Intro video as participants enter the Zoom room:
PRELIMINARY INFORMATION SESSION

for Government Officials

A webinar introducing the Stakeholder Engagement Plan for ADB's Safeguard Policy review and update.

May 2021

IMPORTANT NOTE:
• This webinar is being recorded
I. **Opening remarks [5 mins]**  
*Bruno Carrasco, Director General, Sustainable Development and Climate Change Department*

II. **Overview of ADB’s Safeguard Policy Statement (SPS) and review and update process [20 mins]**  
*Bruce Dunn, Director, Sustainable Development and Climate Change Department*  
*Madhumita Gupta, Principal Social Development Specialist*  
*Zehra Abbas, Principal Environment Specialist*

III. **Overview of the Stakeholder Engagement Plan [20 mins]**  
*Jelson Garcia, Senior Stakeholder Engagement Specialist*

IV. **Break [10 mins]**

V. **Q&A [50 mins]**

VI. **Next steps and wrapping up [10 mins]**
Bruno Carrasco

Director General,
Sustainable Development and Climate Change Department

OPENING REMARKS
OVERVIEW

SPS, SPS Review Process and Highlights from IED Report
Sustainable Development and Climate Change Department
Safeguards Division

Safeguards Policy Review and Update

Preliminary Information Session for Government Officials

May 2021
• **ADB SPS** approved July 2009, effective January 2010.

• **Objectives:** *Avoid, minimize, mitigate, and/or compensate* for adverse project impacts on the environment and affected people; and help borrowers *strengthen country systems* and capacity.

• **Scope:** 3 Safeguard Policy Areas: Environment, Involuntary Resettlement, and Indigenous Peoples.

• **Architecture:** One umbrella policy statement, 3 sets of principles with corresponding sets of borrower requirements.

• **Modalities:** Includes provisions tailored to different lending modalities.
SPS Policy Structure

**Safeguard Policy Statement Principles and Requirements**

- Overall Safeguard Policy Objectives
  - Policy Principles ENV
  - Policy Principles IR
  - Policy Principles IP
- Policy Delivery Process Roles and Responsibilities of ADB and Borrowers/ Clients

**Policy Implementation**

- Sourcebooks for ENV, IR and IP

- Safeguard Requirements for Borrowers/ Clients/ ADB (SR1-4)
Rationale for Policy Update

• Changing development trends in Asia and Pacific Region; changing client needs; emerging financing modalities

• Needs for harmonization with other MFI safeguards policies

• Need to explore opportunities to streamline and improve policy effectiveness

• SPS requires ADB’s Independent Evaluation Department (IED) to undertake a full policy review-para 82 of SPS

• IED full evaluation completed May 2020 with 5 key recommendations
IED’s Recommendations on SPS Effectiveness

1. **Modernize the SPS, increasing its relevance and customizing it for both sovereign and private sector financing**, by building on evidence from the SPS implementation experience and recent safeguard policy updates at other MFIs.

2. **Adopt a new approach in the policy to strengthening borrower systems**, with a view to a more systematic improvement and pragmatic use of country systems.

3. **Introduce a new safeguard implementation framework**, including an updated oversight structure and reporting lines that are strengthened and contribute to more consistent safeguard outcomes across ADB.

4. **Underpin the safeguards policy and implementation framework with sufficiently detailed policy guidance** (e.g., Operations Manual and Staff Instructions) **and a range of operational guidance documents and good practice notes** with established mechanisms for regular reviews and updates.

5. **Assess the necessary staffing complement** to deliver the safeguards implementation framework and **strengthen skills**, empowering staff to deliver better safeguard outcomes.
Better integration and synergy between environmental and social safeguards throughout classification, due diligence, and monitoring stages of the project

Addressing thematic cross-cutting and emerging issues across environmental and social safeguards

Better tailored provisions and guidance for new and existing lending instruments for sovereign and non-sovereign operations
Safeguards Policy Update
APPROACH AND METHODOLOGY

• Analytical Studies:
  *Policy architecture, thematic, cross cutting areas*

• Comparative Review Studies:
  *Policy provisions and Standards*

• Drafting of Policy:
  *Provisions and Requirements*

• Preparations for policy roll out:
  *Guidance notes and training*

Internal and external stakeholder engagement
Analytical Studies on Selected Topics

