



Stakeholder Engagement Plan

07 April 2021

Safeguard Policy Statement Review and Update

Stakeholder Engagement Plan

Draft for Consultation

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Asian Development Bank

**Safeguard Policy Statement Review and Update
STAKEHOLDER ENGAGEMENT PLAN
DRAFT**

Date: 7 April 2021

I. Background

1. The Asian Development Bank (ADB) is conducting a comprehensive review and update of the 2009 Safeguard Policy Statement (SPS). The update is being launched following a review of the policy's effectiveness by ADB's Independent Evaluation Department (IED)¹. ADB's environmental and social safeguards are a cornerstone of its support to inclusive economic growth and environmental sustainability in the Asia and Pacific region.

2. When first approved in 2009, the SPS was widely considered a progressive policy. While the core elements of ADB's Safeguard Policy remain relevant, a number of multilateral financial institutions (MFIs) such as the Asian Infrastructure Investment Bank (AIIB), European Bank for Reconstruction and Development (EBRD), Inter-American Development Bank (IDB), International Finance Corporation (IFC), and the World Bank (WB), have recently updated their safeguard frameworks. While these updated frameworks are consistent with ADB in terms of the core environmental and social policy principles, they have expanded the scope of safeguards to areas such as stakeholder engagement, labor and working conditions, cultural heritage, primary supply chains, fragile and conflict situations, and climate change. Vulnerabilities such as disability, sexual exploitation, abuse, and harassment (SEAH), and sexual orientation and gender identity (SOGI) are also receiving more attention within and outside of safeguards. ADB addresses many of these issues fully or partially through a range of existing policies and strategies, including ADB's Strategy 2030.² However, these generally cover a mix of long-term development objectives and aspirational goals, as well as risk management measures, so their relationship with safeguards needs to be more carefully considered.

3. The evaluation of the SPS, concluded by IED in May 2020, recommended the policy be updated to achieve greater harmonization with other MFIs and to remain relevant in responding to evolving development needs. The IED evaluation recommended that ADB: (i) modernize the policy, building off ADB implementation experiences and recent updates by other multi-lateral financial institutions (MFIs), including customization to both public and private sector operations; (ii) adopt a new approach in the policy to strengthening borrower systems, with improvement and pragmatic use of country systems; (iii) introduce a new safeguards implementation framework including an updated oversight structure and reporting lines; (iv) underpin the safeguards policy and implementation framework with sufficiently detailed policy guidance and good practice notes;

¹ Independent Evaluation Department. 2020. *Evaluation Document: Effectiveness of the 2009 Safeguard Policy Statement*. ADB: Manila. <https://www.adb.org/documents/effectiveness-2009-safeguard-policy-statement>

² ADB. 2018. *Strategy 2030: Achieving a Prosperous, Inclusive, Resilient, and Sustainable Asia and the Pacific*. Manila; ADB. 2019. *Strategy 2030 Operational Plan for Priority 1: Addressing Remaining Poverty and Reducing Inequalities, 2019–2024*. Manila; ADB. 2019. *Strategy 2030 Operational Plan for Priority 2: Accelerating Progress in Gender Equality, 2019–2024*. Manila; ADB. 2001. *Social Protection Strategy*. Manila; ADB. 2003. *Policy on Gender and Development*. Manila; ADB. 2009. *Energy Policy*. Manila; ADB. 2012. *Accountability Mechanism Policy*. Manila; ADB. 2017. *Climate Change Operational Framework 2017–2030: Enhanced Actions for Low Greenhouse Gas Emissions and Climate-Resilient Development*. Manila; ADB. 2014. *Operational Plan for Integrated Disaster Risk Management, 2014–2020*. Manila; ADB. 2013. *Operational Plan for Enhancing ADB's Effectiveness in Fragile and Conflict-Affected Situations*. Manila; and ADB. 2018. *Access to Information Policy*. Manila.

and (v) assess the necessary staffing complement and skills needed to deliver the safeguards implementation framework. ADB Management has endorsed the IED recommendations and will prepare a policy update over a period from September 2020 to March 2023.

4. In the SPS review, ADB will utilize an inclusive process to solicit feedback from government, private sector, civil society stakeholders and people affected by ADB financed projects. ADB commits to ensure that a meaningful consultation process will be conducted, including sharing information in a timely and transparent manner, and seeking open inputs and feedback from stakeholders throughout the entirety of policy review process. This will include seeking inputs from stakeholders from different perspectives and various backgrounds. The review will entail a series of internal and external stakeholder consultations, which will continue until the updated policy is finalized. The process will build on preliminary consultations undertaken with selected civil society organizations including the NGO Forum on ADB (June, November 2020 and March 2021) and with a range of Washington DC-based NGOs in July 2020.

