an established Resettlement Management Unit (ReMU) supported by two non-governmental organizations (NGOs). This approach has been perceived positively and is expected to be most effective once the ReMU starts to operate directly with the communities in the field.
Robust Consultation	<p>Communities highlighted that appropriate consultations took place and that this upstream involvement helped to identify and address issues early.</p> <ul style="list-style-type: none"> • In Tanzania, project-affected peoples were well informed about the processes of the irrigation and drainage works project through local organizations. This is a good practice example of participatory processes based on development of stand-alone “Irrigators Associations” built directly into the project on the basis of existing Water Associations in village, a grass-roots community bodies comprised of interested and directly affected users. It was observed, however, that a risk exists with regard to the sustainability of the associations once the project is completed. • In Kenya, the consultation and outreach activities were carried out mainly during the initial census process (census was conducted to document people along the right-of-way). The established Resettlement Management Unit (ReMU) is committed to consult the community, and to be supported by local leaders and professional NGOs. This approach is perceived positively. People were generally well informed through the NGO process. There is recognition that relocation to a new area/receipt of new housing would result in a higher quality of life. • In Philippines, virtually all those interviewed reported that consultation was done well and that the local community was well informed about the project before, during and following implementation. The implementing agency is a mature company (PPP entity) whose stakeholder engagement policy is embedded as part of its official corporate vision, designed to: empower people; protect the environment; and enhance sustainable development. The implementing agency has divided each of its areas into five zones and each zone has a Senior Territory Manager, along with specialists in the engineering aspects and oversight of contractors as well as staff specialists in community engagement. The implementing agency works closely with local homeowners associations and block leaders to consult with all the stakeholders.
Robust Grievance Mechanism and Capacity to Implement	<ul style="list-style-type: none"> • In the Philippines, the implementing agency provides on-going assistance and addresses grievances (such as broken pipes, etc.), as required. Local leaders have also played a strong role in the project, and people are very much engaged. Grievances are easily addressed through direct contact of local people with their leaders/associations and/or implementing agency.

Consultation Processes: What Did Not Work

Inadequate Dissemination	<p>Communities highlighted that information did not reach them and that communication about the project was sub-optimal.</p> <ul style="list-style-type: none"> • In Bolivia, the project-affected people repeatedly reported on lack of on-going communications about the project and the
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	<p>application of stakeholder inputs. Poor dissemination of information and a lack of real consultation created misunderstandings, distrust and disruption to social cohesion, particularly among the poor.</p> <ul style="list-style-type: none"> • In Colombia, information about environmental and nuisance factors, such as the re-routing of traffic, the level of dust and noise during construction, etc., was not effectively communicated to the population.
Weak Consultation	<p>Communities reported that the quality and the scope of consultations were insufficient.</p> <ul style="list-style-type: none"> • In Bolivia, the project suffered from lack of early and broad-based public consultation, as opposed to simple disclosure. People generally had few opportunities to express their concerns or see their inputs recognized as the project proceeded. Instead, they often had to interact with project executors, mostly contractors working on site to resolve issues. This lack of good participation and support created conflicts in some case. People reported that some type of “social support” mechanisms like mediation should have been included in the project to bring people together and solve contentious issues. Women reportedly did not feel comfortable, particularly at night going to meetings where men would dominate. Thus, they felt a particular lack of ability to contribute their views. In summary, many people expressed the view that: “It was a good project, but it could have been better [if we had had more input].” Communities reported that the implementing agency did not seem clear about safeguard requirements related to consultation. They had been given very limited training on safeguards at the beginning of the project. Lack of monitoring was noted as an issue by some stakeholders, who indicated that the WB should have had a process in place to ensure the safeguards were being adhered to. • In Colombia, community perceptions about the project indicated a fairly high level of dissatisfaction about the processes that were applied during project implementation. They were generally happy with the initial dissemination, however they lacked further formal opportunities to express their concerns or see their inputs recognized as the project proceeded. They mentioned that they did not feel there was any way to address and solve various issues as they emerged. Essentially, project affected peoples had no recourse under any of the safeguards in this case. As in Bolivia, people expressed that project could have been improved through better consultation. • In Kenya, though people were generally well-consulted, the consultations did not seek input on the design of the new housing units and for this reason, units do not reflect family size. This has generated some negative perceptions. • In India, while the program documentation envisaged a very profound consultation process, implementation was not always followed through in the detail envisaged in the plans. People tried to have their issues resolved by approaching authorities through local leaders but this allegedly gave poor results. Women are reportedly never included in any community decision-making processes and the meetings held as part of the mission were the first occasions in their lives for village women to be consulted on public issues. Communities generally receive information from local leaders, but for this project they reported that no targeted information was disseminated. Had the communities been consulted, the road routes would have fully reflected the needs of local businesses therefore; economic impacts would have been stronger.
Insufficient Grievance Mechanism	<p>Communities commented that grievance mechanisms were either weak or non-existent.</p> <ul style="list-style-type: none"> • In Bolivia, sound grievance mechanisms were lacking. The project had taken much longer than anticipated, such that with the turnover of PCU members and contractors, records of complaints were missing or lost. Lack of monitoring was noted as an issue that disempowered people. • In Colombia, grievance mechanisms were known but no trust was placed in them. While some references were made to the presence of grievance offices, most of the interviewees stated that they were largely ineffective. • In India, there was no grievance mechanism. As such, approaching the authorities through the village leader was the most

