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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 India
November 5-6, 2015*

Content

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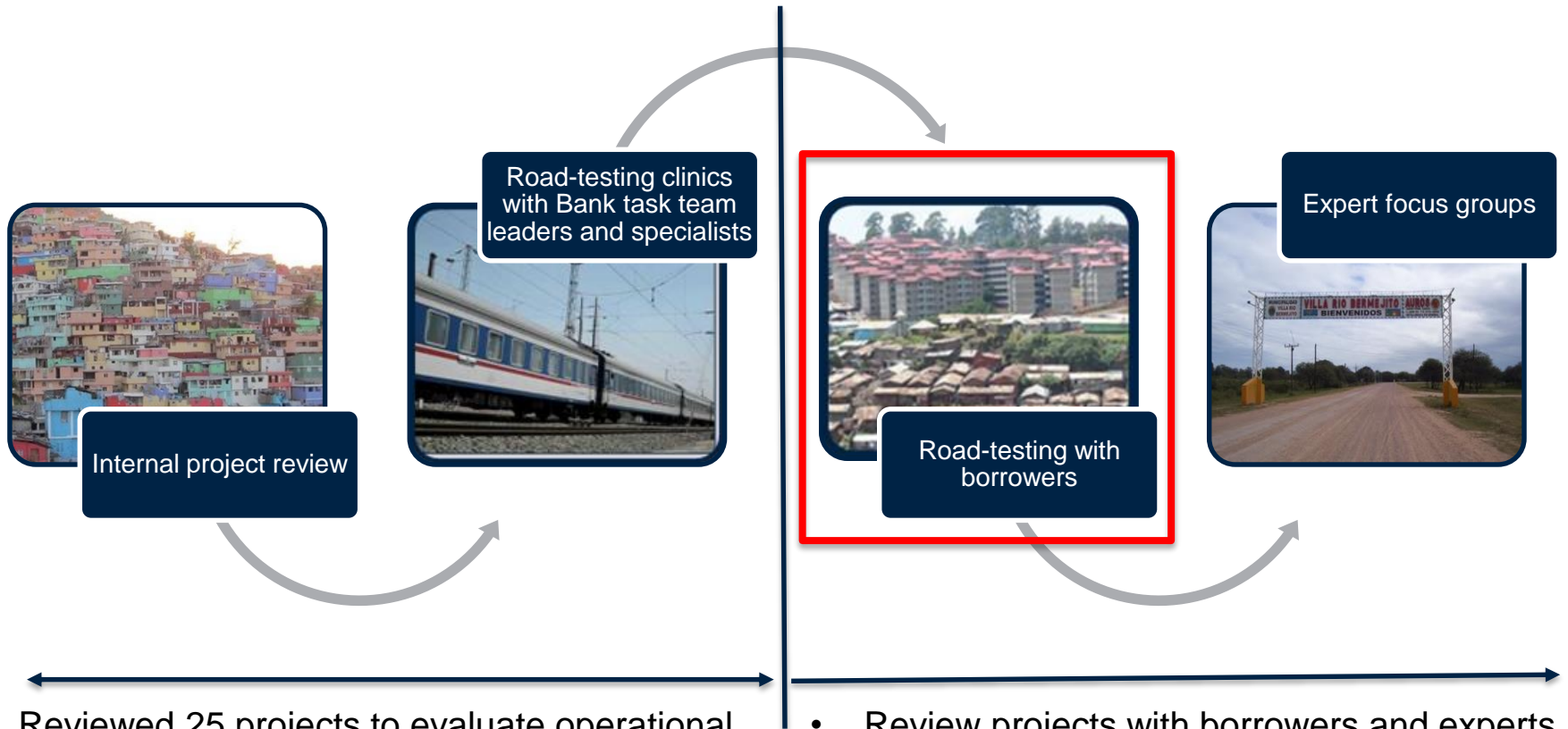


