

THE DISCLOSURE HANDBOOK

OPERATIONS POLICY AND COUNTRY SERVICES
DECEMBER 2002

ABBREVIATIONS AND ACRONYMS

APL	Adaptable Program Loan
BP	Bank Procedure
CAE	Country Assistance Evaluation
CAS	Country Assistance Strategy
CODE	Committee on Development Effectiveness
CPIN	CAS Public Information Notice
EA	Environmental Assessment
EAP	Environmental Action Plan
ESW	Economic and Sector Work
GEF	Global Environment Facility
HIPC	Heavily Indebted Poor Country
IBRD	International Bank for Reconstruction and Development
ICR	Implementation Completion Report
IDA	International Development Association
IDU	Internal Documents Unit
IER	Impact Evaluation Report
IMF	International Monetary Fund
IPDP	Indigenous Peoples' Development Plan
ISDS	Integrated Safeguards Data Sheet
JSA	Joint Staff Assessment
LDP	Letter of Development Policy
LEGCF	Legal Department Cofinancing and Project Finance Unit
LIL	Learning and Innovation Loan
MOP	Memorandum of the President
NGO	Nongovernmental Organization
OED	Operations Evaluation Department
OP	Operational Policy
OPC	Operations Policy Committee
OPCS	Operations Policy and Country Services
OPCVP	Operations Policy and Country Services Vice President
PAD	Project Appraisal Document
PD	Program Document
PDS	Project Document System
PID	Project Information Document
PPAR	Project Performance Assessment Report
PRSC	Poverty Reduction Support Credit
PRSP	Poverty Reduction Strategy Paper
QAG	Quality Assurance Group
RI	Resettlement Instrument
RVP	Regional Vice President
SEC	Corporate Secretariat
SECBO	Board Operations, Corporate Secretariat
SECPS	Policy Support Division, Corporate Secretariat
SSP	Sector Strategy Paper
TPIN	TSS Public Information Notice
TRD	Tranche Release Document
TSS	Transitional Support Strategy
VPU	Vice Presidential Unit

THE DISCLOSURE HANDBOOK

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THE DISCLOSURE HANDBOOK

GENERAL INFORMATION

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1. This Disclosure Handbook outlines for staff the workflow arrangements for making operational information available to the public in accordance with *The World Bank Policy on Disclosure of Information*, 2002 (“Disclosure Policy”).
 2. These workflow arrangements seek to facilitate the disclosure of all documents that are routinely made publicly available by the World Bank¹ through one major channel—the InfoShop. This does not preclude public release of documents and other information by business sponsors through other channels (for example, their own websites) in line with the Disclosure Policy.
 3. In preparing operational information for public availability, staff are reminded to take into consideration (a) the provisions for handling confidential and sensitive operational information, set forth in paragraph 52 of the Disclosure Policy, and (b) the general constraints to disclosure, set forth in Part IV of the Disclosure Policy. Annexes A-D provide sample templates and outlines for adjustment lending documents. Annex E provides a sample of paragraphs used for communicating disclosure requirements with borrowers and countries.

*Documents
Distributed to
Executive
Directors*

4. For all documents that are distributed to the Executive Directors, the **Corporate Secretariat (SEC)** is responsible for notifying the Internal Documents Unit (IDU) and the InfoShop if and when the document may be made available to the public. The following workflow arrangements apply to most of these documents.
 - When the **responsible unit** clears the document to be distributed to the Executive Directors, the unit indicates on the Board Submission Form whether the document may be made publicly available, or if not, provides the reasons for nondisclosure.
 - **SEC** reviews the document and provides clearance for printing as necessary.
 - **SEC** distributes the printed document to the Executive Directors and posts it on eBoard. **Internal Documents Unit (IDU)** obtains a copy of the document from eBoard and posts it on ImageBank.
 - **SEC** notifies IDU and the InfoShop if and when the document may be made publicly available.
 - Upon receiving such notification, if the document is to be disclosed, **IDU** changes the security profile of the document on ImageBank so that it may be made available to the public through the InfoShop and through the Bank’s external website.
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¹ The term “World Bank” or “Bank” means the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA).

WORKFLOW ARRANGEMENTS FOR SPECIFIC DOCUMENTS

5. Workflow arrangements for disclosing other publicly available documents may vary. For example, Project Information Documents (PIDs) and Environmental Assessment (EA) Reports are sent directly to the World Bank InfoShop by the task team leader involved. Other documents, such as factual technical documents related to projects under preparation, are made publicly available based on a request by an interested outside party. Workflow arrangements for the disclosure of specific document types are as follows:

Economic and Sector Work (ESW)

Documents Distributed to Executive Directors

6. Early during the preparation of an ESW Report that is expected to be distributed to the Executive Directors (known as a “gray cover” report), the **team leader** (a) informs the country or countries involved in writing that the Bank’s policy is to make the report available to the public after it has been distributed to the Executive Directors, and (b) indicates that the country or countries involved will be asked, before finalizing the report, to identify any text or data that is confidential or sensitive, or that may adversely affect relations between the country and the Bank, if disclosed. When finalizing the report, the **team leader** consults with the country to identify any such text or data and, as he or she considers appropriate, makes adjustments to the report to deal with the matters of concern. Any information that raises issues of confidentiality, sensitivity, or adverse relations between the country and the Bank that staff wish to bring to the attention of the Executive Directors is attached to the Board Submission Form. When a **country director** provides clearance for distributing an ESW Report to the Executive Directors, he or she indicates in the Board Submission Form that the document may be made available to the public. After distributing the report to the Executive Directors, Board Operations Division of the Corporate Secretariat, **SECBO**, notifies IDU and the InfoShop that the document may be made available to the public.²

Other ESW Reports

7. If the country director involved intends to make publicly available any ESW Report other than a gray cover report,³ the **team leader** informs the country or countries involved in writing of the Bank’s intention to make the report publicly available and requests the country or countries involved to identify any text or data that is confidential or sensitive, or that may adversely affect relations between the country and the Bank if disclosed. The **team leader** consults with the country to identify any such text or data and, as he or she considers appropriate, makes adjustments to deal with the matters of concern. The **country director** then transmits the report to IDU under cover of a memorandum (copied to InfoShop) stating that it may be made available to the public. If the **country director** involved decides not to disclose any such ESW Report, the cover of the report carries a standard caveat indicating that its release is restricted.

² In exceptional cases, if extensive issues of confidentiality, sensitivity or adverse relations between the Bank and the country arise, the **country director** may restrict public release of a gray cover report. In such case, the **country director** indicates in the Board Submission Form—which is copied to the Regional vice president (RVP), the vice president, OPCS (OPCVP), and the World Bank Print Shop—that the document will not be made publicly available, and gives the reasons for nondisclosure. The cover of such a report includes a standard caveat indicating that its release is restricted. After distributing the report to Executive Directors, **SECBO** notifies IDU and the InfoShop that the document is not available to the public.

³ See *Disclosure Policy*, paragraph 6, for the considerations that the country director takes into account in deciding whether to make the report publicly available.

Country Assistance Strategy (CAS)

*CAS for Countries
Eligible for IDA
Financing*

8. Early in the preparation of a CAS for a country eligible for IDA financing, the **country director** (a) informs the country in writing that it is the Bank's policy to make the CAS available to the public after it has been discussed by the Executive Directors and finalized, unless in exceptional circumstances the country involved objects to such disclosure and the **Executive Directors** agree that the CAS may not be disclosed; (b) indicates that the country or countries involved will be requested to identify any text or data that is confidential or sensitive, or that may adversely affect relations between the country and the Bank if disclosed; and (c) requests the country's no-objection to disclosure of the CAS. When finalizing the CAS for the Board discussion, the **team leader** consults with the country involved and, as he or she considers appropriate, makes adjustments to deal with the matters of concern. After the **Managing Director, Operations**, has cleared the CAS, the **RVP** transmits it to SECBO, indicating in the Board Submission Form whether the CAS will be disclosed. If the country has objected to disclosure, the Board Submission Form contains the reasons for the objection and requests the Executive Directors' agreement that the CAS not be disclosed. **SECBO** transmits the CAS to the Executive Directors under cover of a memorandum requesting the agreement of the Executive Directors on this matter.⁴

9. After the **Executive Directors** have discussed a CAS, the **team leader** finalizes it on the basis of the Chairman's Concluding Remarks (see paragraph 11) and sends the revised CAS to the country for final comments. After the CAS has been revised as appropriate based on the country's final comments, and after consulting with the CAS Adviser, OPCS, the **country director** sends the final CAS to the RVP, indicating in the Board Submission Form whether it will be made available to the public, and if not, giving the reasons for nondisclosure. The revisions made since the CAS was discussed by the Board are indicated in an attachment to the Board Submission Form. The **RVP** then clears the final CAS and transmits it to SECBO, along with the Board Submission Form and any attachment indicating the revisions. **SECBO** distributes the final CAS to the Executive Directors, indicating the revisions that have been made, and notifies IDU and the InfoShop whether the final CAS may be made publicly available. If it will not be made publicly available, the cover of the final CAS carries a standard caveat indicating that its release is restricted.