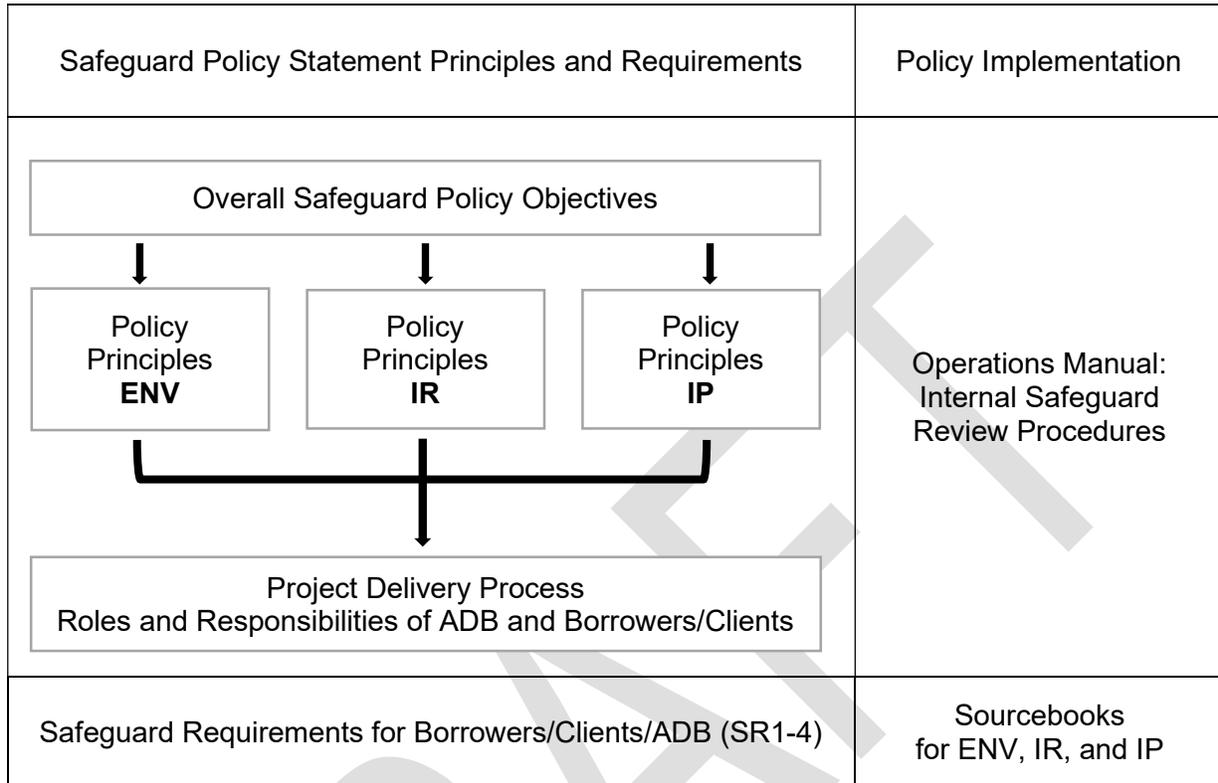
II. Overview of ADB Safeguard Policy Statement 2009

5. The SPS provides an overarching statement on ADB's commitment to environmental and social sustainability, that sets out three policy objectives:

- (i) to avoid adverse impacts of projects on the environment and affected people, where possible;
- (ii) to minimize, mitigate, and/or compensate for adverse project impacts on the environment and affected people when avoidance is not possible; and
- (iii) to help borrowers/clients to strengthen their safeguard systems and develop the capacity to manage environmental and social risks.

6. The SPS has three sets of Safeguard Policy Principles (see **Figure 1**) covering: (i) Environmental Safeguards (ENV), (ii) Involuntary Resettlement Safeguards (IR), and (iii) Indigenous Peoples (IP) Safeguards. In addition, it also provides a description of the policy delivery process, roles and responsibilities of ADB and its borrowers, and monitoring and implementation arrangements. The policy includes a structured process of impact assessment, planning, and mitigation to address the adverse effects of projects throughout the project cycle. It requires that (i) impacts are identified and assessed early in the project cycle; (ii) plans are developed and implemented to avoid, minimize, mitigate, or compensate for the potential adverse impacts; and (iii) affected people are informed and consulted during project preparation and implementation. The Safeguard Policy applies to all ADB-financed projects, including private sector operations, and to all project components.³

³ ADB. *Safeguard Policy Statement*. 2009. Page 5, Section III, Part A, Paragraph 15. Manila.

Figure 1: Policy Structure

ADB=Asian Development Bank, ENV=Environment, IR=Involuntary Resettlement, IP=Indigenous Peoples, SR=Safeguard Requirements

7. ADB's role in the delivery of safeguards is to explain policy requirements to borrowers/clients, help borrowers/clients meet those requirements during project design and implementation, ensure due diligence and review, and provide monitoring and supervision. Considerable attention is devoted to the project design and approval phase, although ADB's role in monitoring safeguard compliance continues during project implementation. ADB's project completion reports and project performance evaluation reports include reviews of safeguard implementation.⁴

III. Stakeholder Engagement Plan Objectives

8. The Safeguard Policy review and update (SPRU) process will adopt a robust Stakeholder Engagement Plan (SEP). The SEP describes the process and content for engagement with stakeholders throughout the SPRU process. The SEP adopts an inclusive and transparent consultation process to solicit feedback from the government, private sector, civil society organizations, affected communities, and other stakeholders that may be identified in the course of the review.

9. The SEP is a working document, and it is based on a set of firm principles of meaningful consultation and stakeholder engagement. It covers the whole cycle of engagement—from gathering comments, processing and responding to these comments, and ensuring that the

⁴ ADB. *Safeguard Policy Statement*. 2009. Page 5, Section III, Part A, Paragraph 16. Manila.

responses are disclosed to the stakeholders (i.e. closing the feedback loop). As such, stakeholders will be consulted to help shape the SEP, which will be implemented over two years.

10. The stakeholder consultations outlined in the SEP will be conducted in an inclusive, informed, accessible, and substantive manner. ADB recognizes that stakeholder engagement will be done in the current pandemic situation where there are restrictions to people's mobility and online forms of outreach and communication will be mainly used. The SEP adapts to these challenging times, ensuring that all voices will be heard, particularly of those who may have limited access to online platforms. Thus, offline mechanisms for consultation will also be adopted. The SEP builds on best practices and lessons from previous ADB policy consultations, recent safeguard review by peer multilateral development banks (MDBs), staff input, and relevant studies.