Objective

Road-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**

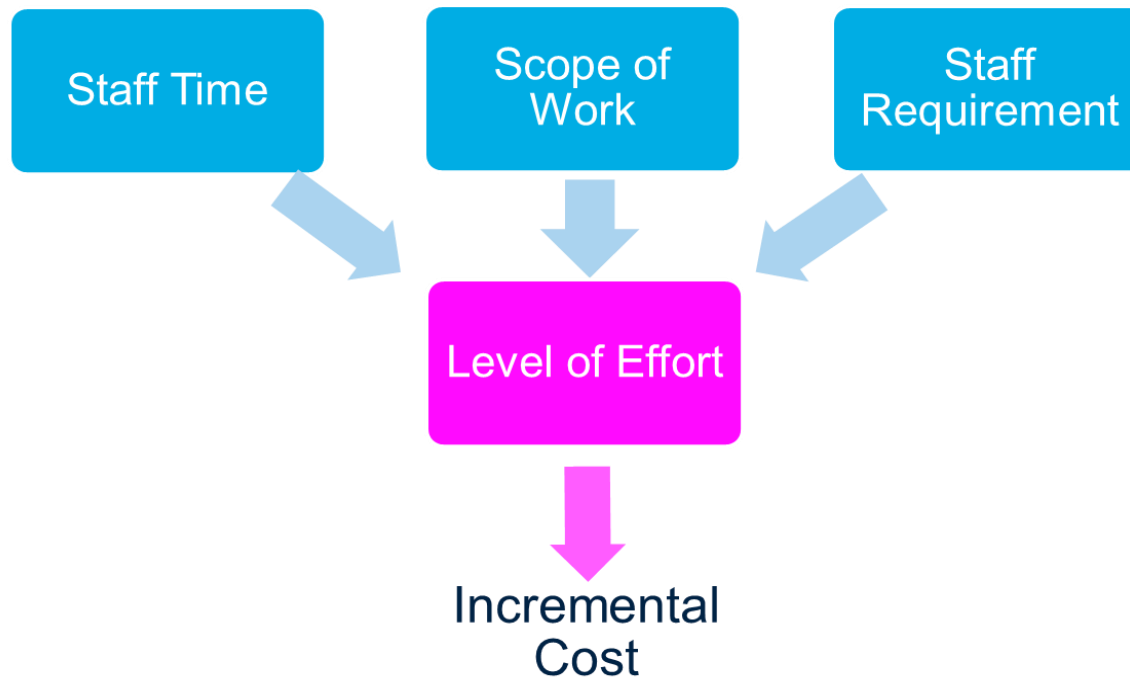
Methodology [1/2]

- 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 which may provide cost savings (e.g. maternal health or gender study).



Projects to be discussed today

- Eastern Dedicated Freight Corridor-II
- Tamil Nadu Sustainable Urban Development Project
- Punjab State Road Sector Project



Eastern Dedicated Freight Corridor (EDFC)- II



Eastern Dedicated Freight Corridor (EDFC)- II

Project facts

- **Objectives:** To: (a) provide additional rail transport capacity, improved service quality and higher freight throughput on the 393 km Kanpur-Mughal Sarai section of the Eastern Dedicated Freight Corridor; and (b) develop institutional capacity of DFCCIL to build, maintain and operate the entire DFC network.
- **Financing (US\$):** 1.1 billion
- **Environmental Category:** A
- **Safeguards Triggered:** Environment Assessment (OP 4.01), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12).
- **Safeguards Instruments:** Environment Assessment (which includes an Environmental Management Plan), Social Impact Assessment, and Resettlement Action Plan
- **Approved:** April 2014

Context

- Phase II of an Adaptable Program Loan which finances a total of 1,176 km of the EDFC from Ludhiana to Kolkata: EDFC1 (Khurja – Kanpur); and EDFC3 (Ludhiana – Khurja).
- Linear project. Impacts on physical and cultural properties have been identified in the EA and suitable mitigation measures (avoidance, restoration or relocation).
- Resettlement impacts

