

## Evaluation Approach

# Thematic Evaluation Study on the 2009 Safeguard Policy Statement: Phase 1 - Operational Review of Use of Country Safeguard Systems and Financial Intermediary Projects

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Team Leader: Jean Foerster, Evaluation Specialist (email: jfoerster@adb.org)  
Contact: evaluation@adb.org

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## A. Rationale

1. As per Asian Development Bank's (ADB's) 2009 Safeguard Policy Statement (SPS), the Independent Evaluation Department (IED) is required to conduct an evaluation of ADB's safeguard implementation after 5 years. SPS also stipulates that an operational review will be undertaken 3 years after the policy becomes effective, with particular emphasis on assessing (i) progress on the use of country safeguard systems (CSS) and effectiveness of CSS; and (ii) implementation of safeguard requirements for financial intermediary (FI) projects, and the effectiveness of such requirements. ADB's SPS became effective in January 2010.

2. Taking into account the recommendations of the 3-year review and the views of the Board's Development Effectiveness Committee (DEC), Management would submit a paper to the Board on the application of CSS and the implementation of safeguard requirements for FI projects for Board approval. IED plans to complete the operational review by end-December 2013. An evaluation approach paper for the full SPS evaluation is planned for approval in the fourth quarter of 2013 and the SPS evaluation is to be delivered mid-year 2014, prior to Asian Development Fund (ADF) donor meetings in later 2014.<sup>1</sup>

3. The current paper provides the approach to the review of progress with the use of CSS and the review of FI projects as phase 1 of the full safeguards evaluation. The materials collected for this phase will also be of importance to phase 2, the evaluation of the effectiveness of the SPS. For this reason, this paper proposes the schedule and budget for both phases.

## B. Historical Perspective of Safeguards at ADB

4. Prior to the SPS of 2009, ADB operations worked under the following separate safeguard policies: Involuntary Resettlement Policy (1995), Policy on Indigenous Peoples (1998), and Environment Policy (2002). These three policies subscribed to the principles of avoidance, minimization, or mitigation of adverse environmental and social impacts. The operational procedures were laid out in ADB's Operations Manual, the latest version of which was dated September 2006, and included separate sections on Environmental Considerations in ADB Operations (F1), Involuntary Resettlement (F2), and Indigenous Peoples (F3).<sup>2</sup> ADB's

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<sup>1</sup> The evaluation will then be delivered 4, not 5 years after approval of the SPS, but IED deems this more expedient as the ADF donors have requested the finalization of the evaluation by the time of the midterm review of the ADF XI, probably to be held around November 2014.

<sup>2</sup> ADB. 2006. *Operations Manual*. Sections F1 to F3. Manila.

Handbook on Resettlement and Environmental Assessment Guidelines (2003) was also utilized as a guide. After the SPS, which integrated the three existing policies into one new policy, the new Operations Manual issued also integrated the three sections into one integrated section on safeguards, F1, on 20 January 2010, and updated on 4 March 2010.

5. The process towards the integration of the safeguards had started 4 and a half years earlier. Around December 2004, ADB management approved the start of a process towards a safeguard policy update to enhance the effectiveness of ADB's three safeguard policies and to ensure that these policies remain relevant to changing client needs and to new business opportunities. The process included extensive internal and external consultations and a phase in which IED conducted evaluations of safeguards feeding into the SPS update.

6. Next to integrating the existing Environment, Indigenous Peoples, and Involuntary Resettlement policies, the SPS responds to lessons learned with current safeguard policies, mandates that ADB strengthens CSS, and incorporates additional guidelines related to ADB's new lending modalities and financing instruments.

7. The operational procedures section of the new Operations Manual section F1/OP states that, "ADB, through its due diligence, review, and supervision, ensures that the borrower/client complies with the safeguard policy principles and requirements laid out in the SPS and set out in Safeguard Requirements 1–4, in the ADB prohibited investment activities list, and in the requirements for strengthening and use of country safeguard systems during project preparation and implementation." It also included an elaborate section on financial intermediaries updated from the 2002 Environment Policy. These were two among other substantive changes to the previous policies, and given their relevance, are the subject of special interest for the operational review.

