



## **REVIEW AND UPDATE OF THE WORLD BANK ENVIRONMENTAL AND SOCIAL SAFEGUARD POLICIES**

### **Plan for Consultations with External Stakeholders for Phase 2 of the Policy Review and Update**

The World Bank is reviewing and updating its environmental and social safeguard policies. As part of this review, the World Bank is consulting with shareholders and stakeholders to seek their input and feedback into the development of an updated set of policies that embody core values of the institution and are the cornerstone of the Bank's efforts to protect people and the environment and to ensure good development outcomes. Throughout the review process, the Bank will seek the views of shareholders and a wide range of stakeholders to help shape the next generation of safeguard policies. In Phase 2 of the review, the World Bank will seek feedback on the first draft of the Environment and Social Framework. A dedicated website ([www.worldbank.org/safeguardsconsultations](http://www.worldbank.org/safeguardsconsultations)) contains all information about the review and the consultation process.

#### **1. REVIEW PROCESS**

The review process is envisaged to span two years and, as needed, two to three review phases. This approach to the review, described in [The World Bank's Safeguard Policies: Proposed Review and Update](#), was endorsed by the Committee on Development Effectiveness (CODE) of the World Bank's Board of Executive Directors on October 10, 2012.

Following the presentation to CODE of the Approach Paper in October 2012, the Bank carried out a first phase of consultations with shareholders, internal stakeholders, and a wide range of external participants to seek inputs on opportunities, emerging directions, and options to inform the drafting of a new proposed policy framework. Consultations were held online and face-to-face from October 2012 to March 2014, reaching more than 2,000 stakeholders from over 40 countries from all regions across the world. The consultative process included dedicated meetings with Indigenous Peoples and project-affected people as well as expert meetings on 'emerging areas' such as climate change, human rights, labor issues, and land tenure. In parallel, a global review of good practices and lessons learned was conducted, including of other multilateral development banks.

Focus group meetings with selected communities were conducted, taking into account the following representation 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; iii) communities affected by high-risk Bank-funded projects that apply safeguard policies; and iv) communities that have not yet been surveyed multiple times for other studies. A worldwide [dialogue](#) with Indigenous Peoples leaders and organizations was conducted between 2013 and 2014.

A [summary of the input received](#) from consultations in Phase 1 of the review as well as information on the overall consultation process can be found on the [dedicated consultation website](#).

On July 30, 2014, CODE discussed a first draft of the Environmental and Social Framework. Committee members authorized the release of the proposal document for consultation purposes to seek feedback on its content. It has not endorsed the content of the draft, and the CODE and the Board will consider the proposed document following consultations.

Based on this, Management will launch the second phase of the review and update process. The Framework will be translated and publicly disclosed for comment. The paper will be accessible at [www.worldbank.org/safeguardsconsultations](http://www.worldbank.org/safeguardsconsultations). Stakeholders will be asked to provide feedback on the Framework through an online consultation platform as well as targeted and issue-specific face-to-face meetings as needed.

## 2. RATIONALE FOR REVIEW, OBJECTIVES AND SCOPE

This review and update provides an opportunity for the World Bank to build on the core principles of the current safeguard policies; improve coverage of environmental and social risks; deliver better environmental and social outcomes in the projects and programs it supports; and help Borrowers to deliver sustainable results on the ground. The current safeguard policies have served the World Bank, its client countries, and the development community well over the past two decades. In the spirit of continuous improvement in the face of changing contexts and circumstances, the Bank is evolving these crucial policies to better address new development demands and challenges and to better meet the varied needs of Borrowers that range from middle-income countries with well-developed institutions and capacities, to low-income countries with weaker governance and institutions, to fragile and conflict-affected states where more tailored and coordinated interventions are required. The safeguards review and update is part of a larger modernization effort within the institution, which includes separate but complementary reviews of [Investment Lending](#), to which the safeguard policies are applied, as well as [operational procurement policies](#).

The Review and Update has also been prompted by the findings of the 2010 evaluation of the safeguard policies conducted by the World Bank's Independent Evaluation Group (IEG). This evaluation, titled [Safeguards and Sustainability Policies in a Changing World: An Independent Evaluation of World Bank Group Experience](#), provides the first comprehensive evaluation of the Bank's safeguard policies since they were first formulated in 1989. The IEG findings represent a valuable resource and point of reference for the Review and Update.

### REVIEW OBJECTIVES

The **main objective** of the review is to strengthen the effectiveness of the safeguard policies in order to enhance the development impact of World Bank-supported projects and programs. While the final form and content cannot be determined at the outset, Bank Management anticipates that the review process will lead to a cohesive framework that will distinguish principles, policies, and procedures; enhance policy clarity and coherence; clarify objectives and desired outcomes; improve synergy across policies; consolidate fragmented or duplicative policies; streamline guidance; and better delineate roles and responsibilities of the Bank and the borrower.

Beyond the objective of enhancing the development effectiveness of the projects and programs it supports, a modernized safeguards framework can serve as the basis of a renewed partnership 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.

## 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 is also considering 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 has considered these areas through internal dialogue and consultations with shareholders and stakeholders, as well as through a global series of dialogues with external experts conducted during Phase 1 of the review.

## 3. CONSULTATION PROCESS

### OBJECTIVES

The multi-stage review of the World Bank’s environmental and safeguard policies is supported by several periods of global multi-stakeholder consultations to elicit input and feedback from interested stakeholders in as broad, inclusive, and transparent a manner as possible. Participation and input from shareholders and stakeholders will be sought throughout the review process. Inputs will be solicited from a diverse group of shareholders and stakeholders and all who are interested in contributing.