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

- Safeguards instruments (EIA, SIA and RAP) were prepared.
- The requirement of social impact assessment becomes more focused, and includes specific reference to vulnerable groups. However, this is currently done as best practice.
- The preparation of the ESCP will entail minor effort as this is basically a procedural aspect, and it specifies/refers to other documents/instruments such as EIA, SIA, and RAP. That is, this is a process of formalizing in a different manner elements/documents that we already have now
- The Bank will keep an up to date assessment of the Borrower framework. The major effort falls upon the Bank. Gol would meet with the Bank team and provide guidance to the Bank of accessing published documents and laws and regulations.
- Management of contractors is currently being done by the Borrower in terms of assessing E&S risks associated with them.
- The expected additional level of effort is low to moderate



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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 information to the bank and assist with Bank due diligence process.
- This ESS applies to direct workers, contracted workers, 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. Baseline information would be required to make a determination of the applicability of the standard.
- A grievance redress mechanism for all project workers and where relevant their organizations would be required to be established.
- The borrower will be responsible to set in place procedures for monitoring of this ESS.
- The expected additional level of effort is low to moderate



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ESS 3: Resource Efficiency and Pollution Prevention and Management

- No additional effort is required for applying technically and financially feasible pollution control measures, as the EMP prepared for the project includes measures for pollution control at work sites.
- The requirement for implementing technically and financially feasible measures for consumption efficiency in energy, water, raw materials is already mostly met since an energy optimization study is being prepared prepared for EDFC, as well as GHG analysis.
- The expected additional level of effort is low

ESS 4: Community Health and Safety

- Minor additional work is needed to meet the requirements of structural design safety in accordance with EHSB and GIMP, as currently the EIA does not refer to either.
- The EIA already contains a number of the requirements related to risk and impacts on the public from the project.
- Grade-separated junctions have been adopted to avoid the need for level crossings where pedestrians and all local vehicles must cross tracks. This improves safety since conflict points are reduced.
- Communities exposure to water borne, water based, communicable & non-communicable disease that could result from project activities is not mentioned in details in the EIA. Disease associated with presence of project labor was also not considered. These would need to be included under this standard.
- Emergency preparedness and preparation of Risk Hazard Assessment (RHA) and Emergency Response Plan (ERP) is required.
- The expected additional level of effort is moderate to high.



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

- The Project meets all the requirements of the standard in terms of work already completed under the Operational Policy 4.12 such as, the use of the cut-off date, classification of eligibility, holding of consultation with stakeholders, preparation of mitigation plans, providing compensation at replacement value, mitigation plans commensurate with the level of risk, provision of a grievance redress mechanism, M&E, disclosure of information etc.
- Regarding ensuring consultation with women, the project SIA already includes a reference to women as vulnerable groups. An NGO was proposed in the project design to monitor the RAP implementation, including strengthening women's participation in livelihood activities. Minor work would be required to explain/clarify the process of women targeting in the continuous consultation process. The same applies to other vulnerable groups.
- No additional effort is required for this ESS.



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

- The project design and components do not lend to any appreciable impact on the ecosystem and no critical habitat has been impacted. Avoidance of impacts on natural habitat is built-in in the project design.
- There are no threats from alien species etc. and hence no need to prepare a Biodiversity Management Plan or consider biodiversity offsets etc.
- Consequently, the requirement related to “ecosystem services” is not relevant in this case.
- No additional effort is required for this ESS.



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ESS 7: Indigenous Peoples

ESS 8: Cultural Heritage

ESS 9: Financial Intermediaries

ESS7

- No incremental cost as the SIA established the proposed project will not impact any tribal groups in the project area.
- The assessment found that there are no tribal specific habitations along the proposed EDFC corridor.
- Therefore, there is no incremental effort from the application of this ESS to this project.
- No additional effort is required for this ESS.

ESS8

- The “tangible” cultural resources were assessed and mitigation measures proposed related thereto.
- Need to ascertain whether “intangible heritage” exists in the area of the project.
- Expected incremental level of effort is low to none.

