



# Summary of the Stakeholder Engagement Plan

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07 April 2021

## Safeguard Policy Statement Review and Update

### Summary of the Stakeholder Engagement Plan

Draft for Consultation

This summary of the stakeholder engagement plan is a living document. This document is being disclosed to the public in accordance with ADB's Access to Information Policy.

Asian Development Bank

**Safeguard Policy Statement Review and Update**  
**SUMMARY STAKEHOLDER ENGAGEMENT PLAN**  
**DRAFT FOR CONSULTATION**

**I. Background**

1. The Asian Development Bank (ADB) is launching a comprehensive review and update of the 2009 Safeguard Policy Statement (SPS). 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. The policy will be updated between September 2020 to March 2023 and will be based on ADB's Independent Evaluation Department (IED)<sup>1</sup> review recommendations that ADB:
  - (i) modernize the policy, building on ADB implementation experiences and harmonizing with 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; and
  - (v) assess the necessary staffing complement and skills needed to deliver the safeguards implementation framework.
3. The SPS has three sets of Safeguard Policy Principles 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. 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. 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 meaningful consultation is conducted transparently, information is shared, and feedback sought to guide the policy review process, build on and learn from stakeholders with perspectives across many backgrounds. The review will entail a series of internal and external stakeholder consultations, which will continue until the updated policy is finalized.

**II. Stakeholder Engagement Plan Objectives**

5. A robust Stakeholder Engagement Plan (SEP)<sup>2</sup> will inform the Safeguard Policy Review and Update (SPRU). The SEP describes the process and content for engagement with

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<sup>1</sup> ADB. 2020. [Evaluation Document: Effectiveness of the 2009 Safeguard Policy Statement](#). Manila.

<sup>2</sup> ADB. 2021. [Safeguard Policy Statement Review and Update: Stakeholder Engagement Plan Draft for Consultation](#). Manila.

stakeholders. It 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 during the review. A Communications Plan<sup>3</sup> is an integral component of the SEP to promote stakeholder understanding, interest, communication, and trust in the SPRU process and outcomes.

6. The SEP is a working document based on a set of principles of meaningful stakeholder engagement. It covers the whole cycle of engagement—from listening to and responding to comments, to ensuring the feedback loop is closed. It will build on best practice from previous ADB policy consultations, recent safeguard reviews by peer multilateral development banks (MDBs), staff input, and relevant studies.

7. ADB recognizes that the engagement will take place during the current pandemic where there are restrictions to people's mobility and outreach and communication is online. The SEP will adapt to these challenges, aiming to ensure all voices are heard, online and offline.

### **III. Brief Profile of Stakeholders**

8. External stakeholders are individuals, groups, and institutions interested in a specific ADB or recipient and/or client activity. They may be affected by, be able to significantly influence, or be important to achieving the stated outcome. Consequently, stakeholder participation is crucial for the success of the SPRU process policy. Stakeholders can 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, external stakeholders can be categorized into five groups: government, CSOs, private sector, other MFIs, and project affected persons, indigenous peoples and communities or their representatives directly affected by ADB-financed projects, which include project beneficiaries and those adversely affected by ADB projects. More detail on each stakeholder group and plans for consultations are available in the full Stakeholder Engagement Plan. Internal stakeholders for the SPRU include ADB's Board of Directors, project teams, safeguards staff from operation departments, and staff from non-operations departments.

### **IV. Approach to Stakeholder Engagement**

9. Informed by ADB's Access to Information Policy,<sup>4</sup> the SPRU will be based on a series of background analytical studies that build on the findings of the IED evaluation and an updated analysis. Consultations on revised policy options will be held and once agreed, the policy roll-out and implementation plan will be prepared.

10. Consultative processes will underpin the safeguard policy update process and robust stakeholder communication and feedback loops will support the process. The basic parameters of the consultation 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 through the communication tools identified;<sup>5</sup>

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<sup>3</sup> Footnote 2, pp. 16-20.

<sup>4</sup> ADB. 2018. [Access to Information Policy](#). Manila.

<sup>5</sup> Footnote 2, pp. 17-19.

- (v) Focus on practical revisions; and
- (vi) Build interest and ownership in the updated Safeguard Policy, its implementation, and an ongoing relationship with ADB.

11. Feedback from stakeholders will be documented, analyzed, consolidated, and considered through consensus building. Draft documents will be shared for further comment, leading to the eventual finalization and approval of the updated Safeguard Policy. The SEP will be implemented in phases and will allow ADB to focus on specific milestones for each phase, reflect and adjust its activities as needed.

## **V. Consultation Process**

12. 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.)

13. A more detailed description of the Stakeholder Engagement Activities with scope and objectives can be found in the full SEP. Consultations by stakeholder group and by topic will be demand driven. Cross-cutting considerations will include geographic spread, gender considerations, and attention to specific groups e.g., older persons, persons living with disabilities. Details of the topics for Analytical Studies are available in the full SEP document.

14. The following practices will be utilized to ensure meaningful consultation:
- a. Consultations for the SPRU will have clear objectives, provide at least two weeks' notice, and will take place at a time to encourage maximum participation.
  - b. The Communication Plan details the various communication channels to be employed to gather comments and feedback.
  - c. For structured or online consultations, invitations will be sent via email to stakeholders from ADB's current databases and those who signed up through the [SPRU webpage](#).
  - d. All engagement activities will be advertised on 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.
  - e. Consultations will be in English and translations in key selected languages including sign language can be arranged by request. ADB will make its best efforts to translate feedback received in languages other than English through the SPRU webpage.
  - f. Consultations will be led by experienced facilitators, sessions recorded and/or documented and participant surveys conducted on satisfaction with the process.

## **VI. Closing the Feedback Loop: Comments Matrix**

15. Feedback from all stakeholder consultations will be grouped based on themes or topics and consolidated into a Comments Matrix. Comments from specific themes and topics will be analyzed for trends to be considered during drafting of the W-paper and the R-paper. A summary of key comments and feedback from stakeholders received with ADB responses will be collated and posted on the SPRU webpage upon completion of the consultation process.