The Role of IDB's Safeguard Policies in Promoting Sustainable Infrastructure:

A comparative analysis between IDB's Safeguards and the Envision Rating System

Cataloging-in-Publication data provided by the
Inter-American Development Bank
Felipe Herrera Library
Georgoulias, Andreas.
The role of IDB's safeguard policies in promoting sustainable infrastructure: a comparative analysis between IDB's safeguards and the envision rating system / Andreas Georgoulias, María Ignacia Arrasate, Nikos Georgoulias.
p. cm. — (IDB Monograph ; 483)
Includes bibliographic references.
1. Infrastructure (Economics)-Environmental aspects. 2. Sustainable development. 3. Environmental management. I. Arrasate, María Ignacia. II. Georgoulias, Nikos. III. Inter-American Development Bank. Environmental Safeguards Unit. IV. Title. V. Series.
IDB-MG-483

JEL Codes: Q01, Q56, O18

Keywords: sustainable development, environmental safeguards.

TABLE OF CONTENTS

EXECUTIVE SUMMARY

Safeguard policies are implemented to ensure that infrastructure projects maximize positive environmental and social outcomes while minimizing risks. However, although every multilateral development bank mandates their use, the impact of their implementation has not yet been adequately documented.

To this end, this report investigates the specific benefits and outcomes of applying IDB's environmental and social Safeguard policies. In an attempt to identify how and in what way Safeguard policies facilitate sustainable performance, as well as to detect sustainability gaps and provide useful recommendations for improvements, Safeguard policies were compared with the Envision rating system, which assesses and quantifies the sustainability performance of infrastructure projects. Nine IDB-funded projects were analyzed in detail through Envision, and nine semi-structured interviews with specialists involved in these projects elucidate how the application of Safeguards influenced sustainability performance in practice, the role of specialists in utilizing the Safeguards framework to facilitate sustainability improvements, and to identify opportunities for upstream work.

Our analysis demonstrates that the implementation of Safeguards undoubtedly contributes to anticipating and mitigating social and environmental risks, as well as enhancing the national regulations and institutional capacities of borrower countries. Specifically, all but a few sustainability concepts promoted by Envision are covered through the application of Safeguards, demonstrating their significance in facilitating sustainable projects and providing the tools that help projects achieve higher sustainability performance.

In terms of alignment with Envision's sustainability aspects, stronger connections were detected with the Quality of Life category, which refers to the mitigation measures applied to minimize the social and environmental impacts caused by projects, ensuring the development of socially inclusive projects that improve economic and social welfare. The biggest opportunities for improvement can be found in the Resource Allocation category, primarily by establishing quantitative reduction targets and developing strategies for supply chain integration.

The assessment of the nine IDB-funded projects demonstrates that Safeguards helped all projects facilitate long-term economic development and social welfare. Through the interviews with specialists, it was confirmed that in practice, the application of Safeguards improved projects by addressing and enhancing capacities to effectively manage environmental and social aspects. In addition, the analysis underscores the significance of specialists in facilitating these improvements, many times achieving social and environmental benefits that exceeded the initial scope of projects. Overall, all projects demonstrate that actions taken by specialists resulted in improved sustainability performance, guiding project sponsors to implement more innovative and sustainable practices.

However, a small part of the multiple dimensions embedded in the concept of sustainability is not always addressed through the application of Safeguards, and there exist opportunities for improvement. In addition to the need for baselines on sustainability performance in order to define and measure expected performance, all comprehensive social policies should be applicable to any project, even if potential social impacts or the number of displaced populations is estimated to be low. Most important, stricter requirements on climate change assessments and the application of adaptation plans to address those risks should be considered as required indicators for resilient infrastructure designs. This way, specialists will have a wider spectrum of specific targets and tools to manage potential impacts.

As a means for facilitating a more sustainable pipeline of projects it is recommended that IDB gets involved as early as possible in the project cycle, where most opportunities for sustainability interventions can be easily identified. Moreover, many social and environmental issues arise on a project-by-project basis beyond what is explicitly required in Safeguards; therefore, expanding the range of issues to be addressed further upstream can provide timely information to guide project designs in advance. Finally, climate change assessment and adaptation plans should be established as strategic requirements for all projects. In combination with the adaptive management practices applied in practice, this would ensure developers are better informed in selecting resilient sites and project designs.

1. INTRODUCTION

1.1. Scope and Purpose

The Inter-American Development Bank (IDB) defines the term 'Safeguards' as a "set of policies to ensure protection against environmental and social harm, improve development value for stakeholders, and enable countries and clients to meet best international practices".[1] Safeguards include both operational requirements at the project level and more generic programs that may or may not be applied at the project level. In relation to sustainability, the purpose of implementing Safeguards is to develop projects that maximize positive environmental and social outcomes while minimizing risks and negative impacts on people and natural capital. The same operational Safeguards are applied to both public and private sector-led projects.

When designed properly, Safeguards can bring significant benefits to project stakeholders. Safeguards may also help development banks and host countries alike meet their broader development goals. This is especially relevant for the complex challenge of providing high quality services through the planning, construction, and operation of infrastructure projects; projects that are environmentally, socially, and fiscally sustainable and can be undertaken effectively, in such a way that mitigates negative impacts on communities and the environment. That said, Safeguards are oftentimes perceived as being costly and onerous for borrowers (Yuan and Gallagher, 2015).

The lack of consensus and limited understanding of the specific benefits and costs of applying Safeguards confirm the need to assess the coverage of IDB's Safeguards and to measure the contribution of these policies to achieving sustainability outcomes. To this end, sustainability rating systems have facilitated the increased adoption and understanding of sustainability metrics that are easy to understand and communicate, scientifically sound and methodologically rigorous, and capable to be included in project scope. The Envision Rating System for sustainable infrastructure provides an integral framework of indicators that assess the sustainability of infrastructure projects and offers a useful proxy for measuring the extent to which IDB's Safeguard policies deliver sustainability benefits.

This report aims to measure how IDB's Safeguards contribute to the sustainability of infrastructure projects, and furthermore to inquire about their purposefulness and effectiveness in connecting key issues of design with environmental and societal impacts by comparing this approach with the Envision rating system. In addition, it aims to identify relevant opportunities for upstream work early in the project cycle to increase sustainability In particular, which Safeguard aspects could be addressed most effectively before a project gets into IDB's borrowing pipeline, and plan for more sustainable outcomes in advance. Considering the differences among Safeguards and Envision, this analysis detects areas of overlap and gaps between the sustainability aspects addressed by each of these different perspectives, and offers as conclusion a set of recommendations that can improve and complement IDB's Safeguards.

The methodological approach of this study considered the six IDB cross-sectoral policies with their guidelines for implementation, and IFC's Environmental, Health, and Safety guidelines. Documents were analyzed through the different sustainability categories and indicators provided by the Envision framework. The six Safeguard policies are: Environment and Safeguards Compliance policy; Disaster Risk Management policy; Involuntary Resettlement in IDB projects principles; Operational Policy on Indigenous Peoples and Strategy for Indigenous Development; Operational Policy on Gender Equality in Development; and Access to Information policy.

Complementing this analytical work, the team worked together with IDB's Safeguards specialists in the analysis of nine IDB-funded projects, which were selected by the Bank. The analysis of these concrete examples, confirmed the results of the comparison between the IDB's Safeguard provisions and Envision's indicators, and shed light on the challenges and opportunities on the implementation of the Bank's policies to promote sustainable outcomes.

Further research might be necessary to address IDB's sector policies,

[1] See all IDB Sustainability and Safeguard policies at: http://www.iadb.org/en/topics/sustainability/about-us,19563.html

such as energy, transportation, and mining, among others.[2] In addition, given the intricate nature of the topics covered in this analysis, it should be noted that the comparative work set out in this report is by nature highly interpretative.

1.2. Sustainable Infrastructure Projects

In December 2015, more than 150 heads of state arrived in Paris to attend the 21st Conference of Parties under the United Nations Framework Convention on Climate Change. Through the Paris Agreement, they embraced the aspirational goal of hampering the global temperature rise and for the first time ever, every participating nation committed to limiting or reducing its carbon emissions footprint.

The next decades will be crucial for reducing the growing carbon footprint of the global economy and mitigating its impacts on the climate system. A significant expansion of investments in modern and efficient infrastructure will be essential to attaining that goal, while achieving the growth and sustainable development objectives the world is setting for itself (Bhattacharya el al., 2015). As a result, a growing demand for sustainable infrastructure projects can be observed throughout the world.

In this context, the Latin American and Caribbean (LAC) region faces an urgent need to increase infrastructure investment. Multilateral Development Banks (MDBs), including the IDB, play a key role by supporting private and public entities to deliver infrastructure projects and fulfill pressing societal needs by minimizing negative impacts and maximizing benefits. The IDB Sustainable Strategy proposes that IDB prioritizes actions aimed at supporting the region's countries in the process of adopting a new vision, in which infrastructure is planned, built, and maintained to provide services of adequate quality that promote sustainable and inclusive growth (Serebrisky, 2014). The key to ensuring the sustainability of IDB financed-projects is the application of environmental and social Safeguard policies. IDB has a comprehensive set of Safeguards to make sure that the sponsors it finances are able to adequately assess and manage environmental and social impacts.

[2] IDB's sectors: Public Utilities; Agricultural Sector; Forestry Development; Fisheries Development; Mining; Tourism; Transportation; Energy; Electric Energy; Public Health; Basic Environmental Sanitation; Urban & Housing Development; and Rural Development.

Sustainability, however, is a complex and multi-dimensional concept.. The development of triple bottom line models emphasizes sustainability as three-dimensional: environmental, social and economic. In order to develop sustainable projects, evaluating the interactions between these principles is a fundamental prerequisite (Wallis et al., 2011). Considering this, a paradigm shift is needed, from infrastructure projects with an economic centered approach to infrastructure projects as interventions to improve quality of life and create opportunities towards a sustainable future.

To deal with these challenges, greater clarity on what encompasses sustainable infrastructure combined with the transformation of broad aspirational goals for sustainability into specific, measureable, achievable, relevant, and time-bound standards is necessary (Watkins, 2014). For this purpose, industry practitioners have developed a variety of assessment tools. Sustainability indicators identify variables related to development and assess performance against set standards (Poveda and Lipsett, 2011). These strategic methodologies contribute to better informing decision-making processes for policy formulation, while acting as a means for communication.

1.3. The Envision Rating System

The Envision rating system, developed by the Zofnass Program at Harvard Design School and the Institute for Sustainable Infrastructure, is one of the many approaches available to assess sustainability in infrastructure projects. Envision was specifically created to help project teams incorporate sustainability into their projects and is applicable to all sizes and types of infrastructure, during all projects' phases. It is a guide for both developing the right projects and developing projects in a better way, not only a scoring system.

When applied during the planning phase, Envision can help guide decisions to define a project's scope, prioritizing a list of strategies and considering project alternatives. It can also serve as a communication tool to explain the impacts of the project and bring project members to the same table. Applying Envision early in the design phase streamlines this process and limits potential impacts. As an evaluation tool, Envision determines a project's sustainability performance, serves as learning exercise for the project team, and confirms the value of the project from

a sustainability perspective.

Envision is a comprehensive framework of 60[3] sustainability indicators, or credits, which encompasses the full social, environmental and economic impacts of a project. Credits are grouped into five categories that correspond to principal areas of impact applicable to all infrastructure types: Quality of Life, Leadership, Resource Allocation, Natural World, and Climate and Risk. Five levels of achievement are established for each indicator; from slightly exceeding conventional practices to positive impacts through restoration. These levels measure if the project has successfully incorporated sustainability principles and help identify opportunities for improvement. Points are assigned for each level based on a variety of qualitative and quantitative criteria. Furthermore, levels of achievement are cumulative, which means that lower levels have to be met to achieve higher levels. Additional information about Envision is available in Appendix A.

2. THE RELATION BETWEEN IDB'S SAFEGUARDS AND ENVISION

2.1. Introduction

The earliest Safeguard policies were established by the World Bank to address environmental and social challenges arising from controversial infrastructure projects in the 1970s and 1980s (Watkins, 2014). From that starting point, the Safeguard policies of MDB's have evolved in an iterative manner, accompanied by a deliberate effort to harmonize a wide range of sub-policies, while taking into account different regional and stakeholder concerns (Himberg, 2015). Today, all multilateral financial institutions have developed environmental and social policies to support sustainability in the projects and programs they finance. On the other hand, several sustainability rating systems have been developed and applied in projects resulting in the increased adoption and understanding of sustainability metrics, solutions and value propositions within governments, developers, and end-users.

Both of these systems encompass the main dimensions of sustainability by considering a 'triple bottom line' approach. Safeguard policies cover a wide spectrum of sustainability aspects and undoubtedly contribute to anticipating potential impacts and identifying necessary mitigation actions in an efficient and effective manner. However, the origin, scope, and evolution of these approaches have led to important differences among them. First, safeguards were developed for assisting a lending process, to be used by experts while rating systems had a more broad perspective and audience. Second, rating systems offer clear standards and targets to measure sustainable project performance, which often vary considerably in the Safeguards approach. Third, these approaches vary in terms of their comprehensiveness, without necessarily including a cohesive integrated framework addressing the interconnections between multiple types of actions recommended by policies. Fourth, there are differences in emphasis on particular sustainability criteria, while some aspects are not covered as comprehensively than others. Finally, different policies vary in their coverage of the entire life cycle of projects, with some of them focusing more on certain phases, and some missing others.

Different types of connections were identified between the Safeguard policies and Envision's categories. Stronger connections were detected with the **Quality of Life** category, which refers to the mitigation measures applied to minimize the social and environmental impacts caused by projects, ensuring the development of socially inclusive projects that improve economic and social welfare. Safeguards also consider measures to ensure the environmental sustainability of projects, focused on protecting ecosystems and biodiversity. These principles are mainly related with the sustainability indicators of the **Natural World** category, but preservation-relevant criteria can be further expanded to include additional valuable natural areas, such as farmland.

Programs to build and strengthen institutional capacities and policies in borrowing member countries promoted by the IDB are reflected through the **Leadership** category. Regarding the **Climate and Risk** category, the relation with Safeguard policies is weaker. This underscores the opportunity to further reinforce strategies to promote resilient designs facilitating infrastructure projects that are able to adapt to changing operating conditions and long-term risks posed by climate change. The biggest opportunities for improvement can be found in the **Resource Allocation** category, primarily by establishing direct reduction targets

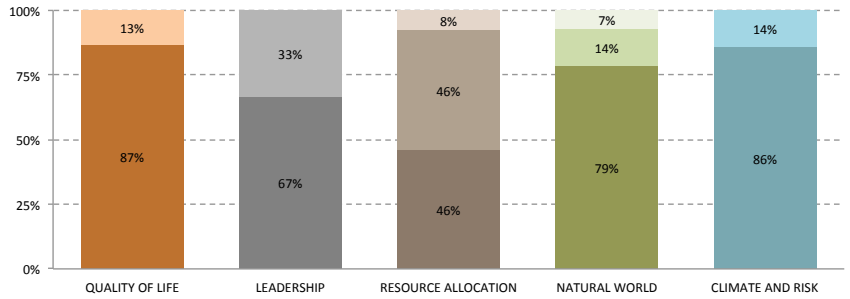
[3] Plus 3 new credits of the Vulnerable Groups subcategory, added by the Harvard Zofnass Program in collaboration with the IDB for application in Latin American projects. At the time of writing this report, the next version of Envision was under development, which includes most of these aspects.

and promoting design strategies to build projects that consider sustainable practices in relation to materials and resource consumption.

In general, given the interpretative nature and flexibility of Safeguards according to the different contexts and priorities of the countries they are applied to, there exists a lack of indicators to evaluate the effectiveness of policies in achieving the highest feasible sustainability performance. This hinders the option of objectively comparing them with the different levels of achievement established for each of the Envision sustainability indicators. Therefore, relating sustainability goals to measureable criteria, indicators, and metrics to evaluate the sustainability performance of IDB-financed infrastructure projects remains a major challenge and a big area of opportunity that has to be addressed to ensure that IDB plans for and facilitates projects that achieve the maximum levels of sustainability performance when technically and economically feasible.

Figure 01 illustrates the relation between the credits covered by IDB's Safeguards and all credits that comprise Envision's sustainability categories. Dark colors indicate the percentage of credits explicitly covered, light colors indicate the percentage of credits implicitly covered, and lighter color indicates the percentage of credits that are not covered (only in Resource Allocation and Natural World).

Figure 01: Alignment Between Safeguards and Envision Categories



2.2. IDB Safeguard Policies

The relation between IDB's Safeguards and the 63 sustainability indicators grouped within Envision varies significantly according to the policy under analysis, with some policies covering multiple indicators defined in Envision. Furthermore, even when a connection could be established between a policy and a certain credit, different types of relations were identified. Specifically, some times the relation between a policy and a credit is **explicit**, meaning that the policy is directly related with a specific credit and its principles must be covered during project implementation. Some other times, the relation is **implicit**, when there is a potential connection with the credit that was detected in the policy's formulation and its principles might be covered as a result of a subsequent analysis required by the application of Safeguards, but is not explicitly mentioned in the policy documents.

Another aspect to consider is that some policies are **internal**, referring to internal Bank obligations and procedures associated with the screening and classification of operations. In these cases, it is harder to establish a relation with Envision's sustainability objectives. Many policies are **external**, formulated as principles to be applicable to IDB-financed projects, as a result of the analyses of equivalence and acceptability.

There is an effort to define **indicators** to measure and monitor project performance across Safeguards, especially when considering the guidelines for implementation. However, the requirements often vary from country to country, project sector, or according to the expected project impacts. In addition, although several possible strategies for achieving improved sustainability performance are defined, almost invariably policies do not specify which specific strategy should be followed and its desired outcomes. Therefore, many times it is difficult to establish a clear baseline to measure the minimum levels of performance to be expected from IDB-financed projects when Safeguards are applied. In contrast, Envision establishes different levels of achievement to address project performance. In most credits, the lowest levels should first be satisfied in order for the higher levels to be achieved. The variability and flexibility of baselines for minimum performance standards in Safeguards hinder the efforts to compare them with Envison's levels of achievement.

Many Safeguard policies address **cross-sectoral** topics, therefore, they are connected with several Envision sustainability categories. This fact reflects the importance for IDB of promoting sustainability as an integrated set of interrelated aspects and concepts. For the purpose of this analysis, each of the cross-sectoral polices will be examined as a

system of sustainability objectives, in an attempt to identify the different Envision credits related to them most effectively.

For more information on sustainability objectives, analytical tools, and indicators of Safeguard policies in relation to Envision see Appendix C.

2.2.1. Environment and Safeguards Compliance Policy

In this policy, **"environment"** is defined in its broad sense, including physical/chemical, biological, and associated social factors. Because of this, the policy encompasses social, cultural and economic aspects related with all five sustainability categories defined by Envision. The policy relates with all five Envision categories, with several cross-sectoral sub-policies establishing connections among them. In total, 31 Envision credits are addressed by this policy. The stronger relation with Envision can be found in aspects covering the protection of the **Natural World**.

2.2.2. Disaster Risk Management Policy

The purpose of IDB's Disaster Risk Management Policy is to guide the Bank's efforts to assist its borrowing member countries in reducing risks emanating from natural hazards and in managing disasters by promoting prevention actions and defining lending protocols for post disaster response. The policy applies to all "**natural hazards"**, including the hydro-meteorological hazards that are associated with both the existing climate variability and the expected change in long-term conditions.[4]

The Disaster Risk Management Policy relates with the Envision **Climate and Risk** category, mainly by addressing vulnerabilities and risks, however, the policy is not explicitly focused on addressing climate change and promoting specific climate change adaptability plans. Tools for climate risk assessments at the country and project level, and measures for mitigating these risks to IDB investments for climate change adaptation are developed under Pillar 4 IDB's Sustainable Energy and Climate Change Initiative (SECCI) Action Plan.[5]

2.2.3. Involuntary Resettlement in IDB Projects Policy

In this policy, **"resettlement impacts"** means the direct physical and socioeconomic impacts of resettlement activities in the project and host areas. Therefore, the policy and its guidelines are meant to assist IDB and borrowers in mitigating the negative impacts from compulsory relocation on individuals and communities, and assisting the affected populations to establish a sustainable society and economy. This document is intended for the executing agencies in the borrowing member countries and for Bank staff involved in identifying, preparing, and analyzing projects that might result in resettlement.

The Involuntary Resettlement in IDB Projects Policy is primarily related with the **Quality of Life** and **Leadership** categories. A strong focus was identified on providing social programs for the sustainable economic development of displaced communities, as well as ensuring the meaningful participation of all affected stakeholders, especially the most vulnerable groups, according to the country's context.

2.2.4. Indigenous Peoples Policy

For the purpose of this policy, the term **"Indigenous Peoples"** refers to those that are descendants from populations inhabiting Latin America and the Caribbean at the time of the conquest or colonization.[6] With this policy, IDB seeks to support sociocultural development processes that are appropriate to the economy and governance of indigenous peoples, giving priority to territorial and cultural integrity, to a harmonious relationship with the environment, and to security in the face of vulnerability, while respecting the rights of indigenous peoples.

The Indigenous Peoples Policy is not only focused on identifying and mitigating the possible adverse impacts of the projects to indigenous communities, but also on promoting opportunities for sustainable development. To do so, all aspects related to indigenous populations are

[4] According to the Disaster Risk Management Policy Guidelines, climate change is likely to influence weather related hazards, and thus probable losses in three principal ways: (i) by altering the intensity and frequency of climatic extremes, i.e., hurricanes, tropical storms,; (ii) by shifting the average climatic conditions and climate variability, i.e. precipitation levels; and (iii) initiating hazards that are new to a region such as sea level rise and glacial melt, coastal flooding as well as floods and droughts in watersheds.

[5] The SECCI Action Plan is not part of the documents included in this analysis

[6] Irrespective of their legal status or current residence, they retain some or all of their own social, economic, political, linguistic and cultural institutions and practices, and they recognize themselves as belonging to indigenous or pre-colonial cultures or peoples.

considered, from anthropogenic considerations to their relation with territories and natural resources. Four Envision categories are related to this policy, while the relation is stronger with the **Quality of Life** and **Leadership** categories.

2.2.5. Operational Policy On Gender Equality In Development

For purposes of this policy, **"gender equality"** means that women and men should enjoy the same conditions and opportunities to exercise their rights and reach their social, economic, political, and cultural potential. The objective of the policy is to strengthen the Bank's response to the goals and commitments of its member countries in Latin America and the Caribbean to promote gender equality and the empowerment of women. Moreover, the actions in fulfillment of this policy will help to further the Bank's institutional priorities and its mission to accelerate economic and social development in its regional member countries.

The policy recognizes that the pursuit of equality requires actions aimed at equity, which implies providing and distributing benefits and/or resources in a way that narrows the existing gaps. Thus, the Operational Policy on Gender Equality in Development focuses on women's rights and promoting equal opportunities for women and men, as well as mainstreaming programs and actions to foster gender equality. The policy includes project risk analyses to identify gender-based risks and the application of Safeguards according to the project impacts and specific country strategies. The relation between the principles of this policy and Envision is especially strong in the **Quality of life** category.

2.2.6. Access to Information Policy

IDB reaffirms its commitment to **transparency** as a means of aligning itself with international best practices. Through the implementation of this policy, IDB seeks to demonstrate its transparent use of public funds, and by deepening its engagement with stakeholders, to improve the quality of its operations and knowledge and capacity-building activities.

The Access to Information Policy refers mostly to IDB's internal protocols to share project related information to the public to promote transparency. Sharing these documents contributes to maximizing access to information, improving the borrower's quality and commitment to sustainability values, as well as providing a base for broader stakeholder involvement. Therefore, indirectly, this policy is implicitly related to some of the aspects promoted by Envision in the **Leadership** category.

2.2.7. IFC's Environmental, Health, and Safety Guidelines

IDB requires its clients to follow IFC's Guidelines as part of Environment and Safeguards Compliance Policy. The Guidelines contain technical reference documents with various general and industry-specific international best practice examples that are applicable to high-impact developments but also relevant for any project. The Guidelines have a strong focus on Environmental and Health and Safety issues, with an overarching goal to prevent pollution and increase resource efficiency. Through IFC's Guidelines, IDB provides a comprehensive point of reference that clients can follow to establish performance targets and prioritize reasonably achievable actions for pollution prevention, community health and safety, resource efficiency, and general environmental management.

The guidelines include many sustainability aspects, which facilitates relations with all Envision sustainability categories. In total, 39 Envision credits are addressed by the Guidelines, while the stronger relation with Envision can be observed in aspects related to **Resource Allocation** and **Natural World**.

2.3. General Findings

- **The most thorough social mitigation policies are mainly applicable to high-impact projects**

IDB requires that borrowers conduct socio-cultural analyses to address the aspects necessary to maximize the benefits of Bank-financed operations for disadvantaged and marginalized groups, and to minimize relevant negative impacts. These analyses ensure compliance with the Bank's Safeguard policies, provide valuable information about stakeholders, and initiate the process of consultation and participation throughout communities (Partridge and Mejía, 2013).

However, in projects with low social impacts, or in ones where the

Operational Policy on Gender in Development, the Operational Policy on Indigenous Peoples, and the Involuntary Resettlement Operational Policy, are not applicable, opportunities to contribute to enhancing the socioeconomic features and competitiveness of the community might not be fully captured. On the other hand, regardless of the type of project and its associated impacts, Envision expands the focus from a project-only outlook to community-wide considerations, encouraging projects to restore, redevelop, and repurpose community assets.

The Envision framework ensures that sustainable projects consider the shift from only hiring local workers as needed to implementing capacity building efforts at the community scale. In addition, it states that to foster sustainable development, projects should consider long-term community issues, in particular how to evaluate educational needs and improve long-term workforce competitiveness. Although these aspects are covered through Safeguards, many times restorative initiatives and management frameworks are limited within the project's boundaries.

- **Differences in depth and breadth among policies**

The different emphases on certain sustainability criteria between Safeguard policies and Envision become evident when considering the comprehensive policies within the Operational Policy on Gender in Development, the Operational Policy on Indigenous Peoples, and the Involuntary Resettlement Operational Policy. These policy directives address in great depth all aspects related to disadvantaged groups and minorities, particularly women, elderly, and indigenous peoples. Furthermore, for projects that entail involuntary physical displacement of people, considerations and procedures to minimize the disruption of livelihoods of people living within the project's area of influence are clearly defined, ensuring the adequate protection of their rights, as well as compensation for potential losses. This detailed level of analysis differs from other aspects contained in Safeguard policies.

Envision provides a holistic framework in which the different sustainability categories have similar levels of priority, according to the number of indicators contained within each specific category. Considering this, equal significance is placed on Quality of Life, as on the Leadership, Resource Allocation, Natural World, and Climate and Risk categories. Notably, Envision does not specifically address involuntary displacement, even though some sustainability indicators are intrinsically related with the impacts related to resettling communities.

- **Limited coverage of some project life cycle phases**

As the concept of sustainable development evolves, sustainability assessments will move toward pro-active approaches, such as involving decision makers in the first stages of projects that have sustainability targets (Poveda and Lipsett, 2011). For this reason, the current version of Envision best applies to the decisions made during the planning and design phases. Expanding this notion, Envision encourages the use of Life Cycle Assessments (LCA), as a tool to measure environmental impacts of materials and resources, such as energy and water, utilized to develop projects. Design considerations towards the end of the useful life of the project are also addressed as part of the sustainability indicators.

Safeguard policies consider all phases of a project's life cycle, however, a stronger emphasis is placed on construction, operations, and monitoring. Planning and design considerations for IDB-financed projects address programs for mitigating impacts, but key aspects to drive improvements during the planning and design process are not considered as comprehensively. For instance, extending the project's useful life is not explicitly part of the suggested actions, although many times it might be indirectly covered to some extent through utilizing better materials and integrating resilient design strategies. In addition, planning projects in such a way that allows for efficient disassembly and reuse of their parts at the end of their useful life further enhances sustainability performance, an aspect that is currently not explicitly covered through the application of Safeguards.

2.5. Analysis By Envision Sustainability Categories

2.5.1. Quality Of Life

The **Quality of Life** category addresses a project's impact on host and affected communities, from the wellbeing of individuals to the larger social fabric as a whole. From this perspective, IDB's Safeguards ensure that Bank-financed projects are aligned with community goals at different scales, from country development strategies to the local communities directly affected by the projects. A strong emphasis is put on considering

community members as important stakeholders in the decision making process.

The credit-by-credit analysis indicates that Safeguards contribute to **improving the net quality of life of the community** by avoiding adverse impacts and **stimulating sustainable growth and development** mainly by generating new employment opportunities directly related to project development. However, educational or training programs to **develop and expand local skills and capacities** are explicitly considered as part of the social strategies related to projects only when the Indigenous Peoples Policy, Involuntary Resettlement Policy, or the Gender Equality in Development Policy are applicable.

Safeguard policies ensure that during construction and operation, the physical **safety of workers and residents** is accounted through the application of IFC's Environmental, Health, and Safety guidelines, as well as the compliance with local regulations.[7] No special considerations are given to the use of new technologies related with the implementation of sustainable practices beyond local regulatory requirements. The **minimization of nuisances**, including light pollution, odors, noise, and vibration is addressed mainly through IFC's Environmental, Health and Safety Guidelines that clients are required to follow, but their consideration many times depends on the standards and regulations applied in each specific country and the project's typology.

Safeguard policies encourage borrowers to **improve site accessibility, safety, and way finding**, thereby enhancing physical safety and reducing crime. However, to minimize transport related impacts on communities further attention should be given to the larger context of the project, encouraging **alternative modes of transportation** and considering projects as a part of the **larger mobility network**. Context-sensitive designs are promoted by highlighting the importance of conducting studies to identify and **preserve historic and cultural resources**, however, functional impacts of infrastructure projects are not explicitly considered. If the project is located in a rural or urban setting, considerations to **preserve views and natural features**, and incorporating the **local character** of the built environment into the design could be further encouraged. Another important aspect to enhance overall community livability is to promote plans and commitments to further **enhance public space** by creating new or restoring existing ones beyond the surroundings of the project.

In relation to vulnerable groups, the Gender Equality in Development and the Indigenous Peoples policies **identify and address in great depth the needs of women and diverse communities**. These Policies go beyond the Envision related credits, protecting their rights and promoting their development in different areas. Aspects such as **empower women economically**, reduce violence against women, reduce gender inequalities in education, and increase women's participation in decision-making are all part of IDB's strategic gender objectives. The application of Safeguard policies ensures that all adverse impacts to these groups are identified, assessed, and mitigated. In addition, the extensive implementation procedures defined in both policies contribute to the execution, evaluation and monitoring of projects in accordance with IDB's requirements. Further focus on the relation between **accessibility and mobility barriers of these particular groups** in the design of infrastructure projects is recommended. Figure 02 summarizes the overlaps and gaps between Safeguards and Envision credits that comprise the Quality of Life category. Light orange color indicates the credits that are covered implicitly, and dark orange color indicates the credits that are covered explicitly through indicators that allow direct comparison with Envision's levels of achievement.

[7] Developed by the World Bank, the guidelines provide numerical targets for reducing pollution, as well as maximum emissions levels.

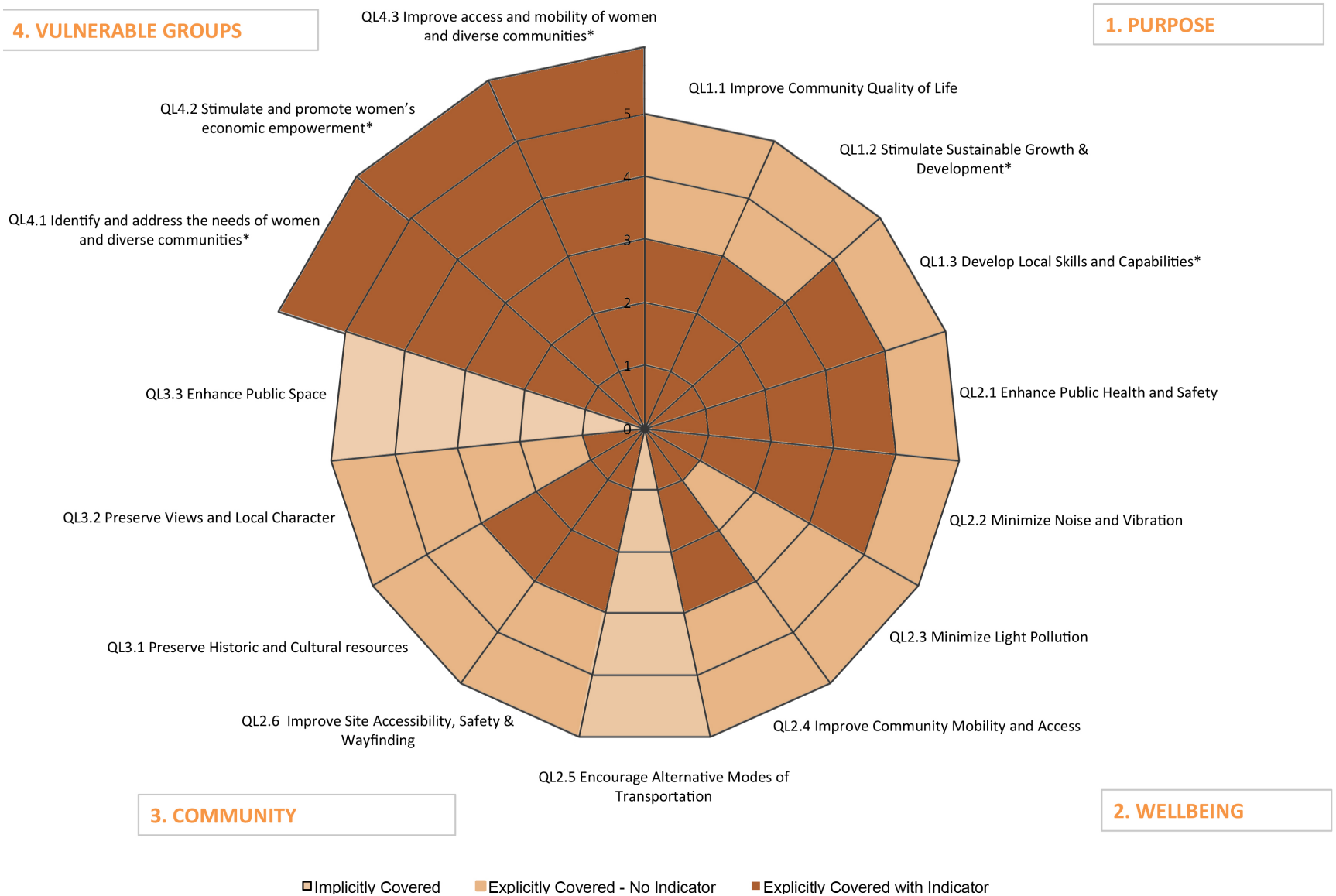
Credit		Relation
QL1.1	Improve Community Quality of Life	Explicit
QL1.2	Stimulate Sustainable Growth and Development	Explicit
QL1.3	Develop Local Skills and Capabilities*	Explicit
QL2.1	Enhance Public Health and Safety	Explicit
QL2.2	Minimize Noise and Vibration	Explicit
QL2.3	Minimize Light Pollution	Explicit
QL2.4	Improve Community Mobility and Access	Explicit
QL2.5	Encourage Alternative Modes of Transportation	Implicit
QL2.6	Improve site Accessibility, Safety & Wayfinding	Explicit
QL3.1	Preserve Historic and Cultural resources	Explicit
QL3.2	Preserve Views and Local Character	Explicit
QL3.3	Enhance Public Space	Implicit
QL4.1	Identify and Address the Needs of Women and Diverse Communities*	Explicit
QL4.2	Stimulate and Promote Women's Economic Empowerment*	Explicit
QL4.3	Improve Access and Mobility of Women and Diverse Communities*	Explicit

* Varies: Only present when the Operational Policy on Indigenous Peoples, 'Operational Policy on Involuntary Resettlement', or 'Operational Policy on Gender Equality' are applied.

Figure 02: Relation Between Safeguards and Quality of Life

Summary

In this category, the comparison is highly interpretative, considering that many Safeguard indicators vary according to the project's context and have a qualitative nature, hindering their objective measurement and quantification, however, some general assumptions can be made. First, the diagram at the end of the section shows that Safeguards contribute to reinforcing the **Purpose** of the Bank's investments, which is to accomplish two overarching objectives: achieving sustainable economic growth and reducing poverty and inequality. The consistent integration of educational and training programs would further strengthen the efforts to achieve these objectives. The lower performance related to the **Wellbeing** of communities, demonstrates that some additional health and security issues could be covered more comprehensively, primarily by providing minimum performance requirements. Strategies to address comfort, health, and mobility of both residents and workers by minimizing nuisances caused by projects beyond local regulations can also be expanded to achieve that. To preserve and reinforce **Community** identity, efforts focus on the preservation of cultural resources. However, this perspective can be expanded to cover additional features surrounding the project's area of influence, such as landscape features or local characteristics, facilitating more context-sensitive designs. Finally, a strong consideration for the welfare of the most **Vulnerable Groups** of the communities affected by projects is evident throughout Safeguards, including women and indigenous population, attaining and in some aspects surpassing the maximum levels of achievement established by the Envision Rating System. Figure 03 illustrates the relation between IDB's Safeguards and Envision's **Quality of Life** category.



Only when the 'Operational Policy on Indigenous Peoples', the 'Operational Policy on Involuntary Resettlement', or the 'Operational Policy on Gender Equality' are applied.
1 = Improved / 2 = Enhanced / 3 = Superior / 4 = Conserving / 5 = restorative

Figure 03: Relation Between Safeguards and Envision's Quality of Life Credits

2.5.2. Leadership

The **Leadership** category encourages and rewards effective and collaborative actions that facilitate the development of sustainable projects. This relates to the ways project teams collaborate and communicate, how stakeholders are involved in creating ideas for projects and understand the importance of a long-term holistic view of the project and its life cycle (Envision Manual, 2015). In addition to addressing the different types of impacts of Bank-financed projects, IDB's Safeguard policies promote the development of the borrowers' institutional capacities, policies to support the development of sustainable projects, and enhance environmental governance. Moreover, they enable stakeholders to contribute their ideas and perspectives by promoting participatory processes. However, additional opportunities related to capture synergies from larger infrastructure systems, as well as taking a long-term view of the project cycle, expanding its useful life beyond the anticipated end-of-life period, can still be integrated.

Safeguard policies encourage borrowers to integrate sustainability values by raising standards, many times beyond local regulations, **promoting effective leadership and commitment** in order to achieve project goals. Also, in many cases, Safeguards promote the implementation of more comprehensive **sustainability management systems** to address the processes and mechanisms for managing project-related sustainability aspects in an integrated way. Safeguard policies promote efforts for **active stakeholder engagement** and dialogue through community participation mechanisms. However, considerations to **foster collaboration and teamwork** among the project's team members by using integrated design and delivery methodologies can still be further encouraged to help eliminate design conflicts and optimize the project's sustainability performance.

Safeguards **promote infrastructure integration** considering a case-by-case approach. A broader comprehensive understanding of the project's context in all cases could foster opportunities to enhance operational relations among other elements of community infrastructure to improve overall efficiency and effectiveness, as well as explore **synergies between systems**. For example, identifying and pursuing opportunities to use unwanted by-products or discarded materials and resources from nearby facilities present opportunities to reduce waste. This concept is covered to some extent through IFC's Environmental, Health, and Safety guidelines, where teams are specifically guided towards identifying opportunities for recycling materials. However, these principles could be expanded to cover a wider spectrum of materials and resources.

Safeguards **promote a long-term view** of the project by requiring plans and reports to monitor that the implementation of ecological protection, mitigation, and enhancement measures incorporated into the project can be carried out in an efficient manner. However, after the loan disbursement and project completion, it is not explicitly stated whether sufficient resources are allocated to keep conducting monitoring and guarantee maintenance plans. Safeguard specialists ensure that enough resources are allocated to conduct these plans over the first years of operations, but additional considerations could be introduced to ensure their implementation over the long-term. The fulfillment and enhancement of **local regulations and policies** is an integral part of the Safeguards' requirements. However, considering normative barriers that can hinder their implementation would help to better integrate best practices into local regulations from the specific perspective of promoting sustainable practices. For example, regulatory frameworks in specific countries could limit the use of greywater to reduce potable water consumption, or construction materials with recycled content instead of virgin materials.

In addition, a full life cycle approach to improve the durability, flexibility, and resilience of projects can be integrated into the planning phase to **extend the useful life of projects**. Flexibility implies design considerations in projects whose parts and components can be easily reconfigured and reused in the future. Planning for durability and resilience embraces the principle that the longer the useful life of a project, the less it will need to be replaced, reducing energy, water and materials required for new constructions. These principles are covered to some extent through IFC's Environmental, Health, and Safety guidelines that clients are required to follow, but there exist opportunities to extend their scope to include more specific requirements on promoting the reconfiguration and reuse of project components. Figure 04 summarizes the overlaps and gaps between Safeguards and the Envision credits that compose the Leadership category. Light gray color indicates the credits that are covered implicitly, and dark grey color indicates the credits that are covered explicitly.

