



THE LABOUR AND GENDER RELATED SAFEGUARD FRAMEWORKS OF INTERNATIONAL FINANCIAL INSTITUTIONS

A TRADE UNION GUIDE



This toolkit was prepared and written by Jess Whelligan for the Women's Department of the International Transport Workers' Federation (ITF).

ABOUT THE ITF

THE INTERNATIONAL TRANSPORT WORKERS' FEDERATION (ITF) IS A DEMOCRATIC, AFFILIATE-LED GLOBAL FEDERATION OF TRANSPORT WORKERS' UNIONS IN 147 COUNTRIES, REPRESENTING ALMOST 20 MILLION WORKING WOMEN AND MEN IN ALL TRANSPORT SECTORS. THE ITF PASSIONATELY CAMPAIGNS FOR TRANSPORT WORKERS' RIGHTS, EQUALITY AND JUSTICE.

THE ITF WOMEN'S DEPARTMENT WORKS WITH THE ITF WOMEN TRANSPORT WORKERS' COMMITTEE, TO SUPPORT ITF AFFILIATES TO ORGANISE AND MOBILISE MORE WOMEN TRANSPORT WORKERS AND MAXIMISE OUR GLOBAL INFLUENCE AND TRANSPORT WORKPLACE POWER. OUR AIM IS TO STRENGTHEN THEIR COLLECTIVE VOICE TO WIN BETTER CONDITIONS FOR WOMEN TRANSPORT WORKERS AROUND THE WORLD. KEY ISSUES INCLUDE GENDER-BASED OCCUPATIONAL SEGREGATION, ACCESS TO DECENT PAY AND JOBS, AND THE RIGHT TO WORK FREE FROM VIOLENCE, SEXUAL HARASSMENT AND SEXUAL COERCION.

ABOUT THE AUTHOR

Jess Whelligan is a PhD candidate in the Department of International Development at SOAS, University of London. She holds Masters degrees in International Law and Research for International Development. She is Co-Director of the Global Labour Institute (GLI), a not-for-profit research and education organisation serving the international labour movement, based in Manchester, UK.

ACKNOWLEDGEMENTS

The author would like to thank the following people for their invaluable advice in supporting the development of this toolkit: Jonathan Kaufman (Advocates for Alternatives); Caitlin Daniel, Margaux Day and Megumi Tsutsui (Accountability Counsel); Leo Baunach (ITUC) and Sonia Dias and Mike Bird (WIEGO).

Thanks also to Kathryn Leuch for the preparation of the preliminary research on which this guide is based

TRADE UNION TOOLKIT

This guide forms part of the ITF Take Action Trade Union Toolkit on the safeguard frameworks of international financial institutions (IFIs) such as the World Bank and International Finance Corporation (IFC).

The toolkit aims to act as an educational and practical resource for trade union activists to understand and strategically engage with the safeguard frameworks of IFIs, with a particular focus on how such safeguards can be utilised by unions to support women transport workers.

The **toolkit** consists of:

- This trade union guide;
- a 3-page quick reference summary (included in guide, and available [here](#));
- a COVID-19 and IFIs briefing (available [here](#)); and
- a power point presentation for educators. (available [here](#)).

All toolkit resources can be found at:
www.itfglobal.org

November 2021

CONTENTS

| | | | |
|---|-----------|---|-----------|
| TRADE UNION TOOLKIT | 3 | INDEPENDENT ACCOUNTABILITY | |
| ABBREVIATIONS | 5 | MECHANISMS (IAMS) | 37 |
| QUICK REFERENCE | 6 | <i>In focus: IFI INDEPENDENT ACCOUNTABILITY</i> | |
| INTRODUCTION | 9 | MECHANISMS AND TRANSPORT TRADE UNIONS | 39 |
| Content | 10 | <i>In focus: GENDER AT THE WORLD BANK'S</i> | |
| Structure | 10 | INSPECTION PANEL | 41 |
| 1. WHAT ARE IFIs? | 11 | <i>In focus: INFORMAL TRANSPORT WORKERS</i> | |
| The World Bank | 12 | DEMAND A JUST TRANSITION IN IFI-FINANCED | |
| The International Finance Corporation (IFC) | 13 | URBAN TRANSPORT REFORM PROJECTS | 42 |
| Regional Development Banks | 13 | 4. INTERVENING IN THE IFI PROJECT CYCLE | 45 |
| New Development Banks | 13 | The IFI project cycle | 45 |
| IFI POLICY: FROM SAPS TO 'MAXIMIZING | | Union interventions in the project cycle | 47 |
| FINANCE FOR DEVELOPMENT' | 14 | Our priorities | 48 |
| 2. WHAT ARE IFI SAFEGUARDS? | 16 | QUICK REFERENCE TABLE: UNION | |
| 3. ENGAGING WITH IFI SAFEGUARDS | 18 | INTERVENTIONS IN THE PROJECT CYCLE | 49 |
| Project workers and 'project-affected people' | 19 | 5. RESOURCES | 52 |
| Engaging with different IFIs | 19 | ITF Resources | 52 |
| ENVIRONMENTAL AND SOCIAL FRAMEWORKS | 20 | Further Resources | 53 |
| GENERAL SAFEGUARD PROVISIONS | 21 | 6. IFI PROFILES | 56 |
| Environmental and social impact assessments | 21 | WORLD BANK | 56 |
| Stakeholder engagement/Information Disclosure | 22 | IFC | 60 |
| Project-level Grievance Mechanisms | 23 | AfDB | 62 |
| ECONOMIC DISPLACEMENT SAFEGUARDS | 24 | ADB | 64 |
| Gendered aspects of economic displacement | 24 | AIIB | 66 |
| LABOUR SAFEGUARDS | 26 | EBRD | 67 |
| Scope/applicability to transport workers | 26 | IDB/IADB | 69 |
| Content | 27 | NDB | 71 |
| IFIs without dedicated labour safeguards | | ANNEX 1: IFC Labour Portal - Communication | |
| (AIIB, NDB, ADB) | 31 | Form for Issues under PS2 | 72 |
| Dedicated Labour Safeguard/Trade Union | | ANNEX 2: EBRD Trade Union Communication | |
| Communication Mechanisms | 31 | Mechanism form | 74 |
| GENDER-RELATED SAFEGUARDS | 32 | | |
| Environmental and Social Impact Assessments | 32 | | |
| Stakeholder Consultation | 32 | | |
| Economic displacement | 34 | | |
| Labour safeguards | 34 | | |
| IDB's Gender Safeguard: ESPS 9: Gender Equality | 34 | | |
| Beyond safeguards: IFI gender strategies/Policies | 35 | | |

LIST OF BOXES

| | |
|--|----|
| 1. World Bank Group | 12 |
| 2. World Bank financed urban transport projects | 12 |
| 3. IFC financed transport projects | 13 |
| 4. Sustainable Development Goals (SDGs) | 14 |
| 5. 'IFI watchers' | 15 |
| 6. IFC PS 2, Objectives | 17 |
| 7. IDB ESPS 9, Objectives | 17 |
| 8. IFI ESF/Safeguard Policies | 20 |
| 9. IFC PS 1, Objectives | 21 |
| 10. Guidance Notes/Good Practice Notes | 22 |
| 11. Economic displacement | 24 |
| 12. Applicability of economic displacement | |
| safeguards to displaced transport workers | 25 |
| 13. FI labour safeguards | 26 |
| 14. IFI 'project workers' | 27 |
| 15. Direct and contracted workers in Bogota's | |
| IFC-financed Transmilenio BRT extension | 28 |
| 16. ILO Core Labour Standards | 28 |
| 17. World Bank's ESS2 on 'workers' organisations' | 29 |
| 18. C190 | 30 |
| 19. Dedicated gender safeguard | 32 |
| 20. ITF Sanitation Charter | 32 |
| 21. Entry points for addressing gender gaps in the | |
| World Bank's ESF | 33 |
| 22. IFI gender policies | 36 |
| 23. Independent Accountability Mechanisms | 37 |

IN FOCUS

| | |
|--|----|
| <i>In focus:</i> IFI Independent Accountability Mechanisms And Transport Trade Unions | 39 |
| <i>In focus:</i> Gender At The World Bank's Inspection Panel | 41 |
| <i>In focus:</i> Informal Transport Workers Demand A Just Transition In Ifi-Financed Urban Transport Reform Projects | 42 |

ABBREVIATIONS

| |
|---|
| AfDB African Development Bank |
| ADB Asian Development Bank |
| BRT Bus Rapid Transit |
| CAO Compliance Advisor Ombudsman |
| CPF Country Partnership Framework |
| DPF Development Policy Financing |
| EBRD European Bank for Reconstruction and Development |
| EIB European Investment Bank |
| ESIA Environmental and Social Impact Assessment |
| ESCP Environmental and Social Commitment Plan |
| ESPS Environmental and Social Performance Standards |
| ESS Environmental and Social Standard |
| FI Financial intermediary |
| GUF Global union federation |
| IDB/IADB Inter-American Development Bank |
| IFC International Finance Corporation |
| ICSID International Centre for the Settlement of Investment Disputes |
| IP Inspection Panel |
| IPF Investment Project Financing |
| IRM Independent Review Mechanism |
| ITUC International Trade Union Confederation |
| MDB Multilateral Development Bank |
| MIGA Multilateral Investment Guarantee Agency |
| NDB New Development Bank |
| PR Performance Requirement |
| PS Performance Standard |
| PSI Public Services International |
| RDB Regional Development Bank |
| WBG World Bank Group |

QUICK REFERENCE

What are IFIs?

International Financial Institutions (IFIs) like the World Bank are public finance institutions governed by their member states. They provide loans, grants, equity investment (i.e. buying shares), insurance guarantees and technical assistance to governments, public entities and private companies in low and middle-income countries, with the stated aim of promoting sustainable economic development and reducing poverty.

What are IFI safeguards?

Each IFI has a set of 'safeguards' that stipulate the basic environmental and social protective standards which must be met by borrowers in order to receive IFI finance. Requirements of IFI safeguards become legally binding through their inclusion in contractual agreements between IFIs and borrowers.

Why do IFI safeguards matter to transport trade unions?

IFIs impact the lives of many millions of transport workers across the world as a result of their investments in the transport sector, whether this is through lending money to governments or municipalities to support the development of new transport infrastructure or through lending to private transport companies. While lacking in many respects, IFI safeguards set out a number of protections which apply to workers employed directly and indirectly by a borrower and – to a lesser extent - those engaged in a borrower's supply chain ('**project workers**') as well as to workers whose jobs and livelihoods are negatively impacted by an IFI-financed project ('**project-affected parties**'). IFI safeguards also contain specific provisions dedicated to protecting the rights of women and gender equality.

Because they are linked to accessing significant amounts of finance, safeguards can provide an important source of leverage for trade unions to attempt to positively shape the design of transport projects in the interests of women workers and communities, demand improved working terms and conditions and protect their rights, as well as to hold IFIs and borrowers – whether they be governments or private employers – to account.

Which IFI safeguards are most useful to transport trade unions?

General safeguards

IFI safeguard systems generally require borrowers to assess the anticipated environmental and social impacts and risks of planned IFI-financed projects, to consult with project 'stakeholders' (i.e. those affected by or interested in a project), to disclose relevant information and to establish grievance mechanisms to allow those affected by a project to raise concerns and complaints with the borrower throughout the project's implementation phase. Most IFIs also have an 'independent accountability mechanism' (IAM) to which those whose rights or interests have been, or are likely to be, negatively impacted by an IFI-financed project can submit a complaint.

These '**general safeguards**' apply to both 'project workers' – i.e. those employed directly or indirectly by a borrower or engaged in their supply chains - as well as 'project-affected parties', including those whose jobs are negatively impacted by IFI projects. In many cases these general safeguards have specific provisions addressing women's rights and gender equality. For example, IFIs often require borrowers to take into account 'gender-specific risks' as part of their environmental and social impact assessments.

Labour safeguards

Many IFIs have dedicated 'labour safeguards' which set out basic protections for workers employed by a borrower, including those who are employed indirectly through a contractor and – to a lesser extent - those engaged in a borrower's supply chain. The World Bank calls these workers '**project workers**'. Labour safeguards typically cover requirements related to: child and forced labour; occupational health and safety; retrenchment; workers' organisations; non-discrimination and equal opportunity; labour grievance mechanisms; working conditions and terms of employment.

Labour safeguards include a limited number of gender-specific components dedicated to protecting women workers and promoting gender equality. Such components are generally included as part of requirements related to occupational safety and health (OSH), and the right to non-discrimination and equal opportunity. In some cases IFIs require project-level labour grievance mechanisms to be established that include special measures to facilitate the reporting of gender-based violence (GBV).

Economic displacement safeguards

IFI safeguard systems generally require borrowers to avoid, and where avoidance is not possible, mitigate the risk of loss of jobs and livelihoods resulting from the implementation of an IFI-financed project. In cases where such '**economic displacement**' is identified, borrowers are required to consult with 'project-affected parties' whose jobs are negatively impacted by a project and prepare a plan outlining measures aimed at restoring or improving the incomes or livelihoods of those impacted.

Borrowers are generally required to take into account gendered aspects of economic displacement (i.e. how men and women may be impacted differently by a project) and to put in place special measures to allow women to access alternative livelihood opportunities if they have been displaced.

Gender-related safeguards

Women's rights and gender equality are poorly protected by most IFI safeguard frameworks. In fact, only one IFI - the Inter-American Development Bank (IDB) - has a safeguard specifically dedicated to the protection of gender equality. However, women's and gender rights are often covered in the sub-components of other IFI safeguards, including those addressing environmental and social risk assessments, stakeholder engagement, labour protections and economic displacement. Such safeguards can be of use to women who are employed directly or indirectly by a borrower ('project workers') as well as those whose jobs are negatively impacted by IFI projects ('project-affected people').

The scope and content of gender-related provisions varies a great deal between IFIs, but where they exist important **gender-related safeguards** include the requirement for borrowers to assess and manage the gender-specific risks of a project, including those related to economic displacement; to include women in stakeholder participation processes; to implement measures to prevent and protect against gender-based violence (GBV); to protect the right to non-discrimination and equal opportunity for 'project workers', and to address gender-specific risks in the design of occupational safety and health (OSH) measures.

How can unions strategically utilise IFI safeguards to support women transport workers?

Key Points for union engagement/intervention with IFIs

- 1) Keep track of IFI activity in your country/sector.** Keeping track of IFI activity in your country/sector allows unions to intervene early in the project cycle. This can be done in a number of ways, including regularly checking IFI project disclosure webpages and signing up to the ITF EBRD/IFC mailing list to receive monthly emails containing early transport project disclosures from the IFC and EBRD (see details below).
- 2) Intervene early in the project cycle.** It is crucial for trade unions to intervene at an early stage in the project cycle in order to influence the project's design and make sure that labour and gender-related risks and impacts, as well as those associated with economic displacement are – where relevant - recognised and appropriate protective and proactive measures are put in place by the borrower.
- 3) Build alliances.** IFI financed projects can impact a huge range of people and therefore provide opportunities to build powerful movements capable of positively shaping a project's design and implementation in the interests of women workers and communities.

It is also important to remember that IFIs are – for the most part – lending out public money ultimately derived from the contributions of taxpayers across the world. The demand that public money should be spent on genuinely publically beneficial projects and be subject to democratic processes of transparency and accountability, is a powerful and unifying rallying call.

- 4) Demand the implementation of existing safeguards.** Trade unions have a crucial role to play in making sure that IFI safeguards related to labour, gender and economic displacement are, as appropriate, applied and implemented in practice.
- 5) Monitor compliance with safeguards and bring complaints in cases of violations.** Trade unions have a key role to play in monitoring borrower and contractor compliance with relevant safeguards, documenting violations and supporting worker complaints to grievance mechanisms, including project level grievance mechanisms and independent accountability mechanisms (IAMs).

6) Evaluate IFI projects and share experiences. Unions, their Global Union Federations (GUFs) and the ITUC play an important role in collecting information and workers' testimonies from IFI projects to both inform strategic union engagement with IFIs in the future as well as highlighting recurrent problems with borrowers and contractors, as well as gaps and weaknesses in IFI safeguard systems.

7) Access support from the ITF and the ITUC. The ITF and ITUC have many years of experience in both challenging and strategically engaging with IFIs, for example, through supporting unions to bring complaints to Independent Accountability Mechanisms (IAMs) and more recently commissioning labour impact assessments to highlight the negative livelihood impacts of IFI-financed bus rapid transit (BRT) systems (see details below).

Our priorities

- 1) Strengthen women's employment and end occupational gender segregation:**¹ IFI financed companies and projects should promote women's employment and implement proactive measures to end occupational gender segregation in the transport industry.
- 2) Promote decent work:** IFI financed companies and projects should promote decent work with strong employment and organisational rights for women workers. This requires terms and conditions that address decent work and labour rights to be included in contracts with employers, including contracted operating companies and sub-contractors.
- 3) End violence against women transport workers:** All IFI projects should incorporate measures to prevent gender-based violence (GBV) in line with the requirements of ILO Convention 190 (ILO C190).
- 4) Women in decision-making/negotiating teams:** Women workers and their representative organisations must be consulted as stakeholders and their views taken into account in project design.
- 5) Trade unions as stakeholders:** Trade unions should be recognised as stakeholders in all IFI-financed transport projects, whether representing workers employed directly or indirectly by borrowers, or workers economically displaced by IFI projects.

6) Worker-led formalisation: IFI-financed projects that economically displace informal transport workers should put in place measures to facilitate a just and worker-led transition from informal to decent formal work for women and men workers.

7) Stronger IFI safeguards. IFI safeguards exist due to decades of pressure from trade unions and other civil society organisations. Trade unions and their allies at local, national, and international level must continue to push for better and stronger safeguards, especially in the area of labour and gender, including demanding that all IFIs adopt dedicated gender safeguards, undertake gender impact assessments for all projects and incorporate the provisions of ILO C190 into their labour safeguards.

For more information on how affiliates can access ITF support related to engaging with IFI safeguards contact: women@itf.org.uk

Sign-up to the ITF EBRD/IFC mailing list to receive monthly emails (English-only) containing early transport project disclosures from the IFC and EBRD: women@itf.org.uk

All resources can be found at: www.itfglobal.org

¹ When we refer to occupational gender segregation, we are talking about the systemic exclusion of women from decent, safe and secure work in the transport and logistics industry.

INTRODUCTION

International financial institutions (IFIs) like the World Bank and the International Finance Corporation (IFC) fund a large number of transport development projects across the world, especially in low and middle-income countries. They also advise governments on transport policy and provide loans to transport companies. For these reasons they impact the lives of millions of transport workers

IFIs have also played a prominent role in providing finance to support governments and companies respond to the COVID-19 pandemic and will continue to do so as countries attempt to rebuild their economies in the longer term.

IFIs do not have a good track record in terms of their impact on working people and have historically been associated with neoliberal policies of privatisation, austerity and labour market flexibilisation, all of which have had profoundly negative impacts on workers and in particular women workers. However, over the course of several decades, pressure from trade unions and other civil society organisations has forced IFIs to adopt mandatory protective environmental and social standards or 'safeguards', which must be implemented by borrowers in order to receive IFI finance.

While lacking in many respects, IFI safeguards set out a number of protections which apply to workers employed directly and indirectly by a borrower and – to a lesser extent – those engaged in a borrower's supply chain (referred to by the World Bank as '**project workers**') as well as to workers whose jobs and livelihoods are negatively impacted by an IFI-financed project ('**project-affected parties**'). IFI safeguards also contain specific provisions dedicated to protecting the rights of women and gender equality.

Because they are linked to accessing significant amounts of finance, safeguards can provide an important source of entry and leverage for trade unions to attempt to positively shape the design of IFI-financed transport projects in the interests of women workers and communities, demand improved working terms and conditions and protect their rights, as well as to hold IFIs and borrowers – whether they be governments or private employers – to account.

As with all formal protections, IFI safeguards offer no guarantee to protect women workers' rights. In cases where they are violated, safeguards may only become effective if they are utilised as a tool by workers and their trade unions to force IFIs and borrowers to comply with their legal obligations. And, even in cases where trade unions do utilise these tools, the wider context within which they operate – most notably their domestic political and legal environment – combined with serious weaknesses in the ability and willingness of IFIs to enforce borrower obligations, may limit the effectiveness of such tools in protecting women workers' rights.

Despite these challenges and limitations, IFI safeguards offer one set of tools amongst many that can be strategically utilised by unions to protect and advance the rights of women transport workers and to hold IFIs, governments and private employers

accountable. This handbook provides a guide to such tools. At the same time, it highlights the many gaps in current safeguard systems, especially in the area of protecting and advancing women's rights and gender equality. It calls for IFIs to substantively improve their safeguard systems, for example, through the adoption of dedicated gender safeguards and the requirement for gender impact assessments to be undertaken for all IFI-investments.

Content

This guide broadly covers the safeguard systems of eight IFIs while focusing on the safeguard systems of the **World Bank and its private sector lending arm, the International Finance Corporation (IFC)**. This is because the World Bank and IFC are the most influential IFIs globally and their safeguard policies have served as models for most other IFIs, as well as donors and the private sector. It also highlights the Inter-American Development Bank's (IDB) 'Gender Equality' safeguard, given that it represents the only instance of a dedicated 'gender safeguard' amongst IFIs. Profiles of each of the eight IFIs covered, and their corresponding safeguard frameworks can be found at the end of this guide.

The IFIs covered in this guide are:

- 1) The World Bank *[in-depth]*
- 2) The International Finance Corporation (IFC) *[in-depth]*
- 3) The Asian Infrastructure Investment Bank (AIIB)
- 4) The African Development Bank (AfDB)
- 5) The Asian Development Bank (ADB)
- 6) The European Bank for Reconstruction and Development (EBRD)
- 7) The Inter-American Development Bank (IDB/IADB)
- 8) The New Development Bank (NDB)

On the basis of their relevance to women transport workers and their unions, this guide focuses on the following IFI safeguards:

General safeguards: safeguards which require borrowers to conduct environmental and social impact assessments (ESIAs); to consult with project 'stakeholders' (i.e. those affected by or interested in a project); to disclose relevant project information, and to establish grievance mechanisms to allow those affected by a project to raise concerns and complaints with the borrower.

Labour safeguards: safeguards which set out basic protections for workers employed by a borrower, including those who are employed indirectly through a contractor and – to a lesser extent – those engaged in a borrower's supply chain.

Economic displacement safeguards: safeguards which set out basic protections for those whose jobs and livelihoods are threatened by the implementation of IFI-financed projects.

Gender-related safeguards: safeguards and components of safeguards which set out basic protections for women and gender equality.

Structure

This guide has six sections:

Section 1: What are IFIs? gives a global overview of IFIs, covering their histories, mandates and policies.

Section 2: What are IFI safeguards? introduces IFI safeguards.