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

- The efforts towards this standard needs to be considered in conjunction with the work done for all the other ESS'es, particularly ESS 1, 5 and 7.
- The current approach is instrument-based and consultations have been held for the preparation of the safeguards instruments for this project (EIA, SIA, and RAP)
- Under the new ESS 10, stakeholder engagement for the E&S impacts and their mitigation is an on-going activity over the life of the project. The additional efforts in this context would be to include it in the project cycle particularly in implementation, M&E etc.
- Currently the project has a GRM in place to respond to complaints. Some minor effort would be required to disclose information about the status of resolution of all grievances.
- Other relevant activities also help in this regards (e.g. citizens' engagement)
- The expected additional level of effort is moderate to high.



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Tamil Nadu Sustainable Urban Development Project

Tamil Nadu Sustainable Urban Development Project

Project facts

- **Objectives:** To demonstrate improved urban management practices and improve urban service delivery in participating ULBs in a financially sustainable manner.
- **Financing (US\$):** 600 million
- **Environmental Category:** A
- **Safeguards Triggered:** Environment Assessment (OP 4.01), Involuntary Resettlement (OP 4.12).
- **Safeguards Instruments:** Environmental and Social Management Framework; for sub-projects: Environment Assessment, Social Impact Assessment & Resettlement Action Plan
- **Approved:** 2015

Context

- Results based grant for Urban governance
- Urban investment—urban services(water, sewerage, solid waste, urban transportation, storm water drainage etc.); credit enhancement; Project development .
- Urban Sector Technical Assistance-capacity building of ULB and state officials and support reform in urban finance and municipal governance.
- A number of participating Urban Local Bodies in selected urban areas
- Using framework approach
- Some ULBs have capacity to implement safeguards but not all have experience with Bank projects.
- Highest urbanized state in India with large slum population.
- Diverse environmental and social environment and potential for impact exists.
- 2 million beneficiaries to be targeted by all sub-projects

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

- Safeguards instruments (EIA, SIA and RAP) were prepared.
- The requirement of social impact assessment becomes more focused, and includes specific reference to vulnerable groups. However, this is currently done as best practice.
- The preparation of the ESCP will entail minor effort as this is basically a procedural aspect, and it specifies/refers to other documents/instruments such as EIA, SIA, and RAP. That is, this is a process of formalizing in a different manner elements/documents that we already have now
- The Bank will keep an up to date assessment of the Borrower framework. The major effort falls upon the Bank. Gol would meet with the Bank team and provide guidance to the Bank of accessing published documents and laws and regulations.
- Management of contractors is currently being done by the Borrower in terms of assessing E&S risks associated with them.
- The expected additional level of effort is low to moderate



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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 information to the bank and assist with Bank due diligence process.
- This ESS applies to direct workers, contracted workers, 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. Baseline information would be required to make a determination of the applicability of the standard.
- A grievance redress mechanism for all project workers and where relevant their organizations would be required to be established.
- The borrower will be responsible to set in place procedures for monitoring of this ESS.
- The expected additional level of effort is low to moderate



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ESS 3: Resource Efficiency and Pollution Prevention and Management

- No additional effort is required for applying technically and financially feasible pollution control measures, as the EMP prepared for the project includes measures for pollution control at work sites.
- The requirement for implementing technically and financially feasible measures for consumption efficiency in energy, water, raw materials is already mostly met since an energy optimization study is being prepared prepared for EDFC, as well as GHG analysis.
- The expected additional level of effort is low

ESS 4: Community Health and Safety

- Minor additional work is needed to meet the requirements of structural design safety in accordance with EHSR and GIMP, as currently the EIA does not refer to either.
- The EIA already contains a number of the requirements related to risk and impacts on the public from the project.
- Grade-separated junctions have been adopted to avoid the need for level crossings where pedestrians and all local vehicles must cross tracks. This improves safety since conflict points are reduced.
- Communities exposure to water borne, water based, communicable & non-communicable disease that could result from project activities is not mentioned in details in the EIA. Disease associated with presence of project labor was also not considered. These would need to be included under this standard.
- Emergency preparedness and preparation of Risk Hazard Assessment (RHA) and Emergency Response Plan (ERP) is required.
- The expected additional level of effort is moderate to high.