IV. Brief Profile of Stakeholders

11. Stakeholders are individuals, groups, and institutions interested in a given ADB or recipient and/or client activity. They may be affected by, able to significantly influence, or be important to achieving the stated outcome.⁵ Hence, stakeholder participation is crucial to the success of the SPRU process. Stakeholders can either be internal or external to the implementing entity. ADB recognizes the wide range of stakeholders interested in the Safeguard review. Based on an initial Stakeholder Analysis (SA) conducted as part of the preparation of the SEP, external stakeholders can be categorized into five groups: i) government, ii) CSOs, iii) private sector, iv) other MFIs, and v) communities or their representatives directly affected by ADB-financed projects.

12. **Government stakeholders** of ADB can be further categorized into two: i) ADB developing member countries (DMCs), and ii) Non-borrowing countries. ADB has in total 68 member countries of which 49 are DMC from within Asia and the Pacific, while 19 are non-regional, non-borrowing members. ADB supports DMCs across various sectors and thematic areas through loans, technical assistance, grants, guarantees and equity investments to promote social and economic development in line with ADB's Strategy 2030. The SPS applies to all types of financing provided to DMCs. Non borrowing members play an important role in influencing and shaping ADB's policies across various areas including safeguards.

13. **Private sector** stakeholders include non-government or private companies, umbrella organizations, and representational groups from the private sector, such as chambers of commerce. ADB has been working successfully with the private sector through direct or co-financing with other development partners. The views and feedback from this stakeholder group is particularly important since ADB's private sector operations are targeted to be one-third of ADB operations by 2024 under ADB Strategy 2030.

14. **Project affected persons**, indigenous peoples and communities directly affected by ADB-financed projects are important stakeholders. These persons/groups include project beneficiaries and those adversely affected by ADB projects. The risks are especially higher for the vulnerable who may be disproportionately affected. They can either be represented by community-based organizations, individuals or community leaders that have the resources, channels, and capability to articulate the concerns.

⁵ ADB. 2012. *Strengthening Participation for Development Results: An Asian Development Bank Guide to Participation*. Manila.

15. **Civil society** is identified as one of the important ADB stakeholders in the SPS update process. The term “civil society organization” refers generically to organizations not based in government, and not created to earn profit. ADB defines CSOs as non-profit organizations independent from the government, which operate around common interests. They vary in size, interests, and functions. CSOs represent interests of their members or others. CSOs play an important role in ADB operations in highlighting the social and environmental opportunities and risks of ADBs development financing and help improve project sustainability, transparency and accountability.

16. **Multilateral financial institutions** such as AIIB, EBRD, IFC, and WB have formalized partnerships with ADB around safeguards, which ensure close consultation on the strengthening of country safeguards systems and capacity; harmonization of safeguard frameworks; information sharing on implementation challenges and emerging issues; and dissemination of best practices through safeguard learning centers, training resources and capacity-building programs and events. These partnerships will play a significant role in the safeguards policy update bringing together global and regional experiences.

17. **Internal stakeholders** for the SPS update include ADB’s Board of Directors, ADB project teams and safeguard staff across all operations departments, staff from ADB non-operations departments such as the Strategy and Policy Department (SPD); Office of the General Counsel (OGC); Procurement, Portfolio and Financial Management Department (PPFD); Office of the Compliance Review Panel (OCRP); Office of the Special Project Facilitator (OSPF); Department of Communications (DOC); Sector and Thematic Groups (STGs) and the NGO and Civil Society Center (NGOC) from the Sustainable Development and Climate Change Department (SDCC); and the staff of the Safeguards Division (SDSS).

18. The SA provided insights on an appropriate engagement approach for each stakeholder group, based on their interest and role in the SPS update, as well as their resources and capacity to participate in engagements using online and offline platforms.

V. Approach to Stakeholder Engagement

19. The SPRU will be based on a series of background analytical studies to identify the directions for improving the elements of the SPS. The studies will build on the findings of the IED evaluation of the SPS. Findings from the studies will be used to inform deliberations on the merits of feasible options of each policy element. After the revised policy provisions and procedures are developed and agreed upon, policy roll-out and implementation plan will be prepared.

20. The safeguard policy update process will be supported through an inclusive and transparent consultative process. The basic parameters of the approach to the consultation process will be to:

- (i) Build on strengths of the current SPS;
- (ii) Ensure active participation from stakeholders through open and iterative consultation;
- (iii) Promote diverse representation and views in an inclusive process;
- (iv) Communicate process, content, and outcomes with transparency;
- (v) Focus on practical revisions; and
- (vi) Build interest and ownership in the updated Safeguard Policy, its implementation, and an ongoing relationship with ADB.

21. Feedback from stakeholders will be documented, analyzed, consolidated, and considered through a process of consensus building. Draft documents will be shared for further comment, leading to the eventual finalization and approval of the updated Safeguard Policy.

22. The stakeholder engagement will be implemented in phases. In doing so, it will allow ADB to focus on particular targets or milestones for each phase, reflect, and adjust its activities as needed.

