

World Bank

Application of Bank Safeguard Policies to GPOBA Transactions

Revised – April 2007

This is a joint announcement by FEU and QACU addressing the application of Bank Safeguard Policies to operations of GPOBA involving investment projects.

Consistent with Bank operational policies and procedures, as well as with the instruments establishing the Bank administered Global Partnership on Output Based Aid (GPOBA), investment projects involving GPOBA, which are being supported by the Bank, shall comply with Bank safeguard policies.

Based on the foregoing, Task Team Leaders should process GPOBA transactions in a manner fully consistent with the application of Bank safeguard and disclosure policies and procedures. Investment projects funded solely through GPOBA do not go to the Bank Board for approval. However, as is the case for Bank investment projects, all GPOBA investment projects will be classified as Category A, B, C or FI, depending on the type, location, sensitivity and scale of the project, and the nature and magnitude of its potential environmental impacts.

Consistent with Bank policies a concept-stage ISDS would be prepared for each investment operation; however, given the accelerated nature of the GPOBA project cycle, the appraisal-stage ISDS may be issued after the initiation of the appraisal. This requires that the proposed GPOBA investments be reviewed and cleared by either the Regional Safeguards Coordinator or by the Task Team on the basis of formal delegation consistent with current Bank procedures. Where the implementation of a GPOBA investment project does not involve a World Bank Group organization, the Region will provide safeguards clearance support to GPOBA, and where required may request reimbursement by GPOBA for expenses incurred in providing such clearance.

Please note that since GPOBA operations are not supported by the Operations Portal, the ISDS WORD templates provided below are to be used. The ISDS must be submitted to the InfoShop as a WORD attachment to the following account - infoshop@worldbank.org.

All relevant documents, such as the Environmental Assessment report (including the Environmental Management Plan), Indigenous Peoples Plan, Resettlement Plan, or other action or management plans or material produced pursuant to the safeguard policies, will be disclosed in line with relevant World Bank Group policies and procedures applicable to private sector or public sector projects. This mandates that the draft safeguard documents be disclosed: (a) prior to donor approval of commitment of the GPOBA investment operation; and (b), both at the Bank InfoShop and in a publicly accessible location in the GPOBA project country as follows: no later than (i) sixty (60) days, in the case of Category A projects; and (ii) thirty (30) days, in the case of Category B or FI projects, before signature of the grant agreement by the World Bank authorized signatory.

In the event that the GPOBA investment project involves an operation by a World Bank Group member other than the Bank, and unless agreed otherwise with IFC or MIGA, the Task Team Leader should obtain a formal statement from IFC or MIGA that documents its due diligence process and any conditions imposed on the project to ensure compliance with all applicable IFC or MIGA Performance Standards (such as the project Action Plan). A copy of this statement should be provided to the GPOBA Management Unit, QACU and LEGEN. Such compliance statement will be in lieu of compliance with the Bank safeguard policies, and will be for internal use by GPOBA only unless otherwise agreed with IFC or MIGA, and will be treated as a deliberative document by GPOBA, IFC, and MIGA under their disclosure policies.

Please note that additional GPOBA project guidance is available through the GPOBA Program Management Unit, which can be contacted at gpoa@worldbank.org; further information can also be obtained by sending an email to safeguards@worldbank.org. Disputes over the application of these procedures to any GPOBA operation will be referred for resolution by QACU in coordination with LEGEN.

Laszlo Lovei
Director
Finance Economics and Urban Department
Sustainable Development

Stephen F. Lintner
Senior Adviser
Quality Assurance and Compliance Unit
Operations Policy and Country Services

Templates:

Integrated Safeguards Data Sheet – Concept Stage
Integrated Safeguards Data Sheet – Appraisal Stage

**INTEGRATED SAFEGUARDS DATA SHEET
CONCEPT STAGE**

Report No.:

Date ISDS Prepared/Updated:

I. BASIC INFORMATION

A. Basic Project Data

Country:	Project ID:	
	Additional Project ID <i>(if any)</i> :	
Project Name:		
Task Team Leader:		
Estimated Appraisal Date:	Estimated Board Date:	
Managing Unit:	Lending Instrument:	
Sector:		
Theme:		
IBRD Amount (US\$m.):		
IDA Amount (US\$m.):		
GEF Amount (US\$m.):		
PCF Amount (US\$m.):		
Other financing amounts by source:		
Environmental Category:		
Simplified Processing	Simple []	Repeater []
Is this a transferred project	Yes []	No []

B. Project Objectives [from section 2 of PCN]:

C. Project Description [from section 3 of PCN]:

D. Project location and salient physical characteristics relevant to the safeguard analysis (if known):

E. Borrower's Institutional Capacity for Safeguard Policies:

F. Environmental and Social Safeguards Specialists on the Team:

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies Triggered <i>(please explain why)</i>	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)			
Natural Habitats (OP/BP 4.04)			
Forests (OP/BP 4.36)			
Pest Management (OP 4.09)			
Physical Cultural Resources (OP/BP 4.11)			
Indigenous Peoples (OP/BP 4.10)			
Involuntary Resettlement (OP/BP 4.12)			
Safety of Dams (OP/BP 4.37)			
Projects on International Waterways (OP/BP 7.50)			
Projects in Disputed Areas (OP/BP 7.60)			

III. SAFEGUARD PREPARATION PLAN

- A. Target date for the Quality Enhancement Review (QER), at which time the PAD-stage ISDS would be prepared:
- B. For simple projects that will not require a QER, the target date for preparing the PAD-stage ISDS:
- C. Time frame for launching and completing the safeguard-related studies that may be needed.
The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in-country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.