*CAS for Countries
Not Eligible for
IDA Financing*

10. Early in the preparation of a CAS for a country that is not eligible for IDA financing, the **country director** informs the country involved in writing that the Bank will make the CAS publicly available at the country's request, after it has been discussed by the Executive Directors and finalized. The **country director** ascertains whether the country involved anticipates requesting the Bank to make the document publicly available, and explains that the request must be made in writing. After the **Managing Director, Operations**, has cleared the CAS, the **RVP** sends the CAS to SECBO, indicating in the Board Submission Form whether the country has requested disclosure. Unless the country has requested disclosure, the cover of the CAS carries a standard caveat indicating that its release is restricted. After the Executive Directors have discussed the CAS, and after it is finalized, **SECBO** notifies IDU and the InfoShop whether the document may be made available to the public.

*Chairman's
Concluding
Remarks*

11. At least one business day⁵ before the Executive Directors discuss a CAS, the **team leader** provides to the Manager, Policy Support Division, Corporate Secretariat (SECPS), a draft of the Chairman's Concluding Remarks that reflects the issues the Executive Directors are expected to raise. Following the discussion, the same day, **SECPS** clears the draft and any revisions to it with the RVP and with the Chairman for that Board discussion, and **SECBO** circulates it to the Executive Directors for comment within one business day, indicating whether the Concluding Remarks will subsequently be made available to the public, and if not, giving the reasons for nondisclosure.⁶ At the end of the waiting period, **SECBO** notifies IDU and the InfoShop whether the document may be

⁴ In exceptional cases, if extensive issues of confidentiality, sensitivity or adverse relations between the Bank and the country arise, the **country director** may restrict public release of a CAS. In such case, the **country director** indicates in the Board Submission Form—which is copied to the Regional vice president (RVP), the vice president, OPCS (OPCV), and the World Bank Print Shop—that the document will not be made publicly available, and gives the reasons for nondisclosure. The cover of the CAS includes a standard caveat indicating that its release is restricted. After distributing the report to Executive Directors, **SECBO** notifies IDU and the InfoShop that the document is not available to the public.

⁵ A business day is a day when the Bank's Washington offices are open for business.

⁶ The Chairman's Concluding Remarks are made publicly available except when the CAS itself is not disclosed.

made available to the public. If the Chairman's Concluding Remarks will not be made publicly available, its cover carries a standard caveat indicating that its release is restricted.

*CAS Progress
Report*

12. Available to the public in the same manner, and subject to the same conditions, as CAS.

*Transitional
Support Strategy
(TSS)*

*CAS Public
Information Notice
(CPIN)*

13. When CPIN, TPIN, and press releases are issued, they may be based on the Chairman's Concluding Remarks, as appropriate; but press releases are disclosed as freestanding documents.

*TSS Public
Information Notice
(TPIN)*

Press Release

TO BE UPDATED

Poverty Reduction Strategy Paper (PRSP)

<p><i>PRSP</i></p> <p><i>Interim PRSP</i></p> <p><i>PRSP Status Report</i></p> <p><i>PRSP Annual Progress Report</i></p>	<p>14. Early in the preparation of a PRSP, the team leader informs the country in writing that (a) the country must disclose the PRSP in-country; (b) once the final document has been disclosed in-country, and after it is officially received by the Bank, the Bank will also make the PRSP publicly available; and (c) if the country wishes to provide the Bank with any information that it does not wish the Bank to make publicly available, it should do so in a separate document. Once the final PRSP has been disclosed in-country and officially received by the Bank, the Director, PRSP Unit, transmits the document to SECBO, indicating in the Board Submission Form that it has been disclosed in the country involved. SECBO then distributes the PRSP electronically to the Executive Directors and informs them that it has been made publicly available by the country involved, and that the Bank will also make it publicly available immediately on the Bank's external website. SECBO then informs IDU, InfoShop, and the PRSP Unit that the document may be made publicly available by the Bank.</p>
<p><i>Joint Staff Assessment (JSA)</i></p>	<p>15. After the Bank has received the PRSP, the Bank and the International Monetary Fund (IMF) jointly prepare a JSA of the PRSP. Once the JSA has been finalized for distribution to the Executive Directors, the RVP involved transmits the JSA to SECBO, together with a copy of the PRSP and any other confidential or sensitive information provided by the country, indicating in the Board Submission Form that the JSA will be made publicly available after it has been discussed by the Executive Directors of the Bank and the Executive Directors of the IMF. After the discussion by the Executive Directors of both the Bank and the IMF, SECBO notifies IDU and the InfoShop that the JSA may be made publicly available.⁷</p>
<p><i>Chairman's Summing Up</i></p>	<p>16. At least one business day⁸ before the Executive Directors discuss a PRSP and the related JSA, the team leader provides to the Manager, SECPS, a draft of the Chairman's Summing Up that reflects the issues by the Executive Directors are expected to raise. Following the discussion, the same day, SECPS clears the draft and any revisions to it with the RVP and with the Chairman for that discussion by the Executive Directors, and SECBO circulates it to the Executive Directors for comment within one business day, indicating that it will subsequently be made available to the public. At the end of the waiting period, SECBO notifies IDU and the InfoShop that the Summing Up may be made publicly available.⁹</p>

⁷ In exceptional cases, if extensive issues of confidentiality, sensitivity or adverse relations between the Bank and the country arise, the **country director** may restrict public release of a JSA. In such case, the **country director** indicates in the Board Submission Form—which is copied to the Regional vice president (RVP), the vice president, OPCS (OPCVP), and the World Bank Print Shop—that the document will not be made publicly available, and gives the reasons for nondisclosure. The cover of the JSA includes a standard caveat indicating that its release is restricted. After distributing the document to Executive Directors, **SECBO** notifies IDU and the InfoShop that the document is not available to the public.

⁸ A business day is a day when the Bank's Washington offices are open for business.

⁹ If the Bank's Executive Directors discuss a PRSP before its discussion by the IMF's Executive Directors, the Chairman's Summing Up is normally disclosed after the discussion by the IMF's Executive Directors. In such case, after the discussion by the IMF's Executive Directors, **SECBO** notifies IDU and the InfoShop that the Summing Up may now be disclosed.

Sector Strategy Paper (SSP)

- Concept Note and Consultation Plan* 17. Upon preparation of the Concept Note and Consultation Plan for a SSP, the **VP/Network Head** involved transmits them to the Operations Policy Committee (OPC) under cover of a memorandum indicating whether the documents are proposed for public comment. After the **OPC Chairman** has cleared these documents for distribution to Executive Directors, the **VP/Network Head** transmits them to SECPS, indicating in the Board Submission Form whether the documents will be made publicly available. **SECPS** distributes the documents to the Executive Directors, indicating whether they will be made publicly available. Following the discussion by the Executive Directors,¹⁰ and after the documents have been finalized, the **VP/Network Head** transmits the final documents to SECPS. **SECPS** then distributes the final Concept Note and Consultation Plan to the Executive Directors, indicating whether they will be made publicly available for comment. If they will be made publicly available, **SECPS** also indicates that public release will take place after eight business days.¹¹ At the end of the waiting period, **SECPS** notifies IDU and the InfoShop that the Concept Note and Consultation Plan may be made publicly available. If the documents will not be made publicly available, the cover of each document carries a standard caveat indicating that its release is restricted.
- Draft SSP* 18. Before submitting the draft SSP to the Executive Directors, the **team leader** may consult, as appropriate, with institutions and individuals outside the Bank with specialized knowledge of specific issues, and may share the draft SSP (or portions thereof) with these parties in order to obtain their comments on the draft. In sharing such drafts, the **team leader** informs these parties that the draft is not yet publicly available and should be treated as such.
19. Once the draft SSP is ready for OPC review, the **VP/Network Head** involved transmits it to the OPC under cover of a memorandum indicating whether it is proposed for public comments before finalization. After the OPC discussion, the **team leader** revises the draft SSP, as necessary, in light of that discussion, after which the **VP/Network Head** transmits the revised draft to the OPC. Once the draft has been cleared by the **OPC Chairman** for distribution to the Executive Directors, the **VP/Network Head** transmits it to SECPS, indicating in the Board Submission Form whether the draft SSP is proposed for public comments before finalization. If the proposal is to make it publicly available before it is finalized, **SECPS** distributes the draft SSP to the Executive Directors for discussion¹² under cover of a memorandum indicating that it will be made so available. Following the discussion by the Executive Directors, the draft is further revised, as appropriate, in light of that discussion,¹³ after which the **VP/Network head** transmits the revised document to SECPS. **SECPS** then distributes this draft SSP to the Executive Directors under cover of a memorandum indicating that it will be made available to the public after eight business days. At the end of the waiting period, **SECPS** notifies IDU and the InfoShop that the draft SSP may be made publicly available.
- Final SSP* 20. Once the **Managing Director, Operations**, has cleared a final draft SSP for distribution to the Executive Directors, the **VP/Network Head** transmits it to SECBO and indicates in the Board Submission Form (a) that the draft SSP will be made publicly available after the discussion by the Executive Directors and finalized¹⁴ and (b) the Chairman's Concluding Remarks of the discussion by the Executive Directors (see paragraph 21) will be made publicly available, unless the Executive Directors decide otherwise during the discussion. After the SSP has been discussed by the Executive Directors and finalized, the **VP/Network Head** involved clears the final document and transmits it to SECBO, indicating the revisions that have been made. **SECBO** then distributes the revised SSP (indicating the revisions) to the Executive Directors, and notifies IDU and the InfoShop that the SSP may be made publicly available.

¹⁰ The Concept Note and Consultation Plan are normally discussed by the subcommittee of the Executive Directors' Committee on Development Effectiveness (CODE).