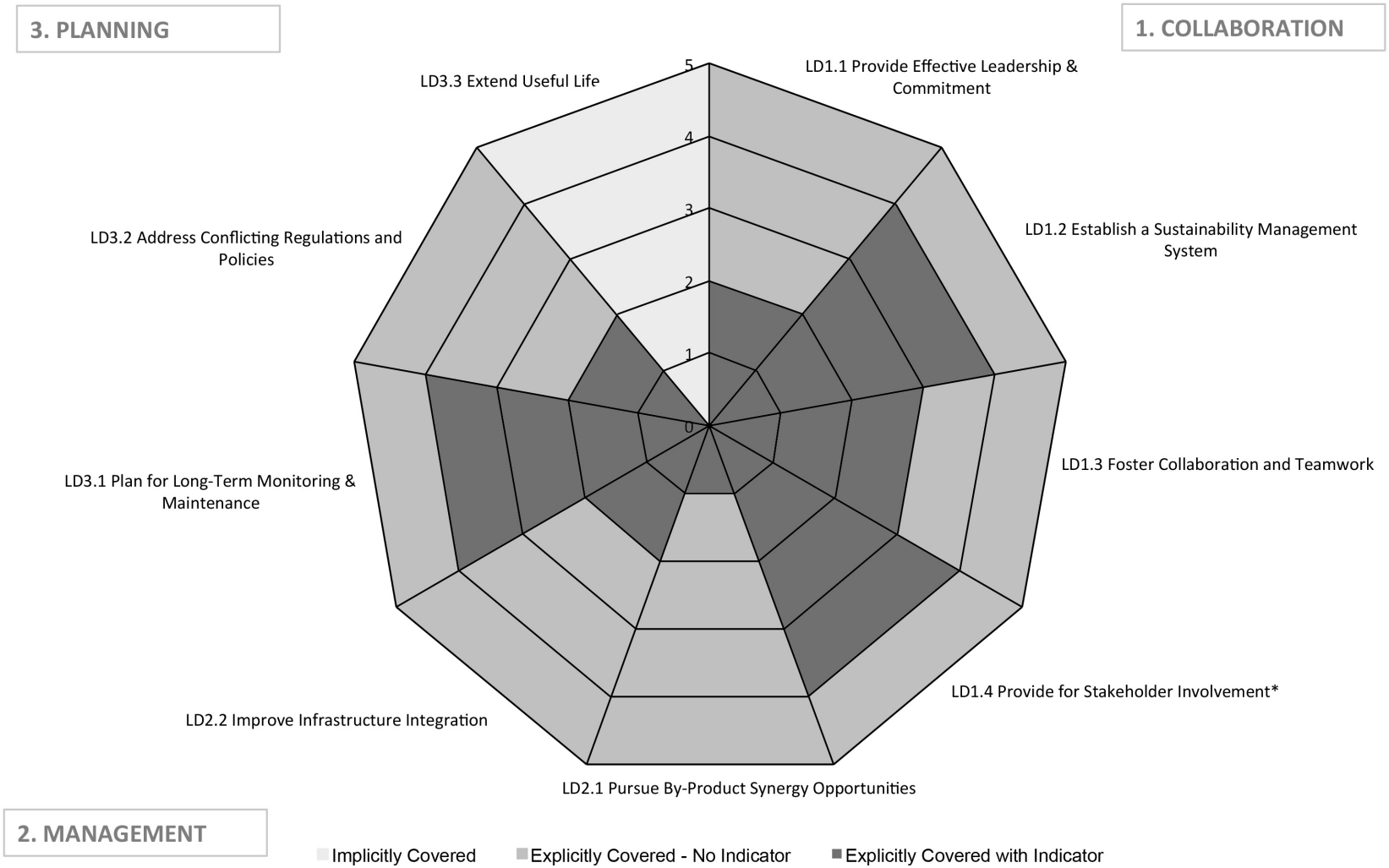
Credit		Relation
LD1.1	Provide Effective Leadership & Commitment	Implicit
LD1.2	Establish a Sustainability Management System	Implicit
LD1.3	Foster Collaboration and Teamwork	Implicit
LD1.4	Provide for Stakeholder Involvement*	Explicit
LD2.1	Pursue By-Product Synergy Opportunities	Implicit
LD2.2	Improve Infrastructure Integration	Implicit
LD3.1	Plan for Long-Term Monitoring & Maintenance	Explicit
LD3.2	Address Conflicting Regulations & Policies	Explicit
LD3.3	Extend Useful Life	Implicit

* Varies: According to the project impacts and classification (A, B, C categories)

Figure 04: Relation Between Safeguards and Leadership.

Summary

In relation to **Collaboration**, the instruments provided by the Bank to enhance environmental governance, policy development, and institutional capacity building indirectly contribute to promoting effective leadership and commitment, and improve management systems. However, specific commitments and requirements for management systems targeting restorative sustainability goals could be incorporated to further enhance long-term sustainability performance. A high level of importance is placed on stakeholder engagement, but many times the level of engagement depends on the assessment category of the project according to its potential impacts, and the applicable Safeguard policies and analytical tools required for its development. **Management** offers opportunities for improvement by integrating a synergic approach between infrastructure systems, either within the project or among larger infrastructure systems. In terms of **Planning**, it is necessary to explicitly consider the entire life cycle of projects in terms of both the necessary personnel and resources in order to ensure their efficiency and performance in the long-term. Although project teams are guided towards developing a decommissioning plan, further considerations related with the end of the useful life of projects, such as accounting for effective deconstruction and recycling, should be included. Figure 05 illustrates the relation between IDB's Safeguards policies and Envision's **Leadership** category.



* Varies: According to the project impacts and classification (A, B, C categories)
1 = Improved / 2 = Enhanced / 3 = Superior / = Conserving / 6 = Restorative

Figure 05: Relation Between Safeguards and Envision's Leadership Credits.

2.5.3. Resource Allocation

This category considers the quantity, source, and characteristics of the resources needed to build infrastructure, and their impacts on the sustainability of the project. Resources addressed include materials and waste, energy consumed, and water used (Envision Manual, 2015). In relation to IDB's Safeguards, the Environment Strategy calls for the Bank to consider and assess ways to support countries in fulfilling their commitments regarding their development goals, including environmental indicators, such as biodiversity protection, energy efficiency, and CO_2 emissions reductions. Considerations related to the aspects addressed in Envision's Resource Allocation category are primarily included in the Environment and Safeguards Compliance Policy, but multiple aspects are also covered through IFC's Environmental, Health, and Safety guidelines. However, a comprehensive approach, including quantifiable indicators to target these sustainability objectives is missing.

Through the mutual agreement of both IDB and the borrower, safeguard policies support **sustainable procurement practices** by fostering approaches to look for goods and services procured under Bank-financed operations that are produced in an environmentally and socially responsible manner, in terms of resource use, work environment, and community relations. However, minimum percentages of materials that should be procured from sustainable providers are not defined. Further considerations about the measurement and reduction of the **net embodied energy** of the utilized materials, the use of materials with **recycled content** that are **locally sourced,** and the minimization of soil movement to **reduce excavated materials taken off site** are specified by Safeguards and IFC's Environmental, Health, and Safety guidelines, but again minimum requirements are not provided. Importantly, design considerations to account for **deconstruction and recycling** at the end of the project's useful life are also not explicitly indicated, but clients are advised to prepare a decommissioning plan, which covers some aspects of the related Envision credit, albeit indirectly. Therefore, there still remain opportunities to foster the efficient and responsible use of materials in projects.

For IDB-financed projects, the Environmental Impact Assessment (EIA) report should include relevant information about solid waste management and Bank operations may include targeted investments for this purpose. In addition, all bank-financed projects are required to follow a designated waste hierarchy that considers landfill disposal as the least preferred means for managing waste. However, no specific minimum requirements are defined to reduce waste and **divert waste streams from landfill disposal** by further maximizing recycling and reuse and minimizing landfill disposal, besides the specific requirements established for IDB facilities in Headquarters and Country Offices.

In relation to energy, opportunities for **energy efficiency** and the **use of renewable energy** are promoted as part of the Environmental policy directives. In addition, as part of agreed mitigation measures, the Bank may require that the borrower, where feasible and cost effective, to adopt cleaner production and manufacturing processes, and implement energy efficiency and/or renewable energy initiatives in accordance with IFC's Health and Safety requirements and proposed initiatives. Benchmarks are provided for some specific industries, however no clear goals and indicators about how much of the project energy needs should be met through renewable energy resources are provided.

It is important to note that according to Safeguards specialists, in addition to specifying requirements pertaining to renewable energy on a project by project basis, IDB has established a goal to fund a pipeline of energy projects that includes at least 90% of renewable energy investments, thereby instituting a renewable energy requirement for forthcoming projects at the wider strategic level. Moreover, comprehensive requirements for **commissioning and monitoring the efficient performance of energy systems** are defined in Safeguard policies as well as in IFC's Environmental, Health, and Safety guidelines.[8] However, additional efforts could be focused on ensuring that these requirements are implemented over the lifespan of the project, beyond the first years of operations.

Policy directives call IDB to support borrowers with loans, technical assistance, and management operations, to improve the use of water resources. To **protect fresh water availability**, negative impacts on water quality and quantity are identified through the project's EIA, and according to the impacts identified through the assessment, more

[8] This analysis does not consider sectoral policies, such as the Electric Energy (OP-733-1).

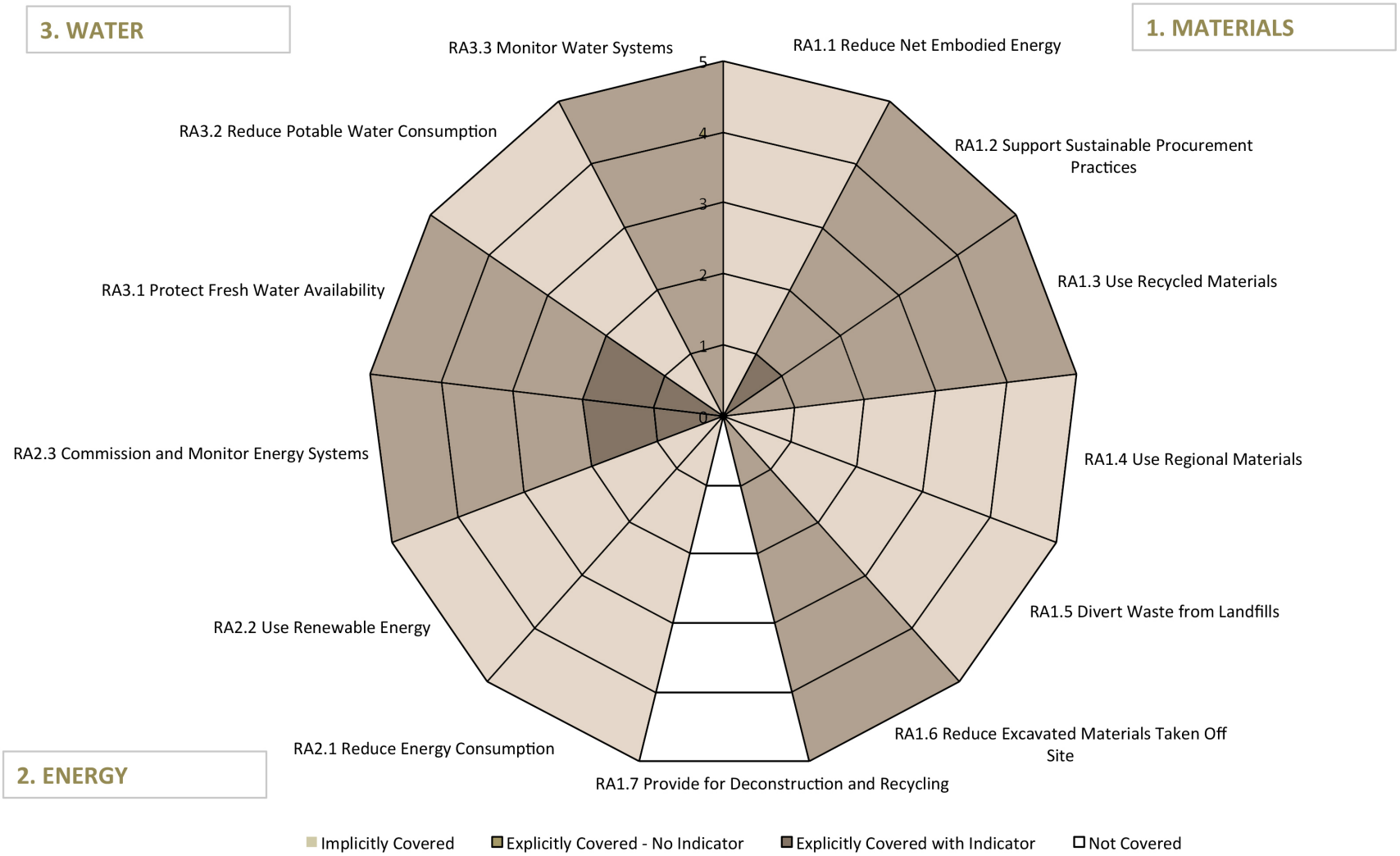
detailed information and indicators are included in specific TORs. Further strategies for prudent water management can be specified, especially in regards to providing targets for recharging local groundwater and surface water resources, even though these aspects are partially addressed by IFC's Environmental, Health, and Safety guidelines. Moreover, although programs to **monitor the performance of water systems** and their impacts on receiving waters during the life-cycle of projects are provided, targets to estimate **potable water use reductions** over industry norms during operations were not identified. Figure 06 summarizes the overlaps and gaps between Safeguards and the Envision credits that comprise the Resource Allocation category. Light brown color indicates the credits that are covered implicitly, darker brown indicates the credits that are covered explicitly without an indicator allowing direct comparison with Envision's levels of achievement, and dark brown indicates the credits that are covered explicitly through indicators that allow direct comparison with Envision's levels of achievement.

Credit		Relation
RA1.1	Reduce Net Embodied Energy	Implicit
RA1.2	Support Sustainable Procurement Practices	Explicit
RA1.3	Use Recycled Materials	Explicit
RA1.4	Use Regional Materials	Implicit
RA1.5	Divert Waste from Landfills	Implicit
RA1.6	Reduce Excavated Materials Taken Off Site	Explicit
RA1.7	Provide for Deconstruction and Recycling	Not Covered
RA2.1	Reduce Energy Consumption	Implicit
RA2.2	Use Renewable Energy	Implicit
RA2.3	Commission and Monitor Energy Systems	Explicit
RA3.1	Protect Fresh Water Availability	Explicit
RA3.2	Reduce Potable Water Consumption	Implicit
RA3.3	Monitor Water Systems	Explicit

Figure 06: Relation Between Safeguards and Resource Allocation

Summary

Overall, all but one of the aspects embedded in this category are considered across Safeguards. However, clearly defined and quantifiable indicators are not provided in order to help teams achieve some of those sustainability objectives most efficiently. It is important to note that many of these principles are covered more extensively than required through Safeguards when initial scoping studies conducted by safeguard specialists specify them as issues of crucial importance. This allows teams to achieve a much higher performance than required through the basic application of Safeguard policies, albeit on a specific case-by-case basis. In relation to **Materials**, requirements to minimize the total amount of materials used are integrated into projects, but the use of materials from certified sustainable providers and locally sourced materials could be further encouraged. Reducing overall **Energy** use and encouraging the use of renewable energy sources during operations are promoted as crucial strategies to minimize fossil fuel consumption and GHG emissions. However, introducing requirements for a Life Cycle Assessment, accounting for the net embodied energy utilized during construction, will help teams to push for higher sustainability performance. It is also critical to extend these issues to water in order to identify and implement strategies to reduce overall **Water** usage during construction and operation, thus further protecting water resources during the entire life cycle of infrastructure projects. Figure 07 illustrates the relation between IDB's Safeguards and Envision's **Resource Allocation** category.



1 = Improved / 2 = Enhanced / 3 = Superior / 4 = Conserving / 5 = restorative

Figure 07: Relation Between Safeguards and Envision's Resource Allocation Credits.

2.5.4. Natural World

Infrastructure projects have an impact on nearby environments , including habitats and natural systems. This category addresses how to minimize negative impacts while considering ways in which infrastructure can interact with natural systems in a synergistic, positive way (Envision Manual, 2015). IDB's Safeguard policies, especially the Environment and Safeguards Compliance Policy, address most of the aspects embedded in this Envision category, focusing on reducing negative impacts mainly by protecting prime habitat, preserving biodiversity, and monitoring wetlands and surface water bodies.

IDB does not support operations that involve the significant conversion or degradation of natural habitats, unless there are no feasible alternatives and adequate mitigation / compensation measures are considered.[9] This includes the **preservation of high ecological value sites**, terrestrial or aquatic, and therefore ensures the **protection of wetlands, surface water bodies, and undeveloped greenfields**. However, the existing spectrum for environmental protection measures can be expanded to avoid developments on valuable **agricultural land**, prioritizing development on previously developed greyfields and/or sites classified as brownfields.[10] Furthermore, habitat restoration programs can be promoted even if the project does not directly degrade or significantly convert a critical natural habitat. To protect waterbodies, not only development should be avoided, but also natural buffer zones should be defined, sometimes beyond local regulatory norms.

IDB requires project reports that clearly state the actions taken to address the relevant significant environmental risk factors that may affect the environmental sustainability of the operation, including associated facilities.[11] However, in relation to the sitting of projects, Envision explicitly recommends avoiding developments on **adverse geologic formations** and **steep slopes** to safeguard aquifers and to reduce the risks from erosion, landslides, and other natural hazards. Besides the identification of risks, Safeguards could focus more on ensuring that project teams evaluate different siting alternatives in order to avoid development on adverse geologic formations. Importantly, these aspects are covered extensively through IFC's Environmental, Health, and Safety guidelines. However, other than ensuring that these risks are identified, proposed strategies for minimizing these risks in relation to siting are not defined.

To avoid impacts on land and water resources, Safeguards highlight the importance of **reducing pesticide and fertilizer impacts** and **preventing surface and groundwater contamination**. Moreover, strategies for **stormwater management** are defined to prevent uncontrolled polluted runoff from reaching surface water bodies, recognizing the fact that development might affect natural runoff flows on a site by increasing impervious surfaces. In addition to the measures specified through IFC's Environmental, Health, and Safety guidelines, low-impact development measures can also be incorporated into project design to reduce negative impacts associated with increased runoff.

Finally, Safeguards address the **preservation of species diversity** by protecting and restoring habitats, while the Bank does not support operations that introduce **invasive species**. Further programs and actions to eliminate invasive species throughout the project site could contribute to enhanced compliance with these requirements. To preserve biodiversity, safeguard specialists also recommend that all clients in Bank-financed projects **restore soils disturbed** during construction and previous development to restore ecological and hydrological functions, although this is not explicitly covered in any policy. Moreover, special attention is given to **maintain and restore aquatic ecosystem functions** that might be impacted by the project. Figure 08 summarizes the overlaps and gaps between Safeguards and the Envision credits that comprise the Natural World category. Light green color indicates the credits that are covered implicitly, darker green color indicates the credits that are covered explicitly without an indicator allowing direct comparison with Envision's levels of achievement, and dark green color indicates the credits that are covered explicitly through indicators that allow direct comparison with Envision's levels of achievement.

[9] According to the Environmental Policy, Section IV: Natural Habitats are biophysical environments where: (i) the ecosystems' biological communities are formed largely by native plant and animal species; and (ii) human activity has not essentially modified the area's primary ecological functions.

[10] According to the Envision Rating System, 'greyfields' are previously developed sites including pre-existing pavement, construction, and altered landscapes. 'Brownfields' sites are properties with documented or assumed contamination caused by former uses.

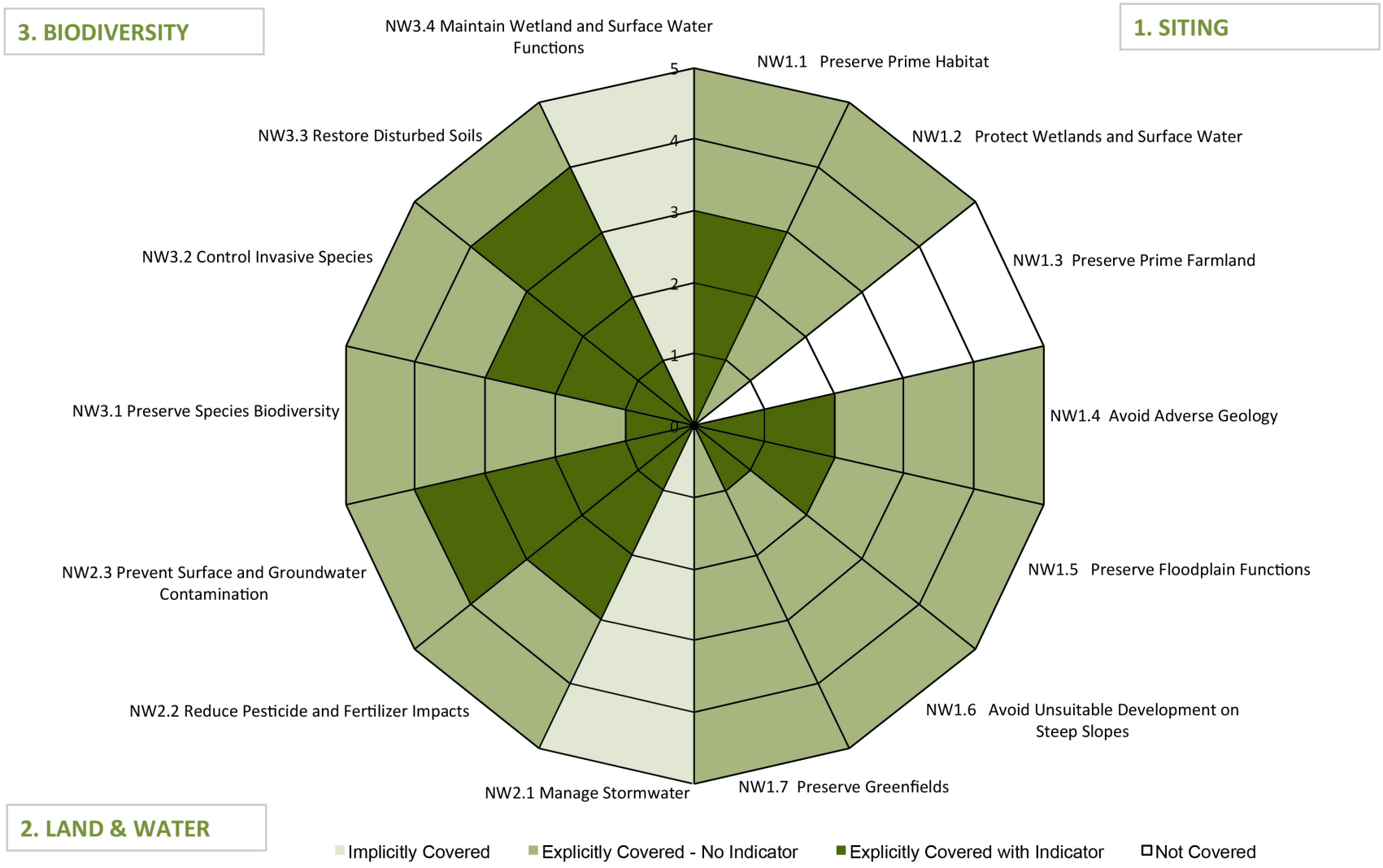
[11] Such as the Project Report and the Environment & Social Management Report (ESMR).

Credit		Relation
NW1.1	Preserve Prime Habitat	Explicit
NW1.2	Protect Wetlands and Surface Water	Explicit
NW1.3	Preserve Prime Farmland	Not Covered
NW1.4	Avoid Adverse Geology	Explicit
NW1.5	Preserve Floodplain Functions	Implicit
NW1.6	Avoid Unsuitable Development on Steep Slopes	Explicit
NW1.7	Preserve Greenfields	Explicit
NW2.1	Manage Stormwater	Implicit
NW2.2	Reduce Pesticides and Fertilizer Impacts	Explicit
NW2.3	Prevent Surface and Groundwater Contamination	Explicit
NW3.1	Preserve Species Biodiversity	Explicit
NW3.2	Control Invasive Species	Explicit
NW3.3	Restore Disturbed Soils	Explicit
NW3.4	Maintain Wetland and Surface Water Functions	Explicit

Figure 08: Relation Between Safeguards and Natural World

Summary

In relation to **Siting**, particular attention is placed on protecting prime habitat, however, additional issues should also be taken into account according to Envision, such as preserving farmland. Another aspect to consider is how IDB can get involved early in the project cycle to promote an analysis of siting alternatives to ensure more sustainable projects. Regarding **Land and Water**, Safeguards explicitly mention strategies to reduce the impact of toxic pesticides and fertilizers. However, measures to prevent contamination of water bodies by adequate stormwater management are defined according to each project's conditions and related agreements. The preservation of **Biodiversity** is addressed by promoting actions for habitat conservation and controlling invasive species. Design considerations or programs to restore disturbed soils are not explicitly defined, but are recommended in practice by safeguard specialists through mandatory soil disposal environmental management plans and also through IFC's Environmental, Health, and Safety Guidelines. Figure 09 illustrates the relation between IDB's Safeguards and Envision's **Natural World** category.



1 = Improved / 2 = Enhanced / 3 = Superior / 4 = Conserving / 5 = Restorative

Figure 09: Relation Between Safeguards and Envision's Natural World Credits

2.5.5. Climate and Risk

This category focuses on two aspects; minimizing air pollutants and GHG emissions, and addressing how projects are prepared to confront short-term hazards or can adapt to altered long-term changing conditions (Envision Manual, 2015). In regards to air pollutants and emissions, the Environment and Safeguards Compliance Policy addresses these aspects mainly by requiring GHG assessments and emissions-control reports during operations, taking into account local conditions and national regulations, as well as other relevant reports, such as Environmental Assessments or ESMR. In addition, safeguard specialists require clients to follow IFC's Environmental, Health, and Safety standards that provide minimum benchmarks for air pollutants and GHG emissions. In relation to resilience, the Environment and Safeguards Compliance Policy and the Disaster Risk Management Policy specify risk assessments to identify social and environmental vulnerabilities and help prepare projects to confront short-term hazards. Additional sources of risk are covered through IFC's Environmental, Health, and Safety guidelines, while specialists help clients implement adaptive management plans, so risks can be identified, monitored and mitigated through pre-defined actions. Although the Disaster Risk Management Policy includes risks related to climate change, it is centered on establishing protocols for providing post-disaster financial aid and preventive actions to increase resilience related to construction works.

IDB requires clients to follow source-specific emission and discharge standards recognized by MDBs, while the **reduction and control of GHG emissions** is encouraged in a manner appropriate to the nature and scale of operations. Although a Life Cycle Carbon Assessment is not explicitly required, IDB has developed its own methodology and tools that place a considerable effort on quantifying GHG emissions and estimating emissions produced by material extraction and processing, during construction and operation, including transportation.[12] It is recommended that this assessment be further utilized to reduce the anticipated amount of net GHG emissions during the entire life cycle of projects, thereby reducing their contribution to climate change. As already mentioned, for numerical standards IDB requires borrowers to follow source-specific emission and discharge standards recognized by MDBs, such as IFC's **Pollution Prevention** and Abatement Handbook (PPAH) and the Environmental, Health, and Safety guidelines. In relation to resilience, policy directives and the reports required by IDB require the identification and management of risk factors besides the ones posed by environmental impacts that may affect the environmental sustainability of operations. These factors may include elements such as the governance capacity of executing agencies and third parties, sector-related risks, risks associated with highly sensitive environmental and social concerns, and **vulnerability to disasters**. The assessment of these risks helps prepare projects to confront multiple types of **short-term hazards**.

In relation to **long-term adaptability**, the Disaster Risk Management Policy establishes that project teams should conduct a natural hazard risk assessment for projects that are highly exposed to natural hazards, or that have a high potential to exacerbate risk. Natural hazards include hydro-meteorological hazards – windstorms, floods and droughts – that are associated with both the existing climate variability and the **expected change in long-term climate conditions**. According to Safeguards, measures for mitigating these increased risks to IDB investments are developed under Pillar 4 of IDB's Sustainable Energy and Climate Change Initiative Action Plan, which however is not included in this analysis. Nevertheless, Safeguard specialists ensure the development of adaptive management plans, through which impacts and hazards are monitored and required actions are defined. Requirements to **manage heat island effects** are not explicitly included in the Safeguards, but this aspect is indirectly covered through IDB's Integrated Strategy for Climate Change Adaptation and Mitigation, and Sustainable and Renewable Energy at the policy level and through Safeguards specialists in practice. It is recommended that projects include efforts to further minimize surfaces with a low solar reflectance index to reduce localized heat accumulation and manage microclimates. The cumulative impact of heat island effect initiatives across areas can also reduce larger climate-related effects. Figure 10 summarizes the overlaps and gaps between IDB's Safeguards and the Envision credits that comprise the Climate and Risk category. Light blue color indicates the credits that are covered implicitly, darker blue color indicates the credits that are covered explicitly without an indicator allowing direct comparison with Envision's levels of achievement, and dark blue color indicates the credits that are covered explicitly through indicators that allow direct comparison with Envision's level of achievements.

12 IDB Greenhouse Gas Assessment Emissions Methodology

Credit		Relation
CR1.1	Reduce Greenhouse Gas Emissions	Explicit
CR1.2	Reduce Air Pollutant Emissions	Explicit
CR2.1	Assess Climate Threat	Explicit
CR2.2	Avoid Traps and Vulnerabilities	Explicit
CR2.3	Prepare for Long-Term Adaptability	Explicit
CR2.4	Prepare for Short-Term Hazards	Explicit
CR2.5	Manage Heat Island Effects	Implicit

Figure 10: Relation Between Safeguards and Climate and Risk

Summary

In relation to **Emissions**, the need to reduce GHG emissions and air pollutants is mentioned in several policies. Guidelines are provided as a reference to reduce air pollutants and clients are mandated to follow IFC's Environmental, Health, and Safety guidelines that specify minimum required benchmarks. However, although strategies and required reduction standards are defined, teams are not guided towards prioritizing a specific set of strategies or aiming for aggressive emissions reductions when technically and economically feasible, which presents a potential opportunity for improvement. In relation to **Resilience**, Safeguards help teams consider short-term and long-term risks during the project planning phase. The need to assess social and environmental vulnerabilities, including a comprehensive climate change assessment is considered, but in relation to adaptation plans priorities and design strategies to increase resilience, no clear parameters are defined. Safeguard specialists help teams to implement adaptive management plans, where the most significant risks are identified and actions are defined to address them. Finally, the heat island effect is indirectly addressed in IDB's policies and more clearly defined strategies and desired targets to be achieved by project teams should be provided. Figure 11 illustrates the relation between IDB's Safeguards and Envision's **Climate and Risk** category.

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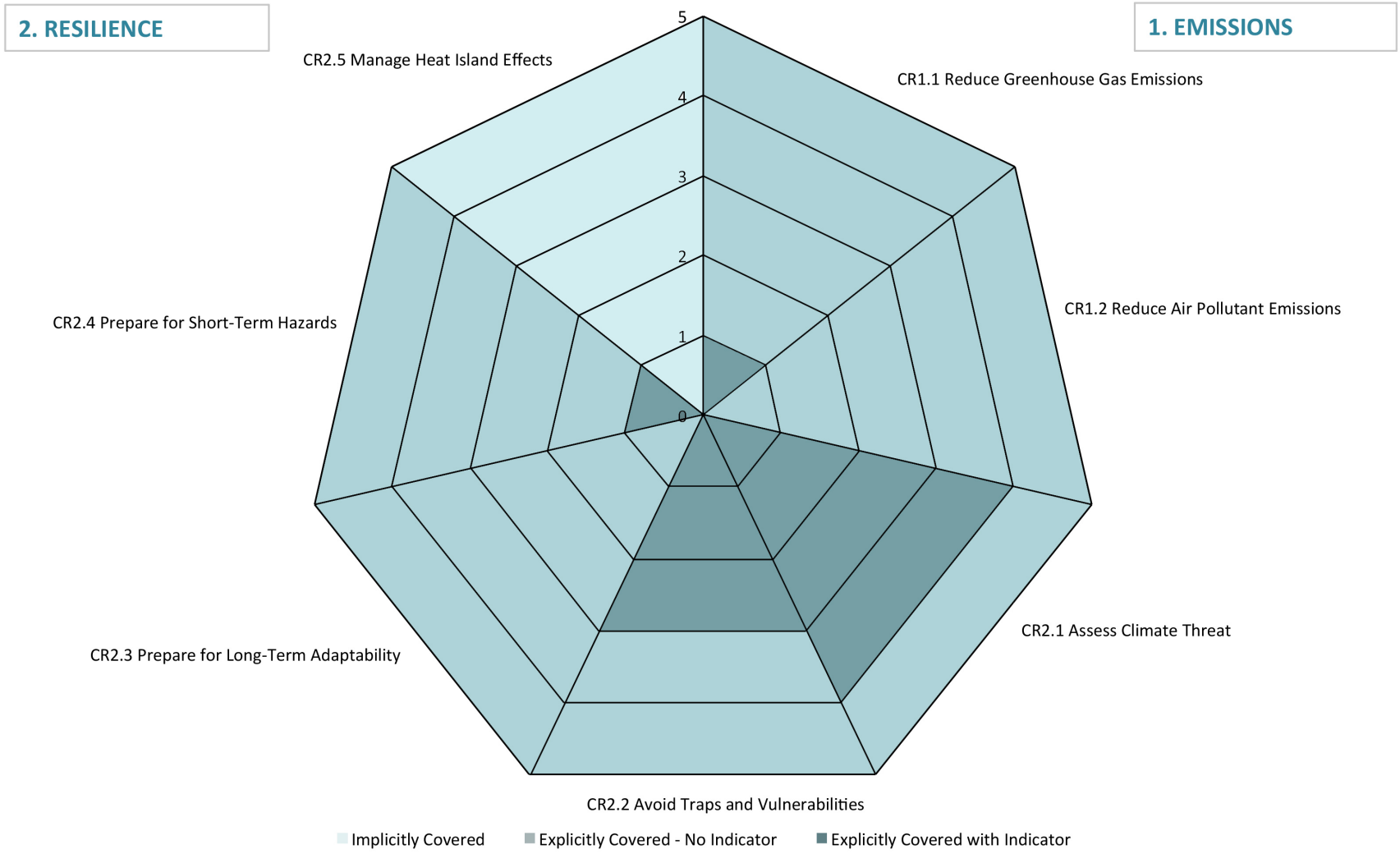


1 = Improved / 2 = Enhanced / 3 = Superior / 4 = Conserving / 5 = Restorativ

Figure 11: Relation Between Safeguards and Envision's Climate and Risk Credits.

3. APPLICATION OF SAFEGUARD POLICIES IN IDB PROJECTS

The research team worked closely with IDB to demonstrate the contribution of Safeguards in delivering sustainable projects and identify opportunities for upstream work to increase sustainability performance. For this purpose, nine IDB-funded projects were analyzed in detail by utilizing the information available in IDB's website, reviewing Harvard case studies that evaluate each project through Envision, and conducting nine semi-structured interviews with specialists involved in these projects. The projects, which were selected by IDB, include the Expansion of the Juan Santa María International Airport in Costa Rica, the Palmatir Windfarm in Uruguay, the Pozo Almonte y Calama Photovoltaic Power Plant in Chile, the New International Airport Mariscal Sucre in Ecuador, the EURUS Wind Farm in Mexico, the Punta del Tigre Combined Cycle Power Plant in Uruguay, the Mario Covas Rodoanel North Section Project in Brazil, the Caracol Industrial Park (PIC) in Haiti, and the Serra do Mar and Atlantic Forest Mosaics System Socio-Environmental Recovery in Brazil. This selection represents the broad spectrum of the different types of IDB-funded projects, including different sectors, scales, and countries. Therefore, the intention is not to compare them, but rather understand the role that IDB had in their development, identifying aspects that improve the sustainable performance of projects, as well as sustainability gaps in order to provide useful recommendations for future improvements.

Starting with a brief project description, the analysis looks on how projects evolved over time considering the entire cycle from their earlier planning phases, to preparation, design, construction, and operations. Special attention is given to the moment when IDB got involved in the project, to understand its role and the possibilities to improve specific aspects of its standards. Challenges and opportunities faced at the start of each project are also addressed, focusing on how they were tackled through the application of Safeguards over time. The contribution of Safeguards in enhancing sustainability is examined in detail, distinguishing aspects where performance went beyond expected levels, and highlighting the contribution of IDB's specialists. A brief summary of the Envision evaluation conducted for each project is presented as a conclusion, reflecting on project sustainability achievements and detecting gaps that can guide updates in IDB's policies to foster opportunities for improvements in future projects.

The following section presents the main findings, considering related available documentation and the specialists' perspective and on-site experience. A case-by-case detailed analysis addressing specific aspects of the selected projects is available in Appendix E.

3.1 General Findings

3.1.1. Better sustainability standards are achieved when IDB is involved early in the project cycle

In most cases, IDB got involved relatively late in the project cycle. This limits the potential to consider alternative project sites and implement additional sustainable design considerations. In the cases of projects with EIAs already approved by local authorities, IDB had to analyze the documentation to detect possible gaps and ensure compliance with its standards. In some cases, additional studies were necessary to complement the existing documents beyond local government requirements, creating the need to communicate the benefits of applying Safeguards to the sponsors, to minimize possible future costs and delays related with environmental and social impacts.

In two cases, Quiport (C04) and Serra do Mar (C09), where IDB got involved earlier in the project cycle, the Envision evaluations showed higher levels of achievement. In both cases, the projects achieved high Envision scores addressing multiple sustainability aspects, especially in relation to social, environmental, and management dimensions. This finding demonstrates that higher levels of sustainability were achieved when IDB was involved early in projects.

3.1.2. The diversity of project-related challenges confirms the need of a flexible and adaptable approach

The analysis showed that the impacts and challenges faced by projects varied significantly, regardless of similar sectors or typologies. Principal factors include the scale of projects and contextual factors, such as the county's regulations, management capacities, and quality of required studies. In all cases, the Safeguards framework was interpreted on a case-by-case basis to determine the most relevant challenges and

include a broad range of measures to effectively confront them, going beyond the ones explicitly specified in IDB's documents.

In this regard, assessing and resolving existing social and environmental liabilities, including different strategies to strengthen management capacities, producing and disseminating information to guide urban planning, promoting social responsibility by integrating local workers and facilitating programs to enhance their capacities, and integrating health and safety measures, are among the many identified initiatives implemented to enhance the quality of the projects beyond explicit Safeguards requirements.

3.1.3. Safeguards helped detect and resolve challenges in all projects

All projects undoubtedly facilitated long-term economic development and promoted social welfare. Through the interviews with safeguard specialists, it was made clear that the application of Safeguards improved projects by addressing and significantly enhancing capacities to effectively manage environmental and social aspects. In some cases, the social and environmental studies required by IDB fulfilled the gaps left by local regulatory frameworks and set up higher standards for future projects. Furthermore, the monitoring programs established by IDB guaranteed compliance with local norms and IDB standards, promoting a culture of long-term planning and addressing operational challenges with corrective mitigation plans.

However, specialists agreed that a wider spectrum of social and environmental issues could be considered by further strengthening assessment requirements and including indicators to measure performance. Moreover, case evaluations demonstrated that the application of Safeguards did not result in project delays, even though in many cases IDB required more stringent studies to complement existing documentation to ensure the proper prevention and mitigation of negative impacts.

3.1.4. Safeguards specialists are key to interpret the safeguards framework and address aspects beyond the Safeguards approach

Safeguards are often formulated as goals that can be interpreted differently depending on the project's location and context. This approach underscores the importance of specialists in utilizing Safeguards as a framework to not only prevent and mitigate negative impacts, but also to maximize opportunities for development, providing social and environmental benefits that in many cases go beyond the initial scope of projects. This is reflected throughout all analyzed projects, where specialists incorporated many aspects beyond Safeguards.

In fact, all projects demonstrate that actions taken by specialists resulted in improved sustainability performance, guiding developers to implement more innovative and sustainable practices. In many cases, specialists acted as a driver for sustainable project development in the absence of comprehensive national regulations and strong institutional capacities to manage environmental and social impacts. Most important, specialists oftentimes contributed to integrate the opinions of multiple stakeholders and communicate the benefits of applying IDB's policies, while at the same time raising institutional capacities and standards required by national regulations.

3.1.5. Higher performance improvements were observed in the social, environmental, and institutional dimensions

Safeguard policies address social issues in depth, with a strong focus on protecting the most vulnerable groups of the population, including gender equality aspects, resettlement of potentially affected communities, and indigenous peoples. This provides a solid base to confront challenges in this area, which is reflected by the high levels of achievement of most projects in aspects related to improvements of the quality of life of communities. However, some social benefits are limited to the immediate project level and the needs of the entire community might not be considered as comprehensively.

As identified during the project Envision assessments and interviews, IDB's requirements in collaborating with agencies and sponsors, creating grievance mechanisms, updating construction manuals, and improving local standards, help strength and raise new capacities both in the private and public sector. This is reflected by the consistently high levels of achievement in the Leadership category in most projects.

Environmental impacts were also comprehensively covered with a strong focus on preventing negative impacts on high-value ecosystems. Identified initiatives include best practices to restore and enhance ecosystems, measures to prevent surface and water contamination, and topsoil restoration, among others. However, the analysis demonstrated that when IDB is involved late in the project cycle, it hinders the possibility of supporting sponsors to evaluate different siting alternatives to minimize impacts and select more sustainable sites. This further underscores the significance of IDB getting involved as early as possible in the project cycle and enhancing upstream requirements to guide more sustainable project designs and developments.

3.1.6. Gaps exist on the sustainable use of resources and integration of climate change

Envision includes several credits to promote the efficient use of resources to be utilized during the construction and maintenance of projects. Although Safeguards implicitly promote several construction best practices, the overall lower levels of achievement of projects in this area indicate the need of a consistent strategy focusing on minimizing resource consumption. High achievements in all projects regarding the reuse of excavated soil, minimizing transportation impacts, as well as topsoil restoration highlight the efforts promoted by IDB in this area.

However, more can be done in relation to the supply chain of materials especially to reduce water and energy consumption during construction and operations, such as incorporating requirements for LCA's, through which additional aspects on efficient resource allocation could be integrated into projects.

Similarly, Envision focuses on addressing short-term hazards and long-term climate-change impacts during project design. All evaluated projects considered short-term hazards in their design and contingency plans to deal with operational risks, however, a gap is detected regarding climate change assessments and the application of adaptation plans to address those risks. In part, this aspect was not addressed because some projects started before the Disaster Risk Management Policy entered into force in 2007. This highlights the need of integrating these aspects as relevant variables for resilient infrastructure designs.

Figure 12. Reveals higher levels of achievement are concentrated in the Quality of Life and Natural World categories, followed by Leadership. Categories with lower levels of achievement are Resource Allocation and Climate and Risk.