	frequent way for addressing suggestions and grievances to the authorities. This allegedly gave poor results. According to the local district leader “masses are gathering in front of my office beginning at 8 o’clock”.
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Impacts on Communities: Positively Perceived Impacts

Positive Impacts	<p>Communities noted several positive impacts from the projects in the following areas: environmental; economic; and social.</p> <p>Environmental:</p> <ul style="list-style-type: none"> • In Bolivia, overall impacts were seen as positive. The following positive impacts were noted: Road paving reduced dust and mud; water courses/drainage improved; and residential plumbing reduced sewage to water courses. <p>Economic:</p> <ul style="list-style-type: none"> • In Colombia, many people saw benefits that came with an improved mass transport system. • In Philippines, water price per month dropped. Some were able to start businesses with the availability of water, due to the financial and time savings from the water availability. <p>Socio-Economic:</p> <ul style="list-style-type: none"> • In India, socio-economic impacts were noted as very positive, as all-season roads provide access to markets, more opportunities for diversification of and production of high-value crops, new employment opportunities for migrant workers, and increased value of agricultural land and other assets. Improved access to education was seen as strongest benefit, especially by women, who also value the access to maternal health services. Social interactions among the community also improved. • In Bolivia, people expressed overall satisfaction with the projects and noted that most people were “winners” as a result. Clear improvements were made to road and pedestrian access, playgrounds, daycare centers, sanitation, and water. In addition, with improvements to transportation corridors, there were evident improvements in economic development activities, including stimulation of small businesses. • In Tanzania, socio-economic impacts were positive due to increases in farm productivity (there are some uneven distributions of benefits in some respects). • In Philippines, informants reported a generally better community spirit and “relaxed” population.
Improved Access to Basic Services	<p>Communities noted that some projects provided them with better access to basic services such as education and water.</p> <ul style="list-style-type: none"> • In India, improved access to education seen as strongest benefit, especially by women, who also value the access to maternal health services. • In Philippines, availability of potable water to each household 24/7 improved public health and hygiene, with marked decreases in intestinal illnesses, and skin conditions. Previously, people had to wait in long lines at communal pumps, often walking long distances and having to get up in the very early morning hours with their children to carry water jugs. People also cited educational benefits as young people no longer had to get up early to carry water and get to school late. They now have more hours to put to their education and training activities.
Good Monitoring of Project	<ul style="list-style-type: none"> • In the Philippines, participatory on-going project monitoring was seen by stakeholders as a key in the success of the project.