¹¹ A business day is a day when the Bank's Washington offices are open for business.

¹² The draft SSP is normally discussed by CODE.

¹³ In addition to reflecting any changes in light of the discussion by the Executive Directors, the originating unit excludes, as relevant, detailed tables on costing and funding of strategy implementation.

¹⁴ In addition to reflecting any changes in light of the discussion by the Executive Directors, the originating unit excludes, as relevant, detailed tables on costing and funding of strategy implementation.

*Chairman's
Concluding
Remarks*

21. At least one business day¹⁵ before the Executive Directors discuss a final draft SSP (see paragraph 20) the **VP/Network Head** transmits to the Manager, SECPS, a draft of the Chairman's Concluding Remarks that reflects the issues the Executive Directors are expected to raise. Following the Board discussion, the same day, **SECPS** clears the draft of Concluding Remarks and any revisions to it with the VP/Network Head and with the Chairman for that Board discussion, and **SECBO** circulates it to the Executive Directors for comment within one business day, indicating whether it will subsequently be made available to the public. At the end of the waiting period, **SECBO** notifies IDU and the InfoShop whether the Chairman's Concluding Remarks may be made available to the public unless the Executive Directors request a meeting to decide otherwise. If the Chairman's Concluding Remarks will not be made publicly available, its cover carries a standard caveat indicating that its release is restricted.

Project Information Document (PID)

22. The **team leader** transmits the PID electronically to the InfoShop no later than five business days¹⁶ after the Region provides clearance for proceeding with the preparation of the proposed operation following the Project Concept review. When a PID is updated, the **team leader** transmits the updated PID to the InfoShop.

Factual Technical Document

23. On receiving a request for release of a factual technical document about a project under preparation (or part of such a document) to an interested party, the **country director** consults the relevant country to identify any information in the document that is confidential, sensitive, or that may adversely affect relations between the prospective borrower and the Bank if disclosed.¹⁷ The **country director** then determines which part(s) of the document may be made publicly available and sends this material to IDU, under cover of a memorandum (copied to InfoShop) stating that the relevant portion(s) of the document may be made publicly available. In some cases, a **country director** may, in consultation with the country, determine that a factual technical document will not be made available to the public at large, but it may still be shared with a specific institution or individual outside the Bank. In such cases, the **team leader** informs the parties involved that the document is not publicly available and should be treated as such.

¹⁵ A business day is a day when the Bank's Washington offices are open for business.

¹⁶ A business day is a day when the Bank's Washington offices are open for business.

¹⁷ In the case of Bank guarantee operations, the Bank also consults with other parties (such as other lenders, project sponsors), as appropriate.

Project Appraisal Document (PAD)

- All PADs (through negotiations)*
24. The Invitation to Negotiate the loan or credit for each investment project proposed for Bank financing includes a statement that it is the Bank's policy to make the PAD publicly available after the loan or credit has been approved by the Bank, and requests that the prospective borrower's negotiating team be prepared to identify, during negotiations, any sections of the PAD that are confidential or sensitive, or that may adversely affect relations between the prospective borrower and the Bank if disclosed.¹⁸ When finalizing the PAD, the **team leader**, as he or she considers appropriate, makes adjustments to it to deal with the matters of concern. Any information that raises issues of confidentiality or sensitivity, or that may adversely affect relations between the Bank and the borrower, and that is relevant to the Executive Directors in their decision making process, is incorporated in the Memorandum of the President (MOP).¹⁹
25. Procedures following negotiations for disclosing a PAD vary depending on the nature of the operation, as indicated below.
- PAD for all investment lending other than LILs and APLs and guarantee operations (after negotiation)*
- (a) After the PAD has been cleared according to Regional procedures for distribution to the Executive Directors, the **RVP** transmits the PAD to SECBO, indicating in the Board Submission Form that the PAD may be made publicly available after the approval of the loan or credit. After the **Executive Directors** have approved the operation, and if no further revisions to the PAD are required as a result of the discussion by the Executive Directors, **SECBO** notifies IDU and the InfoShop that the document may be made publicly available. If further revisions to the PAD are required, **SECBO** notifies IDU and the InfoShop about the need for revisions. Once the document has been revised and cleared according to Regional procedures, the **country director** involved transmits the revised final document to SECBO, indicating in the Board Submission Form that the PAD may be made publicly available. **SECBO** notifies IDU and the InfoShop that the PAD may be made publicly available.
- LILs*
- (b) When a proposed LIL is discussed in the current CAS, after approving the operation the **RVP** transmits the PAD to SECBO, indicating in the Board Submission Form that the PAD may be made publicly available after it has been distributed to the Executive Directors for information. **SECBO** distributes the PAD to the Executive Directors and notifies IDU and the InfoShop that it may be made publicly available. When a LIL is not discussed in the current CAS, the **RVP** transmits the PAD to SECBO, indicating in the Board Submission Form that he or she intends to approve the LIL following the period for comment by the Executive Directors, and that the PAD will be made publicly available after such approval. **SECBO** distributes the PAD to the Executive Directors under cover of a memorandum indicating that the period for comment by the Executive Directors on the PAD is eight business days²⁰ and that the PAD will be made publicly available after the LIL has been approved. At the end of the waiting period, the **RVP** approves the LIL or decides on an alternative course of action in light of the comments received from the Executive Directors. After the LIL has been approved, the **RVP** notifies SECBO of such approval, and **SECBO** notifies IDU and the InfoShop

¹⁸ Prior to finalizing the PAD for an investment project proposed to be supported by a guarantee operation, the team leader informs the prospective borrower's negotiating team and the negotiating team for the country that would provide the counter-guarantee to the Bank that it is the Bank's policy to make the PAD publicly available after the guarantee has been approved by the Bank, and requests the prospective borrower's and country's negotiating teams identify any sections of the PAD that are confidential, sensitive or that may adversely affect relations between the prospective borrower or country and the Bank, if disclosed.

¹⁹ In exceptional cases, if extensive issues of confidentiality, sensitivity, or adverse relations between the Bank and the borrower/country arise, the **country director** may restrict the release of the PAD. In such case, the Board Submission Form (which is copied to RVP, OPCVP, and Print Shop) indicates that the PAD will not be made publicly available, and gives the reasons for nondisclosure. The cover of such a PAD carries a standard caveat indicating that its release is restricted. After the operation has been approved and after any revisions to the PAD have been made, **SECBO** notifies IDU and the InfoShop that the PAD will not be made publicly available.

²⁰ A business day is a day when the Bank's Washington offices are open for business.

that the PAD may be made publicly available.²¹

APLs

(c) The procedures for making publicly available the PAD for the first loan under a program supported by an APL are the same as those set forth in paragraph 25(a). For loans or credits subsequent to the first loan or credit under the program, the **RVP** approves the operation in principle and transmits the PAD to SECBO, indicating in the Board Submission Form that the PAD may be made publicly available after the approval of the loan or credit. **SECBO** circulates the PAD to the Executive Directors under cover of a memorandum stating that the RVP's approval of the loan will become effective unless, within eight business days²² following the circulation of the PAD, at least three Executive Directors request that the loan/credit be scheduled for a Board discussion. In the absence of such a request, the RVP's approval becomes effective at the end of the waiting period, after which **SECBO** notifies IDU and the InfoShop that the document may be made publicly available. If a discussion by the Executive Directors regarding the loan or credit is held, the final PAD is made publicly available according to the procedures set out in paragraph 25(a).

Program Document (PD)

*Poverty Reduction
Support Credit
(PRSC)*

26. The disclosure procedures for the Program Document (PD) for PRSCs are the same as those described in paragraphs 24 and 25(a) for PADs for investment projects.

*Adjustment
lending operation
other than PRSC*

27. The Invitation to Negotiate the loan or credit for each adjustment operation (other than a PRSC) proposed for Bank financing includes a statement that it is the Bank's policy to make the PD publicly available after the loan or credit has been approved by the Executive Directors, if the borrower has given its consent to the proposed disclosure. It requests that the prospective borrower provide its written consent to such disclosure at negotiations or that the borrower's negotiating team be authorized to provide such consent, and if such consent will be provided, that the prospective borrower's negotiating team be prepared to identify, during negotiations, any sections of the PD that are confidential or sensitive, or that may adversely affect relations between the prospective borrower and the Bank, if disclosed. When finalizing a PD for which the borrower's written consent to disclosure has been received, the **team leader**, as he or she considers appropriate, makes adjustments to the PD to deal with the matters of concern. In such case, the **team leader** incorporates in the MOP any information raising issues of confidentiality, sensitivity, or adverse relations between the Bank and the country that is relevant to the Executive Directors in their decision making process. If the borrower has provided its written consent to disclosure, the PD is made publicly available following the same procedures as described in paragraph 25(a) for PADs for investment projects. If the borrower has not provided its written consent to disclosure, the Board Submission Form (which is copied to OPCVP) indicates that the PD will not be publicly available and provides the reasons for nondisclosure. The cover of such a PD carries a standard caveat indicating that its release is restricted.²³

²¹ If any revisions are made to the PAD in light of the Executive Directors' comments, the RVP sends the revised PAD to SECBO indicating the changes that have been made, and stating that the revised PAD may be made available to the public. SECBO notifies IDU and the InfoShop that the revised PAD may be made publicly available.

²² A business day is a day when the Bank's Washington offices are open for business.