Section 3: Engaging with IFI safeguards provides a practical guide to engaging with IFI safeguards, covering safeguard provisions most relevant to women transport workers and their trade unions, as well as Independent Accountability Mechanisms (IAMs).

Section 4: Intervening in the IFI project cycle explains the IFI project lending cycle, highlighting key points for union intervention as well as our strategic priorities.

Section 5: Resources provides a bibliography of ITF materials and further relevant resources.

Section 6: IFI profiles presents the profiles of individual IFIs and their safeguard frameworks.

HELP US DEVELOP THIS GUIDE

This guide does not claim to offer an exhaustive account of how unions can strategically engage with IFI safeguards to protect and advance the rights of women transport workers. While ITF-affiliated unions have historically successfully utilised labour safeguards to protect workers' rights in a small number of cases, union engagement with IFI safeguard systems has so far been limited, and several IFI safeguard systems are relatively new – and in some cases yet to be fully implemented - meaning that their efficacies are yet to be comprehensively tested. For these reasons, this guide sets out to be a 'living document', which will be amended and updated as our collective knowledge and experience as a movement in this area develops.

We therefore invite affiliates to contact us with their queries and share their experiences related to IFIs and their safeguard frameworks: women@itf.org.uk

1. WHAT ARE IFIS?

International multilateral development banks (MDBs) like the World Bank, and regional multilateral development banks (RDBs) like the African Development Bank (ADB) and the Inter-American Development Bank (IDB) provide loans, and in some cases grants, to governments and private companies in low and middle-income countries, with the stated aim of promoting sustainable economic development and reducing poverty. Along with the International Monetary Fund (IMF), MDBs are collectively known as international financial institutions (IFIs).

MDBs are public finance institutions owned and governed by their member states, with membership sizes ranging from 189 states in the case of the World Bank, to five states in the case of the New Development Bank (NDB). Members of MDBs tend to be divided into borrowing (poorer) and non-borrowing (richer) countries, with non-borrowing countries having the most power over decision-making due to their larger financial contributions. Such power imbalances mean that IFIs have serious 'democratic deficits' and countries that are already rich and powerful are able to have the most influence over their agendas.

While the primary function of IFIs is the provision of finance, they also play important roles in offering technical and policy advice to governments and private companies, as well as conducting and disseminating research on 'development' issues, including transport policy and gender. The World Bank is particularly influential in this respect and its advice and research shapes the direction and content of development policy of governments, donors and other IFIs across the world.

The World Bank

Established in 1944, the **World Bank** is the oldest and one of the largest and most influential IFIs globally. It provides loans, grants and technical advice to governments in low and middle-income countries across the world.

Headquartered in Washington D.C, the World Bank is composed of two organisations: the International Bank for Reconstruction and Development (**IBRD**) and the International Development Association (**IDA**), and is part of the wider World Bank Group (WBG) (see **Box 1**). The IBRD lends mostly to governments in middle-income countries while the IDA provides loans and grants to low-income countries.

BOX 1: WORLD BANK GROUP

The **World Bank Group** is composed of five organisations:

- 1) IBRD:** provides loans at near market interest rates and technical advice to middle-income countries.
- 2) IDA:** provides zero to low interest loans on concessional terms (known as 'credits'), grants and technical advice to low-income countries.
*(together the IBRD and IDA are known as the **World Bank**)*
- 3) IFC:** provides loans, equity (i.e. investment in shares), and technical advice to private companies.
- 4) MIGA:** provides political risk insurance (guarantees) to investors and lenders.
- 5) ICSID:** provides a forum for the arbitration of disputes between investors and governments.

The World Bank has 120 offices worldwide and employs over 10,000 staff. As of 2013, it states that its mission is to '[end extreme poverty and promote shared prosperity in a sustainable way](#)' by 2030.

The World Bank lends money to governments in **two main forms:**

- 1) Project lending**, known as 'Investment Project Financing' (IPF), funds specific projects such as road building and the implementation of new transport systems (see **Box 2**)
- 2) Policy reform lending**, known as 'Development Policy Financing' (DPF), funds World Bank supported institutional and policy reforms, which may include privatisation programmes or labour market reform.

Unlike most other IFIs whose safeguard requirements apply to all investments, the World Bank's Environmental and Social Framework (ESF) safeguards only apply to its 'project lending' activities.

Over the past five years the World Bank has disbursed an average of \$35 billion annually, with \$4.6 billion going to the transportation sector. Regionally, Africa and South Asia receive the most World Bank financing while India, Nigeria and Bangladesh are currently the Bank's 'top country borrowers'.

BOX 2: WORLD BANK FINANCED URBAN TRANSPORT PROJECTS

Examples of World Bank financed projects in the urban transport sector (IPF/project lending)

São Paulo Aricanduva Bus Rapid Transit (BRT) Corridor Project

Country: Brazil
Borrower: Municipality of São Paulo
Lender: IBRD
Amount: US\$ 97 million
Approved: April 2020
Project components: 1) development of BRT corridor; 2) upgrade of bus operational control centre; 3) support for 'project management and capacity building on transport planning and policies', including monitoring and evaluation, and stakeholder/citizen engagement.

Dar es Salaam Urban Transport Improvement Project

Country: Tanzania
Borrower: United Republic of Tanzania (Ministry of Finance and Planning)
Lender: IDA
Amount: US\$ 425 million
Approved: 2017
Project components: 1) development of third/fourth stages of the Dar es Salaam BRT system; 2) improvement of existing infrastructure, including BRT phase one system; 3) support for 'institutional strengthening and reform, ICT innovation, safety net, and transport studies'

Support to the Bogotá Metro Line 1 Section 1 Project

Country: Colombia
Borrower: Empresa Metro de Colombia, SA (Bogota Metro Company)
Lender: IBRD (co-financed with the European Investment Bank (EIB) and the Inter-American Development Bank (IDB))
Amount: US\$ 70 million (EIB: US\$ 53 million; IDB: US\$ 73 million)
Approved: 2019
Project components: 1) development of 'detailed designs, initial construction and work supervision contract' for metro line; 2) 'institutional and policy strengthening'

The International Finance Corporation (IFC)

The **IFC** is the private sector lending arm of the World Bank Group and provides loans, equity (buying shares) and technical advice to companies (including municipal companies), and 'financial intermediaries' (FIs) such as banks and investment funds. Municipalities can also borrow from the IFC. Most of its activities are focused in middle-income countries, though it aims to increase its activities in low-income countries.

Over the past five years it has disbursed almost \$13 billion in investments annually. As of June 30, 2020, the IFC has \$2.4 billion committed in its transport portfolio, which includes investments in ports, airports, logistics, shipping, railways and urban transport (see Box 3).

Both the IFC and World Bank are jointly owned by the World Bank Group's 189 member states. Member states contribute capital to the Bank and receive shares and voting rights in rough proportion to their contribution. This means that the WBG's biggest contributors, which include the US, Japan and the UK, have significantly more power over decision making at the WBG than poorer borrowing countries.

Regional Development Banks

The **African Development Bank (AfDB)**, the **Asian Development Bank (ADB)** and the **Inter-American Development Bank (IDB or IADB)**, known as 'regional development banks' (RDBs), were all set up during the late 1950s and early 1960s and mirror the developmental goals and activities of the World Bank Group, but on a much smaller scale and at a regional level. Like the World Bank Group these banks lend to both the public and private sector, though only the IDB has a separate arm dedicated to private sector lending (IDB Invest).

Launched in 1991 following the fall of the Soviet Union, the **European Bank for Reconstruction and Development (EBRD)** is a regional development bank established with a more specialised mandate, namely to support the transition towards 'market-oriented economies and the promotion of private and entrepreneurial initiatives' in Central and Eastern Europe. Since its creation the EBRD has expanded its regional scope to the Southern and Eastern Mediterranean [Middle East and North Africa] and central Asia. The majority of its lending is to the private sector.

New Development Banks

The two newest MDBs are the Asian Infrastructure Investment Bank (AIIB) and the New Development Bank (NDB). Both banks began operations in 2016 and are headquartered in China. While the AIIB is regionally focused on financing infrastructure in Asia, the NDB's mandate is to finance infrastructure and 'sustainable development projects' in its five shareholding countries: Brazil,

Russia, India, China and South Africa, as well as other 'emerging economies'. Due to the composition of its membership the NDB is often referred to as the 'BRICS Bank'.

Reflecting changing geopolitical and economic dynamics at the global level, the AIIB and NDB are a new generation of development banks in which the balance of power lies with 'emerging economies', primarily China, rather than developed countries like the rest of the MDBs. However, the new banks have so far not significantly diverged from the traditional MDBs, and **AIIB has entered into multiple co-financing arrangements** with other MDBs including the World Bank, ADB and EBRD.

BOX 3: IFC FINANCED TRANSPORT PROJECTS

Ports

2020, 2014: \$155 million in bonds to **Mersin International Port, Turkey**

2016: \$40 million loan to **Myanmar Industrial Port**

2015, 2011: \$134 million loan to **Lomé Container Terminal, Togo**

Shipping

2015: \$150 million loan to **Mediterranean Shipping Company (MSC)**

2010: \$35 million to the **Gulf Agency Company**

Aviation

2019: €182 million loan to **Vinci Airports (Belgrade Airport, Serbia)** (the EBRD is matching the IFC's investment)

2012: \$105 million in loan/equity to **Kenya Airways Ltd**

Railways

2013: \$50 million loan/equity to **Eastcomtrans, Kazakhstan**

Urban transport

2020: \$120 million loan to the **City of Bogotá, Colombia for Transmilenio BRT extension/construction of Transmicable cablecar line**

2015: \$15 million loan to **Transambiental BRT operating company, Cartagena, Colombia**

Source: IFC. 2020. IFC: A Leading Investor in Emerging Market Transportation and IFC Project Information & Data Portal

IFI POLICY: FROM SAPS TO ‘MAXIMISING FINANCE FOR DEVELOPMENT’

“In recent years the World Bank Group has focused on promoting an expansion of financial markets as the key to development. Maximizing Finance for Development intensifies that approach and repackages the longstanding promotion of liberalization, deregulation, and other policies to attract foreign direct investment.”

ITUC, 2020, *Market Fundamentalism and the World Bank Group: from Structural Adjustment Programmes to Maximizing Finance for Development and Beyond* (p. 6).

IFIs like the World Bank and the IMF have long been associated with neoliberal policies of privatisation, labour market deregulation, and trade liberalisation, often referred to as the ‘Washington Consensus’. During the 1980s and 1990s lending to governments was tied to the implementation of such policies as part of the World Bank and the IMF’s infamous ‘Structural Adjustment Programmes’ (SAPs).

Responding to push-back against the disastrous consequences of SAPs in developing countries - including increased economic and gender inequality, poverty and shrinking incomes - the World Bank and IMF have since ‘softened’ their positions. For example, while in the 1980s the World Bank favoured deregulation of the urban public transport industry, and opposed public investment, it now supports a ‘public-private partnership’ (PPP) approach by which governments invest in transport infrastructure (often with the help of a World Bank loan) and operations are subcontracted to private operating companies.

Nevertheless, the World Bank and IMF continue to prioritise the private sector and attracting international investors as the key mechanisms for advancing development goals. This continuity is most clearly shown by the adoption in 2017 of the ‘**Maximising Finance for Development**’ (MfD) agenda by the World Bank Group (WBG).

The MfD agenda, which some critics have characterised as representing an emerging ‘**Wall Street Consensus**’ amongst IFIs, commits the WBG to using its resources as catalytic tools to attract and ‘crowd in’ private investment, especially that of institutional financial investors such as pension funds, for the purposes of mobilising the vast financial resources necessary for achieving the Sustainable Development Goals (SDGs) by 2030 (see **Box 4**).

BOX 4: SUSTAINABLE DEVELOPMENT GOALS (SDGS)

The Sustainable Development Goals (SDGs) and the 2030 Agenda

The ‘**2030 Agenda for Sustainable Development**’ was adopted by the UN General Assembly in 2015 and commits governments to implementing the 17 SDGs by 2030. IFIs have committed themselves to supporting countries to achieve these goals through pursuing the ‘Maximising Finance for Development Agenda’ (see the **Hamburg Principles**).

Some IFIs attempt to measure their contribution to achieving SDGs. **See for example the IFC’s ‘results measurement framework’.**

The 17 SDGs include:

SDG 5. Achieve **gender equality** and empower all women and girls.

SDG 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and **decent work for all**.

See UN SDG website here: <https://sdgs.un.org/goals>

Along with the World Bank Group, the AfDB, ADB, EBRD and the IDB have all agreed to implementing the MfD agenda in what are known as the ‘Hamburg Principles’. The **Hamburg Principles** commit MDBs to prioritising private commercial financing of development, including in public service areas such as health and education; pursuing ‘blended finance’ activities which combine IFI public finance with private investment; and to adopting measures - on the part of both IFIs and borrowing governments - to ‘de-risk’ private investment, such as offering government guarantees against potential losses to private investors.

The shift away from direct project financing to ‘blended finance’ activities as well as to policy reform initiatives aimed at attracting and ‘de-risking’ private investment on the part of IFIs, raises a number of accountability issues, including those related to IFI safeguards. For example, World Bank’s *Environmental and Social Framework (ESF)* safeguard system only applies to its project-based lending, meaning significant elements of MfD orientated *policy* lending will be excluded from the protections of its safeguard framework altogether.

IFIs are also increasingly making use of ‘financial intermediaries’ (FIs) such as commercial banks and private equity funds as a means to disburse their funds. For example, the IFC’s FI lending has been increasing year on year from constituting 54.2% of its lending portfolio in 2017, to 55.4% in 2018 and 62.9% in 2019¹. The **increased use of FIs by IFIs poses serious challenges for accountability**, as there is often a lack of transparency about where funds disbursed by FIs actually end up, making it difficult for workers to know whether their employer has received IFI financing, and therefore whether protective safeguards apply. There are examples from the fishing industry that we can provide on request (women@itf.org.uk).

Beyond accountability issues, critics have also highlighted how **the MfD agenda is currently failing on its own terms** by not attracting private finance to where investment is needed most, namely low-income countries. They note that the use of IFI public finance to attract private investment risks detracting attention and funds away from the primary purpose of development financing: the eradication of poverty.

BOX 5: 'IFI WATCHERS'

'IFI Watchers'

There are several organisations dedicated to the critical monitoring of IFIs as well as advocating for their improvement including in the areas of gender, human rights and environmental sustainability. While not exclusively focused on labour and gender rights issues, these organisations provide useful commentary and educational and advocacy resources which can be utilised by trade unions.

Bretton Woods Project

IFI Focus: World Bank Group and IMF (global)
Web: brettonwoodsproject.org/

Bank Information Centre (BIC)

IFI Focus: World Bank Group and 'other IFIs' (global)
Web: bankinformationcenter.org/

Bank Watch Network

IFI focus: EBRD, EIB, AIIB (Central and Eastern Europe)
Web: bankwatch.org/

NGO Forum on ADB

IFI focus: ADB, AIIB
Web: forum-adb.org

Oxfam International – IFI Washington Office

IFI focus: World Bank Group, IMF and 'other IFIs'
Web: oxfam.org/en/international-financial-institutions

International Accountability Project

Web: accountabilityproject.org/

Accountability Counsel

Web: accountabilitycounsel.org/

Center for International Environmental Law (CIEL)

IFI focus: World Bank Group and 'other IFIs'
Web: ciel.org/issues/finance-and-development/

Urgewald

Web: urgewald.org/English

Coalition for Human Rights in Development

Web: rightsinddevelopment.org

European Network on Debt and Development (eurodad)

Web: eurodad.org

¹ Oxfam International (2020) A very welcome and long awaited reform on transparency for IFC's financial intermediary lending.

2. WHAT ARE IFI SAFEGUARDS?

Despite the stated commitment of IFIs to reducing poverty and fostering sustainable development, their projects, as well as their policies, have often had extremely detrimental effects on people and the environment. An infamous example of this was the World Bank funded Narmada dam project in India, the construction of which displaced over 140,000 people in the late 1980s. A more recent example was the exposure of links to **forced and child labour** in World Bank financed agricultural projects in Uzbekistan in the early 2010s.

Over the course of several decades, pressure from trade unions and other civil society organisations has forced IFIs to adopt mandatory environmental and social protective standards or 'safeguards' which must be implemented by borrowers in order to receive IFI finance. Such safeguards become legally binding through their inclusion in loan agreements between IFIs and borrowers. On paper this means that IFI safeguards are 'enforceable' in the sense that IFIs can suspend or withdraw funding in cases where safeguards are violated, and not adequately remedied by the borrower.

At their core, safeguards require borrowers to assess the potential negative risks and impacts of projects and implement measures to avoid or mitigate such risks and impacts. Initially, IFI safeguards were mostly focused on environmental risks and impacts, as well as those concerning indigenous people and 'involuntary displacement'. However, as a result of prolonged pressure by trade unions, global union federations (GUFs) and the International Trade Union Confederation (ITUC), IFIs have more recently begun to include 'labour safeguards' in their safeguard frameworks. These labour safeguards set out basic protections for workers employed by a borrower, including those who are employed indirectly through a contractor and - to a lesser extent - those engaged in a borrower's supply chain. Such safeguards typically cover requirements, such as the prohibition of child and forced labour; the right to non-discrimination and equal opportunity and working conditions and terms of employment.

BOX 6: IFC PS2: LABOR AND WORKING CONDITIONS, OBJECTIVES

IFC Performance Standard (PS) 2: Labor and working conditions from the IFC's Sustainability Framework (adopted 2006, updated 2012).

“Objectives

- To promote the fair treatment, non-discrimination, and equal opportunity of workers.
- To establish, maintain, and improve the worker-management relationship.
- To promote compliance with national employment and labor laws.
- To protect workers, including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the client's supply chain.
- To promote safe and healthy working conditions, and the health of workers.
- To avoid the use of forced labor.”

The IFC was the first IFI to adopt a dedicated labour safeguard in 2006 (see Box 6), while the World Bank and the IDB adopted dedicated labour safeguards very recently, in 2016 and 2020 respectively. Five out of eight IFIs covered in this guide have a dedicated labour safeguard (see Box 13), and it is likely that the ADB will adopt a labour safeguard following the review of its safeguard system which is taking place from 2020 to 2023.

While serious limitations of labour safeguards exist, including weak protection of the fundamental right to freedom of association, there have been several notable cases in which transport trade unions, supported by the ITF and ITUC, have been able to use labour safeguards to help protect their members and influence IFI policy (see *In focus: IFI Independent Accountability Mechanisms and Transport Trade Unions*).

Despite some progress being made in the area of labour, gender and women's rights remain woefully under-protected in IFI safeguard systems with only one IFI having a safeguard dedicated to protecting gender equality (the IDB's *Environmental and Social Performance Standard (ESPS) 9: Gender Equality* (see Box 7)). In the majority of other IFI safeguard frameworks, gender and women's rights are covered in a piecemeal way as subcomponents of other safeguards, including non-discrimination and equal opportunity provisions of labour safeguards and requirements (in some cases) to take gender into account in environmental and social impact assessments.

Fundamentally the lack of dedicated IFI gender safeguards reflects the fact that gender is not taken seriously by IFIs,

BOX 7: IDB ESPS 9: GENDER EQUALITY, OBJECTIVES

IDB Environmental and Social Performance Standard (ESPS) 9: Gender Equality from the IDB's *Environmental and Social Policy Framework (ESPF)* (2020)

“Objectives

- To anticipate and prevent adverse risks and impacts based on gender, sexual orientation, and gender identity, and when avoidance is not possible, to mitigate and compensate for such impacts.
- To establish actions to prevent or mitigate risks and impacts due to gender throughout the project cycle.
- To achieve inclusion from project-derived benefits of people of all genders, sexual orientations, and gender identities.
- To prevent SGBV, including sexual harassment, exploitation and abuse, and when incidents of SGBV occur, to respond promptly.
- To promote safe and equitable participation in consultation and stakeholder engagement processes regardless of gender, sexual orientation, and/or gender identity.
- To meet the requirements of applicable national legislation and international commitments relating to gender equality, including actions to mitigate and prevent gender-related impacts.”

which have a long history of supporting projects and policy reforms that have had a disproportionately negative impact on women and women workers. It is also a product of gender and women's rights being conceptualised as ‘cross-cutting’ issues, which should therefore be included in all safeguards rather than be covered by a dedicated safeguard. While gender is of course a ‘cross-cutting’ issue, in practice this translates to gender and women's rights being given insufficient attention and protection.

Trade unions and other civil society organisations continue to demand better and stronger IFI safeguards. For example, as will be discussed further, the ITF is calling for IFIs to adopt dedicated gender safeguards, conduct gender impact assessments for all investments and incorporate the provisions of the ILO's C190 Violence and Harassment Convention into labour safeguards, as well as to ensure the promotion of women's employment and decent work in transport.

Despite their shortcomings, **existing IFI safeguards do provide useful points of entry and leverage for trade unions to positively shape the design of IFI-financed transport projects in the interests of women workers and communities, demand improved working terms and conditions and protect their rights in IFI-financed companies, as well as to hold IFIs and borrowers – whether they be governments or private employers – to account.** The following section will provide a practical guide to strategically engaging with these safeguards.

3. ENGAGING WITH IFI SAFEGUARDS

This section will explain where to find IFI safeguards, how they work and which safeguards are most relevant to women transport workers and their unions. It will cover:

Environmental and Social Frameworks (ESFs): safeguards are generally included as part of an IFI's wider 'environmental and social framework' or 'sustainability framework'. These frameworks bring together safeguards – which outline the obligations of borrowers - as well as policies and procedures which must be followed by IFI staff.

General safeguards: all IFI safeguard frameworks require borrowers to conduct environmental and social impact assessments (ESIAs); to consult with project 'stakeholders' (i.e. those affected by or interested in a project); to disclose relevant project information and to establish grievance mechanisms to allow those affected by a project to raise concerns and complaints with the borrower.

Economic displacement safeguards: IFI safeguard frameworks generally require borrowers to avoid, and where avoidance is not possible, mitigate the risk of loss of jobs and livelihoods (known as 'economic displacement') resulting from the implementation of an IFI-financed project.

Labour safeguards: where they exist, labour safeguards set out basic protections for workers employed by a borrower, including those who are employed indirectly through a contractor and – to a lesser extent - those engaged in a borrower's supply chain.

Gender-related safeguards: only the IDB has a safeguard dedicated to the protection of gender equality. However, women's rights and gender equality are often addressed in the sub-components of general safeguards, economic displacement safeguards and labour safeguards.

Independent accountability mechanisms (IAMs): all but one of the IFIs covered in this guide have an 'independent accountability mechanism' (IAM) to which those whose rights or interests have been, or are likely to be, affected by a project supported by the IFI can submit a complaint. This includes complaints related to violations of IFI safeguards.