8. ADB's then Operations Evaluation Department issued six relevant evaluation reports over the past 15 years, on safeguards for hydropower projects in 1999<sup>3</sup> and 2012,<sup>4</sup> on the impact of the involuntary resettlement policy<sup>5</sup> in 2000, on involuntary resettlement safeguards<sup>6</sup> and on environmental safeguards<sup>7</sup> in 2006, and on indigenous peoples safeguards<sup>8</sup> in 2007. The Special Evaluation Study on Environmental Safeguards (footnote 7) includes a recommendation to improve integration with country systems and a transition from project level compliance system to sector and country level systems. Few findings however related to FIs at the time. Some recommendations of relevance to the present study are that ADB should approach indigenous peoples safeguards in a manner that reflects the specific conditions in each developing member country and that, conversely, aligning involuntary resettlement policy with developing member country (DMC) CSS may weaken its implementation.

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<sup>3</sup> IED. 1999. *Special Evaluation Study: Social and Environmental Impacts of Selected Hydropower Projects*. Manila: ADB.

<sup>4</sup> IED. 2012. *Performance Evaluation Report: Nepal: Kali Gandaki "A" Hydroelectric Project*. Manila: ADB.

<sup>5</sup> IED. 2000. *Special Evaluation Study: Policy Impact of Involuntary Resettlement*. Manila: ADB.

<sup>6</sup> IED. 2006. *Special Evaluation Study: Involuntary Resettlement Safeguards*. Manila: ADB.

<sup>7</sup> IED. 2006. *Special Evaluation Study: Environmental Safeguards*. Manila: ADB.

<sup>8</sup> IED. 2007. *Special Evaluation Study: Indigenous Peoples Safeguards*. Manila: ADB.

## C. ADB Strategies on the Use of Country Safeguard System and Implementation of Safeguard Requirements for Financial Intermediary Projects

9. **Implementation of safeguard requirements using country safeguard system.** The SPS recognizes that DMCs have developed their own systems for delivering environmental and social protection in varying degrees, and that supporting DMCs' efforts to strengthen and effectively use their own systems enhances country ownership, reduces transaction costs, and extends development impacts over the long term in line with the Paris Declaration on Aid Effectiveness (2005). ADB has committed itself in the SPS to support the strengthening and effective application of the DMCs' CSS with a focus on borrowers' capacity development. At the same time, ADB needs to ensure that the application of CSS in its operations does not undermine the achievement of ADB's policy objectives and principles. ADB has therefore decided that the adoption of CSS requires a phased and longer term approach.

10. **Use of technical assistance for country safeguard systems.** In 2005, the World Bank started to pilot a program on the use of borrower systems in addressing environmental and social safeguard issues, in response to the 2005 Paris Declaration on Aid Effectiveness. ADB approved a regional technical assistance (RETA) operation around the same time for Strengthening Country Safeguard Systems<sup>9</sup> to test various methodologies for assessing equivalence and acceptability<sup>10</sup> through five case studies (People's Republic of China [PRC], India, Kyrgyz Republic, Philippines, and Viet Nam).<sup>11</sup> The RETA was implemented from 2006 to 2010 and led to the issuance of a Guidance Note for Review of Country Safeguard System in 2010 for use by ADB staff and consultants engaged in country safeguard review. Meantime, ADB had already started up nine more such technical assistance (TA) operations. The findings of and experiences with these TAs will be of special interest to the operational review.