The objectives of the consultation process are to:

- Shape and inform the development of a framework of the next generation of safeguard policies that will benefit multiple stakeholders.
- Create a space for dialogue and participation of stakeholders so that the proposed revisions of the policies as well as their future implementation can benefit from different perspectives.
- Help to frame and guide the formulation of specific revisions, taking into account implications for implementation and operations.

The envisaged outcomes of the consultation include:

- A new proposed policy framework for consideration by the World Bank's Executive Directors, which will consider and reflect stakeholder input as appropriate.
- A consultation report including a summary of all stakeholder feedback.
- A response from the Bank on how stakeholder feedback informed the final draft of the policy framework.

## FORMAT

Consultations for the second phase of the review will seek feedback on the first draft of the Environmental and Social Framework and commence after the discussion of this framework by Executive Directors. The draft framework along with this consultation plan and all relevant information will be made available on the dedicated consultation website ([www.worldbank.org/safeguardsconsultations](http://www.worldbank.org/safeguardsconsultations)).

The global multi-stakeholder consultation will include a pre-consultation period of about one month (indicative) and a consultation period of about three months (indicative), during which input from stakeholders will be sought through a combination of formats, including online channels and targeted face-to-face meetings. By engaging prior to the start of consultations the World Bank hopes that interested stakeholders will have sufficient time to formulate their thoughts and opinions on the proposed framework.

### Pre-consultation

The pre-consultation period will provide opportunities for stakeholders to ask clarifying questions to the Review Team and gain a broad understanding of the draft proposed framework. During this period the proposed draft Environmental and Social Framework will be made available on the consultation website along with relevant documents and explanatory materials. Online consultation methodologies such as chats and forums will be utilized as appropriate.

### Global multi-stakeholder consultation

The pre-consultation period will be followed by global multi-stakeholder consultations for a period of about three months (indicative). The process will adopt a multi-pronged approach that includes a global web platform as well as country-based or regional face-to-face meetings, complemented by video conferences. Countries for meetings will be selected according to a combination of factors, including ensuring adequate coverage of the constituencies of the World Bank's Board of Executive Directors, achieving a balanced representation of middle and low income economies, considerations of existing portfolio and operations with safeguard applications, and logistical and safety considerations. The World Bank will make special efforts to seek the views of as wide and diverse a population of stakeholders as possible. Consultations with Indigenous Peoples will continue during this phase as needed.

Stakeholders will have the opportunity to submit comments on the draft framework through an online consultation platform, where they can also access relevant information on targeted and issue-specific meetings as well as ask questions and access answers.

All feedback received will be compiled and summarized for the Policy Review Team’s review and will be considered as the review progresses. The World Bank will publish a summary of all feedback received and will outline how stakeholder feedback was taken into account.

#### INDICATIVE TIMELINE AND KEY ACTIVITIES

Timeline	Phase	Description
July 2012 – July 2014	Phase 1	Phase 1 included the following <i>concurrent activities</i> : <ul style="list-style-type: none"> <li>• A global review of good practice / lessons learned</li> <li>• Preparation and presentation to CODE of the Approach Paper</li> <li>• Initial consultations with shareholders and internal stakeholders</li> <li>• External consultations seeking input on opportunities, emerging directions, and options to inform drafting of a framework</li> <li>• Expert meetings on emerging issues</li> <li>• Preparation of an initial draft of an Environmental and Social Framework, incorporating the objectives of the review and update process and taking into account feedback received from stakeholders</li> </ul>
July 2014 – Dec 2014 <i>(Indicative)</i>	Phase 2	Phase 2 will include: <ul style="list-style-type: none"> <li>• Report to CODE on the outcome of the Phase 1 activities, and presentation of initial draft Environmental and Social Framework</li> <li>• Pre-consultation period of about one month with activities to allow stakeholders to familiarize themselves with the Framework</li> <li>• External consultations seeking feedback on initial draft Framework for a period of three months</li> <li>• Report to CODE on the outcome of the Phase 2 activities</li> <li>• Preparation of second draft Framework that takes into account feedback received from stakeholders, to be presented to the Board of Executive Directors for approval in early 2015</li> </ul>

If further clarification is needed, the World Bank is prepared to conduct a third phase to finalize the Environmental and Social Framework.

#### 4. TRANSPARENCY, NOTIFICATION, COMMUNICATIONS AND LANGUAGE

A dedicated consultation web page ([www.worldbank.org/safeguardsconsultations](http://www.worldbank.org/safeguardsconsultations)) will provide a platform for shareholders and stakeholders to provide input, participate in discussions, and contribute to the review. Through this platform all interested individuals and parties can

provide written comments through a range of appropriate online channels. Input and comments can also be submitted by email to [safeguardconsult@worldbank.org](mailto:safeguardconsult@worldbank.org).

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, and other relevant information as the review and consultation process progresses.

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

Participant lists as well as summaries of views and input from stakeholders (without attribution) will be shared through the webpage on a continuous basis through all phases of the consultations to provide information on shareholder and stakeholder contributions to the process. Consultation materials will be made available in the language in which the consultation 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. All effort will be made to ensure that all locations of meetings will be accessible to disabled persons.

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.

## **5. CONTACT**

Questions about the review and consultation process should be directed to the Safeguards Review team at [safeguardconsult@worldbank.org](mailto:safeguardconsult@worldbank.org).