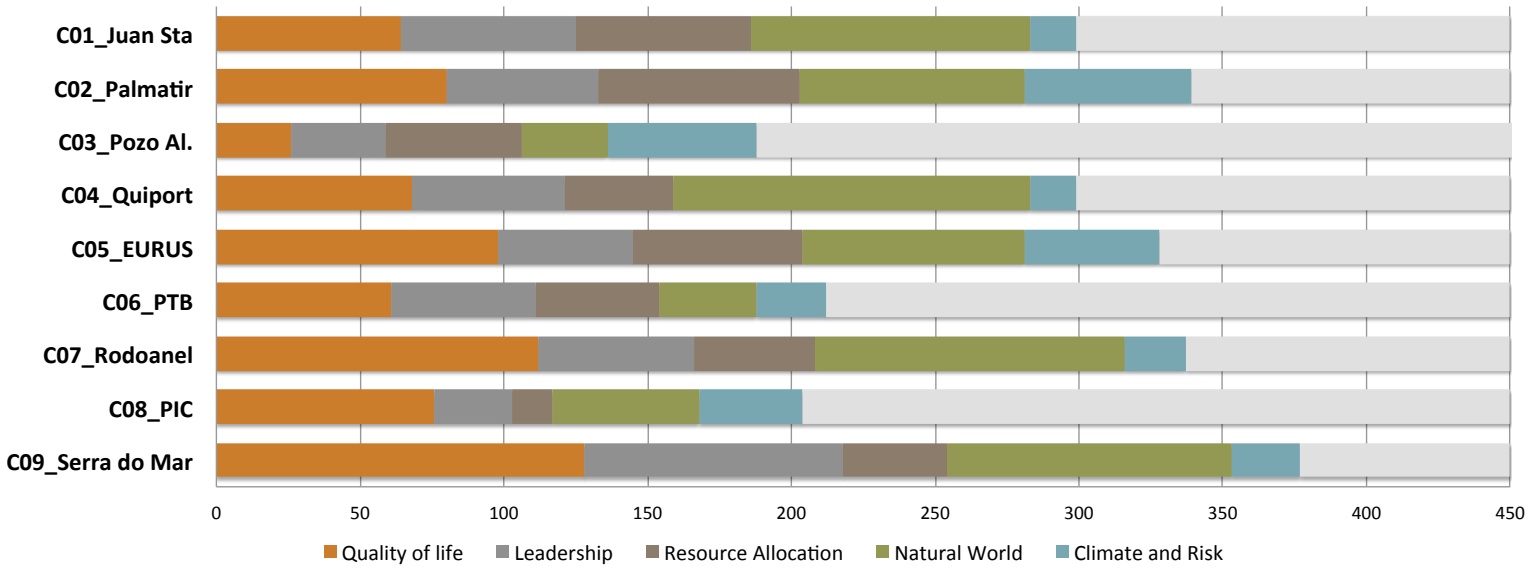


Figure 12.
Nine projects – all Envision categories

Phase	Impact	C01	C02	C03	C04	C05	C06	C07	C08	C09	IDB Safeguards	Envision Category
PLANNING	Facilitate sustainable economic development	■			■						OP - 703	QL
	Lack of institutional capacity to ensure planned development									■	OP - 703	LD
	Adequate service to satisfy demand for transportation	■			■						OP - 703	QL
	Diversify national energy matrix		■			■	■				OP - 703	RA
	Promote renewable energy sources		■	■		■					OP - 703	RA
	Demonstration project to facilitate innovative projects		■	■		■					OP - 703	LD
	Ensure compliance with international standards				■						OP - 703	LD
	Promote innovative & efficient technologies						■				OP - 703	LD
	Restore prime habitat and increase biodiversity									■	OP - 703	NW
	Improve mobility and health							■			OP - 703	QL
	Reduce air and noise pollution							■			OP - 703	CR
	Improve livelihoods of families living in informal housing									■	OP - 703	QL
	Reduce water pollution									■	OP - 703	NW
	Satisfy increasing demand for energy						■				OP - 703	QL
PREPARATION	Existing environmental viabilities	■			■						OP - 703	NW
	Poor water management	■									OP - 703	NW
	Land expropriation issues		■								OP - 703	LD
	Weak quality of bird studies		■								OP - 703	LD
	Lack of public consultations and monitoring plan		■	■							OP - 703	QL
	Outdated regulatory framework		■								OP - 703	LD
	Land compensation issues					■					OP - 710	LD
	Environemntal, Health, and Safety Management system					■					OP - 703	LD
	Unresolved community conflicts						■				OP - 703	QL
	Minimize the vulnerability of resettled families									■	OP - 710	QL
	Integration of resettled families in the resettlement process									■	OP - 710	QL
	Degradation of biodiversity and high-value ecosystems							■			OP - 703	NW
	Tradeoffs between unavoidable social & environmental impacts							■			OP - 703	QL
	Impacts on local livelihoods							■	■		OP - 703	QL
	Environmental risks				■		■		■		OP - 703	NW
	Increased gender inequalities								■		OP - 270	QL
	Land-use change							■			OP - 703	NW
	Displacement of communities							■	■		OP - 710	QL
DESIGN	Existing environmental viabilities (land and water)	■									OP - 703	NW
	Poor water management	■									OP - 703	NW
	Minimize landscape impacts			■							OP - 703	QL
	Avoid impacts on local fauna			■							OP - 703	NW
	Land compensation issues				■	■					OP - 710	LD
	Environemntal, Health, and Safety management system				■	■					OP - 703	LD
	Land-use change							■			OP - 703	NW
	Environmental risks								■		OP - 703	NW
	Minimize the vulnerability of resettled families									■	OP - 710	QL
	Integration of resettled families in the resettlement process									■	OP - 710	QL
	Political issues related to the location of the site and facilities									■	OP - 703	LD
	Carbon-intensive fossil fuel use						■				OP - 703	RA
	Impacts on local livelihoods							■	■		OP - 703	QL
	Degradation of biodiversity and high-value ecosystems							■			OP - 703	NW
	Tradeoffs between unavoidable social & environmental impacts							■			OP - 703	QL
	Degradation of biodiversity and high-value ecosystems										OP - 703	NW
	Impacts on water resources			■			■				OP - 703	NW
	Increased gender inequalities								■		OP - 270	QL
	Displacement of communities							■	■		OP - 710	QL

Figure 13. Summary of project impacts per project phase

DESIGN	Integration of resettled families in the resettlement process										OP - 710	QL
	Political issues related to the location of the site and facilities										OP - 703	LD
	Carbon-intensive fossil fuel use										OP - 703	RA
	Impacts on local livelihoods										OP - 703	QL
	Degradation of biodiversity and high-value ecosystems										OP - 703	NW
	Tradeoffs between unavoidable social & environmental impacts										OP - 703	QL
	Degradation of biodiversity and high-value ecosystems										OP - 703	NW
	Impacts on water resources										OP - 703	NW
	Increased gender inequalities										OP - 270	QL
	Displacement of communities										OP - 710	QL
CONSTRUCTION	Impacts on bird populations										OP - 703	NW
	Transmission line construction issues										OP - 703	QL
	Degradation of biodiversity and high-value ecosystems										OP - 703	NW
	Noise and air pollution										OP - 703	QL
	GHG emissions										OP - 703	CR
	Land use change										OP - 703	NW
	Ensure compliance with local regulations										OP - 703	LD
	Traffic disruption										OP - 703	QL
	Soil erosion										OP - 703	NW
	Waste management (proper handling of materials and debris)										OP - 703	
	Mitigate construction impacts										OP - 703	QL
	Tradeoffs between unavoidable social & environmental impacts										OP - 703	LD
	Construction of new housing and park facilities										OP - 703	QL
	Impacts on water resources										OP - 703	NW
	Displacement of communities										OP - 710	QL
	Impacts on local livelihoods										OP - 703	QL
	Lack of an EHS management system										OP - 703	LD
	Mitigation measures to protect biodiversity										OP - 703	NW
	Air pollutant emissions										OP - 703	CR
	Heavy equipment movement										OP - 703	QL
OPERATIONS	Impacts on bird populations										OP - 703	NW
	Impacts on water resourcess										OP - 703	NW
	Impacts on biodiversity and ecosystems										OP - 703	NW
	Ensure compliance with local regulations										OP - 703	LD
	Waste management										OP - 703	RA
	Petroleum spills										OP - 703	RA
	Noise and air pollution										OP - 703	QL
	Deficiencies in waste management, food and transportation for workers, and potable water supply.										OP - 703 OP - 703	QL RA
	Increased access traffic										OP - 703	QL
	Air pollutant emissions										OP - 703	CR
	Lack of an EHS management system										OP - 703	LD
	Water Management										OP - 703	NW
	GHG emissions										OP - 703	CR
	Mitigation measures to protect biodiversity										OP - 703	NW
	Adaptation support for families living in new housing projects										OP - 710	QL
	Measures to protect restored habitat										OP - 703	NW

Figure 13. Summary of project impacts per project phase

Phase	IDB Contribution	C01	C02	C03	C04	C05	C06	C07	C08	C09	IDB Safeguards	Envision Category
PLANNING	Land and water pollution baseline studies				■						OP - 703	NW
	Noise modeling studies				■						OP - 703	QL
	Zoning plans for future development				■						OP - 703	NW
	Simplified Environmental Analysis (EAS)									■	OP - 703	NW
	Coordination between the involved agencies									■	OP - 703	LD
PREPARATION	Complementary studies: transmission line impacts/birds/consultation		■								OP - 703	LD
	Capacity building		■				■			■	OP - 703	QL
	Infrastructure management with private sector involvement				■						OP - 703	QL
	Stakeholder engagement and community consultations				■		■			■	OP - 703	QL
	Capacity building activities for the private client				■						OP - 703	QL
	Education center to build new capacities				■						OP - 703	QL
	Integration of the community into the decision-making process							■			OP - 703	QL
	Resettlement according to IDB's policy						■				OP - 703	QL
	Avoid impacts on the State park							■			OP - 703	NW
	Multi-criteria matrix analysis to identify community needs									■	OP - 703	QL
	Monitoring and auditing plan									■	OP - 703	LD
	Water runoff control works and fauna crossing passages							■			OP - 703	NW
DESIGN	Creation of a new department of Environment and Sustainability	■									OP - 703	LD
	Studies: Birds, water pollution, and noise pollution	■									OP - 703	NW
	Integrated water management plan	■									OP - 703	NW
	Relocation of polluting facilities and cleaning of contaminated land	■									OP - 703	NW
	Avoid impacts on waterbodies		■								OP - 703	NW
	Road improvements		■								OP - 703	QL
	Development of a ESMP			■							OP - 703	LD
	Improvement of public consultation processes			■							OP - 703	QL
	Mitigation measures to counter erosion from water runoff				■						OP - 703	NW
	On-site exploration activities to preserve cultural resources				■						OP - 703	QL
	Modifications to utilize cooling water from the river instead of aquifer						■				OP - 703	NW
	Application of more stringent air pollutant models						■				OP - 703	CR
	Management system improvements						■				OP - 703	LD
	Social programs and assistance for small businesses							■		■	OP - 703	QL
	Provide case-by-case solutions and alternatives									■	OP - 703	QL
	Elegibility criteria on the resettlement plan							■			OP - 703	QL
	Improve and build institutional capacities							■			OP - 703	QL
	Resettlement based on community participation									■	OP - 710	QL
	Right compensation for affected properties				■						OP - 710	QL

Figure 14. Summary of IDB's contributions per project phase

CONSTRUCTION	Contingency and emergency response plans										OP - 704	CR
	Engineering works for water management										OP - 703	QL
	Liquid and solid waste management										OP - 703	RA
	Promotion of construction good practices										OP - 703	QL
	Health and safety management system										OP - 703	QL
	Erosion and runoff mitigation, restoration of disturbed soils										OP - 703	NW
	ESMP on Indigenous Peoples										OP - 765	QL
	Monitoring of birds during migratory seasons										OP - 703	NW
	Health, safety, and labor monitoring and auditing										OP - 703	QL
	Traffic management										OP - 703	QL
	Enhance grievance management										OP - 703	QL
	Integrated social elements in the sponsor's internal manuals										OP - 703	QL
	Water management plan										OP - 703	NW
	Create and improve institutional capacities										OP - 703	QL
	Short and long term hazards studies										OP - 704	CR
	Ensure right compensation for resettled families										OP - 703	QL
	Mitigate construction impacts										OP - 703	QL
	Runoff and spillage control measures										OP - 703	NW
OPERATIONS	Monitoring compliance with local regulations and IDB's policies										OP - 703	LD
	GHG Emissions and air quality reports										OP - 703	CR
	Sustainable management actions promoted by the department										OP - 703	QL
	ESMP on Indigenous Peoples										OP - 765	QL
	Establishment of a long-term monitoring plan										OP - 703	LD
	Contingency plans for seismic and volcanic activity risks										OP - 704	CR
	Air pollution control										OP - 703	CR
	UN award - Project management recognition										OP - 703	LD
	Use of security forces with human rights approach										OP - 703	QL
	Corrective plan to reduce bird mortality ratios										OP - 703	NW
	Corrective plan: dry-cleaning system to minimize water usage										OP - 703	RA
	Water monitoring plan										OP - 703	RA
	Creation of linear parks										OP - 703	NW
	Creation of the Three Bays National Park										OP - 703	NW
	Support for the creation of an EHS management system										OP - 703	LD
	Long-term community development (micro wind turbines)										OP - 703	QL
	Post-resettlement plan (families support)										OP - 710	QL

Figure 14. Summary of IDB's contributions per project phase

3.2 Opportunities for Upstream Work to Enhance Performance

The analysis of the nine IDB-funded projects pointed out several aspects that contributed to promoting better standards for more sustainable infrastructure projects and underscored some of the sustainability aspects that could still be improved. It also contributed to better understanding IDB's role during the projects' development, highlighting the benefits of its earlier involvement during the project cycle. In this regard, three main points can be extracted as lessons to guide the development of IDB's future investments.

Figure 15 illustrates the distribution of points in credits with high level of achievement by project across the project cycle. The highest numbers of Envision points are found in planning, preparation, and design phases.

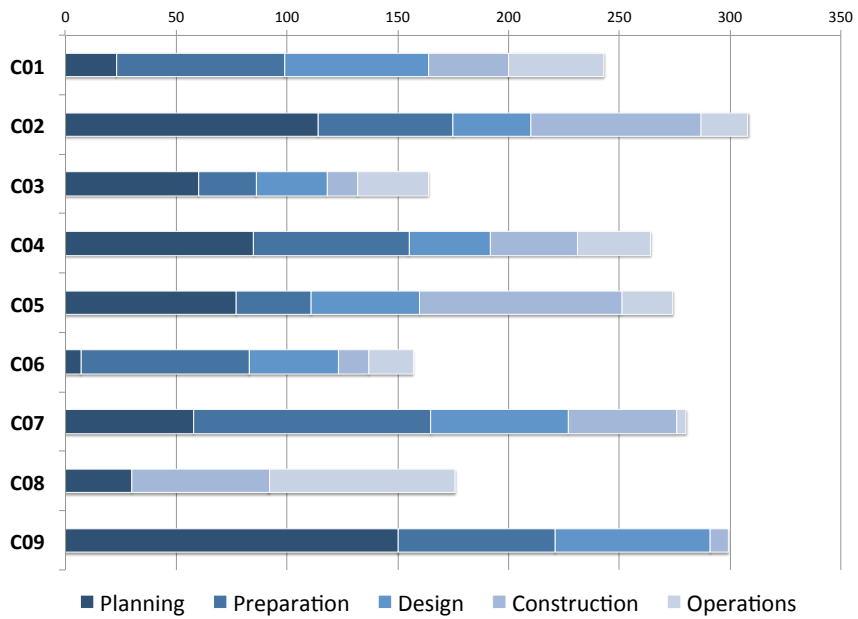


Figure 15. Distribution of Envision points per project phase

3.2.1. IDB should get involved as early as possible in the project cycle

Findings illustrate that sustainability performance is higher in projects where IDB was involved earlier in the project cycle. In projects where IDB got involved later in the project cycle, additional studies were required, which added real costs to the implementation of Safeguards. When projects are better planned from the beginning, the crucial Safeguards concepts will most likely be covered minimizing requirements for additional studies, but as was observed in the analysis, sponsors do not necessarily consider all the potential negative externalities of a project. Therefore, the early involvement of IDB plays a key role in addressing aspects often underestimated by sponsors or not covered by national regulations. Ultimately, detecting gaps in advance and making small adjustments during the planning phase helps minimize costs and produce better projects.

3.2.2. Assessments should be expanded to include a wider spectrum of social and environmental issues

The first part of the analysis demonstrated that Safeguards already cover many social and environmental aspects, however, the cases analysis showed that the role of the specialists was key to interpret this framework most efficiently, and that many other aspects were addressed according to the specifics of each project beyond what is explicitly mentioned in Safeguards. This fact points out that studies including a wider spectrum of social and environmental issues can be conducted further upstream, during the projects' planning and preparation phase, thereby expanding the range of information considered for the design of the project. The case analysis showed that this was especially relevant for conducting siting alternatives studies, considering the tradeoffs between different types of social and environmental impacts, in order to select the best and more sustainable project location.

3.2.3. Methodologies and standards to further integrate climate change and the sustainable use of finite resources should be defined

Climate change assessments and vulnerability analyses should be performed to produce the most resilient designs and better siting

alternatives. Impacts would vary according to the location and climate change scenarios considered in the analysis, however, experts already anticipate some general patterns and effects. Changes in hydrologic resources, sea level rise, and changes in extreme weather events, among others, are anticipated. Therefore, adaptation measures can be considered and applied during project design in combination with the adaptive management practices that are already promoted by IDB. In regard to the sustainable use of finite resources, best practices are already included into projects, however, by defining minimum performance standards and targeted goals in advance, these considerations can be included during planning to become drivers of more sustainable project designs.

3.3 Aspects to Prioritize Further Upstream

Complementing the three aforementioned points, the following list organized according to Envision's sustainability categories provides a series of aspects to prioritize during the project planning phase, which can contribute to expanding the range of social and environmental issues included in the required studies in order to further minimize negative impacts and ensure sustainable outcomes.

Quality of Life

Aim: Reduce social conflicts

- Conduct early consultation processes to include communities during the decision-making process so that projects can address their concerns and needs during design.
- Expand social assessment considerations, such as threats to security; risks to disadvantaged or vulnerable groups; risks of discrimination; restriction to access to natural resources; among others. Furthermore, include an assessment on the cumulative impacts from multiple projects and issues in the area, and the probability to influence future conflicts, as well as any significant past conflicts in the region.

Leadership

Aim: Facilitate planning and management

- Evaluate in advance the institutional capacity of borrowers, both private and public, as well as applicable regulations.
- Conduct integrated-planning assessments to detect opportunities for synergies and promote infrastructure integration.
- Plan for long-term maintenance, including all phases of the project cycle (monitoring, maintenance, end of useful life) to guide design considerations.

Resource Allocation

Aim: Efficient use of resources

- Evaluate the resources required for construction, including materials, energy, and water, to facilitate more sustainable design alternatives.
- Promote strategies that establish minimum standards to reduce material consumption, energy and water consumption, and specify targets for energy and water efficiency.

Natural World

Aim: Avoid environmental degradation

- Conduct an analysis for alternative locations in advance, including geological features, aspects related to significant land use change requirements, and potential impacts on biodiversity.
- Integrate consultations with sectoral experts (technical, social, environmental) according to the project typology and sector expertise to better cover and communicate specific impacts and benefits.

Climate and Risk

Aim: Avoid climate change induced risks

- Integrate requirements for LCAs into specified actions to reduce net embodied emissions to inform project design and construction.
- Define methodologies and parameters to conduct vulnerability analyses and risk assessments in order to prepare climate change adaptation plans and promote resilient designs.

4. CONCLUSION AND RECOMMENDATIONS

Environmental sustainability and social equity are vital to facilitate the mission of development banks to promote economic development and poverty reduction. Changes and updates in policies, however, are necessary in order to effectively foster sustainable development in the future. In this regard, the next decade is particularly crucial, as policy decisions taken now will have long-term impacts on development, social, and environmental outcomes (Yuan and Gallagher, 2015). IDB, in particular, is committed to improving its lending standards in order to promote the development of sustainable infrastructure in LAC, as stated in the Sustainable Infrastructure Strategy. According to this vision, infrastructure should be planned, built, and maintained in order to support the provision of adequate quality services that promote sustainable and inclusive growth (Serebrisky. 2014).

Currently, the key to ensuring the sustainability of IDB-financed projects is the application of environmental and social safeguard policies. To this end, an initial examination was conducted to investigate the specific benefits of applying environmental and social safeguard policies and the outcomes that result from them. In an attempt to measure the contribution of these policies to achieving sustainability outcomes, as well as to detect sustainability gaps, safeguard policies were compared with the Envision Rating System, which assesses and quantifies the sustainability performance of infrastructure projects.

The application of the set of rules contained in the multiple Safeguards documents undoubtedly contributes to anticipating and mitigating associated social and environmental risks, as well as recognizing and enhancing the national regulations and institutional capacities of borrower countries. As illustrated by the analysis, all but a few sustainability concepts promoted by the Envision Rating System are covered through the application of Safeguard policies, demonstrating the significance of Safeguards to facilitate sustainable projects. However, a small part of the multiple dimensions embedded in the concept of sustainability is not fully addressed, and there exist opportunities for improvement. Most important, baselines for sustainability performance must be provided in order to define and measure the performance of sustainable infrastructure. This way, specialists will have an even precise and specific targets and tools, in order to help IDB-financed projects achieve higher sustainability performance.

In addition to specific aspects that could be incorporated to complement the existing Safeguard policies, the application of the following seven general principles could also facilitate higher sustainability performance.

4.1. Consider a Life-Cycle Approach

The calculation of impacts from the energy, water, materials, or emissions consumed and produced by a project during all phases of its development is required in order to support the implementation of most sustainable alternatives. This evaluation, referred to as an LCA, does not need to be prohibitively time consuming or expensive, but rather indicates that all phases of the project are adequately considered in project assessments (Envision Manual, 2015). By design, LCAs quantify all resource inputs and environmental outputs of a product, process or service not just at the point of manufacturing or generation, but through the entire underlying supply chain, an aspect that according to safeguard specialists is not yet comprehensively covered through Safeguards. Resource consumption is a primary concern in any project and greatly contributes to GHG emissions, congestion, and environmental pollution and degradation. Therefore, the application of LCAs to guide infrastructure decision-making can foster changes in practices throughout the entire economy, protect human and ecological health, preserve resources, and allow for sustainable development through prudent decisions (Chester and Horvath, 2009). Importantly, conducting a comprehensive LCA, will provide a holistic evaluation of the environmental loads and impacts of the projects over its entire life cycle, from the extraction of raw materials to the project's end of life.

4.2. Focus Equally on Every Phase of a Project's Life-Cycle

Efforts to identify and assess impacts should be applicable throughout the entire life cycle of projects. Decisions during the planning and design phases are influential for achieving sustainable infrastructure outcomes and the application of Safeguards can further drive them towards more sustainable alternatives. For example, project siting should not only focus on avoiding direct and indirect impacts on important ecological

areas, but also seek to preserve areas of geologic or hydrologic value. Locating projects on previously developed land is ideal to prevent environmental damages and avoid disturbing agricultural land and greenfields. The design of the project should take into account operational relationships among existing and planned community infrastructure, thereby improving efficiency and effectiveness at the community level. In addition, efforts to look for opportunities to obtain by-products or discarded materials and resources from nearby operations can further reduce waste and operational costs.

The operational phase of infrastructure is the longest phase of their lifespan, and therefore has the potential for the largest impact on sustainability performance. In this regard, ensuring that the comprehensive maintenance and monitoring plans required for projects have the necessary resources and personnel available over the entire operating period is fundamental. In relation to the end of the project's useful life, sustainable infrastructure planning should also encompass considerations to extend the useful life by enhancing the durability of chosen materials and incorporating design flexibility for reconfiguration purposes. Importantly decommissioning is an often forgotten infrastructure lifecycle phase (Shaw et al., 2012). Therefore, sustainable infrastructure principles should consider whether project components could be easily disassembled for deconstruction and recycling.

4.3. Integrate a Performance-Based Approach with Minimum Required Standards

Safeguards are many times focused on procedures, such as the development of assessments and monitoring reports. Thus, there remains a risk that administrators may focus on producing documents rather on the implementation of specified policies to avoid impacts. In addition, some safeguard principles are defined in such a way that can be interpreted differently by teams in different countries and sectors. This approach increases flexibility and ensures applicability in various project contexts, but it threatens to disconnect broader sustainability goals from performance objectives. Furthermore, vaguely defined Safeguards might prohibit the assessment of the adequacy of country systems, and place significant responsibility on the individuals implementing the policies to interpret these principles correctly. Therefore, providing clear minimum standards can help clarify the steps that governments must take to satisfy safeguard needs (Larsen and Ballesteros, 2013). In order to define sustainability goals and policies, a certain level of flexibility should be considered to allow the integration of context-related aspects, including the environmental and social context, country priorities, and institutional capacities. However, measurable and more-detailed sub-goals could be defined to provide targets for minimum project performance. A set of key performance indicators for sustainable infrastructure could be integrated to the existing polices, establishing clear minimum standards for IDB-financed projects to measure and monitor expected outcomes, at the same time encouraging borrowers to go beyond minimum requirements when possible.

4.4. Maximize Opportunities for Sustainable Resource Use

Global growth has not come without costs, and the global community is faced with the enormous task of enhancing the wellbeing of a growing population while reducing the use of dwindling natural resources (Larsen and Ballesteros, 2013). As a response to these concerns, a new generation of sustainable practices to mitigate the negative impacts of development, minimize the consumption of finite resources, and promote the use of renewable energy resources is increasingly observed in infrastructure projects. The Environment and Safeguards Compliance Policy integrates many aspects of environmental sustainability, including targeted investments to restore environmental quality and the promotion of renewable energy and the efficient and clean use of energy resources. Even though these aspects are defined and complemented by non-mandatory tools and guidelines, strategic priorities to guide the integration of these aspects into projects need to be defined, as well as parameters to measure minimum levels of expected performance, since the lack of minimum standards could some times hinder efforts to exceed business as usual practices.

4.5. Maximize Opportunities for Sustainable Social Development in All IDB-Financed Projects

IDB's Operational Policy on Indigenous Peoples, Operational Policy on Involuntary Resettlement, Operational Policy on Gender Equality, explicitly require socio-cultural analyses to identify adverse impacts and ensure socio-culturally appropriate development objectives and project components. This analysis not only guarantees that the needs of these specific groups are integrated into projects, but that a broad set of social programs and benefits for the entire community are also considered. Though, in the case of projects with lower social impacts or without considerable indigenous communities or displaced populations, the opportunity to introduce initiatives to foster the sustainable, long-term social and economic development of the project's host and nearby communities might not be fully captured. Projects that expand their focus from a project-only outlook to community-wide considerations by enhancing infrastructure efficiency and cultural resources can improve business attractiveness and overall community livability. Especially important is the inclusion of training and educational programs to strengthen the existing skills base, to improve the long-term competitiveness of the local workforce and the community's capabilities to grow sustainably.

4.6. Further Integrate the Concept of Resilience and Climate Change Adaptability

The Environment and Safeguards Compliance Policy, the Disaster Risk Management Policy, and IFC's Environmental, Health, and Safety guidelines include to some extent issues related to climate change mitigation. However, these policies do not systematically address the additional long-term threats of a changing climate. Thus, it is necessary to define a conceptual framework for addressing climate change vulnerability and increasing the resilience of IDB-financed projects.. Increasingly, resilient infrastructure designs focus on the consideration of interdependencies with other infrastructure, environmental, and social systems, with respect to their ability to adapt to potential changes in these systems over time, including performance under natural and anthropogenic disasters (Minsker et al, 2015). To this end, a methodology that builds upon the principles of adaptive management, that is already incorporated into projects, to evaluate the cumulative risk exposure considering all types of vulnerabilities and integrating climate change issues must be defined to produce resilient infrastructure designs accompanied with adaptability plans to withstand the aforementioned changes and ensure a prompt recovery and secure business continuity.

4.7. Evaluate the Need for a Comprehensive and Overarching Policy Framework

An over-arching policy statement refers to a hierarchical and integrated document of MDBs' safeguard policies, which usually states the key objectives, policies, principles and institutional approach to potential environmental and social impacts and risks (Himberg, 2015). Some MDBs have integrated their social and environmental policies into a safeguard framework under a sustainability strategy or policy. However, other banks, including the IDB and the World Bank, still lack an overarching framework integrating their safeguard policies. Nonetheless, in the case of the IDB, the Environment and Safeguards Compliance Policy partially fulfills this role by encompassing several cross-sectoral policies that are addressed in more depth in other safeguard policies. On the other hand, the IDB Sustainable Infrastructure strategy identifies priority areas of action and guides its new vision to support the provision of adequate services that promote sustainable and inclusive growth (IDB, 2013). The current wide variety of documents suggests that an umbrella policy on environmental and social sustainability could contribute to stratifying and integrating separate policies pertaining to environmental and social impacts and risks, thereby establishing priorities and specific performance indicators for the development of sustainable infrastructure, and simplifying required documentation and procedures.

THE ZOFNASS PROGRAM FOR SUSTAINABLE INFRASTRUCTURE

The mission of the Zofnass Program for Sustainable Infrastructure is to develop and promote methods, processes, and tools that quantify sustainability for infrastructure. Its goal is to facilitate the adoption of sustainable solutions for infrastructure projects and systems, and expand the body of knowledge for sustainable infrastructure.

The Zofnass Program was founded in 2008 by a generous donation by siblings Paul and Joan Zofnass, and is housed at Harvard University's Graduate School of Design. The Zofnass Program extends its activities throughout Harvard, including the School of Public Health, the Kennedy School of Government, the Business School, and the Center for the Environment. The Zofnass Program is supported by the industry through an Industry Advisory Board and by research foundations.

The Zofnass Program prides itself on the collaborative nature of its research efforts, bringing together academic experts and industry specialists. The leading contribution of the program is the Envision® rating system of the Institute for Sustainable Infrastructure, an all-inclusive assessment methodology that combines expertise in the fields of engineering, planning, economics, public health, and environmental design to assess the sustainability of large-scale infrastructure projects.

The program provides a series of resources and tools, and hosts events to facilitate sustainable project planning and design, as well as rate the sustainability of infrastructure projects. The Zofnass Program aims to serve as a clearinghouse for information collected from projects, both in its pilot phase and after the system is launched and utilized.

More information about the Zofnass Program for Sustainable Infrastructure can be found at:
www.zofnass.org

ACKNOWLEDGEMENTS

This report was prepared by Andreas Georgoulias, María Ignacia Arrasate, and Nikos Georgoulias utilizing IDB's Safeguards and the framework of criteria provided by the Envision rating system, developed in a unique partnership between the Zofnass Program for Sustainable Infrastructure at Harvard University's Graduate School of Design and the Institute for Sustainable Infrastructure (ISI). IDB's Safeguards include six cross-sectoral policies on resettlement, indigenous peoples, disaster risk management, environment, and access to information, and their respective implementation guidelines. In addition the analysis included the World Bank's Environmental, Health, and Safety Guidelines.

The analysis required the work and dedication of many people, including several members of IDB's Environmental Safeguards Unit. We would like to thank all who led the development of this report, especially Janine Ferretti, Graham G. Watkins, Sven-Uwe Mueller, Annika Birgit Keil, Hendrik Meller, and María Cecilia Ramirez. The feedback and support of numerous specialists was extremely valuable. We would like to thank all those who contributed with their time and ideas and provided valuable information about the projects, including José Steven Collins, Luis de la Bastida, Ernesto Monter Flores, Emmanuel A. Boulet, Angela Miller, Oscar Luis Camé, Maria Da Cunha, Ernani Pilla, and Serge-Henri Troch. This report would not have been possible without their contribution.

ABBREVIATIONS

CEA: Country Environmental Analysis
DEM: Development Effectiveness Matrix
DLGP: Draft Guarantee or Loan Proposal
DRA: Disaster Risk Assessment
DRM: Disaster Risk Management
EA: Environmental Analysis
EIA: Environmental Impact Assessment
ESA: Environmental and social analysis
ESDD: Environmental and Social Due Diligence
ESIA: Environmental and Social Impact Assessment
ESMP: Environmental and Social Management Plan
ESMR: Environmental and Social Management Report
ESR: Environmental and Social Review
ESS: Environmental and Social Strategy
IPM: Integrated Pest Management
IVM: Integrated Vector Management
LP: Loan proposal
LRR: Loan Results Report
MDB: Multilateral Development Banks
MDG: Millennium Development Goals
MEA: Multilateral Environmental Agreement
PCD: Project Concept Document
PCR: Project Completion Report
PMP: Pest Management Plan
PMR: Project Monitoring Report
POA: Plan of Acquisitions
POD: Proposal for Operation Development
POP: Persistent Organic Pollutant
PSR: Project Status Report
PP: Project Profile
PPAH: Pollution Prevention and Abatement Handbook
PPMR: Project Performance Monitoring Report
RP: Resettlement Plan
RSA: Rapid Social Assessment
SCA: Socio-cultural Analysis
SEA: Strategic Environmental Assessment
SMART: Specific, Measurable, Achievable, Relevant and Time-bound
SPF: Social and Environmental Safeguards Policy Filter
SSF: Safeguard Screening Form
TOR: Terms of Reference
XPSR: Expanded Project Supervision Report

LIST OF FIGURES

APPENDICES

Appendix A: The Envision Rating System

Purpose of Envision

Envision is much more than a simple rating tool. It is a framework of criteria that can be used by all major infrastructure stakeholders for decision-making. It incorporates sustainable infrastructure design guidance, and integrates resources and libraries for education and best practices. It provides an overarching, comprehensive assessment framework that evaluates and quantifies sustainability for all infrastructure projects. The vision behind its creation is to facilitate a systemic change and advance the industry from a passive, business-as-usual thinking to higher innovative solutions; to promote sustainable infrastructure and create a set of specific, scalable sustainability principles as a robust reference for all future infrastructure projects with an emphasis on economic, social, and environmental dimensions.

Envision, unlike other sustainability rating systems, focuses on the contribution of infrastructure to the many other systems it is part of, such as urban and natural systems and grids. It provides guidance in pursuing holistic solutions by using a life cycle approach evaluated against the needs of surrounding communities, as well as rewarding restorative efforts that exceed traditional sustainability performance.

Thus the Envision framework and assessment methodology provides a holistic solution that incorporates environmental, social, and governance criteria, best practices, and benchmarks into a clear decision-making process. It is currently the evaluation standard in the United States, endorsed by the American Society of Civil Engineers, the American Public Works Association, and the American Council of Engineering Companies.

Key features of Envision

Envision organizes credits into five categories, fifteen subcategories, and 60[13] credits to account for the fact that infrastructure impacts the local environment and community in multiple ways. The five categories, Quality of Life, Leadership, Resource Allocation, Natural World, and Climate and Risk, correspond to principal areas of impact. Categories were selected considering that they could be applied to all types of infrastructure. Each category has its own credit list. Credits encompass evaluation criteria and points depending on the implementation of the evaluation criteria and the project's expected performance.

This methodology expands traditional considerations with regard to sustainability. The methodology expands the potential for sustainability action into two distinct areas: performance and pathway. The first addresses all actions taken by the project team to improve a project's sustainability characteristics with regard to performance, such as energy efficiency and water consumption. The latter considers whether the project requirements address community needs, and whether the project team seeks to improve the community's quality of life by integrating their project with existing systems. Envision motivates project teams to identify the community needs that result in a new project and not only ask "Will we do the project right?" but also "Will we do the right project?" Regardless of how efficient a new infrastructure might be, it is not really sustainable if it is not necessary.

Envision also provides guidance to avoid significant long-term risks and vulnerabilities. These are divided into distinct categories that relate to overdependence on scarce and expensive resources such as fossil fuels, designs leading to projects vulnerable to climate change, including extreme weather events, natural disasters, and economic conditions, as well as conceptual plans that do not consider the urgent requirements for sustainable development and how these conditions might adjust in the future.

[13] Plus 3 new credits of the Vulnerable Groups subcategory, added by the Harvard Zofnass Program in collaboration with the IDB, for application in Latin American infrastructure projects.

Envision Categories and Subcategories

Quality of Life:
Purpose, Well-Being, Community, and Vulnerable Groups

Infrastructure projects interact with the local community, can affect the health and safety of populations, and can create meaningful jobs respecting local values and traditions. Envision aims to maximize the quality of life of those who are affected by infrastructure projects, both now and in the future. Within this framework, infrastructure is viewed as having a dual function: first to provide a required service to the people, and second to provide this service at an acceptable quality level.

Leadership:
Collaboration, Management, and Planning

Emphasizes effective, equitable, and transparent project governance by providing a clear set of criteria for management, collaboration, and organizational systems for long-term planning. Envision rewards engaging with different stakeholders to establish a diverse overview of the project, as well as developing a more long-term, holistic consideration of the project's life cycle.

Resource Allocation:
Materials, Energy, and Water

Addresses the materials and resources consumed by the infrastructure during construction and operations. Envision aims for the optimal allocation of resources, one that has the least impact on the current environment and maximizes the potential of future generations to have access to the resources they will need.

Natural World:
Siting, Land and Water, and Biodiversity

Examines the impacts an infrastructure project has on the environment, assessing effects on biodiversity and natural resources due to site selection, design choices, and construction practices as well as operational procedures. Envision aims to preserve and enhance the ecological systems that sustain life. The design of built infrastructure should minimize ecosystem fragmentation and disruptions to land that provides habitat and supports biodiversity, should promote the rejuvenation of degraded systems, and should employ strategies of conservation that avoid or mitigate hazards.

Climate and Risk:
Emissions and Resilience

Focuses on mitigating climate change by reducing greenhouse gas emissions and adapting to short-term and long-term hazards and impacts. Envision aims to minimize long-term climate change caused by infrastructure works and operations, and to promote infrastructure projects that are adaptable and resilient to future conditions that may result from climate change.

How the Envision system works

- **Point allocation**

Envision has sixty credits in total (plus three new credits in process of revision) divided into three types: qualitative, quantitative, and yes/no. Each credit corresponds to a specific sustainability indicator, and awards a varying number of points depending on its type. Credits are graded on a five-point scale identified as the levels of achievement: improved, enhanced, superior, conserving, and restorative. For every credit, a point value is earned with each level of achievement. As such, Envision is able to assess the full spectrum of efforts of infrastructure projects, allowing for increased flexibility and requirements tailored to a wide variety of project specifics.

Envision aims to promote projects that do more than simply incorporate incremental sustainability improvements that have minimal environmental consequences. It makes restoration its highest goal and awards the last points to projects that restore and enhance communities, their economy, and their immediate surroundings. This also reserves the advantage of following relative long-term industry performance innovations. Projects that want to attain full points are required to progressively adjust their performance.

- **Evaluation criteria**

Evaluation criteria include both qualitative and quantitative methods. Envision sets a step-by-step guideline for how to meet each credit's specific requirements, or evaluation criteria. Project teams are required to submit the requested documentation to be assessed by verifiers. If the objectives are met, then sufficient levels of achievement are specified. Qualitative credits involve submitting documentation or detailed descriptions of the actions the project team took to meet the requirements. Quantitative credits require calculations and supporting evidence.

- **Innovation**

Innovative new methods that facilitate sustainable infrastructure and push project performance beyond the expectations of credit requirements are specifically sought and awarded by Envision. For this reason, Envision includes a special Innovate or Exceed Credit Requirements credit, which aims to provide bonus accreditation to projects that push the traditional boundaries and achieve extraordinary sustainable performance.

- **Levels of Achievement**

Levels of achievement always build on one another; in most credits the lower levels of achievement must first be satisfied in order for the higher levels to be met. Levels of achievement have an associated point value that varies between credits. Not all credits have five levels of achievement. The levels are determined by the nature of the credit and the ability to make meaningful distinctions between levels (Envision Manual, 2015).

The criteria for the levels of achievement vary from credit to credit, but generally an "improved" level of achievement is awarded for performance that slightly exceeds regulatory requirements. "Enhanced" and "superior" levels indicate additional gradual improvement, while "conserving" often indicates performance that achieves a net zero or neutral impact. "Restorative" is the highest level and is typically reserved for projects that produce an overall net positive impact. The Envision system weighs the relative value of each credit and level of achievement by assigning points. Credit criteria are documented in the Envision Guidance Manual, which is available to the public on the ISI[14] and Zofnass Program[15] websites. Figure 1 illustrates the categories and levels of achievement.

In summary, the Envision levels of achievement define the level and quality of project performance in each credit as follows:

[14] www.sustainableinfrastructure.org
[15] www.zofnass.org

- **Improved:** Performance that is above conventional. Slightly exceeds regulatory requirements;

- **Enhanced:** Sustainable performance that is on the right track. There are indications that superior performance is within reach;

- **Superior:** Sustainable performance that is noteworthy, but not conserving. Point scores are designed to provide incentives for achieving sustainable or restorative performance;

- **Conserving:** Performance that has achieved essentially zero negative impact;

- **Restorative:** Performance that restores natural or social systems. Such performance receives the highest award possible, and is celebrated as such. The Restorative level is not applicable to all objectives.

Figure 1: Envision levels of achievement.

Methodological considerations

The following points illustrate the complexity of rating and comparing the sustainability of infrastructure projects. An objective evaluation cannot entirely capture the effort, unique challenges, or local values associated with a project. It is our observation that regardless of the final score achieved, all projects evaluated in this report invested comprehensive and notable efforts in developing sustainable infrastructure projects in Latin America.

1. All projects achieved a sustainability rating, meaning they achieved an overall score that qualifies them for recognition by the Envision® Rating System for Sustainable Infrastructure.

2. Not all the projects can pursue all the points in all the credits, meaning that not all projects can reach the same score. This is an outcome of several issues stemming from either the non applicability of a credit in a certain infrastructure project type, or issues of new construction versus upgrading existing infrastructure. For example, new construction projects may not be able to score high points in the subcategory of "siting" if the project is developed on a greenfield, prime farmland, or prime habitat.

3. Points are not weighted according to effort. Envision objectively assesses whether the given criteria have been met, and two projects may exert different levels of effort to meet the same criteria. A project may face a singular challenge that requires substantial effort and resources, and receive the same points as a project which did not have to face these issues due to its context.