11. The capacity development of CSS occurs mainly through TAs, including the TA on strengthening and use of country safeguard systems, and improving the implementation of environmental safeguards in Central and West Asia. A regional workshop on CSS<sup>12</sup> held in 2012 concluded that (i) DMCs have made strong progress on CSS strengthening; (ii) there is a general understanding that the safeguard policies of ADB and the World Bank Group are an appropriate benchmark for convergence; (iii) DMCs are very keen to further improve their systems with continued support of development partners; (iv) there is strong interest in developing a region-wide community of practice on safeguards; and (v) ADB/World Bank Group and bilateral agencies such as the Japan International Cooperation Agency (JICA) and the Australian Agency for International Development (AusAID) are ready to work together to make this happen. Since the CSS workshop, a joint regional community of practice (CoP) on CSS involving ADB, AusAID, JICA, and the World Bank has been established, and further progress has been made, including joint training, studies and work, to establish centers of excellence in Indonesia, Philippines and Viet Nam.

<sup>9</sup> Details of these TAs and loans are in Supplementary Appendixes 1 and 2. They are not footnoted when they are referred to in the text.

<sup>10</sup> The equivalence test refers to a review of the CSS in terms of whether it achieves the objectives, scope, triggers, and principles of the ADB safeguard policy. The acceptability test, on the other hand, refers to whether the CSS of the borrower has the capacity and track record to implement the applicable laws and regulations, rules, and procedures in the country, sector, or agency concerned.

<sup>11</sup> World Bank and ADB efforts on CSS converge in Bhutan, India and Lao PDR. Due to different processes, World Bank has implemented projects using CSS while ADB CSS activities focus on TA.

<sup>12</sup> Country Safeguard Systems Regional Workshop: Towards Common Approaches and Better Results held in ADB Headquarters, Manila, Philippines on 18–19 April 2012.

12. ADB's 2010 completion report for the 2005 TA on strengthening country safeguard systems concluded that its impact and outcome was consistent with its thrust to develop and strengthen DMCs' CSS in terms of policy, legislative, and institutional frameworks. The materials produced for this RETA focused on the development of a methodology to assess CSS, which was pilot-tested through case studies in five countries.<sup>13</sup>

13. Prior to the implementation of the SPS in 2009, ADB had been assessing DMCs' legal requirements and institutional requirements, but not in a rigorous manner. The TA on strengthening country safeguard systems recommended that ADB needs to develop rigorous and transparent methodologies for assessing, strengthening, and using CSS more systematically. The SPS prescribes the use of CSS if it meets ADB's prescribed requirements of equivalence and acceptability. Use of CSS to replace ADB's systems needs to be discussed by the operations for each project with the responsible borrower. Equivalence means that borrower's CSS must achieve objectives of and adhere to ADB's safeguard policy principles while acceptability relates to borrower's relevant capacity and commitment to implement applicable laws, regulations, rules, and procedures in relevant sectors. Supplementary Appendix 1 lists the TA projects related to CSS.

14. **Implementation of safeguard requirements for the financial intermediary projects.** For projects involving investment of ADB funds in or through FIs, ADB conducts safeguards due diligence to assess the potential environmental and social impacts and risks associated with the FI's existing and likely future portfolio, and its commitment and capacity in social and environmental management. All FIs are to ensure that their investments are in compliance with applicable national laws and regulations and apply the prohibited investment activities list to subprojects financed by ADB. Where the FI's investments have minimal or no adverse environmental or social risks, the FI project will be treated as a category C project and does not need to apply any other specific requirements. All other FIs are required to have in place or establish an appropriate environmental and social management system (ESMS) commensurate with the nature and risks of the FI's likely future portfolio to be maintained as part of the FI's overall management system. The operational review will investigate the presence and quality of these ESMSs.

15. The SPS 2009 states that the ESMS must incorporate the following elements: (i) environmental and social policies and procedures; (ii) screening, categorization, and review procedures; (iii) organizational structure and staffing including skills and competencies in environmental and social areas; (iv) training requirements; and (v) monitoring and reporting. The system is to be documented and agreed upon by ADB and the FI. Where the FI's subprojects to be funded by ADB—whether through credit line, other loans, equity, guarantee, or other financing instruments—have potential for significant environmental or social impacts, the FI is required to ensure that such subprojects meet ADB's safeguard policy requirements, including those specified in Safeguard Requirements 1–3. ADB may also set additional requirements for the FI's activities more generally depending on the FI's portfolio and the host countries safeguard systems. ADB is to monitor the FI's performance on the basis of its ESMS.