²³ If a borrower consents to disclosure of the PD after the Bank approves the loan or credit, the **country director** transmits the PD to IDU upon receipt of such written consent, under cover of a memorandum (copied to InfoShop) indicating that the PD may be disclosed.

Letter of Development Policy (LDP)

*Letter of
Development
Policy*

28. The Invitation to Negotiate the loan or credit for each adjustment operation (including a PRSC) proposed for Bank financing includes a statement that it is the Bank's policy to make the LDP publicly available after the loan or credit has been approved by the Bank, if the borrower has given its consent to the proposed disclosure. It requests that the prospective borrower provide its written consent to such disclosure at negotiations or that the borrower's negotiating team be authorized to provide such consent. If the borrower has provided its written consent to the disclosure of the LDP, the LDP is normally included as an annex to the PD. In such case, the cover of the PD carries a note indicating that it contains the LDP.²⁴ If the borrower has not provided its written consent to disclosure of the LDP, it is included as an annex to the MOP.²⁵ In such case, the cover of the PD indicates that the LDP is included in the MOP.

TO BE UPDATED

²⁴ If the borrower consents to disclosure of the LDP but not the PD, the LDP is circulated to the **Executive Directors** as a separate self-standing document under cover of a memorandum indicating that the borrower has consented to its disclosure. Once the operation has been approved, SECBO notifies IDU and the InfoShop that the LDP may be disclosed.

²⁵ If a borrower consents to disclosure of the LDP after the Bank approves the loan or credit, the **country director** transmits the LDP to IDU upon receipt of such written consent, under cover of a memorandum (copied to InfoShop) indicating that the LDP may be disclosed.

Tranche Release Document (TRD)

Multitranche PRSC

29. The Invitation to Negotiate a PRSC includes a statement that it is the Bank's policy to make the TRD available to the public after release of the tranche involved has been approved, and that the **borrower** will be requested during the preparation of the TRD to identify any sections of the TRD that are confidential or sensitive, or likely to adversely affect relations between the borrower and the Bank. During the preparation of the TRD, the **team leader** consults with the borrower to identify any such sections. When finalizing the TRD, the **team leader**, as he or she considers appropriate, makes adjustments to it dealing with the matters of concern. Any information raising issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank that is relevant to the RVP's decision making process is incorporated in a cover memorandum to the RVP. After approving the release of a tranche, the **RVP** transmits the TRD to SECBO, indicating in the Board Submission Form that the TRD may be made publicly available. Any information raising issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank that the RVP wishes to convey to the Executive Directors is incorporated in an MOP that accompanies the TRD. SECBO distributes the TRD to the Executive Directors for information, and notifies IDU and the InfoShop that the TRD may be made publicly available.

30. If a waiver of tranche release conditions is required, any information raising issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank that is relevant to the Executive Directors' decision making process is incorporated in the MOP that accompanies the TRD. After such waiver has been approved by the Executive Directors, the TRD is disclosed following the same procedures as those described in paragraphs 24, and 25(a) for PADs for investment projects.²⁶

Other multitranche adjustment lending operation

31. The Invitation to Negotiate the loan or credit for each adjustment operation (other than a PRSC) proposed for Bank financing includes a statement that it is the Bank's policy to make the TRD publicly available after the release of the relevant tranche has been approved by the Bank, if the borrower has given its consent to the proposed disclosure, and that the borrower will be requested to provide its written consent to such a disclosure during preparation of the TRD. During the preparation of the TRD, the **team leader** requests that the borrower provide its written consent to such disclosure, and, if such consent will be provided, that the **borrower** indicate any sections of the TRD that are confidential or sensitive, or that may adversely affect relations between the Bank and the borrower if disclosed. When finalizing a TRD for which the borrower's written consent to disclosure has been received, the **team leader**, as he or she considers appropriate, makes adjustments to the TRD to deal with the matters of concern. In such case, any information raising issues of confidentiality, sensitivity, or adverse relations between the Bank and the country that is relevant to the RVP's decision making process is incorporated in a cover memorandum to the RVP. If the borrower's written consent has not been received, the TRD is not made publicly available. The cover of such a TRD carries a standard caveat indicating that its release is restricted. After approving the release of the tranche, the **RVP** transmits the TRD to SECBO, indicating in the Board Submission Form whether the TRD may be made publicly available, and if not, giving the reasons for nondisclosure. If the borrower has consented to disclosure of the TRD, any information raising issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank that the RVP wishes to convey to the Executive Directors is incorporated in an MOP that accompanies the TRD. SECBO distributes the TRD to the Executive Directors for information and notifies IDU and the InfoShop whether the TRD may be made publicly available.

32. If a waiver of the conditions of tranche release is required, the **RVP** transmits the TRD to SECBO, indicating in the Board Submission Form whether the TRD will be made publicly available, and if not, giving the reasons for nondisclosure. If the **borrower** has consented

²⁶ In exceptional cases, if extensive issues of confidentiality, sensitivity, or adverse relations between the Bank and the borrower/country arise, the **country director** may restrict the release of the TRD. In such case, the Board Submission Form (which is copied to RVP, OPCVP, and Print Shop) indicates that the TRD will not be made publicly available, and gives the reasons for nondisclosure. The cover of such a TRD carries a standard caveat indicating that its release is restricted. After the operation has been approved and after any revisions to the TRD have been made, SECBO notifies IDU and the InfoShop that the PAD will not be made publicly available.

disclosure of the TRD, any information raising issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank that is relevant to the Executive Directors in their decision making process is incorporated in the MOP that accompanies the TRD. After the tranche release has been approved by the Executive Directors, **SECBO** notifies IDU and the InfoShop whether the TRD may be made publicly available.

TO BE UPDATED

Heavily Indebted Poor Country (HIPC) Initiative Document

Preliminary, Decision Point, and Completion Point Documents

33. Early during the preparation of a HIPC Preliminary, Decision Point, or Completion Point document, the **team leader** informs the country in writing that it is the Bank's policy to make the document publicly available after it has been reviewed by the **Executive Directors of the Bank** and by the **Executive Directors of the IMF**, unless the country objects to such disclosure within 15 business days²⁷ after the document has been distributed to the Executive Directors of the Bank and the Executive Directors of the IMF. Before finalizing the document, the **team leader** requests the country to identify any sections of the document that are confidential or sensitive, or that may adversely affect relations between the country and the Bank if disclosed. The **team leader** consults with the country and finalizes the document, making adjustments, as he or she considers appropriate, to deal with the matters of concern that may have been raised. The **team leader** incorporates in an MOP that accompanies the HIPC document any information raising issues of confidentiality, sensitivity, or adverse relations between the country and the Bank that are relevant to the Executive Directors in their decision making process.

34. The **RVP** involved transmits the HIPC document to SECBO, indicating in the Board Submission Form (a) the country's disclosure intentions, and (b) Management's intention to make publicly available the Chairman's Summing Up of the discussion by the Bank's Executive Directors if the underlying HIPC document will be disclosed. **SECBO** distributes the document to the Executive Directors under cover of a memorandum indicating the country's disclosure intentions. If the country has not objected to disclosure, **SECBO** further states in its memorandum that, unless the country objects to disclosure in writing by the deadline for objection, the document will be made available to the public on the later of the following two days: (a) the business day²⁸ following agreement by the Boards of Executive Director of both the Bank and the IMF of the HIPC document; or (b) 15 business days²⁹ after distribution of the documents to both Boards. If the country has objected to disclosure, **SECBO** advises the Executive Directors accordingly. Unless the country objects by the deadline for objection, the document is disclosed jointly by the two institutions on the later of the following two days: (a) the business day³⁰ following agreement by the Executive Directors of both the Bank and the IMF on the matter under consideration; or (b) 15 business days³¹ after distribution of the documents to both Boards. **SECBO** coordinates this process with the IMF, and notifies IDU and the InfoShop when the document may be made publicly available. If the document will not be made publicly available, its cover indicates that its release is restricted.

Chairman's Summing Up

35. At least one business day³² before the Bank's Executive Directors discuss a HIPC document, the **team leader** provides to the Manager, SECPS, a draft of the Chairman's Summing Up that reflects the issues that the Executive Directors are expected to raise. Following the discussion, the same day, **SECPS** clears the draft and any revisions to it with the RVP and with the Chairman for that Board discussion, and **SECBO** circulates it to the Executive Directors for comment within one business day, under cover of a memorandum stating whether the Summing Up will be made available to the public.³³ If the deadline for country objection to the disclosure of the underlying HIPC document has not yet passed, **SECBO** consults the team leader involved to ascertain whether the country has objected to disclosure since the document was distributed to the Board, and advises the Executive Directors accordingly. At the end of the waiting period, **SECBO** notifies IDU and the InfoShop whether the Summing Up may be made publicly available.³⁴ If the Summing Up is not disclosed, its cover carries a standard caveat indicating that its release is restricted.

²⁷ A business day is a day when the Bank's Washington offices are open for business.

²⁸ A business day is a day when the Bank's Washington offices are open for business.

²⁹ A business day is a day when the Bank's Washington offices are open for business.

³⁰ A business day is a day when the Bank's Washington offices are open for business.

³¹ A business day is a day when the Bank's Washington offices are open for business.

³² A business day is a day when the Bank's Washington offices are open for business.

³³ The Chairman's Summing Up is disclosed only if the underlying HIPC document is disclosed.

