



Summary of the Stakeholder Engagement Plan

Document Stage: Draft for Consultation
July 2021

Safeguard Policy Statement Review and Update Summary of the Stakeholder Engagement Plan (Version 2)

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.

Safeguard Policy Statement Review and Update Stakeholder Engagement Plan (Summary Version)

I. Background

1. The Asian Development Bank (ADB) is conducting a comprehensive review and update of the 2009 Safeguard Policy Statement (SPS, or the Policy). The review and update of the Policy will occur through the Safeguard Policy Review and Update (SPRU) process. ADB's environmental and social safeguards are a cornerstone of its support to inclusive economic growth and environmental sustainability in the Asia and the Pacific region. The SPS is underpinned by 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.¹

2. Recently, a number of multilateral financial institutions (MFIs) such as the Asian Infrastructure Investment Bank (AIIB), the European Bank for Reconstruction and Development (EBRD), the Inter-American Development Bank (IDB), the International Finance Corporation (IFC), and the World Bank (WB) have updated their safeguard frameworks. While these updated frameworks are consistent with the SPS in terms of the core environmental and social policy principles, they have expanded the scope of safeguards to areas such as labor and working conditions, stakeholder engagement, cultural heritage, primary supply chain, fragile conflict situations and climate change. These updated frameworks provide increased attention to various forms of vulnerabilities like disability, sexual exploitation, abuse, and harassment (SEAH) and sexual orientation and gender identity (SOGI). ADB deals with many of these issues fully or partially through a range of existing policies and strategies, including its Strategy 2030. However, these generally cover a mix of long-term development objectives and aspirational goals, as well as risk management measures.

3. In 2020, ADB's Independent Evaluation Department (IED)² review on the effectiveness of the 2009 SPS recommended that ADB:

- (i) modernize the Policy, building off ADB implementation experiences and recent updates by other 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 safeguard policy and implementation framework with sufficiently detailed guidance and good practice notes; and
- (v) assess the necessary staffing complement and skills needed to deliver the safeguards implementation framework.

4. The Policy will be updated between September 2020 to March 2023. The SPS update process will be supported with a series of background analytical studies that will cover thematic topics and cross cutting issues. The findings of these studies will provide the technical basis for

¹ ADB. *Safeguard Policy Statement 2009*. Paragraphs 71 and 72. Manila.

² ADB. 2020. [Evaluation Document: Effectiveness of the 2009 Safeguard Policy Statement](#). Manila.

determining the possible features of the revised policy provisions and its procedures. This entire process will be held together by a strong, iterative stakeholder consultation and engagement process. After the Policy has been developed and agreed upon, support for its roll-out and implementation will be provided.

II. Purpose and Parameters of the Stakeholder Engagement Plan

5. The SPS review and update process will adopt a robust Stakeholder Engagement Plan (SEP)³. The SEP describes the process and content for engagement with stakeholders throughout the SPS review and update. It adopts an inclusive and transparent engagement process to solicit feedback from governments, private sector, civil society organizations, affected people, peer multilateral financial institutions (MFIs), ADB's internal stakeholders, and others that are interested to engage in the review.

6. As a working document, the SEP is based on firm principles of meaningful consultations and stakeholder engagement. It is updated periodically to reflect the needs and priority issues of stakeholder groups, the lessons from peer MFIs, feedback from information sessions and consultations, staff inputs, and other relevant studies.

7. The SEP has two parts: (i) the consultation plan and (ii) the communications plan. Both plans mutually reinforce the whole cycle of the stakeholder engagement process—from gathering comments, processing, and responding to these comments, and ensuring that responses are disclosed to stakeholders (i.e., closing the feedback loop). As such, the updated SEP and its rollout consider the feedback received from stakeholders.

8. Most stakeholder engagements will be undertaken virtually and remotely, considering the restrictions to people's mobility posed by the pandemic. Online forms of outreach and communication will be employed to maximize stakeholder participation. It is the intention of the SEP to ensure all voices are heard, particularly from those who have limited access to online platforms. Depending on the communication preferences of remote communities, local media may be harnessed to help provide prior notice and information. The SEP also considers a bespoke approach to consulting stakeholders from fragile and conflict-affected situations (FCAS). Offline mechanisms for consultation will also be adopted depending on how the pandemic situation unfolds. ADB will work with the operations departments and Resident Missions (RMs) to ensure full compliance with their respective government's health protocols for face-to-face consultations.

III. Profile of Stakeholders

9. Stakeholders are individuals, groups, and institutions interested in a specific ADB project or recipient and/or client activity. They may be affected by, be able to influence, or be important in achieving the stated outcomes of the consultations. Hence, informed and meaningful stakeholder participation is crucial for the success of the Safeguard Policy Review and Update (SPRU) process. Based on the Stakeholder Analysis (SA), external stakeholders may be categorized into five groups: (i) government, (ii) private sector, (iii) civil society, (iv) other MFIs, and (v) people affected by ADB-supported projects.