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<sup>13</sup> The country case studies include *Preliminary Country Safeguard Review: India: Environment, Revised Final Version, December 2010*; *Preliminary Country Safeguard Review: Kyrgyz Republic: Environment, Revised Final Version, December 2010*; *Preliminary Country Safeguard Review: People's Republic of China: Environment, Revised Final Version, December 2010*; *Preliminary Country Safeguard Review: Philippines: Indigenous Peoples, Revised Final Version, December 2010*; and *Socialist Republic of Vietnam, Preliminary Country Safeguard Review: Involuntary Resettlement, Revised Final Version, December 2010*.

16. Where gaps are found in the FI's capacity, the ADB and FI are to establish a time-bound plan. ADB works with clients to improve their overall capacity to address environmental and social risks. This operational review will check various cases of FI safeguard implementation. For FIs, 132 operations were approved between 1998 and 2012; 31 sovereign and 101 nonsovereign. The FI projects rely on a total ADB funding of \$5.9 billion, and cover 22 countries. Twenty-eight are considered regional in scope. Supplementary Appendix 2 lists all FI projects approved starting 1998.

17. **Use of technical assistance for financial intermediary.** Based on the results of the training conducted by the Private Sector Operations Department (PSOD) after the SPS was approved, FI clients, including both banks and private equity funds, are generally receptive to the SPS requirements on ESMS, but have indicated (i) initial lack of understanding of the ESMS requirements, (ii) high willingness to comply with these requirements but weak capacity and experiences to adopt and implement the ESMS, and (iii) keen interest to have capacity building at all levels.<sup>14</sup>

18. Prior to the implementation of SPS, ADB already supported capacity building for financial institutions. Examples include the TA on capacity building of private sector financial institutions in meeting environmental and social challenges, approved in 2005. ADB conducted training workshops in 2006–2007 in collaboration with International Finance Corporation (IFC), for senior managers of banks, investment funds, other FIs in PRC, India, Indonesia, Philippines, and Viet Nam. PSOD conducted 12 ESMS trainings for the financial intermediaries from 2008–2012 for 376 participants from banks and other FI institutions. In addition, the TA on strengthening and use of country safeguard systems has an ongoing subproject proposal titled ESMS Capacity Building for Private Sector Financial Intermediaries. The regional project covers countries in Southeast Asia (Viet Nam) and South Asia (India, Bangladesh) and other relevant DMCs. These TAs and their results will also be investigated for this operational review.

## **D. Proposed Operational Review**

### **1. Objective**

19. The SPS 2009 notes that the operational review should have particular emphasis on progress on the use and effectiveness of CSS, and implementation and effectiveness of safeguard requirements for FI projects. Given that there are no CSS based projects to date, the objective of the operational review is therefore to evaluate (i) the effectiveness of ADB's approach to support the strengthening and effective application of DMCs' CSS, and (ii) the degree and effectiveness of the implementation of safeguard requirements for FI projects.

### **2. Evaluation Scope and Approach**

20. Since the effectiveness of the use of CSS and implementation of FI safeguards relates to the objectives of the policy, it is appropriate here to briefly state the SPS 2009 objectives: (i) to avoid adverse impacts of projects on the environment and affected people, where possible; (ii) minimize, mitigate and/or compensate for adverse project impacts on the environment and affected people, where possible; (iii) minimize, mitigate and/or compensate for adverse project impacts on the environment and affected people when avoidance is not possible; and (iv) help borrowers/clients to strengthen their safeguard systems and develop the capacity to manage

<sup>14</sup> ADB. 2010. *Strengthening and Use of Country Safeguard Systems: ESMS Capacity-Building for Private Sector Financial Intermediaries*. Manila (TA 7566-REG).