³⁴ If the Bank's Executive Directors discuss a HIPC document prior to its discussion by the IMF's Executive Directors, the Chairman's Summing Up is normally disclosed after the discussion by the IMF's Executive Directors. In such case, after the discussion by the IMF's Executive Directors, SECBO notifies IDU and the InfoShop whether the Summing Up may be disclosed.

Environmental Action Plan (EAP)

36. Upon receipt of an EAP³⁵ from a country, the **team leader** informs the country in writing that it is the Bank's policy to make the EAP publicly available with the consent of the country, and requests the country's written consent to such disclosure. Once the Bank has obtained the country's written consent to its disclosure, the **team leader** transmits two copies of the EAP to the InfoShop.

Integrated Safeguards Data Sheet (ISDS)

37. The ISDS is generated and submitted to the InfoShop through the Bank's Project Document System (PDS). When an ISDS is updated, the **team leader** transmits each update to the InfoShop through PDS.

Environmental Assessment (EA)

EA Report	<p>38. Whenever the Bank requires an environmental assessment,³⁶ the team leader informs the proposed borrower in writing that (a) the borrower is responsible for preparing a separate, freestanding EA Report; (b) the borrower must make the draft EA Report available in the borrowing country at a public place accessible to project-affected groups and local nongovernmental organizations (NGOs) in accordance with OP/BP 4.01, <i>Environmental Assessment</i>; (c) the borrower must officially transmit the EA report to the Bank before the Bank begins formal appraisal of the project;³⁷ and (d) once the EA report has been locally disclosed and officially received by the Bank, the Bank will also make it available to the public before it begins formal appraisal of the project. Once an EA report has been made publicly available in the borrowing country and has been officially received by the Bank, but before the Bank begins formal project appraisal, the team leader sends two copies to the InfoShop under cover of a standard transmittal memorandum.³⁸</p>
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³⁵ See [OP/BP 4.02](#), *Environmental Action Plans*.

³⁶ Depending on the project, a range of instruments can be used to satisfy the Bank's EA requirement; see [OP/BP 4.01](#), *Environmental Assessment*.

³⁷ For exceptions to this requirement, see [OP 4.01](#), *Environmental Assessment*. For guarantee operations, the EA Report must be disclosed in-country, officially received by the Bank and sent to the InfoShop at least 60 days prior to the expected Board date in the case of an operation which, for environmental screening purposes, is classified as Category A, and at least 30 days prior to the expected Board date in the case of an operation which, for environmental screening purposes, is classified as Category B; see [OP/BP 14.25](#), *Guarantees*.

³⁸ The transmittal memorandum is available at <http://www-ext.worldbank.org/pubs/infoshop/covermemo.doc>. For Category A projects, the team leader also sends a summary of the EA report to SECBO for distribution to the Executive Directors.

*Financial
Intermediary and
Sector Investment
Operation*

39. Whenever the Bank requires an assessment of the institutional mechanisms or framework in place for conducting the EAs for subprojects under a financial intermediary or sector investment operation, the **team leader** informs the proposed borrower in writing that (a) the participating financial intermediary or responsible project entity is responsible for preparing such an assessment; (b) the borrower must transmit the assessment to the Bank before the Bank begins formal appraisal of the project; (c) the Bank will make it available to the public before it begins formal appraisal of the project; and (d) the borrower must locally disclose and send the Bank the EA report for each subproject under the operation that, for environmental screening purposes, is classified as Category A under OP/BP 4.01, and the Bank will make each such EA Report publicly available. Once the Bank has received the assessment, and before the Bank begins formal project appraisal, the **team leader** sends two copies of it to the InfoShop.³⁹ Once an EA Report for a Category A subproject has been officially received by the Bank, the **team leader** transmits two copies of the report to the InfoShop.

Resettlement Instrument (RI) and Indigenous Peoples' Development Plan (IPDP)

40. Whenever the Bank requires an RI⁴⁰ or an IPDP,⁴¹ the **team leader** advises the proposed borrower in writing that (a) the **borrower** is responsible for preparing a separate, freestanding RI or IPDP; (b) the **borrower** must make a draft RI or draft IPDP that conforms to the relevant policies, as well as the final RI or final IPDP, available in the borrowing country at a place accessible to, and in a form, manner, and language understandable to the displaced or affected people and local NGOs; (c) the **borrower** must transmit the draft RI or draft IPDP to the Bank before the Bank begins formal project appraisal; and (d) once the draft RI or draft IPDP has been locally disclosed and received by the Bank, the **Bank** will also make it available to the public before it begins formal project appraisal.

41. Once the draft RI or draft IPDP has been cleared by the **Regional Sector Director** for Environment and Social Development (or designee), but before the Bank begins formal project appraisal, the **team leader** sends two copies of the draft to the InfoShop under cover of a standard transmittal memorandum.⁴²

42. Once the borrower has officially transmitted the final RI or final IPDP report to the Bank, the **team leader** sends two copies to the InfoShop, under cover of a standard transmittal memorandum.

Document Related to Full-Sized Global Environment Facility (GEF) Projects

43. The work flow arrangements for the following documents related to Full-Sized GEF projects⁴³ are the same as work flow arrangements for the equivalent documents related to Bank-financed operations (the relevant paragraphs of this Handbook are noted in parentheses):

- GEF Project Information Documents (paragraph 22)
- Factual Technical Documents pertaining to GEF-financed projects (paragraph 23)⁴⁴
- GEF Project Appraisal Documents (paragraphs 24 and 25)
- GEF Integrated Safeguard Data Sheets (paragraph 37)

³⁹ Assessments are submitted under cover of the standard transmittal memorandum used for submitting EA Reports.

⁴⁰ Resettlement Instruments include resettlement plans, resettlement policy frameworks, and process frameworks; see OP/BP 4.12, *Involuntary Resettlement*.

⁴¹ See OD 4.20, *Indigenous Peoples*.

⁴² The transmittal memorandum is available at <http://www-ext.worldbank.org/pubs/infoshop/covermemo.doc>.

⁴³ A Full-Sized GEF project is a project financed under the GEF and administered by the Bank in its capacity as an implementing agency of the GEF, for which the amount of GEF financing exceeds US\$1 million equivalent.

	<ul style="list-style-type: none"> • Environmental Assessment Reports, Resettlement Instruments, and Indigenous Peoples' Development Plans for GEF-financed projects (paragraphs 38-42) • GEF Implementation Completion Reports (paragraph 53) • Project Performance Assessment Reports for GEF-financed projects (paragraph 54)
<i>GEF Pipeline Document</i>	<p>44. When a Full-Sized GEF project is included in the GEF project pipeline, the GEF Secretariat includes summary information about the project in a GEF Pipeline Document. Once the GEF Project Pipeline Document has been posted on the GEF website, the Bank's GEF Coordination Anchor sends a copy to IDU under cover of a standard transmittal memorandum (copied to InfoShop) indicating that the document may be made publicly available.⁴⁵ [In addition, upon request from an outside party.]</p>
<i>GEF Project Brief</i>	<p>45. For each proposed Full-Sized GEF project, the Bank prepares a project brief which is generated through the Bank's PDS. Once the GEF Chief Executive Officer (GEF CEO) has included the project in the GEF work program and submitted the work program to the GEF Council for approval, the GEF Secretariat posts the related project brief on the GEF website, and the Bank's GEF Coordination Anchor sends a copy to IDU under cover of a standard transmittal memorandum (copied to InfoShop) stating that the document may be made publicly available.⁴⁶</p>
<i>GEF Project Document</i>	<p>46. After the GEF Council includes a proposed Full-Sized project in the GEF work program, the Bank prepares a GEF Project Document (GEF-PD), which describes the proposed project. The GEF-PD is generated through the Bank's PDS. The invitation to negotiate the proposed project includes a statement that it is the Bank's policy to make the GEF PD publicly available once the GEF CEO has notified the GEF Council of his or her endorsement of (or intention to endorse) the final GEF-PD, and before final Bank approval of the project. After negotiations, and after the GEF CEO has notified the GEF Council of his or her endorsement of the final GEF-PD (or intention to endorse such document), the GEF Secretariat posts the final GEF-PD on the GEF website. The Bank's GEF Coordination Anchor then sends the final GEF-PD to IDU under cover of a standard transmittal memorandum (copied to InfoShop) stating that the document may be made publicly available.</p>

⁴⁴ The project concept note for any Full-Sized GEF project included in the GEF project pipeline, as well as any subsequent application for funding for the project's preparation under the GEF's Project Development Facility, may be made publicly available upon request of an interested party as a factual document in accordance with paragraph 17 of this Handbook, and after consultation with the GEF Secretariat or the Bank's GEF Coordination Anchor.

⁴⁵ The standard memorandum is available at <http://gef/>

⁴⁶ The standard memorandum is available at <http://gef/> .