Project workers and ‘project-affected people’

The question of *which* particular safeguards and subcomponents of safeguards will be of most use to women transport workers and their trade unions depends on the relationship between the borrower and the worker impacted by an IFI investment. Transport workers are likely to fall into one of the two broad categories:

‘**Project workers**’ are workers who are employed directly by the borrower (**‘direct workers’**), workers who are engaged through third parties (**‘contracted workers’**) and workers involved in a borrower’s primary supply chains (**‘primary supply workers’** or **‘supply chain workers’**). Labour safeguards and their gender-related sub-components only apply to project workers. The level of protection afforded to each category of worker varies considerably, with ‘direct workers’ entitled to the most protection and ‘primary supply workers’ the least.

This guide borrows the term ‘project workers’ from the World Bank. It should be noted that not all IFIs refer to such workers as ‘project workers’. For example, the IFC does not use the term. However, despite variations in terminology, all IFIs with a labour safeguard define and restrict its applicability in a similar way. Project workers are the easiest to identify in private sector lending, such as that of IFC. In these cases, covered workers are employees of the company, for example Kenya Airways. If the loan relates to a specific site or subsidiary, such as Mersin International Port, then the covered workers are only those at the location, even if the borrower has other operations. However, parent company policies and conditions at other operations may be considered as part of IFC’s assessment of labour rights risks and the borrower’s ability to uphold the safeguards.

In many transport infrastructure projects, particularly in the lending of the World Bank and MDBs to the public sector, ‘project workers’ are likely to be construction workers because the loan ends upon the completion of construction. However, transport workers may be covered as ‘project workers’ as part of transport infrastructure projects if the loan covers operation of the asset. For example, the [IFC is proposing to make a \\$120 million loan to Bogotá City Council](#) to finance the construction of the ‘Caracas Sur Busway’, which will extend the city’s Transmilenio BRT system. The project has two phases, construction and operation, and the IFC requires that the organisations responsible for both phases ensure that their workers – direct and indirect – are employed on terms consistent with the IFC’s PS2 labour safeguard. This includes the transport workers employed by sub-contracted companies to operate the Transmilenio BRT system (see [Box 15: Direct and contracted workers in Bogotá’s IFC-financed Transmilenio BRT extension](#)).

‘**Project-affected parties**’ are people who are affected or likely to be affected by an IFI financed project. General safeguards, including the requirement for borrowers to conduct environmental and social impact assessments (ESIAs) and to consult with project ‘stakeholders’, apply to all ‘project-affected parties’, including workers who are economically displaced by a project. Women affected by IFI-financed projects are afforded extra protections by gender-related subcomponents of general safeguards and economic displacement safeguards.

It should be noted that IFIs use various terms to refer to ‘project-affected parties’, including ‘project-affected people’, ‘affected people’, and ‘affected communities’.

Based on the design of a project, transport workers can determine if they fall into the category of project workers, or the category of project-affected parties, and pursue solutions accordingly under the labour and stakeholder safeguards.

Engaging with different IFIs

This guide broadly covers the safeguard systems of eight IFIs (World Bank, IFC, AfDB, ADB, AIIB, EBRD, IDB, NDB), while focusing on the safeguard systems of the **World Bank and its private sector lending arm, the International Finance Corporation (IFC)**. All IFI safeguard frameworks covered in this guide contain common core requirements, including requirements for borrowers to undertake an **environmental and social impact assessment (ESIA)**, avoid or mitigate **economic displacement**; undertake **stakeholder engagement**; disclose **relevant project information**; and establish **project level grievance mechanisms**.

However, beyond these core features there is significant variation between IFI safeguard systems, both in terms of scope of coverage as well as the number and content of the safeguards themselves. For example, while the World Bank, IFC, EBRD and IDB each have eight to ten safeguards within their safeguard frameworks, including dedicated labour safeguards, and in the case of the IDB a dedicated gender equality safeguard, the NDB and AIIB have much weaker and limited safeguard systems, with each having only three safeguards and neither having a dedicated labour or gender safeguard.

The following section will draw predominantly on examples and definitions from the World Bank and the IFC for explanatory and illustrative purposes. Users of this guide should therefore consult the actual safeguard documents of the IFI they are engaging alongside the more general World Bank and IFC orientated explanations included in this section. Profiles of individual IFIs plus links to their safeguard frameworks and other relevant information can be found at the end of this guide.

ENVIRONMENTAL AND SOCIAL FRAMEWORKS

The IFIs covered in this guide have all adopted some level of safeguards, which are generally part of a wider environmental and social or sustainability framework (see Box 8). Typically these frameworks include a set of **safeguards or standards** which set out basic borrower requirements and a **policy document** outlining policies and procedures that IFI staff must follow, including their due diligence obligations and requirements related to supporting borrowers meet their safeguard obligations and monitoring safeguard compliance.

Such core documents are often complemented by non-mandatory technical guidance documents aimed at borrowers and IFI staff to support and guide their application of the safeguard framework.

For example, the World Bank has produced 'Good Practice Notes' for its staff on issues including **gender** and non-discrimination as well as 'Guidance Notes for Borrowers' to guide the application of each of its ten safeguards, including its labour safeguard, all of which are available on its website (see Box 10).

This guide is focused on the legally binding IFI safeguards that apply to borrowers. However, policies directed at IFI staff are also important and should be taken into account by trade unions as they outline mandatory IFI policies and procedures, including those related to the support, monitoring and enforcement of borrower safeguard compliance. In cases where policies and procedures are not followed, this non-compliance on the part of IFI staff can be the subject of a complaint against an IFI. In several notable cases, complaints of this kind have led to IFIs improving their internal policies and procedures in the areas of both labour and gender (see *In focus: IFI Independent Accountability Mechanisms and Transport Trade unions* and *In focus: Gender at the World Bank's Inspection Panel*).

BOX 8: IFI ESF/SAFEGUARD POLICIES

| Bank | IFI Profile | Environmental and social framework (ESF)/ Safeguard policies | Dedicated Labour safeguard? | Dedicated gender safeguard? |
|------------|-------------|--|-----------------------------|-----------------------------|
| World Bank | p.56 | Environmental and Social Framework (ESF) (2016) | Yes | No |
| IFC | p.60 | Sustainability Framework (2012) | Yes | No |
| AfDB | p.62 | Integrated Safeguards System (2013) | Yes | No |
| ADB | p.64 | Safeguard Policy Statement (2009) | No | No |
| AIIB | p.66 | Environmental and Social Framework (2015, amended 2019) | No | No |
| EBRD | p.67 | Environmental and Social Policy (ESP) (2019) | Yes | No |
| IDB | p.69 | Environmental and Social Policy Framework (ESPF) (2020) | Yes | Yes |
| NDB | p.71 | Environment and Social Framework (2016) | No | No |

GENERAL SAFEGUARD PROVISIONS

Environmental and social impact assessments

Before a loan is agreed by an IFI, borrowers must undertake an **environmental and social impact assessment (ESIA)** of the proposed project in order to identify, evaluate and manage its anticipated environmental and social risks and impacts throughout the lifetime of the project.

ESIA requirements are generally set out in the IFI's first safeguard, for example the World Bank's ESS1 and IFC's PS1, which are both titled 'Assessment and Management of Environmental and Social Risks and Impacts' (see [Box 9](#)).

Often undertaken by consultants, ESIA cover a wide range of issues related to an IFI's safeguards. As will be discussed in the next sections, for IFIs with dedicated labour and gender safeguards, borrowers are mandated to assess labour and gender specific risks and impacts in the ESIA process. Even IFIs that lack dedicated gender safeguards (i.e. most of them) often require gender-specific risks and impacts to be taken into account in the ESIA, creating an important entry point for transport trade unions to highlight gender-specific issues (see section: **Gender-related safeguards**).

IFIs also mandate borrowers to assess the risk of 'economic displacement' caused by a project, defined by the World Bank as 'loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood' resulting from a project (ESS5, para. 1) (see section: **Economic displacement safeguards below**).

Based on the ESIA, and taking into account the IFI's own due diligence findings as well as engagement with stakeholders, borrowers must then produce what the World Bank calls an '**Environmental and Social Commitment Plan (ESCP)**' (see the World Bank's [template ESCP here](#)). The ESCP concretely outlines how anticipated risks and impacts will be managed and monitored by the borrower throughout the life of the project to ensure that the project's outcomes are consistent with the objectives set out in the IFI's safeguards. The ESCP is then included in the legal agreement between IFI and borrower and therefore becomes legally binding upon the borrower. It is subject to continuous monitoring by both the borrower and IFI staff throughout the project's lifecycle, though in practice monitoring mechanisms are generally poorly implemented. Compliance monitoring is regarded as one of the weakest 'links in the chain' of IFI safeguard regimes.

As will be discussed in the section: **Intervening in the IFI project cycle**, it is essential that unions intervene as early as possible in the ESIA process to make sure that labour and gender related risks and impacts, as well as those related to economic displacement, are taken into account by the borrower and concrete protective commitments are included in the ESCP. It is also crucial that unions take an active role in monitoring compliance, and recording and reporting instances of safeguard violations.

For 'project workers', such as workers in an airline or bus company that has received an IFI loan, such commitments may include employer commitments to ensure non-discrimination and equal opportunity in hiring practices, or to take measures to combat gender-based violence (GBV) in the workplace. For transport workers who are economically displaced by an IFI-financed transport project, this could include borrower commitments to supporting impacted workers gain employment in the new transport system, or to access alternative sources of livelihood as part of the borrower's "**livelihood plan**" (see section: **Economic displacement safeguards**).

BOX 9: IFC PS1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS, OBJECTIVES

IFC Performance Standard (PS) 1: Assessment and Management of Environmental and Social Risks and Impacts from the IFC's Sustainability Framework (adopted 2006, updated 2012).

"Objectives

- To identify and evaluate environmental and social risks and impacts of the project.
- To adopt a mitigation hierarchy to anticipate and avoid, or where avoidance is not possible, minimize, and, where residual impacts remain, compensate/offset for risks and impacts to workers, Affected Communities, and the environment.
- To promote improved environmental and social performance of clients through the effective use of management systems.
- To ensure that grievances from Affected Communities and external communications from other stakeholders are responded to and managed appropriately.
- To promote and provide means for adequate engagement with Affected Communities throughout the project cycle on issues that could potentially affect them and to ensure that relevant environmental and social information is disclosed and disseminated."

Stakeholder engagement/ Information Disclosure

In some situations, the jobs and livelihoods of transport workers are deeply affected by projects but they do not fall under the category of project workers. This can occur when the project is only related to construction, not operation, but the result is economic displacement.

As explained by the ITUC (2019:32) those economically displaced by an IFI-financed project 'might include workers in public enterprises targeted for privatisation, or workers whose jobs and activities could be drastically changed or entirely displaced.' Transport workers may also be stakeholders when there is construction that expands their workplaces or employers, such as development bank funding for new container terminals, railway infrastructure, or airport expansion.

In such situations, transport workers should assert their rights and protections under safeguards related to stakeholder engagement. This is a tool to influence the design of projects, in which workers can advocate for measures that address displacement and promote decent work.

IFIs require that 'stakeholders' are consulted and 'engaged' in a project both as part of the initial ESIA and during project implementation. Stakeholders are defined by the World Bank (ESS 10, para. 5) as 'individuals or groups who: (a) are affected or likely to be affected by the project (**project-affected parties**); and (b) may have an interest in the project (**other interested parties**)'.

In cases where IFIs have dedicated labour safeguards, 'project workers' are identified as stakeholders and in the case of the IDB's gender safeguard, the requirement for borrowers to ensure the meaningful participation of women is made explicit. As will be discussed further in the section: **Gender-related safeguards**, even IFI safeguard frameworks that lack dedicated gender safeguards often set out specific requirements for women to be consulted in the stakeholder consultation process.

The process of stakeholder engagement is generally mandated in an IFI's ESIA safeguard (with labour and gender safeguards outlining specific labour and gender related provisions), but some IFIs have additional dedicated 'Stakeholder Engagement and Information Disclosure' safeguards, such as the World Bank (ESS 10) and the IDB (ESPS 10).

"While all of the environmental and social standards are important for safeguarding people and the environment in World Bank-financed projects, ESS10 can be an opportunity for concerned groups to raise a range of issues and engage in the development process."

Bank Information Center, 2020., Module 4: Protecting your rights: environmental and social policies at the World Bank Group, (p.4).

The stakeholder engagement process typically requires borrowers to: 1) identify stakeholders; 2) plan how to engage with stakeholders; 3) disclose relevant information to stakeholders so that they can engage meaningfully and in an informed manner with the consultation process; 4) consult with stakeholders; 5) address and respond to the grievances of stakeholders and 6) report to stakeholders.

BOX 10: GUIDANCE NOTES/GOOD PRACTICE NOTES

Most IFIs produce non-mandatory 'guidance notes' and 'good practice notes' as part of their safeguard frameworks. While guidance and good practice notes are aimed at borrowers and IFI staff, and are not mandatory, they often provide extra information which can be a useful reference point for trade unions when trying to push IFIs and borrowers towards adopting more labour and gender-responsive practices.

For example, while the IFC's PS1 safeguard does not mandate the undertaking of a gender impact assessment, its **PS1 Guidance Note** states that: '[g]ender-differentiated impacts should be assessed and the risks and impacts identification process should propose measures designed to ensure that one gender is not disadvantaged relative to the other in the context of the project' (GN50).

Similarly, the World Bank's **labour safeguard (ESS2) Guidance Note** expands on the ESS2's brief reference to workers' organisations as parties that 'may be' consulted in the process of conducting an ESIA, by stating: 'engaging with project workers and their representatives on labor issues, including with representatives of workers' organizations where they exist, helps inform the assessment of labor risks and impacts, by providing useful context and additional information. Depending on the project, engagement may also include workers' organizations at a global, national, or sector level; employers' organizations; and labor inspectorates.' (GN 2.3 (Footnote 2)), emphasis added)

It is essential that women workers and their trade unions are identified and subsequently consulted as project 'stakeholders', as this in principle requires their views and interests to be taken into account in the project design. As part of the wider ESIA process, stakeholder consultation with workers and trade unions allows labour and gender specific risks, for example historic anti-union behaviour or gender-based discrimination by borrower, to be identified and for appropriate protective measures to be included in the borrower's legally binding Environmental and Social Commitment Plan' (ESCP). It also creates a formal avenue for trade unions to demand that adequate project information is disclosed and appropriate labour and gender sensitive grievance mechanisms are put in place.

Despite the vital role trade unions can play in the stakeholder engagement process, they are in practice rarely consulted and only the World Bank's ESS 2 labour safeguard explicitly refers to 'workers organisations' as parties that 'may be' consulted in the process of conducting an ESIA (ESS2, para. 2, fn. 2). Unions must therefore proactively demand to be engaged as stakeholders, which will be further discussed in section: **Union Interventions in the Project Cycle**.

For ITF affiliates the problem of economic displacement has been particularly pronounced in cities where the introduction of IFI-financed bus rapid transit (BRT) systems has brought about job losses for workers in the incumbent informal urban transport industries that BRT systems seek to replace. Such patterns of displacement can occur as a result of any transport restructuring/formalisation project, including the introduction of metro or light rail systems in cities, or the building of a new port.

Despite the existence of safeguards protecting against economic displacement, the potential negative economic impact of IFI-financed urban transport projects on transport workers, especially women workers, is rarely taken into account in ESIA's and borrowers have consistently failed to put in place adequate measures to restore or improve the livelihoods of those whose jobs are destroyed by transport sector restructuring.

This is why the ITF has begun to commission 'labour impact assessments' (LIAs) of proposed IFI-financed BRT projects in order to demonstrate and make visible the often-negative livelihood impact of transport restructuring on informal transport workers, including on women workers who often occupy the most precarious and low paid roles in the informal transport industry (for examples of LIAs conducted in Nairobi and Dakar see section: **ITF Resources**).

Information collected through LIAs can be used as leverage by informal worker associations and unions to demand that they are recognised as project stakeholders, and that the borrower takes appropriate measures to address the negative livelihood impacts of the project, for example through providing quality and gender-equitable employment and training opportunities to displaced transport workers in order to aid their transition to jobs in the new transport system or access alternative forms of employment.

Project-level Grievance Mechanisms

IFI Safeguards typically require the borrower to establish a grievance mechanism at the project level so that 'project-affected parties' can raise concerns and complaints with the borrower throughout the project's implementation phase. The World Bank sets out this requirement in its *ESS10: Stakeholder Engagement and Information Disclosure* safeguard and requires that the '[b]orrower will inform the project-affected parties about the grievance process in the course of its community engagement activities, and will make publicly available a record documenting the responses to all grievances received' (ESS10, para. 27). The IFC sets out similar requirements in its PS1 safeguard.

IFIs with dedicated labour safeguards typically require that labour-specific grievance mechanisms are established for project workers, and in some cases, employers are mandated to implement special measures to facilitate the reporting of gender-based violence (GBV) for project workers (see section: **Labour Safeguards**).

The IDB's gender safeguard does not require an additional gender-specific grievance mechanism to be set up at the project level, but it does include grievance mechanisms with 'specific procedures for SGBV' (sexual and gender-based violence) in a list of measures that may be taken 'as appropriate' by borrowers to manage the risk of project-related sexual and gender-based violence.

ECONOMIC DISPLACEMENT SAFEGUARDS

All IFIs covered in this guide require borrowers to avoid, and where avoidance is not possible, mitigate the risk of 'economic displacement' resulting from a project. The issue of economic displacement is generally covered by safeguards addressing "involuntary resettlement", a term that in some safeguards refers to both physical and economic displacement resulting directly from a project. The World Bank sets out its safeguarding provisions related to land-related economic displacement in [*Environmental and Social Standard \(ESS\) 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement*](#) (see [Box 11](#)).

In cases where economic displacement is identified, borrowers are required to prepare a plan outlining measures aimed at allowing negatively impacted people to restore or improve their incomes or livelihoods. The World Bank refers to such plans as "**resettlement plans**", though different terms may be used in different projects. The term "**livelihood plan**" may be used to refer to a plan that exclusively addresses economic displacement (see *ESS 5, Annex 1: Involuntary resettlement instruments*).

BOX 11: ECONOMIC DISPLACEMENT

Economic displacement

The World Bank's (*ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement*) safeguard requires that: (emphasis added)

"33. In the case of projects affecting livelihoods or income generation, the Borrower's plan will **include measures to allow affected persons to improve, or at least restore, their incomes or livelihoods**. The plan will establish the entitlements of affected persons and/or communities, **paying particular attention to gender aspects** and the needs of vulnerable segments of communities, and will ensure that these are provided in a transparent, consistent, and equitable manner. The plan will **incorporate arrangements to monitor the effectiveness of livelihood measures during implementation, as well as evaluation** once implementation is completed..."

Gendered aspects of economic displacement

Many IFI economic displacement safeguards have specific gender components, including requirements for borrowers to take into account gendered aspects of economic displacement (i.e. how men and women may be impacted differently by a project) and to put in place special measures to allow women to access alternative livelihood opportunities. For example, the EBRD's *PR 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement* safeguard states: '*[t]he process of physical displacement or economic displacement has specific gender dimensions that shall be considered throughout baseline surveys, impact assessment, mitigation and monitoring processes*' (*PR5, para. 16*) and requires that '*[a]ssistance to livelihood improvement or restoration, such as improvement of existing agriculture activities, skills training, access to credit, entrepreneurship and job opportunities shall be made equally available to men and women and adapted to their respective needs*' (*PR5, para. 19*).

The World Bank requires that borrowers 'ensure that women's perspectives are obtained and their interests factored into all aspects of resettlement planning and implementation' (*ESS 5, para. 18*), while support for 'alternative livelihoods' of those economically displaced should, as appropriate, provide 'special assistance to women, minorities or vulnerable groups who may be disadvantaged in securing alternative livelihoods' (*ESS 5, para. 27*).

BOX 12: APPLICABILITY OF ECONOMIC DISPLACEMENT SAFEGUARDS TO DISPLACED TRANSPORT WORKERS

Applicability of economic displacement safeguards to displaced transport workers

Both the World Bank and the IFC define economic displacement as 'loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood', which happens as a result of 'project related land acquisition or restrictions on land use' (World Bank, ESS 5, para. 1). 'Livelihoods' is understood broadly as 'the full range of means that individuals, families and communities utilize to make living' (World Bank, ESS 5, para. 1, fn. 3). The strictness of the link with land use varies. The Inter-American Development Bank covers "non-land-related economic displacement", with coverage of those "who may experience economic displacement resulting from permanent or temporary loss of access to formal and informal economic activities".

'Land acquisition' refers to 'all methods of obtaining land for project purposes' including 'acquisition of access rights' such as 'rights of way' as well as 'repossession of public land that is used or occupied by individuals or households' (World Bank, ESS5, para. 1, fn. 1). 'Restrictions on land use' refers to 'limitations or prohibitions' on the use of land 'that are directly introduced and put into effect as part of the project' (World Bank ESS5, para. 1, fn. 2).

Given that transport reform projects will almost always introduce new 'limitations or prohibitions' on the use of land, and make changes to rights of way (for example the implementation of a bus rapid transit (BRT) system requires BRT buses to be given exclusive right of way on bus lanes, which can therefore no longer be utilised by other transport service providers), these economic safeguards are likely to be applicable to displaced transport workers in cases where such project related restrictions/changes have had a clear direct impact on their ability to make a living. This can be used in conjunction with interventions based on stakeholder engagement safeguards.

While economic displacement safeguards have not historically been utilised by ITF-affiliated unions to protect the rights of displaced transport workers, there is some precedent for workers attempting to use this strategy. For example, in 2020 informal wastepickers in Ghana, complained to the World Bank that the decommissioning of the Kpone landfill site by the Government of Ghana and supported by the World Bank, threatened the livelihoods of over 300 wastepickers. They argued that the process of decommissioning was occurring without proper consultation of those impacted and 'without the necessary livelihood protections that global experts call for when dumpsites are closed, and which are required under World Bank standards and Ghanaian law.'

LABOUR SAFEGUARDS

Five out of the eight IFIs covered in this guide have a 'labour safeguard' dedicated to protecting workers employed by a borrower, including those who are employed indirectly through a contractor and – to a lesser extent - those engaged in a borrower's supply chain (see Box 13). The World Bank calls these workers 'project workers'.

All IFI labour safeguards are loosely based on the IFC's PS2: *Labour and Working Conditions*, though there is some variation, especially with respect to gender provisions. For example, the IDB is the only IFI to explicitly require that the implementation of its *ESPS 2: Labour and Working Conditions* 'must also consider requirements related to gender equality'.

This section will give a brief overview of the following key topics typically covered by labour safeguards:

- child and forced labour;
- occupational health and safety;
- retrenchment;
- workers' organisations;
- non-discrimination and equal opportunity;
- labour grievance mechanisms; and
- working conditions and terms of employment.