4. Envision does not adjust scores to the scale of projects. The same rating system applies to all projects. Large projects have to comply with the same criteria as smaller projects. This makes it difficult for larger projects to meet certain evaluation criteria. Certain criteria may be more difficult for smaller projects to meet and some may become more challenging as the scale of the project increases.

5. Different infrastructure types score in different ranges. It is more difficult for a 30 km transportation corridor to gain points in preserving greenfields than it is for a subway line that is almost entirely underground. Similarly, an airport may consume more material resources than a photovoltaic park or a wind farm. This does not necessarily suggest that an energy project is more sustainable than a transportation project.

6. North American versus regional standards. The Envision Rating System takes into consideration each country's context, regulations, and standards when assigning credit points. However, in certain credits a performance benchmark has been set based on North American standards, which in most cases can be stricter than local standards.

7. Project teams have different levels of sustainability experience. It is our observation that projects that had already applied for another sustainability rating (such as LEED) or a quality certification (such as ISO), as well as international sponsor groups with sustainability standards in place, provided more documentation supporting higher levels of achievement (life cycle analysis, environmental impact studies, sustainable management protocols, recycling and resources management documentation, etc.). Since none of the projects created new documentation for the purpose of this study, projects with experience in these standards had better documentation demonstrating sustainability, and can achieve higher scores in the assessment process.

8. Evaluation is based on information provided by project sponsors. The score achieved by a project represents an evaluation based on the information provided to the Harvard team. Some projects might have been eligible for a higher score, had the project sponsor been able to provide supporting documentation. However, the evaluation of each project was executed according to the documentation submitted to the Harvard research team.

Figure 2: Envision categories, subcategories, and credit list

QUALITY OF LIFE
16 Credits

1 PURPOSE
QL1.1 Improve Community Quality of Life
QL1.2 Stimulate Sustainable Growth & Development
QL1.3 Develop Local Skills and Capabilities
2 WELL-BEING
QL2.1 Enhance Public Health and Safety
QL2.2 Minimize Noise and Vibration
QL2.3 Minimize Light Pollution
QL2.4 Improve Community Mobility and Access
QL2.5 Encourage Alternative Modes of Transportation
QL2.6 Improve Site Accessibility, Safety & Wayfinding
3 COMMUNITY
QL3.1 Preserve Historic and Cultural Resources
QL3.2 Preserve Views and Local Character
QL3.3 Enhance Public Space
4 VULNERABLE GROUPS
QL4.1 Identify and address the needs of women and diverse communities
QL4.2 Stimulate and promote women's economic empowerment
QL4.3 Improve access and mobility of women and diverse communities
QL0.0 Innovate or Exceed Credit Requirements

LEADERSHIP
10 Credits

1 COLLABORATION
LD1.1 Provide Effective Leadership & Commitment
LD1.2 Establish a Sustainability Management System
LD1.3 Foster Collaboration and Teamwork
LD1.4 Provide for Stakeholder Involvement
2 MANAGEMENT
LD2.1 Pursue By-Product Synergy Opportunities
LD2.2 Improve Infrastructure Integration
3 PLANNING
LD3.1 Plan for Long-Term Monitoring & Maintenance
LD3.2 Address Conflicting Regulations and Policies
LD3.3 Extend Useful Life
LD0.0 Innovate or Exceed Credit Requirements

RESOURCE ALLOCATION
14 Credits

1 MATERIALS
RA1.1 Reduce Net Embodied Energy
RA1.2 Support Sustainable Procurement Practices
RA1.3 Use Recycled Materials
RA1.4 Use Regional Materials
RA1.5 Divert Waste from Landfills
RA1.6 Reduce Excavated Materials Taken Off Site
RA1.7 Provide for Deconstruction and Recycling
2 ENERGY
RA2.1 Reduce Energy Consumption
RA2.2 Use Renewable Energy
RA2.3 Commission and Monitor Energy Systems
3 WATER
RA3.1 Protect Fresh Water Availability
RA3.2 Reduce Potable Water Consumption
RA3.3 Monitor Water Systems
RA0.0 Innovate or Exceed Credit Requirements

NATURAL WORLD
15 Credits

1 SITING
NW1.1 Preserve Prime Habitat
NW1.2 Protect Wetlands and Surface Water
NW1.3 Preserve Prime Farmland
NW1.4 Avoid Adverse Geology
NW1.5 Preserve Floodplain Functions
NW1.6 Avoid Unsuitable Development on Steep Slopes
NW1.7 Preserve Greenfields
2 Land+Water
NW2.1 Manage Stormwater
NW2.2 Reduce Pesticides and Fertilizer Impacts
NW2.3 Prevent Surface and Groundwater Contamination
3 Biodiversity
NW3.1 Preserve Species Biodiversity
NW3.2 Control Invasive Species
NW3.3 Restore Disturbed Soils
NW3.4 Maintain Wetland and Surface Water Functions
NW0.0 Innovate or Exceed Credit Requirements

CLIMATE AND RISK
8 Credits

1 EMISSIONS
CR1.1 Reduce Greenhouse Gas Emissions
CR1.2 Reduce Air Pollutant Emissions
2 RESILIENCE
CR2.1 Assess Climate Threat
CR2.2 Avoid Traps and Vulnerabilities
CR2.3 Prepare for Long-Term Adaptability
CR2.4 Prepare for Short-Term Hazards
CR2.5 Manage Heat Island Effects
CR0.0 Innovate or Exceed Credit Requirements

Figure 3: Envision Points Table.

			IMPROVED MEJORA	ENHANCED AUMENTA	SUPERIOR SUPERIOR	CONSERVING CONSERVA	RESTORATIVE RESTAURA
QUALITY OF LIFE	PURPOSE	QL1.1 Improve community quality of life	2	5	10	20	25
		QL1.2 Stimulate sustainable growth and development	1	2	5	13	16
		QL1.3 Develop local skills and capabilities	1	2	5	12	15
	WELL-BEING	QL2.1 Enhance public health and safety	2	—	—	16	
		QL2.2 Minimize noise and vibration	1	—	—	8	11
		QL2.3 Minimize light pollution	1	2	4	8	11
		QL2.4 Improve community mobility and access	1	4	7	14	
		QL2.5 Encourage alternative modes of transportation	1	3	6	12	15
		QL2.6 Improve site accessibility, safety and wayfinding	—	3	6	12	15
	COMMUNITY	QL3.1 Preserve historic and cultural resources	1	—	7	13	16
		QL3.2 Preserve views and local character	1	3	6	11	14
		QL3.3 Enhance public space	1	3	6	11	13
	VULNERABLE GROUPS	QL4.1 Identify and address the needs of women and diverse communities *	1	2	3	4	
		QL4.2 Stimulate and promote women's economic empowerment	1	2	3	4	
		QL4.3 Improve access and mobility of women and diverse communities *	1	2	3	4	5
					Maximum QL Points:	194**	
LEADERSHIP	COLLABORATION	LD1.1 Provide effective leadership and commitment	2	4	9	17	
		LD1.2 Establish a sustainability management system	1	4	7	14	
		LD1.3 Foster collaboration and teamwork	1	4	8	15	
		LD1.4 Provide for stakeholder involvement	1	5	9	14	
	MANAGEMENT	LD2.1 Pursue by-product synergy opportunities	1	3	6	12	15
		LD2.2 Improve infrastructure integration	1	3	7	13	16
	PLANNING	LD3.1 Plan for long-term monitoring and maintenance	1	3	—	10	
		LD3.2 Address conflicting regulations and policies	1	2	4	8	
		LD3.3 Extend useful life	1	3	6	12	
					Maximum LD Points:	121**	
RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce net embodied energy	2	6	12	18	
		RA1.2 Support sustainable procurement practices	2	3	6	9	
		RA1.3 Use recycled materials	2	5	11	14	
		RA1.4 Use regional materials	3	6	9	10	
		RA1.5 Divert waste from landfills	3	6	8	11	
		RA1.6 Reduce excavated materials taken off site	2	4	5	6	
		RA1.7 Provide for deconstruction and recycling	1	4	8	12	
	ENERGY	RA2.1 Reduce energy consumption	3	7	12	18	
		RA2.2 Use renewable energy	4	6	13	16	20
		RA2.3 Commission and monitor energy systems	—	3	—	11	
	WATER	RA3.1 Protect fresh water availability	2	4	9	17	21
		RA3.2 Reduce potable water consumption	4	9	13	17	21
		RA3.3 Monitor water systems	1	3	6	11	
					Maximum RA Points:	182**	

NATURAL WORLD	SITING	NW1.1 Preserve prime habitat	—	—	9	14	18
		NW1.2 Protect wetlands and surface water	1	4	9	14	18
		NW1.3 Preserve prime farmland	—	—	6	12	15
		NW1.4 Avoid adverse geology	1	2	3	5	
		NW1.5 Preserve floodplain functions	2	5	8	14	
		NW1.6 Avoid unsuitable development on steep slopes	1	—	4	6	
		NW1.7 Preserve greenfields	3	6	10	15	23
	LAND AND WATER	NW2.1 Manage stormwater	—	4	9	17	21
		NW2.2 Reduce pesticide and fertilizer impacts	1	2	5	9	
		NW2.3 Prevent surface and groundwater contamination	1	4	9	14	18
	BIODIVERSITY	NW3.1 Preserve species biodiversity	2	—	—	13	16
		NW3.2 Control invasive species	—	—	5	9	11
		NW3.3 Restore disturbed soils	—	—	—	8	10
		NW3.4 Maintain wetland and surface water functions	3	6	9	15	19
					Maximum NW Points:	203**	
CLIMATE & RISK	EMISSIONS	CR1.1 Reduce greenhouse gas emissions	4	7	13	18	25
		CR1.2 Reduce air pollutant emissions	2	6	—	12	15
	RESILIENCE	CR2.1 Assess climate threat	—	—	—	15	
		CR2.2 Avoid traps and vulnerabilities	2	6	12	16	20
		CR2.3 Prepare for long-term adaptability	—	—	—	16	20
		CR2.4 Prepare for short-term hazards	3	—	10	17	21
		CR2.5 Manage heat islands effects	1	2	4	6	
					Maximum CR Points:	122**	
					Maximum TOTAL Points:	822*	

* Indigenous or Afro-descendant peoples

** Not every credit has a restorative level. Therefore totals include the maximum possible points for each credit whether conserving or restorative.

Appendix B: IDB's Safeguard Policies

ENVIRONMENT AND SAFEGUARDS COMPLIANCE POLICY (January 2006)

Overview

The IDB was the first Multilateral Development Bank to adopt an Environment Policy in 1979, broadly mandating the institution to ensure the environmental quality of its operations and support environmental projects in the region. This policy builds upon past and recent Bank experience on environmental management, and seeks to position the Bank to effectively support environmental sustainability goals in LAC.

The word **"environment"** as used in this Policy is defined in its broad sense, which includes physical/chemical factors (geophysical/abiotic), biological factors (biotic), and associated social factors (anthropogenic). This Policy encompasses social, cultural and economic aspects to the extent that these aspects are derived from geophysical and/or biotic changes associated with a particular operation. In addition, it identifies environment as a dimension of development to be mainstreamed and internalized across all sectors.

Objectives

The goal of this Policy is to advance the Bank's mission in Latin America and the Caribbean toward achieving sustainable economic growth and poverty reduction goals consistent with long-term environmental sustainability. The specific objectives of the Policy are: (i) to enhance long-term development benefits to its member countries by integrating environmental sustainability outcomes in all Bank operations and activities as well as strengthening environmental management capacities in its borrowing member countries; (ii) to ensure that all Bank operations and activities are environmentally sustainable as defined in this Policy, and (iii) to foster corporate environmental responsibility within the Bank.

Policy Directives

A. Mainstreaming environment

The main objective of environmental mainstreaming is to strengthen country focuses on these principles by strategically addressing environmental issues and opportunities in the context of each country's development priorities.

A.1. Mainstreaming Environment in Country Programming and Strategies
A.2. Supporting Environmental and Natural Resources Management Operations
A.3. Mainstreaming Environment Across Sectors
A.4. Supporting Regional Initiatives and International Agreements
A.5. Tracking Environmental Sustainability Indicators
A.6. Assessing Environmental Risks and Opportunities
A.7. Promoting Corporate Environmental Responsibility

B. Safeguard Policies and Directives

The Bank applies safeguards throughout the project cycle to ensure the environmental sustainability of all Bank-financed operations.

B.1. Bank Policies
B.2. Country Laws and Regulations
B.3. Screening and Classification
B.4. Other Risk Factors
B.5. Environmental Assessment Requirements
B.6. Consultations
B.7. Supervision and Compliance
B.8. Transboundary Impacts
B.9. Natural Habitats and Cultural Sites
B.10. Hazardous Materials
B.11. Pollution Prevention and Abatement
B.12 Project Under Construction
B.13. Non-investment lending and flexible lending instruments
B.14. Multiple Phase and Repeat Loans
B.15. Co-financing Operations
B.16. In-country Systems
B.17. Procurement

SAFEGUARDS AND ENVISION POLICY-BY-POLICY ANALYSIS

The Policy Directives are structured under two major categories: a) environmental mainstreaming; and b) environmental safeguards. The mainstreaming directives are proactive in nature, apply to Bank public sector programming activities, and seek to foster environmental management opportunities. The safeguard directives establish procedures and standards to ensure the quality and the environmental sustainability of both public and private sector operations and are applied throughout the project cycle.

All the Environmental Mainstreaming Policies are classified as **internal** Bank obligations associated with the screening and classification of operations, leading to an **indirect** relation with certain Envision credits. Regarding the Environmental Safeguards, some of the policies included in this section are **internal**, related to Bank screening and classification efforts, and others are **external**, which directly apply to the projects as a result of the required analyses.

Indicators to measure performance include a combination of quantitative and qualitative data, but minimum standards are not defined. Baselines and standards vary according to the requirements of specific documents, such as Country-level Environmental Analysis (addressing the particular needs and context of the country), Bank sustainability reports, and Bank-Borrowers agreements. On the other hand, safeguard analytical tools, monitoring, and indicators vary according to the classification of the project.[16] This variability hinders the direct comparison of the Envision levels of achievement and minimum standards to measure sustainability in IDB-financed projects and operations.

[16] According to IDB, during the earliest stages of design, the Bank classifies a project according to its potential environmental and associated social impacts and risks (following an A, B, C, and uncategorized classification model for high to minimal risk). This determines the depth and breadth of environmental and social assessment required and identifies key potential environmental, social, health, safety, labor, and other safeguard issues.

A. Mainstreaming environment

This section comprises seven policies:

- A.1. Mainstreaming Environment in Country Programming and Strategies
- A.2. Supporting Environmental and Natural Resources Management Operations
- A.3. Mainstreaming Environment Across Sectors
- A.4. Supporting Regional Initiatives and International Agreements
- A.5. Tracking Environmental Sustainability Indicators
- A.6. Assessing Environmental Risks and Opportunities
- A.7. Promoting Corporate Environmental Responsibility

Policy A.1. mandates the Bank to discuss with the borrowing member country strategic objectives and possible actions to address key environmental and related social issues in a cross-sectoral manner. An indirect relation between this policy and the credits *QL1.1 Improve Community Quality of Life* and *QL1.2 Stimulate sustainable growth and development* was detected. These credits refer to the overall contribution of a project to the social and economic development of the host and affected communities.

Policy A.2. promotes that the Bank operations include targeted investments to restore environmental quality, as well as strengthening institutions at all levels. However, operations and investments are defined on the basis of strategic priorities agreed between the Bank and the borrower. This cross-sectoral policy lists multiple aspects that match credits from all Envision sustainability categories, which are: *QL3.1 Preserve Historic and Cultural resources; LD1.1 Provide Effective Leadership & Commitment; RA1.5 Divert Waste from Landfills; RA2.2 Use Renewable Energy; NW1.1 Preserve Prime Habitat; NW1.2 Protect Wetlands and Surface Water; NW1.5 Preserve Floodplain Functions; NW3.1 Preserve Species Biodiversity; NW3.4 Maintain Wetland and Surface Water Functions; CR1.1 Reduce Greenhouse Gas Emissions; and CR1.2 Reduce Air Pollutant Emissions.*

Policy A.3. seeks to enhance environmental sustainability by promoting the application of a cross-sectoral perspective to the Bank's operations. Relevant indicators towards environmental sustainability outcomes are

defined and included in the operation's design. An integrated approach to enhance development outcomes relates with *LD2.2 Reduce Air Pollutant Emissions*, which pursues the integration of related systems and infrastructure.

Policy A.4. supports countries on matters of global environmental issues, including the Bank's technical and financial support to meet their national obligations under ratified international environmental agreements. This aspect is not specifically addressed among the Envision credits; however, strengthening institutional capacities to achieve sustainability goals might lead to providing effective leadership and commitment, which is addressed by *LD1.1 Provide Effective Leadership & Commitment*. This is especially relevant for projects owned by the public sector.

Policy A.5. urges teams to track performance on the state of environmental governance, institutional and policy development, the conditions of key natural resources and ecosystems, and the status of internationally agreed targets and goals (such as MDGs). This objective is aligned with Envision's Leadership category, specifically the credit *LD1.2 Establish a Sustainability Management System*, which seeks to establish a sustainable management system to ensure that projects meet their sustainability goals and objectives.

Policy A.6. seeks to identify potentially high-risk programs/projects or sectors early on, including environmental and social sector risks, policy risks, governance risks, and vulnerability to natural hazards/climate change. This risk management approach indirectly relates to the Climate and Risk category, specifically the credit *CR2.2 Avoid Traps and Vulnerabilities*, which assess risks and vulnerabilities at the community level.

Policy A.7. refers to the administrative activities and facilities of the Bank to promote corporate environmental responsibility actions but not the project or programs financed by it. The policy includes practices such as green procurement, recycling, waste reduction, and energy efficiency. However, these actions are outside the scope of this study, which addresses the effects of the Safeguards on IDB-financed projects.

B. Safeguard Policies and Directives

This section comprises fourteen policies:

- B.1. Bank Policies
- B.2. Country Laws and Regulations
- B.3. Screening and Classification
- B.4. Other Risk Factors
- B.5. Environmental Assessment Requirements
- B.6. Consultations
- B.7. Supervision and Compliance
- B.8. Transboundary Impacts
- B.9. Natural Habitats and Cultural Sites
- B.10. Hazardous Materials
- B.11. Pollution Prevention and Abatement
- B.12. Project Under Construction
- B.13. Non-investment lending and flexible lending instruments
- B.14. Multiple Phase and Repeat Loans
- B.15 Co-financing Operations
- B.16. In-country Systems
- B.17. Procurement

Policy B.1. states that the Bank will only finance operations and activities that comply with the directives of this policy, and are consistent with the relevant provisions of other Bank policies. The purpose is to ensure that cross-sectoral and sectoral policies with environmental considerations are included in all Bank-financed operations. This broad goal is not related with the specific aspects addressed by Envision.

Policy B.2. requires the compliance with country environmental laws and regulations where the operation is implemented. This basic assessment has the potential to correlate norms to sustainability objectives, which is related with *LD3.2 Address Conflicting Regulations and Policies*. Nevertheless, in countries with weak institutions and regulations, minimum standards might not be sufficient to achieve sustainability objectives.

Policy B.3. establishes that all Bank-financed operations are screened and classified according to their potential environmental impacts. The

screening process will determinate the category of the project (A, B, or C) and the analytical tools required for its development. This internal mandate is not related with any of the aspects addressed by Envision.

Policy B.4. mandates the Bank to identify if there are any potential key or significant risk factors other than environmental and associated social impacts that may threaten the environmental viability of the operation. This includes institutional capacities, controversial environmental and associated social issues, and vulnerability to natural disasters, among others. The identification of risk factors and the development of measures to manage such risks relates with the Climate and Risk category, specifically with credits *CR2.2 Avoid Traps and Vulnerabilities* and *2.4 Prepare for Short-Term Hazards*.

Policy B.5. indicates that the Bank will require from borrowers the preparation and implementation of specified standards for environmental and social impact analyses, including Environmental Assessments (EA), Environmental Impact Assessments (EIAs), Strategic Environmental Assessments (SEAs), and Environmental and Social Management Plan (ESMP), among others. These analytical tools identify potential significant environmental and social impacts and propose solutions to manage such impacts. However, requirements vary according to the nature and significance of the potential impacts of the operation. For the purposes of this Policy, the EIA report includes information on several topics, which are related with all Envision sustainability categories, specifically the following credits: *QL1.1 Improve Community Quality of Life; QL1.2 Stimulate sustainable growth and development; QL3.1 Preserve Historic and Cultural resources; QL4.1 Identify and address the needs of women and diverse communities; LD1.1 Provide Effective Leadership & Commitment; LD1.4 Provide for Stakeholder Involvement; LD3.1 Plan for Long-Term Monitoring & Maintenance; LD3.2 Address Conflicting Regulations and Policies; RA2.1 Reduce Energy Consumption; RA3.1 Protect Fresh Water Availability; NW1.1 Preserve Prime Habitat; NW1.2 Protect Wetlands and Surface Water; NW3.1 Preserve Species Biodiversity; NW2.2 Reduce Pesticides and Fertilizer Impacts; NW2.3 Prevent Surface and Groundwater Contamination; and CR1.2 Reduce Air Pollutant Emissions.*

Policy B.6. requires meaningful consultations with affected parties and consideration of their views. Through interaction with affected and interested parties, dialogue helps improve the design, promotes a better understanding of the operation, and improve its chance of success and achieving improved sustainability performance. The consultation process depends on the nature of the operation. In the case of consultations related to the preparation of resettlement plans, the borrower should follow the Operational Policy on Involuntary Resettlement. This Policy is strongly related with the Leadership category, specifically the credit *LD1.4 Provide for stakeholder involvement.*

Policy B.7. ensures that the Bank will monitor the executing agency/borrower's compliance with all safeguard requirements stipulated in the loan agreement and project operating or credit regulations. The definition of safeguards indicators and their monitoring through monitoring reports, mid-term reviews, and project completion reports contributes to achieving the objective of *LD1.2 Establish a Sustainability Management System*, enabling organizations to set clear goals, objectives and policies.

Policy B.8. ensures that the environmental assessment process identifies and addresses, early in the project cycle, transboundary issues associated with the operation. The Policy refers to impacts associated with air, water, and fauna. The aspects mentioned in this cross-sectoral policy are related with credits: *NW1.2 Protect Wetlands and Surface Water; NW3.1 Preserve Species Biodiversity; NW3.4 Maintain Wetland and Surface Water Functions; CR1.1 Reduce Greenhouse Gas Emissions; and CR1.2 Reduce Air Pollutant Emissions*.

Policy B.9. states that the Bank will not support operations that, in its opinion, significantly convert or degrade critical natural habitats or that damage critical cultural sites. The protection of natural habitats relates to *NW1.1 Preserve Prime Habitat* and *NW3.1 Preserve Species Biodiversity*. Also the Policy indicates that whenever feasible, Bank-financed operations and activities will be sited on lands already converted, which relates to credit *NW1.7 Preserve greenfields*. The protection of cultural sites is connected with credit *QL3.1 Preserve Historic and Cultural resources*.

Policy B.10. ensures that Bank-financed operations take the necessary steps to avoid adverse impacts from the production, procurement, use, and disposal of hazardous materials, including organic and inorganic

toxic substances, pesticides, and Persistent Organic Pollutants (POPs). This policy directly relates with *NW2.2 Reduce Pesticides and Fertilizer Impacts*. In addition, pest management plans are required, which relate to *NW3.2 Control Invasive Species*.

Policy B.11. recommends that Bank-financed operations include measures to prevent, reduce or eliminate pollution emanating from their activities. Furthermore, borrowers are encouraged to explore different technologies and options for production processes, implement energy efficiency initiatives, and consider the use of renewable energy sources. This Policy relates with the Resource Allocation category, especially the energy-related credits *RA2.1 Reduce Energy Consumption* and *RA2.2 Use Renewable Energy*, as well as with Climate and Risk, emissions-related credits *CR1.1 Reduce Greenhouse Gas Emissions* and *CR1.2 Reduce Air Pollutant Emissions*.

Policy B.12. indicates that the IDB will finance operations already under construction, only if the borrower can demonstrate that the operation complies with all relevant provisions of this Policy. The objective of this Policy is to make certain that a project under construction submitted for Bank financing meets the requirements of these safeguards. This Policy is not related with specific sustainability objectives defined by Envision.

Policy B.13. applies to lending instruments that differ from traditional investment loans, which may require alternative environmental assessment and management tools to determine the level of safeguard risks and operational requirements. According to the instrument applied and considering the program and sector, the Bank will assess the executing agency's capacity for environmental management and implement an appropriate Environmental Management System. This Policy relates mainly with the Leadership category, specifically credits *LD1.1 Provide Effective Leadership & Commitment; LD1.2 Establish a Sustainability Management System; and LD 3.2 Address Conflicting Regulations and Policies.*

Policy B.14. establishes that for a repeat loan, project teams will follow the regular safeguard process and procedures as they applies to any new loan. No relation with Envision was identified.

Policy B.15. states that for co-financing operations, the Bank should collaborate with the borrowers and participating lending institutions to adopt a single EA process and unified documentation. No relation with Envision was identified.

Policy B.16. indicates that when the borrowing member country's environmental management system is equivalent or superior to the Bank's, the Bank will consider using the borrowing member's existing systems of safeguards for identifying and managing environmental and social impacts. This policy indirectly relates to the Leadership category, specifically credits: *LD1.1 Provide Effective Leadership & Commitment; LD1.2 Establish a Sustainability Management System; and LD3.2 Address Conflicting Regulations and Policies.*

Policy B.17. fosters approaches that help provide goods and services procured under Bank-financed operations that are produced in an environmentally and socially responsible manner, in terms of resource use, work environment, and community relations. This Policy directly relates to the Resource Allocation category, specifically the credit *RA1.2 Support Sustainable Procurement Practices*.

IMPLEMENTATION GUIDELINES FOR THE ENVIRONMENT AND SAFEGUARDS COMPLIANCE POLICY (May 2007)

The objective of this document is to support project teams and staff in the interpretation and implementation of each of the Policy Directives. Therefore, these Guidelines aim to strengthen the Bank's commitment to facilitating environmental sustainability in the region.

The Guidelines define procedures and implementation for all policy directives. According to the policy requirements, these are complemented with the allocation of responsibilities, expected outcomes, tools and processes of analysis, and measuring and tracking indicators.

DISASTER RISK MANAGEMENT POLICY (February 2007)

Overview

This Disaster Risk Management Policy was developed in the context of an increase in the number and seriousness of disasters in Latin America and the Caribbean, and through the awareness that disasters have significant bearing on the economic and social development.

The Disaster Risk Management Policy applies to the IDB, in both its public and private sector activities, and to the Multilateral Investment Fund (MIF). The present guidelines apply to all natural hazards. With respect to natural hazards, this policy covers the range of events from low frequency/ high consequence hazards to high frequency/low consequence hazards.

For this Policy, the definition of **"Natural hazard"** refers to natural processes or phenomena affecting the biosphere that may constitute a damaging event. Such hazards include: earthquakes, windstorms, hurricanes, landslides, tidal waves, volcanic eruptions, floods, frosts, forest fires and drought, or a combination thereof. Hazards emanating from climatic variations such as those linked to the El Niño phenomenon are covered by this policy.

Objectives

The purpose of the Bank's Disaster Risk Management Policy is to guide its efforts to assist its borrowers in reducing risks emanating from natural hazards and in managing disasters, thereby supporting them achieve their social and economic development goals.

The policy has two interrelated objectives:

- Strengthen the Bank's effectiveness in supporting its borrowers to systematically manage risks related to natural hazards by identifying these risks, reducing vulnerability and by preventing and mitigating related disasters before they occur.

- Facilitate rapid and appropriate assistance by the Bank to its borrowing member countries in response to disasters in an effort to efficiently revitalize their development efforts and avoid rebuilding vulnerability.

Policy Directives

This policy provides two lines of action addressing:

(i) The prevention and mitigation of disasters that occur as a result of natural hazards, through programming and proactive project work at regional, national and local levels;
(ii) Post disaster response to the impacts of natural hazard events, and physical damage resulting from technological accidents or other types of disasters resulting from human activity.

A) Risk Management through Programming and Operations

A.1. Programming: Dialogue with borrowing member countries.

- Disaster Risk Information for Country Dialogue and the Preparation of Country Strategies
- Implementation of the Country Strategy: Programming Dialogue and Portfolio Management
- Regional Activities

A.2. Risk and Project Viability: Identification and reduction of project risk.

- Project Screening and Classification (High-risk, moderate-risk, low-risk projects)
- Disaster Risk Assessment (DRA)
- Project Analysis
- Project implementation, Monitoring and Evaluation

B) Post Disaster Operations

B.1. Loan Reformulation: Redirecting resources from existing loans.

- Declaration of State of Emergency, Originating Report and Loan Request

- Analysis of Projects for Reformulation
- Transparency and Monitoring
- Reducing Vulnerability to Future Disasters

B.2. Reconstruction: Avoiding rebuilding vulnerability.

- Operations that finance rehabilitation and reconstruction after a disaster require special precautions to avoid rebuilding or increasing vulnerability.

B.3. Humanitarian Assistance Limited Bank role.

- This funding will be provided only through emergency technical cooperation, to be implemented during or immediately after a disaster.

SAFEGUARDS AND ENVISION POLICY-BY-POLICY ANALYSIS

This Policy contributes to the mainstreaming of Disaster Risk Management (DRM) into the Bank's programming exercises with the borrowers, particularly in high-risk countries. Regarding Envision, part of the directives that comprise this Policy are classified as **external**, which are directly applicable to projects, and promote several Envision sustainability objectives. Other directives are mainly considered **internal**, related with the Bank's internal obligations associated with the screening and classification of operations to define applicable procedures and required documentation.

Indicators to measure risk exposure and vulnerabilities include a combination of quantitative and qualitative data. Baselines and minimum standards vary according to the level of risk of the country, sector, and specific characteristics of the project. Mitigation measures and DRM activities are defined in the loan agreement and are applied by the executing agency, while the Bank monitors and evaluates their implementation.

This Policy provides two lines of actions addressing: (A) the prevention and mitigation of disasters that occur as a result of natural hazards, through programming and proactive project work at regional, national and local levels; and (B) post disaster response to the impacts of natural hazard events and physical damage caused by other types of disasters.

This policy comprises five directives:

- A.1. Programming: Dialogue with borrowing member countries
- A.2. Risk and Project Viability: Identification and reduction of project risk
- B.1. Loan Reformulation: Redirecting resources from existing loans
- B.2. Reconstruction: Avoiding rebuilding vulnerability
- B.3. Humanitarian Assistance Limited Bank role

Policy A.1. seeks to include proactive disaster risk management issues in the dialogue agenda with borrowing member countries by assessing their vulnerability to natural disasters. This contributes to detecting vulnerabilities and establishing priority areas of intervention. This Policy is related with resilience credits that pursue to minimize vulnerabilities, such as CR2.2 *Avoid Traps and vulnerabilities* and CR.2.4 *Prepare for short-term hazards*. However, this Policy considers risk management at a country level and not at the project level.

Policy A.2. promotes the incorporation of DRM in a systematic manner during project preparation and execution to reduce risk to acceptable levels, both for the Bank and the borrower. Prevention and mitigation measures to decrease vulnerability should be included in the project design, especially in projects classified as high-risk. This approach relates to several credits of the Climate and Risk category, including: *CR2.1 Assess Climate Threat; CR2.2 Avoid Traps and Vulnerabilities; CR2.3 Prepare for Long-Term Adaptability; and CR2.4 Prepare for Short-Term Hazards.* A comprehensive climate impact assessment is not explicitly mentioned, however, because of the broad understanding of 'natural hazards' it is assumed that some of its aspects are included in the vulnerability assessments required for project completion.

Policy B.1. is only applicable to public sector projects and provides financing for post-disaster response to address the impacts of natural hazard events and physical damage. Loan reformulation includes the diversion of existing loan resources to specific activities within the same project or to another existing project. This Policy guides specific IDB financing procedures and is not related with any of the Envision credits.

Policy B.2. promotes the implementation of development efforts in the aftermath of disasters, while ensuring that rehabilitation and reconstruction projects would not rebuild or increase vulnerability. The recommended analytical tools and monitoring procedures are the same ones applicable to Policy A.2, therefore, the same credits are addressed for reconstruction projects (CR2.1; 2.2; 2.3; and 2.4).

Policy B.3. consists of emergency technical cooperation actions and is only applicable during or immediately after disaster events, when state of emergency or disaster has been officially declared by the local government. This Policy could contribute to strengthening institutional capacities, however, there is not enough information to establish a connection with any Envision sustainability objectives.

DISASTER RISK MANAGEMENT POLICY GUIDELINES (MARCH 2008)

The purpose of the present guidelines is to help Bank teams and borrowing member countries to implement Bank actions according to the principles of the Disaster Risk Management Policy. The guidelines will contribute to the mainstreaming of disaster risk management (DRM) into the Bank's programming exercises with the borrowers, particularly in high-risk countries.

Whenever significant risks due to natural hazards are identified in project preparation, appropriate measures should be taken to secure the viability of the project, including the protection of populations and investments affected by Bank-financed activities. The guidelines describe precautions to be taken to avoid rebuilding or increasing vulnerability during rehabilitation and reconstruction.

The guidelines apply to all natural hazards, including the hydro-meteorological hazards that are associated with both the existing climate variability and the expected change in long-term climate conditions. Of note for risk assessments, **climate change** is expected to change some countries' disaster risk (their probable losses) by changing the characteristics of the hydro-meteorological hazards.

Tools for climate risk assessments at the country and project levels, and measures for mitigating these increased risks to Bank investments (climate change adaptation) will be developed under Pillar 4 of the Bank's Sustainable Energy and Climate Change Initiative (SECCI) Action Plan.

INVOLUTARY SETTLEMENT IN IDB PROJECTS PRINCIPLES AND GUIDELINES (November 1999)

Overview

The first draft of the Resettlement Principles and Guidelines was completed in 1993, and the Board of Directors approved the Bank's policy on Involuntary Resettlement in 1998. The Bank's approach has evolved over the years resulting in the development of several different documents. This document presents the principles and strategies to be followed in the case of Bank-financed development projects that result in involuntary relocation and includes guidelines on the preparation of resettlement plans.

For this policy, **"Resettlement impacts"** means the direct physical and socioeconomic impacts of resettlement activities in the project and host areas. Therefore, the guidelines are meant to assist the Bank and borrowers in mitigating the negative impacts of compulsory relocation on individuals and communities, and the affected populations to establish a sustainable society and economy.

Objectives

The purpose of the principles and guidelines is to further the reconceptualization of involuntary resettlement from compulsory mitigation towards an opportunity for sustainable development.

The overall objective of resettlement should be to improve the living standards, physical security, productive capacity and income levels of all the people affected or, at the very least, to restore them to former levels within a reasonable period of time.

Policy Directives

I. Principles and objectives

- Avoid or Minimize Population Displacement
- Ensure Community Participation
- Regard Resettlement as an Opportunity for Sustainable Development
- Define Criteria for Compensation
- Provide Compensation at Replacement Cost
- Compensate the Loss of Customary Rights
- Provide Economic Opportunities for the Displaced Population
- Provide an Acceptable Level of Housing and Services
- Address Security Issues
- Consider Host Populations in Resettlement Plans
- Obtain Accurate Information
- Include Resettlement Costs in Overall Project Costs
- Consider the Appropriate Institutional Framework
- Establish Independent Monitoring and Arbitration Procedures

II. Baseline studies

- **Risk Analysis**

Including: Loss of land; Loss of employment opportunities; Loss of access to common resources; Marginalization; Marginalization, Homelessness, Increased morbidity and mortality, Disruption of social networks, Loss of cultural heritage, Interruption or loss of education.

- **Baseline Studies, Census and Surveys**
- Rapid assessment (numbers)
- Baseline Studies (geographic, demographic, socioeconomic)
- Census and Cadastral Survey
- Social Analysis (stakeholders)
- Urban and Rural Populations (different needs)
- Special Needs of Vulnerable Groups
- Women
- The Elderly
- Indigenous Peoples

III. The resettlement plan

A detailed resettlement plan should be prepared for any project involving the resettlement of more than twenty households.

Where large numbers of people are to be relocated, the resettlement plan should be accompanied by its own environmental impact assessment (EIA).

The resettlement plan should address three distinct areas:
1. Resettlement arrangements, including transport to the new site and temporary accommodation
2. Housing and service provision
3. Economic rehabilitation

Aspects to consider:
- Consultation and Community Participation
- Legal entitlements (right to information)
- Compensation Procedures
- Relocation sites
- Housing and Services
- Economic Development
- Cultural and Psychological Issues
- Legal and Institutional Framework
- Timetable
- Budget
- Monitoring and Evaluation
- Financial and Economic Analysis of the Resettlement Plan

IV. The project cycle

Procedures and requirements for project preparation, approval, implementation and quality analysis control in the case of projects that involve or may involve involuntary resettlement.

Profile I or Initial Eligibility Review
- Rapid Social Assessment (RSA)
- The Environmental and Social Impact Brief (ESIB)

Profile II or Initial Project Report

- Environmental Impact Assessment
- The Baseline Study

Project Development

- Preliminary Resettlement Plan
- The Environmental and Social Impact Report (ESIR)
- The Project Report
- Negotiation of the Loan Agreement
- Supervision of the Resettlement Program
- Project Evaluation (Project Completion Reports - PCR)

SAFEGUARDS AND ENVISION POLICY-BY-POLICY ANALYSIS

The purpose of this Policy is the reconceptualization of involuntary resettlement from compulsory mitigation to an opportunity for sustainable development. This policy comprises both **internal and external** directives to guide Bank procedures as well as borrowers, in the definition of resettlement plans. The relation with Envision is most of the times **indirect**, because Envision does not specifically address resettlement issues, however these issues are indirectly embedded as part of the potential social and economic impacts of an infrastructure project. Therefore, some general assumptions could be made.

Indicators to measure performance and monitoring include a combination of quantitative and qualitative data, which are part of the set of documents and procedures defined to measure the social and economic impacts of the resettlement plan. Minimum performance standards, however, are not defined. Baselines and standards vary according to requirements and procedures established in relation to the number of people displaced by the project and the specific characteristics of the affected population.

The main document is organized into four chapters: 1) Principles and Objectives, 2) Baseline Studies, 3) The Resettlement Plan, and 4) The Project Cycle. The first three chapters define the directives to guide the resettlement plan in order to help displaced populations develop sustainably. All these aspects are directly applicable to projects, and according to the specific topics addressed., their relation with Envision is direct or indirect. The fourth chapter includes procedures, and is mainly devoted to the definition of project cycle phases and related analytical tools and outcomes. Therefore, no connection with specific Envision credits or sustainability objectives was detected.

1) Principles and Objectives

- Avoid or Minimize Population Displacement
- Ensure Community Participation
- Regard Resettlement as an Opportunity for Sustainable Development
- Define Criteria for Compensation
- Provide Compensation at Replacement Cost
- Compensate the Loss of Customary Rights
- Provide Economic Opportunities for the Displaced Population
- Provide an Acceptable Level of Housing and Services
- Address Security Issues
- Consider Host Populations in Resettlement Plans
- Obtain Accurate Information
- Include Resettlement Costs in Overall Project Costs
- Consider the Appropriate Institutional Framework
- Establish Independent Monitoring and Arbitration Procedures

The overall objective of resettlement should be to improve the living standards, physical security, productive capacity and income levels of all the people affected by project developments. With this objective in mind, the principles that guide the resettlement program are strongly related with the Quality of life category, specifically the Purpose and Vulnerable Groups subcategories. A strong emphasis was detected in relation to economic recovery to promote long-term sustainable development. Related credits are *QL1.1 Improve Community Quality of Life; QL1.2 Stimulate sustainable growth and development;* and *QL1.3 Develop Local Skills and Capabilities*. On the other hand, the identification of the needs and the integration of meaningful input from the most vulnerable groups is actively recommended by the policy principles in order to guide the resettlement process, which relates them with *QL4.1 Identify and address the needs of women and diverse communities*.

The principles of the Leadership category are also identified in the resettlement principles. One aspect that is mentioned in several occasions is the need for community consultation and participation, both from the displaced and the host communities. This aspect is directly related with credit *LD1.4 Provide Stakeholder Involvement*. In relation to the provision of new housing, quality is not the sole considered parameter, but also the provision of services and infrastructure integration. This indirectly relates the policy with the values promoted by *LD2.2 Improve Infrastructure Integration*. The institutional framework is also considered, and the establishment of a special unit with budget and staff is recommended, both of which are indirectly related with credit *LD1.2 Establish a Sustainability Management System*.

2) Baseline Studies

- Risk Analysis
- Baseline studies, census and cadastral Survey
- Social Analysis (vulnerable groups)

The preparation of the required baseline studies requires expertise from various disciplines, particularly from the social sciences. Furthermore, as far as possible, the studies should be carried out in close consultation with the affected populations. This social perspective establishes a strong connection with aspects addressed by Envision in the Quality of Life category.

The **Risk Analysis** identifies the different factors that may cause the impoverishment of the displaced population and others that might be affected by the project. Among several factors, the loss of employment and cultural heritage are included, which relate to credits *QL1.2 Stimulate sustainable growth and development* and *QL3.1 Preserve Historic and Cultural resources*.

The **Baseline Studies** collect up-to-date, accurate quantitative and qualitative data to produce the socioeconomic characterization of the affected community, focusing primarily on income levels. This is fundamental in order to suggest appropriate housing solutions and compensations. On other hand, Census data and a Cadastral Survey may become the cutoff point for determining eligibility for resettlement benefits. All these studies contribute to informing project decision-making and design in order to ensure that negative social impacts are minimized or rightly compensated, as well as the sustainable growth and development of the community. Both of these aspects are related with credits *QL1.1 Improve Community Quality of Life* and *QL1.2 Stimulate sustainable growth and development*.

The Social Analysis provides an assessment of the different stakeholders affected by and/or have a legitimate interest in the project and the interrelationships among them. Special attention is given to the needs of the most vulnerable groups, including women, the elderly, and indigenous peoples. These aspects are directly related with the Quality of life Vulnerable Groups subcategory, specifically the credits *QL4.1 Identify and address the needs of women and diverse communities, 4.2 Stimulate and promote women's economic empowerment,* and *4.3 Improve access and mobility of women and diverse communities*, which seek to identify and address the needs of women and diverse communities, stimulate and promote women's economic empowerment, and improve access and mobility of women and diverse communities.