Document Related to Medium-Sized GEF Projects

<i>GEF Project Brief</i>	47. For each Medium-Sized GEF project, ⁴⁷ the Bank prepares a GEF project brief, which provides a brief description of the project and serves as the basis for consideration of the proposed project by the GEF CEO . Before the GEF CEO endorses the project, the GEF Secretariat posts the project brief on the GEF website. The Bank's GEF Coordination Anchor then sends it to IDU at least 21 days before Bank approval of the project, undercover of a standard transmittal memorandum (copied to InfoShop) stating that the document may be made publicly available. ⁴⁸
<i>GEF-ISDS</i>	48. The team leader transmits the ISDS for each Medium-Sized GEF project electronically to the InfoShop. ⁴⁹ When a GEF ISDS is updated, the team leader transmits a copy of the update, electronically, to the InfoShop.
<i>EA, RI, and IPDP</i>	49. Whenever the Bank requires an EA Report, RI, or IPDP for a Medium-Sized GEF Project, the workflow arrangements for such document are the same as those described in paragraphs 38-42, except that instead of being sent to the Infoshop before the Bank begins appraisal, the document is sent to the Infoshop at least 21 days before the Bank's approval of the project.
<i>GEF Project Completion Report</i>	50. The team leader sends the GEF-PCR for each Medium-Sized GEF project to IDU (copied to InfoShop) undercover of a standard transmittal memorandum stating that the document may be made publicly available. ⁵⁰

Document Related to Other Trust Funds

<i>Funding Proposal</i>	51. After a donor has approved a proposal for funding under a trust fund administered by the Bank, the trust fund program manager ⁵¹ determines, in consultation with the Legal Department's Cofinancing and Project Finance Unit (LEGCF), whether the Bank's agreement with the donor provides the donor's consent to making the funding proposal available to the public. If the agreement does not provide such consent, the trust fund program manager informs the donor in writing that it is the Bank's policy to make the funding proposal available to the public after the donor has given its consent to such disclosure, and requests the donor's written consent to such disclosure. After the donor has provided its consent to disclosure, the trust fund program manager transmits a copy of the funding proposal to IDU, under cover of a memorandum (copied to InfoShop), indicating that it may be made publicly available.
<i>Financial Information and Statement</i>	52. After obtaining the necessary donor agreements and finalizing the aggregate financial information and the financial statements—referenced in paragraphs 37 (b) and (c) and in paragraph 37(d), respectively, of the Disclosure Policy—the Manager, Accounting's Trust Fund Division , transmits the information to IDU under cover of a memorandum (copied to InfoShop) indicating that this information may be made publicly available.

Implementation Completion Report (ICR)

	53. The ICRs ⁵² are generated through the PDS. Early during the preparation of an ICR, the team leader informs the borrower in writing that the ICR will be made available to the public, and indicates the country authorities will be asked prior to finalizing the report to identify any information in the report that is confidential or sensitive or that may adversely affect relations
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⁴⁷ A Medium-Sized GEF project is a project financed under the GEF and administered by the Bank in its capacity as an implementing agency of the GEF, for which the amount of GEF financing does not exceed US\$1 million equivalent.

⁴⁸ The standard memorandum is available at <http://gef/>.

⁴⁹ The Word template for generating the ISDS is available at <http://gef/>.

⁵⁰ The Word template for generating the GEF-PCR is available at <http://gef/>. The standard transmittal memorandum to IDU is also available at <http://gef/>.

⁵¹ For a consultant trust fund, the determination is made by RMCVP.

⁵² See [OP/BP 13.55](#), *Implementation Completion Reporting*.

between the borrower and the Bank, if disclosed. When finalizing the ICR, the **team leader**, as he or she considers appropriate, makes adjustments to the ICR to deal with the matters of concern. After approving the ICR, the **country director** sends it through PDS to the Operations Evaluation Department (OED), SECBO, the Quality Assurance Group (QAG), IDU, the Print Shop and, for GEF-funded projects, the Regional GEF coordinator, indicating in the transmittal memorandum whether the document may be made publicly available, and if not, giving the reasons for nondisclosure.⁵³ **SECBO** distributes the ICR to the Executive Directors for information, and notifies IDU and the InfoShop whether the document may be made publicly available.

Project Performance Assessment Report (PPAR)

54. Early during the preparation of a PPAR, the **team leader** informs the borrower, in writing, that the report will be made available to the public, and requests that the **borrower** identify any information in the report that is confidential or sensitive, or that may adversely affect relations between the country and the Bank, if disclosed. When finalizing the PPAR, the **Operations Evaluation Department**, as it considers appropriate, makes adjustments to the PPAR to deal with the matters of concern. When the **OED Group Manager** involved provides clearance to distribute a PPAR to the Executive Directors, he or she indicates in the Board Submission Form whether the PPAR may be made available to the public, and if not, gives the reasons for nondisclosure.⁵⁴ **SECBO** distributes the PPAR to the Executive Directors for information, indicating whether it will be made publicly available, and if not, giving the reasons for nondisclosure. **SECBO** then notifies IDU and the InfoShop whether it may be made publicly available.

Impact Evaluation Report (IER)

55. The disclosure procedures for IERs are the same as for PPARs. If an IER covers more than one country, the **team leader** notifies each borrower in writing that the document will be made available to the public, and requests each borrower to identify any information in the report that is confidential, or sensitive or that may adversely affect relations between the borrower and the Bank, if disclosed.

Country Assistance Evaluation (CAE)

56. During the preparation of a CAE, the **team leader** (a) informs the country in writing that it is the policy of the Bank to make the CAE available to the public after it has been discussed by the Executive Directors, unless the country involved objects to such disclosure and the Executive Directors agree that the document may not be disclosed; and (b) requests the country to identify any information in the report that is confidential or sensitive or that may adversely affect relations between the country and the Bank if disclosed. When finalizing the report, **OED**, as it considers appropriate, makes adjustments to the CAE to deal with the matters of concern. In exceptional circumstances, if extensive issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank arise, the **Director General, OED**, may restrict the release of a CAE. The cover of such report carries a standard caveat indicating that its release is restricted. After the CAE has been cleared by OED for distribution to the Executive Directors,⁵⁵ the **OED Group**

⁵³ In exceptional circumstances, if extensive issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank arise, the **country director** may restrict the release of the ICR. In such case, the cover of the ICR carries a standard caveat indicating that its release is restricted.

⁵⁴ In exceptional circumstances, if extensive issues of confidentiality, sensitivity, or adverse relations between the borrower and the Bank arise, the **Director General, OED** may restrict the release of a PPAR. The cover of such a PPAR carries a standard caveat indicating that its release is restricted.

⁵⁵ CAEs are normally discussed by CODE or its subcommittee.

Manager involved transmits the CAE to SECPS, indicating in the Board Submission Form whether the CAE may be publicly released. If the country has objected to the report's release, the **OED Group Manager** indicates in the Board Submission Form the reasons for the objection. **SECPS** then transmits the CAE to the Executive Directors under cover of a memorandum notifying them of the country's objection, and requesting the Board's approval—within eight business days⁵⁶—not to make the document available to the public. After the CAE has been discussed by the Executive Directors, **SECPS** notifies IDU and the InfoShop whether the document may be made publicly available.

Sector, Thematic, or Process Evaluation

57. After a sector, thematic, or process evaluation has been cleared by OED for distribution to the Executive Directors, the **OED Group Manager** involved transmits the evaluation (including any Management response) to SECPS, indicating in the Board Submission Form that it may be made publicly available unless the Executive Directors decide otherwise. If the evaluation is to be discussed by the full Board,⁵⁷ **SECPS** prepares a transmittal memorandum to the Executive Directors indicating that unless they decide otherwise, the document (including any Management response) and the Chairman's Concluding Remarks (see paragraph 58) will be made available to the public after the discussion by the Executive Directors. If the evaluation is to be discussed by CODE rather than the full Board, **SECPS** indicates in the transmittal memorandum that unless an Executive Director requests a meeting within eight business days⁵⁸ to discuss the issue of disclosure, the documents will be made available to the public. After the discussion by the Executive Directors, or at the end of the waiting period, **SECPS** notifies IDU and the InfoShop whether the evaluation report (including any Management response) may be made publicly available.⁵⁹

Chairman's Concluding Remarks

58. At least one business day before the discussion by the Executive Directors at a full Board meeting or CODE meeting (as the case may be) of a sector, thematic, or process evaluation, the **OED Group Manager** provides to the Manager, SECPS, a draft of the Chairman's Concluding Remarks that reflects the issues the Executive Directors are expected to raise at the meeting. Following the meeting, the same day, **SECPS** clears the draft of such Concluding Remarks and any revisions to it with the Group Manager, OED, and with the Chairman for that meeting, and **SECPS** circulates it to the Executive Directors or CODE members (as the case may be) for comment within one business day⁶⁰ under cover of a memorandum indicating whether it will subsequently be made available to the public. At the end of the waiting period, **SECPS** notifies IDU and the InfoShop whether the Chairman's Concluding Remarks may be made publicly available.

⁵⁶ A business day is a day when the Bank's Washington offices are open for business.

⁵⁷ Sector, thematic and process evaluations are normally considered by CODE or its subcommittee rather than being discussed by the full Board.

⁵⁸ A business day is a day when the Bank's Washington offices are open for business.

⁵⁹ In exceptional circumstances, if extensive issues of confidentiality, sensitivity, or adverse relations between the Bank and a borrower/country arise, the **Director General, OED**, may restrict the release of a sector, thematic, or process evaluation. The cover of such evaluation carries a standard caveat indicating that its release is restricted. In such case, after the evaluation has been cleared by OED for distribution to the Executive Directors, the **OED Group Manager** involved transmits the evaluation to SECPS, indicating in the Board Submission Form that the evaluation may not be made available to the public, and giving the reasons for nondisclosure.

⁶⁰ A business day is a day when the Bank's Washington offices are open for business.