VI. Phases of Consultation

23. **Phase I - Initial Consultation and Stakeholder Outreach:** ADB will launch the approach to the SPRU and will share the stakeholder engagement and communication plan through information sessions. This will be the first round of external consultations to discuss the consultation plan and understand the main concerns of stakeholders. During this phase, the first draft of the SEP will be developed and shared with external stakeholders. The preparation of the SEP will be led by ADB's Safeguard Division (SDSS) with technical support from the NGOC in SDCC. Initial outreach to stakeholders will commence led by SDSS, with a team of consultants with expertise in stakeholder engagement mobilized to support the process. The SEP team will include an international team leader, an international senior stakeholder engagement specialist, a stakeholder consultation specialist, a communications specialist, and an administrative assistant.

24. This phase will begin by mapping the stakeholder groups, including DMC officials, private sector clients, CSOs (identified through lists of CSOs who have interacted with ADB over the past five years at events such as ADB's Annual Meeting, country-level consultations, learning events, etc.), MFI working groups, project affected persons from selected ADB projects, and referrals from country, regional, and international networks. The stakeholder mapping will be followed by stakeholder analysis. The stakeholder analysis will employ a power-interest analysis which will identify the roles or involvement of each stakeholder, as well as their level of influence in the SPRU process. The approach will ensure diverse representation in areas such as thematic focus, geographic location, and type of stakeholders. The methods of engagement will also be defined during this phase, including the development of a webpage to promote two-way communication. The SEP will be shared internally for feedback and coordination, while inputs will also be sought from subject matter experts.

25. **Phase II- Share Findings of Key Analytical Studies:** This phase will draw on the findings of different analytical studies on key topics like safeguard policy architecture, safeguard classification, use of country safeguard systems and cross-cutting thematic issues. Study reports will be shared on the SPS webpage and key findings will be presented during consultations to seek feedback from stakeholders. Smaller consultations can be organized for thematic areas, on the basis of geography, and other issues or topics that may be identified. This phase will also draw on input from affected people involved in selected complaints to ADB's Accountability Mechanism.⁶ Consultations will be organized with stakeholders on the basis of relevant focal issues, enabling them to make contributions based on their primary expertise.

26. While this phase of the consultation aims to be comprehensive in terms of outreach, ADB also intends to be flexible and responsive to stakeholders who express a desire for more individualized engagement. Given the constraints imposed by COVID-19 and the need for social

⁶ Accountability Mechanism. <https://www.adb.org/who-we-are/accountability-mechanism/main>; ADB. 2012. *Accountability Mechanism Policy*. Manila

distancing, the consultations during this Phase will take place mainly through videoconferencing, but offline platforms for consultation will also be considered. In addition, stakeholders will have the opportunity to contribute written feedback directly through the [SPRU webpage](#) and/or through direct submission to safeguardsupdate@adb.org. Periodic reviews of the consultation process will be held to ensure targets for comprehensive outreach are being met.

27. Documentation on consultation participants and summaries of consultation comments will be shared through the SPRU webpage. To ensure that summaries are accurate representations of meetings, the documents will be thoroughly reviewed by the Stakeholder Engagement Team and disclosed for a period of two weeks. The stakeholders will need to respond to the draft summary within this two-week period to rectify any factual errors. Finally, phase II of consultation will lead to the formulation of concrete recommendations for the key provisions of the revised policy.

28. **Phase III- Analyze, Draft, Revise, and Finalize:** This phase of consultation will initially focus on the analysis of the recommendations from Phase II. Feedback from all stakeholder groups will be consolidated, organized, and analyzed so that both recurrent themes and specific policy revisions can be considered. Once recommendations have been identified and refined, a draft of the Working Paper for the Revised Safeguard Policy (W-Paper) will be developed and broadly shared with internal stakeholders for comments.

29. Additional consultations with external stakeholders will then be organized to obtain feedback on the draft W-Paper. These consultations will engage specific stakeholders and relevant CSO networks, based on their expertise for particular aspects of the Safeguard Policy. Further input from these additional consultations will be considered and the draft will be revised. The revised W-Paper will be circulated internally within ADB for comments from staff. The first draft of the W-paper will be disclosed on the SPRU webpage for a period of one month. Its subsequent revisions, as needed, will be disclosed for a period of two weeks for external comments on the revised draft prior to circulation to the ADB Board.

30. Feedback received will be considered in a final Policy Paper (R-paper), which will be drafted at this stage and submitted to the ADB Board for consideration. The R-Paper will be disclosed publicly on the SPRU webpage, upon circulation to the ADB Board.

31. **Table 1** provides the tentative schedule for stakeholder engagement, and **Attachment 1** provides the details of the schedule of consultation for the specific studies, draft policy paper and the revised safeguards policy

Table 1: Tentative SEP Schedule

Key Milestones		Timetable
Phase I	<p><u>Initial Consultation and Stakeholder Outreach:</u> Preparation of proposed approach to the policy review, identification on issues of concern, and identification of stakeholder networks</p> <p><i>Milestones:</i></p> <ul style="list-style-type: none"> • Stakeholder Engagement Plan, including a Consultation Plan and Communications Plan • 6 or more Information Sessions on the SEP 	June 2020 – May 2021
Phase II	<p><u>Share Findings of Key Analytical Studies:</u> Issue-based series of consultations and stakeholder outreach, and consultations on the findings of key analytical studies.</p> <p><i>Milestones:</i></p> <ul style="list-style-type: none"> • Comments matrix, consolidating all inputs from all consultations • Finalization and disclosure of key analytical studies 	May 2021 – January 2022
Phase III	<p><u>Analyze, Draft, Revise, and Finalize:</u> Incorporation of recommendations into revised draft policy (W-paper), stakeholder consultations on revised draft policy (W-paper), finalization of revised policy (R-paper), and board approval of revised policy (R-paper).</p> <p><i>Milestones:</i></p> <ul style="list-style-type: none"> • Draft(s) W-paper preparation and disclosure • Additional stakeholder consultations as needed for subsequent drafts of the W-paper. • R-Paper preparation, Board consideration and disclosure 	February 2022 – March 2023

