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# Setting Standards for Sustainable Development

## Update and Review of the World Bank's Safeguard Policies

### *Country Case Studies*

*Phase 3 Consultation in  
Rwanda  
January 13-15, 2016*

# Content

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

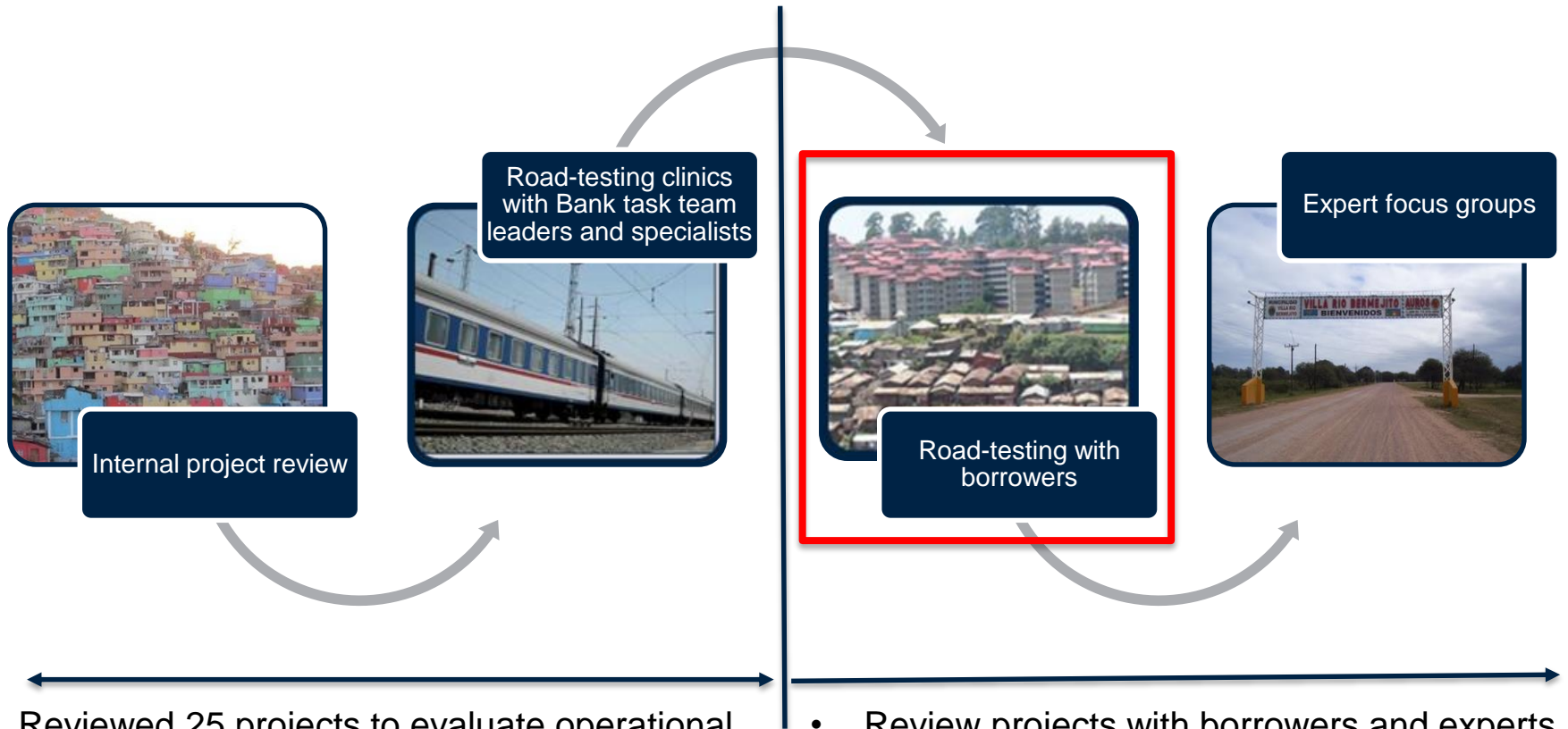


# Objective

## 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

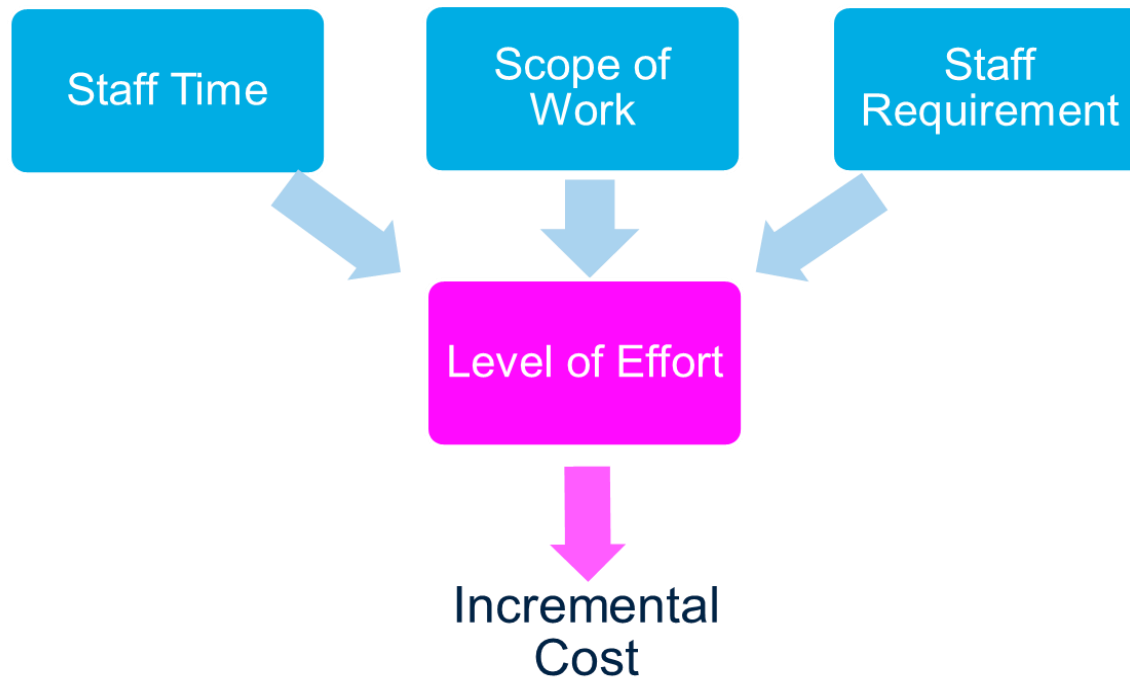
# Methodology [1/2]

- 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
<b>NO CHANGE/COST SAVINGS</b>	--	--	--
<b>LOW</b>	Hours	Limited work, building on existing analysis already done for the project with fine tuning	Environmental and social qualified staff
<b>MODERATE</b>	Days	Minor additional works, also based on existing analysis already done for the project.	Environmental and social qualified staff supplemented by credible external staff
<b>HIGH</b>	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

- Rwanda Land Husbandry, Water Harvesting and Hillside Irrigation Project
- Rwanda Feeder Roads Development Project

# Rwanda Land Husbandry, Water Harvesting and Hillside Irrigation Project





# Rwanda Land Husbandry, Water Harvesting and Hillside Irrigation Project

## Project facts

- **Objectives:** The LWH Project uses a modified watershed approach to introduce sustainable land husbandry measures for hillside agriculture on selected sites, as well as developing hillside irrigation for sub-sections of each site. The Project envisions the production of high valued horticultural crops with the strongest marketing potential (with particular focus on organics) on irrigated portions of hillsides, and the improved productivity and commercialization of rainfed crops on the rest (the majority) of the site catchment-area hillsides. The LWH represents a transformation of hillside intensification with a view to increasing productivity in an environmentally sustainable manner. As with all transformation, it requires high levels of participation and ownership by women and men in the project areas. As such, throughout the project