Quality Assurance Group (QAG)*QAG Synthesis
Report*

59. If a synthesis report prepared by QAG contains any information related to a specific country or countries, **QAG** informs the **country director(s)** involved early during document preparation. The **country director** informs the country involved in writing that the Bank's policy is to make the report publicly available after it has been distributed to the Executive Directors and indicates that the country will be requested to identify any text or data in the report that is confidential or sensitive, or that may adversely affect relations between the country and the Bank if disclosed. The **country director** informs QAG of any text or data so identified by the country. When finalizing the report, **QAG**, as it considers appropriate, makes adjustments to it to deal with the matters of concern. In exceptional circumstances, if extensive issues of confidentiality, sensitivity, or adverse relations between the country and the Bank arise, **QAG** may restrict the release of a synthesis report. The cover of such a report carries a standard caveat indicating that its release is restricted. After clearing a synthesis report to be distributed to the Executive Directors, the **Director, QAG**, sends a copy to **SECPS**, indicating in the Board Submission Form whether it may be disclosed, and if not, giving the reasons for nondisclosure. **SECPS** indicates in a transmittal memorandum to the Executive Directors whether the document will be made available to the public. After distributing a QAG synthesis report to Executive Directors for information, or after the Executive Directors discuss the report, **SECPS** notifies IDU and the InfoShop whether the report may be made available to the public.

TO BE UPDATED

Legal Information

Loan, Guarantee, or Development Credit Agreement

60. After each Loan, Guarantee, or Development Credit Agreement entered into by the Bank under a lending operation has been signed, declared effective, and registered with the United Nations, and after each agreement providing for a counter-guarantee by a member country in favor of the Bank under a Bank guarantee operation has been signed and registered with the United Nations, the **Legal VPU** sends a copy of the signed agreement to IDU under cover of a memorandum (copied to InfoShop) stating that it may be made publicly available.

Framework Agreement

61. Before arranging for the signing of a Framework Agreement between the Bank and a donor relating to trust funds, the **Resource Mobilization and Cofinancing vice presidency, (RMCVP)**, in consultation with the **Chief Counsel, LEGCF**, determines whether under the terms of the Framework Agreement includes a provision by which the donor consents to making the Framework Agreement available to the public, or whether the donor has otherwise provided a separate written agreement to making the Framework Agreement available to the public. After the Framework Agreement has been signed, and if the donor has agreed to its public availability, **RMCVP** transmits a copy of the fully signed Framework Agreement to IDU, under cover of a memorandum (copied to InfoShop), stating that it may be made publicly available. If the donor has not so agreed, the memorandum to IDU indicates that the agreement may not be made publicly available.

Administration Agreement

62. Before arranging for the signing of an Administration Agreement between the Bank and a donor relating to trust funds, the **team leader** involved, in consultation with the **lawyer** involved, determines whether under the terms of the Administration Agreement the donor agrees to making the Administration Agreement available to the public, or whether the donor has otherwise provided its written agreement to making the Administration Agreement available to the public (e.g., under the Framework Agreement between the Bank and the donor to which the Administration Agreement relates, or by having given a general consent generally to disclosure of administration agreements, as confirmed by RMCVP). After the Administration Agreement has been signed, and if the donor has agreed to its public availability, the **team leader** transmits a copy of the fully signed Administration Agreement to IDU, under cover of a memorandum (copied to InfoShop and the country lawyer), stating that it may be made publicly available. If the donor has not so agreed, the memorandum to IDU indicates that the agreement may not be made publicly available.

Grant Agreement

63. Before arranging for the signing of a Grant Agreement providing for financing under a trust fund to a recipient of such financing, the **team leader** involved, in consultation with the **lawyer** involved, determines whether under the terms of the Grant Agreement the recipient agrees to making the Grant Agreement available to the public. After the Grant Agreement has been signed, and if the recipient has agreed to its public availability, the **team leader** transmits a copy of the fully signed Grant Agreement to IDU, under cover of a memorandum (copied to InfoShop and the country lawyer), stating that it may be made publicly available. If the donor has not so agreed, the memorandum to IDU indicates that the agreement may not be made publicly available.

SAMPLE TEMPLATE FOR A PROGRAM DOCUMENT

Cover and Front Matter

1. The cover format of the Program Document is as follows:

INTERNATIONAL BANK FOR
RECONSTRUCTION AND DEVELOPMENT
PROGRAM DOCUMENT
FOR A
PROPOSED [LOAN OR CREDIT]
IN THE AMOUNT [OF] [EQUIVALENT TO] [US\$ _____][SDR _____] MILLION
TO
[BORROWER]
FOR A
_____[LOAN/CREDIT]
[DATE]

Text

2. *Heading.* The text of the Program Document begins on a new page, and starts with the following standard heading:

**[IBRD/IDA] PROGRAM DOCUMENT FOR
A PROPOSED ADJUSTMENT [LOAN/CREDIT] TO [COUNTRY]
FOR A [LOAN/CREDIT NAME]**

3. *Main Text.* The main text provides a self-contained discussion of the country/sector background; program description and rationale for Bank involvement; and the proposed loan/credit, including its objectives, actions supported, loan administration, benefits, and risks. The presentation is similar to that of the former President's Report. However, any text or data that is sensitive or confidential, or that could adversely affect relations between the borrower and the Bank, identified by the borrower during negotiations is included in the accompanying MOP instead of the PD.

4. *Compliance with Bank Policies.* The Program Document should indicate either that the loan/credit complies with all applicable Bank policies, or that exceptions to Bank policies are being requested.

5. *Recommendation of the President.* The recommendation of the President does not appear in the Program Document. It is included in the MOP instead.

Attachments

Annexes (includes text of signed copy of LDP for PRSCs and for other adjustment operations for which the country has authorized public disclosure by the Bank).

¹ Or "International Development Association."

OUTLINE FOR A MEMORANDUM OF THE PRESIDENT

Cover and Front Matter

- The cover format of the MOP is as follows:

MEMORANDUM OF THE
PRESIDENT OF THE
[INTERNATIONAL BANK FOR
RECONSTRUCTION AND DEVELOPMENT] [INTERNATIONAL DEVELOPMENT
ASSOCIATION]
TO THE
EXECUTIVE DIRECTORS
ON A
PROPOSED [LOAN OR CREDIT]
IN THE AMOUNT [EQUIVALENT TO] [OF] [US\$ ____] [SDR ____] MILLION
TO
[BORROWER]
FOR A
[LOAN] [CREDIT]
[DATE]

Text

- Heading.* The text of the MOP begins on a new page, and starts with the following standard heading:

**MEMORANDUM OF THE PRESIDENT
OF THE [IBRD/IDA] TO THE EXECUTIVE DIRECTORS
ON A PROPOSED ADJUSTMENT [LOAN/CREDIT] TO [COUNTRY]
FOR A [LOAN/CREDIT NAME]**

- Introductory Paragraph.* The introductory paragraph has a standard form. Following is an example:

I submit for your approval a proposed adjustment [loan][credit] to [Country] for [the equivalent of] [US\$ ____][SDR ____] to help finance the proposed [Loan/Credit Name]. The borrower has requested that the [loan][credit] be [a single currency LIBOR-based loan on standard terms], for ____ years including ____ years grace, in US dollars.]

- Loan/Credit Objectives and Description.* The MOP should summarize specific purposes of the loan/credit and briefly describes the program being supported by the loan/credit.
- Information that Raises Issues of Confidentiality, Sensitivity, or Adverse Country Relations.* The MOP incorporates any text or data that is confidential or sensitive, or that could

adversely affect relations with the Bank, which is removed from the Program Document following negotiations if such material is of relevance to the Board in its decision making process. Following are examples of how this information may be presented in the MOP:

In addition to information contained in the Program Document, the Board is asked to consider the following:¹

- [Information here should be self-standing in the sense that it should not be necessary to cross-reference the text of the PD]

6. *Recommendation.* The MOP uses the following standard form:

I am satisfied that the proposed [loan/credit] would comply with the Articles of Agreement of the [Bank/Association] and recommend that the Executive Directors approve it.

SIGNATURE

[The President's signature appears at the end of the text, as follows:]

James D. Wolfensohn
President

by [Name of Managing Director responsible for the document, except those documents the President may choose or be advised to sign himself]

Washington, D.C.

[Same date as on the cover page]

Attachments (includes copy of Letter of Development Policy if Government has not authorized its public disclosure)

Regional Vice President Country Director Sector Director Sector Manager Task Team Leader
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¹ Alternatively, confidential or sensitive information not included in the Program Document may be attached to the MOP as an annex if, for example, the information represents an entire section or series of paragraphs that have been removed from the Program Document.

OUTLINE FOR A TRANCHE RELEASE DOCUMENT

Cover and Front Matter

1. The cover format of the Tranche Release Document is as follows:

INTERNATIONAL BANK FOR
RECONSTRUCTION AND DEVELOPMENT
TRANCHE RELEASE DOCUMENT
FOR
[BORROWER]
[LOAN OR CREDIT NAME]
[LOAN OR CREDIT NUMBER]

[DESCRIPTION OF TRANCHE CONDITIONS AND COMPLIANCE STATUS]

Text

2. *Heading.* The text of the Tranche Release Document (TRD) begins on a new page, and starts with the following standard heading:

**[IBRD/IDA] TRANCHE RELEASE DOCUMENT FOR
PROPOSED ADJUSTMENT [LOAN/CREDIT] TO [COUNTRY]
FOR A [LOAN/CREDIT NAME]**

3. *Main Text.* The main text provides a self-contained discussion of the loan/credit objectives and features; recent country/sector developments; and progress in implementing the program and in meeting tranche release conditions. The presentation is similar to that of the former President's Report. However, any text or data that is sensitive or confidential, or that could adversely affect relations between the borrower and the Bank, identified by the borrower during preparation of the TRD, is included in the accompanying MOP instead of the TRD.
4. *Recommendation of the President.* The recommendation of the President, if required, does not appear in the Tranche Release Document. It is included in the MOP instead.