It will also highlight the provisions that are particularly useful for women workers, principally those related to **occupational safety and health (OSH)** and to **non-discrimination and equal opportunity**. Given that labour safeguards apply to 'project workers', they will primarily be of use to transport workers who are employed, either directly or through a contractor, by a loan receiving company/entity and – to a much more limited extent – those employed in a project's primary supply chains.

BOX 13: IFI LABOUR SAFEGUARDS

| Bank | Dedicated labour safeguard |
|------------|--|
| World Bank | Environmental and Social Standard (ESS) 2: Labor and Working Conditions |
| IFC | Performance Standard (PS) 2: Labor and Working Conditions |
| AfDB | Operational Safeguard (OS) 5: Labour Conditions, Health and Safety |
| ADB | NO (but likely to adopt one following its 2020-2023 Safeguards Policy Review) |
| AIIB | NO |
| EBRD | Performance Requirement (PR) 2: Labour and Working Conditions |
| IDB | Environmental and Social Performance Standard (ESPS) 2: Labor and Working Conditions |
| NDB | NO |

Scope/applicability to transport workers

The applicability of labour safeguards is established during a project's environmental and social impact assessment (ESIA). If potential labour impacts and/or risks are identified, then borrowers are required to apply the labour safeguard. As discussed in the previous section, the World Bank's ESS 2 labour safeguard explicitly refers to 'workers organisations' as parties that 'may be' consulted in the process of conducting an ESIA (ESS2, para. 2, fn. 2).

Broadly, labour safeguards apply to all workers connected to an IFI-financed project, (the World Bank call these 'project workers'), covering those who are employed directly by the borrower ('direct workers'), workers who are engaged through third parties ('contracted workers') and workers involved in primary supply chains ('primary supply workers' or 'supply chain workers') (see Box 14). Transport workers will be represented in all these categories, however the level of protection afforded to each category of worker and which actors have primary responsibility for applying protections and for ensuring compliance across categories varies.

'Direct workers' enjoy the highest level of protection because they are covered by all the provisions of the labour safeguard and it is the borrower who is required to apply the provisions, while the IFI directly monitors borrower compliance.

In the case of 'contracted workers', while they are covered by the majority of the safeguard provisions, it is the borrower's contractor who is responsible for applying the safeguard protections and the borrower is assigned primary responsibility for a) requiring that labour safeguard requirements are included in contractor contracts and b) monitoring contractor compliance (see Box 15).

'Supply chain workers' are afforded the lowest level of protection with borrowers required only to identify and address the most egregious labour rights violations in their 'primary' supply chains – namely child and forced labour – as well as serious health and safety issues. The supply chains of contractors are not covered.

Another limiting factor of labour safeguard coverage is the ambiguity surrounding which contracted or supply workers fall within the category of performing or directly supply 'core functions' or 'core business processes' of a project (see Box 14). This ambiguity may allow borrowers to argue that workers connected to the project are not performing or supplying 'core functions' and therefore are not covered by provisions of the labour safeguard. Borrowers may also sub-contract project activities in order to avoid primary responsibility for applying the protections of the safeguards.

BOX 14: IFI 'PROJECT WORKERS'

| | World Bank (ESS 2, para. 3 & fn. 4, 5) | IFC (PS2, para. 4 & fn. 3,4) |
|---|---|--|
| Direct workers | 'people employed or engaged directly by the Borrower (including the project proponent and the project implementing agencies) to work specifically in relation to the project' | 'workers directly engaged by the client' |
| Contracted workers | 'people employed or engaged through third parties to perform work related to core functions of the project , regardless of location' "Core functions' of a project constitute those production and/or service processes essential for a specific project activity without which the project cannot continue.' | 'workers engaged through third parties to perform work related to core business processes of the project for a substantial duration' "Core business processes constitute those production and/or service processes essential for a specific business activity without which the business activity could not continue' |
| Primary supply/ supply chain workers | 'people employed or engaged by the Borrower's primary suppliers ' "Primary suppliers' are those suppliers who, on an ongoing basis, provide directly to the project goods or materials essential for the core functions of the project.' | 'Workers engaged by the client's primary suppliers ' "Primary suppliers are those suppliers who, on an ongoing basis, provide goods or materials essential for the core business processes of the project." <i>In June 2021, an amendment was made to IFC PS1 Guidance Note:</i> <i>"A primary supplier is a supplier who on an ongoing basis forms part of the supply chain of goods or materials essential for the core business processes of the project. A primary supplier may supply its goods or materials directly to the project (a Tier I primary supplier), to the Tier I primary supplier (a Tier II primary supplier) or may be at a deeper tier of the primary supply chain. [Introduced 14 June 2021]."</i> |

Content

References to ILO Conventions

With the exception of the World Bank, all IFI labour safeguards claim to be guided by the ILO's Core Labour Standards (see Box 16). The IADB's ESPS 2 gender safeguard also includes a reference to [ILO Convention 190 \(2019\)](#), the first international convention dedicated to ending violence and harassment in the world of work (see Box 18)

Child and forced labour

All labour safeguards explicitly prohibit child and forced labour.

Occupational health and safety

Occupational safety and health (OSH) provisions typically require borrowers to identify hazards to workers, provide preventative and protective measures, ensure the training of workers, monitor and document accidents, and have in place emergency prevention and response arrangements.

All labour safeguards require that project workers are provided with a safe and healthy working environment. This includes the right of all workers to be provided free of charge with personal protective equipment (PPE) when needed.

The World Bank, IFC and IDB all include the World Bank Group's [Environmental, Health, and Safety General Guidelines](#) as a reference point for borrowers, while the EBRD outlines its occupational safety and health provisions in a separate safeguard *Performance Requirement 4: Health, Safety and Security*, and requires borrowers to adhere to EU Occupational Safety and Health (OSH) standards.

While the WBG's *Environmental, Health and Safety General Guidelines* and the World Bank's ESS2 OHS make no reference to women or gender, both the IFC and the IDB require that borrowers take into account 'specific threats to women' when designing measures to secure a safe and healthy workplace for project workers.

BOX 15: DIRECT AND CONTRACTED WORKERS IN BOGOTÁ'S IFC-FINANCED TRANSMILENIO BRT EXTENSION

Direct and contracted workers in Bogotá's IFC-financed Transmilenio BRT extension

The IFC is proposing to make a \$120 million loan to Bogotá City Council to finance the construction of the 'Caracas Sur Busway' which will extend the city's Transmilenio BRT system. The project has two phases: construction and operation. Responsibility for the design and construction of the project lies with the Urban Development Institute (IDU), a governmental organisation, while Transmilenio S.A. is responsible for the design, planning, and monitoring of the BRT system. This includes managing the contractors and concessioners that operate the BRT system.

The IFC requires that both the direct workers and the contracted workers of the IDU and Transmilenio are employed on terms consistent with the IFC's PS2 labour safeguard. Because the Transmilenio BRT system is operated by private companies, including companies charged with bus operation and fare collection, the vast majority of transport workers employed in the project's operational phase will be contracted workers.

The project's ESAP includes the requirement for both IDU and Transmilenio to 'include all relevant requirements of Performance Standard 2 in the contractor contracts'. In the case of Transmilenio, the company is required to implement this measure one year before operations on the extended line begin.

The EBRD and IADB also state that when there are 'specific risks' that could result in adverse effects on the health, safety and well-being of workers with 'sensitivities' such as gender, then the Borrower must undertake more detailed risk assessments to inform the design of adequately adjusted health and safety measures.

These gender specific provisions can be utilised by unions to demand that employers a) undertake gender-sensitive risk assessments and b) put in place relevant measures to protect women transport workers such as those aimed at combating against gender-based violence (GBV) in the workplace, as well as guaranteeing access to sanitary and washing facilities. The ITF has produced resources to guide trade union action in both the areas of GBV and sanitation rights (see section: *ITF Resources*).

BOX 16: ILO CORE LABOUR STANDARDS

ILO's four Core Labour Standards (CLS) (and eight fundamental Conventions):

The ILO's CLS are set out in the *ILO Declaration on Fundamental Principles and Rights at Work (1998)*.

(a) freedom of association and the effective recognition of the right to collective bargaining;

Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)

Right to Organise and Collective Bargaining Convention, 1949 (No. 98)

(b) the elimination of all forms of forced or compulsory labour;

Forced Labour Convention, 1930 (No. 29) (and its 2014 Protocol)

Abolition of Forced Labour Convention, 1957 (No. 105)

(c) the effective abolition of child labour;

Minimum Age Convention, 1973 (No. 138)

Worst Forms of Child Labour Convention, 1999 (No. 182)

(d) the elimination of discrimination in respect of employment and occupation.

Equal Remuneration Convention, 1951 (No. 100)

Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

The ILO's Committee of Experts have regularly held that it is essential to address the underlying causes of discrimination and unequal pay, including occupational segregation and gender stereotyping.

Retrenchment

All labour safeguards except the World Bank's ESS2 explicitly set out borrower obligations in cases of collective dismissals. Borrowers are typically required to carry out an analysis of alternatives to retrenchment, and in cases where alternatives are not possible, manage the retrenchment process in a manner that includes consultation with workers and their organisations, mitigates adverse impacts on workers, abides by the principle of non-discrimination, and complies with the stipulations of national law and/or CBAs with regards to severance payments.

However, the IFC, EBRD and IADB exclude contracted workers from the retrenchment provisions of their labour safeguards.

Workers' organisations

In the majority of cases (the AfDB's OS5 is an exception) IFI labour safeguards defer to the borrower's national law with respect to workers' rights to form and join trade unions and bargain collectively. Labour safeguards therefore only generally protect the fundamental right to form trade unions and engage in collective bargaining in countries where these rights are already protected by national law. In cases where the activity of trade unions is restricted by national law, borrowers are required only to allow workers to develop 'alternative mechanisms' to express grievances and protect their rights (see Box 17).

This lack of protection of freedom of association and the right to collectively bargain sets the majority of safeguards fundamentally at odds with international law as set out in the ILO's CLSs. However, despite these weaknesses, workers' organisations provisions can provide a useful tool for unions in countries where national law protects trade union rights, especially in cases where the law itself is in practice poorly implemented. The extent to which the right of workers to develop effective 'alternative mechanisms' in countries with anti-trade unions laws is yet to be seen.

Non-discrimination and equal opportunity

All labour safeguards state that the employment and treatment of project workers should abide by the principles of non-discrimination and equal opportunity. However, like provisions related to workers' organisations, the majority of safeguard non-discrimination requirements (with the exception of the

BOX 17: WORLD BANK'S ESS2 ON 'WORKERS' ORGANISATIONS'

Workers' Organisations (World Bank, ESS2)

"16. In countries where national law recognizes workers' rights to form and to join workers' organizations of their choosing and to bargain collectively without interference, the project will be implemented in accordance with national law. In such circumstances, the role of legally established workers' organizations and legitimate workers' representatives will be respected, and they will be provided with information needed for meaningful negotiation in a timely manner. Where national law restricts workers' organizations, the project will not restrict project workers from developing alternative mechanisms to express their grievances and protect their rights regarding working conditions and terms of employment. The Borrower should not seek to influence or control these alternative mechanisms. The Borrower will not discriminate or retaliate against project workers who participate, or seek to participate, in such workers' organizations and collective bargaining or alternative mechanisms."

EBRD) defer to national law and only apply when they are not 'inconsistent' with national law, or when domestic law is silent on the issue. The IFC (PS2, para. 16) sets out its position as follows: *"In countries where national law provides for non-discrimination in employment, the client will comply with national law. When national laws are silent on non-discrimination in employment, the client will meet this Performance Standard. In circumstances where national law is inconsistent with this Performance Standard, the client is **encouraged** to carry out its operations consistent with the intent of paragraph 15 [i.e. the non-discrimination and equal opportunity provisions] above **without contravening applicable laws.**"*

While such deference to national law again puts IFI safeguards at odds with the ILO's CLSs, non-discrimination and equal opportunity provisions can be very useful for workers, especially women workers, in countries where national law is either consistent with the safeguard or silent on these issues. All labour safeguards set out the following key non-discrimination and equal opportunity requirements:

- Decisions related to employment and treatment of project workers **will not be made on the basis of personal characteristics unrelated to the inherent requirements** of the job and that employment. The IFC, IDB, AfDB, EBRD explicitly clarify that such characteristics include gender.
- Employment relationships will be based on the **principles of equal opportunity and fair treatment**, and that borrowers **will not discriminate** in any aspect of the employment relationship including recruitment and hiring, wages, job assignment and promotion.
- Measures will be put in place to **prevent and address harassment, intimidation, and/or exploitation**. The IFC, IDB, AfDB all state that such measures should be taken 'especially in regard to women' with the IDB (para. 16, fn. 80) specifically citing ILO C190 as providing 'the international baseline for addressing these practices in the world of work' (see Box 18). The EBRD (para. 14) explicitly states that appropriate measures must be taken to prevent and address 'any form of gender-based violence (GBV)'.
 - measures taken to remedy past discrimination will not be treated as discrimination (i.e. **affirmative action measures are allowed**).

Some labour safeguards contain supplementary gender provisions such as the AfDB's requirement that 'the borrower or client also prevents social exclusion of or employment inequalities to women and workers with family responsibilities and, to the extent possible, allows employment not to conflict with family responsibilities' (OS5, p. 50). The IDB includes the collection of 'gender-disaggregated employment data to ensure non-discriminatory hiring practices' (ESPS2, para. 3, fn. 72) as a measure that borrowers may take in order to implement its labour safeguard while taking into consideration requirements related to gender equality.

Labour grievance mechanism

All labour safeguards mandate borrowers to establish a grievance mechanism for project workers and, where relevant, their organisations to raise workplace concerns. Borrowers are required to inform workers of the grievance mechanism, make it easily accessible to them and to address concerns in a timely way and without retribution.

The EBRD and the IDB also require that special provisions be put in place for the special protection for reports of gender-based violence (GBV). Even in the cases that IFIs do not specifically mention GBV, women workers and their unions can push for such gender-sensitive provisions to be put in place within labour grievance mechanisms.

While labour grievance mechanisms can be a useful tool for workers, including for addressing GBV in the workplace, they are likely to be most effective when trade unions are able to support workers to raise their concerns. This is why the ITUC (2019: 37) recommends that trade unions demand the establishment of 'joint labour-management grievance committees' in IFI projects to handle grievances rather than management unilaterally making decisions, and for safeguards to enshrine the right of workers to have their trade union or a co-worker present during meetings related to the grievance.

“Grievance mechanisms have become an area of focus in implementation of labour safeguards and can be one of the first changes to a borrower’s practices after receiving an investment”

ITUC, 2019, The labour standards of the multilateral development banks: A trade union guide (p. 22)

Working Conditions and Terms of Employment

Labour safeguards typically require the borrower to ensure that working conditions and 'labour management policies and procedures' are aligned with the requirements of the safeguard (i.e. the provisions outlined above) and that workers are provided with clear information and documentation regarding the terms and conditions of their employment. Examples of areas covered by working conditions and terms of employment include wages and benefits, hours of work and leave for maternity.

Several IFIs, including the IFC, explicitly state that in cases where the borrower already has a **collective bargaining agreement with a trade union**, such an agreement should continue to be respected. The majority of labour safeguards also state that **migrant workers** must be employed on

equivalent terms and conditions as non-migrant workers performing the same work.

If initial assessments show that a borrower's labour management policies and procedures and typical working conditions are *not* consistent with the requirements of the labour safeguard, then the borrower will be required to make changes in order to bring them into line. Such changes will often be outlined in an 'action plan' included in project's legally binding ESAP (the IFC's version of the World Bank's ESCP). For example, [the ESAP of a recently proposed IFC loan to the City of Bogotá](#) to extend its Transmilenio BRT system requires that the borrower (the City of Bogotá) ensures that Transmilenio, the entity in charge of designing and operating the BRT system: a) reviews its Code of Ethics and HR documents to ensure 'full alignment with PS2,

The inclusion of commitments related to labour terms and conditions, and labour management policies and procedures in the legally binding project ESAP creates a strong foundation for ensuring decent working conditions in IFI projects. As will be discussed in the section: **Intervening in the IFI Project Cycle**, this is why trade unions need to intervene early in the IFI lending process to make sure labour risks and inconsistencies with the labour safeguard are highlighted and addressed in the loan agreement between IFI and borrower. Unions also play a crucial role in monitoring employer compliance with agreed terms and conditions during the project's implementation phase and holding borrowers to account when they are violated.

BOX 18: C190

Adopted by the International Labour Organisation (ILO) in 2019, **C190 – Violence and Harassment Convention** is the first ever international labour standard that establishes a clear framework to end violence and harassment in the world of work.

This truly inclusive convention identifies the right of everyone to a world of work free from violence and harassment. It applies to all sectors – whether private or public, both in the formal and informal economy, and whether in urban or rural areas. And it makes it clear that the world of work encompasses sanitary facilities and the commute to and from work.

It also recognises that violence and harassment threatens equal opportunities and is incompatible with decent work.

Transport is recognised as one of the sectors most vulnerable to violence and harassment which disproportionately affects women transport workers.

The ITF is calling on all IFIs to incorporate the provisions of C190 into their safeguard systems in order to bring them into line with international law and better protect the right of women workers to dignity and respect and the right to work free from violence and harassment.

>> [Link to ITF C190 transport toolkit](#)

IFIs without dedicated labour safeguards (AIIB, NDB, ADB)

The **AIIB** and **NDB** do not have dedicated labour safeguards, but they do reference labour in other safeguards. Both the AIIB and the NDB set out their very limited provisions in their first safeguards covering environmental and social assessment requirements. For example, both the AIIB and NDB mandate the implementation of health and safety measures to protect project workers, and the AIIB sets out a number of requirements for the management of labour in private sector projects, including provisions on equal opportunity, non-discrimination and compliance with national law with respect to workers' organisations. Several of the protections do not apply to public sector projects financed by AIIB.

The **ADB** mandates borrowers to provide workers with a safe and healthy working environment in its *Safeguard Requirements 1: Environment*. However, the majority of its labour-related requirements are found in different policy documents including its **Social Protection Strategy (2001)**, which requires the ADB to 'comply with internationally recognised core labor standards' 'in the design and formulation of its loans', as well as its **Operations Manual for staff (section: Incorporation of Social Dimensions into ADB Operations)**, which requires an 'initial poverty and social analysis' (IPSA) to be undertaken for all projects, to allow for 'key social issues' such as labour to be identified and addressed by the project, as well as for labour retrenchment plans to be put in place when necessary.

It is beyond the scope of this guide to discuss the ADB's various labour-related policy and operational commitments in detail, however, Public Services International (PSI) has produced a trade union guide to understanding the ADB (**Engaging with Asian Development Bank for Workers' Rights: A Trade Unions Guide to Understanding ADB (2012)**) and the ITUC's 2019 *The labour standards of the multilateral development banks: A trade union guide* (p. 24) provides some further detail on ADB procedures. It is also worth noting that the ADB began a review of its existing safeguards system in 2020 (see **Safeguard Policy Review**) and is due to publish its updated safeguards policy in 2022. The Global Unions published its position paper on **Promoting and respecting international labour standards in ADB: A binding safeguard and beyond** in September 2021. It is expected to adopt a dedicated labour safeguard in line with other IFIs following the review. The ADB has also recently established a core labour standards specialist position (see below).

Dedicated Labour Safeguard/Trade Union Communication Mechanisms

While not explicitly stated in their labour safeguards, both the IFC and the EBRD have dedicated mechanisms designed to facilitate communication between trade unions and the relevant IFI regarding borrower compliance with labour safeguards, and in the case of the EBRD, with its *Performance Requirement 4: Health, Safety and Security*, which covers occupational safety and health. These mechanisms were established following pressure on both IFIs from trade unions and global union federations, like the ITF and the ITUC, to improve their application of labour safeguards.

Workers and their trade unions can use these mechanisms to contact IFI staff directly to **report labour safeguard violations**. The ITF and/or the ITUC is able to support trade unions submit complaints. ITF affiliates can access support for the submission of such complaints at: **women@itf.org.uk**

The **IFC's 'Labour Portal'** provides a 'Communication Form for Issues under PS2' at: <https://commentsforps2.ifc.org/surveyform> (See Annex 1)

The **EBRD's 'Trade Union Communication Mechanism' (TUCM)** provides a standardised form which can be sent to: TradeUnionCommunications@ebrd.com. (see Annex 2)

While not established exclusively for trade unions, the **World Bank's Grievance Redress Service** provides an avenue for workers and trade unions to contact the World Bank. Complaints can relate to violations of ESS2 or any other of the World Bank's ESSs. Complaints can be submitted through the Grievance Redress Service webpage: <https://projects.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service#1>

The ADB has created a dedicated position to support implementation of core labour standards at the ADB. This is currently Haidy Ear-Dupuy (the ADB's 'Senior Social Development Specialist – Core Labour Standards') The ITF can put you in contact.

GENDER-RELATED SAFEGUARDS

Only the IDB has a standalone gender safeguard dedicated to assessing and preventing gender-related harm and to protecting gender equality (*ESPS 9: Gender Equality* see [Box 7](#)). While other IFI safeguards include sub-components that address gender-specific risks and impacts, for example, the requirement for borrowers to take into account 'specific threats to women' as part of OSH requirements, such provisions are thin on the ground and IFIs often bundle up the category of 'women' with other 'vulnerable groups' such as children and the elderly. This fails to meaningfully engage with gender-specific issues such as gender-based violence (GBV) and gender-based occupational segregation, both major problems in the transport industry.

For these reasons the ITF supports the demand of organisations like [Gender Action](#) for all IFIs to adopt dedicated gender safeguards (see [Box 19](#)). We also call for IFIs to strengthen gender-related provisions of other safeguards, for example, by incorporating ILO C190 provisions into labour safeguards (see [Box 18](#)) and requiring gender impact assessments to be carried out for all IFI investments (see [Box 20](#)). The ITF has also developed guidance on what action should be taken by IFIs to ensure rights to adequate sanitation (see [Box 20](#)).

Despite their major shortcomings and the need for radical reform, existing gender-related provisions still do provide useful entry points for unions to protect and further the rights of women workers in relation to IFI-financed projects.

This section will cover gender-related sub-provisions safeguards related to:

- environmental and social impact assessments (ESIAs);
- stakeholder consultation;
- economic displacement; and
- labour.

It will also cover the IDB's dedicated *ESPS 9: Gender Equality* safeguard and highlight the opportunities for strategic engagement with IFIs 'beyond safeguards', notably including engagement with IFI's broader gender policies and strategies.

BOX 19: DEDICATED GENDER SAFEGUARD

All Environmental and Social Frameworks (ESFs) should "[i]nclude a mandatory, stand-alone do no harm gender safeguard. While some ESFs currently incorporate gender issues into general safeguards, none do so strongly. A mandatory freestanding gender safeguard would provide powerful incentive for achieving gender equality."

