

between the Bank and its borrowers – a partnership rooted in a common commitment to environmental and social sustainability. Such a partnership would better leverage the increasing capacity of many borrowers to identify and manage environmental and social risks and impacts. Where a borrower lacks such capacity, the Bank could, working with other development partners, deliver tailored capacity and institution building programs to strengthen the borrower’s institutions and systems. In this way, a new integrated framework could be a global public good that can yield sustainability benefits for borrowing countries, development partners, and the international community more broadly.

3. SCOPE OF THE REVIEW

The policies under review are the eight environmental and social safeguard policies – OP 4.01 **Environmental Assessment**, OP 4.04 **Natural Habitats**, OP 4.09 **Pest Management**, OP 4.10 **Indigenous Peoples**, OP 4.11 **Physical Cultural Resources**, OP 4.12 **Involuntary Resettlement**, OP 4.36 **Forests**, OP 4.37 **Safety of Dams** – as well as the **Policy on Piloting the Use of Borrower Systems for Environmental and Social Safeguards** (“Use of Country Systems”), OP 4.00.

As part of the review process the Bank will also consider if and how it could potentially address a number of emerging areas that stakeholders have asked to be considered. These include human rights; labor and occupational health and safety; gender; disability; the free, prior, and informed consent of Indigenous Peoples; land tenure and natural resources; and climate change. The Bank will consider these areas through internal dialogue and consultations with shareholders and stakeholders, as well as through a global series of dialogues with external experts.

4. CONSULTATIONS

Each of the three phases of the review will include a global consultation process to elicit input and feedback from interested shareholders and stakeholders in a broad, inclusive and transparent manner. Shareholders and stakeholders participation will be sought throughout the review process, from input to the review, to design and finalization of an integrated framework and policy recommendations. Inputs will be solicited from a diverse group of shareholders and stakeholders, both specific individuals, groups and parties, and open to all interested in contributing. The World Bank will seek input and feedback through a combination of country based face-to-face meetings, an online platform, focus groups with a sample of project-affected communities, and a global dialogue series on the emerging areas with external experts.

A. Objectives. The objectives of the consultation process are to:

- Shape and inform the development of an integrated framework of the next generation of safeguard policies that will benefit multiple stakeholders.
- Build a base for dialogue between the World Bank and its shareholders and stakeholders so that implementation of the outcome of the review will continue to benefit from diverse perspectives beyond the life of the review and update.

B. Shareholders and Stakeholders

The consultative process will seek the views of a diverse range of external stakeholders including, but not limited to the following:

- Representatives of borrowers;
- United Nations agencies;
- Multilateral and bilateral development partners;
- Private sector representatives;
- Development-oriented organizations and foundations;

- Academic and applied research institutions;
- Professional organizations and societies;
- Labor organizations;
- Indigenous Peoples representatives;
- Leaders and representatives of a sample of communities affected by Bank operations; and
- Civil society organizations at international, national and local level involved in advocacy or service delivery.

Feedback from communities directly affected by World Bank-funded projects that have applied the safeguard policies is particularly important. The World Bank will hold focus group meetings with a selected number of communities taking into account the following criteria: i.) communities from a variety of geographical locations; ii.) communities that have encountered a number of social and/or environmental issues during design and implementation of Bank-funded projects (large, complex or small); iii.) controversial Bank-funded projects that apply safeguard policies; and iv.) communities that have not yet surveyed multiple times for other studies.

5. CONSULTATION PROCESS

The consultation process will support the review and update in each of the three phases of the safeguards review. The following lays out the three consultation periods.

A. PHASE 1 (July 2012 – April 2013): Global Review of good practice and analytical work on emerging issues

1st Consultation Period – October 2012 to April 2013 (extended from February 15, 2013)

The World Bank will seek input and views on the review - [The World Bank's Safeguard Policies: Proposed Review and Update](#) - and possible directions for the development of an integrated framework.

To help shape the Bank's thinking on the next generation of safeguard policies, input from a variety of shareholders and stakeholders will be solicited on key topics that the Bank should consider in the course of the review. Areas for discussion include – but are not limited to – the following:

- aspects of the environmental and social safeguards policies that the Bank can improve to ensure that these policies continue to be an effective and efficient tool to achieve sustainable development and results on the ground;
- issues and challenges encountered during the application of safeguard policies;
- core principles that can promote sustainable development and that the Bank should consider, beyond those already reflected in Bank current safeguard policies;
- examples of environmental and social sustainability frameworks that the Bank should consider in the course of the review;
- additional factors the Bank should consider beyond the internal and external drivers described in the paper;
- recommendations with respect of any of the emerging areas described in the paper (i.e., disabilities; labor and occupational health and safety; human rights, land tenure and natural resources; free, prior and informed consent of Indigenous Peoples; gender; and climate change);
- examples of environmental and social assessment and risk management approaches (used by either public or private institutions) that are internationally recognized as good practice, which are not reflected in the current safeguard policies, but should be considered in the course of the review;
- aspects of the 2010 IEG study on the safeguard policies and the accompanying recommendations that are particularly important for the review and update process;
- recommendations to help the Bank promote a renewed partnership with its borrowers that is based on a common commitment to environmental and social sustainability;
- how the Bank can better support borrowers in their efforts to strengthen their systems and institutions with respect to environmental and social safeguards practices to yield more sustainable results on the ground.