IV. APPROVALS

<i>Signed and submitted by:</i>		
Task Team Leader:	Name	Date
<i>Approved by:</i>		
Regional Safeguards Coordinator:	Name	Date
Comments:		
Sector Manager:	Name	Date
Comments:		

**INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE**

Report No.:
Date prepared/updated:

I. Basic Information

1. Basic Project Data

Country:		Project ID:	
		Additional Project ID <i>(if any)</i> :	
Project Name:			
Task Team Leader:			
Estimated Appraisal Date:		Estimated Board Date:	
Managing Unit:		Lending Instrument:	
Sector:			
Theme			
IBRD Amount (US\$m.):			
IDA Amount (US\$m.):			
GEF Amount (US\$m.):			
PCF Amount (US\$m.):			
Other financing amounts by source:			
Environmental Category:			
Is this a transferred project	Yes []	No []	
Simplified Processing	Simple []	Repeater []	
Is this project processed under OP 8.50 (Emergency Recovery)	Yes []	No []	

2. Project Objectives:

3. Project Description:

4. Project Location and salient physical characteristics relevant to the safeguard analysis:

5. Environmental and Social Safeguards Specialists on the Team:

6. Safeguard Policies Triggered (<i>please explain why</i>)	Yes	No
Environmental Assessment (OP/BP 4.01)		
Natural Habitats (OP/BP 4.04)		
Forests (OP/BP 4.36)		
Pest Management (OP 4.09)		
Physical Cultural Resources (OP/BP 4.11)		
Indigenous Peoples (OP/BP 4.10)		
Involuntary Resettlement (OP/BP 4.12)		
Safety of Dams (OP/BP 4.37)		
Projects on International Waterways (OP/BP 7.50)		
Projects in Disputed Areas (OP/BP 7.60)		

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts:

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described:

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people:

<i>B. Disclosure Requirements Date</i>	
Environmental Assessment/Audit/Management Plan/Other:	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
Resettlement Action Plan/Framework/Policy Process:	
Date of receipt by the Bank	

Date of "in-country" disclosure	
Date of submission to InfoShop	
Indigenous Peoples Plan/Planning Framework:	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
Pest Management Process:	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
* If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP 4.01 - Environment Assessment			
Does the project require a stand-alone EA (including EMP) report?	Yes []	No []	N/A []
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?			
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?			
OP/BP 4.04 - Natural Habitats			
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes []	No []	N/A []
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?			
OP 4.09 - Pest Management			
Does the EA adequately address the pest management issues?	Yes []	No []	N/A []
Is a separate PMP required?	Yes []	No []	N/A []
If yes, has the PMP been reviewed and approved by a safeguards specialist or Sector Manager? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?			
OP/BP 4.11 – Physical Cultural Resources			
Does the EA include adequate measures related to cultural property?	Yes []	No []	N/A []

Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on physical cultural resources?			
OP/BP 4.10 - Indigenous Peoples			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes []	No []	N/A []
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?			
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit?			
OP/BP 4.12 - Involuntary Resettlement			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes []	No []	N/A []
If yes, then did the Regional unit responsible for safeguards or Sector Manager review and approve the plan/policy framework/process framework?			
OP/BP 4.36 – Forests			
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes []	No []	N/A []
Does the project design include satisfactory measures to overcome these constraints?			
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?			
OP/BP 4.37 - Safety of Dams			
Have dam safety plans been prepared?	Yes []	No []	N/A []
Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank?			
Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training?			
OP/BP 7.50 - Projects on International Waterways			
Have the other riparians been notified of the project?	Yes []	No []	N/A []
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?			
What are the reasons for the exception? Please explain:			
Has the RVP approved such an exception?			
OP/BP 7.60 - Projects in Disputed Areas			

Has the memo conveying all pertinent information on the international aspects of the project, including the procedures to be followed, and the recommendations for dealing with the issue, been prepared	Yes []	No []	N/A []
Does the PAD/MOP include the standard disclaimer referred to in the OP?			
The World Bank Policy on Disclosure of Information			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes []	No []	N/A []
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?			
All Safeguard Policies			
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes []	No []	N/A []
Have costs related to safeguard policy measures been included in the project cost?			
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?			
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?			

D. Approvals

<i>Signed and submitted by:</i>	<i>Name</i>	<i>Date</i>
Task Team Leader:		
Environmental Specialist:		
Social Development Specialist		
Additional Environmental and/or Social Development Specialist(s):		
<i>Approved by:</i>		
Regional Safeguards Coordinator:		
Comments:		
Sector Manager:		
Comments:		