3) The Resettlement Plan

- Consultation and Community Participation
- Definitions
- Entitlements
- Compensation Procedures
- Relocation
- Housing and Services
- Economic Development (cultural resources)
- Cultural and Psychological Issues
- Legal and Institutional Framework
- Timetable
- Budget
- Monitoring and Evaluation
- Financial and Economic Analysis of the Resettlement Plan

A detailed Resettlement Plan (RP) should be prepared for any project involving the resettlement of more than twenty households. The plan needs to keep the right balance between a flexible approach to resettlement and the requirement for clearly defined criteria and

procedures. Social, institutional, and management considerations present in the RP are related to the Quality of Life and Leadership categories.

Special attention is given to **Consultation and Community participation**, as well as the right to information and transparency, both of which are directly related with credit *LD1.4 Provide for Stakeholder Involvement*. In relation to the provision of new housing, quality is accompanied by the integration of the project with other types of infrastructure and services, thus, indirectly relating it with *LD2.2 Improve Infrastructure Integration*.

Economic development and **cultural and psychological issues** are mainly related with the Purpose subcategory within Quality of Life, , which relates to economic development. Credits involved are *QL1.1 Improve Community Quality of Life, QL1.2 Stimulate sustainable growth and development,* and *QL1.3 Develop Local Skills and Capabilities*, which promote impacts mitigation and the sustainable economic development of the affected community. On the other hand, cultural and psychological issues are related to rehabilitating affected heritage assets through credit *QL3.1 Preserve Historic and Cultural resources*, and also addressing the needs of women and diverse communities, related to credits *QL4.1 Identify and address the needs of women and diverse communities,* and *QL4.2 Stimulate and promote women's economic empowerment*.

The consideration of the **Legal and Institutional Famework** in the RP is indirectly connected with two Leadership credits. First, the assessment of regulations and *LD3.2 Address Conflicting Regulations and Policies* are related, but this credit specifically correlates the analysis of regulations to sustainability objectives. Second, the definition of roles and responsibilities for the implementation of the plan indirectly relates with *LD1.2 Establish a Sustainability Management System*. However, this credit seeks to address sustainable issues and improve sustainable performance.

Finally, other elements, such as: **timetable, budget, monitoring and evaluation, and the financial and economic analysis of the resettlement plan** ensure that the plan can be carried out, contributing to planning for long-term monitoring and maintenance, which is address by Envision through *LD3.1 Plan for Long-Term Monitoring & Maintenance*.

4) The project cycle

This chapter intends to clarify the Bank's procedures and requirements for project preparation, approval, implementation, and quality control in the case of projects that involve or may involve involuntary resettlement. Even though these procedures are deeply intertwined with the considerations aforementioned, the sustainability objectives embedded in this Policy and their relation with Envision was already discussed in the previous chapters.

OPERATIONAL POLICY ON INDIGENOUS PEOPLES AND STRATEGY FOR INDIGENOUS DEVELOPMENT (July 2006)

Overview

With this policy the Bank seeks to support sociocultural development processes that are appropriate to the economy and governance of indigenous peoples, giving priority to territorial and cultural integrity, to a harmonious relationship with the environment, and to security in the face of vulnerability, while respecting the rights of indigenous peoples and individuals.

For the purposes of this policy, the term **"Indigenous Peoples"** refers to those who meet the following three criteria: (i) they are descendants from populations inhabiting Latin America and the Caribbean at the time of the conquest or colonization; (ii) irrespective of their legal status or current residence, they retain some or all of their own social, economic, political, linguistic and cultural institutions and practices; and (iii) they recognize themselves as belonging to indigenous or pre-colonial cultures or peoples.

The policy applies to the IDB and the MIF. Activities and instruments subject to the present policy include all Bank-supported operations and activities, including financial and nonfinancial products. The Regional Operations Department country divisions apply the policy procedures for

countries with indigenous populations of significant size, diversity, or vulnerability. All the countries of Latin America and the Caribbean are included, except Jamaica, Haiti, Trinidad and Tobago, Barbados, the Bahamas, and Uruguay.

Objectives

The objective of this policy is to enhance the Bank's contribution to the development of indigenous peoples by supporting the region's national governments and indigenous peoples in achieving the following objectives:
(a) Support the development with identity of indigenous peoples, including strengthening their capacities for governance.
(b) Safeguard indigenous peoples and their rights against adverse impacts and exclusion in Bank funded development projects.

Policy Directives

The policy contains two sets of directives. The first requires the Bank to use its best efforts to promote the development with identity of indigenous peoples. The second creates safeguards designed to prevent or minimize exclusion and adverse impacts that Bank operations might generate with respect to indigenous peoples and their rights.

A. Promoting Development with Identity

- Mainstreaming specifically indigenous issues in development agendas through independent operations.
- Mainstreaming indigenous specificity in projects with a general approach.

This includes technically feasible complementary measures to:

(i) Identify and target indigenous peoples that could potentially benefit.
(ii) Implement socio-culturally appropriate and effective consultation processes with these peoples.
(iii) Respect the traditional knowledge, cultural heritage, natural assets, social capital, and the systems specific to indigenous peoples with respect to social, economic, linguistic, spiritual and legal systems.
(iv) Adapt services and other activities to facilitate access to them by indigenous beneficiaries, including equitable treatment and, whenever feasible, adequate procedures and criteria, and programs for capacity building and compensation of exclusion factors.
(v) Design complementary measures and activities through a process of good faith negotiation with affected indigenous communities.

B. Safeguards in Bank Operations

- Adverse impacts:

(a) The Bank will require and verify that the project proponent conduct an evaluation to determine the seriousness of potential adverse impacts. This evaluation will include preliminary consultations with potentially affected indigenous peoples.

(b) When potential adverse impacts are identified, the Bank will require and verify that the project proponent incorporate the design and implementation of the measures necessary to minimize or prevent such adverse impacts.

(c) For cases of particularly significant potential adverse impacts that carry a high degree of risk to the physical, territorial or cultural integrity of the affected indigenous peoples or groups, the Bank will further require and verify that the project proponent demonstrate that it has, through a good faith negotiation process, obtained agreements regarding the operation and measures to address the adverse impacts.

- Territories, land, and natural resources:

(i) Prior consultation mechanisms to preserve the physical, cultural, and economic integrity of the affected peoples and the sustainability of the protected areas and natural resources;
(ii) Mechanisms for the participation of indigenous peoples in the utilization, administration and conservation of these resources;
(iii) Fair compensation for any damage these peoples might suffer as a result of the project; and (iv) whenever possible, participation in project benefits.

- Indigenous rights.
- Prevention of ethnically based discrimination.
- Indigenous culture, identity, language, and traditional knowledge.
- Trans-border indigenous peoples.
- Un-contacted indigenous peoples.

SAFEGUARDS AND ENVISION POLICY-BY-POLICY ANALYSIS

The broad perspective promoted by the Bank to facilitate indigenous development is specifically addressed by Envision in the Quality of Life, **Vulnerable Groups** subcategory. However, the holistic approach promoted by the Bank is related with a larger set of objectives that include many other aspects relevant to the general social and environmental impacts that might be caused by Bank-financed operations.

The guidelines for this Policy set forth the analytical tools and procedures required for compliance, in order to measure the effectiveness of projects in improving the living conditions of indigenous peoples. The Bank periodically evaluates the implementation of this policy and the achievement of its objectives through independent reviews. However, **indicators** to measure performance and monitoring vary depending on the cultural specificity, size, diversity, and vulnerability of the affected indigenous population, and the nature, scope, and intensity of impacts of the project. Therefore, minimum standards are not defined.

This Policy contains two main sets of directives. The first requires the Bank to use its best efforts to promote the development with identity of indigenous peoples, including strengthening their capacities for governance. The second creates safeguards designed to prevent or minimize exclusion and adverse impacts that Bank operations might cause with respect to indigenous peoples and their rights.

Policy Directives

- Promote development with identity
  - Mainstreaming specifically indigenous issues in development agendas through independent operations.
  - Mainstreaming indigenous specificity in projects with a general approach.
- Safeguards in Bank Operations
  - Adverse impacts (identify, assess, prevent, and mitigate).
  - Territories, land, and natural resources.
  - Indigenous rights.
  - Prevention of ethnically based discrimination.
  - Indigenous culture, identity, language, and traditional knowledge.
  - Transborder indigenous peoples.
  - Uncontacted indigenous peoples.

Promote development with identity refers to mainstreaming indigenous issues in country development agendas and projects. Special consideration is given to the elaboration of Participatory Diagnostic Studies, specifically to include their recommendations in the design of the projects, programs and technical cooperation. Complementary measures to benefit indigenous peoples include: (i) identify and target indigenous peoples (ii) implement socio-culturally appropriate and effective consultation processes with these peoples; (iii) respect the traditional knowledge, cultural heritage, natural assets, social capital, and the systems specific to indigenous peoples with respect to social, economic, linguistic, spiritual and legal systems; (iv) adapt services and other activities to facilitate access to them by indigenous beneficiaries. Envision credits related to these aspects include: *QL3.1 Preserve Historic and Cultural resources; QL3.2 Preserve Views and Local Character; QL4.1 Identify and address the needs of women and diverse communities; QL4.3 Improve access and mobility of women and diverse communities;* and *LD1.4 Provide for Stakeholder Involvement*.

The Bank will apply safeguards in a manner commensurate with the nature and intensity of each project's potential adverse impacts. For this purpose, technical criteria, procedures, and mechanisms necessary to identify, assess, and prevent or mitigate impacts are implemented. A strong emphasis is given to the participation of the indigenous communities in all aspects of the process. Consultation mechanisms and measures to preserve the physical, cultural, and economic integrity of the

affected peoples and the sustainability of protected areas and natural resources, as well as cultural resources are considered. In addition, measures to assure equal economic development opportunities for indigenous peoples, including training and education programs to eliminate barriers should also be included in projects. Envision credits related to the aforementioned aspects include: QL1.1 Improve Community Quality of Life; QL1.2 Stimulate sustainable growth and development; QL1.3 Develop Local Skills and Capabilities; QL3.1 Preserve Historic and Cultural resources; QL3.2 Preserve Views and Local Character; QL4.1 Identify and address the needs of women and diverse communities; QL4.3 Improve access and mobility of women and diverse communities; LD1.4 Provide for Stakeholder Involvement; and NW1.1 Preserve Prime Habitat.

This Policy is accompanied by an implementation guideline, which is divided in two sections. The first one addresses the 'Strategic measures for country strategy and programming processes', describing the measures to complete necessary studies and consultation to promote developments that respect the identity of indigenous peoples. The second one is focused on the 'Operational measures for the socio-environmental review during the project cycle', including measures to mitigate impacts and implement the policy's safeguards.

Policy Guidelines

- Strategic measures for country strategy and programming processes
- Operational measures for the socio-environmental review during the project cycle

The Strategic Measures apply to countries with significant size, diversity, or vulnerable indigenous populations. These measures are internal and focused on the screening and classification of operations to guide the policy's implementation.

The Operational Measures establish a step-by-step application of the IPP to determinate its applicability in accordance with the nature and scope of each project. If it is applicable, the procedures that the project team should follow and the documents to present in the different stages of its cycle are defined.

Sustainability objectives related to the evaluations and analytical documents that should be presented by the executing agency are related with the following Envision credits: *QL1.1 Improve Community Quality of Life; QL1.2 Stimulate sustainable growth and development; QL1.3 Develop Local Skills and Capabilities; QL3.1 Preserve Historic and Cultural resources; QL3.2 Preserve Views and Local Character; QL4.1 Identify and address the needs of women and diverse communities; LD1.1 Provide Effective Leadership & Commitment ; LD1.4 Provide for Stakeholder Involvement; NW1.1 Preserve Prime Habitat;* and *CR2.2 Avoid Traps and Vulnerabilities.*

Regarding indicators and monitoring, the project teams will select and include appropriate monitoring frameworks and indicators that facilitate the adequate monitoring of compliance and verification of the effectiveness of implementation. The baseline for the evaluation will be established during the project assessments, or based on data collected during the early stages of implementation. Considering the variability of indicators and baselines, it is not possible to effectively compare these principles with Envision levels of achievement.

OPERATING GUIDELINES INDIGENOUS PEOPLES POLICY (IPP) (October 2006)

<u>Procedures for implementing the IPP</u>

A. Strategic measures for country strategy and programming processes

- Applicability
- Preliminary analysis and technical study on indigenous issues
- Interdepartmental review
- Country dialogue
- Documentation

(i) Early inclusion of indigenous issues in technical dialogue and strategy documents;
(ii) Inclusion of a summary of agreements with the government on indigenous issues in the strategy and/or programming documents;
(iii) Technical inputs from the process, particularly the technical study.

B. Operational measures for the socio-environmental review during the project cycle

(i) Best efforts to mainstream opportunities for development with identity, for which inclusion is optional and seeks to increase the additionally of certain projects.
(ii) The necessary processes and measures to mitigate adverse impacts, for which inclusion is mandatory and seeks to ensure the sociocultural feasibility of projects that could adversely affect indigenous peoples.

B.1. General application of IPP requirements

- Preliminary evaluation of all operations: inputs for the Project Concept Document (PCD):

Information; Perspectives of affected peoples; Is the IPP applicable to the project; Preliminary evaluation of impacts and benefits; Identification of priority issues; Supplemental information; Project classification under the policy (A. Independent projects for indigenous peoples; B. Mainstreaming projects; C. Projects with safeguards); Determination of the analysis methodology; Preparation of the ESS; Committee on Environment and Social Impact (CESI).

- Analysis, approval, and differentiated implementation, based on classification of the project under the IPP:

A. Independent projects (no safeguards, PCD, ESS); B. Mainstreaming projects (consultation and complementary measures, Project report or Environmental and Social Management Report (ESMR); C. Projects with safeguards (PCD, ESS, Project analysis, Sociocultural evaluation report part of the EIA or EA, Mitigation framework, ESMR, Clauses for contractual documents, CESI review).

- Quality considerations for IPP processes:

A. Technical quality
B. Sociocultural adaptation

- Execution, monitoring, and evaluation of projects in accordance with the IPP:

- Indicators
- Monitoring
- Monitoring, Evaluation, Lessons learned

B.2. Special applications of the policy's requirements

- Technical cooperation operations
- Policy-based loans (PRLs)
- Financial intermediation operations and investment funds (FIOs)
- Projects in preparation
- CCLIPs, SWAPs, and PDLs
- Multiphase or "repeated loan" operations
- Co-financing operations

B.3. Exceptions to the policy's consultation requirements

a. When the indigenous peoples who might be affected by a project show no interest in participating in the consultation processes.
b. Cases in which the project proponent, in consultation with the project team, and the indigenous peoples affected agree on the need to extend the consultation and/or negotiation process beyond the date of project approval by the Board.
c. Isolated indigenous peoples.

OPERATIONAL POLICY ON GENDER EQUALITY IN DEVELOPMENT (November 2010)

Overview

In 1987, the Bank approved its Operational Policy on Women in Development, recognizing that the advancement of women was a priority development goal and undertaking to support the member countries in their efforts to achieve greater integration of women in all stages of the development process, and to improve their socioeconomic status. More than two decades into its implementation, this Policy needed to be updated in order to enhance the Bank's contribution to equality between men and women in Latin America and the Caribbean. This Operational

Policy on Gender Equality in Development replaces Operational Policy of 1987.

For the purposes of this Policy, **"Gender equality"** means that women and men enjoy the same conditions and opportunities to exercise their rights and reach their social, economic, political, and cultural potential. The Policy recognizes that the pursuit of equality requires actions aimed at equity, which implies providing and distributing benefits and/or resources in a way that narrows the existing gaps.

This Policy applies to the IDB and the MIF and covers the Bank's country strategies, as well as its development interventions via its financial operations in the public and private sector, technical-cooperation operations including operational inputs, and knowledge and institutional capacity-building products.

Objectives

The objective of the Policy is to strengthen the Bank's response to the goals and commitments of its member countries in Latin America and the Caribbean to promote gender equality and the empowerment of women. Moreover, the actions in fulfillment of this Policy will help to further the Bank's institutional priorities and its mission to accelerate economic and social development in its regional member countries.

Policy Directives

This policy identifies two lines of action:
(i) Proactive action, which actively promotes gender equality and the empowerment of women through all of the Bank's development interventions.
(ii) Preventive action, which introduces safeguards to prevent or mitigate adverse impacts on women or men due to gender resulting from the Bank's actions through its financial operations.

A. PROACTIVE ACTION

The Policy recognizes that gender inequalities interact with other inequalities that are based on socioeconomic, ethnic, and racial factors, exacerbating the barriers and vulnerabilities of poor, indigenous, and Afro-descendant women. For this reason, the Bank will pay particular attention to these groups.

(i) Direct investment in areas strategic to gender equality.
(ii) Mainstreaming the gender perspective in development interventions.

1. Direct investment in gender equality

a. Financial operations and technical-cooperation operations for operational inputs.

The Bank will give priority to direct investment in areas with a significant impact on gender equality and the empowerment of women, including equality in the labor market, addressing gaps in education that are increasingly affecting men, caring for persons (children, the ill, the disabled, or dependent older adults), social security reform, participation and leadership of women in decision-making, promotion of reproductive health, at-risk youth, and prevention of gender-based violence.

b. Technical-cooperation operations for knowledge and capacity-building products.

The Bank will promote generating the necessary information and analysis to support direct investment, test innovative proposals, or evaluate potentially successful interventions with a view to supporting evidence-based policy measures for gender equality. The Bank will promote building the institutional capacity of public and private stakeholders to promote gender equality.

2. Mainstreaming of gender equality

For the purposes of this Policy, gender mainstreaming is the process that seeks to have gender equality and the needs of women and men be heard and addressed in the design, implementation, monitoring, and evaluation of the Bank's interventions.

The Bank will seek out opportunities to include gender issues in sector studies that support the preparation of country strategies.

Considerations:
a. The human life cycle (age groups and needs)
b. The diversity of households and family structures
c. Gender differences in the use of time
d. Motherhood and fatherhood
e. The factors widening gender gaps and exclusions
f. The productive roles of women
g. Inequalities in terms of decision-making capacity and the exercise of power

Application of mainstreaming:
a. Financial operations and technical-cooperation operations for operational inputs.
b. Technical-cooperation operations for knowledge and capacity-building products.

B. PREVENTIVE ACTION

The Bank will conduct its financial operations so as to identify and address adverse impacts and the risk of gender-based exclusion, include women and men in consultation processes, and comply with applicable legislation relating to equality between men and women.

- **Adverse impacts:**

In designing its operations, the Bank will introduce measures to prevent, avoid, or mitigate any adverse impacts and/or risks of gender-based exclusion identified in the project risk analysis.

a. Introducing unequal requirements for access to project-derived economic opportunities and benefits.
b. Disregarding the right of women to inherit and own land, homes, and other assets or natural resources.
c. Introducing unpaid work unevenly.
d. Introducing conditions that restrict the participation of women or men in project activities and benefits based on pregnancy, maternity/paternity leave, or marital status.
e. Increasing the risk of gender-based violence.

- **Consultation and effective participation of women and men.**

The Bank will seek the equitable participation of women and men, as well as the participation of civil society organizations.

- **Women's rights**

The Bank will recognize, in any cultural or ethnic context, the right to equality between women and men, as well as the specific rights of women.

- **Application of safeguards and risk analysis**

If impacts are identified, the Bank will incorporate a gender analysis into its social impact and risk assessments. Where the analysis so indicates, the Bank will include measures in a timely manner to prevent or mitigate these impacts in the risk management plans and will monitor those measures.

SAFEGUARDS AND ENVISION POLICY BY POLICY ANALYSIS

Through this Policy, the Bank promotes the development and empowerment of women. This is specifically addressed by Envision in the Quality of Life, **Vulnerable Groups** subcategory. The considerations embedded in this Policy bring benefits not only to women, but also to the overall community. This fact expands the relation between this Policy and Envision to other sustainability objectives besides the ones addressed by the Vulnerable Groups subcategory.

The Policy includes a list of the **indicators** that have been identified in advance for monitoring the different lines of action. Indicators of proactive action items for gender equality include gender-related results by number and percentage in: country strategies; financial operations; operational inputs; and knowledge and capacity-building products. Indicators of preventive action items include gender-related results by number and percentage in loan operations that identify potential adverse gender impacts and include prevention or mitigation measures. These indicators facilitate the comparison with Envision levels of achievement, and this policy achieved the maximum levels established in the rating system for the related credits.

Regarding Policy monitoring, the Bank tracks and monitors the achievement of milestones, and reports on progress in implementing the Policy and related action plans through project monitoring reports and project completion reports.

This policy comprises directives organized in two lines of action: (i) proactive action, which actively promotes gender equality and the empowerment of women through all the Bank's development interventions; and (ii) preventive action, which introduces safeguards to prevent or mitigate adverse impacts on women or men due to gender resulting from the Bank's actions through its financial operations.

Policy Directives

A. Proactive Action
- Direct investment in gender equality
- Mainstreaming of gender equality

B. Preventive Action
- Mainstreaming of gender equality
- Consultation and effective participation of women and men
- Women's rights
- Application of safeguards and risk analysis

The Proactive Action directives promote direct investment in areas strategic for gender equality and mainstreaming the gender perspective in development interventions. Their aim is twofold. First, to address the specific needs of both women and men, recognizing that because of gender differences, women and men enjoy different advantages and face different barriers to participating in and benefiting from development. Second, to promote investment in the empowerment of women as a key factor in accelerating progress toward gender equality, recognizing that inequality affects women to a larger extent. This inclusive approach to promote the sustainable development of communities relates to several Envision credits: *QL1.1 Improve Community Quality of Life; QL1.2 Stimulate sustainable growth and development; QL1.3 Develop Local Skills and Capabilities; QL4.1 Identify and address the needs of women and diverse communities; QL4.2 Stimulate and promote women's economic empowerment; QL4.3 Improve access and mobility of women and diverse communities; LD1.1 Provide Effective Leadership & Commitment; LD1.4 Provide for Stakeholder Involvement;* and *LD3.2 Address Conflicting Regulations and Policies.*

The Preventive Action directives include the screening of gender-based risks to identify and address potential adverse impacts for women and men, and risks of exclusion based on gender. The project risk analysis includes different aspects, such as project-derived economic opportunities and benefits; women rights land, homes, and other assets or natural resources; equitable participation of men and women in the identified tasks; benefits based on pregnancy, maternity/paternity leave, or marital status; and risk of gender-based violence. Besides the aforementioned Envision credits, the project risk analysis also contributes to detecting social vulnerability, which is partially addressed by *CR2.2 Avoid Traps and Vulnerabilities*.

Incorporating gender-related results by number and percentage in the several operation reports outlines Policy Monitoring efforts. Envision's approach promotes monitoring the sustainable performance of the overall project, and not only monitoring gender-related program results. However, planning for monitoring is indirectly related with *LD3.1 Plan for Long-Term Monitoring & Maintenance*, which aims to ensure that the enhancement measures incorporated into the project can be carried out through a comprehensive monitoring plan and the allocation of sufficient resources.

This Policy is accompanied by a set of guidelines developed by the Bank to facilitate the implementation of the Policy directives. The guidelines document is organized in 5 major sections.

Policy Guidelines
- Strategic gender objectives
- Gender in country strategies and programming
- Integrating gender into bank operations
- Application of gender safeguards
- Monitoring the gender policy

Five **Strategic Gender Objectives** are defined as follows: Empower women economically; Reduce violence against women; Improve sexual and reproductive health; Reduce gender inequalities in education; Increase women's participation in decision-making; Reduce the burden

of caring on women. These principles directly relate with the following Vulnerable Groups credits: *QL4.1 Identify and address the needs of women and diverse communities; QL4.2 Stimulate and promote women's economic empowerment; QL4.3 Improve access and mobility of women and diverse communities*. The indicators defined by the Bank reach the maximum levels of achievement established by Envision. Another credit addressed is *QL1.3 Develop Local Skills and Capabilities*, however, this credit refers to expanding the knowledge and capacity of the overall community workforce, not exclusively women. All the aforementioned objectives promote stakeholder involvement, especially the consideration of women, by establishing meaningful programs focused on building a relationship with the community. This relates with the active stakeholder engagement and dialogue principles promoted *by LD1.4 Provide for Stakeholder Involvement*.

The guidelines related to **Gender in country strategies and programming** mostly refer to the studies on specific gender issues that need to be conducted to promote this subject in the ongoing dialogue between the Bank and the borrowing countries. Analytical tools and indicators are defined at the country-level, therefore, an evident relation with project-level actions promoted by Envision could not be detected. The objective of **Integrating gender into bank operations** section is to provide IDB staff with a practical guide for addressing gender throughout the project cycle of Bank operations. This section offers guidance to project teams, but there is no direct relation with Envision sustainable objectives.

Regarding the **Application of Gender Safeguards**, project teams are required to identify the potential for gender-based risks and adverse impacts throughout the project cycle. Three key areas for potential gender risks and safeguards are identified: Economic opportunities; Property rights; and Gender-based violence. Examples of mitigation measures for gender-based risks are addressed in the Vulnerable Groups category (QL4.1, QL4.2; QL4.3), but this Policy addresses a much broader range of gender-based risks than the ones considered by the Envision framework.

The **Gender Policy Monitoring Indicators** are the most important source for measuring progress on gender equality. They focus on monitoring gender-related results in the results matrices of Bank country strategies, financial operations, and technical cooperation grants. Multiple examples of criteria and disaggregated indicators by sex are provided in the guidelines. Planning for long-term monitoring contributes specifically to the implementation of actions that benefit the overall community. This aspect is rewarded in Envision in *LD3.1 Plan for Long-Term Monitoring & Maintenance*, but the credit considers the entire life cycle of projects.

IMPLEMENTATION GUIDELINES FOR THE OPERATIONAL POLICY ON GENDER EQUALITY IN DEVELOPMENT (September 2013)

1. Strategic Gender Objectives

- Empower women economically
- Reduce violence against women
- Improve sexual and reproductive health
- Reduce gender inequalities in education
- Increase women's participation in decision-making
- Reduce the burden of caring on women

2. Gender in country strategies and programming

A. Updating Country Knowledge: Preparation of Analytical Work and Sector Dialogues
B. Country Strategy Preparation and Implementation

3. Integrating gender into bank operations

A. Integrating Gender into Project Preparation and Incorporating Gender-Related Results

- Systematic Gender Analysis of Bank Operations
- Gender Mainstreaming in Project Components and Activities
- Developing Gender-Related Results
- Gender Mainstreaming Execution Agency Capacity
- Equal participation of women and men in project decision making and consultations

Documents: PP, ESR, POD, LP, DLGP

B. Integrating Gender into Execution and Supervision of Operations

- Ensuring gender-related results included in the Progress Monitoring Report (PMR/PSR) are reported on periodically

Documents: Operations Manual, POA, LRR, PMR, PSR

C. Integrating Gender into Project Closing and Evaluation
- Project Completion Report (PCR) - effectiveness, sustainability, safeguards, and findings / recommendations

Documents: PCR, Project Evaluation, XPSR

4. Application of gender safeguards

A. Identifying gender-based risks
- Economic opportunities
- Property rights
- Gender-based violence and STDs
- Communication of Women's Rights

B. Environmental and Social Impact Assessment (ESIA)

C. Gender Safeguards Screening

D. Mitigating and addressing gender-based risks:
- Environmental and Social Management Plan (ESMP)
- Environmental and Social Management Reports (for category A and B projects)

5. Monitoring the gender policy

A. Monitoring Gender-Related Results in Loans, Grants, and Country Strategies
B. Sex-Disaggregated Indicators
C. Other Institutional Indicators for Measuring Gender Equality and Women's Empowerment in IDB Operations

ACCESS TO INFORMATION POLICY (April 2010)

Overview

The Bank reaffirms its commitment to transparency in all aspects of its operations as a means of aligning itself with international best practice. Through implementation of this policy the Bank seeks to demonstrate its transparent use of public funds, and by deepening its engagement with stakeholders, to improve the quality of its operations and knowledge and capacity-building activities.

The policy will apply to information produced by the IDB and to specific information that is in the possession of the Bank, subject to a list of exceptions.

Policy Directives

- Principle 1: Maximize access to information.
- Principle 2: Narrow and clear exceptions.
- Principle 3: Simple and broad access to information.
- Principle 4: Explanations of decisions and right to review.

Standard of Disclosure

The Bank seeks to maximize access to information that it produces and will therefore disclose any information not contained on a list of exceptions.

Exceptions

a. Personal information.
b. Legal, disciplinary or investigative matters.
c. Communications involving Executive Directors.
d. Safety and security.
e. Information provided in confidence; intellectual property; and business/financial information.
f. Corporate administrative information.
g. Deliberative information.
h. Certain financial information.
i. Country-specific information.

j. Information relating to non-sovereign guaranteed operations.

Simultaneous Disclosure and Country Disclosure Requirements

- **Simultaneous disclosure of certain Board documents at the time of distribution to Board of Executive Directors**

Information classified as "Public" will be disclosed at the time it is distributed to the Board. Included among documents distributed to the Board by Management for consideration are draft Country Strategies, Sector Strategies, Operational Policies and Loan Proposals and Technical Cooperation Plans of Operation.

- **Borrower disclosure practice**

The Environment and Safeguards Compliance Policy provides that "as part of the environmental assessment process...appropriate information will be provided in location(s), format(s) and languages(s) to allow for affected parties to be meaningfully consulted."

Classification

The application of any classification other than "public" may only occur as a consequence of the information in question being subject to non-disclosure according to one of the policy's exceptions.

Declassification and Archives

The classification level assigned to information/documents will determine the schedule for disclosure, including the declassification of records under a three-tiered timeline after five, ten or 20 years. Information classified under the strictest confidentiality standard of the classification system will not be disclosed even after 20 years.

Overrides

The Bank may decide to provide access to certain specified types of information normally subject to one of the policy's exceptions, in extraordinary circumstances.

Review Mechanism

This policy creates a two-stage review mechanism for requesters who are denied access to information in the form of a) an interdepartmental Access to Information Committee, and b) in the event that the interdepartmental Committee were to deny the request, a three-member external panel.

Effective date

The provisions of this policy will take effect on January 1, 2011 with respect to information produced on or after that date.

Information to be disclosed in connection with Non-sovereign Guaranteed operations

- Initial Project Abstracts
- Environmental and Social Strategies (ESS)
- Environmental Impact Assessments (EIA)
- Strategic Environmental Analyses (SEA)
- Environmental Analyses (EA)
- Environmental and Social Management Reports (ESMR)
- Abstracts of Approved Projects

SAFEGUARDS AND ENVISION POLICY BY POLICY ANALYSIS

When compared with the other policies analyzed in this study, the relation between this policy and Envision is limited to a few specific aspects. Commitment to transparency to maximize access to documents and information is not an aspect that is directly addressed in Envision; nonetheless it should be pointed out that part of the sustainable objectives promoted by Envision are reinforced by this Policy.

Considering the indirect nature of the relation established between this Policy and Envision, no indicators or baselines are defined to measure and compare expected performance with levels of achievement.

This policy is based on the four following principles:

- Principle 1: Maximize access to information.
- Principle 2: Narrow and clear exceptions.
- Principle 3: Simple and broad access to information.

- Principle 4: Explanations of decisions and right to review.

By **Maximizing Access To Information**, this Policy indirectly promotes that borrowers establish sound and credible management and leadership systems to adequately address issues surrounding sustainability. Public and written commitments by the project owners to address economic environmental, and social aspects of the project at each project stage can contribute to improving its overall sustainability performance and meeting specific sustainability goals. Public documents can also contribute to promoting accountability of the commitments announced in relation to the project. This contributes to achieving project sustainability goals, which is addressed by Envision's *LD1.1 Provide Effective Leadership and Commitment*.

Narrow and clear exceptions, refers to exceptional circumstances when information should not be disclosed. For example, when the potential harm to interests, entities or parties arising from the disclosure of information would outweigh the benefits.

To facilitate **Simple and broad access to information** the Bank provides guidelines for maximizing access to information, including clear and cost-effective procedures and timelines for processing requests. In addition, appropriate information is provided in various location(s), format(s) and languages(s) to allow for affected parties to be meaningfully consulted in accordance with the Environment and Safeguards Compliance Policy. This is aligned with the principles of credit *LD1.4 Provide for Stakeholder Involvement*, which promotes stakeholder involvement in project decision-making.

Finally, in cases where access to information is denied to requesters, the Bank is committed to following the principles of the **Explanation of decisions and the right to review**.

The operational guidelines that accompany this Policy provide general guidelines and procedures for use by staff in implementing the Policy and the Classification and Declassification System and Review Process. Given the operative nature of this document, no relation with Envision's sustainability credits was detected.

ACCESS TO INFORMATION POLICY IMPLEMENTATION GUIDELINES (January 2011)

This document provides general guidelines and procedures for use by staff in implementing the new Policy and the Classification and Declassification System and Review Process. It is organized in eight sections. Following the introduction is a discussion of the responsibilities of various parties in the process of Disclosure. Section III outlines the procedures for Classification. Sections IV and V discuss procedures related to Disclosure and Declassification of Information, respectively. Section VI addresses the procedures related to review of decisions to deny public requests for Information. Section VII outlines Override procedures, and the final section discusses procedures related to responding to requests for Information, and where to go for help.

Appendix C: IDB'S Safeguards and Envision Comparison

IDB SAFEGUARDS					ENVISION					RELATION		
POLICY		INDICATOR	MONITORING	APP	CAT	CREDIT		INDICATOR	BASELINE	LEVEL OF ACHIEVEMENT		TYPE
		Analytical Tool	Tracking / Monitoring	INT / EXT	Category	Number	Name	Qualitative Quantitative	From performance above conventional to restoring natural or social systems	Pts	Category	Explicit/ Implicit
ENVIRONMENT AND SAFEGUARDS COMPLIANCE POLICY												
A. Mainstreaming environment	A.1. Mainstreaming Environment in Country Programming and Strategies	Country Strategy Papers / Country-level Environmental Analysis (CEA)	Variable according to the country strategy / Key indicators are included in the CEA	INT	QL	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	10	Superior	Implicit
						QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	2	Enhanced	
	A.2. Supporting Environmental and Natural Resources Management Operations	Country programming and country strategy development / Country-level analytical work / Sector-specific work / Financial tools / Nonfinancial products	Bank's official annual reports and the Sustainability Report.	INT	Cross sector	QL3.1	Preserve Historic and Cultural Resources	Qualitative	Identify, avoid, and mitigate impacts	1	Improved	Implicit
						LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	4	Enhanced	
						RA1.5	Divert Waste from Landfills	Quantitative	Recycle/reuse at least 25%	0	ND	
						RA2.2	Use Renewable Energy	Quantitative	10% from renewable energy	0	ND	
						NW1.1	Preserve Prime Habitat	Qualitative	Avoid development	9	Superior	
						NW1.2	Protect Wetlands and Surface Water	Quantitative	50-foot protection buffer	0	ND	
						NW1.5	Preserve Floodplain Functions	Qualitative	Avoid or mitigate impacts	2	Improved	
						NW3.1	Preserve Species Biodiversity	Qualitative	Identify and protect habitat	2	Improved	
						NW3.4	Maintain Wetland and Surface Water Functions	Quantitative	Enhance 1 ecosystem function	0	ND	
						CR1.1	Reduce Greenhouse Gas Emissions	Quantitative	Life-cycle carbon assessment	0	ND	
						CR1.2	Reduce Air Pollutant Emissions	Quantitative	Improve air quality standards	0	ND	
	A.3. Mainstreaming Environment Across Sectors	Project design/Strategic Environmental Assessments (SEAs Best practices, guidance documents, and training / Incentives	Project documents / Monitoring thorughout execution	INT	LD	LD2.2	Improve Infrastructure Integration	Qualitative	Narrow optimization focus - No exploration of synergies among components	7	Superior	Implicit
	A.4. Supporting Regional Initiatives and International Agreements	International environmental agreements	Not specified in the safeguards document	INT								No
	A.5. Tracking Environmental Sustainability Indicators	Country Analytical Work / Millennium Development Goals (MDGs)	Indicators and baseline information developed by the Bank	INT	LD	LD1.2	Establish a Sustainability Management System	Qualitative	Sparce mechanisms - Roles and responsibilities for addressing sustainability	4	Enhanced	Implicit
	A.6. Assessing Environmental Risks and Opportunities	CEAs / Country system assessments / SEAs	Variable depending on the country	INT	CR	CR2.2	Avoid Traps and Vulnerabilities	Qual / Quan	Basic Evaluation	2	Improved	Implicit
	A.7. Promoting Corporate Environmental Responsibility	Applicable to all IDB work places	Annual sustainability Review/Report	INT								No

B. Safeguard Policies and Directives	B.1. Bank Policies	IDB Cross-sectoral and sectoral policies	Compliance (verified by the Bank)	INT								No
	B.2. Country Laws and Regulations	Country environmental regulations / Multilateral Environmental Agreements (MEAs)	Basic assessment and compliance with the country regulations	EXT	LD	LD3.2	Address Conflicting Regulations and Policies	Qualitative	Basic assessment to correlate norms to sustainability objectives	1	Improved	Implicit
	B.3. Screening and Classification	General: SSF + PCD + ESS Cat. A: EA + EIA + SEA Cat. B: ESA + ESMP Cat. C: -	Assigning Safeguard Categories	INT								No
	B.4. Other Risk Factors	Risk Factors: SSF and PCD Public Projects: PPMR and PCR	Significant Risk Factors will be monitored during execution	INT	**Cross sector**	CR2.2	Avoid Traps and Vulnerabilities	Qual / Quan	Basic Evaluation	4	Enhanced	Implicit
						CR2.1	Assess Climate Threat	Document	Impact assessment and adaptation plan	15	Conserving	
						CR2.4	Prepare for Short-Term Hazards	Qual / Quan	Hazards assessment	3	Improved	
	B.5 Environmental Assessment Requireme	EIA / SEA / EA / SCA / Environmental Audits / ESMP / ESMR	Variable according to the classification of the project (A, B, C)	EXT	**Cross sector**	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Explicit
						QL1.2	Stimulate Sustainable Growth and Development	Qual / Quan	N of jobs created plus capacity additions	0	ND	
						QL3.1	Preserve Historic and Cultural resources	Qualitative	Identify, avoid, mitigate and impacts	0	ND	
						QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified, but no changes to the project	0	ND	
						LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	0	ND	
						LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	
						LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	
						LD3.2	Address Conflicting Regulations and Policies	Document	Basic assessment to correlate norms to sustainability objectives	0	ND	
						RA2.1	Reduce Energy Consumption	Quantitative	10% energy consumption reduction	0	ND	
						RA3.1	Protect Fresh Water Availability	Quantitative	Determinate use of fresh water during construction and operations - No inmediate negatives	0	ND	
						NW1.1	Preserve Prime Habitat	Qualitative	Avoid development	0	ND	
						NW1.2	Protect Wetlands and Surface Water	Quantitative	50-foot protection buffer	0	ND	
						NW3.1	Preserve Species Biodiversity	Qualitative	Identify and protect habitat	0	ND	
						NW2.2	Reduce Pesticide and Fertilizer Impacts	Qualitative	Application management - Runoff controls	0	ND	
						NW2.3	Prevent Surface and Groundwater Contamination	Qualitative	Prevention plans and protection systems	0	ND	
						CR1.2	Reduce Air Pollutant Emissions	Quantitative	Life-cycle carbon assessment	0	ND	

B. Safeguard Policies and DirectivesB. Safeguard Policies and Directives	B.6 Consultations	Project preparation: Cat. A: EA / Assessment Reports Cat. B: ESMP	Bank's review	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	6	Superior	Explicit
	B.7 Supervision and Compliance	ESMP	Monitoring reports / Mid-term reviews / PCR / Post Evaluation (if agreed)	INT	LD	LD1.2	Establish a Sustainability Management System	Qualitative	Sparce mechanisms - Roles and responsibilities for addressing sustainability	0	ND	Implicit
	B.8. Transboundary Impacts	EA / MEAs / ESMP	Mitigation and monitoring measures defined by the borrower.	INT	**Cross sector**	NW1.2	Protect Wetlands and Surface Water	Quantitative	50-foot protection buffer	0	ND	Explicit
						NW3.1	Preserve Species Biodiversity	Qualitative	Identify and protect habitat	0	ND	
						NW3.4	Maintain Wetland and Surface Water Functions	Quantitative	Enhance 1 ecosystem function	0	ND	
						CR1.1	Reduce Greenhouse Gas Emissions	Quantitative	Life-cycle carbon assessment	0	ND	
						CR1.2	Reduce Air Pollutant Emissions	Quantitative	Improve air quality standards	0	ND	
	B.9. Natural Habitats and Cultural Sites	SSF / EA / ESMP	The borrower develops mitigation and compensation measures acceptable to IDB.	EXT	**Cross sector**	QL3.1	Preserve Historic and Cultural Resources	Qualitative	Identify, avoid, and mitigate impacts	1	Improved	Explicit
						NW1.1	Preserve Prime Habitat	Qualitative	Avoid development	9	Superior	
						NW1.7	Preserve Greenfields	Quantitative	At least 25% greyfield	0	ND	
						NW3.1	Preserve Species Biodiversity	Qualitative	Identify and protect habitat	0	ND	
	B.10. Hazardous Materials	IPM + IVM + ESMP + PMP	Pest and vector management plans defined by the borrower.	EXT	**Cross sector**	NW2.2	Reduce Pesticide and Fertilizer Impacts	Qualitative	Application management - Runoff controls	1	Improved	Explicit
						NW3.2	Control Invasive Species	Qualitative	Locally appropiate and noninvasive	5	Superior	Explicit
	B.11. Pollution Prevention and Abatement	Country legislation / Source-specific emission and discharge standards recognized by MDBs (PPAH)/EA & ESMR	Compliance reports according to local legislation and recognized standards (PPAH).	EXT	**Cross sector**	RA2.1	Reduce Energy Consumption	Quantitative	10% energy consumption reduction	0	ND	Explicit
						RA2.2	Use Renewable Energy	Quantitative	10% from renewable energy	0	ND	
						CR1.1	Reduce Greenhouse Gas Emissions	Quantitative	Life-cycle carbon assessment	0	ND	
						CR1.2	Reduce Air Pollutant Emissions	Quantitative	Improve air quality standards	0	ND	
	B.12 Project Under Construction	SSF / ESS / EA	ESDD	INT								No
	B.13. Non-Investment Lending and Flexible Lending Instruments	SSF / PCD	Bank's loan supervision and evaluation	INT	LD	LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	0	ND	Implicit
						LD1.2	Establish a Sustainability Management System	Qualitative	Sparce mechanisms - Roles and responsibilities for addressing sustainability	0	ND	
						LD 3.2	Address Conflicting Regulations and Policies	Document	Basic assessment to correlate norms to sustainability objectives	0	ND	
	B.14. Multiple Phase and Repeat Loans	Impacts Assessments / PPMR / PCR	Bank's documentation review	INT								No