Elaine Zuckerman and Thanh Mai Bercher, 2020, *Unmet Gender Promises: Making IFI policies and projects deliver on gender equal rights*, (*Gender Action*), p. 25.

BOX 20: ITF SANITATION CHARTER

The ITF's *Toilet rights are human rights! Transport workers' sanitation charter (2019)* urges IFIs to:

- endorse the principles of this charter by incorporating the rights to water and adequate sanitation - rights particularly relevant to responsible development funding transport infrastructure and projects - into their lending policies, credit agreements, structural adjustment programmes and other development projects to advance the implementation of these rights.
- have due diligence processes in place, which require consultations with stakeholders, including unions of local workers that stand to be affected by transport infrastructure projects. **Gender impact assessments should be undertaken** and the findings incorporated into amended project proposals.
- satisfy themselves, before agreeing to grant funds for transport infrastructure projects, including mass rapid transit, that the recipients and their subcontractors endorse and respect human rights, including labour rights, of workers involved in the implementation and continued operation of the project, in particular, that they will: provide appropriate toilets for workers; will organise the work, in consultation with workers and their trade union representatives; ensure that the facilities are accessible; and that workers have adequate time to use them during their working hours. These protections and provisions must equally apply for any informal workers involved in the implementation and continued operation of the project in the same way as all other workers, until such a time as they are formally and fully integrated into the workforce.
- request that partners endorse this charter, in order to demonstrate this commitment, as a condition of their investment.
- continued receipt of the funding should be contingent on the consistent upholding of these commitments. The finance provider should reserve the right to withdraw funding if there are serious or sustained breaches of the rights and principles set out in this charter.

Environmental and Social Impact Assessments

The provisions of ESIA safeguards can be used by unions to demand that gender-related projects risks and impacts are both recognised and appropriately addressed and managed within IFI financed projects. As is discussed further below, the IDB requires that a 'gender analysis' is undertaken for every project where there are potential gender risks and impacts, a requirement outlined in its dedicated ESPS 9 gender safeguard.

Even for IFIs without a dedicated gender safeguard, borrowers are often required to take into account 'gender-specific risks' in their impact assessments. The EBRD has the strongest provisions in this respect, stating that '[g]ender aspects...shall be considered throughout the assessment process' (PR1, para. 12) as well as specifying that social assessments must be based on 'social baseline data, including gender-disaggregated data, at an appropriate level of detail' (PR1, para. 9).

The AfDB also claims that its staff carry out 'an assessment of gender issues for every project and uses the findings as the basis for project design and compensation plans that lead to enhanced gender balance.' (OS1, p. 26).

While the World Bank does not include any reference to gender or women in its ESS1 ESIA safeguard, Bank staff are mandated to carry out due diligence 'relating to the identification of, and mitigation of risks and impacts on, individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable' by the mandatory [Bank Directive on Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups \(2016\)](#), which forms part of the wider ESF.

The Directive explicitly links to ESS1 and specifies that a person's gender can make them 'disadvantaged or vulnerable'. This is an important entry point for transport unions to demand that gender related risks and impacts are taken into account in World Bank financed transport projects. The Directive requires that World Bank staff assist the borrower in bringing their own ESIA into line with the Directive's requirements.

It should also be noted that the World Bank's [Good Practice Note on Gender](#) identifies numerous entry points for addressing gender in its Environmental and Social Framework (ESF) (see [Box 21](#)). However, like all IFI guidance documents, the provisions of the World Bank's Good Practice Notes are advisory rather than mandatory (see [Box 10](#)).

Stakeholder Consultation

IFI stakeholder consultation safeguards often make specific reference to the requirement for women to be consulted. For example, the IFC states that '[f]or projects with potentially significant adverse impacts on Affected Communities' borrowers must 'conduct an Informed Consultation and Participation (ICP) process' which should:

- (i) 'capture both men's and women's views, if necessary through separate forums or engagements, and
- (ii) reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate' (PS1, para. 31).

The World Bank's [Bank Directive on Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups \(2016\)](#) also mandates that World Bank staff ensure that borrowers include 'disadvantaged and vulnerable' individuals and groups in their stakeholder engagement and that a borrower's 'Stakeholder Engagement Plan' (SEP) 'includes differentiated measures to allow the effective participation of such individuals or groups'.

BOX 21: ENTRY POINTS FOR ADDRESSING GENDER IN THE WORLD BANK'S ESF

From the World Bank's Good Practice Note on Gender (p.10)

"What are the entry points for addressing gender gaps in the ESF?"

Different stages of the project cycle - project identification, assessment of environmental and social risks and impacts, appraisal, implementation and monitoring - all provide opportunities for promoting gender equality and inclusion at the project level under five specific mechanisms:

- a. initial **scoping** of project risks and impacts, including those arising from gender inequality;
- b. **assessment** of environmental and social risks and impacts, and designing mitigation measures in a manner that identifies and—to the extent possible—minimizes gender gaps (including Environmental and Social Impact Assessment (ESIA), Environmental and Social Management Plan (ESMP), Resettlement Action Plan (RAP), Labor Management Procedures (LMP) and Stakeholder Engagement Plan (SEP) as set out in ESSs). A comprehensive gender analysis may be warranted;
- c. **engaging stakeholders** with specific needs and risks of gender inequality in meaningful consultation, information disclosure and responsive grievance redress throughout the project life (as set out in SEP);
- d. agreeing on key **commitments** relating to gender consideration in the Environmental and Social Commitment Plan (ESCP);
- e. **adaptive risk management and monitoring** of project outcomes relating to gender.

Economic displacement

As detailed in the section: **Economic Displacement Safeguards**, economic displacement safeguards tend to contain specific gender components including requirements for borrowers to take into account gendered aspects of economic displacement (i.e. how men and women may be impacted differently by a project) and to put in place special measures to allow women to access alternative livelihood opportunities.

Unions representing women transport workers whose jobs are negatively impacted by the implementation of IFI-financed projects – such as informal transport workers displaced by the implementation of a Bus Rapid Transit (BRT) system - may use such provisions to demand that borrowers include gender sensitive measures in their "livelihood plans" which are aimed at allowing negatively economically impacted people to restore or improve their incomes or livelihoods. Such measures may include borrower commitments to providing quality and gender-equitable employment and training opportunities to displaced women transport workers, in order to aid their transition to jobs in the new transport system (if displaced by the implementation of a transport project) or access alternative forms of employment.

Labour safeguards

As detailed in the section: **Labour Safeguards**, labour safeguards provide a number of protective provisions for women transport workers who are employed by a borrower, including those who are employed indirectly through a contractor and – to a lesser extent - those engaged in a borrower's supply chain ('project workers'). Such workers may include employees of an airline company that has received an IFI loan or bus drivers in a new IFI-financed BRT system.

Most gender-specific requirements of labour safeguards are included within sections on **occupational safety and health (OSH)** and **non-discrimination and equal opportunity**, as well as **project level grievance mechanism** provisions, which in some cases mandate special measures to be put in place to protect those reporting instances of gender-based violence (GBV).

IDB's Gender Safeguard: ESPS 9: Gender Equality

The IDB has historically been the IFI with the strongest gender policies and procedures. Its dedicated gender safeguard **ESPS 9: Gender Equality** is included in the IDB's new **Environmental and Social Policy Framework (ESPF)**, which was approved by the bank's Board of Executive Directors in September 2020, and is expected to come into force in late 2021. Once in force, the ESPF will apply to all new IDB financed operations. Investments approved prior to this date will remain subject to the IDB's previous safeguards framework (see the **IDB Profile**), which also includes a dedicated gender safeguard (the (OP-761)).

Scope/applicability to transport workers

Unlike dedicated labour safeguards, gender safeguards are not specifically aimed at workers but rather apply to those affected by a project more generally. ESPS 9 therefore contains provisions that will be of potential use to both women project workers and women who are adversely impacted by an IDB-financed project.

As in the case of labour safeguards, the applicability of ESPS 9 is established during the environmental and social assessment process. If gender-based risks and impacts are identified, then borrowers are required to apply the requirements of the safeguard. Again, it is essential that unions engage at the ESIA stage in the lending process to ensure that gender risks and impacts are recognised.

Key requirements of ESPS 9 relevant to women transport workers

1) Identification and Assessment of Sexual and Gender-Based Risks and Impacts

For projects where gender-based risks and impacts have been identified, borrowers are required to conduct a **gender analysis** as part of their environmental and social due diligence procedures. The gender analysis will 'assess how gender relations in the project's area of influence may lead to disproportionate impacts by gender' such as the exclusion of people from project benefits due to their gender, and assess measures to manage these risks/ impacts.

Gender gaps in employment and employment opportunity, income-generating activities, and the uneven distribution of care work are all listed as issues that will be considered by the gender analysis.

2) Avoidance, Mitigation and/or Remediation of Impacts and Risks

Where the gender analysis identifies negative gender-based risks and impacts, borrowers are required to implement measures to: i) 'avoid, minimize, mitigate, and/or compensate the identified negative impacts with mechanisms that promote gender equity'; and ii) ensure that 'people of different genders, including women' receive equal social and economic benefits related to the project.

Borrowers are also required to ensure that project workers are not subject to 'discrimination based on gender, gender identity, sexual orientation, pregnancy, parental leave, or marital status', as well as ensuring 'equal treatment and equal pay for work of equal value for its workers'. In listing specific grounds for discrimination which are prohibited as well as directly mandating equal treatment and equal pay, ESPS 9 goes beyond the requirements of the IADB's ESPS 2 labour safeguard and will be of particular use to women project workers.

ESPS 2 states the borrower "will not discriminate with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits)". ESPE 2 FN 79 defines personal characteristics by stating: "Such as gender, sex, race, color, nationality, national extraction, political opinion, affiliation or non-affiliation to a union, ethnic, social or indigenous origin, religion or belief, marital or family status, disability, age, sexual orientation or gender identity, or state of health"

3) Managing Disproportionate Impacts in Situations of Involuntary Physical Resettlement or Economic Displacement

For all projects with the potential for involuntary physical resettlement or economic displacement borrowers are required to apply *ESPS 5: Land Acquisition* and *Involuntary Resettlement*. ESPS 9 complements ESPS 5 in outlining additional gender-related considerations which must be taken into account by the borrower, such as the requirement to make 'assistance to livelihood improvement or restoration' 'available to individuals equally regardless of gender'.

4) Assessing and Managing Project-related Sexual and Gender-based Violence (SGBV)

Borrowers are required to 'assess and prevent risks of project-related SGBV and respond promptly and appropriately to incidents of SGBV', for example by making sure that project grievance mechanisms have specific procedures for the reporting of SGBV.

5) Equitable Participation of People of All Genders in Consultations

In addition to the requirements of ESPS 10: Stakeholder Engagement and Information Disclosure, ESPS 9 requires that borrowers 'ensure the effective engagement and participation of people of all genders', including by facilitating 'measures to ensure meaningful participation of women and people by including appropriate times of meetings, transportation, and childcare support, and convene separate meetings when necessary

Beyond safeguards: IFI gender strategies/Policies

Every IFI covered in this guide, with the exceptions of the AIIB and NDB, has a gender strategy and/or policy (see [Box 22](#)). Generally, each of these strategies/policies set out the IFI's commitment to gender equality, and a common theme is the importance of women's incorporation into the labour market.

For example, the World Bank Group's [Gender Strategy \(FY 16-23\)](#) (which covers both the World Bank and the IFC) identifies 'removing constraints for more and better jobs' as one of its four key strategic objectives, and pinpoints occupational gender segregation as a factor in constraining women's labour force participation. The Strategy also states that '[t]aking a gendered approach to new sectors of labour demand, such as "green growth" jobs...can lead to positive outcomes before traditional barriers kick in' (p. 41).

Gender strategies are supposed to guide what kind of investments IFIs make, and what kind of objectives and outcomes investments are expected to achieve. For women workers and their trade unions, an awareness of gender strategies, their objectives and their policy commitments can potentially be a powerful tool when attempting to shape IFI transport projects in the interests of women workers. For example, a recent World Bank financed urban transport development project in the city of Kandy, Sri Lanka (the [Kandy Multimodal Transport Terminal \(KMMT\) Development Project](#)), includes the [target of increasing the percentage of female employment](#) in bus transport companies from 3% to 10%.

Transport unions can push for similar but bolder commitments to be included in all IFI-financed transport projects (for example a target of at least 50% women's employment), whether they are representing workers within an IFI-financed company or displaced workers who are demanding gender-equitable employment opportunities in new or restructured transport systems. Unions can also push for such targets and labour provisions to be included in tendering agreements between governments and transport operators, given that IFIs often provide influential 'technical advice' on the drafting of such agreements.

A fundamental element of employment demands by trade unions must include the demand that IFI investments support the creation of decent work with strong employment and organisational rights for women workers. Past experience has shown that jobs in World Bank financed transport systems can be of poor quality (for example [workers in Bogotá's \(Colombia\) World Bank financed Transmilenio BRT system face poor working conditions and anti-union discrimination](#)) therefore the inclusion of the twin demands for decent work and for an end to occupational gender segregation is crucial.

While it is beyond the scope of this guide to cover these areas in detail, it is clear that strategic engagement with a broader set of IFI commitments, including those outlined in gender strategy/policy documents, in parallel with their legally binding safeguard systems, will add to the set of tools available to women workers and their unions in their struggle to protect women's rights and improve gender outcomes of IFI-financed transport projects.

BOX 22: IFI GENDER POLICIES

| IFI | Gender Strategy/Policy |
|------------|--|
| World Bank | World Bank Group Gender Strategy (FY16-23): Gender Equality, Poverty Reduction and Inclusive Growth (2015) |
| IFC | World Bank Group Gender Strategy (FY16-23): Gender Equality, Poverty Reduction and Inclusive Growth (2015) |
| AiIB | None |
| ADB | Operational Plan for Priority 2: Accelerating Progress in Gender Equality, 2019-2024 (2019) |
| AfDB | Gender Policy (2001) Gender Strategy: Investing in Gender Equality for Africa's Transformation (2014-2018) |
| EBRD | Strategy for the Promotion of Gender Equality 2016-2020 (2015) |
| IADB | The IADB's ESPF (2020) will mostly supersede its previous gender policy: <i>Policy on Gender Equality in Development (OP-761) (2010)</i> However, <i>Policy on Gender Equality in Development (OP-761) (2010)</i> will continue to apply to all of the IADB's 'gender mainstreaming' work. |
| NDB | None |

INDEPENDENT ACCOUNTABILITY MECHANISMS (IAMS)

All but one of the IFIs covered in this guide have an 'independent accountability mechanism' (IAM) to which those whose rights or interests have been, or are likely to be, affected by a project supported by the IFI can submit a complaint (see Box 23). This includes complaints related to violations of IFI safeguards.

While there is considerable variation between different IAMs in terms of eligibility criteria for complainants, the efficacy of their procedures and levels of independence from their associated IFIs, IAMs tend to undertake a similar set of functions:²

1. Receive complaints;
2. determine the eligibility of complaints;
3. in case of eligible complaints:
 - a) resolve the dispute through mediation, fact-finding or other methods (sometimes called 'problem solving') and/or
 - b) investigate compliance with institution's own procedures and safeguards ('compliance review'); and
4. issue public reports covering the findings and recommendations (if any) of the investigation.

The conclusions of IAM investigations are non-binding and in general it is the IFI's President or Board of Directors that decides what will be done following an investigation. As noted by the ITUC (2019: 29) the non-binding nature of IAM conclusions 'can stand in the way of effective remedy' for those who bring complaints.

² This summary of functions is adapted from Accountability Counsel's 'About Accountability Mechanisms': <https://www.accountabilitycounsel.org/accountability-resources/guides/>

³ A 2016 report found that between 1994-2015 only 2.5% of complaints made to IFI IAMs mentioned gender related issues (Daniel et al (2016: 29)).

BOX 23: INDEPENDENT ACCOUNTABILITY MECHANISMS

| IFI | Independent Accountability Mechanism |
|------------|---|
| World Bank | Inspection Panel (IP) |
| IFC | Compliance Advisor Ombudsman (CAO) |
| AfDB | Independent Review Mechanism |
| ADB | Accountability Mechanism |
| AIIB | Project-affected People's Mechanism |
| EBRD | Independent Project Accountability Mechanism (IPAM) |
| IDB | Independent Consultation and Investigation Mechanism (MICI) |
| NDB | None |

Trade unions have utilized IAMs to varying degrees of success to lodge complaints regarding borrower violations of labour safeguards as well as the failure of IFIs to comply with their own risk assessment and monitoring obligations. While some complaints (or threats of complaint) have helped solve problems for workers at the workplace level, the effectiveness of such mechanisms is limited by the often extremely time-consuming nature of the complaints process as well as a lack of effective enforcement of safeguard compliance by IFIs (**see *In focus: IFI Independent Accountability Mechanisms and Transport Trade Unions***).

A small number of gender-related complaints have been brought to IAMs³. By far the most notable among them concerned the World Bank's *Transport Sector Development Project* in Uganda, in which local communities affected by road construction complained to the World Bank's *Inspection Panel* about a number of issues, including the sexual abuse of girls by construction workers and the sexual harassment of female project employees. The complaint, which was supported in its early stages by Ugandan ITF-affiliate the *Amalgamated Transport and General Workers' Union (ATGWU)*, attracted international attention and resulted in the cancellation of the project, the provision of additional support to affected parties and the commitment of the World Bank to significant internal reforms aimed at improving the Bank's ability to address the risk gender-based violence (GBV) within its projects (**see *In focus: Gender at the World Bank's Inspection Panel***).

Accountability Counsel has produced a useful and detailed guide to using IAMs: **[Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development](#)**. Links to this document plus other IAM related resources can be found in the section: **Further Resources** at the end of this guide.



In focus: BRINGING COMPLAINTS AND TRANSPORT TRADE UNIONS

Renata Cyman, Crane operator and union leader. Credit: ITF

Past experience of trade union engagement with IFI IAMs show that while some complaints (or threats of complaint) can resolve problems for workers at the workplace level, the effectiveness of such mechanisms is limited by the often time-consuming nature of the complaints process. IFIs also lack effective enforcement powers in cases where loans have already been disbursed and repaid by borrowers and even in cases where enforcement mechanisms are available to IFIs, they have often been unwilling to fully utilise them.

For these reasons the ITUC (2019: 29) describes IAMs as 'most useful in changing future bank behaviour and holding the institutions accountable for failing to uphold their own safeguards' rather than necessarily proving timely and effective remedy to individual violations at a workplace level. Strengthening of IAMs can help address this issue.

GOL Airlines / IFC

Brazilian GOL airlines received a \$50 million loan from the IFC in 2006, however the company had been engaging in anti-union behaviour and age discriminatory hiring practices, in contravention to the IFC's 'Performance Standard 2' (PS2) labour safeguard. With the help of the

ITF, GOL airlines workers complained to IFC staff through the safeguards department (at the time called CES) about these violations, which culminated in the company adjusting its relationship with the union and bringing its practices in line with PS2.

DCT Gdansk / EBRD

Another successful example of leveraging an IAM mechanism involved ITF affiliate Solidarnosc representing workers at the EBRD-financed container port company *DCT Gdansk (Poland)*, threatening to lodge a complaint with the EBRD's *Independent Project Accountability Mechanism (IPAM)* as part of a wider ITF-supported campaign to force the company to desist in its anti-union behaviour and sign a collective bargaining agreement with the union. After several years of intransigence, the company, which had received a loan from the EBRD as part of a €259 million project to extend the Gdansk deep water container port, finally entered into a CBA with the union in 2016. The campaign also led to an MOU being signed between the ITUC and EBRD to help improve the EBRD's implementation of its labour safeguard. This interaction culminated in the establishment of a dedicated trade union communication mechanism at the EBRD (see [Annex 2](#)).



Avianca / IFC

A more ambiguous example of the use of IFI IAMs by trade unions is the case of the Colombian airline company Avianca which received a \$50 million loan from the IFC in 2009 to renew its fleet. In 2011, the ITUC/ Global Unions Washington Office **submitted a complaint** to the IFC's CAO on behalf of ITF affiliates ACAV (*Asociación Colombiana De Auxiliares De Vuelo*) and ACDAC (*Asociación Colombiana De Aviadores Civiles*). The unions were representing Avianca workers who had been subjected to sustained anti-union behaviour at the company, including the firing of union members, in clear violation of the IFC's 'Performance Standard 2' (PS2) labour safeguard. The complaint also outlined how the IFC had failed to adequately monitor and secure Avianca's compliance with PS2 throughout the project cycle, including ignoring trade union warnings about the company's history of serious labour rights violations before the loan was approved.

Following Avianca's refusal to engage in a dispute resolution process with the union, the CAO embarked on a compliance investigation which, when its results were disclosed four years later in 2015, issued a **scathing indictment** of the IFC's failure to secure Avianca's compliance with the PS2 safeguard. While the CAO's report was highly critical, including stating that the IFC had in fact erred in disbursing the loan to Avianca given its knowledge of the company's poor labour rights record, its ability to bring about change in the company's behaviour was severely limited because Avianca had already paid off its loan by the time the CAO's findings were released. This meant that the IFC's leverage over Avianca was profoundly weakened, and the company continued to engage in anti-union behaviour.

Despite the drawn-out period of time between the initial complaint being submitted and disclosure of the CAO's report, as well as the lack of timely resolution to the Avianca workers' concrete and immediate problems, the IAM process did prove strategically useful for workers at the company in the longer term. The CAO's findings provided supportive evidence for what proved to be a successful national Supreme Court case against the company's illegal labour practices.

Cristina Cadavid of the ACAV union said that Avianca's court defeat allowed the workers and their unions to 'successfully put an end to labour discrimination' at the company, with the new company management now preferring the 'path of dialogue and consultation with workers'. The case also led to positive changes within the IFC itself as the ITUC was able to pressure the IFC to improve its internal procedures in order to strengthen its ability to ensure borrower compliance with PS2.

"Indeed, after the CAO proceedings concluded, Avianca did not change its conduct. It was really only through the court judgment – which was non-appealable, as it was the highest and final court – that we successfully put an end to labour discrimination at that company.

Today, as there has been a complete change of management due to the change of ownership, this has opened the way to dialogue and we have been able to ensure bilateral consultation.

In conclusion, taking the complaint all the way to the World Bank allowed us to prove that it was the policy of those running Avianca to violate workers' rights. This helped to ensure that those who took the reins at the company changed tack and now prefer the path of dialogue and consultation."

Cristina Cadavid, ACAV, Colombia

In focus: GENDER AT THE WORLD BANK'S INSPECTION PANEL

In 2009, the World Bank approved a \$190 million loan to the Government of Uganda for its **Transport Sector Development Project** aimed at improving 'the connectivity and efficiency of the transport sector' through, amongst other things, the upgrading and rehabilitation of national roads. Additional financing of \$75 million for the project was approved in 2011, which included the upgrading and rehabilitation of the 66km Kamwenge-Fort Portal road.