description below, the Project will use participatory land-use processes to promote high stakeholder involvement and buy-in, and to empower women and men in the community for comprehensive land management work. The LWH Project has two components aimed at (A) developing the human and organizational capacity and (B) the required physical infrastructure for hillside intensification and transformation, as well as a third component (C) for Sectorwide Approach (SWAp) project implementation and management.

# Rwanda Land Husbandry, Water Harvesting and Hillside Irrigation Project

**Financing (US\$):** 34 million (IDA)

**Environmental Category:** B

**Safeguards Triggered:** Environment Assessment (OP 4.01), Natural Habitats (OP 4.04), Pest Management (OP 4.09), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12), Forests (OP 4.36), Safety of Dams (OP 4.37), International Waterways (OP 7.50).

**Safeguards Instruments:** Environmental and Social Management Framework, Environmental Impact Assessment, Environmental Management Plans (4), Pest Management Plan, Resettlement Policy Framework, Small Dam Management/Safety Guidelines (Rwanda) (2), Process Frameworks (3), Resettlement Action Plans (3)

**Approved:** December 2009

**Context:**

- Project followed various post-conflict efforts to re-establish agriculture
- Challenges: extreme poverty, high population density, steep terrains, mostly rainfed agriculture
- Impacts on land use, forests and protected areas; also, land acquisition/resettlement impacts

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

- Safeguards instruments (ESMF, ESMPs, PPMP and RPF) 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. In some cases the preparation of framework might not be necessary.
- The Bank will keep an up to date assessment of the Borrower framework. The major effort falls upon the Bank. GoM 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, and arguably could be less than the case with the Operational Policies.



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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 moderate to substantial.