environment and social risks. Assessing effectiveness normally requires looking into the portfolio to see if completed CSS-based operations managed to indeed avoid, minimize and mitigate project impacts. However, the study team learned that no such projects have been approved so far, as no operations department and country asked for use of CSS in a project as yet. For this reason, the effectiveness question focuses on part (iv) of the objectives of the SPS 2009 and is addressed by looking into the effectiveness of the equivalence/acceptability and testing process, as conducted by ADB through several TA projects. It will also look into reasons why requests have not yet been made as the Operations Manual, F1, states: "use of a CSS will include a limited number of DMCs with a focus on the subnational, sector, or agency level during the first 3 years after the SPS becomes effective." For FI projects, a desk-based portfolio review, coupled with some case studies of ESMSs and their effectiveness will be pursued. The Chief Compliance Officer (CCO) noted in a memo dated October 2012 that it would be desirable that operations departments start documenting their experiences and identifying lessons learned on the strengthening and use of CSS and the safeguard implementation for FI projects. This review relies on such documentation work having been conducted by now, and will base its assessment in part on the findings.

21. Adoption of the CSS is based on equivalence and acceptability (footnote 5) of the country's systems dealing with involuntary resettlement, environmental challenges and indigenous peoples, and international best practice. The operational review will include a few case studies in which it will assess (i) the quality of the assessments and implementability of the recommendations, (ii) the extent to which ADB helped the borrower prepare action plans based on the assessments and incorporated the action plan's provisions into the legal agreements for using CSS, (iii) the nature of ADB's consultations with stakeholders to discuss and validate the findings of assessments and to seek agreement on the proposed measures outlined in the action plans, and (iv) the provision of technical and financial support to develop and implement the action plans.<sup>15</sup>

22. The review will also assess how the TAs were used to identify and bridge the gaps between the safeguard policy and the country system. The review will look into the context of the CSS TA whether it is country level, sector specific or project specific, whether it included emerging issues in a particular country, the timing, its relation with the CPS and pipeline of projects. The review will look into the resources available and needed to carry out the gap analysis and the training identified to bridge that gap, the indicators used to measure progress for DMC, and the enforcement including monitoring (frequency, indicators, etc.).

23. For FI, the operational review will evaluate the ESMS's compliance to meet national law and/or ADB's requirements; the screening, categorization, and review procedure; the organizational structure and staffing to include skills and competencies in environmental and social areas; the training requirements; and the monitoring and reporting. The questions to be answered include (i) how effective is ADB in implementing its environmental and social policies and procedures for FI investments, (ii) how effective are the FIs in implementing ADB's safeguard policy procedures, and (iii) how effective are the subprojects in implementing ADB's safeguard policies. For example, in relation to (i) above, what is the process followed by ADB to assist the borrower to develop an effective ESMS; what legal documents between ADB and the borrower contain environmental and social components and how are these worded; what are the resources devoted to this process from the ADB side and from the borrower side, at what

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<sup>15</sup> Note that the diagnostic process for strengthening and for use of CSS is not the same, with the latter being a more rigorous formal process compared with strengthening which is more about scoping the gaps between CSS and international best practice. The evaluation will keep this in consideration.

stage of loan negotiation does the safeguard component come into discussions; and what is the content of the ESMS and anticipated impacts: location, timing, knowledge of the areas concerned, ESMS office budget, staffing, and internal processes, including reporting and authority, logistics, offices, contract lengths, contracts already signed, activities, if any; planning, knowledge of the FI business and forward strategies, organization for subprojects, and delegation and reporting requirements. The present study will derive some information from a currently ongoing IED evaluation on the Development Impacts of Private Sector Operations: Contributions to Inclusive and Environmentally Sustainable Growth. This study includes a limited FI safeguards review.