- **Policy Architecture**: strategic decision on model for the new structure, systems & institutional needs.
- **Safeguard Classification System**: adopting an integrated safeguards classification.
- **Financing Instruments and Modalities**: Study to improve and strengthen safeguard provisions for private sector lending and different financing instruments. Increased private sector lending mandated by Strategy 2030.
- **Fragile and conflict affected situations and small island developing states**: Adopting an effective safeguards approach to better design projects in these scenarios.
- **Papers on Specialized Topics**: Review of ADB’s current approach in addressing specialized topics such as: Biodiversity, noise and vibration, occupational health and safety (including asbestos) and pollution prevention.
- **Country Safeguards Systems**: Strategic future direction to investigate options and modalities for the greater more pragmatic use of CSS.
Cross cutting topics for possible integration - topics otherwise covered by existing thematic policies to address project level risks:

- Core Labor Standards and working conditions; Indigenous Peoples issues and treatment of vulnerable groups; stakeholder engagement; gender; and climate change.

Emerging issues for consideration - issues covered in recently revised MFI safeguards policies:

- Cultural heritage; primary supply chain risks; sexual exploitation, abuse and harassment; sexual orientation and gender identity; and disability.
# Indicative Consultation Timetable

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<th>Tasks/Quarters</th>
<th>2020</th>
<th>2021</th>
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<td><strong>Phase 1 – Initial Outreach</strong></td>
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<td>Approach to SPS Review &amp; Update</td>
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**Legend**
- IW: Information Webinar
- FGD: Focus Group Discussion
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**Legend**

- IW: Information Webinar
- FGD: Focus Group Discussion
- WD: Website Disclosure

Simultaneous website disclosure in March 2023 to ADB Board and Stakeholders
Policy Implementation Procedures

• **Policy Procedures:** Clarify and further develop safeguards procedures for sovereign and non-sovereign lending instruments- operations manual, staff instructions and guidance material to support the policy.

• **Enhanced Oversight Framework for Safeguards:** Recommend institutional framework for enhanced safeguard oversight and staffing and performance management

• **Policy Implementation Training:** Prepare training modules and draft guidance notes, E-learning modules for staff and DMCs.
Stakeholder Engagement Planning

- **Stakeholder Engagement Plan** - different perspectives in the policy review process. Draft SEP Disclosed.
- **Translation and disclosure** of relevant documents into local languages.
- **Consultations:** June 2020 to June 2022
  Internal and External stakeholders: DMCs, ADB Board, MFIs, CSOs, Affected Persons.
- **Consultation during COVID-19:** Virtual outreach online. Webinars. FGDs
- **Outreach webinars** - Civil society and DMCs - April-May 2021
# ADB Board Engagement Schedule

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<tr>
<th>No</th>
<th>Board Meetings</th>
<th>Tentative Timetable</th>
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| 1. | First Informal Board Seminar  
To discuss proposed approach and issues for policy update | 31 August 2020        |
| 2. | Deep Dive with ADB Board of Directors  
To share the detailed findings of the Policy Architecture Study | 22 April 2021        |
| 3. | Second Deep Dive Board Seminar  
To discuss the findings of the analytical studies | January 2022          |
|    | Second Informal Board Seminar  
Discussion on the disclosed draft of the W-paper | June 2022             |
| 4. | ADB Board of Directors meeting on W-Paper                                        | October 2022          |
| 5. | ADB Board of Directors meeting on R-Paper                                         | March 2023            |
Thank You
Parameters of Stakeholder Engagement

1. Ensure active participation from stakeholders through open and iterative consultation

2. Promote diverse representation and views in an inclusive process

3. Communicate process, content, and outcomes with transparency

4. Build interest and ownership in the updated Safeguard Policy, its implementation, and an ongoing relationship with ADB
• A living, iterative document based on a set of firm principles of meaningful stakeholder engagement

• Covers whole cycle of engagement—gathering comments, processing and responding to comments, disclosing comments with responses to stakeholders

• Builds on best practices and lessons from previous ADB policy consultations, recent safeguard review by peer MDBs, staff input, and relevant studies
Phases of the Stakeholder Engagement Plan

Phase 1: Jun 2020 - May 2021

Initial Consultation and Stakeholder Outreach
• Preparation of proposed approach to the policy review, identification of issues of concern, and identification of stakeholder networks

Milestones:
(1) Stakeholder Engagement Plan, including a Consultation Plan and Communications Plan
(2) 6 or more Information Sessions on the SEP

Phase 2: May 2021 - Jan 2022

Share Findings of Key Analytical Studies
• Issue-based series of consultations and stakeholder outreach, and consultations on the findings of key analytical studies.