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

- The Project meets all the requirements of the standard in terms of work already completed under the Operational Policy 4.12 such as, the use of the cut-off date, classification of eligibility, holding of consultation with stakeholders, preparation of mitigation plans, providing compensation at replacement value, mitigation plans commensurate with the level of risk, provision of a grievance redress mechanism, M&E, disclosure of information etc.
- Regarding ensuring consultation with women, the project SIA already includes a reference to women as vulnerable groups. An NGO was proposed in the project design to monitor the RAP implementation, including strengthening women's participation in livelihood activities. Minor work would be required to explain/clarify the process of women targeting in the continuous consultation process. The same applies to other vulnerable groups.
- No additional effort is required for this ESS.



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

- The project design and components do not lend to any appreciable impact on the ecosystem and no critical habitat has been impacted. Avoidance of impacts on natural habitat is built-in in the project design.
- There are no threats from alien species etc. and hence no need to prepare a Biodiversity Management Plan or consider biodiversity offsets etc.
- Limited analysis of water bodies.
- The expected incremental level of effort is low.

ESS 7: Indigenous Peoples

ESS 8: Cultural Heritage

ESS 9: Financial Intermediaries

ESS7

- The overall population of IPs in the state is less than 1 percent.
- Furthermore, the project is located in the urban areas where the distinct characteristics of an Indigenous person is not visible.
- No additional effort is required for this ESS.

ESS8

- There is no implication for additional efforts in the application of this standard as there is no cultural property identified in the project area by the E&S assessments as reflected in the ISDS.

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

- The efforts towards this standard needs to be considered in conjunction with the work done for all the other ESS'es, particularly ESS 1, 5 and 7.
- The current approach is instrument-based and consultations have been held for the preparation of the safeguards instruments for this project (EIA, SIA, and RAP)
- Under the new ESS 10, stakeholder engagement for the E&S impacts and their mitigation is an on-going activity over the life of the project. The additional efforts in this context would be to include it in the project cycle particularly in implementation, M&E etc.
- Currently the project has a GRM in place to respond to complaints. Some minor effort would be required to disclose information about the status of resolution of all grievances.
- Other relevant activities also help in this regards (e.g. citizens' engagement)
- The expected additional level of effort is moderate to high.



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Punjab State Roads Project

Punjab State Road Sector Project

Project facts

- **Objectives:** To improve operating conditions of State roads for road users, in a sustainable way, thus helping to provide the business enabling environment necessary to support Punjab's economic development strategy.
- **Financing (US\$):** 450m (IBRD 250m)
- **Environmental Category:** A
- **Safeguards Triggered:** Environment Assessment (OP 4.01), Forest (OP4.36), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12).
- **Safeguards Instruments:** Environmental Screening Report, Environment Management Plans (for subprojects), Social Impact Assessment, Resettlement and Rehabilitation Policy Framework, and Resettlement Action Plans (for subprojects),
- **Approved:** December 2006

Context

- Component 1 is divided in two phases. Phase I include (i) upgrading about 153km of roads; (ii) rehabilitating/strengthening about 204km of roads; and (iii) periodic maintenance of about 463km. Phase II includes 500 km of upgrading and rehabilitation
- Linear project. Impacts on forests and physical and cultural properties have been identified in the EA
- During Phase 1, 4843 people was expected to be impacted

ESS1: Assessment and Management of Environmental and Social Risks and Impacts

- Safeguards instruments were prepared.
- The efforts required for restructuring might have been reduced by changing ESCP without formal restructuring procedure.
- Additional efforts would be required to widen the scope of the social assessment including identification of vulnerable/disadvantaged groups and their inclusion in the project benefits.
- The preparation of the ESCP will entail minor effort as this is basically a procedural aspect, and it specifies/refers to other documents/instruments such as EIA, SIA, and RAP. That is, this is a process of formalizing in a different manner elements/documents that we already have now
- The Bank will keep an up to date assessment of the Borrower framework. The major effort falls upon the Bank. Gol would meet with the Bank team and provide guidance to the Bank of accessing published documents and laws and regulations.
- Management of contractors is currently being done by the Borrower in terms of assessing E&S risks associated with them.
- The expected additional level of effort is moderate