B. Safeguard Policies and DirectivesB. Safeguard Policies and Directives	B.15 Co-financing Operations	EA / ESMR	Collaboration between borrowers and lending institutions	INT								No
	B.16. In-country Systems	In-country safeguards system	The Bank verifies equivalence/acceptability of safeguards of a borrowing member country's systems	INT	LD	LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	0	ND	Implicit
						LD1.2	Establish a Sustainability Management System	Qualitative	Sparce mechanisms - Roles and responsibilities for addressing sustainability	0	ND	
						LD 3.2	Address Conflicting Regulations and Policies	Document	Basic assessment to correlate norms to sustainability objectives	0	ND	
	B.17 Procurement	Agreement with borrowers	Loan documents, operating regulations and bidding documents	EXT	RA	RA1.2	Support Sustainable Procurement Practices	Quantitative	15% or less is purchased from certified suppliers	0	ND	Explicit
DISASTER RISK MANAGEMENT POLICY												
A) Risk Management through Programming and Operations	A1. Programming: Dialogue with Borrowing Member Countries	Country DRA	Variable	EXT	CR	CR2.2	Avoid Traps and Vulnerabilities	Document	Basic Evaluation	0	ND	Implicit
						CR2.4	Prepare for Short-Term Hazards	Document	Hazards assessment	0	ND	Implicit
	A2. Risk and Project Viability: Identification and Reduction of Project Risk	All Projects: - SPF and SSF - ESS High risk projects: - DRA / DRM summary (in ESMR) Moderate-risk: - Limited DRA Low-risk Projects: - DRA not required	Mitigation measures and DRM activities are applied by the executing agency. The Bank monitors and evaluates implementation.	EXT	CR	CR2.1	Assess Climate Threat	Document	Impact assessment and adaptation plan	15	Conserving	Explicit
						CR2.2	Avoid Traps and Vulnerabilities	Document	Basic Evaluation	2	Improved	
						CR2.3	Prepare for Long-Term Adaptability	Qualitative	Highly resilient and adaptive design	16	Conserving	
						CR2.4	Prepare for Short-Term Hazards	Document	Hazards assessment	3	Improved	
B) Post Disaster Operations	B1. Loan Reformulation: Redirecting Resources From Existing Loans	Declaration of State of Emergency - Technical analysis - Socio-economic analysis - Evaluation of institutional capacities	The bank will collect data for monitoring and evaluation. For reconstruction an audit is required.	INT								No
	B2. Reconstruction: Avoiding Rebuilding Vulnerability	Same as A.2.	Same as A.2.	EXT	CR	Same as A.2.						Explicit
	B3. Humanitarian Assistance Limited Bank Role	Post-disaster emergency technical cooperation	No information	INT								Implicit
INVOLUNTARY RESETTLEMENT IN IDB PROJECTS												
I. PRINCIPLES AND OBJECTIVES	Avoid or Minimize Population Displacement			EXT								No
	Ensure Community Participation	Provision of information / Effective consultation	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	9	Superior	Explicit
	Regard Resettlement as an Opportunity for Sustainable Development	Compensation Measures	ND	EXT	QL	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Explicit
						QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	2	Enhanced	Explicit
	Define Criteria for Compensation	Legal definitions		EXT								No
	Provide Compensation at Replacement Cost	Offer a range of choices		EXT								No

I. PRINCIPLES AND OBJECTIVES	Compensate the Loss of Customary Rights	Absence of legal titles		EXT								No
	Provide Economic Opportunities for the Displaced Population	Opportunities for employment	ND	EXT	QL	QL1.3	Develop Local Skills and Capabilities	Qualitative	Cost efficient - Hire and tarin local workers as needed	12	Conserving	Explicit
						QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	2	Enhanced	Explicit
	Provide an Acceptable Level of Housing and Services	Improve the quality of housing and service provision.	ND	EXT	LD	LD2.2	Improve Infrastructure Integration	Qualitative	Narrow optimization focus - No exploration of synergies among components	0	ND	Implicit
	Address Security Issues	Community consultation and participation	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Implicit
	Consider Host Populations in Resettlement Plans	Participation of host communities	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	9	Superior	Explicit
	Obtain Accurate Information	Stakeholder analyisis (social, economic and ethnic)	ND	EXT	QL	QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	4	Conserving	Explicit
	Include Resettlement Costs in Overall Project Costs	Ensure that resettlement is executed in coordination with construction.		EXT								No
	Consider the Appropriate Institutional Framework	Stablish a special unit (budget and staff)	ND	EXT	LD	LD1.2	Establish a Sustainability Management System	Qualitative	Sparce mechanisms - Roles and responsibilities for addressing sustainability	0	ND	Implicit
	Establish Independent Monitoring and Arbitration Procedures	Monitor compensation procedures	ND	EXT								No
II. BASELINE STUDIES	Risk Analysis	Identify potential risk (empoverishment)	ND	EXT	QL	QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	2	Enhanced	
						QL3.1	Preserve Historic and Cultural resources	Qualitative	Identify, avoid, and mitigate impacts	1	Improved	
	Baseline Studies, Census and Cadastral Survey	Rapid Assessment / Baseline Studies / Census and Cadastral Survey	Requirements and methodology vary from project to project. The RA can serve as a baseline for the monitoring and evaluation.	EXT	QL	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	10	Superior	Implicit
						QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	2	Enhanced	
	Social Analysis (Vulnerable Groups)	Urban and rural populations / Vulnerable groups / Women / Elderly / Indigenous Peoples	ND	EXT	QL	QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	3	Superior	Explicit
						QL4.2	Stimulate and Promote Women's Economic Empowerment	Qualitative	Projects focus (jobs created during design and construction)	2	Enhanced	
						QL4.3	Improve Access and Mobility of Women and Diverse Communities	Qualitative	Projects focus (diverse groups present at meetings)	3	Superior	
III. THE RESETTLEMENT PLAN (EIA)	Consultation and Community Participation	Community participation strategy / Public information strategy	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	9	Superior	Explicit
	Definitions			EXT								
	Entitlements	Human rights	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	1	Improved	Explicit
	Compensation Procedures	Legal basis / Timetable	ND	EXT								No
	Relocation	Site selection	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	9	Superior	Explicit

III. THE RESETTLEMENT PLAN (EIA)	Housing and Services	Housing projects	ND	EXT	LD	LD2.2	Improve Infrastructure Integration	Qualitative	Narrow optimization focus - No exploration of synergies among components	0	ND	Implicit
	Economic Development (Cultural Resources)	Provide opportunities for development / Economic rehabilitation program	ND	EXT	QL	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Explicit
						QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	2	Enhanced	
						QL1.3	Develop Local Skills and Capabilities	Qualitative	Cost efficient - Hire and tarin local workers as needed	12	Conserving	
	Cultural and Psychological Issues	Reconstruction and rehabilitation of affected patrimony	ND	EXT	QL	QL3.1	Preserve Historic and Cultural Resources	Qualitative	Identify, avoid, and mitigate impacts	1	Improved	Explicit
						QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	4	Conserving	
						QL4.2	Stimulate and Promote Women's Cconomic Empowerment	Qualitative	Projects focus (jobs created during design and construction)	2	Enhanced	
	Legal and Institutional Framework	National, regional or municipal legislation / Roles and responsibilities	ND	EXT	LD	LD3.2	Address Conflicting Regulations and Policies	Document	Basic assessment to correlate norms to sustainability objectives	0	ND	Implicit
						LD1.2	Establish a Sustainability Management System	Qualitative	Sparce mechanisms - Roles and responsibilities for addressing sustainability	0	ND	
	Timetable			EXT	LD	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Implicit
	Budget			EXT	LD	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Implicit
	Monitoring and Evaluation	Quarterly and annual Progress Reports / Ex post evaluation	Reports by the implementing agency / For larger resettlement projects, an independent agency		LD	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Explicit
	Financial and Economic Analysis of the Resettlement Plan	Economic evaluation	Flexible according to the project	EXT	LD	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Implicit
IV. THE PROJECT CYCLE	Types of Bank Operations	Applicable to all Bank operations		INT								No
	Private Sector Operations			INT								No
	Steps in the Project Cycle	Diagnostic studies / Resettlement plans		INT								No
	1. Project Identification: Profile I or Initial Eligibility Review	Rapid Social Assessment (RSA) / Terms of reference for additional studies The Environmental and Social Impact Brief (ESIB) / EIA	ND	EXT								No
	1. Project Identification: Profile II or Initial Project Report	Consultations / TORs (for EIA, baselines studies, resettlement plan) / EIA / Environmental and Social Impact Report (ESIR) / Baseline Study	Variable according to the project and related documents	EXT								No
	2. Project Development	EIA / Baseline study / Preliminary Resettlement Plan	ND	EXT								No
	3. Analysis	The Environmental and Social Impact Report (ESIR) / Project Report / Final Resettlement Plan	ND	EXT								No
	4. Negotiation of the Loan Agreement	Loan Agreement (Quantitative targets and timetable)	Reporting and monitoring should be incorporated in the Loan Agreement	INT								No
	5. Project implementation: Supervision of the Resettlement Program	Progress Reports / Supervision reports	The resettlement program is regularly supervised by the Bank during implementation.	INT								No

	6. Project Evaluation		Project Completion Reports - PCR / Ex-post evaluation	ND	INT								No
INDIGENOUS PEOPLES POLICY (IPP)													
Policy Directives	Promote Development With Identity	Mainstreaming specifically indigenous issues in development agendas through independent operations.	Participatory diagnostic studies	Design of projects, programs, and technical cooperation operations.	INT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Explicit
		Mainstreaming indigenous specificity in projects with a general approach	ND	ND	INT	**Cross Sector**	QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	0	ND	Explicit
							LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Explicit
							QL3.1	Preserve Historic and Cultural resources	Qualitative	Identify, avoid, and mitigate impacts	0	ND	Explicit
							QL3.2	Preserve Views and Local Character	Qualitative	Plan including preservation of natural landscape features	0	ND	Explicit
							QL4.3	Improve Access and Mobility of Women and Diverse Communities	Qualitative	Projects focus (diverse groups present at meetings)	0	ND	Explicit
	Safeguards in Bank Operations	Adverse impacts (identify, assess, prevent, and mitigate)	Evaluation of potential adverse impacts	Procedures and operational measures	EXT	QL	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Explicit
							QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	0	ND	Explicit
		Territories, land, and natural resources	Applicable legal norms / Conusltations / Compensations	ND	EXT	**Cross Sector**	QL3.2	Preserve Views and Local Character	Qualitative	Plan including preservation of natural landscape features	0	ND	Explicit
							NW1.1	Preserve Prime Habitat	Qualitative	Avoid development	0	ND	
		Indigenous rights	Legal norms	ND	EXT	QL	QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	0	ND	Implicit
		Prevention of ethnically based discrimination	Information / Training Programs	ND	EXT	QL	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Implicit
							QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created	0	ND	
							QL1.3	Develop Local Skills and Capabilities	Qualitative	Cost efficient - Hire and tarin local workers as needed	0	ND	
		Indigenous culture, identity, language, and traditional knowledge	Protection measures	ND	EXT	QL	QL3.1	Preserve Historic and Cultural resources	Qualitative / Quantitative	Identify, avoid, and mitigate impacts	0	ND	Implicit
		Transborder indigenous peoples	Consultation	ND	EXT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Implicit
		Uncontacted indigenous peoples											No
IMPLEMENTATION IPP													
Section A: Strategic Measures for Country Strategy and Programming Processes			Preliminary analysis and technical study on indigenous issues	Strategic priorities / Normative and institutional conditions	INT								No
			Interdepartmental review (technical notes)	Reviewed by the Ban	INT								No

Section A: Strategic Measures for Country Strategy and Programming Processes			Country dialogue (technical notes): A. Independent projects for indigenous peoples B. Mainstreaming projects C. Projects with safeguards	Information and documentation to internalize indigenous issues	INT								No
			Documentation	Indigenous issues; Summary of agreements; technical inputs	INT								No
Section B: Operational Measures for the Socioenvironmental Review During the Project Cycle.	**1. General Application of IPP Requirements**	Preliminarly evaluation	Prepare PCD/ESS-Submit to CESI	Analysis, approval, and differentiated implementation, based on classification of the project under the IPP.	EXT	**Cross Sector**	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Explicit
		Analysis, due diligence	ESS / Sociocultural evaluation report (EIA or EA) / Consultations / Agreements / Mitigation Framework (ESMR or ESMP)				QL1.2	Stimulate Sustainable Growth and De	Qualitative / Quantitative	N of jobs created plus capacity additions	0	ND	
							QL1.3	Develop Local Skills and Capabilities	Qualitative	Cost efficient - Hire and tarin local workers as needed	0	ND	
							QL3.1	Preserve Historic and Cultural resour	Qualitative	Identify, avoid, and mitigate impacts	0	ND	
							QL3.2	Preserve Views and Local Character	Qualitative	Plan including preservation of natural landscape features	0	ND	
							QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	0	ND	
							LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	0	ND	
							LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	
							NW1.1	Preserve Prime Habitat	Qualitative	Avoid development	0	ND	
							CR2.2	Avoid Traps and Vulnerabilities	Document	Basic Evaluation	0	ND	
		Final preparation and approval of the mitigation framework	ESMR (mitigation Framework)	Contractual documents, select monitoring variables and tools	INT								No
		Execution, monitoring, and evaluation of projects in accordance with the IPP	Project's contractual documentation	Variable according to the project	EXT	LD	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Implicit
	2. Special Applications of the Policy's Requirements	Technical cooperation operations, loans to finance nontraditional investments			INT								No
	3. Exceptions to the Policy's Consultation Requirements				INT								No
OPERATIONAL POLICY ON GENDER EQUALITY IN DEVELOPMENT													
			a. Financial	Gender-related			QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	Implicit

POLICY DIRECTIVES							QL4.3	Improve Access and Mobility of Women and Diverse Communities	Qualitative	Projects focus (diverse groups present at meetings)	5	Restorative	Explicit
							LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	0	ND	Implicit
							LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Implicit
							LD3.2	Address Conflicting Regulations and Policies	Document	Basic assessment to correlate norms to sustainability objectives	0	ND	Implicit
	B. Preventive Action	* Adverse impacts * Consultation and effective participation of women and men * Women's rights * Application of safeguards and risk analysis	Project risk analysis. Consultation and effective participation Application of safeguards	Measures to prevent, avoid, or mitigate any adverse impacts and/or risks of gender-based exclusion identified in the project risk analysis.	EXT	**Cross sector**	QL1.1	Improve Community Quality of Life	Qualitative	No adverse impacts	0	ND	
							QL1.2	Stimulate Sustainable Growth and Development	Qualitative / Quantitative	N of jobs created plus capacity additions	0	ND	
							QL1.3	Develop Local Skills and Capabilities	Qualitative	Cost efficient - Hire and tarin local workers as needed	0	ND	
							QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	4	Conserving	Explicit
							QL4.2	Stimulate and Promote Women's Economic Empowerment	Qualitative	Projects focus (jobs created during design and construction)	4	Conserving	
							QL4.3	Improve Access and Mobility of Women and Diverse Communities	Qualitative	Projects focus (diverse groups present at meetings)	5	Restorative	
							LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	
							CR2.2	Avoid Traps and Vulnerabilities	Document	Basic Evaluation	0	ND	Implicit
POLICY MONITORING	Indicators / Reports	Proactive Action: country strategies; financial operations; operational inputs; and knowledge and capacity-building products Preventive Action: loan operations	ND	Gender-related results by number and percentage	INT	**LD**	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Implicit
IMPLEMENTATION GE													
STRATEGIC GENDER OBJECTIVES	Empower Women Economically		Results matrixes	Gender-related results	EXT	**Cross sector**	QL1.3	Develop Local Skills and Capabilities	Qualitative	Cost efficient - Hire and tarin local workers as needed	12	Conserving	Explicit
	Reduce Violence Against Women						QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	4	Conserving	Explicit
	Improve Sexual and Reproductive Health						QL4.2	Stimulate and Promote Women's Economic Empowerment	Qualitative	Projects focus (jobs created during design and construction)	4	Conserving	Explicit
	Reduce Gender Inequalities in Education						QL4.3	Improve Access and Mobility of Women and Diverse Communities	Qualitative	Projects focus (diverse groups present at meetings)	5	Restorative	Explicit
	Increase Women's Participation in Decision-Making						LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Implicit
	Reduce the Burden of Caring on Women												
GENDER IN COUNTRY STRATEGIES AND PROGRAMMING	A. Updating Country Knowledge: Preparation of Analytical Work and Sector Dialogues		Stand-alone analytical work / Mainstreaming gender	Number and % of country strategies that include gender-related results in their results matrix	INT								No
	B. Country Strategy Preparation and Implementation		Country Strategy Document / Country Dialogue										

INTEGRATING GENDER INTO BANK OPERATIONS	A. Integrating Gender into Project Preparation and Incorporating Gender-Related Results	Systematic Gender Analysis of Bank Operations	PP, ESR, POD, LP, DLGP	Gender-related results in results matrix of financial operations, technical cooperation, and grants. SMART gender-related results and indicators	INT								No
		Gender Mainstreaming in Project Components and Activities			INT								No
		Developing Gender-Related Results			INT								No
		Gender Mainstreaming Execution Agency Capacity			INT								No
		Equal participation of women and men in project decision making and consultations			INT								No
	B. Integrating Gender into Execution and Supervision of Operations	Ensuring gender-related results included in the Progress Monitoring Report (PMR/PSR) are reported on periodically	Operations Manual, POA, LRR, PMR, PSR		INT								No
	C. Integrating Gender into Project Closing and Evaluation	Project Completion Report (PCR) - effectiveness, sustainability, safeguards, and findings / recommendations	PCR, Project Evaluation, XPSR		INT								No
APPLICATION OF GENDER SAFEGUARDS	Identifying Gender-Ba	Economic opportunities	Identify gender-based risks / ESIA / Gender Safeguards Screening / ESMP / ESMR (Categories A and B projects)	Number and % of loan operations that identify potential adverse gender impacts and include mitigation measures	EXT	QL	QL4.1	Identify and Address the Needs of Women and Diverse Communities	Qualitative	Groups identified (no meaningful changes to the project)	4	Conserving	Explicit
		Property rights					QL4.2	Stimulate and Promote Women's Economic Empowerment	Qualitative	Projects focus (jobs created during design and construction)	4	Conserving	Explicit
		Gender-based violence					QL4.3	Improve Access and Mobility of Women and Diverse Communities	Qualitative	Projects focus (diverse groups present at meetings)	5	Restorative	Explicit
MONITORING THE GENDER POLICY	A. Monitoring Gender-Related Results in Loans, Grants, and Country Strategies		Gender related results in results matrix (DEM) / Project monitoring reports	Indicators to measure the Bank's effort to comply with the Policy / indicators for measuring fulfillment of the targets in the action plan	INT	LD	LD3.1	Plan for Long-Term Monitoring & Maintenance	Document	Plan outline	0	ND	Implicit
	B. Sex-Disaggregated Indicators												
	C. Other Institutional Indicators for Measuring Gender Equality and Women's Empowerment in IDB Operations												
ACCESS TO INFORMATION POLICY													
PRINCIPLES	Principle 1: Maximize Access to Information		ESS / PP / ESMR / EIA / EA / Institutional Information / Financial and legal Information / Others	NA	INT	LD	LD1.1	Provide Effective Leadership & Commitment	Qualitative	General sustainability policy statements	0	ND	Implicit
	Principle 2: Narrow and Clear Exceptions		Exceptional circumstances		INT								No
	Principle 3: Simple and broad access to information		Appropiate information / languages / location / format	NA	INT	LD	LD1.4	Provide for Stakeholder Involvement	Qualitative	Information transfer	0	ND	Implicit
	Principle 4: Explanations of decisions and right to review		NA	NA	INT								No

Appendix D: Summary of Interviews with Safeguard Speclalists

* C01 – No safeguards specialist available for this study

	QUESTIONS	C02	C03	C04	C05	C05	C06	C07	C08	C09
		Wind Farm	Solar PV	Airport	Wind Farm	Wind Farm	Combined Cycle Power Plant	Highway	Industrial Development	Natural Resources and Resettlement
		UR-L1080	CH-L1069	EC-L1005	ME-L1068	ME-L1068	UR-L1070	BR-L1228 / BR-L1296 / BR-L1302	HA-L1055 / HA-L1076 / HA-L1081 / HA-L1091	BR-L1241
		Steven Collins	Jose Luis De la Bastida	Ernesto Monter Flores	Emmanuel A.Boulet	Angela Miller	Oscar Luis Camé	Maria da Cunha	Serge Troch	Ernani Pilla
	Benefits and Costs of applying ESS									
1	**Benefits of applying ESS**									
	Avoid costs and delays in projects resulting from social and environmental conflicts		X	X	All of them, depending on the project.	X		X		
	Create better projects by mitigating social and environmental risks	X	X			X	X	X	X	X
	Achieve the Bank's sustainable development goals						X			X
	Help developing countries build institutions, achieve development goals and international obligations	X						X	X	
	Engage local communities and civil society to assume ownership of projects	X				X				
	Reduce the vulnerability of communities to certain projects and improve livehoods						X		X	
	Foster sustainable development in the future by ensuring the creation of sustainable projects			X						
	Positive impacts on development, social, and environmental outcomes		X	X						X
	Other:	All aspects are important.		Build capacities for the client / recipient of the loan.		All of them are important, but the others are more indirect.				
2	**Costs of Environmental and Social Safeguards**									
	Perception that applying safeguards contribute to costly project			X	All of them, depending on the project and the client.		X	X	X	X
	They are seen as impositions on borrowing countries, creating resistance	X	X				X			X
	Requirements include time-consuming lengthy studies usually at the client's cost	X	X	X		X		X	X	
	Lengthy consultations with affected parties result in delays					X		X		
	Extensive mitigation measures hinder the timely implementation of the project	X	X							

	Requirements supersede national laws, a troubling point for many clients			X		X	X		X	
	Other:	All aspects are important.								Challenging/complex to design and implement in small and mid sized private sector projects.
	Relation with clients									
3	**Recognize and enhance the national regulations and institutional capacities?**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Sometimes**
4	**Clients want to avoid all or part of a project because of safeguard policies?**	**No**	**No**	**Yes & No**	**Yes**	**Yes**	**Yes & No**	**Yes**	**No**	**Sometimes**
5	**Should ESS rely more on the borrower country's regulations?**	**No**	**No**	**No**	**No**	No	**Yes**	**Yes**	**No**	**Yes**
	ESS approach									
6	**Do you think that a more integrated approach is necessary?**	**Yes**	**Yes**	**Yes**	**Yes**	**No**	**Yes**	**Yes**	**Yes**	**No**
7	**Is an over-arching policy statement necessary?**	**No**	**Yes**	**Yes**	**Yes**	**No**	**Yes**	**No**	**Yes**	**Yes**
8	**Should independent monitoring (3rd party) and ex-post assessments be required?**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**
9	**Areas for ESS improvement:**									
	Labor, health, and safety (worker and communities)	X	X		X	X	X	X	X	
	Resources utilized (environmental efficiency)	X	X		X			X	X	
	Climate change and adaptation	X	X	X		X	X	X		X
	Others	Disaster risk	Community integration		Broader coverage of social aspects (risk of discrimination; supply chain)	Disaster risk management	Define and improve consultation processes.	Improve social impact assessment		
		Update resettlement policy	Define and improve consultation processes.		Higher/more stringent standards (biodiversity, indigenous peoples)		Update resettlement policy	Communities safety aspects		
		Include the complete life cyle of the project.			Stakeholders' engagement and grievance redress mechanism.			Scope of the environmental assessment		
								Requirements for supervision and audit during operations		
								Independent ex post evaluation		
	Project Specific									
10	**Main impacts / risks of the project**									
	Impacts on local livelihoods		X		X			X	X	X
	Displacement of communities							X	X	X
	Increase gender inequalities								X	
	Increase socioeconomic vulnerabilities									X
	Deforestation									
	Natural resource exploitation (water and energy)						X			
	Land-use change	X	X	X				X		X
	Environmental risks	X	X				X		X	X
	Destruction of biodiversity and high-value ecosystems	X		X	X	X		X		
	Fossil-fuel intensive use						X			
	Accelerate global climate change									
	Air pollution		X				X	X		
	Others:	The transmission line was the main impact of the project.		Noise pollution	Killing birds (migratory corridor). Noise pollution. Visual pollution.				Health and safety of workers and community. Transportation Waste management Food safetly	In this project relocation was an objective and not a consecuence.
11	**• Main positive impacts of the project**									
	Quality of Life									
	Improve quality of life of communities	X	X			X	X	X	X	X
	Promote long-term economic development and social welfare	X		X			X	X	X	X
	Access to education, jobs and health care					X				

	Preserve floodplain function							X		
	Preserve waterbodies and aquatic ecosystems		X					X	X	
	Preserve species biodiversity	X				X		X	X	
	Control invasive species							X	X	
	Prevent water contamination	X	X	X			X	X	X	
	Reduce pesticide and fertilizer impacts		X					X		
	Climate and Risks									
	Reduce GHG emissions	X	X		X	X	X	X		
	Reduce air pollutants	X	X		X	X	X	X		
	Prepare for short term hazards			X		X	X	X	X	
	Prepare for long term hazards								X	X
	Other									
12	**In your opinion, positive impacts were a result of the application of safeguards?**	**Yes**	**Partially**	**Yes**	**No**	**Yes**	**No**	**Yes**	**Yes**	**Yes**
	If 'No' or 'Partially', please mention the reasons of the positive impacts of the project:									
	Actions of safeguards specialists						X			X
	Typology of the project		X		X		X			
	Country standards and legal framework						X	X		
	Other	ESS included alternatives to minimize the impacts of the transmission line and public consultations that led to mitigation measures for the affected community.		ESS considered environmental studies beyond national regulation, improved health and labor requirements, and built new capacities.		All is connected. Safeguards were especially helpful to contribute to the relation with the communities.	More stringent models for air pollutants. Uruguay's health and safety standards for workers are above the ones specified by the ESS.	The application of ESS enhanced the positive impacts. Prevention approach instead than an ex-post approach.	The resettlement plan ensured right compensation for displaced families. Environmental mitigation measures (Caracol Bay Park).	The integration of the gender equality policy was an achievement of the safeguards team. The program became a model in this regard.
13	**Name instances where performance was less than expected.**									
	Quality of Life (Community)								X	
	Leadership (Management and Planning)						X		X	
	Resource Allocation (Materials, energy, water utilized)							X	X	X

Protect historic and cultural resources									
Women empowerment									X
Integration of indigenous people									
Minimize nuisances (noise and vibration)							X		
Improve community mobility and access			X						
Enhance public space						X			
Leadership									
Improve institutional capacities	X	X	X			X	X	X	
Establish a sustainable management system	X		X		X		X		
Promote stakeholder involvement	X		X		X	X	X	X	X
Improve infrastructure integration		X				X	X		
Resource Allocation									
Better waste management	X	X	X		X		X		X
Reduce water consumption		X							
Use materials with recycled content									
Support sustainable procurement practices									
Reduce energy consumption	X	X				X			
Use renewable energy for operations	X	X			X				
Others:							Earth works (cut and fill operations)		
Natural Word									
Protection of high-value ecological areas			X		X		X	X	X

	Natural World (Environment)	X	X	X	X	X			X	
	Climate and risk (Emissions and risks)							X	X	
	Description:	A large part of the soil in Uruguay is classified as prime farmland. Would be ideal to lessen the impacts of occupating this type of land.		Failures in water treatment plan design, construction, and implementation.		We are monitoring the birds' population.			Less than expected in relation to IDB policies, but for Haiti standards is more than expected.	No consistent strategy to reduce resources consumption. If the ESS included a LCA, these criteria could be better integrated to projects.
14	**Instances where performance was greater than expected.**									
	Community	X	X		X	X	X	X	X	X
	Management and Planning	X		X				X	X	
	Resources utilized									
	Environment	X						X	X	
	Climate and risk									
	Description:	Community engagement; Collaboration between the project sponsor and the government; Evaluate site alternatives to minimize project impacts.		Improve institutional capacities and creation of zoning plans.		Social management plan.			Resttlement plan / Management system / Water treatment plant.	Grassroots ownership of project related activities produced multiple community development initiatives and spin offs.
15	**Where performance was influenced by the actions of safeguards specialists?**									
	Community	X	X	X		X	X	X	X	
	Management and Planning	X	X	X		X		X	X	X
	Resources utilized		X						X	
	Environment	X	X	X	X	X		X	X	
	Climate and risk	X	X						X	
	Description:	The Bank asked studies to calculate GHG emissions (including construction and operations).		Education center to create expand local skills. Noise modelling to guide urban development. Birds control program.					The development of the PIC required support in all categories. Was necessary to include several aspects not explicit on the ESS (transport; safetly; food).	Good interaction and joint planning with client management unit ensured that priority setting took place.
	Role of the safeguards specialists									
16	**Role of safeguards specialists**									
	Integration role among different stakeholders	X	X		All of them					
	Provide guidance to sponsors for better mitigation actions					X				
	Promote innovative practices in projects		X	X		X	X			
	Monitor project development	X							X	
	Detect opportunities for improvement beyond the application of safeguards			X			X		X	
	Provide technical support						X			
	Communicate the benefits of applying safeguards to projects	X		X						
	Convince projects owners to integrate sustainable practices during the project development		X			X				
	Expand the vision and influence of the project into other areas									
	Other	Improve communication between stakeholders (sponsor, government, and community). Ask for additional studies(Ex. birds patterns) and monitoring during operations. Monitoring and site visits are fundamental to ensure that the project comply with the EIA, enviromental license, and Bank policies.		The main role is to assess, control, mitigate and/or negative environmental and social impacts and risks.		Intervene in the earlier phases of the project to improve it. Many things can be accomplished when this happened.		Increasing awareness of the risks and benefits of doing things in a certain way. Helping borrowers to internalize changes for future projects. Raising capacities beyond the project.	Include relevant issues for the project that are not explicit on the ESS.	Specislists on-site knowledge open the possibility to explore and integrate local possibilities to improve projects.

Appendix E: Case-by-Case Analysis

CASE 01

Project: Juan Santa Maria International Airport Expansion / CR-L1037 / Costa Rica
Type: Transportation / Airport
Total cost: US$147 million (Country Counterpart Financing: $102 million / IDB loan: $45 million)
Safeguards specialist: N/A
Sponsor: Aeris Holding Costa Rica S.A. (AERIS)

1. Description

The Airport was built in 1955. The Airport has grown gradually through expansion, remodeling, and equipment renewal. In 1997 a Master plan to guide the airport's future development was elaborated. A new terminal was constructed in 2001 with the approval of the EIA, and other studies by the IFC were done in 2008. IDB was involved late in the project cycle, and the IDB loan was approved in 2009 and the contract was signed in 2011. This project includes the completion of the construction of a new terminal building and the rehabilitation of other related infrastructures.

2. Challenges:

The project's construction activities posed limited environmental and social risks, as work was performed within the boundaries of existing operational areas. Major concerns included the proper handling of materials, debris and waste, generation of dust and noise, and air pollution. Impacts during operation included water management issues, GHG emissions, air traffic noise, increased access traffic, waste, and petroleum spills. The airport had existing environmental liabilities, such as fuel leaks from underground storage tanks and soil contamination. In relation with the nearby community, poor water management caused flooding problems. Noise and vibration problems were part of the lack of harmonization between airport expansion and community development.

3. Safeguards contribution:

As part of the loan agreement, a new department of Environment and Sustainability was created to monitor soil and air pollution, control spills, and provide training on environmental issues. The department also implemented small sustainability initiatives, such as water-efficient sanitary installations and energy-efficient lighting, while it resolved the process of relocating polluting facilities and cleaning contaminated land. Studies to address impacts on bird populations, water pollution, and noise pollution were also included in accordance with IDB's standards. Finally, engineering works, to reduce water speed and volume, were part of the project design to avoid flooding in close by properties.

4. Performance beyond Safeguards:

- Strengthen management systems and develop institutional capacities by creating a new sustainable department.
- Resolve existing conflicts (passives), such as flooding of nearby properties and cleaning land contaminated by prior fuel leaks.
- Provide a holistic water management solution, including a water treatment plant, as well as works to reduce water accumulation at the airport site and avoid flooding by uncontrolled runoff.

5. Envision: achievements and gaps

The project achieved high scores, particularly in Leadership and Natural World categories, reflecting its contribution to strengthening management capacities as well as improving water functions and preventing water contamination. Quality of Life presented mixed results, highlighting the need of better coordination between airport authorities, plans for community development, and transportation systems. Actions promoted by the new sustainability department are addressed by the Resource Allocation category, however, more could be done regarding the supply chain and the selection of materials utilize. Major sustainability gaps remain in Climate and Risk category regarding assessing climate change and strategies to increase adaptability.

C01 / JUAN SANTA MARIA AIRPORT EXPANSION

Expansion of the existing airport / Costa Rica

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	1955 Airport Construction 1982 Remodeling 1997 Master Plan	2001 New terminal / Private sector management / EIA / Environmental license 2008 Studies by ICF	**2009 IDB Due Diligence** / Loan approval / Concession Aeris 2011 Contract signed 2012 New Environment and Sustainability department	2013 Construction started 2013 Air Quality Management Program Plan	2015 inauguration of new facilities
IMPACTS	Promote sustainable economic development. Provide adequate service for the growing demand.	Existing environmental liabilities (land and water pollution) Pour water management (flooding in nearby communities).		Proper handling of materials, debris and waste, generation of dust and noise, and air quality pollution.	Water management, GHG emissions, air traffic noise, increased access traffic, waste, and petroleum spills.
IDB - CONTRIBUTION			Creation of a new department of Environment and Sustainability. Studies: birds, water pollution, and noise pollution. Integrated water management plan Relocation of pollutanting facilities and contaminated land cleaning by fuel leaks.	Contingency and emergency response plans. Engineering works for water management.	Monitoring of compliance. GHG emissions and air quality reports. Sustainable management actions promoted by the new department
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life QL1.2 Stimulate Sustainable Growth & Development	LD2.2 Improve Infrastructure Integration LD3.3 Extend Useful Life NW1.1 Preserve Prime Habitat NW1.3 Preserve Prime Farmland NW1.6 Avoid Unsuitable Development on Steep Slopes NW1.7 Preserve Greenfields CR2.4 Prepare For Short-Term Hazards	QL2.2 Minimize Noise And Vibration QL2.3 Minimize Light Pollution LD1.1 Provide Effective Leadership And Commitment LD1.2 Establish A Sustainability Management System LD1.3 Foster Collaboration And Teamwork LD3.2 Address Conflicting Regulations & Policies NW1.2 Preserve Wetlands and Surface Water NW3.3 Restore Disturbed Soils	QL2.1 Enhance Public Health And Safety QL2.6 Improve Site Accessibility, Safety & Wayfinding RA1.6 Reduce Excavated Materials Taken Off Site NW2.3 Prevent Surface and Groundwater Contamination	LD3.1 Plan For Long-Term Monitoring & Maintenance RA2.3 Commission & Monitor Energy Systems RA3.3 Monitor Water Systems NW3.2 Control Invasive Species CR1.1 Reduce Greenhouse Gas Emissions* CR1.2 Reduce Air Pollutant Emissions*

Envision evaluation, 2013: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

C01 / JUAN SANTA MARIA AIRPORT EXPANSION

QUALITY OF LIFE	PURPOSE	QL1.1 Improve Community Quality of		National Plans
		QL1.2 Stimulate Sustainable Growth &		National Plans
		QL1.3 Develop Local Skills And Capa-		
	COMMUNITY	QL2.1 Enhance Public Health And		IDB*
		QL2.2 Minimize Noise And Vibration		IDB*
		QL2.3 Minimize Light Pollution		IDB*
		QL2.4 Improve Community Mobility And	NA	
		QL2.5 Encourage Alternative Modes of	NA	
		QL2.6 Improve Site Accessibility, Safety		IDB*
	WELLBEING	QL3.1 Preserve Historic And Cultural	NA	
		QL3.2 Preserve Views And Local		
		QL3.3 Enhance Public Space		
	VULNERABLE GROUPS	QL4.1 Identify and address the needs of		
		QL4.2 Stimulate and promote women's		
		QL4.3 Improve access and mobility of		
		RA0.0 Innovate Or Exceed Credit		

* Nuisances studies and safety of workers (compliance with international standards and the project's typology)

LEADERSHIP	COLLABORATION	LD1.1 Provide Effective Leadership And	IDB*
		LD1.2 Establish A Sustainability Man-	IDB*
		LD1.3 Foster Collaboration And Team-	IDB*
	MANAGEMENT	LD1.4 Provide For Stakeholder Involve-	
		LD2.1 Pursue By-Product Synergy	
		LD2.2 Improve Infrastructure Integra-	
	PLANNING	LD3.1 Plan For Long-Term Monitoring &	IDB**
		LD3.2 Address Conflicting Regulations	IDB**
		LD3.3 Extend Useful Life	
		RA0.0 Innovate Or Exceed Credit	

* New Environment and Sustainability department
** Monitoring of compliance / Address existing liabilities

RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce Net Embodied Energy	
		RA1.2 Support Sustainable Procure-	
		RA1.3 Used Recycled Materials	
		RA1.4 Use Regional Materials	
		RA1.5 Divert Waste From Landfills	IDB*
		RA1.6 Reduce Excavated Materials	IDB*
		RA1.7 Provide for Deconstruction &	
	ENERGY	RA2.1 Reduce Energy Consumption	
		RA2.2 Use Renewable Energy	
		RA2.3 Commission & Monitor Energy	IDB**
	WATER	RA3.1 Protect Fresh Water Availability	
		RA3.2 Reduce Potable Water Consump-	
		RA3.3 Monitor Water Systems	IDB**
		RA0.0 Innovate Or Exceed Credit	

* ESMR - Construction best practices promoted by IDB
** New Environment and Sustainability department

NATURAL WORLD	SITING	NW1.1 Preserve Prime Habitat		Site
		NW1.2 Preserve Wetlands and Surface		Site
		NW1.3 Preserve Prime Farmland		Site
		NW1.4 Avoid Adverse Geology		Site
		NW1.5 Preserve Floodplain Functions	NA	Site
		NW1.6 Avoid Unsuitable Development		IDB*
		NW1.7 Preserve Greenfields		IDB*
	LAND + WATER	NW2.1 Manage Stormwater		Site
		NW2.2 Reduce Pesticides and Fertilizer		Site
		NW2.3 Prevent Surface and Groundwa-		Site
	BIODIVERSITY	NW3.1 Preserve Species Biodiversity	NA	
		NW3.2 Control Invasive Species		IDB**
		NW3.3 Restore Disturbed Soils		IDB***
		NW3.4 Maintain Wetland and Surface		
		RA0.0 Innovate Or Exceed Credit		

* Integral water management / ** Landscape management to avoid attracting birds
** Contaminated land cleaning

CLIMATE AND RISK	EMISSIONS	CR1.1 Reduce GHG Emissions	IDB*
		CR1.2 Reduce Air Pollutant Emissions	IDB*
	RESILIENCE	CR2.1 Assess Climate Threat	
		CR2.2 Avoid Traps And Vulnerabilities	
		CR2.3 Prepare For Long-Term Adapt-	
		CR2.4 Prepare For Short-Term Hazards	IDB**
		CR2.5 Manage Heat Island Effects	
		RA0.0 Innovate Or Exceed Credit	

* Air Quality Management Plan
** Hazardous substances spills protocols / Natural hazards (EIA)

CASE 02

Project: Palmatir Wind Farm / UR-L1080 / Uruguay
Type: Energy / Wind farm
Total cost: US$143.6 million (IDB loan US$41.7 million)
Safeguards specialist: Steven Collins
Sponsor: Abengoa S.A. through its Uruguayan subsidiary Palmatir S.A.

1. Description:
The project consists of 25 wind turbines, including the construction of a 34km high-tension transmission line, that deliver 50 MW of energy in Tacuarembo, Uruguay. Several assessments were made throughout project licensing, including the EIA in 2011. IDB was initially involved in 2012, late in the project cycle, when the EIA was already developed and approved. Construction began in 2013 and operations started in 2014.

2. Challenges:
This was the 1st wind project in Uruguay. IDB was not familiarized with the applicable standards of the Uruguayan system, nor was the country up-to-date with the best practices in the wind industry. The existing EIA was weak in some areas. Impacts related to the transmission line were not covered in the original EIA nor public consultations were required. Very weak bird studies were required without any monitoring in place.

3. Safeguards contribution:
IDB set up workshops to work with the government, taking the opportunity to build capacities in Uruguay by enhancing due diligence and what should be required in the license process. As a result, the Uruguayan environmental agency updated its policies for what is required for birds' surveys. This project facilitated the development of other wind farms in Uruguay fostering a positive learning curve for the involved agencies. The quality of bird studies required by IDB improved the considerations regarding the protection of biodiversity. Also, IDB required the integration of impacts related to the transmission line, which affected several properties, and required compensation.

4. Performance beyond Safeguards:
- Community engagement: the sponsor took a positive stand on this, since the public was involved from the beginning.
- Public consultations: through IDB's initiative the community was informed about the project's impacts and mitigation measures were identified according to their needs.
- The transmission line was a particularly sensitive topic, whose impacts were ignored by the project until IDB brought it into the mix.