24. The operational review will assess the TAs on strengthening CSS and on strengthening and use of CSS, being the two main initiatives so far pertinent to CSS. The status of the CSS partnership program and fund will be also investigated. The study will aim to confirm environmental and social convergence of CSS with ADB's safeguard policy. IED will review if CSS are being strengthened as noted in the "Implementation of SPS" memo of 2012 from the Chief Compliance Officer. Likewise, the investigation will review the extent of decentralization to resident missions for the strengthening of CSS and systems in place to remain accountable to and compliant with operational policies. As noted earlier, no DMC has formally asked ADB to consider the use of a CSS for ADB-financed projects and the evaluation will assess the reasons why not. For the FI projects, the review will assess the quality and usefulness of ESMS and review the elements of the ESMS such as screening process, procedures, organizational structure, training, monitoring and reporting. Documentation of the system will be investigated as will ADB's monitoring and reporting, time bound capacity building plans, where needed, and, where possible, implementation of safeguard components.

25. The approach to the operational review will consist of (i) a questionnaire on discussions on use of CSS with the clients and on experiences with the strengthening of CSS; (ii) a questionnaire on the use of the FI safeguard system; (iii) document review and interviews with project officers and other concerned professionals in ADB, and departments and ministries in selected countries; and (iv) three or four case studies in countries providing a firsthand review of effectiveness of the approaches (see below). The review will rely heavily on reviewing TA documents on the implementation of the CSS and further documentation related to FI projects, and interviews with the staff. The evaluation will also collect information on how much resources have been spent so far to strengthen CSS.

26. **Case study selection.** Eight TAs were related to CSS undertaken between 2005 and 2012. Country case study selection for the assessment of CSS issues will be partly based on countries that received the highest attention in terms of cumulative financing and frequency of TAs such as Pakistan and Indonesia. Likewise, for the FI review, the project cohort selected will include those with approvals from 2000 to 2012 and the case studies will include projects in countries with the highest frequency of projects and/or loan amounts for FIs: PRC, India, Philippines, and Sri Lanka. A minimum of four countries are to be visited to study experiences with CSS and FIs and to provide case studies to strengthen the review. While Indonesia and Lao People's Democratic Republic (Lao PDR) have already been selected with some data having been collected during a preliminary field visit, additional countries will be selected based on review of TA materials once these are made available to the team by the Regional and Sustainable Development Department (RSDD), and once discussions with relevant departments are held. At this stage, possible countries for case study visits for the CSS review are India, Indonesia, Mongolia, Pakistan, Viet Nam; and for the FI review, PRC, India, Kazakhstan, Pakistan, Philippines, and Sri Lanka.

27. The evaluation will look into the experiences of other multilateral development banks (MDBs) and bilateral agencies in developing country safeguard systems and safeguard approaches to FIs where appropriate. Lessons learned from their experiences will be drawn into the current evaluation including the TA approach to meet the gap identified in the equivalence and acceptability test. A similar approach will be followed for the evaluation of the safeguard policy statement later in 2013 and 2014.

28. Both CSS and FI aspects of the evaluation will require detailed discussions with government ministries and departments concerned with environmental protection, land acquisition and resettlement, and indigenous peoples. Ministries of Finance should also be consulted about their vision of environment protection in terms of cost to economic development. CSS obviously involve consultation with DMC governments but FI projects also require this because the projects need to comply with the environmental and social legislation of the country in which they operate.

### **3. Limitations**

29. Budget and time constraints restrict IED in conducting a large amount of field work in selected countries at this stage; more countries will be visited for the full safeguards effectiveness evaluation discussed earlier which can be viewed as the second phase of the present review. Requests for data will be made to operations departments and RSDD/RSES to facilitate the review and much will depend on the speed with which, and extent to which, data will be made available to the study team. The submission of this paper for comments triggered the release of some data already requested.

### **E. Resource Requirements, Schedule, and Dissemination**

30. The operational review will be conducted by a team headed by Jean Foerster, evaluation specialist, and assisted by IED team members Tomoo Ueda, E.K. Kwon, Lauren Hauck, Mary Grace Agapito, and Stella Labayen. The full evaluation will add Karl Hughes to the team.