ESS2: 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 information to the bank and assist with Bank due diligence process.
- This ESS applies to direct workers, contracted workers, 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. Baseline information would be required to make a determination of the applicability of the standard.
- A grievance redress mechanism for all project workers and where relevant their organizations would be required to be established.
- The borrower will be responsible to set in place procedures for monitoring of this ESS.
- The expected additional level of effort is low to moderate



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 either have been done or budgeted for under the project.
- Appropriate measures have been identified for pollution management relevant to this project. However, neither EHSG, GIIP, nor raw material minimization were considered to be required by the EA and hence not done.
- Annual estimation of GHG emission would be required.
- The expected additional level of effort is moderate

ESS4: Community Health and Safety

- Many of the issues are addressed in EIA or included in the contractor's agreement. However, some additional aspects would need attention.
- The location of infrastructure in high risk area was considered and the site chosen accordingly. There are provisions for traffic safety in the EMP. Safety risks from floods is also considered where an urban flood risk model is being developed.
- Communities exposure to water borne, water based, communicable & non-communicable disease that could result from project activities is not mentioned in details in the EIA except for mention of mosquito related diseases. Disease associated with presence of project labor was also not considered. These would need to be included under this standard.
- Since the infrastructure is relatively small, emergency preparedness, preparation of risk hazard assessment and emergency response plan is not considered in this project.

The expected additional level of effort is low.



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ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

- The Project meets all the requirements of the standard in terms of work already completed under the Operational Policy 4.12 such as, the use of the cut-off date, classification of eligibility, holding of consultation with stakeholders, preparation of mitigation plans, providing compensation at replacement value, mitigation plans commensurate with the level of risk, provision of a grievance redress mechanism, M&E, disclosure of information etc.
- Additional consultation targeted at women would be needed as the participation of women was limited. The same applies to other vulnerable groups.
- No additional effort is required for this ESS.



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ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

- No reserve forests and wildlife sanctuary were directly impacted in the project, but mitigation hierarchy needs to be clarified.
- Quantification of compensatory tree planting would be required to verify “no net loss”.
- Minor additional works are needed to analyze the value of modified habitat such as trees and grasses along the roads.
- Additional measures to address alien species during construction and operation are necessary.
- The expected incremental level of effort is moderate.



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ESS7: Indigenous People

ESS8: Cultural Heritage

ESS9: Financial Intermediaries

ESS7

- This policy was not applicable as there is no IPs in the project area
- No incremental efforts is required.

ESS8

- Mitigation measures for protection of cultural heritage was proposed in EMP and SIA/RAP
- Need to ascertain whether “intangible heritage” exists in the area of the project through consultation
- Expected incremental level of effort is low to none.

ESS9

- Presently there are no FIs in the project
- No incremental efforts is required.

ESS10: Stakeholder Engagement and Information Disclosure

- The efforts towards this standard needs to be considered in conjunction with the work done for all the other ESS'es, particularly ESS 1, 5 and 7.
- The current approach is instrument-based and consultations have been held for the preparation of the safeguards instruments for this project (EIA, SIA, and RAP)
- Under the new ESS 10, stakeholder engagement for the E&S impacts and their mitigation is an on-going activity over the life of the project. The additional efforts in this context would be to include it in the project cycle particularly in implementation, M&E etc.
- Currently the project has a GRM in place to respond to complaints. Some minor effort would be required to disclose information about the status of resolution of all grievances.
- Other relevant activities also help in this regards (e.g. citizens' engagement)
- The expected additional level of effort is moderate to high.



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?



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More information available at:

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