The input collected will inform the development of a first draft of an integrated framework to be presented to the World Bank's Board of Executive Directors for its consideration, which is expected to be in July 2013.

Channels for consultation in this period will include: (1) face-to-face meetings with shareholders and stakeholders; (2) focus groups with a sample of project-affected communities; (3) face-to-face meetings during or alongside global, regional, or bilateral conferences; (4) online feedback through a dedicated consultation web platform; and (5) series of dialogues with internationally recognized experts on emerging areas.

B. PHASE 2 (scheduled for May 2013 – Nov 2013): Preparation of First Draft Integrated Framework

2nd Consultation Period – Dates To Be Confirmed

The World Bank will seek feedback on the first draft integrated framework developed from the global input received during the first consultation period. Issue-specific e-conferences to gather feedback on particular topics will also be conducted.

Channels for consultation will include the on-line consultation platform as well as face-to-face meetings. These meetings will be held at global and country levels, whenever possible multiple sites will be connected via video-conferencing to reach as many countries as possible. Focus groups with project-affected communities and issue-specific e-conferences on particular topics will continue during this phase.

C. PHASE 3 (scheduled for Dec 2013 – June 2014): Final Integrated Framework and Policy Recommendations

3rd Consultation Period – Dates To Be Confirmed

In this final consultation period, the World Bank will seek feedback on the revised integrated framework.

Channels for consultation will largely be on-line, but additional targeted face-to-face meetings may be held as needed.

6. TRANSPARENCY, NOTIFICATION, COMMUNICATIONS AND LANGUAGE

A dedicated consultation web page (www.worldbank.org/safeguardsconsultations) provides a platform for stakeholders and shareholders to provide input, participate in e-discussions and contribute to the review. Through this platform all interested individuals and parties can provide written comments on-line via a survey form. Input and comments can also be sent by downloading a Word version of the questionnaire available on the webpage and sending it by email to safeguardconsult@worldbank.org. Individuals and parties can also indicate their interest in joining scheduled multi-stakeholder face-to-face meetings by signing up on the webpage.

The webpage includes information related to the review and timeline, consultation process, relevant background information, related resources, the schedule – as it is confirmed - of face-to-face meetings, focus groups, dialogue series with international experts, and other relevant information as the review and consultation process progresses.

Key consultation documents (e.g., the Approach Paper, the consultation plan, the first and second draft integrated framework) will be made available in **Arabic, Chinese, English, French, Portuguese, Russian and Spanish**.

Participant lists, summaries of views and input (with no attribution) from country-based face-to-face meetings, online questionnaire, focus groups with project-affected communities and technical recommendations from the global dialogue series with international experts will be shared through the web page on a continuous basis through all phases of the consultations to provide information on shareholder and stakeholder contributions to the process.

The names, titles and profile of the international experts participating in the global dialogue series will be made available on the web page, along with locations and dates of the meetings.

Consultation materials, including summaries of meetings, focus groups and dialogue series, and participant lists, will be made available in the language in which the meeting is conducted.

Consultation meetings will be announced with as much advance notice as possible to facilitate informed participation of a diverse set of stakeholders.

A summary of all input and feedback received during each consultation period will be prepared after each period is completed, along with a document outlining how the issues raised during the consultations were addressed in the drafting of the framework paper. This document will be presented when reporting to the Board of Executive Directors.

7. INDICATIVE TIMELINE OF REVIEW AND CONSULTATIONS (as per Approach Paper of October 10, 2012)

Phase One**	July 2012 – April 2013	PHASE 1: Global Review of good practice and analytical work on emerging issues
	July – Oct 2012	Approach Paper
	Oct 2012 – April 2013	Consultations with shareholders and stakeholders seeking input on opportunities, emerging directions, and options to inform drafting of a policy framework. Mix of online, face to face meetings, focus groups with project- affected communities and global dialogue series on emerging areas with internationally recognized experts.
Phase Two	May – November 2013	PHASE 2: Preparation of First Draft Integrated Framework
	May – July	Draft Integrated framework
	July 2013	Report to CODE (Committee on Development Effectiveness) on the outcome of Phase 1 activities, and presentation of the initial draft Integrated Framework.
	<i>Dates of Consultation Period To Be Confirmed</i>	After CODE endorsement, consultations with shareholders and stakeholders seeking feedback on the initial draft Integrated Framework. Mix of online, face to face meetings, focus groups with project-affected communities, e-conferences.
Phase Three	Dec 2013 – June 2014	PHASE 3: Final Integrated Framework and Policy Recommendations
	<i>Dates to Be Confirmed</i>	Revisions to draft integrated framework
		Report to CODE on the outcome of Phase 2 activities and presentation of second draft Integrated Framework.
		Consultations with shareholders and stakeholders seeking feedback on the second draft Integrated Framework. Largely online, with some targeted face-to-face meetings as needed.
		Report to the Board of Directors on the outcome of the consultations on the second draft Integrated Framework, and presentation of the final Integrated Framework for approval.

***The closing of the first consultation period has been extended from February 15, 2013 to April 21, 2013. This may have an impact on the overall timeline of the safeguards review and update. The question of the overall timeline will be raised with Management and the Committee on Development Effectiveness. Therefore, the dates of the second and third consultation periods are to be confirmed.*

8. CONTACTS

Questions about the review and consultation process should be directed to the Safeguards Review team at safeguardconsult@worldbank.org.