VII. Consultation Process

32. Stakeholder consultations for the SPRU will follow good practice standards which have been developed over time by the ADB. Stakeholders can be organized by one or more of the following categories for easier reference and identification of appropriate consultation participants:

- (i) Organization type (e.g., government, CSO, academic, financing, operating)
- (ii) Focus of operations (e.g., long-term development, humanitarian response, advocacy)
- (iii) Focus issues (e.g., gender equality, environment, resettlement)
- (iv) Geographic designations (e.g., national level, regional level, global level)
- (v) Cross-cutting topics (e.g., stakeholder engagement, accountability, Sustainable Development Goals)

33. To maximize the consultation and ensure that the topics are aligned to already existing resources for the SPRU, the consultations will be organized in any of the following ways or a combination:

- (i) Consultation focusing on one or more analytical studies
- (ii) Consultation involving stakeholder group(s) or a combination (e.g., private sector, cultural heritage-interested groups, labor etc.)
- (iii) Consultation by topic (e.g., air pollution, safeguards classification, SEAH, etc.)

34. As mentioned earlier, several studies of varying levels of detail and analysis will be undertaken covering thematic and systemic topics. These may include technical notes, detailed studies and briefing notes. **Table 2** provides the list of these studies.

Table 2: Tentative List of Topics for Analytical Studies

Topics	Summary of Scope and Objectives
Policy Architecture	Comparative study on policy architecture. Comparison of the current SPS principles and requirements with safeguards policy architecture of selected MFIs that have recently updated their safeguards policies. Identify gaps and recommend needs and options to address those gaps and recommend an architecture for the revised policy.
Livelihood restoration	Review experiences and practices of ADB and other MFIs and relevant institutions and recommend areas for strengthening technical guidance and good practices.
Valuation of assets	Review of experiences and the practices of selected DMCs on asset valuation and recommend areas for strengthening technical guidance and good practices.
Indigenous Peoples	Review of experiences and practices of DMCs and other MFIs with regards to IP identification processes and key challenges therein; assessing IP vulnerability criteria and Free, Prior Informed Consent (FPIC); interrelationship between IP issues, cultural resources and climate change and recommend areas for strengthening technical guidance and good practices.
Labor and working conditions	Review of MFIs safeguard policies, ADB's Social Protection Strategy and recommend measures to address labor and working conditions in the revised policy. Provide recommendations for strengthening technical guidance.
Vulnerability assessment and emerging areas related to gender and diversity	Review procedures for assessing different types of vulnerabilities and their risks, interrelationship of gender and vulnerability. Review guidance material on sexual exploitation abuse and harassment (SEAH), sexual orientation and gender identity (SOGI) and other issues. Recommend areas for strengthening vulnerability assessment and risks related to gender.

Topics	Summary of Scope and Objectives
Biodiversity	Comparison of ADB and other MFI policy provisions and practice in relation to Biodiversity and critical habitat. Undertake assessment of policy provisions and implementation. Propose policy recommendations and options for gap filling and or strengthening of policy and or technical guidance.
Pollution Prevention and Environmental Standards	Comparison of technical guidance. Include consideration of the appropriate reference to ADB and other MFI policy provisions and practice for pollution prevention and environmental standards. Provide recommendations on policy provisions and procedures and areas for strengthening guidance material.
Occupational health and community safety	Comparison with MFI policy and practice. Undertake assessment of policy provisions and implementation. Provide policy recommendations and options for strengthening of technical guidance.
Physical and intangible cultural resources	Review experience and practices of ADB and other MFIs. Undertake comparison of policy provisions and implementation. Recommend alternatives and provide options for strengthening technical guidance.
Climate change	Review MFI policies with respect to the coverage of climate change under safeguards and its relationship with ADB's broader commitments and agenda on climate change.
Integrated risk-based classification and assessment	Review of practice of ADB and other MFIs. Provide recommendations on policy provisions and procedures on classification and assessment.
Country Safeguards system (CSS) experiences and lessons learnt	Review of ADB experience and challenges in the use of CSS and provide recommendations on a pragmatic approach for the use of CSS in ADB operations.
Grievance Redress Mechanism and lessons learnt from project cases under the Accountability Mechanism	Study to analyze the implementation, functionality and efficacy of the project level GRM and recommend steps for improvement. Review lessons learnt from problem solving and compliance review cases.
Financing modalities and special issues	Review and comparison of ADB policies and practices and approaches of other MFIs on project implementation in fragile and conflict affected situations (FCAS) and small island developing states (SIDS) and selected financing modalities. Recommend areas for strengthening policy provisions, procedures and guidance.
Oversight structure and implementation arrangements	Review ADB's current oversight structure and implementation arrangements for safeguards, including arrangements across and between ADB's operational departments and SDSS and examine models in view of quality assurance, reporting lines and conflict of interest issues. Provide recommendations on measures to improve and implement the revised safeguards policy.

Topics	Summary of Scope and Objectives
Staffing and human resources	Assess safeguards staffing and skills needs, recruitment systems and staff incentives necessary for the implementation of the revised safeguard policy and provide recommendations.