5. Envision achievements and gaps:
The Envision evaluation presents a high level of achievement in all categories. Quality of Life reflects the considerations undertaken by the team to detect and integrate community needs through public consultations, complemented by employment and training opportunities generated by the project. Leadership addresses the positive teamwork relation, fostered by IDB, between the sponsor and the government as well as considerations regarding infrastructure integration. Resource Allocation highlights the contribution of the project to facilitating the use of renewable energy, however, there remain gaps in regards to the supply chain of utilized materials. Natural World addresses efforts to protect the environment, especially water bodies. Finally, Climate and Risk, reflects the contribution of the project to reducing GHG emissions and air pollutants, however, a climate change adaptation plan is missing.

C02 / PALMATIR WIND FARM

25 turbines that deliver a total installed capacity of 50 MW / Uruguay

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	2011 EIA developed and approved 2011 Geological assessment	**2012 IDB involvement**	2012 Environmental Management Plan	2013 construction started	2014 operations started
IMPACTS	Diversify the country's energy matrix. Promote renewable energy sources / 1st wind project in Uruguay	Transmission line impacts (land expropriation / construction) Weak quality of birds studies / No public consultations / No monitoring plan Outdated regulatory framework		Impacts on bird population	
IDB - CONTRI-		Complementary studies: transmission line impacts / birds / public consultations Build capacities: workshops with government	Avoid impacts on waterbodies. Roads improvements	Manage liquid and solid waste Promote construction good practices	Monitoring for compliance Establish a long-term monitoring plan.
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life QL1.2 Stimulate Sustainable Growth & Development RA2.2 Use Renewable Energy NW1.3 Preserve Prime Farmland NW1.4 Avoid Adverse Geology NW1.6 Avoid Unsuitable Development on Steep Slopes NW3.4 Maintain Wetland and Surface Water Functions CR1.1 Reduce Greenhouse Gas Emissions CR1.2 Reduce Air Pollutant Emissions	QL1.3 Develop Local Skills And Capabilities LD1.1 Provide Effective Leadership And Commitment LD1.3 Foster Collaboration And Teamwork LD1.4 Provide For Stakeholder Involvement LD2.2 Improve Infrastructure Integration NW1.1 Preserve Prime Habitat NW3.1 Preserve Species Biodiversity*	RA1.2 Support Sustainable Procurement Practices RA1.7 Provide for Deconstruction & Recycling CR2.2 Avoid Traps And Vulnerabilities CR0.0 Innovate Or Exceed Credit Requirements	QL2.1 Enhance Public Health And Safety QL2.2 Minimize Noise And Vibration QL2.4 Improve Community Mobility And Access RA1.5 Divert Waste From Landfills RA1.6 Reduce Excavated Materials Taken Off Site NW2.1 Manage Stormwater NW3.3 Restore Disturbed Soils	LD3.1 Plan For Long-Term Monitoring & Maintenance RA2.3 Commission & Monitor Energy Systems

Envision evaluation, 2013: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

C02 / PALMATIR WIND FARM

QUALITY OF LIFE	PURPOSE	QL1.1 Improve Community Quality of		National Plans
		QL1.2 Stimulate Sustainable Growth &		
		QL1.3 Develop Local Skills And Capa-		IDB*
	COMMUNITY	QL2.1 Enhance Public Health And		IDB**
		QL2.2 Minimize Noise And Vibration		
		QL2.3 Minimize Light Pollution	NA	
		QL2.4 Improve Community Mobility And		IDB**
		QL2.5 Encourage Alternative Modes of	NA	
		QL2.6 Improve Site Accessibility, Safety		
	WELLBEING	QL3.1 Preserve Historic And Cultural		
		QL3.2 Preserve Views And Local		
		QL3.3 Enhance Public Space		
	VULNERABLE GROUPS	QL4.1 Identify and address the needs of		
		QL4.2 Stimulate and promote women's		
		QL4.3 Improve access and mobility of		
		RA0.0 Innovate Or Exceed Credit		

* Develop local "know-how" in wind power
** EMP: Ensure workers safety / Noise studies / Roads improvements

LEADERSHIP	COLLABORATION	LD1.1 Provide Effective Leadership And		IDB*
		LD1.2 Establish A Sustainability Man-		
		LD1.3 Foster Collaboration And Team-		
	MANAGEMENT	LD1.4 Provide For Stakeholder Involve-		IDB**
		LD2.1 Pursue By-Product Synergy		
		LD2.2 Improve Infrastructure Integra-		
	PLANNING	LD3.1 Plan For Long-Term Monitoring &		IDB***
		LD3.2 Address Conflicting Regulations	NA	
		LD3.3 Extend Useful Life		
		RA0.0 Innovate Or Exceed Credit		

* Build institutional capacities
** Public consultations
*** Long-term monitoring plan

RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce Net Embodied Energy		
		RA1.2 Support Sustainable Procure-		Agency
		RA1.3 Used Recycled Materials		
		RA1.4 Use Regional Materials		
		RA1.5 Divert Waste From Landfills		IDB*
		RA1.6 Reduce Excavated Materials		
		RA1.7 Provide for Deconstruction &		
	ENERGY	RA2.1 Reduce Energy Consumption	NA	
		RA2.2 Use Renewable Energy		Project
		RA2.3 Commission & Monitor Energy		IDB**
	WATER	RA3.1 Protect Fresh Water Availability		
		RA3.2 Reduce Potable Water Consump-		
		RA3.3 Monitor Water Systems		
		RA0.0 Innovate Or Exceed Credit		

* Good construction practices promoted by IDB
** Long-term monitoring plan

NATURAL WORLD	SITING	NW1.1 Preserve Prime Habitat		IDB*
		NW1.2 Preserve Wetlands and Surface		
		NW1.3 Preserve Prime Farmland		Site
		NW1.4 Avoid Adverse Geology		
		NW1.5 Preserve Floodplain Functions		
		NW1.6 Avoid Unsuitable Development		Site
		NW1.7 Preserve Greenfields		
	LAND + WATER	NW2.1 Manage Stormwater		
		NW2.2 Reduce Pesticides and Fertilizer	NA	IDB**
		NW2.3 Prevent Surface and Groundwa-		
	BIODIVERSITY	NW3.1 Preserve Species Biodiversity		IDB*
		NW3.2 Control Invasive Species	NA	
		NW3.3 Restore Disturbed Soils		
		NW3.4 Maintain Wetland and Surface		
		RA0.0 Innovate Or Exceed Credit		

* Environmental mitigation / Birds studies / Siting choice
** Water managment and soil restoration

CLIMATE AND RISK	EMISSIONS	CR1.1 Reduce GHG Emissions		IDB*
		CR1.2 Reduce Air Pollutant Emissions		Project
	RESILIENCE	CR2.1 Assess Climate Threat		
		CR2.2 Avoid Traps And Vulnerabilities		Project
		CR2.3 Prepare For Long-Term Adapt-		
		CR2.4 Prepare For Short-Term Hazards	NA	
		CR2.5 Manage Heat Island Effects	NA	
		CR0.0 Innovate Or Exceed Credit		IDB**

* Project type plus emissions report required by IDB
** Inventory of greenhouse gases (GHG) - Promoted by IDB and required by the concessionaire

CASE 03

Project: Pozo Almonte and Calama Solar PV / CH-L1069 / Chile
Type: Energy / Solar PV
Total cost: US$82.7 million (IDB financing US$20.7 million)
Safeguards specialist: Jose Luis De la Bastida
Sponsor: SolarPack Corporación Tecnológica, S.L. (through its Chilean subsidiary, SolarPack Chile, S.A.)

1. Description:
The project consists of the construction and operation of a 25 MW solar photovoltaic power plant and its associated facilities located in Tarapacá, Chile. This was Chile's largest PV plant at that time. In 2010, the sponsor started the environmental license process with Chilean authorities, which was granted in 2011. The sponsor conducted an analysis of several site alternatives for optimal location and a technical review of the equipment to be utilized on site. In 2012 the land lease agreement was signed. In 2012, IDB conducted the due diligence mission and presented the ESMR in 2013. Construction began in early 2013, with a duration of 8 months. The minimum anticipated life span of the project is 30 years.

2. Challenges:
Developing an Environmental and Social Management Plan (ESMP) proved challenging. The client had complied with local regulations to conduct a basic Environmental Analysis, but the document had some gaps, which were closed by the ESMP. Community participation was absent from the implementation of such projects, so IDB's specialist included this aspect in the ESMP that strengthened the operation.

3. Safeguards contribution:
This project contributed to the development of renewable energy sources in Chile. Regarding the Safeguards, the client agreed to develop a comprehensive ESMP, improving public consultation, grievance mechanisms, community participation, and identifying social programs. Solar PV's had become a tourist attraction in Atacama, including college and scientific groups visits. The community was integrated, so that they could benefit from this interest. The ESMP also included a waste management program and promoted recycling, traffic management, and health, safety and labor monitoring, and auditing. Supervision to maintain compliance with Safeguards also guaranteed compliance with local regulations. During project implementation, dialogue with local authorities contributed to detect unidentified impacts, including the excessive use of fresh water to clean mirrors, which is a scarce resource in the area. A plan was developed to implement a dry-cleaning system, thus minimizing water use. Pending topics to be addressed are strategies to minimize landscape impacts and protect local fauna (in this case, small rodents).

4. Performance beyond Safeguards:
- Promote meaningful community participation.
- Strong ESMP, including monitoring and auditing to ensure compliance.

5. Envision: achievements and gaps:
The project attained moderate levels of achievement in all Envision categories. However, it's minimal impacts on communities and the natural environment, which is located in a remote area in the Chilean desert, should be taken into account in this analysis. Quality of life addresses the efforts to integrate the community. Leadership presents a strong performance, especially in relation to infrastructure integration and long-term monitoring and maintenance. Resource Allocation reflects the protection of fresh water availability, as well as promoting the use of renewable energy. More can be done in relation to the sustainable use of materials. Climate and Risk highlights the contribution of the project to reducing GHG emissions and air pollutants. A sustainability gap remains in relation to climate change assessments and adaptation plans.

C03 / POZO ALMONTE Y CALAMA SOLAR PV

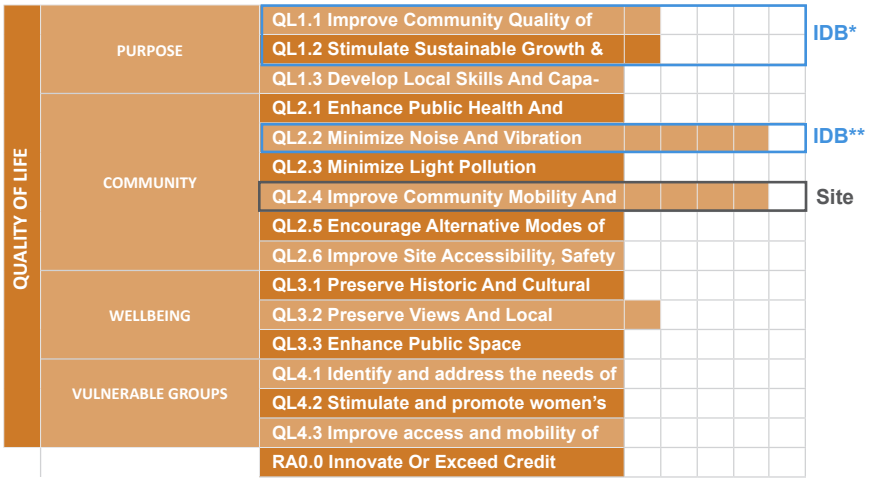
25 MW solar photovoltaic power project / Chile

TIME

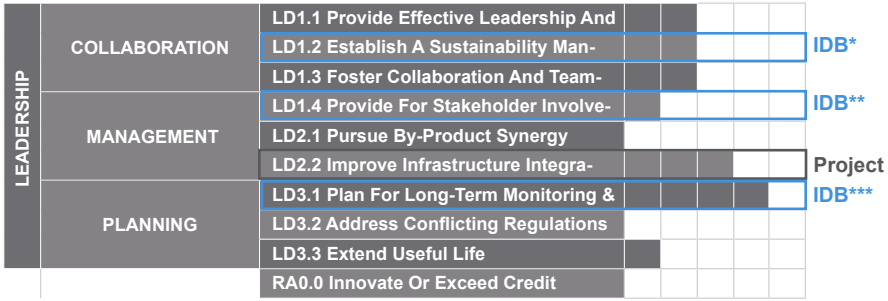
	Planning	Preparation	Design	Construction	Operation
FACTS	2010 start of the environmental license process 2011 environmental license granted	2011 Site altenatives and technical analysis by sponsor 2012 Land lease agreement	**2012 IDB Due diligence** 2013 ESMR	2013 construction started (8 months)	2013 operations (30 years of anticipated life span)
IMPACTS	Development of renewable energy sources Largest solar PV in Chile at that time	Lack of community participation in this type of project	Minimize landscape impacts Avoid any impacts on local fauna	Mitigate construction impacts Ensure compliance with local regulations	Water used for cleaning mirrors
IDB - CONTRIBUTION			Develop a comprehensive ESMP Improve public consultation process; Establish grievance mechanism; Ensure Community participation; Identify social programs.	Waste management program and promoted recycling, traffic management, health, safety and labor, monitoring, and auditing.	Corrective plan: dry-cleaning system, to minimize water usage. Monitoring compliance with local regulations and IDB policies
ENVISION HIGH PERFORMANCE	CR1.1 Reduce Greenhouse Gas Emissions CR1.2 Reduce Air Pollutant Emissions RA2.2 Use Renewable Energy	NW1.1 Preserve Prime Habitat NW1.3 Preserve Prime Farmland	QL2.4 Improve Community Mobility And Access LD1.4 Provide For Stakeholder Involvement* LD2.2 Improve Infrastructure Integration CR2.4 Prepare For Short-Term Hazards	QL2.2 Minimize Noise And Vibration RA1.6 Reduce Excavated Materials Taken Off Site	LD3.1 Plan For Long-Term Monitoring & Maintenance RA2.3 Commission & Monitor Energy Systems RA3.1 Protect Fresh Water Availability*

Envision evaluation, 2013: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

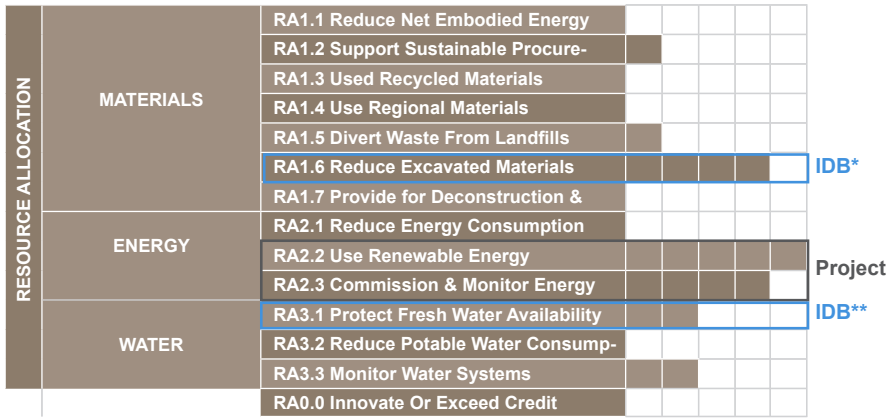
C03 / POZO ALMONTE Y CALAMA SOLAR PV



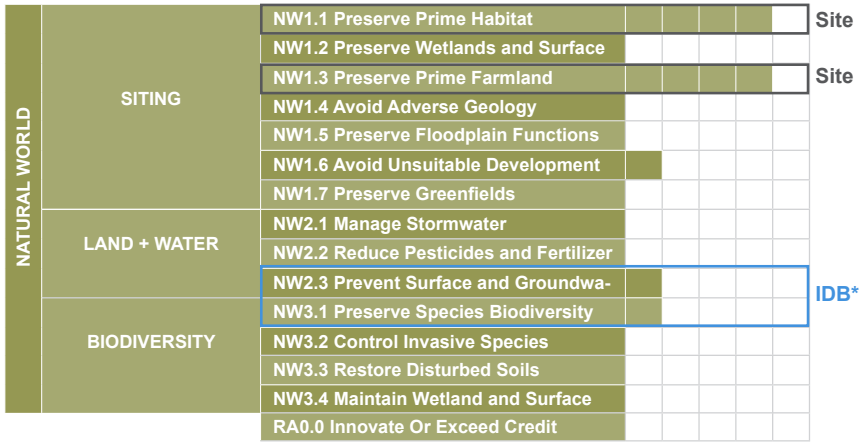
* Knowledge transfer: plant open to schools and educational institutions
** Studies included in the ESMP



* ESMP
** Efforts promoted by IDB to integrate the community
*** Long-term monitoring plans



* ESMP - best construction practices promoted by IDB
** ESMP - estimates of water demands during construction and operations



* ESMP - prevention of water contamination and protection of biodiversity

* Includes a lifecycle report in the form of a Clean Development Mechanism (CDM).
** ESMP - 100-year analysis on flooding threats

CASE 04

Name of the Project: Quito International airport / EC-L1005 / Ecuador
Type: Transportation / Airport
Total cost: US$582 million (IDB Loan: US$75 million)
Safeguards specialist: Ernesto Monter Flores
Owned and operated by: Aecon Group, Andrade Gutierrez S.A., Airport Development Corporation and Houston Airport System Development Corporation.

1. Description

Due to severe technical constraints hampering the efficiency of the airport in its current location, the Ecuadorian authorities decided to develop a new airport for Quito at a more appropriate site. Project development started in the 1970s with land acquisition, and the technical studies started in 1980s. By 2002, IDB and other multilateral organizations became involved in the financing of the project. IDB's involvement was at an early stage of the final design studies, including the preparation of an EIA to multilateral standards. The IDB loan was approved in 2005. The project included the operation of the existing airport, the construction and operation of a new airport, the development of new trade zone in the area, construction of a connector road, and the closure of the old airport. The new airport opened in February 2013 after seven years of construction with a 35-year concession period.

2. Challenges:

The Ecuadorian government's planning efforts secured an area for the construction of a new airport, which was acquired and maintained free. The site sits in a plateau surrounded by steep ravines, which makes access to the lower valley difficult, thus preserving the characteristics of the ecosystem. The construction posed a risk of altering the ecosystem, mainly by runoff water and wastewater discharge. The project was designed to avoid water contamination of close water bodies by fuel spillage and uncontrolled runoff and minimize the discharge of effluents by incorporating a pond. In a broader scale, the project fostered land use changes by developing areas around the new airport, which required urban planning measures.

3. Safeguards contribution:

The new airport facilitated long-term economic development and social welfare and improved community mobility and access. IDB improved the project by enhancing the management of the old airport, ranging from a comprehensive analysis of soil and water contamination, to preventing inadequate practices of tenants. These management practices were the foundation of the environmental and social management practices at the new airport. As for the new airport, Bank participated actively in the amendment of design specifications to achieve zero discharge of effluents and adequate air pollution control. IDB also incorporated measures to raise health and safety standards and labor conditions for workers. For the operation, the Bank required noise modeling and zoning plans to assist the authorities with the surrounding's development. The Bank also encouraged the construction of a training education center to expand the skills set of workers and integrate nearby citizens to employment opportunities generated by the airport.

4. Performance beyond Safeguards:

- Assess environmental liabilities, by conducting soil and ground water contamination studies to assess and control pollution at the old site.
- Strengthen environmental and social management, initially at the old airport, and consolidating this into the new airport.
- Ensure the health and safety for workers during construction and warranting the inclusion of environmental related clauses in contracts.
- Producing information, such as of noise studies, to be used by the authorities to draft zoning plans for urban development
- Promote a culture of social responsibility, which resulted in an education center for training and hiring of local workers.
- Leveling runways using soil from the site, reducing soil transportation.

5. Envision: achievements and gaps

The assessment shows the contribution Safeguards to sustainability, through high scores in Quality of Life, Leadership, and especially in Natural World. Quality of life shows efforts made to integrate the community's sustainable development by expanding skills and capacities. Leadership reflects actions to enhance management systems and the integration of planning measures. Natural Word addresses environmental protection efforts, especially water bodies. Resource Allocation and Climate and Risk present sustainability gaps. High scores relate to the assessment and control of emissions and short-term hazards assessments, such as seismic and volcanic activity. However, resilience to climate change was not considered.

C04 / QUIPORT

Develop a new airport for Quito at a more appropriate site / Ecuador

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	1970 Site acquisition. 1980 Technical studies 1991 First EIA **2002 New EIA (IFIs - IDB)**	2003 Information disclosure and consultations. 2004 IDB Due diligence. 2005 IDB Loan approval		2006 Beginning of construction	2013 In operation Concession period of 35 years.
IMPACTS	Promote sustainable economic development. Comply with international standards. Provide adequate service for the growing demand.	Environmental and social impacts (existing airport and new one)	Impacts on water (problems in water treatment plant).	Impacts on biodiversity and ecosystems. Noise and air pollution. Land use change.	
IDB - CONTRIBUTION	Land and water pollution baseline studies (exiting airport). Noise modeling studies: - Mitigate impacts on birds - Guide development. Zoning plans for future development.	Efficient infrastructure management with private sector involvement. Stakeholder engagement. Building capacities within the private sector client. Education center to create new capacities.	Right compensation for affected properties (road - water pipeline). Mitigation measures for rapid erosion from water runoff. On-site exploration activities to preserve cultural resources.	Action plan to improve health and safety for workers. Runoff and spillage control measures. Comprehensive water management plan	UN award - Project management recognition. Contingency plans for seismic and volcano risks. Air pollution control
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life QL1.2 Stimulate Sustainable Growth & Development LD2.2 Improve Infrastructure Integration NW1.1 Preserve Prime Habitat NW1.2 Preserve Wetlands and Surface Water NW1.4 Avoid Adverse Geology NW1.5 Preserve Floodplain Functions NW1.6 Avoid Unsuitable Development on Steep Slopes	QL1.3 Develop Local Skills And Capabilities LD1.1 Provide Effective Leadership And Commitment LD1.2 Establish A Sustainability Management System LD1.3 Foster Collaboration And Teamwork NW3.1 Preserve Species Biodiversity NW3.4 Maintain Wetland and Surface Water Functions CR2.4 Prepare For Short-Term Hazards	QL3.1 Preserve Historic And Cultural Resources NW2.1 Manage Stormwater NW2.3 Prevent Surface and Groundwater Contamination	QL2.2 Minimize Noise And Vibration RA1.6 Reduce Excavated Materials Taken Off Site RA3.1 Protect Fresh Water Availability NW3.3 Restore Disturbed Soils	LD3.1 Plan For Long-Term Monitoring & Maintenance RA3.3 Monitor Water Systems NW3.2 Control Invasive Species CR1.1 Reduce Greenhouse Gas Emissions* CR1.2 Reduce Air Pollutant Emissions*

Envision evaluation, 2013: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

C04 / QUIPORT

QUALITY OF LIFE	PURPOSE	QL1.1 Improve Community Quality of	National Plans
		QL1.2 Stimulate Sustainable Growth &	
		QL1.3 Develop Local Skills And Capa-	IDB*
	COMMUNITY	QL2.1 Enhance Public Health And	
		QL2.2 Minimize Noise And Vibration	IDB**
		QL2.3 Minimize Light Pollution	
		QL2.4 Improve Community Mobility And	
		QL2.5 Encourage Alternative Modes of	
		QL2.6 Improve Site Accessibility, Safety	
	WELLBEING	QL3.1 Preserve Historic And Cultural	IDB***
		QL3.2 Preserve Views And Local	
		QL3.3 Enhance Public Space	
	VULNERABLE GROUPS	QL4.1 Identify and address the needs of	
		QL4.2 Stimulate and promote women's	
		QL4.3 Improve access and mobility of	
		RA0.0 Innovate Or Exceed Credit	

* Local education center to train airport employees
** Noise modeling studies to guide develpment in the area
*** Ensure the preservation of cultural resources

LEADERSHIP	COLLABORATION	LD1.1 Provide Effective Leadership And	
		LD1.2 Establish A Sustainability Man-	
		LD1.3 Foster Collaboration And Team-	IDB*
	MANAGEMENT	LD1.4 Provide For Stakeholder Involve-	
		LD2.1 Pursue By-Product Synergy	
		LD2.2 Improve Infrastructure Integra-	IDB**
	PLANNING	LD3.1 Plan For Long-Term Monitoring &	
		LD3.2 Address Conflicting Regulations	
		LD3.3 Extend Useful Life	
		RA0.0 Innovate Or Exceed Credit	

* Efficient infrastructure management with private sector involvement / Stakeholder engagement
** Consideration of regional strategic plans and roads improvements / Long-term strategies and monitoring measures

RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce Net Embodied Energy	
		RA1.2 Support Sustainable Procure-	
		RA1.3 Used Recycled Materials	
		RA1.4 Use Regional Materials	
		RA1.5 Divert Waste From Landfills	
		RA1.6 Reduce Excavated Materials	IDB*
		RA1.7 Provide for Deconstruction &	
	ENERGY	RA2.1 Reduce Energy Consumption	
		RA2.2 Use Renewable Energy	
		RA2.3 Commission & Monitor Energy	
	WATER	RA3.1 Protect Fresh Water Availability	
		RA3.2 Reduce Potable Water Consump-	IDB**
		RA3.3 Monitor Water Systems	
		RA0.0 Innovate Or Exceed Credit	

* Best construction practices promoted by IDB
** Integrated Plan for Water Management

NATURAL WORLD	SITING	NW1.1 Preserve Prime Habitat	IDB*
		NW1.2 Preserve Wetlands and Surface	
		NW1.3 Preserve Prime Farmland	
		NW1.4 Avoid Adverse Geology	Site
		NW1.5 Preserve Floodplain Functions	
		NW1.6 Avoid Unsuitable Development	
		NW1.7 Preserve Greenfields	
	LAND + WATER	NW2.1 Manage Stormwater	
		NW2.2 Reduce Pesticides and Fertilizer	
		NW2.3 Prevent Surface and Groundwa-	IDB**
	BIODIVERSITY	NW3.1 Preserve Species Biodiversity	
		NW3.2 Control Invasive Species	IDB***
		NW3.3 Restore Disturbed Soils	
		NW3.4 Maintain Wetland and Surface	
		RA0.0 Innovate Or Exceed Credit	

* Measures to protect the surrounding ecosystems (forrest and ravines)
** Integrated Plan for Water Management
*** EMP - Plan of Protection and Rescue of Sensitive Wildlife / Ecological Compensation Plan

CLIMATE AND RISK	EMISSIONS	CR1.1 Reduce GHG Emissions	Project
		CR1.2 Reduce Air Pollutant Emissions	
	RESILIENCE	CR2.1 Assess Climate Threat	
		CR2.2 Avoid Traps And Vulnerabilities	
		CR2.3 Prepare For Long-Term Adapt-	
		CR2.4 Prepare For Short-Term Hazards	IDB*
		CR2.5 Manage Heat Island Effects	
		RA0.0 Innovate Or Exceed Credit	

* Contingency plans for seismic and volcano risks.

CASE 05

Project: EURUS Wind Farm / ME-L1068 / México
Type: Energy / Wind farm
Total cost: US$525 million (IDB loan $30 million)
Safeguards specialist: Emmanuel A. Boulet
Sponsor: Acciona Energia Mexico (AEM) & Cementos Mexicanos S.A. (CEMEX), through a special purpose company Eurus S.A.P.O de C.V.

1. Description

The project consists of the installation of 167 wind turbines that generate 250 MW of energy in La Venta Ejido, State of Oaxaca, Mexico, one of the best regions for wind resources in the world, and an area of importance for migratory bird species.. At the time of its construction this was one of the biggest wind farms in LAC and one of the first private wind power projects in the country. The preparation of the project began in 2005. In 2006 the project was granted an Environmental License by Mexican authorities, which was updated in 2008. IDB joined when construction had started in 2009, relatively late in the project cycle.

2. Challenges:

One contextual challenge was that the project was fully designed when IDB joined the project, leaving small room for alternatives. This area is a troubled region, with social conflicts and violence and there was a level of disagreement inside the community towards the project. Considering these aspects, 3 main challenges were detected by IDB that were not fully addressed: a high mortality rate of birds and bats, lack of management of construction impacts to avoid flooding by erosion prevention and runoff control from extreme rainfalls, and a social management plan including more consultations and grievance mechanisms, and documentation demonstrating social investments with a long-term development perspective.

3. Safeguards contribution:

The project's typology contributed to facilitate Mexico's transition to a low carbon economy and to harness the country's abundant wind energy resources in order to meet energy demand. Safeguards contributed in mitigating both environmental and social impacts first by addressing impacts on birds in a comprehensive way, including the development of a corrective plan during operations to reduce mortality ratios. Although this problem is not completely resolved yet, IDB contributed to the process of reaching a solution over time. Second, reach a resolution with the community to promote their long-term sustainable development. IDB helped the sponsor to conduct a logical framework to address community needs and target social investments with a long-term perspective, including the development of community micro wind turbines.

4. Performance beyond Safeguards:

- Guide the sponsor in using security forces to protect the investment integrating a human rights approach to avoid escalating conflicts.
- Some of the actions included in the social investments plan. IDB tried to provide a long-term perspective, according to the needs of the community, in order to guide the client follow a systematic approach to think in their long-term legacy to the community.
- Implementation of a corrective plan to minimize birds' mortality during operations.

5. Envision: achievements and gaps:

The project achieved high scores in almost all categories except Resource Allocation and Climate and Risk, especially the Resilience subcategory. This is consistent with the sustainability gaps detected in Safeguards regarding the sustainable use of natural resources and management, especially in relation to the supply chain. It also reflects the need of better integrating vulnerability analyses considering climate change adaptation plans. The positive achievements in Quality of Life, Leadership, and Natural World reflect the contribution of safeguards in identifying the needs of the community and promoting its sustainable development overtime, efforts related to the sustainable management of the project, and mitigation measures applied to protect the environment.

C05 / EURUS WIND FARM

167 wind turbines that generate 250 MW of energy / Mexico

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	2005 Preparation of the project 2006 EIA Environmental License	2006 - 2007 Bird studies - EMP 2008 Update of Environmental License		2009 Construction began **2009 IDB joins the project** 2009 ESDD (Environmental and Social Due Diligence) - ESMR	2009 operations began (30 years operational lifespan)
IMPACTS	1st private wind power projects in the country Develop viable alternative energy projects Help harness wind energy resources	Land compensation (leased under 30-year collective land-use right agreements) Environmental, Health and Safety Management System		Limited impacts on soil erosion, noise, dust generation, traffic disruption.	Impacts on migratory birds
IDB - CONTRIBUTION				ESMP - Indigenous People: Community Consultations; grievance mechanisms; meaningful social investments. Adequate health and safety management system Restore disturbed soils, erosion prevention, and runoff control. Monitoring of birds during migratory seasons	Long-term community development (micro wind turbines) Use of security forces with human rights approach Corrective plan to reduce bird mortality ratios
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life RA2.2 Use Renewable Energy NW1.1 Preserve Prime Habitat NW1.3 Preserve Prime Farmland NW1.6 Avoid Unsuitable Development on Steep Slopes CR1.1 Reduce Greenhouse Gas Emissions CR1.2 Reduce Air Pollutant Emissions	LD1.1 Provide Effective Leadership And Commitment LD1.2 Establish A Sustainability Management System CR2.4 Prepare For Short-Term Hazards	RA1.6 Reduce Excavated Materials Taken Off Site RA3.1 Protect Fresh Water Availability NW3.2 Control Invasive Species NW3.4 Maintain Wetland and Surface Water Functions	QL1.2 Stimulate Sustainable Growth & Development QL1.3 Develop Local Skills And Capabilities QL2.2 Minimize Noise And Vibration QL2.6 Improve Site Accessibility, Safety & Wayfinding QL3.1 Preserve Historic And Cultural Resources QL3.3 Enhance Public Space NW2.1 Manage Stormwater NW3.3 Restore Disturbed Soils	LD3.1 Plan For Long-Term Monitoring & Maintenance RA2.3 Commission & Monitor Energy Systems NW3.1 Preserve Species Biodiversity*

Envision evaluation, 2014: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

C05 / EURUS WIND FARM

QUALITY OF LIFE	PURPOSE	QL1.1 Improve Community Quality of	
		QL1.2 Stimulate Sustainable Growth &	IDB*
		QL1.3 Develop Local Skills And Capa-	
	COMMUNITY	QL2.1 Enhance Public Health And	
		QL2.2 Minimize Noise And Vibration	IDB**
		QL2.3 Minimize Light Pollution	
		QL2.4 Improve Community Mobility And	
		QL2.5 Encourage Alternative Modes of	
		QL2.6 Improve Site Accessibility, Safety	IDB***
	WELLBEING	QL3.1 Preserve Historic And Cultural	Country
		QL3.2 Preserve Views And Local	
		QL3.3 Enhance Public Space	
	VULNERABLE GROUPS	QL4.1 Identify and address the needs of	
		QL4.2 Stimulate and promote women's	
		QL4.3 Improve access and mobility of	
		QL0.0 Innovate Or Exceed Credit	

* ESMP: Community Consultations; grievance mechanisms; meaningful social investments (community center; micro wind turbines).
** Noise modeling studies
*** Good construction practices promoted by IDB (traffic mitigation measures)

LEADERSHIP	COLLABORATION	LD1.1 Provide Effective Leadership And	
		LD1.2 Establish A Sustainability Man-	IDB*
		LD1.3 Foster Collaboration And Team-	
	MANAGEMENT	LD1.4 Provide For Stakeholder Involve-	
		LD2.1 Pursue By-Product Synergy	
		LD2.2 Improve Infrastructure Integra-	
	PLANNING	LD3.1 Plan For Long-Term Monitoring &	IDB**
		LD3.2 Address Conflicting Regulations	
		LD3.3 Extend Useful Life	
		RA0.0 Innovate Or Exceed Credit	

* ESMP: promote socioeconomic development / Adequate health and safety management system
** Compliance and long-term monitoring

RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce Net Embodied Energy	
		RA1.2 Support Sustainable Procure-	
		RA1.3 Used Recycled Materials	
		RA1.4 Use Regional Materials	
		RA1.5 Divert Waste From Landfills	
		RA1.6 Reduce Excavated Materials	IDB*
		RA1.7 Provide for Deconstruction &	
	ENERGY	RA2.1 Reduce Energy Consumption	
		RA2.2 Use Renewable Energy	Project
		RA2.3 Commission & Monitor Energy	
	WATER	RA3.1 Protect Fresh Water Availability	IDB**
		RA3.2 Reduce Potable Water Consump-	
		RA3.3 Monitor Water Systems	
		RA0.0 Innovate Or Exceed Credit	

* Construction good practices pomoted by IDB
** Comprehensive drainage system and runoff controls

NATURAL WORLD	SITING	NW1.1 Preserve Prime Habitat	Site
		NW1.2 Preserve Wetlands and Surface	
		NW1.3 Preserve Prime Farmland	Site
		NW1.4 Avoid Adverse Geology	
		NW1.5 Preserve Floodplain Functions	
		NW1.6 Avoid Unsuitable Development	Site
		NW1.7 Preserve Greenfields	
	LAND + WATER	NW2.1 Manage Stormwater	IDB*
		NW2.2 Reduce Pesticides and Fertilizer	
		NW2.3 Prevent Surface and Groundwa-	
	BIODIVERSITY	NW3.1 Preserve Species Biodiversity	
		NW3.2 Control Invasive Species	Sponsor
		NW3.3 Restore Disturbed Soils	
		NW3.4 Maintain Wetland and Surface	IDB*
		RA0.0 Innovate Or Exceed Credit	

* Comprehensive drainage system and runoff controls / Construction best practices
** Minimal impact on water courses

CLIMATE AND RISK	EMISSIONS	CR1.1 Reduce GHG Emissions	IDB*
		CR1.2 Reduce Air Pollutant Emissions	Project
	RESILIENCE	CR2.1 Assess Climate Threat	
		CR2.2 Avoid Traps And Vulnerabilities	
		CR2.3 Prepare For Long-Term Adapt-	
		CR2.4 Prepare For Short-Term Hazards	Sponsor
		CR2.5 Manage Heat Island Effects	
		RA0.0 Innovate Or Exceed Credit	

* Includes a lifecycle report in the form of a Clean Development Mechanism (CDM).

CASE 06

Project: Punta del Tigre Combined Cycle Power Generation Project / UR-L1070 / Uruguay
Type: Energy / Combined cycle power plant
Total cost: US$550 million (IDB loan $200 million)
Safeguards specialist: Oscar Luis Camé
Sponsor: Government of Uruguay / Executing Agency: UTE

1. Description

Punta del Tigre B (PTB) is a 530 MW combined-cycle facility, the first of this type developed in Uruguay, located in the La Plata estuary on the same site as Punta del Tigre A (PTA), an existing 300 MW natural gas plant, already served by a natural gas pipeline. The project also includes complementary infrastructure works. For loan approval purposes, IDB got involved in early 2011, with the preparation of environmental, social, technical, and institutional studies, as well as, updates in the EIA that was already approved by local authorities. The loan was approved in late 2012, and after the subsequent bidding process, the construction contract was awarded in 2013. The project is currently in the initial stages of construction; it's expected to begin operations in 2017.

2. Challenges:

Potential negative impacts during construction include emissions and air pollution from fossil fuel use, and fresh water consumption utilized for cooling process in operations. Some unresolved social conflicts existed between the community and fishermen living in informal settlements. Furthermore, the EIA was already approved, limiting the IDB's specialists' influence on project development. IDB hired a consultant to provide recommendations to improve the EIA, which indicated that the models utilized to measure emissions were not the most adequate. Most of these challenges were resolved during the project's preparation, only the social one was addressed during the execution phase.

3. Safeguards contribution:

The plant helps diversify Uruguay's energy mix in a sustainable manner and increases the energy system's resilience in years when low rainfall affects hydroelectric generation. Safeguards strengthened institutional capacities by introducing a sustainable environmental management system to promote better standards at the country level. The sponsor accepted to perform more stringent emissions studies and resolve community conflicts following IDB's procedures (resettlement policy). The design of the project was modified to use water from an estuary instead of an aquifer, resolving fresh water consumption concerns. Monitoring studies were included to identify impacts on La Plata River from water temperature changes facilitated by the plant's cooling process.

4. Performance beyond Safeguards:

- Uruguay's health and safety standards for workers are above the ones specified by the ESS. IDB Safeguards don't confront this directly and in this case the gap was covered by the country's system.
- Resolve preexistent conflicts, in this case the social conflict between fishermen and the community. This was outside the project's site, but its resolution was included in the project.
- More stringent air pollutant models. From the Safeguards point of view it was enough but the consultant recommended to use another model.

5. Envision: achievements and gaps:

The evaluation shows strong achievements in Quality of life and Leadership categories, which reflect actions to resolve social conflicts, and strengthen institutional capacities and management systems. Resource Allocation highlights the project's contribution to protect fresh water availability and energy efficiency, but more could be done regarding sustainable practices for material usage. Climate and Risk shows the reduction of GHG emissions by the utilized technology, but considerations to assess climate change risks or resilient design strategies were not detected.