Milestones:
(1) Comments matrix, synthesizing all inputs from all consultations
(2) Finalization and disclosure of key analytical studies

Phase 3: Feb 2022 – Mar 2023

Analyze, Draft, Revise and Finalize
• Incorporation of recommendations into revised draft policy, stakeholder consultations on revised draft policy, finalization of revised policy, and Board approval of revised policy.

Milestones:
(1) Draft policy preparation and disclosure
(2) Additional stakeholder consultations as needed for subsequent drafts of policy
(3) Revised policy preparation, Board consideration and disclosure
Proposed Approach for Government Consultations

1. Consultations will be announced through ADB’s Resident Missions and published on the ADB website with a minimum of two weeks' notice

2. Official invitations will be sent to the respective ministries for nomination of appropriate participants; invitations will include a clear objective, expectations from participants, a clear process of gathering comments, and a link to relevant materials

3. Consultations will mostly be conducted online; subject to local conditions, ADB will use alternative methods of outreach to reach those not online

4. Key channels of online communication will be the SPS review website and social media

5. A comments matrix by topic with comments and ADB’s response will be prepared, posted and updated
Consultations will be organized in three ways:

- A scoping consultation followed by consultations on one or more **analytical studies**.
- Consultation involving **stakeholder group(s)** or a combination (e.g., private sector, cultural heritage-interested groups, labor, etc.)
- Consultation by **topic** (e.g., air pollution, safeguards classification, SEAH, etc.)
### SPS REVIEW AND UPDATE - ANALYTICAL STUDIES

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<thead>
<tr>
<th>Policy structure, modalities and institutional arrangements</th>
<th>Environment</th>
<th>Social</th>
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<tr>
<td>Policy Architecture</td>
<td>Biodiversity</td>
<td>Income restoration</td>
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Consultation Activities

**ONLINE**
1. Webinar/Information Sessions
2. Public consultation through SPS review website, email, and social media
3. Focus group discussions/consultations (according to stakeholder groups, topics)
4. Key informant interviews through videoconferencing
5. Direct request for inputs via email

**OFFLINE**
1. Written comments/paper submission to the Resident Missions
2. Focus group discussions/consultations (according to stakeholder groups, topics)
3. Key informant interviews through phone
Thank you!
Break (10 minutes)
Q&A

Moderator:
Azim Manji

Team Leader, Consultations for Safeguard Policy Review
Consultation and Communication with Government

(e.g., consultation process, expectations from participants, channels to get information, sending and responding to feedback, others)
Round 2

SPS implementation challenges and revised SPS Policy architecture
(e.g., scope, provisions, application, implementation framework, oversight, capacity building, country safeguard system, additional requirements, others)
NEXT STEPS

• The Scoping and Policy Architecture consultations will begin in June (TBC).
• Invitations to these consultations will be sent following government protocols and/or through the Resident Missions.
What did you think of this session?
Poll #1:

From 1 (not effective) to 5 (highly effective), how would you rate the effectiveness of this information session?
Poll #2:

From 1 (lowest) to 5 (highest), how would you rate how clearly ADB answered the questions raised during this event?
Poll #3:
Identify top 2 areas that are important for you to ensure meaningful engagement in upcoming consultations:

1. Clear and easy-to-read consultation materials sent in advance of consultations;
2. Commitment to follow up with unresolved issues and timely posting of received comments with responses;
3. Access to regular communication channels with updated resources (consultation schedules, FAQs, reports);
4. Efficient management of online sessions, with balanced time for presentation and discussion;
5. Clear online or offline platforms where participants can interact with ADB and comments can be submitted or relayed.
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