Attachments

¹ Or "International Development Association."

OUTLINE FOR A MEMORANDUM OF THE PRESIDENT FOR A TRANCHE RELEASE

Cover and Front Matter

1. The format of the MOP for a tranche release is as follows:
2. *Heading.* The text of the MOP begins on a new page, and starts with the following standard heading:

FROM: The President

[Month Day, Year]

[Country Name]

[Name of Operation]

[(Loan/Credit No. xxxxxx)]

[Release of] [Description of Tranche/Compliance]

Text

3. *Introductory Paragraph.* The introductory paragraph should provide basic information on the loan/credit such as the amount of the loan/credit, approval date, effectiveness date, and loan conditions. It also describes the tranche structure of the loan/credit and the disbursement status of the loan/credit, and should refer to the Tranche Release Document. Following is an example:

The [Name of Loan/Credit] in the amount of [amount of Loan/Credit] was approved by the Board of Directors on [date of Loan/Credit approval], and became effective on [date of effectiveness of Loan/Credit]. The [loan][credit] comprises [three single currency tranches], and will be payable in [maturity and grace period of loan/credit], at the Bank's [standard interest rate for LIBOR-based single currency loans]. The [first tranche] in the amount of [amount in currency disbursed] was released on [date of tranche release]. The accompanying Tranche Release Document (TRD) sets forth a description of the tranche conditions and compliance status of the borrower.

4. *Loan/Credit Objectives and Description.* The MOP should briefly summarize specific purposes of the loan/credit and describe the program being supported by the loan/credit.
5. *Information that Raises Issues of Confidentiality, Sensitivity, or Adverse Country Relations.* The MOP incorporates any text or data that is confidential or sensitive, or that could adversely affect relations with the Bank, which is removed from the TRD during preparation of the TRD if such material is of relevance to the Board. Following is an example of how this information may be presented in the MOP when Management requests the Board's approval of a waiver or amendment of conditions:

In addition to information contained in the tranche release document, the Board is asked to consider the following:¹

- [Information here should be self-standing in the sense that it should not be necessary to cross-reference the text of the tranche release document]

6. *Recommendation.* Following is an example of the recommendation for those cases where Board approval is required:

In view of the overall performance and progress with the implementation of the program supported by the [loan][credit], specified in [*insert reference to section*] of the [Loan][Development Credit] Agreement, I recommend that the Executive Directors approve the proposed tranche release. Following the approval by the Executive Directors, the management will notify the [Borrower] of the availability for disbursement of the [*description of tranche*] in the amount [equivalent to] [of] [US\$ amount].

Following is an example of language to be used in those cases where Board approval is *not* required:

In view of the overall performance and progress with the implementation of the program supported by the [loan][credit], and in view of compliance with the specific conditions of release specified in [*insert reference to section*] of the [loan][credit] agreement, the [Bank][Association] has informed the Borrower of the availability for disbursement of the [*description of tranche*] in the amount [equivalent to] [of] [US\$ amount].

SIGNATURE

[*The President's signature appears at the end of the text, as follows:*]

James D. Wolfensohn
President

by [*Name of Regional Vice President responsible for the document, except those documents the President may choose or be advised to sign himself*]

Washington, D.C.

[*Same date as on the cover page*]

Regional Vice President Country Director Sector Director Sector Manager Task Team Leader
--

¹ Alternatively, confidential or sensitive information not included in the Tranche Release Document may be attached to the MOP as an annex if, for example, the information represents an entire section or series of paragraphs that have been removed from the Tranche Release Document.

**SAMPLE PARAGRAPHS ON COMMUNICATING DISCLOSURE REQUIREMENTS
WITH BORROWERS/COUNTRIES**

Paragraph for inclusion in the Invitation to Negotiate an Investment Lending Operation

It is the World Bank's policy to make the Project's Appraisal Document (PAD) available to the public after the Bank approves the project for Bank financing. We request that your delegation for the forthcoming negotiations be prepared to indicate any text or data in the PAD that may be confidential or sensitive, or that may adversely affect relations between the Bank and [Name of Country]. The Bank will take into account your delegation's comments in finalizing the document.

Paragraphs for inclusion in the Invitation to Negotiate a Poverty Reduction Support Credit

It is the World Bank's policy to make the Program Document for a poverty reduction support credit (PRSC) available to the public after the credit has been approved by the Bank. We request that your delegation for the forthcoming negotiations be prepared to indicate any text or data in the Program Document that may be confidential or sensitive, or that may adversely affect relations between the Bank and [Name of Country]. The Bank will take into account your delegation's comments in finalizing the document.

Similarly, it is the World Bank's policy to make the tranche release document for multitranche PRSC available to the public after the Bank approves the release of the tranche. Accordingly, during the preparation of each tranche under [loan/credit no.], we will request you to identify any text or data in the tranche release document that may be confidential or sensitive, or that may adversely affect relations between the Bank and [Name of Country]. As with the Program Document, we will take any such comments into account in finalizing the tranche release document.

It is also the World Bank's policy to make the signed Letter of Development Policy publicly available after the loan or credit has been approved by the Bank, if the borrower has given its consent to the proposed disclosure. We therefore request that the forthcoming delegation be prepared to indicate whether the Government of [Country] consents to making the Letter of Development Policy publicly available as an annex to the Program Document.

Paragraphs for inclusion in the Invitation to Negotiate other Adjustment Operations

It is the World Bank's policy to make the Program Document for adjustment loans and credits available to the public after the loan or credit has been approved by the Bank, if the borrower has given its consent to such disclosure. We therefore request that such consent be provided to us, in writing, during the forthcoming negotiations. If it is, we ask that the delegation be prepared to identify any text or data in the Program Document that may be confidential or sensitive, or that may adversely affect relations between the Bank and [Name of Country] if disclosed. The Bank will take into account your delegation's comments in finalizing the document.

Similarly, it is the World Bank's policy to make the tranche release document for multitranche adjustment operation available to the public after the Bank approves the release of the relevant tranche if the borrower has given its consent to such disclosure. Accordingly, during the preparation of each tranche under [name of loan/credit], we will request your government's written consent to the disclosure of the document, and will also ask you to identify any text or data in the tranche release document that is sensitive or confidential, or

that could adversely affect the relations between the Bank and [country] if disclosed. The Bank will take into account any such comments in finalizing the tranche release document.

It is also the World Bank's policy to make the signed Letter of Development Policy publicly available after the loan or credit has been approved by the Bank, if the borrower has given its consent to the proposed disclosure. We therefore request that the forthcoming delegation be prepared to indicate whether the Government [country] consents to the publication of the Letter of Development Policy as an annex to the Program Document.

Paragraph on advising countries on the disclosure requirements of a gray cover Economic and Sector Work Reports

It is the World Bank's policy to make gray cover country economic and sector reports available to the public after they are distributed to the Executive Directors. Accordingly, the gray cover version of [name of report] will be made available to the public after it has been distributed to the Executive Directors. Therefore, during the final review of the report, we will request you to identify any text or data in the report that, in your view, is confidential, or sensitive, or that may adversely affect relations between the Bank and your country. The Bank will take your comments into account in finalizing the report.

Paragraph advising borrowers on the disclosure requirements of Environmental Assessment (EA) reports

Category A and Category B Projects

This is to advise you that [name of project] has been classified as [EA category of project] for purposes of environmental assessment. In addition to other requirements specified in the Bank's OP/BP 4.01, *Environmental Assessment*, (a) the borrower is responsible for preparing a separate, freestanding EA report, even if it is a short report; (b) the borrower must make the draft EA report available in [name of country] at a public place accessible to project-affected groups and local NGOs, in a form and language understandable to the affected groups; (c) the borrower must officially submit the EA report to the Bank before the Bank begins project appraisal; and (d) once the EA report has been locally disclosed and officially received by the Bank, but before the Bank begins formal project appraisal, the Bank will also make the EA report available to the public.

Paragraph advising borrowers on the disclosure requirements of Resettlement Instruments and Indigenous Peoples' Development Plans

This is to advise you that [name of project] requires the preparation of a [name of safeguards report]. In addition to other requirements specified in the Bank's [OP/BP number], (a) the borrower is responsible for preparing a separate, freestanding report, even if it is a short report; (b) the borrower must make a draft [name of safeguards report] that conforms to the relevant policies, as well as the final [name of safeguards report], available in the borrowing country at a place accessible to, and in a form, manner, and language understandable to, the affected people and local NGOs; (c) the borrower must transmit the draft [name of safeguards report] to the Bank before the Bank begins formal project appraisal; and (d) once the draft [name of safeguards report] has been locally disclosed and received by the Bank, the Bank will also make it available to the public before it begins formal project appraisal.

TO BE UPDATED