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# **ESS 3: Resource Efficiency and Pollution Prevention and Management**

- No significant additional effort is required for applying technically and financially feasible pollution control measures, as the EMPs prepared for each of the project sites include measures for pollution control at work sites. A specific PPMP has also been prepared to address specifically the issue of pesticides use.
- The identification of technically and financially feasible measures for consumption efficiency in energy, water, raw materials as well as GHGs minimization measures would have to be done in more detail under the ESS3.
- The expected additional level of effort is moderate

# ESS 4: Community Health and Safety

- Minor additional work is needed to meet the requirements of structural design safety in accordance with EHSg and GIIP, as currently the EIA does not refer to either.
- The EIA already contains a number of requirements related to risk and impacts on the public from the project.
- 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, preparation of Process Frameworks to address crop planting restrictions resulting from reforestation and protection of watersheds and catchment areas, use of the cut-off date for involuntary resettlement, classification of eligibility of project-affected people (PAPs), holding of consultation with stakeholders, preparation of mitigation plans, providing compensation at replacement value and commensurate with the level of risk, provision of a grievance redress mechanism, M&E, disclosure of information etc.
- 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 lead to any appreciable impact on the ecosystem and no critical habitat is being 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.



# **ESS 7: Indigenous Peoples**

## **ESS 8: Cultural Heritage**

## **ESS 9: Financial Intermediaries**

### **ESS7**

- There are no Indigenous Peoples in the project area.
- 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's, particularly ESS 1 and 5.
- The current approach is instrument-based and consultations have been held for the preparation of the safeguards instruments for this project (ESMF, EIA, EMPs, PMP, RPF, RAPs and Process Frameworks)
- 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 regard (e.g. citizens' engagement)
- The expected additional level of effort is moderate.



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# Rwanda Feeder Roads Development Project



# Rwanda Feeder Roads Development Project

## Project facts

- **Objectives:** The proposed project contributes to the overarching goal of increasing agricultural production, ensuring food security, and enhancing agricultural marketing. This project, coupled with the agriculture operations, is expected to have impact on improving the livelihood of the rural populations. The project has three components: Component 1 – Rehabilitation, Upgrading and Maintenance of Selected Feeder Roads, enhancing connectivity to agricultural marketing centers, high agricultural production areas, and the classified road network. The objective is to improve about 310 km of feeder roads in four districts to be improved under the proposed project; Component 2 – Strategy Development for Rural Access, Transport Mobility Improvement and Support to Institutional Development Support to Preparation of Follow-on Operations; and Component 3 – Support to project management, including TA for technical, environmental, social and financial audits.
- **Financing (US\$):** 45 million (IDA)
- **Environmental Category:** A
- **Safeguards Triggered:** Environmental Assessment (OP 4.01), Natural Habitats (OP 4.04), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12), Forests (OP 4.36)
- **Safeguards Instruments:** Environmental and Social Management Framework, Environmental and Social Impact Assessments (4), Resettlement Policy Framework, Resettlement Action Plans (4)
- **Approved:** March 2014

# Rwanda Feeder Roads Development Project

## Context:

- (a) Linkage to efforts to strengthen agricultural sector
- (b) Challenges: absence of a comprehensive feeder roads development strategy and program; inadequate institutional capacity; insufficient maintenance funding; and ambitious project scope with small resource envelope.

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

- During preparation several safeguards instruments were prepared including an ESMF, 4 ESIAs, RPF and RAPs for the selected roads.
- 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 ESIA, PMP and RAP. That is, this is a process of formalizing in a different manner elements/documents that we already have now. In some cases the preparation of framework might not be necessary.
- The Bank will keep an up to date assessment of the Borrower framework. The major effort falls upon the Bank. GoR would help in ensuring access to relevant new enacted laws and regulations.
- Particular attention has to be given to the oversight of contractors with regards to the management of E&S risks
- The expected additional level of effort is low, and arguably could be less than the case with the Operational Policies.



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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.
- Some 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 moderate to substantial.



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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 ESIA/ESMPs prepared for the project includes measures for pollution control at work sites.
- The identification of technically and financially feasible measures for consumption efficiency in energy, water, raw materials as well as GHGs minimization measures would have to be done in more detail under the ESS3.
- The expected additional level of effort is low.



# ESS 4: Community Health and Safety

- Ensure that health and safety aspects in the ESIs are appropriately assessed to meet the requirements of structural design safety in accordance with EHS and GIIP.
- Emergency preparedness and preparation of Risk Hazard Assessment (RHA) and Emergency Response Plan (ERP) would be required under this ESS to describe mitigation measures in case of abrupt (natural or man-made) destruction of the roads, in case it is established this destruction could lead to duress for the population.
- The expected additional level of effort is moderate to high.

# 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.
- 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.
- No additional effort is required for this ESS.

# **ESS 7: Indigenous Peoples**

## **ESS 8: Cultural Heritage**

### **ESS 9: Financial Intermediaries**

#### **ESS7**

- There are no Indigenous Peoples in the project area.
- No additional effort is required for this ESS.

#### **ESS8**

- The “tangible” cultural resources were taken into consideration and the ESIAs contained “chance find” procedures.
- Need to ascertain whether “intangible heritage” exists in the area of the project.
- Expected incremental level of effort is low to none.

#### **ESS9**

- The project does not rely on FIs 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's, particularly ESS 1 and 5.
- The current approach is instrument-based and consultations have been held for the preparation of the ESMF, ESIAs, RPF and RAPs for this project
- 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 substantial.



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# 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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# THANK YOU

More information available at:

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