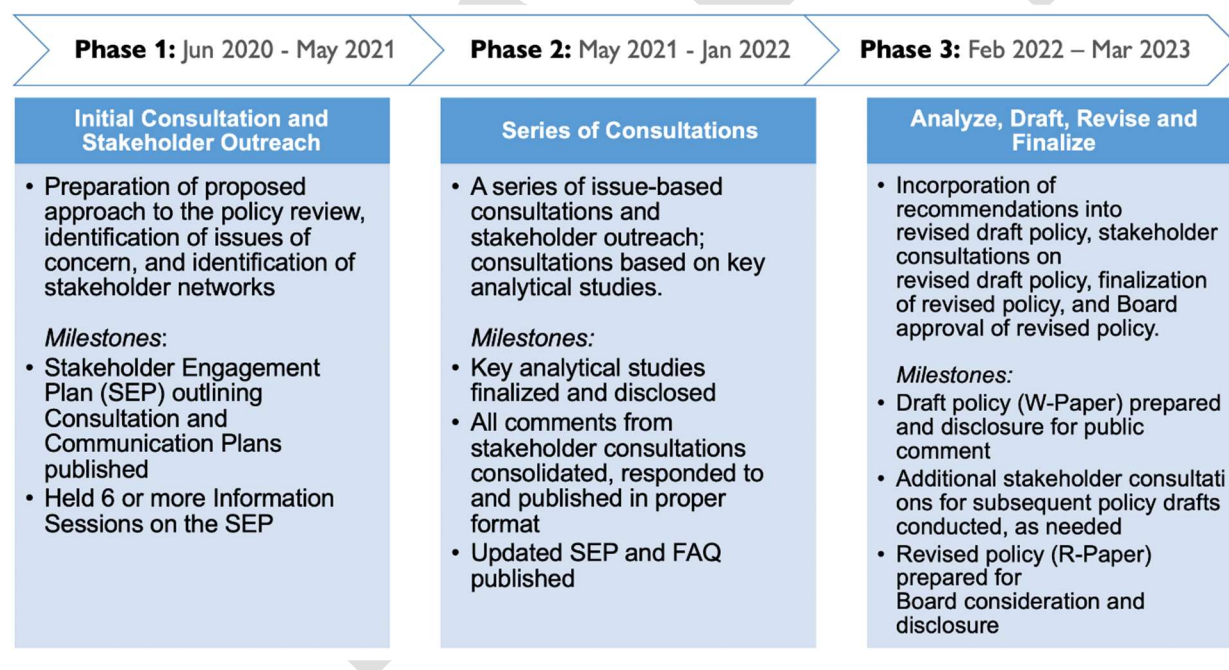
³ ADB. 2021. *Safeguard Policy Statement Review and Update: Stakeholder Engagement Plan (Version 2)*. Manila.

10. Internal stakeholders for the SPRU include ADB project teams and safeguard staff across all operations departments, RMs and national staff, 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 (OCRCP); 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).

IV. Approach to Stakeholder Engagement

11. Stakeholder engagements will be implemented over three phases. Phase I is the Initial Consultation and Stakeholder Outreach (June 2020 – May 2021) and entails establishing the approach to the SPS review and providing an update and the draft SEP. Phase II entails a Series of Consultations Based on Key Analytical Studies (June 2021 – January 2022). Phase III is the Analysis of Comments, Drafting, Revision, and Finalization of the Policy (February 2022 – March 2023). The phases of the SEP are summarized in the diagram below.

Figure 1: Phases of Stakeholder Engagement throughout the SPRU



12. Phase I was completed in May 2021. It was highlighted by four (4) preliminary information sessions (PIS) held with government representatives from developing member countries (DMCs) and non-DMCs and with civil society organizations from Asia and the Pacific, North America, and Europe. This coincided with the launching of the SPRU webpage which contains all relevant information for stakeholders including the draft SEP, frequently asked questions (FAQs), documentation of all PISs, and various communication channels to reach ADB. The SPRU website also contains important information on updating stakeholders and upcoming consultations.

13. ADB commissioned analytical studies to provide in-depth background for the policy review. The findings and recommendations from the studies will inform a series of consultations that are happening mostly in Phase II. The stakeholder comments from all consultations will be considered in the writing and revisions of the draft policy document. For Phase II and Phase III, the tentative schedule of the consultations is presented in **Table 1**. The schedule will be constantly updated on the SPRU webpage.