35. Consultations by stakeholder group and by topic will be demand driven. ADB will review all the comments sent through the SPRU webpage and social media accounts such as Facebook, Twitter, and LinkedIn and will accordingly organize a discussion for the most common topics or issues of interest to particular stakeholder groups. Cross-cutting considerations for the consultations include:

- (i) Geographic spread – some countries or subregions may be less engaged than others. One strategy that can be employed is to request networks with regional membership in inviting their members. ADB Resident Missions can also be mobilized to assist.
- (ii) Gender considerations – ADB’s Policy on Gender and Development⁷ aims to mainstream the promotion gender equality and women’s empowerment across the institutions operations, including policy review processes. It also guides ADB in designing consultations and evaluating the quality and effectiveness of participation.
- (iii) Dedicated attention to community consultation - ADB will provide a platform accessible to communities, especially people adversely affected by projects as well as project beneficiaries.

36. Various engagement activities will be carried out for the whole duration of the SPRU, please see **Table 3** for details. Online and offline platforms for engagement will be set up to ensure inclusivity of the process. Online platforms are the most cost effective and can reach a broader range of participants. However, they can exclude stakeholders with limited access to the internet and appropriate equipment or gadgets. Conversely, offline platforms require more human resources to operate successfully but can be more accessible to some stakeholders.

⁷ ADB. 2003. [Policy on Gender and Development](#). Manila

Table 3. Stakeholder Engagement Activities

Engagement Activities	Objective	Stakeholder	Considerations
Online			
Webinar/Information Sessions	Sharing of information and update but limited commenting platform	General public, all stakeholders	Limited interaction so there should be announcements where participants can send in their comments
Public consultation through the SPRU webpage and social media	Sharing of information and update but limited discussion/ platform to get clarification from ADB	General public, all stakeholders	Filtering of comments/ feedback should be carefully done since we may get comments not related to SPS
Focus group discussions/ consultations (according to themes, stakeholder groups, topics)	In-depth discussion of topic and proactive seeking of comments from participants	CSOs, MFIs, private sector	The objective of focus group discussions (FGDs) should be clearly articulated to the participants to set their expectations. Reference materials should also be sent in advance so participants can participate substantively.
Key informant interviews (KII) through videoconferencing	In-depth discussion of selected topic and proactive seeking of comment from participant	Internal stakeholders (ADB), selected MDBs, and CSOs	Direct questions should be crafted assuming that stakeholder will not have ample time to read long documents; summaries of areas of concern can also be provided so that request for inputs is focused.
Direct request for inputs via email		Internal stakeholders (ADB), selected MDBs, and CSOs	
Offline			
Mechanisms where written comments can be submitted (e.g., Hotline, Comments Box)	Gather comments or clarifications	General public, CSOs (CBOs, POs), all stakeholders with limited or no internet connectivity	These mechanisms require dedicated staff to implement them successfully.
Focus group discussions/ consultations (according to themes, stakeholder groups, topics)	In-depth discussion of topic and proactive seeking of comment from participants	Affected communities, selected CSOs	Subject to health protocols and standards
Key informant interviews through phone	In-depth discussion of selected topic and proactive seeking of comment from participant	Affected persons, selected CSOs	As need arises

37. For offline activities, support from the ADB resident missions (RMs) will be sought. Factors that will be considered are the health protocols in place and the available resources of the RMs to successfully implement the activity. To disseminate the results of various analytical studies, webinar/information sessions will be undertaken, the findings of one or more studies may be shared through one event. This will be used to seek initial comments and be the basis for succeeding consultations/FGDs and KIIs. The following practices will be utilized to ensure meaningful consultation.

- (i) Consultations for the SPRU will set and communicate clear objectives and will provide at least two weeks' notice before the date of consultation. Consultations will take place at a time which will encourage maximum participation.
- (ii) Various communication channels will be employed to gather comments and feedback. These are all outlined in the accompanying Communications Plan, see **Attachment 2**.
- (iii) For structured or online consultations, invitations will be sent to via email to stakeholders from ADB's current databases and those who signed up through the SPRU webpage. The invitations will include:
 - A statement of purpose for the consultation, including the importance of stakeholder engagement in the SPRU;
 - A description of the process for consultation;
 - A list of objectives for the consultation;
 - An agenda for the consultation;
 - A description of how videoconferencing will be used for the consultation, how feedback will be collected, analyzed, and used;
 - A link for registration for the consultation;
 - Supporting documentation for the consultation;
 - A link to the SPRU webpage on the ADB website, including a description of how feedback can be communicated directly through the webpage; and
 - Contact information for referral of any questions.

38. The schedule of all engagement activities will be advertised in the SPRU webpage and social media accounts and sign-up sheets will be available for those who are interested to join but may not be included in the current database of stakeholders. Consultations for the SPRU will take place in English language. As part of its efforts to increase inclusiveness and access to all interested stakeholders, ADB will organize translations in key selected languages including sign language based on majority stakeholder demand. ADB will make its best efforts to translate feedback received in languages other than English through the SPRU webpage. Consultations for the SPRU will designate experienced facilitators for each consultation session. The facilitator will ensure that all agenda items are covered, and participants have an opportunity for their feedback to be communicated. Likewise, experienced recorders/documenters will be contracted for each consultation session. Consultations will be digitally recorded, along with notes documented in a standardized format.

39. After each consultation, participants will be surveyed to determine their understanding of and feelings about the consultation session, and to understand how to improve the consultation process, if needed. Summary of each consultation session and recordings, if available, will be posted on the SPRU webpage.