In September 2015 the World Bank's Inspection Panel registered a complaint (a '**Request for Inspection**') from three community members who lived along Kamwenge-Fort Portal road, supported by a charity called 'Joy for Children Uganda' (JFCU). The Ugandan ITF-affiliate the *Amalgamated Transport and General Workers' Union (ATGWU)* also played an important role in supporting the development of the complaint in its early stages. The complaint raised a number of issues including sexual abuse of girls by road construction workers, which had resulted in teenage pregnancies and girls dropping out of school, the sexual harassment of female employees and poor labour practices on the project.

In December 2015, the World Bank cancelled the project due to 'contractual breaches related to workers' issues, social and environmental concerns, poor project performance, and serious allegations of sexual misconduct and abuse by contractors'.

In an unprecedented move, the World Bank's President at the time Jim Yong Kim **admitted to major failings on the part of the World Bank:**

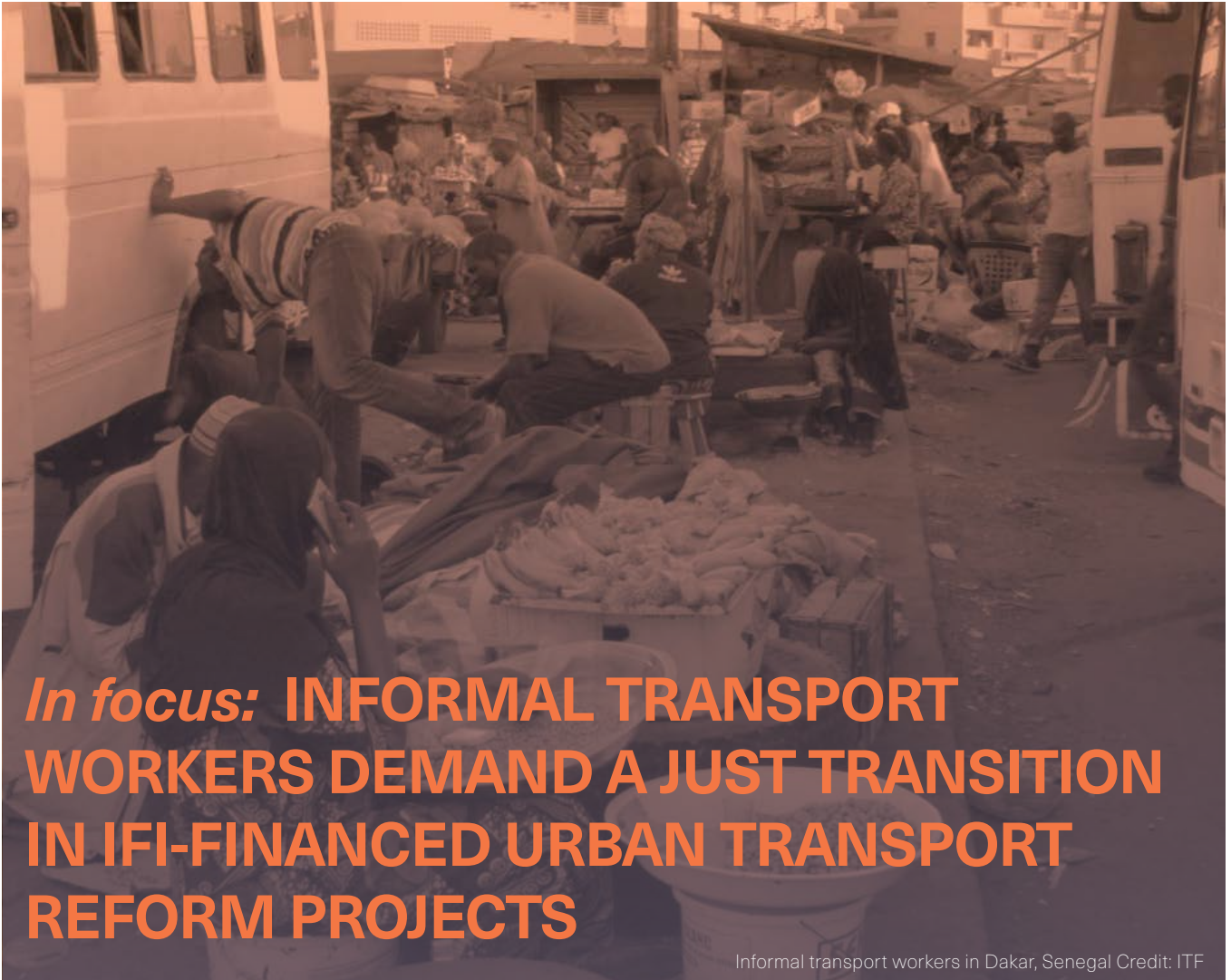
*"The multiple failures we've seen in this project -- on the part of the World Bank, the government of Uganda, and a government contractor -- are unacceptable. **It is our obligation to properly supervise all investment projects to ensure that the poor and vulnerable are protected in our work.** In this case, we did not. I am committed to making sure we do everything in our power -- working with other stakeholders -- first to fully review the circumstances of this project and then to quickly learn from our and others' failures so they do not happen again. The World Bank is committed to be a global leader in Environmental and Social Standards in the development sphere, and part of that critical responsibility is to watch projects closely and ensure that risks are properly addressed."*

Beyond providing immediate assistance to the affected communities, the World Bank went on to publish a report ('**Lessons Learned and Agenda for Action**') outlining its failures related to the project, created a **Gender-Based Violence Task Force** charged with strengthening the Bank's response to issues involving sexual exploitation and abuse in its projects and developed a '**Good Practice Note on Addressing Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) in Investment Project Financing involving Major Civil Works**' for World Bank staff.

In December 2020, the Inspection Panel published a report **Insights of the World Bank Inspection Panel: Responding to Project Gender-Based Violence Complaints Through an Independent Accountability Mechanism** reflecting on the Bank's past failures in addressing GBV and outlining its 'transformation' following the Uganda case. One element of this 'transformation' includes the introduction of a new '**disqualification mechanism**' by which contractors who fail to comply with GBV-related obligations can be disqualified for two years from receiving 'large works contracts' in World Bank financed infrastructure projects.

While the World Bank responded proactively to complaints made in the Uganda Transport Sector Development Project it should be noted that this response very much represents a deviation from the norm. As explained in a **recent report** on the case: '[w]hen communities submit complaints to the Inspection Panel, Bank management generally prepares a response with their views on whether the Bank's actions around a project were in compliance with Bank policy. Unsurprisingly, these management responses generally argue that the Bank is compliant with all relevant policies.' The report also notes that the World Bank 'only rarely cancels an active project, and even more rarely due to negative impacts on communities'.

Nevertheless, the Uganda case demonstrates, at a minimum, that there is scope for gender and labour-related complaints to be brought to the World Bank's Inspection Panel and that these complaints can bring about concrete gains for women and effect internal changes within the World Bank itself. This could be considered a promising precedent for union engagement in this area and the new mechanisms and guidance documents introduced by the Bank as a result of the case offer further tools to unions seeking to support and protect the rights of women transport workers in the context of World Bank financed projects.



***In focus:* INFORMAL TRANSPORT WORKERS DEMAND A JUST TRANSITION IN IFI-FINANCED URBAN TRANSPORT REFORM PROJECTS**

Informal transport workers in Dakar, Senegal Credit: ITF

The restructuring and development of urban transport systems in the cities of low and middle-income countries is a priority area for the World Bank. This is a result of the problems associated with traditional forms of urban transport, such as congestion and pollution, becoming ever more acute as cities continue to grow and car ownership increases, as well as the pressing need to reduce carbon emissions through the introduction of cleaner and more efficient transport technologies.

One of the World Bank's favoured mechanisms for restructuring urban transport is the replacement of informal transport services with bus rapid transit (BRT) systems. While few, including informal workers themselves, would deny that reform of the informal transport industry is needed, the process of BRT implementation and urban transport formalisation rarely takes into account the rights and interests of informal transport workers.

Despite their clear status as 'project-affected parties' and stakeholders, informal transport workers are rarely acknowledged in borrower ESAs and all too often it is only vehicle owners who are consulted in the stakeholder

engagement process. In cases where the impact on workers is acknowledged it is often only drivers who are taken into account, while women workers who tend to perform the most precarious and least conventionally 'visible' jobs in the informal transport industry (for example working as food vendors in transport terminals) are consistently ignored.

This is why the ITF has begun to commission 'labour impact assessments' (LIAs) of proposed IFI-funded BRT projects ([see section: ITF Resources](#)). These studies have shown that the labour impact of urban transport reform and formalisation can often be catastrophic for informal transport workers due to the mismatch between jobs created in new BRT systems and traditional labour-intensive informal systems. For example, the labour impact assessment of a proposed BRT system in Nairobi, Kenya, estimates that the introduction of BRT to the city would result in a net loss of nearly 30,000 informal transport jobs connected to the city's matatu industry. Labour impact assessments have also shown that many women work in the informal transport industry despite the common assumption that it is almost exclusively male.



Informal transport ticket collector in Dakar, Senegal Credit: ITF

The evidence produced by labour impact assessments can be utilised by informal workers and their trade unions to both demonstrate the impact of proposed projects on their livelihoods and support their demands for a just and 'worker led' transition from informal to decent formal work in the transport sector, including the provision of gender-equitable training and job opportunities for displaced women workers.

As will be discussed further, no IFI currently requires a dedicated 'labour impact assessment' to be conducted as part of an ESIA process and only the IADB and the EBRD set out clear requirements for borrowers to consider gender-related risks and impacts for every project. However, safeguard provisions requiring the social impact of projects to be assessed, including economic displacement, do exist, and therefore provide an entry point for negatively impacted workers to demand that the 'labour impact' of all IFI-financed projects be assessed and adequately remedied.

The ITF has produced a number of materials to support informal transport workers and their unions formulate demands and negotiate for a just and 'worker led' transition from informal to decent formal work in the transport sector, which can be found in the section: **ITF resources** at the end of this guide.



The International Labour Organisation's (ILO) **Recommendation No. 204 Concerning the Transition from the Informal to the Formal Economy** is a highly relevant reference point for unions representing informal transport workers. It states that governments need to *'take urgent and appropriate measures to enable the transition of workers and economic units from the informal to the formal economy while ensuring the preservation and improvement of existing livelihoods during the transition'*

BOGOTÁ'S TRANSMILENIO BRT SYSTEM



The World Bank financed TransMilenio BRT system in Bogotá, Colombia, was launched in 2000. TransMilenio replaced the city's traditional urban minibus transport services along BRT routes, displacing thousands of transport workers. BRT planners failed to meaningfully consult with the transport workers negatively affected by the project, and no adequate measures were put in place to support the transition of impacted workers to find jobs in the new BRT system or to access alternative forms of employment.

Workers who work in the TransMilenio BRT system now face poor working conditions and anti-union management. Women workers are in a particularly precarious position, facing both gender-based discrimination and insecurity resulting from the impact of the automation of their jobs, which are concentrated in ticket-selling.

"The Bogotá BRT was launched in December 2000 in order to establish a mass transport system designed to help address the problem of mobility in Bogotá. In theory, this was to be an instrument that would ensure a better quality of life for citizens, completely overlooking the loss of thousands of jobs for those who then belonged to the traditional transport system. Then, there was the creation of the management body TransMilenio, which has now grown to become a global benchmark for mobility, yet the reality is quite different for passengers and especially for us as women, since from the outset we were never involved as stakeholders, neither the unions nor us women. So, we now face discrimination and insecurity in our various roles within the Bogotá BRT."

Vivian Acosta, National Transport Workers' Union of Colombia (SNTT) and worker serving Recaudo Bogotá SAS, a TransMilenio operating company

"The owners of large bus and minibus fleets under the traditional system quickly took advantage of the establishment of the BRT system in the city of Bogotá. With the assistance of politicians of the era, they saw the opportunity to extend their monopoly by excluding small business owners from the sector and marginalising the workers. Ultimately, it merely served to concentrate wealth in the hands of the few. Providing passengers with a better service was the last thing on their minds."

Francisco Mora, National Transport Workers' Union of Colombia (SNTT) and worker serving the Integrated Public Transport System (SITP)

Watch >> [BRT and women transport workers – experiences of BRT in Bogotá and Nairobi](#)

A film about the experiences of BRT in Bogotá and Nairobi, and the importance of international solidarity.

Read >> Case study: Automation of ticket selling in Bogotá, Colombia, in [ITF People's Public Transport Policy - Chapter 4: Women in Public Transport](#)

4. INTERVENING IN THE IFI PROJECT CYCLE

Utilising IFI safeguards effectively requires understanding the way the IFI lending process works (the 'IFI project cycle') and intervening in this process in a strategic manner with clear priorities and demands. This section covers:

- **The IFI project cycle**
- **Union interventions in the project cycle**
- **Our priorities for engaging with IFIs**

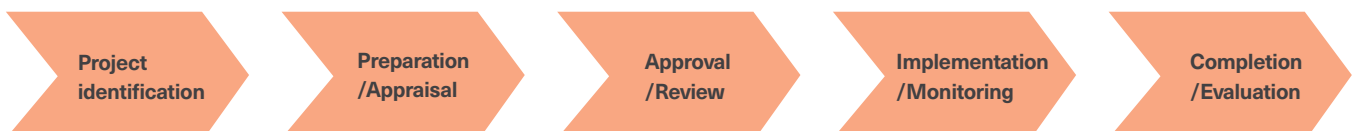
A **'quick reference table'** covering union interventions in the project cycle is also included.

The IFI project cycle

IFIs follow a set of procedures called a 'project cycle' for each project financed by the IFI. As will be discussed, there is a need for targeted union intervention at every stage of the cycle.

Project cycles can be composed of four to twelve stages, depending on the IFI. Nonetheless, they all follow a general theme and can be broken down into five key stages:

IFIs typically explain their project cycles on their websites, for example the World Bank's project cycle is explained [here](#), and the IFC's [here](#).



Key stages

1) Project identification

In the case of the World Bank, projects are identified by World Bank staff and government officials as part of a country's broader **Country Partnership Framework (CPF)**, a strategy document which sets out a program for World Bank Group activities and lending in a country over a three to five year period based on what are deemed to be national priorities. The development of each CPF requires the World Bank to engage in 'close consultation with national authorities, the private sector, civil society and other stakeholders'⁴ CPFs can be found on the World Bank's website [here](#).

Once a project concept is agreed by the World Bank and national government, World Bank staff produce a **Project Concept Note** which outlines the project's basic elements, including project objectives and risks. Concept notes are overwhelmingly provided only in English. Two further documents, which summarise the Project Concept Note, are made public at this stage: a **Project Information Document** and an **Integrated Safeguards Data Sheet**. [Project Information Documents](#) are the best way to identify projects that are in the pipeline early.

In the case of the IFC, companies will proactively approach the IFC with an investment proposal. The IFC's investment officers identify suitable proposals and following dialogue with the potential client, produce a brief description of the project to present to IFC senior management. Senior management then decide whether to authorise an appraisal of the project.

2) Preparation/Appraisal

After potential projects have passed an initial review, the borrower is required to undertake further project preparation, engaging in feasibility studies, **stakeholder consultation** and **environment and social impact assessments (ESIAs)**, as mandated by the IFI's safeguards. The IFI also undertakes its own environmental and social due diligence of proposed projects.

Based on the ESIA, and taking into account the IFI's own due diligence findings as well as engagement with stakeholders, borrowers must then produce what the World Bank calls an '**Environmental and Social Commitment Plan (ESCP)**'. The ESCP concretely outlines how anticipated risks and impacts will be managed and monitored by the borrower throughout the life of the project to ensure that the project's outcomes are consistent with the objectives set out in the IFI's safeguards.

As part of the review of the environmental and social risks of a project, the IFI categorises projects according to the magnitude of their anticipated risks and impacts. The resulting **risk classification** determines the **level of IFI oversight** of the project as well as **requirements for information disclosure**.

The World Bank classifies all projects, including those involving Financial Intermediaries (FIs), into one of four classifications: 1) **High Risk**, 2) **Substantial Risk**, 3) **Moderate Risk** or 4) **Low Risk**.

The IFC classifies projects into three risk categories, with a separate 'FI' category for financial intermediaries. FI categorised projects are then further sub-categorised according to the level of risk exposure of the FI's portfolio.

The [IFI's Environmental and Social Categorization](#):

Category A: Business activities with potential **significant** adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented.

Category B: Business activities with potential **limited** adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures.

Category C: Business activities with **minimal or no** adverse environmental or social risks and/or impacts.

Category FI: Business activities involving investments in financial institutions (FIs) or through delivery mechanisms involving financial intermediation

⁴ World Bank. 2014. World Bank Group Directive: Country Engagement

3) Approval/Review

Following negotiations between the IFI and borrower over the terms and conditions of the loan, the project is submitted to the IFI's Board of Directors for consideration and approval. Legal agreements are finalised between IFI and borrower, including the borrower's **'Environmental and Social Commitment Plan' (ESCP)**.

4) Implementation/Monitoring

The borrower implements the project while IFIs take on a supervisory role. IFIs monitor projects to keep track of development impacts and ensure borrower compliance with the conditions in the loan agreement, including compliance with safeguards and implementation of agreed action plans. Borrowers are required to regularly report on project activities.

5) Completion/Evaluation

Following completion of a project, IFI staff produce reports compiling data and information from a project (for example see the World Bank's **Implementation Completion and Results Reports**). In some cases projects are evaluated by an independent department in the IFI. For example, the World Bank's **Independent Evaluation Group** evaluates the performance of around one in every four World Bank projects.

Union interventions in the project cycle

Key points:

- 1) Keep track of IFI activity in your country sector.** Keeping track of IFI activity in your country/sector allows unions to intervene early in the project cycle. This can be done in a number of ways including regularly checking IFI project disclosure webpages and signing up to the ITF EBRD/IFC mailing list to receive monthly emails containing early transport project disclosures from the IFC and EBRD (see details below).
- 2) Intervene early in the project cycle.** It is crucial for trade unions to intervene at an early stage in the project cycle in order to influence the project's design and make sure that labour and gender-related risks and impacts, as well as those associated with economic displacement, are – where relevant - recognised and appropriate protective and proactive measures are put in place by the borrower. When borrowers are governments or public bodies, this could involve lobbying political targets with influence over a project's design such as parliamentarians, ministers, and civil servants.

- 3) Build alliances.** IFI financed projects can impact a huge range of people and therefore provide opportunities to build powerful movements capable of positively shaping a project's design and implementation in the interests of workers and communities. Such movements may be composed of workers from different sectors as well as other affected parties such as transport service users. For example, an urban transport restructuring project like BRT not only affects informal transport workers, but also street vendors as well as the passengers themselves, while its 'project workers' will include not only BRT transport workers but also the construction workers employed to build the BRT infrastructure and 'core' supply chain workers.

It is also important to remember that IFIs are – for the most part – lending out public money ultimately derived from the contributions of tax-payers across the world. The demand that public money should be spent on genuinely publically beneficial projects and be subject to democratic processes of transparency and accountability, is a powerful and unifying rallying call.

- 4) Demand the implementation of existing safeguards.**

The existence of IFI safeguards on paper does not guarantee that they will be implemented in practice. Trade unions have a crucial role to play in making sure that IFI labour, gender and economic displacement related safeguards are, as appropriate, applied and implemented in practice.

- 5) Monitor compliance with safeguards and bring complaints in cases of violations.** Safeguard compliance monitoring on the part of IFIs, and of borrowers in relation to their contractors, is notoriously weak. Trade unions have a key role to play in monitoring borrower and contractor compliance with relevant safeguards, documenting violations and supporting worker complaints to grievance mechanisms, including project level grievance mechanisms and independent accountability mechanisms (IAMs).
- 6) Evaluate IFI projects and share experiences.** Unions, their GUFs and the ITUC have an important role to play in collecting information and workers' testimonies from IFI projects to both inform strategic union engagement with IFIs in the future, as well as highlighting recurrent problems with borrowers and contractors and gaps and weaknesses in IFI safeguard systems.
- 7) Access support from the ITF and the ITUC.** The ITF and ITUC have many years of experience in both challenging and strategically engaging with IFIs, for example, through supporting unions bring complaints to IAMs, and more recently commissioning labour impact assessments to highlight the negative livelihood impacts of IFI-financed BRT systems (see details below).

Our priorities

- 1) Strengthen women's employment and end occupational gender segregation:** IFI financed companies and projects should promote women's employment. In the highly gender-segregated transport industry this requires a proactive package of measures to be implemented, such as commitments to minimum levels of female employment in transport systems, as well as the provision of training opportunities to ensure that women can access to new jobs when transport infrastructure is introduced or upgraded.
- 2) Promote decent work:** IFI financed companies and projects should promote decent work. This requires terms and conditions that address decent work and labour rights to be included in contracts with employers, including contracted operating companies and sub-contractors.
- 3) End violence against women transport workers:** All IFI projects should incorporate measures to prevent gender-based violence (GBV) in line with the requirements of ILO Convention 190.
- 4) Women in decision-making/negotiating teams:** Women workers and their representative organisations must be consulted as stakeholders and their views taken into account in project design.
- 5) Trade unions as stakeholders:** Trade unions should be recognised as stakeholders in all IFI-financed transport projects, whether representing workers employed directly or indirectly by borrowers or workers economically displaced by IFI projects. Women workers must be fairly represented in their trade unions, including in leadership positions and on negotiating teams.

6) Worker-led formalisation: IFI-financed projects that economically displace informal transport workers should put in place measures to facilitate a just and worker-led transition from informal to decent formal work for women and men workers

7) Stronger IFI safeguards: IFI safeguards exist due to decades of pressure from trade unions and other civil society organisations. Trade unions and their allies at local, national and international level must continue to push for better and stronger safeguards, especially in the area of labour and gender, including demanding that all IFIs adopt dedicated gender safeguards, undertake gender impact assessments for all projects and incorporate the provisions of ILO C190 into their labour safeguards.