31. The review will require the services of an international consultant for 5 months and a national consultant for 7 person-months for phase 1. More resources will be needed for phase 2. The consultants will be expected to undertake international travel to selected DMCs for interviews with resident missions, governments, and project site visits. Terms of reference of the consultants are in Supplementary Appendix A. Cost estimates for the study is in Supplementary Appendix B.

32. The review will be undertaken during May to December 2013, and progress with it will be discussed with the Development Effectiveness Committee by September 2013. The following schedule is proposed for the preparation of the evaluation report for phase 1 and phase 2.



| <b>Activity Phase I: CSS and FI Operational Review</b> | <b>Approximate Schedule</b> |
|--|-----------------------------|
| Evaluation approach paper approval                     | May 2013                    |
| Recruitment of consultants                             | January–May 2013            |
| Implementation phase:                                  |                             |
| - Literature review                                    | March–August 2013           |
| - Portfolio analysis                                   | March–August 2013           |
| - Field missions                                       | August–September 2013       |
| IED internal and external review (peer review)         | October 2013                |
| Interdepartmental circulation                          | November 2013               |
| Submission to IED Management                           | December 2013               |
| <b>Activity Phase II: TES Safeguards</b>               | <b>Approximate Schedule</b> |
| Evaluation approach paper approval                     | December 2013               |
| Recruitment of consultants                             | December 2013               |
| Implementation phase:                                  |                             |
| - Literature review                                    | December 2013               |
| - Portfolio analysis                                   | January–February 2014       |
| - Field missions                                       | January–March 2014          |
| IED internal and external review (peer review)         | April 2014                  |
| Interdepartmental circulation                          | May 2014                    |
| Submission to IED Management                           | July 2014                   |
| Board and Management circulation                       | August 2014                 |
| DEC Discussion   | September 2014              |