VIII. Closing the Feedback Loop

40. Feedback from all stakeholder consultations will be grouped based on themes or topics for easier reference, then consolidated into a comments matrix, which will be maintained by SDCC. These comments from specific themes and topics will be analyzed for trends which will be considered during drafting of the W-paper and the R-paper. Finally, a summary of key comments and feedback from stakeholders received through various consultations, along with ADB responses will be collated into a matrix which will be posted on the SPRU webpage upon completion of the consultation process.

DRAFT

CONSULTATION SCHEDULE

Topics for Consultation	Indicative Timeline for consultation	
	Info. Webinar	FGD
Phase I: Initial Outreach	June 2020-May 2021	
Approach to SPS Review and Update	April-May 2021	
Stakeholder Engagement Plan	April-May 2021	
Phase II: Share Findings of Analytical Studies	May 2021-Jan 2022	
Policy Architecture	Q3	Q3
Livelihood restoration	Q3	Q4
Valuation of Assets	Q4	Q4
Indigenous Peoples	Q3	Q4
Labor and working conditions	Q3	Q4
Vulnerability assessment and emerging areas related to gender and diversity	Q4	Q1 2022
Biodiversity	Q2	Q4
Pollution Prevention and Environmental Standards	Q3	Q4
Occupational health and community safety	Q3	Q4
Physical and intangible cultural resources	Q3	Q4
Climate change	Q3	Q4
Integrated risk-based classification and assessment	Q4	Q4
Country Safeguards system experiences and Lessons learnt	Q2 2022	Q3 2022
Grievance Redress Mechanism and lessons learnt from project cases under the Accountability Mechanism	Q4	Q4
Financing modalities and special issues	Q4	Q4
Phase III: Analyze, Draft, Revise, and Finalize	Feb 2022-Mar 2023	
W-Paper External Stakeholder Consultation	Q3 2022	Q4 2022
Oversight Structure Implementation arrangements	Q4 2022	Q4 2022
Staffing and human resources	Q4 2022	Q4 2022
R-Paper	Simultaneous website disclosure (March 2023) to ADB Board and Stakeholders	

COMMUNICATIONS PLAN

I. RATIONALE

1. The Asian Development Bank (ADB) is conducting a comprehensive review and update of the 2009 Safeguard Policy Statement (SPS). In the 10 years since the policy's implementation, ADB has improved the capacity of developing member countries and private sector clients to manage social and environmental risks. With the changing contexts in countries and regions, the SPS needs to be updated to remain relevant and robust in responding to the evolving development needs of each country.
2. ADB's Access to Information Policy (AIP, 2019) reflects ADB's commitment to transparency, accountability, and participation by stakeholders in ADB-supported development activities in Asia and the Pacific. The policy recognizes the right of people to seek, receive, and share information about ADB's operations.
3. Consistent with the AIP, the communications plan is a key component of the stakeholder engagement plan (SEP) that supports the entire SPRU process. The communications plan is rolled out through regular, timely, and consistent engagement with stakeholders to address their information needs and to encourage feedback. Guided by a clear framework, and using appropriate channels, the communications plan adheres to the iterative consultation approaches of the SEP for the SPRU.

II. OBJECTIVES

4. *Operational Objective.* To support the implementation of the ADB stakeholder engagement plan (SEP) as ADB undertakes a comprehensive review and update of the 2009 Safeguard Policy Statement (SPS).
5. *Communications Objectives:* To widely promote stakeholder understanding, interest, and trust in the SPRU process and outcomes through:
 - (i) Complementing the consultation process by informing and responding to the feedback of a wide range of stakeholders throughout the consultation period, and;
 - (ii) Increasing the visibility and broadening the uptake of the entire process and results through timely, accessible, and easy-to-understand information to stakeholders.

III. TARGET AUDIENCE

6. *Primary Audience (targeted):*
 - (i) A wide spectrum of civil society organizations
 - (ii) Governments, including executing agencies (EAs) and implementing agencies (IAs)
 - (iii) Project-affected people and communities
 - (iv) Private sector entities
 - (v) ADB staff, Management, and ADB Board of Directors

(vi) Multilateral Financial Institutions (MFIs), including peer MFIs, bilateral development partners, and specialized UN agencies

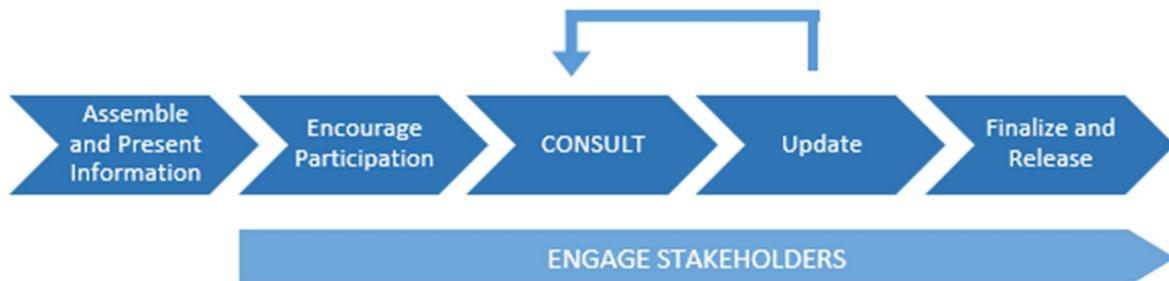
7. *Secondary Audience:*
 (i) General public

IV. KEY MESSAGES

8. *Overarching Message: ADB invites all its stakeholders to take part in a robust stakeholder engagement process that supports the review and update of the SPS.*
9. *The review and modernization of the SPS reflects ADB's commitment to continue supporting the inclusive and sustainable development of Asia and the Pacific.*
10. *Stakeholders are ADB's primary partners in developing a robust policy that will serve as the new gold standard to enable positive development impacts for people and the environment.*

V. COMMUNICATIONS STRATEGY

11. *Communications Framework.* Communications will support the SPRU process to help ensure visibility and stakeholder engagement throughout the consultation period.