For more information on how affiliates can access ITF support related to engaging with IFI safeguards contact: women@itf.org.uk

Sign-up to the ITF EBRD/IFC mailing list to receive monthly emails (English-only) containing early transport project disclosures from the IFC and EBRD: women@itf.org.uk

All resources can be found at: www.itfglobal.org

QUICK REFERENCE TABLE: UNION INTERVENTIONS IN THE PROJECT CYCLE

| Project stage | Key IFI/borrower events | Trade union interventions |
|----------------------------|--|--|
| 1. Project identification | Development of Country Partnership Framework (CPF) (World Bank Group) | <p>Demand to be consulted as stakeholders</p> <p>Aim to shape the focus areas and objectives of the CPF in line with key union demands</p> |
| | Early-stage project development and initial scoping of risks and impacts. | <p>Monitor IFI activity/project disclosure</p> <ul style="list-style-type: none"> • Links to project disclosure webpages of each IFI can be found in the section: IFI profiles. • The World Bank allows website users to set-up automatic email alerts for new project announcements (filtered by country, topic, etc.) here. • Sign-up to receive information about relevant early project disclosures from the IFC and EBRD (in English-only) – contact: women@itf.org.uk <p>Respond to planned projects as soon as possible</p> |
| 2. Preparation / Appraisal | Borrower undertakes Environmental and Social Impact Assessment (ESIA) | <p>Lobby for labour, gender and economic displacement risks and impacts to be included in the ESIA</p> <p>Conduct independent impact assessments:</p> <ul style="list-style-type: none"> • gender impact assessments (including highlighting gender-specific risks such as GBV as well as the way in which gender-based occupational segregation in the transport industry undermines equitable access to project benefits in transport projects) • labour/livelihood impact assessment (i.e. mapping the risk of economic displacement resulting from a project) • labour risk assessments (i.e. mapping labour risks for ‘project workers’, including highlighting historic poor labour practices or anti-union behaviour on the part of the borrower) <p>Build alliances with other affected parties identified in impact assessments.</p> |

| Project stage | Key IFI/borrower events | Trade union interventions |
|-----------------------------------|---|--|
| 2. Preparation / Appraisal | IFI undertakes due diligence | Flag labour, gender and economic displacement issues with IFI staff |
| | Stakeholder engagement | <p>Demand to be recognised and consulted as stakeholders</p> <p>Use stakeholder consultations to:</p> <ul style="list-style-type: none"> • flag, as appropriate, risks related to labour, gender and economic displacement (using independent impact assessments as leverage). • make concrete proposals for how risks can be managed e.g. the development of a gender-equitable 'livelihood plan' for displaced workers or the establishment of 'joint labour-management grievance committees' for project workers. <p>Demand access to project information</p> <p>Build alliances with other stakeholders</p> |
| | Risk categorisation | <p>Highlight project risks and impacts associated with labour, gender and economic displacement.</p> <p>Demand that an IFI's risk categorisation fully reflects the scale of a project's associated labour, gender and economic displacement risks</p> |
| | Agreement of Environmental and Social Commitment Plan (ESCP) | Lobby for the inclusion of robust measures related to labour, gender and economic displacement in the legally binding ESCP. |
| 3. Approval / Review | <p>Project consideration by the IFI's Board of Directors.</p> <p>If approved legal agreements are finalised between IFI and borrower.</p> | <p>Try to raise concerns before board approval.</p> <ul style="list-style-type: none"> • trade unions have most leverage to stop or substantially change a project <i>before</i> a project is approved by an IFI's Board of Directors (i.e. before loan conditions have been agreed between IFI and borrower, and before the loan has been disbursed). <p>Lobby IFI Board of Directors to not approve or modify project</p> <ul style="list-style-type: none"> • in the event that trade unions are opposed to a project presented to the board, or still demand that significant changes are made to its design, it may be possible to lobby an IFI's Board of Directors. The ITF can support this process. |

| Project stage | Key IFI/borrower events | Trade union interventions |
|--------------------------------------|--|---|
| 4. Implementation /Monitoring | Compliance monitoring | <p>Monitor and investigate companies bidding for project contracts</p> <p>Monitor borrower and contractor compliance with safeguards and agreements or ‘action plans’ made in the ESCP</p> <ul style="list-style-type: none"> the compliance monitoring phase of the IFI safeguards system is notoriously weak. Therefore, trade unions may choose to elect designated trade union ‘compliance monitors’ to undertake this task and to hold IFIs and borrowers to account <p>Collect detailed information and worker testimonies related to violations.</p> <ul style="list-style-type: none"> it can be useful to combine complaints with proposals for how the issue can be resolved, e.g. the reinstatement of dismissed workers, the recognition of a union or improved compliance monitoring on behalf of the IFI. <p>Collect detailed information and worker testimonies related to safeguard compliance ‘good practice’.</p> |
| | Receive complaints: project level grievance mechanisms and IAMs | <p>Submit complaints of violations – three stages:</p> <ul style="list-style-type: none"> project level grievance mechanisms – make a decision about if it is worth using based on structure and previous attempts to deal with the issue, and either use this option or proceed immediately to the next stage raising directly with IFI staff – through dedicated communication mechanisms or with project, sector or country staff as appropriate independent accountability mechanisms (IAMs) – especially if the second stage has been tried and the IFI staff did not take adequate action <p><i>The ITF can support the development and submission of complaints when appropriate.</i></p> |
| | Stakeholder engagement | Demand continued stakeholder engagement throughout project cycle |
| 5. Completion / Evaluation | Collation of data and production of evaluation reports | <p>Collect data, workers’ testimonies and produce independent evaluation reports (as an alternative to IFI produced evaluations).</p> <p>Share experience with other unions and allies</p> <p>Use independent evaluation reports to both inform strategic union engagement with IFIs in the future as well as highlighting recurrent problems with borrowers and contractors as well as gaps and weaknesses in IFI safeguard systems.</p> |

5. RESOURCES

ITF Resources

The ITF has produced a large body of resources aimed at supporting affiliate unions understand and tackle many of the issues raised in this guide.

C.190

Toolkit > ITF. 2022. [ILO Violence and Harassment Convention \(190\): A transport workers' toolkit](#)

Covid-19

ITF. 2020. *Women Transport Workers' Rights and Covid-19*
<https://www.itfglobal.org/en/news/womentransport-workers-rights-and-Covid-19>

ITF. 2020. *Global Demands*
<https://www.itfglobal.org/en/focus/Covid-19/global-demands>

Informal Transport Workers/Labour Impact Assessments

Guide > ITF. 2019. *Bus Rapid Transit (BRT) and the formalisation of informal public transport: a trade union negotiating guide.*
<https://www.itfglobal.org/sites/default/files/node/page/files/BRT%20a%20trade%20union%20negotiating%20guide.pdf>

Guide > ITF. 2020. *Informal Passenger Transport Beyond COVID-19: A trade union guide to worker-led formalisation.*
<https://www.itfglobal.org/en/reports-publications/itf-trade-union-guide-worker-led-formalisation>

Video > ITF. 2021. *BRT and women transport workers – experiences of BRT in Bogotá and Nairobi*
<https://youtu.be/iNqnQy2K1JM>

ITF. 2016. *Informal Transport Workers' Charter*
<https://www.itfglobal.org/en/reports-publications/informal-transport-workers-charter>

ITF. 2019. *Nairobi Bus Rapid Transit: Labour Impact Assessment Research Report.*
<https://www.itfglobal.org/en/reports-publications/nairobi-bus-rapid-transit-report>

ITF. 2020. *Dakar Bus Rapid Transit: Labour Impact Assessment Research Report.*
<https://www.itfglobal.org/en/reports-publications/dakar-bus-rapid-transit-labour-impact-assessment-research-report-2020>

Intelligent Transport. 2021. *Are transport workers being left behind in Dakar?*
<https://www.intelligenttransport.com/transport-news/116561/dakar-workers/>

IFIs

The ITF has an archive of educational materials on IFIs including the project cycle, case-studies, and union interventions. Contact women@itf.org.uk, for more information.

People's Public Transport Policy

ITF. 2019. *People's Public Transport Policy Demands*
<http://www.optpolicy.org/>

Porter, J. 2019. *Employment and Decent Work (People's Public Transport Policy)*
<https://www.itfglobal.org/sites/default/files/node/page/files/Chapter%203%20Employment%20and%20decent%20work.pdf>

Weghman, V. *Public Financing (People's Public Transport Policy)*
<https://www.itfglobal.org/sites/default/files/node/page/files/031119%20PUBLIC%20FINANCING.pdf>

Montague-Nelson, G. *Women in Public Transport (People's Public Transport Policy)*
https://www.itfglobal.org/sites/default/files/node/page/files/Women_in_Public_Transport_OPT.pdf

Sanitation rights

ITF. 2019. *Toilet rights are human rights! Transport workers' sanitation charter.*
<https://www.itfglobal.org/en/reports-publications/itf-sanitation-charter>

Further Resources

There is a large body of critical analysis of IFIs and practical guides to challenging and engaging IFIs available online which will be of use to trade union activists. This list compiles a selection of these materials, plus documents produced by IFIs themselves, relevant to the issues and examples covered in the guide. Links to IFI safeguard documents, project databases, etc., as well as resources specifically related to individual IFIs, can be found in the IFI profiles below.

The ITUC's excellent '*The labour standards of the multilateral development banks: A trade union guide*', which covers many of the issues examined in this handbook with a focus on IFI labour standards from a multi-sectoral perspective, can be read as a companion to this guide.

KEY RESOURCE

Guide > ITUC. 2019. *The labour standards of the multilateral development banks: A trade union guide*. https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf

IFIs

Website > Bretton Woods Project: <https://www.brettonwoodsproject.org/>
IFI Focus: World Bank Group and IMF (global)

Website > Bank Information Centre (BIC): <https://bankinformationcenter.org/>
IFI Focus: World Bank Group and 'other IFIs' (global)

Website > Bank Watch Network: <https://bankwatch.org/>
IFI focus: EBRD, EIB, AIB (Central and Eastern Europe)

Guide > Engen, L and Prizzon, A. 2018. *A guide to multilateral development banks*. ODI. <https://www.odi.org/sites/odi.org.uk/files/resource-documents/12274.pdf>

Bretton Woods Project. 2020. *What are the main criticisms of the World Bank and the IMF?* <https://www.brettonwoodsproject.org/2019/06/what-are-the-main-criticisms-of-the-world-bank-and-the-imf/>

Bretton Woods Project. 2020. *IMF and World Bank decision-making and governance* <https://www.brettonwoodsproject.org/2020/04/imf-and-world-bank-decision-making-and-governance-2/>

IFI policy

Rowden, R. 2019. *From the Washington Consensus to the Wall Street Consensus: The Financialization Initiative of the World Bank and Multilateral Development Banks*. Heinrich Böll Stiftung North America. <https://us.boell.org/sites/default/files/2019-11/Rowden%20From%20Washington%20To%20Wall%20Street.pdf>

Gabor, D. 2020. *The Wall Street Consensus*. <https://doi.org/10.31235/osf.io/wab8m>

ITUC. 2020. *Market Fundamentalism and the World Bank Group: From Structural Adjustment Programmes to Maximizing Finance for Development and Beyond*. <https://www.ituc-csi.org/market-fundamentalism-world-bank>

ITUC. 2020. *The IMF's Renewed Supply-Side Push: Four Decades of Structural Adjustment and Austerity Conditionality*. <https://www.ituc-csi.org/imf-renewed-supply-side-push>

Oxfam. 2018. *Open Books: How Development Finance Institutions Can Be Transparent in Their Financial Intermediary Lending, and Why They Should Be*. <http://hdl.handle.net/10546/620559>

Covid-19

Dimakou, O, Romero, MJ, and Van Waeyenberge, E. 2020. *Never Let a Pandemic Go to Waste: How the World Bank's Covid-19 Response Is Prioritising the Private Sector*. SOAS/Eurodad. https://d3n8a8pro7vhmx.cloudfront.net/eurodad/pages/1101/attachments/original/1602585821/WBG_covid_funding_FINAL.pdf?1602585821

ITUC/Global unions. 2020. *Support Recovery through Public Investment for Quality Jobs, Not More Harmful Austerity*. <https://www.ituc-csi.org/statement-imf-wb-october-2020>

Independent Accountability Mechanisms

Website > Accountability Console <https://www.accountabilityconsole.com/>
Global database of community complaints filed with independent accountability mechanisms about the impact of internationally financed projects.

Guide > Accountability Counsel. *Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition)*. <https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf>

Guide > Accountability Counsel/SOMO. *The World Bank Inspection Panel*.
<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/SOMO-AC-The-World-Bank-Inspection-Panel.pdf>

Guide > Accountability Counsel/SOMO. *The Independent Review Mechanism of the African Development Bank*.
<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/2017-SOMO-AC-The-Independent-Review-Mechanism-of-the-AfDB.pdf>

Guide > Accountability Counsel/SOMO. *Compliance Advisor Ombudsman*.
<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/SOMO-AC-Compliance-Advisor-Ombudsman-CAO.pdf>

Guide > Accountability Counsel/SOMO. *The Asian Development Bank's Accountability Mechanism*.
<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/SOMO-AC-The-Asian-Development-Bank%E2%80%99s-Accountability-Mechanism.pdf>

Daniel, C et al. 2016. *Glass Half Full? The State of Accountability in Development Finance*. Amsterdam: SOMO.
http://www.ciel.org/wp-content/uploads/2016/01/IAM_DEF_WEB.pdf.

IFC CAO/Avianca

ITUC/Global Unions. 2011. *Letter of complaint regarding Avianca, Colombia to the IFC CAO*.
http://www.cao-ombudsman.org/cases/document-links/documents/Aviancacomplaint_111411_web.pdf

IFC CAO. 2015. *CAO Investigation of IFC Investment in Avianca S.A., Colombia. Case of: Complaint from Global Unions on behalf of unions representing employees of Avianca*.
<http://www.cao-ombudsman.org/cases/document-links/documents/CAOInvestigationReportAvianca-May182015.pdf>

World Bank Inspection Panel/Uganda Transport Sector Development Project

Berger, Elana. 2018. *How a Community-Led Response to Sexual Exploitation in Uganda Led to Systemic World Bank Reform*. Bank Information Center/Accountability Research Center.
https://bankinformationcenter.cdn.prismic.io/bankinformationcenter%2Fce8a9d3e-4bf1-4b07-9259-fcee487077e6_an3_june18-v-4-jun-18+%281%29.pdf

Inspection Panel (World Bank). 2016. *Report and Recommendation on a Request for Inspection Republic of*

Uganda Transport Sector Development Project – Additional Financing (P12109).
<https://www.inspectionpanel.org/sites/www.inspectionpanel.org/files/ip/PanelCases/98-Inspection%20Panel%20Report%20and%20Recommendation.pdf>.
Inspection Panel (World Bank). 2020. *Insights of the World Bank Inspection Panel: Responding to Project Gender-Based Violence Complaints Through an Independent Accountability Mechanism*.
<https://www.inspectionpanel.org/sites/www.inspectionpanel.org/files/publications/Emerging%20Lessons%20Series%20No.%206-GBV.pdf>

World Bank. 2017. *Uganda Transport Sector Development Project: Fact Sheet (Updated)*.
<https://www.worldbank.org/en/country/uganda/brief/uganda-transport-sector-development-project-fact-sheet>

Labour safeguards

Guide > ITUC. 2019. *The labour standards of the multilateral development banks: A trade union guide*.
https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf

Gender safeguards

Guide > Zuckerman, Elaine. 2018. *A Guide to Women's Rights and Environmental Justice Advocacy on International Financial Institutions*. *Both Ends/Gender Action*.
http://genderaction.org/docs/GAction_GAGGA_BothENDS_Gender_IFI_Guide.pdf.

Zuckerman, Elaine and Thanh Mai Bercher. 2020. *Unmet Gender Promises: Making IFI Policies and Projects Deliver on Gender Equal Rights*. Gender Action.
http://genderaction.org/docs/Unmet_Gender_Promises_Report.pdf.

Economic displacement

Advocates for Alternatives. 2020. *World Bank and Government of Ghana begin closure of Kpone landfill leaving workers without livelihood alternatives or compensation*.
<https://advocatesforalternatives.org/wp-content/uploads/2020/11/ACA-WIEGO-Press-Release-on-Kpone-Sept.-2019.pdf>

6. IFI PROFILES

WORLD BANK

| Full name | World Bank |
|-----------------------|--|
| | <p>The World Bank is composed of two organisations, the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA). The IBRD and IDA (the 'World Bank') are part of the World Bank Group (WBG).</p> <p>The IBRD provides loans at near market interest rates and technical advice to middle-income countries.</p> <p>The IDA provides zero to low interest loans on concessional terms (known as 'credits'), grants and technical advice to low-income countries.</p> |
| Website | https://www.worldbank.org/ |
| HQ | Washington D.C, United States |
| Date of establishment | IBRD: 1944 IDA: 1960 |

| | |
|---|--|
| <p>Environmental and social framework</p> | <p>The Environmental and Social Framework (ESF) (2017)</p> <hr/> <p>Homepage: https://www.worldbank.org/en/projects-operations/environmental-and-social-framework</p> <p>As of October 1, 2018, the ESF applies to all new World Bank investment project financing. The ESF does not apply to other forms of World Bank lending such as Development Policy Lending and Program for Results lending.</p> <p>The ESF comprises of:</p> <ol style="list-style-type: none"> 1) A Vision for Sustainable Development: which sets out the Bank's 'aspirations regarding environmental and social sustainability' (non-mandatory). 2) The Environmental and Social Policy for Investment Project Financing, which 'sets out the requirements that the Bank must follow regarding projects it supports.' 3) Ten Environmental and Social Standards (ESSs) which 'establish the standards that the Borrower and the project will meet through the project life cycle' 4) Two Bank Directives set out additional mandatory directions for Bank staff: <ol style="list-style-type: none"> a) Bank Directive: Environmental and Social Directive for Investment Project Financing which 'sets out the mandatory requirements for the implementation of the Environmental and Social Policy for Investment Project Financing (IPF)' b) Bank Directive on Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups which 'establishes directions for Bank staff regarding due diligence obligations relating to the identification of, and mitigation of risks and impacts on, individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable' <p>Technical guidance documents</p> <p>The ESF is accompanied by various non-mandatory guidance resources, including Good Practice Notes for Borrowers, Good Practice Notes (aimed at World Bank staff) and templates of documents such as the Environmental and Social Commitment Plan (ESCP).</p> <p>Websites: ESS Guidance Notes for Borrowers; Good Practice Notes; Templates and Checklists</p> |
| <p>Environmental and social safeguards / standards</p> | <p>Ten Environmental and Social Standards (ESSs)</p> <hr/> <p>ESS 1: Assessment and Management of Environmental and Social Risks and Impacts; ESS 2: Labor and Working Conditions; ESS 3: Resource Efficiency and Pollution Prevention and Management; ESS 4: Community Health and Safety; ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement; ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; ESS 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities; ESS 8: Cultural Heritage; ESS 9: Financial Intermediaries; ESS 10: Stakeholder Engagement and Information Disclosure.</p> |

| | |
|---|--|
| | <p>Each ESS has an associated 'Guidance Note for Borrower' to guide the borrower on the application of the ESS. While these notes are not mandatory, they provide extra detail regarding the application and interpretation of the ESS that may be of strategically useful for trade unions.</p> |
| Environmental and Social Risk Assessment (ESIA) | <p>ESS 1: Assessment and Management of Environmental and Social Risks and Impacts</p> <p>ESS1 Guidance Note (PDF)</p> |
| Stakeholder engagement / information disclosure | <p>ESS 10: Stakeholder Engagement and Information Disclosure</p> <p>ESS10 Guidance Note (PDF)</p> |
| Dedicated labour safeguard | <p>ESS 2: Labor and Working Conditions</p> <p>World Bank Group Environmental, Health and Safety Guidelines</p> <p>ESS2 Guidance Note (PDF)</p> |
| Dedicated gender safeguard | <p>NO</p> |
| Gender policy / strategy | <p>World Bank Group Gender Strategy (FY16-23): Gender Equality, Poverty Reduction and Inclusive Growth (2015)</p> |
| Project disclosures | <p>https://projects.worldbank.org/</p> |
| Access to information | <p>https://www.worldbank.org/en/access-to-information</p> |
| Independent review mechanism | <p>Inspection Panel:</p> <p>https://www.inspectionpanel.org/</p> |
| Dedicated trade union mechanism | <p>Grievance Redress Service</p> <p>https://projects.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service#1</p> <p>The Grievance Redress Service is not a dedicated trade union communication mechanism, but it does provide an avenue for workers and trade unions to contact the World Bank directly with their complaints.</p> |
| Other resources (World Bank Group) | <p>Accountability Counsel. Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition).</p> <p>https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf</p> <p>Accountability Counsel/SOMO. The World Bank Inspection Panel.</p> <p>https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/SOMO-AC-The-World-Bank-Inspection-Panel.pdf</p> <p>Bank Information Center. 2020. Tools for Activists: An Information and Advocacy Guide to the World Bank Group.</p> <p>https://bankinformationcenter.org/en-us/update/toolkit-for-activists/</p> <p>Introduction</p> <p>Module 1: World Bank Group Basics</p> |

Module 2: The World Bank Group in Your Country

Module 3: Access to Information at the World Bank Group

Module 4: Protecting Your Rights: Environmental and Social Standards at the World Bank Group

Module 5: When Rights are Violated: Holding the World Bank Group Accountable

ITUC. 2019. *The Labour Standards of the Multilateral Development Banks: A Trade Union Guide*.

https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf.