Appendix: Data Request for the Evaluation

Supplementary Appendixes *(available upon request)*

1. Technical Assistance Projects for Country Safeguard System
2. Financial Intermediary Project (1998–2012)

Supplementary Appendixes *(restricted)*

- A. Terms of Reference for Consultants for Phase I
- B. Cost Estimates

## DATA REQUEST FOR THE EVALUATION

### A. Data Needs from RSDD

| TA Number | Approval Date          | Name of TA Project  | Country | Safeguard Type |
|-----------|------------------------|---|---------|----------------|
| 6285      | Dec-2005               | Strengthening Country Safeguard Systems   | IND     | ENV            |
|           |                        |   | KGZ     | ENV            |
|           |                        |   | PRC     | ENV            |
|           |                        |   | PHI     | IP             |
|           |                        |   | VIE     | IR             |
| 7566      | Jun-2010               | Strengthening and Use of Country Safeguard Systems  | REG     | ENV            |
|           |                        |   |         | IP             |
|           |                        |   |         | IR             |
|           | TA Subproject Proposal |   |         |                |
|           | Jun-2012               | Strengthening Environmental Impact Assessment System and Its Implementation Practices   | BAN     | ENV            |
|           | Aug-2011               | Preparation of Draft Sub Decree on Informal Settlers  | CAM     | IR             |
|           | Jun-2012               | Strengthening Capacity of Indonesia's Environment Impact Assessment (AMDAL) System  | INO     | ENV            |
|           | Feb-2012               | Capacity Development for Social Safeguard Preparation and Implementation in Water Resource Management and Energy in Indonesia | INO     | ENV            |
|           |                        |   |         | IR             |
|           |                        |   |         | IP             |
|           | Nov-2010               | Strengthening WREA Capacity to Implement Lao Resettlement Policies  | LAO     | IR             |
|           | Jul-2011               | Improving Legal and Regulatory Framework for Environmental Impact Assessment  | MON     | ENV            |
|           | Nov-2010               | Reform of Legal and Regulatory Framework for Involuntary Resettlement (Phase I)   | MON     | IR             |
|           | Aug-2011               | Reform of Legal and Regulatory Framework for Involuntary Resettlement (Phase II)  | MON     | IR             |
|           | Jul-2012               | Capacity Building for Implementing Environment and Social Safeguards in Myanmar   | MYA     | ENV            |
|           |                        |   |         | IR             |
|           |                        |   |         | IP             |
|           | Jul-2012               | Strengthening Involuntary Resettlement Safeguard Systems in Nepal   | NEP     | IR             |
|           | Apr-2012               | Environmental Training for Civil Servants in Pakistan   | PAK     | ENV            |
|           | Mar-2011               | Country Safeguard Review  | PNG     | ENV            |
|           | Apr-2011               | Enhancing the Philippine Environmental Impact Statement (EIS) System Improvement Initiatives                                  | PHI     | ENV            |
|           | Mar-2012               | Developing Resettlement Safeguards Capacity in the Transport Sector in Timor-Leste  | TIM     | IR             |
|           | Dec-2012               | Strengthening the Regulatory Framework for EIA in Timor-Leste   | TIM     | ENV            |
|           | Nov-2010               | ESMS Capacity-Building for Private Sector Financial Intermediaries  | REG     | ENV            |
|           | Nov-2010               | Supporting and Strengthening National-Level Capacity for a Country Involuntary Resettlement Safeguard System                  | SRI     | IR             |
|           | Nov-2010               | Amending the 2003 Land Law and Its Implementing Decrees   | VIE     | IR             |
|           | May-2011               | Capacity Development for the Implementation of the New Environment Decree   | VIE     | ENV            |
|           | May-2011               | EIA Clearinghouse and Capacity Strengthening through Twinning   | SRI     | ENV            |
|           |                        |   | LAO     |                |

BAN = Bangladesh, CAM = Cambodia, ENV = environment, IND = India, INO = Indonesia, IP = indigenous peoples, IR = involuntary resettlement, KGZ = Kyrgyz Republic, LAO = Lao People's Democratic Republic, MON = Mongolia, MYA = Myanmar, NEP = Nepal, PAK = Pakistan, PHI = Philippines, PNG = Papua New Guinea, PRC = People's Republic of China, REG = regional, RSDD = Regional and Sustainable Development Department, SRI = Sri Lanka, TA = technical assistance, TIM = Timor-Leste, VIE = Viet Nam.

## B. Data Needs from EARD

| TA Number | Approval Date | Name of TA Project  | Country | Safeguard Type |
|-----------|---------------|---|---------|----------------|
| 7386      | Nov-2009      | Strengthening Enforcement of Environmental Laws and Regulations | PRC     | ENV            |

EARD = East and Central Asia Department, ENV = environment, PRC = People's Republic of China, TA = technical assistance.

## C. Data Needs from CWRD

| TA Number | Approval Date | Name of TA Project   | Country | Safeguard Type |
|-----------|---------------|--|---------|----------------|
| 7433      | Dec-2009      | Mainstreaming Land Acquisition and Resettlement Safeguards in the Central and West Asia Region | AFG     | IR             |
|           |               |  | ARM     | IR             |
|           |               |  | AZE     | IR             |
|           |               |  | GEO     | IR             |
|           |               |  | KAZ     | IR             |
|           |               |  | KGZ     | IR             |
|           |               |  | PAK     | IR             |
|           |               |  | TAJ     | IR             |
|           |               |  | TKM     | IR             |
|           |               |  | UZB     | IR             |

AFG = Afghanistan, ARM = Armenia, AZE = Azerbaijan, CWRD = Central and West Asia Department, ENV = environment, GEO = Georgia, IP = indigenous peoples, IR = involuntary resettlement, KAZ = Kazakhstan, KGZ = Kyrgyz, PAK = Pakistan, TA = technical assistance, TAJ = Tajikistan, TKM = Turkmenistan, UZB = Uzbekistan.