Impacts on Communities: Negatively Perceived Impacts

Environmental and other Impacts	<p>Communities perceived several environmental and social impacts to be negative.</p> <ul style="list-style-type: none"> • In Colombia, large urban trees were seen by the local people as having patrimonial value but no planning or consultation was conducted to address this issue. Loss of patrimonial trees as habitats for local birds was also mentioned by stakeholders. • In India, poor quality of construction was perceived to be cause of drainage issues. Drainage issues prevented water to drain away properly and pooled on and along roads. • In Tanzania, communities observed impacts such as erosion and land degradation caused by flooded canals; construction practices issues; problems with regard to irrigation projects can occur for downstream users (i.e., water scarcity); lack of control of water quality raised as an issue by some; deforestation due to uncontrolled cutting of trees which damages the catchments of the water sources; and human waste going into irrigation water. These issues were well recognized by district and national environmental officers but not by farmers. Farmers are most aware of issues that affect them in day-to-day activities. • In Tanzania, pest management issues exist but are of less concern at present because currently cultivated crops do not require a lot of chemical treatment. These will probably gain more significance with the introduction of high value crops requiring more intensive treatment, following the improved access to irrigation. There is lack of training with regard to use of agrochemicals • In Bolivia, labour issues (e.g., poor working conditions, lack of local hires, and etc.) were stated as a cause for concern by some people. Poor construction practices and lack of quality supervision were also reported to be a problem, and on that people feel could have improved through a better local consultation.
Resettlement	<p>Communities noted that several negative impacts resulted from resettlement.</p> <p>Economic:</p> <ul style="list-style-type: none"> • In Bolivia, stakeholders did not identify involuntary resettlement however voluntary movement of building walls was required. This created conflicts when some people chose not to cooperate and led to erosion of social cohesion. Promises made to PAPs who voluntarily ceded property were not met in a number of cases by the PIU. Economic losses for business interruptions were not compensated. Contradictions between Bolivian laws and WB safeguards created “winners and losers” (i.e. those compensated under a Bank project versus those under other Bolivian projects). Bolivian law provides for cadastral, but not commercial, value losses • In Colombia, numerous people talked about the losses experienced by business and the loss of employment. Shops throughout the area suffered. Owners had to relocate their businesses, reduce personnel or, in some cases, even cease trading. Business owners felt they had rights, but did not know how they could proceed to claim these rights. No compensation for businesses losses. • In Kenya, concerns regarding economic losses have been anticipated to some extent in Resettlement Action Plan but they appear to have been generally underestimated. Insufficient attention was paid to assessment of community facilities other than residential units. The resettlement process was delayed, allowing a number of new PAPs to emerge and claim losses. Some potential “losers” were among the most vulnerable, such as orphans and those with large households. <p>Acquisition of Land:</p> <ul style="list-style-type: none"> • In India, minor impacts to private land were observed from resettlement. No significant changes in road alignments or extensions of roadways were enacted, with only minor broadening of existing road tracks. No official information was available about who were affected in what way, or what individual losses may be. “Voluntary donations” of land were required but questions were raised about the voluntary nature of centre donations. <p>Compensation:</p>

	<ul style="list-style-type: none"> In Kenya, the size/form of the compensation is raising concerns related the small living space that is being allocated to all, which is insufficient for larger families and families taking care of orphans. While the resettlement rule was reported to be “one household gets one structure”, there was no consideration for newly formed households that emerged after the census. A serious concern expressed by the community was also related to the alleged lack of compensation for public structures such as private schools and churches. While some mitigation measures were envisaged in the Resettlement Action Plan, the local community is not satisfied with (or/and not aware of) the suggested compensations. They are concerned with the limited access to the new schools, as well as with lack of access to churches and nurseries; <p>Social:</p> <ul style="list-style-type: none"> In Bolivia, social impacts were seen as negative in several respects, mainly because internal factions developed where some people refused physical resettlement (i.e., moving of walls to provide better road accesses, improve drainage courses, etc.) and others resented that the poorest people received benefits such as indoor plumbing. Many people noted that the lack of “social support” by the project implementers caused problems in the communities. Other social issues arose because the length of the transportation corridor being widened was long, and under construction for years, thereby creating a physical barrier that, to this day, has weakened the ties that once existed from one side of the street to the other. In Tanzania, inequality impacts were perceived to have resulted from tensions between the communities of completed and uncompleted irrigations schemes, and respectively tensions between downstream and upstream communities. <p>Delay in Resettlement Implementation:</p> <ul style="list-style-type: none"> In Kenya, serious delay in the implementation of the Resettlement Action Plan caused complications with compensation and mitigation measures. This has caused influx of new people claiming losses and loss of trust in the community with regard to resettlement process. External NGO-led approach was convenient but took away the option for development of local leadership development/association formation.
<p>Delay in Project Implementation</p>	<p>Communities in Tanzania and Colombia, noted delays in project implementation as a major issue.</p> <ul style="list-style-type: none"> In particular in Colombia, the delay in construction and operation of the project was by far the most important concern of the stakeholders interviewed. The consequences of the inordinate length of time in the execution of the structure of the system are considerable and have resulted in: a lack of confidence in the project team and in the implementing authority; losses for businesses and, taking into consideration the scope of the project, a perceived probability of an adverse influence on the level of private investment in the city; accidents and security problems; and development of an alternative transport system such as moto-taxis with an increased financial risk for the eventual operator of the bus routes.