Table 1: Indicative 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 Studies⁴	May 2021-Jan 2022	
Policy Architecture	Q3 2021	Q3 2021
Indigenous Peoples	Q3 2021	Q4 2021
Labor and working conditions	Q3 2021	Q4 2021
Pollution Prevention and Environmental Standards	Q3 2021	Q4 2021
Occupational health and community safety	Q3 2021	Q4 2021
Physical and intangible cultural resources	Q3 2021	Q4 2021
Climate change	Q3 2021	Q4 2021
Land acquisition, valuation of assets and livelihood restoration	Q4 2021	Q4 2021
Vulnerability assessment and emerging areas related to gender and diversity	Q4 2021	Q1 2022
Biodiversity	Q4 2021	Q4 2021
Integrated risk-based classification and assessment	Q4 2021	Q4 2021
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 2021	Q4 2021
Financing modalities and special issues	Q4 2021	Q4 2021
Phase III: Analyze, Draft, Revise, and Finalize	Feb 2022-Mar 2023	
W-Paper External Stakeholder Consultation	Q3 2022	Q4 2022

⁴ The analytical studies are in early stages of preparation, so the final schedule of consultations, regions, countries, topics, and target stakeholders will be posted in the SPRU website and social media accounts as and when the draft reports are available.

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	

14. The SPS review and update will be supported through an inclusive and transparent consultative process, which includes:
- (i) Ensuring an active participation from wide array of stakeholders through open and iterative consultation where stakeholders are provided a safe space for sharing their views;
 - (ii) Promoting diverse representation in an inclusive process;
 - (iii) Communicating the process, content, and outcomes with clarity to maximize understanding; and
 - (iv) Building interest and co-ownership in the updated safeguard policy and its implementation.
15. Feedback from stakeholders will be documented, analyzed, responded to, consolidated, and considered. Draft policy documents will be shared for further public comment, leading to the finalization and approval of the new safeguard policy.

V. Organization of Consultation Activities

16. To ensure a meaningful stakeholder participation, consultations will be organized singly or through a combination of the following approaches:
- (i) Consultations based on one or more analytical studies;
 - (ii) Consultations involving stakeholder group(s) or a combination thereof (e.g., private sector, cultural heritage-interested groups, stakeholders based in a fragile or conflict-affected situation, labor unions, etc.); and
 - (iii) Consultations by topic (e.g., air pollution, safeguards classification, SEAH, etc.).
17. Consultations by stakeholder groups and by topics will consider their specific needs, local contexts, and other appropriate logistical arrangements. The design of consultations will also reflect the geographic, gender, and other vulnerability considerations by specific groups including the older people and people with disabilities.
18. ADB is committed to consult affected people (AP). Affected people are key stakeholders of ADB-supported projects. In this context, affected people refers to (i) persons/households impacted by involuntary resettlement; (ii) Indigenous Peoples/communities suffering adverse impacts and (iii) affected households who filed complaints under the accountability mechanism (AM) of the ADB, citing the adverse project impacts they have encountered on their assets, livelihoods or their environment. Consultations with APs will consider the lessons learned from projects that triggered involuntary resettlement, impacts on Indigenous Peoples, and the environment, and how the environmental and social management plans were implemented. ADB

will consider suggestions from civil society organizations (CSOs) on reaching out to affected people that they support.

19. The platform for consultations will adapt to the prevailing condition during the pandemic. Therefore, consultations will rely primarily on online communication tools. Face-to-face consultations will be organized when circumstances allow. Both online and face-to-face consultations will consider some risks or limitations in stakeholder participation which may include language, confidentiality, security, and alternatives to online participation. The ADB Regional Departments and Resident Missions will provide necessary support to the design and conduct of consultations.

20. To ensure meaningful consultation, the ADB will adopt these international best practices principles:

- (i) Clearly communicate the objectives and methodology and disclose and circulate consultation materials at least two weeks before the event to encourage an informed participation;
- (ii) Implement a communications plan that gathers and responds to feedback in a reasonable time. Timely updates on the consultations are published via [SPS review and update webpage](#), [Facebook page](#), official e-mail: safeguardsupdate@adb.org, and during actual consultations and information sessions, both online and offline;
- (iii) Use English and translation support during the consultations. Translation will be used for selected languages while sign language translation and interpretation services can also be arranged on request; and
- (iv) Run consultations with the support of experienced facilitators. Sessions are documented while an online survey will be conducted to gather participant's feedback on the consultation.

VI. Closing the Feedback Loop

21. Feedback loops are reflected in the three consultation phases, which are supported by multi-media communication materials to ensure accessibility for all kinds of stakeholders. All feedback is recorded on a central database, categorized, and monitored to track actions taken. For the initial outreach (Phase 1), session and comments summaries, FAQs, video recordings and social media live streams will be disclosed in the SPRU webpage and social media page. For sharing findings of key analytical studies (Phase 2), summaries of key findings, requested technical reports, communication materials, and consultation and comments summaries, will be disclosed. For consultations around the drafting, revision, and finalization of the policy (Phase 3), the first draft of the W-paper will be disclosed for two months. After posting of the first draft of W-paper on the webpage, consultations with external stakeholders will then be organized to obtain feedback. The subsequent revisions of the W-paper, as needed, will be circulated internally within ADB for comments from staff and disclosed for two weeks for external comments. These will then be circulated to the ADB Board. The final revised SPS (R-Paper) which reflects inputs from all stakeholders (including the ADB Board) will be disclosed on the webpage.