12. *Communication Channels.* The following recommended channels are designed to ensure broader reach, and have been initially identified based on ongoing stakeholder analysis, and will further be expanded based on consultations:

- a. *Safeguard Policy Review and Update webpage on adb.org, ADB's corporate webpage*

The safeguard policy review and update webpage ([Safeguard Policy Review | Asian Development Bank \(adb.org\)](http://Safeguard Policy Review | Asian Development Bank (adb.org))) serves as the primary information channel of the SPRU. All details about the review process and major updates will be available on the webpage in a timely manner, including downloadable information materials (briefers, infographics, FAQs, full documents and documentations of consultations). Key materials in translated versions will be made available as well.

- b. *ADB corporate social media accounts*

ADB's corporate social media accounts will serve as supporting platforms to expand the reach of the SPRU webpage, and regularly alert stakeholder about fresh updates and key highlights of the review process. All SPRU-related content released through ADB's corporate social media accounts will always include a link to the SPRU webpage with the SPR hashtag.

The hashtag #ADBSafeguardReview will be utilized to aid in promotion, searches, and analytics.

c. Safeguard Policy Review social media page

ADB will establish and curate dedicated social media channels for the SPRU process. These specific social media channels will be dependent on the preferred platforms of different stakeholders (such as the private sector on LinkedIn and CSOs on Facebook), and will also serve as additional feedback platforms.

Similarly, all SPRU-related content released through the safeguard policy review social media accounts will always include a link to the SPRU webpage with the hashtag #ADBSafeguardReview.

d. E-mail

The official e-mail address (safeguardsupdate@adb.org) serves as another distribution channel for major updates and announcements to stakeholders, while also functioning as a receiving channel for feedback on the SPRU process and results.

e. Web-based consultation channels (Zoom, Teams)

ADB will continue to explore and plan consultations utilizing approaches suitable to the pandemic restrictions, including face-to-face events should travel become possible during the review.

To ensure the broadest participation of all stakeholders, events and consultations will be held on a reliable web-based platform through which target individuals and organizations with adequate internet access are able to participate. Different types of activities will be implemented using this platform, such as:

- Preliminary Information Sessions – Prior to the consultations, ADB will invite all its stakeholders to take part in the Preliminary Information Sessions to introduce the approach to the SPRU process and the stakeholder engagement plan (SEP). ADB intends to address questions and recommendations on the planned stakeholder engagement process during these webinars. Participants will be encouraged to send their inquiries and comments prior to the event upon registration, via e-mail, and live through comments and Q&A sections.

- Online focus group consultations – ADB will conduct sessions that will provide a forum to listen to the insights, feedback, and suggestions of stakeholders on the current SPS and their recommendations for how to improve it. These will provide additional opportunities for stakeholders to provide their inputs both verbally and through digital platforms (such as comments/Q&A sections, the website, and email).

These platforms will be optimized to enable access via different gadgets (such as computers, laptops, and mobile phones) to encourage the active participation of stakeholders.

f. Offline Channels

Understanding the current restrictions in face-to-face communications, most especially for project-affected people in rural and remote areas, several options are being explored to plan outreach activities and conduct consultations safely. ADB will consider the feasibility of tapping the networks of Resident Missions and Field Offices, local CSOs, and private sector groups to expand the consultation process, while supporting these partners with the necessary communication materials and resource personnel.

VI. INFORMATION EXCHANGE PROCESS

13. All types of communication from stakeholders received through the various channels will be considered significant contributions to the SPRU, and will be documented and processed accordingly.
14. An internal response mechanism will be established ensuring appropriate and timely responses to feedback or inquiries coursed through various communication channels.

VII. MEDIA AND PUBLIC RELATIONS

15. Press statements and other media-related activities will be coordinated with ADB's Department of Communications which has existing processes and mechanisms for media relations.

VIII. COMMUNICATIONS WORK PLAN

16. A communications work plan is guided by the phases of the SEP, targeting specific communication milestones to continuously support the engagement process.

Key Communication Milestones		Timetable
Phase I Initial Consultation and Stakeholder Outreach:	Planning and Preparation <ol style="list-style-type: none"> 1. Establish a robust communications strategy and a united brand for the SPRU. 2. Create venues that will serve as repositories of information. 3. Create venues for initial feedback, questions and recommendations prior to and throughout stakeholder consultations. 4. Develop and present basic/primary information materials needed to introduce the SEP to stakeholders. 	June 2020 – May 2021
Phase II Share Findings of Key Analytical Studies	<ol style="list-style-type: none"> 1. Raise interest and build and maintain momentum for the SPRU to encourage stakeholder participation and public awareness. 2. Regular updating and release of consultation updates and documentations to assure stakeholders that their insights are utilized for the improvement of the SPS and to keep them informed throughout the process. 3. Regular release of relevant documents including studies and assessments 4. Support the SPRU team in implementing stakeholder engagement. 	May 2021 – January 2022
Phase III Analyze, Draft, Revise, and Finalize	<ol style="list-style-type: none"> 1. Support the SPRU team in drafting the W-Paper. 2. Support the SPRU team in the analysis and drafting of the R-Paper. 3. Assist in timely releasing the R-Paper through communication channels. 	February 2022 – March 2023