C06 / PUNTA DEL TIGRE B COMBINED CYCLE POWER GENERATION

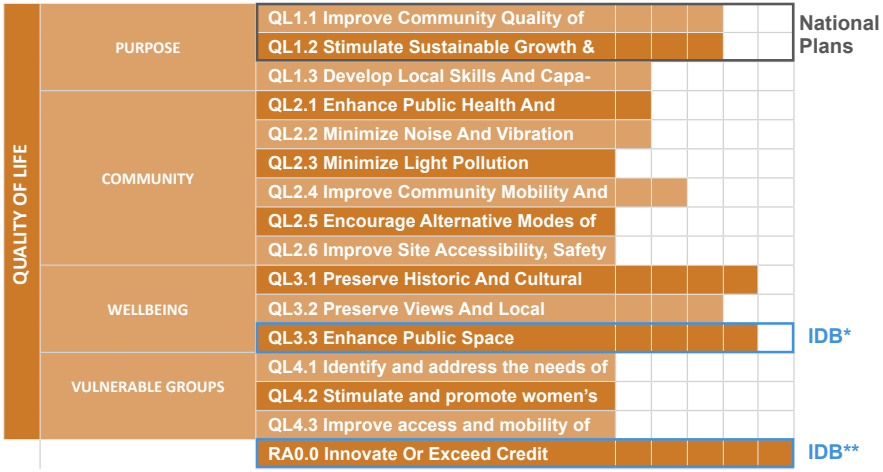
530 MW combined-cycle facility / Uruguay

TIME

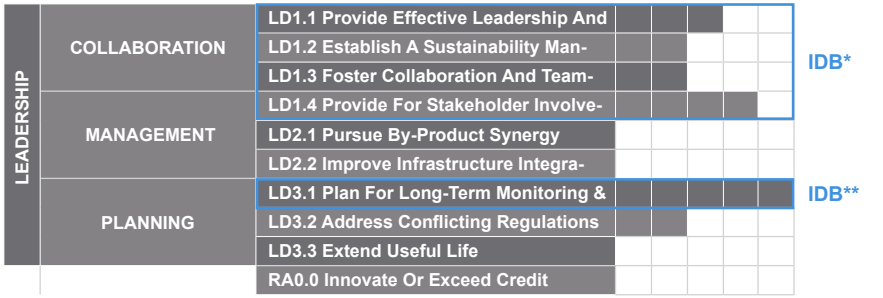
	Planning	Preparation	Design	Construction	Operation
FACTS	Approved EIA	**2011 IDB**: Environmental, social, technical and institutional studies / Updates to EIA	2011 IDB loan's approval	2013 Construction started	2017 expected to begin operations
IMPACTS	Satisfy the increasing energy demand Diversify the country's energy matrix Technology: efficient use of energy / less emissions	Unresolved community conflicts Environmental risks	Natural resource exploitation (water) Carbon intensive fossil-fuel use (natural gas)	Heavy equipment movement Proper handling of materials, debris and waste, generation of dust and noise, and air quality pollution.	Alterations on water quality Emissions (GHG / Air pollutants)
IDB - CONTRIBU-		Strengthen institutional capacities and promote better standards Resettlement of fishermen according to IDB policy Community consultations	Design modification: cooling water from the river instead of the aquifer Apply more stringent air pollutants models Management system improvements		Water monitoring program
ENVISION HIGH PERFORMANCE	CR1.1 Reduce Greenhouse Gas Emissions*	QL1.1 Improve Community Quality of Life QL1.2 Stimulate Sustainable Growth & Development QL3.1 Preserve Historic And Cultural Resources QL3.2 Preserve Views And Local Character QL3.3 Enhance Public Space QL0.0 Innovate Or Exceed Credit Requirements LD1.1 Provide Effective Leadership And Commitment LD1.4 Provide For Stakeholder Involvement	RA3.1 Protect Fresh Water Availability NW3.2 Control Invasive Species NW2.2 Reduce Pesticides and Fertilizer Impacts CR2.4 Prepare For Short-Term Hazards	RA1.6 Reduce Excavated Materials Taken Off Site NW3.3 Restore Disturbed Soils	LD3.1 Plan For Long-Term Monitoring & Maintenance RA2.3 Commission & Monitor Energy Systems RA3.3 Monitor Water Systems

Envision evaluation, 2015: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

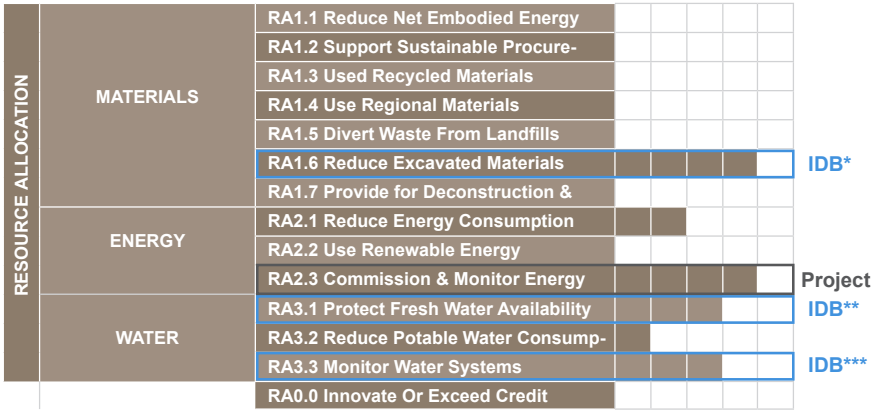
C06 / PUNTA DEL TIGRE B COMBINED CYCLE POWER GENERATION



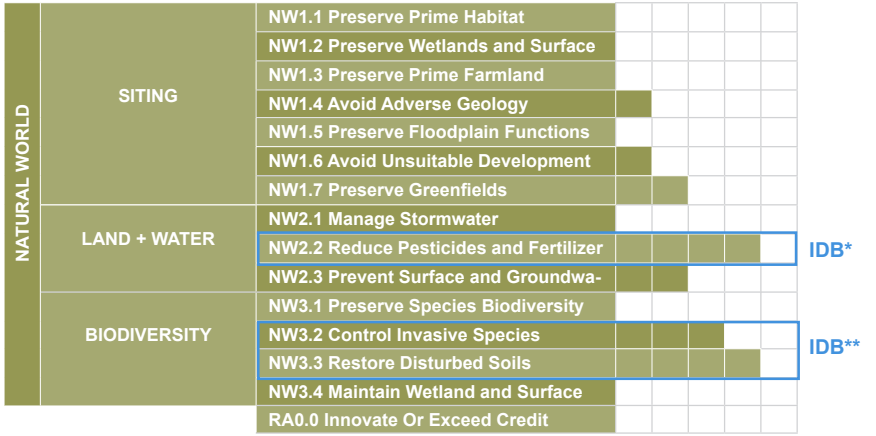
* New public space: Colonia Wilson
** Resolution of community conflicts (resettlement of fishermen)



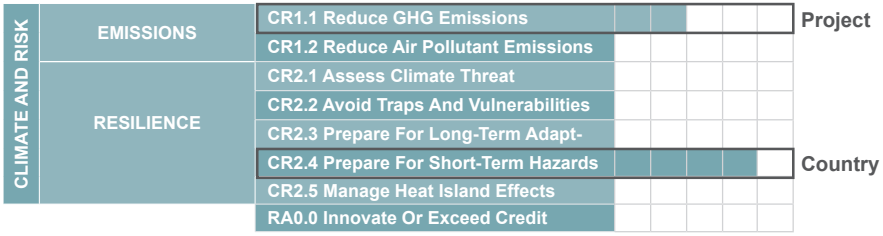
* Build capacities / Collaborative work with local agencies / Community participation
** Long-term monitoring plan



* Construction best practice promoted by IDB
** Design modification: use water for cooling from the river instead of the aquifer
*** Water quality monitoring program



* IDB Safeguards requirement
** IDB Safeguards requirement / Construction good practices



CASE 07

Project: Mario Covas Rodoanel Project - Northern Section / BR-L1296 & BR-L1302 / Brazil
Type: Transportation / Highway
Total cost: US$ 1.05. billion (IDB US$400 million)
Safeguards specialist: Maria da Cunha
Sponsor: Government of the State of Sao Paulo / Executing Agency: Dersa (Desenvolvimento Rodoviario S.A.)

1. Description

The Northern Section comprises the final 47.4 km of the Mário Covas Rodoanel, a beltway totaling 176.5 km in length, surrounding the city of Sao Paulo. The project includes engineering studies, management support, construction works and monitoring, and socio-environmental feasibility. In 2004, a SEA was conducted to evaluate impacts on different route alternatives and traffic demand. In 2010, the EIA and basic engineering studies were done. In 2011, at the time of IDB's involvement, the EIA was in the phase of public consultation. IDB conducted additional complementary studies. IDB's loan was approved in 2011 with the elaboration of the ESS, ESMR, and revisions to the resettlement and expropriation plan. The contract was signed in 2012.

2. Challenges:

The project entailed many impacts and challenges to be addressed at multiple scales, including impacts on local livelihoods, community displacement, land-use change, degradation of biodiversity and high-value ecosystems, and air pollution. A key issue was to evaluate alternative routes to measure and balance tradeoffs between impacts on the community and the adjacent Park's sensitive environment.

3. Safeguards contribution:

The project was conceived to improve the mobility and health of the Sao Paulo population by reducing air pollutants and noise pollution in the urban center. The selected route avoided impacts on the State park. Water runoff control works and crossing passages for fauna were also considered. IDB ensured that meaningful efforts to integrate the community into the process and targeted social programs were included, including the eligibility criteria on the resettlement plan, assistance for small business affected, larger set options in the social programs, and better stakeholder engagement. Furthermore, right compensation was given to displaced families living in informal housing. By the insistence of IDB, the sponsor integrated social elements to improve contractor performance in their internal manuals. This contributed to enhance practices in the area of grievance management, using GIS mapping to locate complains and allow timely responsive actions.

4. Performance beyond Safeguards:

- Management and planning: social elements integrated in construction manuals and enhancement of grievance management. This contributed to build capacities to implement better practices beyond this project.
- Resolve regulatory conflicts: compensation for displaced families
- Restoring impacted areas by creating linear parks (in process).

5. Envision: achievements and gaps:

The evaluation demonstrates the project's solid sustainability achievements in the Quality of Life, Leadership, and Natural Word categories. This is consistent with the contributions of Safeguards to the project regarding the integration of the community, management and planning improvements, and environmental protection. Gaps in sustainability remain in Resource Allocation, especially regarding the minimization of resource usage during construction, particularly energy and water. Climate and Risk shows the good preparedness of the project to confront short-term hazards, however, climate risk assessments and resilience considerations to enhance adaptability are still missing.

C07 / MARIO CONVAS RODOANEL HIGHWAY NORTHERN SECTION

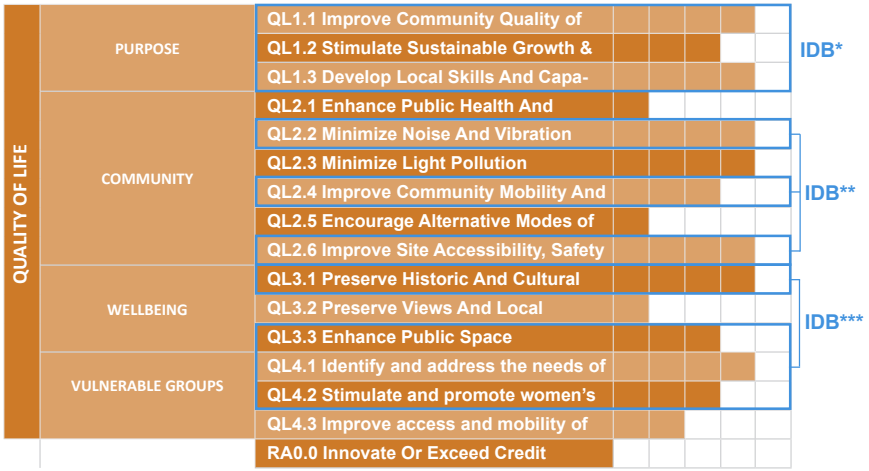
Highway of 47.4 km needed for the completion of the Mário Covas Rodoanel beltway / Brazil

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	2004 SEA - Evaluate route alternatives and traffic demand 2010 EIA and basic enginnering studies	2011 EIA in public consultation phase **2011 IDB involvement**	2011 IDB loan approved (ESS, ESMR, resettlement and expropriation revisions) 2012 IDB contract signed	2013 construction started	2017 expected operations
IMPACTS	Improve mobility and health of Sao Paulo's population Reducing air pollutants and noise pollution in the city	Impacts on local livelihoods, displacement of communities, land-use change, destruction of biodiversity and high-value ecosystems, and air pollution. Tradeoffs between impacts on the community and the sensible environment of the State park			GHG emissions and air pollutants
IDB - CONTRIBU-		Avoid impacts on the State park. Water runoff control works and fauna crossing passages Efforts to integrate the community	Social programs and assistance for small businesses Eligibility criteria on the resettlement plan Improve and build institutional capacities	Integrated social elements in the sponsor's internal manuals Enhance grievance management	Creation of linear parks
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life LD2.2 Improve Infrastructure Integration NW1.1 Preserve Prime Habitat NW1.4 Avoid Adverse Geology NW1.6 Avoid Unsuitable Development on Steep Slopes	QL1.3 Develop Local Skills And Capabilities QL1.2 Stimulate Sustainable Growth & Development QL3.1 Preserve Historic And Cultural Resources QL4.1 Identify and address the needs of minorities QL4.2 Stimulate and promote women's empowerment LD1.1 Provide Effective Leadership And Commitment LD1.2 Establish A Sustainability Management System LD1.4 Provide For Stakeholder Involvement NW3.1 Preserve Species Biodiversity NW3.2 Control Invasive Species NW3.4 Maintain Wetland and Surface Water Functions	QL2.3 Minimize Light Pollution QL3.3 Enhance Public Space RA1.4 Use Regional Materials RA2.1 Reduce Energy Consumption NW2.3 Prevent Surface and Groundwater Contamination CR2.4 Prepare For Short-Term Hazards	QL2.2 Minimize Noise And Vibration QL2.4 Improve Community Mobility And Access QL2.6 Improve Site Accessibility, Safety & Wayfinding RA1.5 Divert Waste From Landfills RA1.6 Reduce Excavated Materials Taken Off Site NW3.3 Restore Disturbed Soils	CR1.1 Reduce Greenhouse Gas Emissions*

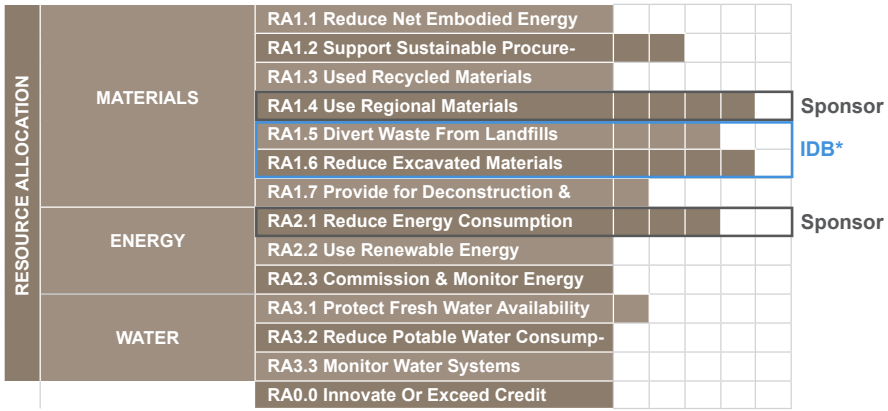
Envision evaluation, 2015: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

C07 / MARIO CONVAS RODOANEL HIGHWAY NORTHERN SECTION



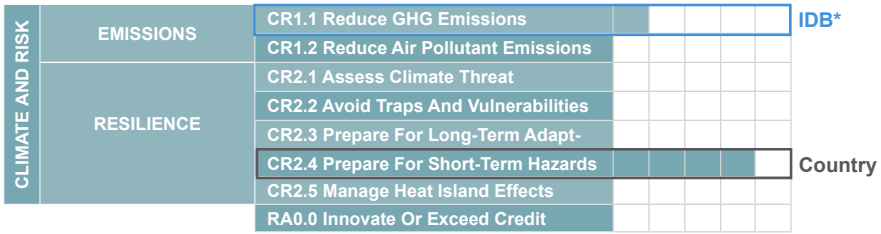
* Benefits to the broader community and social efforts to improve surrounding communities (ESS, ESMR, Resettlement program and expropiations)
** Best construction practices / mitigation measures promoted by IDB
*** ESMR: preservation of historic resources / Targeted community investments and future linear parks / Identify needs of vulnerable groups and promote gender equality

* Raise new capacities and strength management system
** Community participation / Resettlement plan
*** Mobility benefits and planning efforts to integrate community assets



* Construction best practices promoted by IDB

* Environmental protection and restoration
** ESS - ESMR: Environmental mitigation measures (Land, water, and biodiversity)
*** Readaptation program for endemic species (howler monkeys)



* IDB GHG emissions assessment

CASE 08

Project: Caracol Industrial Park (PIC) / HA-L1055, HA-L1076, HA-L1081, & HA-L1091 / Haiti
Type: Urban Development and Housing / Industrial development
Total cost: US$256.5 million (five grants)
Safeguards specialist: Serge Troch
Sponsor: Government of Haiti / Management agency: SONAPI

1. Description

In 2008, the Government of Haiti, the United States Government and IDB agreed to support the establishment of PIC at Haiti's Northern region. The site, designated by the Government, was a 250 ha greenfield site in the rural community of Caracol. Through a series of grants, IDB provided basic infrastructure, industrial facilities, management support and complementary resources required for the construction, operation and expansion of PIC. In 2011, IDB's first grant was approved, a limited ESIA due to lack of sufficient data and baseline information was completed, and construction started. PIC was implemented at a fast pace, with short time allocated for project preparation, and opened in 2012. Since 2014, PIC is managed by SONAPI. From 2015 onwards, additional environmental and social studies and management plans have been prepared by IDB. By 2020, IDB's involvement is expected to conclude.

2. Challenges:

The Government's limited capacity and the tight timeline to plan and implement such a complex project, in addition to the lack of mechanisms and procedures needed to ensure the region's sustainable development, implied impacts on local livelihoods, community displacement, increased gender inequality, and environmental risks. Regarding operations, this entailed delays in developing and implementing an environmental, health and safety management system, which led to deficiencies in waste management, food and transportation provisioning for workers, and potable water supply. Measures to protect biodiversity were also delayed.

3. Safeguards contribution:

PIC's main positive impact is the generation of new employment, which improves the community's quality of life and promotes long-term economic development. IDB's efforts contributed to create and improve institutional capacities by supporting the park's management agency. For resettled families, IDB ensured that right compensation was provided. In relation to the protection of the environment, IDB played a major role by creating the Three Bays National Park, supporting baseline studies and a management plan. Studies considering short and long-term hazards were included, however, although documents and plans exist, their implementation is a complex matter pending to be resolved.

4. Performance beyond Safeguards:

- Environmental, health and safety management system: waste management, transportation and safety for workers; food provisioning.
- In 2013, the Three Bays National Park was declared a protected area in order to help mitigate PIC's direct, indirect and cumulative impacts.

5. Envision: achievements and gaps:

The evaluation illustrates scattered achievements in all categories. Quality of life shows the contribution of the project to the sustainable development of the community; however, more can be done to integrate the most vulnerable groups. Leadership reflects the efforts related to strengthen management capacities to ensure sustainable operations. Sustainability gaps in Resource Allocation and Natural World show that more can be done in relation to the sustainable use of resources and the protection of the environment in the park's site, especially water. Climate and Risk illustrates the inclusion of a climate threat assessment, however, actions to increase resilience, as was well as GHG emissions and air pollutant reduction strategies, are pending.

C08 / CARACOL INDUSTRIAL PARK (PIC)

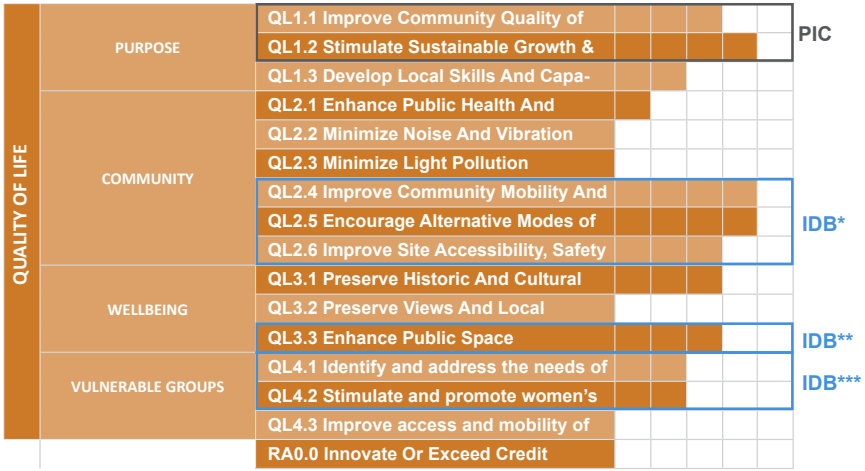
Industrial park facilities to develop Haiti's Northern Region / Haiti

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	2008 project agreement (Gov. of Haiti, US Gov., IDB) Site assigned by government			**2011 IDB's 1st grant approved** 2011 ESIA completed 2011 Construction started	2012 Operations started 2013 Three Bays National Park 2015 Additional studies 2020 End of IDB's operations
IMPACTS	Lack of mechanisms and procedures to ensure planned development.	Impacts on local livelihoods, displacement of communities, increase gender inequalities, and environmental risks.		Mitigation measures to protect biodiversity Lack of an Environmental, health and safety management system Emissions, dust generation, noise, water, groundwater, soil quality, waste, and social.	Deficiencies in waste management, food and transportation for workers, and potable water supply.
IDB - CONTRIBU-				Create and improve institutional capacities Ensure right compensation for resettled families Short-term and long-term hazards studies	Creation of the Three Bays National Park (national protected area) Support for the creation of a Environmental, health and safety management system
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life QL1.2 Stimulate Sustainable Growth & Development LD2.2 Improve Infrastructure Integration			QL2.4 Improve Community Mobility And Access QL2.5 Encourage Alternative Modes of Transportation QL2.6 Improve Site Accessibility, Safety & Wayfinding QL3.1 Preserve Historic And Cultural Resources QL3.3 Enhance Public Space LD1.1 Provide Effective Leadership And Commitment* LD1.2 Establish A Sustainability Management System* LD1.3 Foster Collaboration And Teamwork* LD1.4 Provide For Stakeholder Involvement*	LD3.1 Plan For Long-Term Monitoring & Maintenance* RA1.6 Reduce Excavated Materials Taken Off Site RA3.1 Protect Fresh Water Availability NW1.1 Preserve Prime Habitat NW2.3 Prevent Surface and Groundwater Contamination NW3.3 Restore Disturbed Soils NW3.4 Maintain Wetland and Surface Water Functions CR2.1 Assess Climate Threat CR2.3 Prepare For Long-Term Adaptability

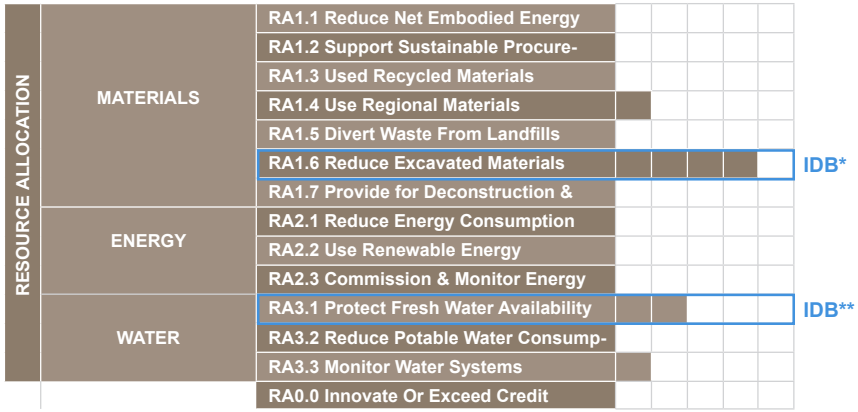
Envision evaluation, 2015: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).
* Credits with low scores, but relevant in relation to IDB contributions

C08 / CARACOL INDUSTRIAL PARK (PIC)

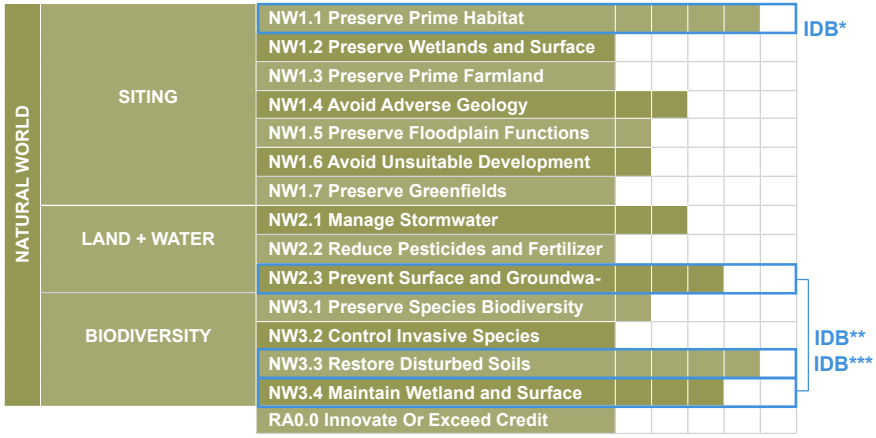


* IDB mobility plans / Emerging and sustainable cities initiative
** Regional plans: green corridors / Three Bays National Park (PN3B)
*** IDB's gender equality policy

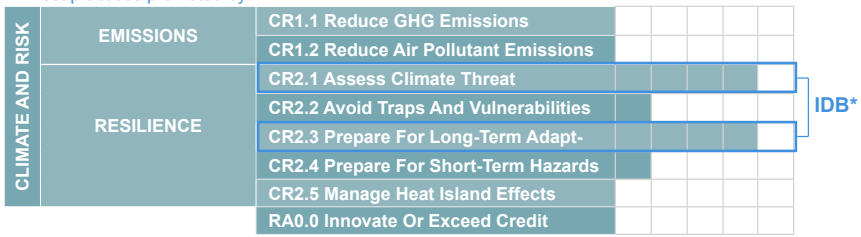
* Create and improve institutional capacities / Support of management agency
IDB efforts to engage stakeholders included in plans (ESMR / ESHS)
** Plans to improve synergies between PIC and other types of infrastructure
IDB supervision until 2020 / Support to the EHS management system



* Construction best practices promoted by IDB
** Water Availability and Integrated Water Resources Management assessment conducted by IDB



* Creation of the Three Bays National Park
** Water assessments and monitoring program / Aquatic baseline studies PN3B
*** Best practices promoted by IDB



* Disaster Risk Assessment (DRA), Disaster Risk Management (DRM), and Climate Change Adaptation (CCA) Plans.

CASE 09

Project: Serra do Mar and Atlantic Forest Mosaics System Socio-environmental Recovery / BR-L1241 / Brazil
Type: Environment and Natural Disasters - Natural resources and resettlement
Total cost: US$470 million (IDB loan US$162 million)
Safeguards specialist: Ernani Pilla
Sponsor: Government of Sao Paulo / Ministry of Housing and Ministry of Environment

1. Description

The program includes social investments for families in risk-prone areas, and creation and monitoring of ecological conservation units. New infrastructure includes construction of new housing and park facilities. The preparations for the program began in 2008, and IDB actively participated in the design of the project from its earlier stages. Authorities didn't require an EIA, however, IDB asked for a Simplified Environmental Analysis (EAS), focusing on social and resettlement requirements. IDB also included an institutional and financial consultancy, as well as a consultancy for the monitoring and auditing plan. The loan was approved in September 2010 and is scheduled to conclude at the end of 2016.

2. Challenges:

The project faced a twofold social challenge; first, not increasing vulnerabilities of families already living in precarious conditions and second, integrating the families into the process to provide resettlement alternatives according to their needs. Challenges were resolved, but local political problems related to the location of park facilities, such as the Botanical Garden, were difficult to resolve. IDB could mediate to reach a timely resolution, but not support any involved municipality.

3. Safeguards contribution:

The program promoted the conservation, sustainable use, and socio-environmental recovery of a high-valuable ecosystem, generating social and ecological benefits for the region. Safeguards ensured that the resettlement process was based on meaningful community participation. This empowered the community and generated multiple benefits and social initiatives proposed by the same community.[17] The process started by creating a multi-criteria matrix in order to identify specific needs and prioritize most vulnerable groups. This led the team to provide case-by-case solutions and alternatives. A post-resettlement plan was also considered, including specialized personnel to support families in the process of adapting to live in community in the new housing projects.

4. Performance beyond Safeguards:

- The Safeguards' social goals are aspirational. Specialists tried to implement programs driven by the community participation process.
- Social programs came from the community. They communicated their needs and this generated a search for specific solutions.
- IDB's role was to facilitate the process of stakeholder engagement.
- Provide a broad range of housing options for resettled families, according to their specific needs, and support to new communities.

5. Envision: achievements and gaps:

The evaluation demonstrates the program's solid levels of achievement in Quality of life and Leadership, reflecting the strong work conducted with the community and the integration of different institutions involved in managing the program. On the other hand, sustainability gaps correspond to Resource Allocation and Climate and Risk. More considerations regarding the supply chain and sustainable use of limited resources are necessary, as well as integrating a climate risk assessment and adaptation plan to guide housing siting alternatives and design. Natural World presents strong achievements related to environmental preservation and biodiversity, however, studies and measures regarding water bodies and aquatic ecosystems are missing.

[17] Project Com Com and Art offices: https://www.youtube.com/watch?v=aIy1YRIAeHg

C09 / SERRA DO MAR SOCIO-ENVIRONMENTAL RECOVERY

Resettlement of families living in risk-prone areas and protection of ecological conservation units / Brazil

TIME

	Planning	Preparation	Design	Construction	Operation
FACTS	2008 Preparations for the program. The Bank actively participated since the begining.	2009 ESR	**2010 IDB Loan's approval**		2016 Conclusion of program
IMPACTS	Restore prime habitat and increase biodiversity Reduce water pollution by informal housing sewerage Improve livelihoods of families living in informal housing	Social challenge: not increase the vulnerability of resettled families.Integrate families into the process.	Political problems: location of park's facilities	New housing construction and park facilities Potential disruption of livelihoods	Adaptation of families living new housing projects Protection of restored habitat
IDB - CONTRIBUTION	Simplified Environmental Analysis (EAS). Coordination between the agencies involved.	Institutional and financial consultancy. Monitoring and auditing plan. Multi-criteria matrix analysis to identify community needs. Facilitate the process of stakeholder engagement.	Resettlement based on community participation. Provide case-by-case solutions and alternatives. Support community initiatives and social programs.	Mitigate construction impacts	Post-resettlement plan (families support)
ENVISION HIGH PERFORMANCE	QL1.1 Improve Community Quality of Life QL1.2 Stimulate Sustainable Growth & Development QL1.3 Develop Local Skills And Capabilities LD1.1 Provide Effective Leadership And Commitment LD1.2 Establish A Sustainability Management System LD1.3 Foster Collaboration And Teamwork NW1.1 Preserve Prime Habitat NW3.1 Preserve Species Biodiversity CR2.4 Prepare For Short-Term Hazards	QL3.1 Preserve Historic And Cultural Resources QL3.2 Preserve Views And Local Character QL4.1 Identify and address the needs of minorities LD1.4 Provide For Stakeholder Involvement LD2.2 Improve Infrastructure Integration NW2.3 Prevent Surface and Groundwater Contamination NW3.2 Control Invasive Species	QL2.4 Improve Community Mobility And Access QL2.5 Encourage Alternative Modes of Transportation QL2.6 Improve Site Accessibility, Safety & Wayfinding QL3.3 Enhance Public Space RA2.2 Use Renewable Energy RA3.1 Protect Fresh Water Availability NW1.4 Avoid Adverse Geology NW1.6 Avoid Unsuitable Development on Steep Slopes	NW3.3 Restore Disturbed Soils	LD3.1 Plan For Long-Term Monitoring & Maintenance

Envision evaluation, 2015: Credits with higher scores (including actions promoted by IDB, project's typology, and country's regulations).

C09 / SERRA DO MAR SOCIO-ENVIRONMENTAL RECOVERY

QUALITY OF LIFE	PURPOSE	QL1.1 Improve Community Quality of	National Plans
		QL1.2 Stimulate Sustainable Growth &	
		QL1.3 Develop Local Skills And Capa-	IDB*
	COMMUNITY	QL2.1 Enhance Public Health And	
		QL2.2 Minimize Noise And Vibration	
		QL2.3 Minimize Light Pollution	
		QL2.4 Improve Community Mobility And	
		QL2.5 Encourage Alternative Modes of	
		QL2.6 Improve Site Accessibility, Safety	
	WELLBEING	QL3.1 Preserve Historic And Cultural	IDB**
		QL3.2 Preserve Views And Local	
		QL3.3 Enhance Public Space	
	VULNERABLE GROUPS	QL4.1 Identify and address the needs of	
		QL4.2 Stimulate and promote women's	
		QL4.3 Improve access and mobility of	
		RA0.0 Innovate Or Exceed Credit	IDB***

* Support community initiatives and social programs.
** Social Analysis / Planning considerations
*** Resettlement program

LEADERSHIP	COLLABORATION	LD1.1 Provide Effective Leadership And	
		LD1.2 Establish A Sustainability Man-	IDB*
		LD1.3 Foster Collaboration And Team-	
	MANAGEMENT	LD1.4 Provide For Stakeholder Involve-	IDB**
		LD2.1 Pursue By-Product Synergy	
		LD2.2 Improve Infrastructure Integra-	IDB***
	PLANNING	LD3.1 Plan For Long-Term Monitoring &	
		LD3.2 Address Conflicting Regulations	
		LD3.3 Extend Useful Life	
		RA0.0 Innovate Or Exceed Credit	

* Strengthen institutional capacities / Support to the Program Coordination Unit
** Facilitate the process of stakeholder engagement.
*** Comprehensive intervention (including social and environmental assets) / Long-term monitoring

RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce Net Embodied Energy	
		RA1.2 Support Sustainable Procure-	
		RA1.3 Used Recycled Materials	
		RA1.4 Use Regional Materials	
		RA1.5 Divert Waste From Landfills	
		RA1.6 Reduce Excavated Materials	
		RA1.7 Provide for Deconstruction &	
	ENERGY	RA2.1 Reduce Energy Consumption	
		RA2.2 Use Renewable Energy	IDB*
		RA2.3 Commission & Monitor Energy	
	WATER	RA3.1 Protect Fresh Water Availability	IDB**
		RA3.2 Reduce Potable Water Consump-	
		RA3.3 Monitor Water Systems	
		RA0.0 Innovate Or Exceed Credit	

* Solar panels for water heating in housing projects
** Protect and rehabilitate freshwater resources / Reuse of water in park buildings

NATURAL WORLD	SITING	NW1.1 Preserve Prime Habitat	Program
		NW1.2 Preserve Wetlands and Surface	
		NW1.3 Preserve Prime Farmland	
		NW1.4 Avoid Adverse Geology	Program
		NW1.5 Preserve Floodplain Functions	
		NW1.6 Avoid Unsuitable Development	Program
		NW1.7 Preserve Greenfields	
	LAND + WATER	NW2.1 Manage Stormwater	
		NW2.2 Reduce Pesticides and Fertilizer	
		NW2.3 Prevent Surface and Groundwa-	
	BIODIVERSITY	NW3.1 Preserve Species Biodiversity	Program
		NW3.2 Control Invasive Species	
		NW3.3 Restore Disturbed Soils	IDB*
		NW3.4 Maintain Wetland and Surface	
		RA0.0 Innovate Or Exceed Credit	IDB**

* Restoration with native species of areas previously occupied with informal housing
** Innovative ecosystem approach, combining a social and environmental perspective

CLIMATE AND RISK	EMISSIONS	CR1.1 Reduce GHG Emissions	
		CR1.2 Reduce Air Pollutant Emissions	
	RESILIENCE	CR2.1 Assess Climate Threat	
		CR2.2 Avoid Traps And Vulnerabilities	
		CR2.3 Prepare For Long-Term Adapt-	
		CR2.4 Prepare For Short-Term Hazards	Program
		CR2.5 Manage Heat Island Effects	
		RA0.0 Innovate Or Exceed Credit	

Nine projects Envision credits summary and IDB's contributions

ENVISION				MAX.	C01	C02	C03	C04	C05	C06	C07	C08	C09	Contribution	Actions
N	Cat.	Subcategories	Credits	PT.	PT.	PT.	PT.	PT.	PT.	PT.	PT.	PT.	PT.	by:	
1	QUALITY OF LIFE	PURPOSE	QL1.1 Improve Community Quality of Life	25	10	20	2	20	20	10	20	10	25	National Plans	Promote social welfare
2			QL1.2 Stimulate Sustainable Growth & Development	16	13	5	1	13	13	5	5	13	16		Economic development
3			QL1.3 Develop Local Skills And Capabilities	15	2	12	0	12	15	1	12	2	15	IDB	Sustainable development
4		COMMUNITY	QL2.1 Enhance Public Health And Safety	16	16	16	0	2	0	2	2	2	0		
5			QL2.2 Minimize Noise And Vibration	11	8	8	8	8	8	1	8	0	1	IDB	Health and safetly
6			QL2.3 Minimize Light Pollution	11	8	0	0	0	0	0	8	0	1		
7			QL2.4 Improve Community Mobility And Access	14	0	14	14	1	4	4	7	14	14	IDB	Accesibility - Planning
8			QL2.5 Encourage Alternative Modes of Transportation	15	0	0	0	0	0	0	1	12	6		
9			QL2.6 Improve Site Accessibility, Safety & Wayfinding	15	6	3	0	3	6	0	12	6	6	IDB	Health and safetly
10		WELLBEING	QL3.1 Preserve Historic And Cultural Resources	16	0	1	0	7	13	13	13	7	13		Preservation of cultural resources
11			QL3.2 Preserve Views And Local Character	14	0	1	1	1	0	6	1	0	6		
12			QL3.3 Enhance Public Space	13	1	0	0	1	11	11	6	6	13	IDB	Improve quality of life
13		VULNERABLE GROUPS	QL 4.1 Identify and address the needs of women and diverse communities*	4	0	0	0	0	0	0	4	2	3	IDB	Gender equality
14			QL4.2 Stimulate and promote women's economic empowerment*	4	0	0	0	0	0	0	3	2	1		Vulnerable groups
15			QL4.3 Improve access and mobility of women and diverse communities*	5	0	0	0	0	0	0	2	0	0		
			QL0.0 Innovate Or Exceed Credit Requirements	0	0	0	0	0	8	8	8	0	8	IDB	Innovation in social programs
			QL	194	64	80	26	68	98	61	112	76	128		
16	LEADERSHIP	COLLABORATION	LD1.1 Provide Effective Leadership And Commitment	17	9	9	4	9	17	9	9	4	17	IDB	Raise capacities, improve management systems, promote teamwork, and foster stakeholder engagement.
17			LD1.2 Establish A Sustainability Management System	14	7	4	4	7	7	4	7	4	14		
18			LD1.3 Foster Collaboration And Teamwork	15	8	8	4	8	4	4	4	4	8		
19			LD1.4 Provide For Stakeholder Involvement	14	5	14	1	5	5	14	14	5	14		
20		MNGMT.	LD2.1 Pursue By-Product Synergy Opportunities	15	1	0	0	0	0	0	1	0	0		
21			LD2.2 Improve Infrastructure Integration	16	7	7	7	7	3	16	13	7	16	IDB	Planning - Systems integration
22		PLANNING	LD3.1 Plan For Long-Term Monitoring & Maintenance	10	10	10	10	10	10	3	3	3	10		Long-term monitoring
23			LD3.2 Address Conflicting Regulations & Policies	8	8	0	0	4	1	0	0	0	2		
24			LD3.3 Extend Useful Life	12	6	1	3	3	0	0	3	0	3		
			LD0.0 Innovate Or Exceed Credit Requirements	0	0	0	0	0	0	0	0	0	6		
			LD	121	61	53	33	53	47	50	54	27	90		
25	RESOURCE ALLOCATION	MATERIALS	RA1.1 Reduce Net Embodied Energy	18	0	0	0	0	0	0	0	0	2		
26			RA1.2 Support Sustainable Procurement Practices	9	0	6	2	0	2	0	3	0	2		
27			RA1.3 Used Recycled Materials	14	5	5	0	0	0	0	0	0	0		
28			RA1.4 Use Regional Materials	10	6	3	0	0	0	0	10	3	0		
29			RA1.5 Divert Waste From Landfills	11	6	8	3	6	3	0	8	0	0	IDB	Best construction practices
30			RA1.6 Reduce Excavated Materials Taken Off Site	6	5	6	6	6	6	6	6	6	2		
31			RA1.7 Provide for Deconstruction & Recycling	12	0	8	0	0	0	0	1	0	1		
32		ENERGY	RA2.1 Reduce Energy Consumption	18	7	0	0	0	0	7	12	0	7		
33			RA2.2 Use Renewable Energy	20	4	20	20	0	20	0	0	0	13	Project typology	Energy sector projects
34			RA2.3 Commission & Monitor Energy Systems	11	11	11	11	3	11	11	0	0	0		
35		WATER	RA3.1 Protect Fresh Water Availability	21	2	2	2	17	17	9	2	4	9	IDB	Protect water resources
36			RA3.2 Reduce Potable Water Consumption	21	4	0	0	0	0	4	0	0	0		
37			RA3.3 Monitor Water Systems	11	11	1	3	6	0	6	0	1	0	IDB	Programs to monitor water
			RA0.0 Innovate Or Exceed Credit Requirements	0	0	0	0	0	0	0	0	0	0		
			RA	182	61	70	47	38	59	43	42	14	36		

ENVISION				MAX.	C01	C02	C03	C04	C05	C06	C07	C08	C09	Contribution	Actions
N	Cat.	Subcategories	Credits	PT.	PT.	PT.	PT.	PT.	PT.	PT.	PT.	PT.	PT.	by:	
38	NATURAL WORLD	SITING	NW1.1 Preserve Prime Habitat	18	14	9	14	14	9	0	18	14	18	IDB	Preservation of the environment
39			NW1.2 Preserve Wetlands and Surface Water	18	9	1	0	14	1	0	4	0	4		
40			NW1.3 Preserve Prime Farmland	15	12	6	12	0	6	0	0	0	0		
41			NW1.4 Avoid Adverse Geology	5	2	5	0	3	1	1	3	2	3	Site	Site selection / Alternatives
42			NW1.5 Preserve Floodplain Functions	14	0	5	0	8	5	0	5	2	5		
43			NW1.6 Avoid Unsuitable Development on Steep Slopes	6	4	6	1	6	6	1	4	1	6	Site	Site selection / Alternatives
44			NW1.7 Preserve Greenfields	23	23	0	0	0	0	6	3	0	0		
45		L & W	NW2.1 Manage Stormwater	21	4	17	0	21	9	0	4	4	4	IDB	Water management plans
46			NW2.2 Reduce Pesticides and Fertilizer Impacts	9	1	0	0	2	0	9	1	0	1		
47			NW2.3 Prevent Surface and Groundwater Contamination	18	9	4	1	9	4	4	9	9	14	IDB	Preservation and restoration of the environnment to minimize negative impacts.
48		BIODIVERSITY	NW3.1 Preserve Species Biodiversity	16	0	2	2	13	2	0	16	2	16		
49			NW3.2 Control Invasive Species	11	5	0	0	11	11	5	9	0	5		
50			NW3.3 Restore Disturbed Soils	10	8	8	0	8	8	8	8	8	8		
51			NW3.4 Maintain Wetland and Surface Water Functions	19	6	15	0	15	15	0	15	9	6		
			NW0.0 Innovate or Exceed Credit Requirements	0	0	0	0	0	0	0	9	0	9		
			NW	203	97	78	30	124	77	34	108	51	99		
52	CLIMATE AND RISK	EMISSION	CR1.1 Reduce Greenhouse Gas Emissions	25	4	25	25	4	25	7	4	0	0	Project typology + IDB	Renewable energy projects
53			CR1.2 Reduce Air Pollutant Emissions	15	2	12	15	2	12	0	0	0	0		
54		RESILENCE	CR2.1 Assess Climate Threat	15	0	0	0	0	0	0	0	15	0		
55			CR2.2 Avoid Traps And Vulnerabilities	20	0	16	2	0	0	0	0	2	2		
56			CR2.3 Prepare For Long-Term Adaptability	20	0	0	0	0	0	0	0	16	0		
57			CR2.4 Prepare For Short-Term Hazards	21	10	0	10	10	10	17	17	3	21	Country + IDB	Local risk analysis
58			CR2.5 Manage Heat Island Effects	6	0	0	0	0	0	0	0	0	1		
			CR0.0 Innovate Or Exceed Credit Requirements	0	0	5	0	0	0	0	0	0	0		
			CR	122	16	58	52	16	47	24	21	36	24		
			Total points	822	299	339	104	299	328	212	337	204	377		

* Credits included in 2015 Envision Evaluations

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