IFC

| | |
|--|--|
| Full name | International Finance Corporation |
| Website | The IFC is the private lending arm of the World Bank Group . |
| HQ | https://www.ifc.org/ |
| Date of establishment | Washington D.C, United States |
| Environmental and social framework | <p>1956</p> <p>Sustainability Framework (2006, updated in 2012)</p> <p>Website: http://www.ifc.org/sustainabilityframework</p> <p>The Sustainability Framework (SF) applies to all investment and advisory clients whose projects go through the IFC's initial credit review process after January 1, 2012.</p> <p>The IFC's Sustainability Framework consists of</p> <ol style="list-style-type: none"> 1) The Policy on Environmental and Social Sustainability, which defines IFC's commitments to environmental and social sustainability. 2) The Performance Standards, which define clients' responsibilities for managing their environmental and social risks. 3) The Access to Information Policy, which articulates IFC's commitment to transparency. |
| Environmental and social safeguards / standards | <p>Eight Performance Standards (PSs)</p> <p>Website: IFC Performance Standards</p> <p>Together, the eight Performance Standards establish standards that the client is to meet throughout the life of an investment by IFC:</p> <p>PS 1: Assessment and Management of Environmental and Social Risks and Impacts; PS 2: Labor and Working Conditions; PS 3: Resource Efficiency and Pollution Prevention; PS 4: Community Health, Safety, and Security; PS 5: Land Acquisition and Involuntary Resettlement PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; PS 7: Indigenous Peoples; PS 8: Cultural Heritage.</p> |
| Environmental and Social Risk Assessment (ESIA) | <p>PS 1: Assessment and Management of Environmental and Social Risks and Impacts</p> <p>Website: www.ifc.org/ps1 Includes links to guidance notes etc</p> |
| Stakeholder engagement /information disclosure | <p>PS 1: Assessment and Management of Environmental and Social Risks and Impacts</p> <p>Website: www.ifc.org/ps1 Includes links to guidance notes etc.</p> |

| | |
|---------------------------------|---|
| Dedicated labour safeguard | <p>PS 2: Labor and Working Conditions</p> <p>And World Bank Group Environmental, Health and Safety (EHS) Guidelines</p> <p>Website: www.ifc.org/ps2 Includes links to guidance notes etc.</p> |
| Dedicated gender safeguard | NO |
| Gender policy | World Bank Group Gender Strategy (FY16-23) : Gender Equality, Poverty Reduction and Inclusive Growth (2015) |
| Project disclosures | https://disclosures.ifc.org/ |
| Access to information | https://disclosures.ifc.org/access-info-policy |
| Independent review mechanism | Compliance Advisor Ombudsman (CAO): http://www.cao-ombudsman.org/ |
| Dedicated trade union mechanism | IFC Labour Portal ("Communication Form for Issues under PS2"): https://commentsforps2.ifc.org/surveyform |
| Other resources | <p>(See Annex 1)</p> <p>Accountability Counsel. Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition). https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf</p> <p>Accountability Counsel/SOMO. Compliance Advisor Ombudsman. https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/SOMO-AC-Compliance-Advisor-Ombudsman-CAO.pdf</p> <p>Bank Information Center. 2020. Tools for Activists: An Information and Advocacy Guide to the World Bank Group. https://bankinformationcenter.org/en-us/update/toolkit-for-activists/</p> <p>Introduction</p> <p>Module 1: World Bank Group Basics</p> <p>Module 2: The World Bank Group in Your Country</p> <p>Module 3: Access to Information at the World Bank Group</p> <p>Module 4: Protecting Your Rights: Environmental and Social Standards at the World Bank Group</p> <p>Module 5: When Rights are Violated: Holding the World Bank Group Accountable</p> <p>ITUC. 2019. The Labour Standards of the Multilateral Development Banks: A Trade Union Guide. https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf</p> |

| | |
|---|--|
| Full name | African Development Bank |
| | The AfDB is part of the AfDB Group which is comprised of three entities: The African Development Bank (AfDB) The African Development Fund (ADF) The Nigeria Trust Fund (NTF) |
| Website | https://www.afdb.org/en |
| HQ | Abidjan, Côte d'Ivoire |
| Date of establishment | 1963 |
| Environmental and social framework | Integrated Safeguards System (ISS) (2013) consists of: 1) Five Operational Safeguards (OSs) 2) supported by revised Environmental and Social Assessment Procedures (ESAPs) 3) Integrated Environmental and Social Impact Assessment (IESIA) 4) Guidance Notes |
| Environmental and social safeguards/ standards | Five Operational Safeguards (OSs) OS 1: Environmental and Social Assessment OS 2: Involuntary Resettlement: Land Acquisition, Population Displacement and Compensation OS 3: Biodiversity and Ecosystem Services OS 4: Pollution Prevention and Control, Greenhouse Gases, Hazardous Materials and Resource Efficiency OS 5: Labour Conditions, Health and Safety ⁵ |
| Environmental and Social Risk Assessment (ESIA) Stakeholder engagement /information disclosure | OS 1: Environmental and Social Assessment OS 1: Environmental and Social Assessment |
| Dedicated labour safeguard | OS 5: Labour Conditions, Health and Safety |
| Dedicated gender safeguard | NO |
| Gender policy | Gender Policy (2001) Gender Strategy: Investing in Gender Equality for Africa's Transformation (2014-2018) |
| Project disclosures | https://www.afdb.org/en/projects-and-operations |
| Access to information | https://www.afdb.org/en/disclosure-and-access-to-information |

⁵ AfDB (2013: 9-11).

| | |
|---|--|
| <p>Independent accountability mechanism</p> | <p>Independent Review Mechanism (IRM): https://www.afdb.org/en/independent-review-mechanism-irm</p> |
| <p>Other resources</p> | <p>Accountability Counsel. <i>Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition)</i>. https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf</p> <p>Accountability Counsel/SOMO. <i>The Independent Review Mechanism of the African Development Bank</i>. https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/2017-SOMO-AC-The-Independent-Review-Mechanism-of-the-AfDB.pdf</p> <p>ITUC, 2019, <i>The Labour Standards of the Multilateral Development Banks: A Trade Union Guide</i>. https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf</p> |

ADB

| | |
|---|--|
| Full name | Asian Development Bank |
| Website | https://www.adb.org/ |
| HQ | Manila, Philippines |
| Date of establishment | 1966 |
| Environmental and social framework | <p>Safeguard Policy Statement (SPS) (2009)</p> <p>Homepage: https://www.adb.org/site/safeguards/main</p> <p>The SPS applies to all ADB-supported projects reviewed by ADB's management after 20 January 2010.</p> <p>The SPS consists of:</p> <ol style="list-style-type: none"> 1) A safeguard policy statement (SPS) 2) Four Safeguard Requirements <p>The SPS is complemented by an Operations Manual which outlines the procedural requirements of the ADB and its staff in implementing the safeguards.</p> |
| Environmental and social safeguards/ standards | <p>Safeguard Requirements 1: Environment</p> <p>Safeguard Requirements 2: Involuntary Resettlement</p> <p>Safeguard Requirements 3: Indigenous Peoples</p> <p>Safeguard Requirements 4: Special Requirements for Different Finance Modalities</p> |
| Environmental and Social Risk Assessment (ESIA) | <p>Safeguard Requirements 1: Environment</p> <p>Safeguard Requirements 2: Involuntary Resettlement</p> |
| Stakeholder engagement information disclosure | <p>Safeguard Requirements 1: Environment</p> <p>Safeguard Requirements 2: Involuntary Resettlement</p> |
| Dedicated labour safeguard | NO |
| Dedicated gender safeguard | NO |
| Gender policy | Operational Plan for Priority 2: Accelerating Progress in Gender Equality, 2019-2024 (2019) |
| Project disclosures | https://www.adb.org/projects |
| Access to information | https://www.adb.org/who-we-are/access-information/main |
| Independent review mechanism | <p>Accountability mechanism:</p> <p>https://www.adb.org/who-we-are/accountability-mechanism/main</p> |
| Dedicated trade union mechanism | <p>Labour Desk</p> <p>Haidy Ear-Dupuy</p> <p>Senior Social Development Specialist</p> <p>(Core Labor Standards)</p> <p>Asian Development Bank</p> |

Other resources

Accountability Counsel. *Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition)*.

<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf>

Accountability Counsel/SOMO. *The Asian Development Bank's Accountability Mechanism*.

<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/SOMO-AC-The-Asian-Development-Bank%E2%80%99s-Accountability-Mechanism.pdf>

ITUC. 2019. *The Labour Standards of the Multilateral Development Banks: A Trade Union Guide*.

https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf.

PSI. 2012. *Engaging with Asian Development for workers rights: A Trade Unions Guide to Understanding ADB*.

http://www.world-psi.org/sites/default/files/documents/research/a_trade_union_guide_to_understanding_adb_psi-2012.pdf

AIIB

| | |
|---|---|
| Full name | Asian Infrastructure Investment Bank |
| Website | https://www.aiib.org/ |
| HQ | Beijing, China |
| Date of establishment | 2016 |
| Membership | 87 members |
| Environmental and social framework | Environmental and Social Framework (ESF) (2015, amended 2019) |
| Environmental and social safeguards/ standards | Three Environmental and Social Standards (ESSs) ESS1: Environmental and Social Assessment and Management; ESS2: Involuntary Resettlement; ESS3: Indigenous Peoples. |
| Environmental and Social Risk Assessment (ESIA) | ESS1: Environmental and Social Assessment and Management |
| Stakeholder engagement /information disclosure | ESS1: Environmental and Social Assessment and Management |
| Labour standards/ safeguards | NO |
| Dedicated gender safeguard | NO |
| Gender policy | NO |
| Project disclosures | https://www.aiib.org/en/projects/list/index.html |
| Access to information | https://www.aiib.org/en/policies-strategies/public-information/introduction/index.html |
| Independent review mechanism | Project-affected People's Mechanism: https://www.aiib.org/en/about-aiib/who-we-are/project-affected-peoples-mechanism/how-we-assist-you/index.html |
| Other resources | ITUC. 2019. <i>The Labour Standards of the Multilateral Development Banks: A Trade Union Guide.</i> https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf . Gender Action. 2018. <i>Gender Scorecard and Analysis of AIIB Projects: A Documentary Review.</i> http://genderaction.org/docs/Gender_Action_AIIB_Scorecard%20Nov%202018c.pdf . Programme on Women's Economic, Social and Cultural Rights (PWESCR). 2019. <i>AIIB's Roads to Inequality: A Gender Case Study from Gujarat.</i> http://pwescr.org/AIIB%20Roads%20to%20Inequality,%20Report%20from%20Gujarat.pdf . |

| | |
|---|--|
| Full name | European Bank for Reconstruction and Development |
| Website | https://www.ebrd.com/home |
| HQ | London, UK |
| Date of establishment | 1991 |
| Environmental and social framework | Environmental and Social Policy (ESP) (2019) The ESP (2019) applies to projects initiated after 1 January 2020. |
| Environmental and social safeguards/ standards | 10 Performance Requirements PR 1 Assessment and Management of Environmental and Social Risks and Impacts; PR 2 Labour and Working Conditions; PR 3 Resource Efficiency and Pollution Prevention and Control; PR 4 Health, Safety and Security; PR 5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement; PR 6 Biodiversity Conservation and Sustainable Management of Living Natural Resources; PR 7 Indigenous Peoples; PR 8 Cultural Heritage; PR 9 Financial Intermediaries; PR 10 Information Disclosure and Stakeholder Engagement. |
| Environmental and Social Risk Assessment (ESIA) | PR 1 Assessment and Management of Environmental and Social Risks and Impacts |
| Stakeholder engagement /information disclosure | PR 10 Information Disclosure and Stakeholder Engagement |
| Dedicated labour safeguard | PR 2 Labour and Working Conditions (For occupational safety and health see: PR 4 Health, Safety and Security) |
| Dedicated gender safeguard | NO |
| Gender policy | Strategy for the Promotion of Gender Equality 2016-2020 (2015) |
| Project disclosures | https://www.ebrd.com/project-finder |
| Access to information | https://www.ebrd.com/what-we-do/strategies-and-policies/access-to-information-policy.html |
| Independent review mechanism | Independent Project Accountability Mechanism: https://www.ebrd.com/project-finance/independent-project-accountability-mechanism.html |
| Dedicated trade union mechanism | EBRD Trade Union Communication Mechanism' (TUCM): Send completed form to TradeUnionCommunications@ebrd.com |
| | (See Annex 2) |

Other resources

Accountability Counsel. *Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition)*.

<https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf>

ITUC. 2019. *The Labour Standards of the Multilateral Development Banks: A Trade Union Guide*.

https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf.

IDB/IADB

| | |
|---|---|
| Full name | Inter-American Development Bank |
| Website | https://www.iadb.org/en |
| HQ | Washington D.C, United States |
| Date of establishment | 1959 |
| Environmental and social framework | <p>Environmental and Social Policy Framework (ESPF) (2020)</p> <p>The IADB's ESPF is expected to come into force at the end of 2021. It will apply to investment loans, investment grants, and investment guarantees, including co-financed operations and associated facilities.</p> <p>Once in force the ESPF will supersede the IDB's previous safeguards framework which consists of five operational policies. Operations approved before the ESPF comes into force will remain subject to these original policies.</p> <p><i>Note the IDB's private-sector lending arm IDB Invest uses a separate safeguards system to the IDB. As of December 2020, IDB Invest requires its clients to comply with its Sustainability Policy as well as the IFC's Performance Standards and the World Bank Group Environmental, Health and Safety (EHS) Guidelines (see IFC profile).</i></p> |
| Environmental and social safeguards/ standards | <p>Ten Environmental and Social Performance Standards (ESPSs)</p> <p>ESPS 1: Assessment and Management of Environmental and Social Risks and Impacts; ESPS 2: Labor and Working Conditions; ESPS 3: Resource Efficiency and Pollution Prevention; ESPS 4: Community Health, Safety, and Security; ESPS 5: Land Acquisition and Involuntary Resettlement; ESPS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; ESPS 7: Indigenous Peoples; ESPS 8: Cultural Heritage; ESPS 9: Gender Equality; ESPS 10: Stakeholder Engagement and Information Disclosure.</p> |
| Environmental and Social Risk Assessment (ESIA) | ESPS 1: Assessment and Management of Environmental and Social Risks and Impacts |
| Stakeholder engagement/ information disclosure | ESPS 10: Stakeholder Engagement and Information Disclosure |
| Dedicated labour safeguard | ESPS 2: Labor and Working Conditions |

⁶ 1. the [Environment and Safeguards Compliance Policy](#) (OP-703);
 2. the [Disaster Risk Management Policy](#) (OP-704);
 3. the [Involuntary Resettlement Policy](#) (OP-710);
 4. the [Policy on Gender Equality in Development](#) (OP-761);
 5. the [Indigenous Peoples Policy](#) (OP-765).

| | |
|----------------------------|---|
| Dedicated Gender safeguard | ESPS 9: Gender Equality |
| Gender policy | When it comes into force, the IADB's ESPF (2020) will mostly supersede its previous gender policy: <i>Policy on Gender Equality in Development (OP-761) (2010)</i> |
| | <i>However, Policy on Gender Equality in Development (OP-761) (2010) will continue to apply to all of the IADB's 'gender mainstreaming' work.</i> |
| Project disclosures | https://www.iadb.org/en/projects |
| Access to information | https://www.iadb.org/en/access-information/home |
| Independent accountability | <p>Independent Consultation and Investigation Mechanism: https://www.iadb.org/en/mici/mici-independent-consultation-and-investigation-mechanism</p> <p>Accountability Counsel. <i>Accountability Resource Guide: Tools for Redressing Human Rights & Environmental Abuses in International Finance and Development (8th edition).</i> https://www.accountabilitycounsel.org/wp-content/uploads/2017/08/ARG-V8.pdf</p> <p>ITUC. 2019. <i>The Labour Standards of the Multilateral Development Banks: A Trade Union Guide.</i> https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf</p> |

NDB

| | |
|---|--|
| Full name | New Development Bank |
| Website | https://www.ndb.int/ |
| HQ | Shanghai, China |
| Date of establishment | 2016 |
| Environmental and social framework | <p>Environment and Social Framework (ESF) (2016)</p> <p>The ESF (2016) applies to all NDB financed and/or NDB administered projects with or without sovereign guarantee, including investment projects and their components regardless of the source of financing.</p> |
| Environmental and social safeguards/ standards | <p>Three Environmental and Social Standards (ESSs)</p> <ol style="list-style-type: none"> 1. Environmental and Social Assessment; 2. Involuntary Resettlement; 3. Indigenous Peoples. |
| Environmental and Social Risk Assessment (ESIA) | 1. Environmental and Social Assessment |
| Stakeholder engagement /information disclosure | 1. Environmental and Social Assessment |
| Labour standards/ safeguards | NO |
| Dedicated gender safeguard | NO |
| Gender policy | NO |
| Project disclosures | https://www.ndb.int/projects/list-of-all-projects/ |
| Access to information | https://www.ndb.int/wp-content/uploads/2017/01/information-disclosure-policy-revised.pdf |
| Independent review mechanism | NO |
| Dedicated trade union mechanism | NO |
| Other resources | <p>ITUC. 2019. <i>The Labour Standards of the Multilateral Development Banks: A Trade Union Guide</i>. https://www.ituc-csi.org/IMG/pdf/2019-12_labour_standards_multilateral_development_banks-en.pdf.</p> |

ANNEX 1: IFC LABOUR PORTAL - COMMUNICATION FORM FOR ISSUES UNDER PS2

The IFC's 'Labour Portal' provides a 'Communication Form for Issues under PS2' at: <https://commentsforps2.ifc.org/surveyform>.

Communication Form for Issues under PS2

This page is dedicated to communication between IFC and trade unions. It is a result of an ongoing dialogue between IFC and Global Unions. It supports a new procedure that was designed to facilitate effective IFC-trade unions engagement on IFC-financed projects, and to systematise and accelerate IFC response to union communications on PS2. It is a part of IFC's effort to further strengthen implementation of PS2 at the local level.

| | |
|---|---|
| <p>General Information</p> <p>Mandatory fields are indicated by</p> <p>1. Please provide your name:</p> <p>First name <input type="text"/></p> <p>Last name <input type="text"/></p> <p>2. Please provide your e-mail address: <input type="text"/></p> <p>3. General information about the company: Name of the company (subject of this communication) <input type="text"/></p> <p>Specific site/plant/operation relevant to this communication <input type="text"/></p> <p>4. IFC project number (if known): <input type="text"/></p> | <p>5. Information about the Trade Union initiating the communication:</p> <p>Name of organization <input type="text"/></p> <p>Country of operation <input type="text"/></p> <p>6. The Trade Union:</p> <p><input type="checkbox"/> has representation of the workforce in the company</p> <p><input type="checkbox"/> has no representation in the company</p> <p>If the company does have representation, what percentage of the workforce is represented? <input type="text"/></p> <p>7. The communication is being filed on behalf of:</p> <p><input type="checkbox"/> Group of unionized employees</p> <p><input type="checkbox"/> Group of employees not unionized</p> <p><input type="checkbox"/> Trade Union</p> <p>If others, please specify interest or link: <input type="text"/></p> <p>Details of Communication <input type="text"/></p> |
|---|---|

8. Describe the actions taken by the company considered to be in non-compliance with provisions under PS2:

9. Affected employees are:

Regular staff

Contracted

Sub-contracted personnel

Part of the supply chain

10. Number of affected employees subject to this communication:

11. Has there been any discussion with the company on the subject matter of this communication?

Yes - if yes, provide details of the discussion with the company and the current status of discussion (see below)

No - if no, why not? (see below)

Please justify your answer above

12. Has the subject matter of this communication been passed through internal or country grievance mechanisms for resolution?

Yes - if yes, provide details, including type of mechanisms used, dates and resolution

No

Provide details:

13. Has the subject matter of this communication been reviewed by a court of law or administrative tribunal?

Yes - if yes, provide details, including type and dates of proceedings, and current status

No

Provide details:

14. Has the subject matter of this communication been discussed with the Global Unions (Washington, DC office)?

Yes

No

Don't know

15. Additional information relevant to this communication:

ANNEX 2: EBRD TRADE UNION COMMUNICATION MECHANISM FORM

If workers' rights and the Performance Requirements are violated at companies or projects which have received loans from EBRD, trade unions can raise the concerns directly with EBRD using the dedicated email address: TradeUnionCommunications@ebrd.com

EBRD Trade Union Communication Mechanism form

Thank you for contacting us. In order to enhance our understanding of the issue you have brought to our attention, we ask you to kindly complete the questionnaire below and return it to us at your earliest convenience. Once received, we will share this information with Global Unions/ITUC in order to discuss **how to proceed in view of assisting the resolution of the issue in question. We will also use this information when engaging with the company subject of this communication.**

Please confirm that you are authorising EBRD to share this information and your identity with Global Unions:

YES NO

Please confirm that you are authorising EBRD to share your identity with the company subject of your communication:

YES NO

Please provide the following information (mandatory information is indicated by a *):

| # | Question | Response |
|----|--|---|
| 1. | First Name: | |
| | Last Name: | |
| | Email address*: | |
| 2. | Name of the company subject of this communication*: | |
| | Specific site/plant/operation relevant to this communication*: | |
| | EBRD Project number (if known): | |
| 3. | Name of the Trade Union initiating this communication*: | |
| | Country of operation of the Trade Union*: | |
| 4. | Does the Trade Union have representation of the workforce in the company*? | <input type="radio"/> Yes <input type="radio"/> No |
| | If yes, what percentage of the workforce is represented by the Trade Union*? | |
| 5. | The communication is being filed on behalf of: | |
| | (a) a group of unionized employees, | |
| | (b) a group of employees not unionized, or | |
| | (c) the Trade Union. | |
| | (d) if others, please specify interest or link: | |

| | | | | | | | | | |
|----------------------------|---|-------------------|--|------------------------|--|----------------------------|--|--------------------------|--|
| 6. | <p>Describe the actions taken by the company considered to be in non-compliance with provisions under EBRD's Performance Requirement 2 and 4*:</p> <p>Please state if any of the information provided in the description should be treated as confidential and cannot be shared with the company.</p> | | | | | | | | |
| 7. | <p>Affected employees are:</p> <table border="1"> <tr> <td data-bbox="300 595 1077 636">(a) Regular staff</td> <td data-bbox="1077 595 1369 636"></td> </tr> <tr> <td data-bbox="300 636 1077 676">(b) Contracted workers</td> <td data-bbox="1077 636 1369 676"></td> </tr> <tr> <td data-bbox="300 676 1077 716">(c) Sub-Contracted workers</td> <td data-bbox="1077 676 1369 716"></td> </tr> <tr> <td data-bbox="300 716 1077 757">(d) Supply chain workers</td> <td data-bbox="1077 716 1369 757"></td> </tr> </table> | (a) Regular staff | | (b) Contracted workers | | (c) Sub-Contracted workers | | (d) Supply chain workers | |
| (a) Regular staff | | | | | | | | | |
| (b) Contracted workers | | | | | | | | | |
| (c) Sub-Contracted workers | | | | | | | | | |
| (d) Supply chain workers | | | | | | | | | |
| 8. | <p>Number of affected employees subject to this communication:*</p> | | | | | | | | |
| 9. | <p>Has there been any discussion with the company on the subject matter of this communication?*</p> <p style="text-align: right;"><input type="radio"/> Yes</p> <p style="text-align: right;"><input type="radio"/> No</p> <p>(a) if yes, provide details of the discussion with the company and the current status of discussion.</p> <p>(b) if no, why not?</p> | | | | | | | | |
| 10. | <p>Has the subject matter of this communication been passed through internal or country grievance mechanisms for resolution?*</p> <p style="text-align: right;"><input type="radio"/> Yes</p> <p style="text-align: right;"><input type="radio"/> No</p> <p>(a) if yes, provide details, including type of mechanisms used, dates and resolution</p> | | | | | | | | |
| 11. | <p>Has the subject matter of this communication been reviewed by a court of law or administrative tribunal?*</p> <p style="text-align: right;"><input type="radio"/> Yes</p> <p style="text-align: right;"><input type="radio"/> No</p> <p>(a) if yes, provide details, including type and dates of proceedings, and current status</p> | | | | | | | | |
| 12. | <p>Has the subject matter of this communication been discussed with the Global Unions (Washington, DC office)?*</p> <p style="text-align: right;"><input type="radio"/> Yes</p> <p style="text-align: right;"><input type="radio"/> No</p> <p style="text-align: right;"><input type="radio"/> Don't know</p> | | | | | | | | |
| 13. | <p>Additional information relevant to this communication:</p> | | | | | | | | |

WWW.ITFGLOBAL.ORG

· WE MOVE THE WORLD ·



INTERNATIONAL
TRANSPORT
WORKERS'
FEDERATION

49-60 Borough Road
London SE11DR
+44 (0)20 7403 2733