



**Southern African Development Community  
(SADC)**

**Regional Climate Resilience Program for  
Eastern and Southern Africa (P180171)**

**Stakeholder Engagement Plan (SEP)**

**23 March 2023**

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## ABBREVIATIONS AND ACRONYMS

CIWA	Cooperation for International Waters in Africa
CSO	Civil Society Organization
E&S	Environmental & Social
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESS	Environmental and Social Standard
EW	Early Warning
EWS	Early Warning System
FANR	Food and Agriculture and Natural Resources Directorate
FGD	Focus Group Discussion
FFEW	Flash Flood Early Warning System
FM	Financial Management
GBV	Gender Based Violence
GDP	Gross Domestic Product
GRM	Grievance Redress Mechanism
GWSP	Global Water Security Partnership
IDA	International Development Association
DRR	Disasters Risk Reduction Department
M&E	Monitoring & Evaluation
MHEWS	Multi-Hazard Early Warning System
OIP	Other Interested Party
OKACOM	Okavango River Basin Water Commission
O&M	Operations & Maintenance
PAP	Project Affected Person
PDO	Program Development Objective
PIU	Project Implementation Unit
RAP	Resettlement Action Plan

RSMC	Regional Specialized Meteorological Centre
SADC	Southern African Development Community
SEP	Stakeholder Engagement Plan
SH	Sexual Harassment
SOP	Series of Projects
TA	Technical Assistance
WB	World Bank

# 1. INTRODUCTION

## 1.1 Background

The International Development Association (IDA) plans to finance the Southern African Development Community (SADC) to implement Phase 1 of the Regional Climate Resilience Program for Eastern and Southern Africa. The Program is envisioned as a regional multi-phase engagement (Series of Projects - SOP) with the higher-level aim of strengthening the resilience of populations to climate-related shocks in Eastern and Southern Africa. SADC is a regional organization.

The overall Program focuses on catalytic medium to large scale investments to reduce people exposure to climate shocks, with a focus on high return storage and protective water infrastructure and safety nets. The first phase, the SOP 1 project, will be focused on strengthening systems for the proper design, implementation, and Operations & Maintenance (O&M) of these investments for climate resilience, on increasing their readiness for implementation, on improving preparedness to manage climate risks, and on expanding the scope for adaptive safety nets to protect the most vulnerable.

Through a Series of Projects (SOP), four countries, the Republic of Madagascar, the Republic of Mozambique, the Republic of South Sudan, the Union of Comoros, the Southern Africa Development Community (SADC) and the Nile Basin Initiative (NBI) are eligible to receive funding under this Program. The proposed Program is expected to include at least three operations, overlapping in time, over a period of 10 years (2023 – 2032).

SADC will provide Technical Assistance (TA) to the Program. Assistance will include enhancing early warning systems; strengthening of capacity of members countries to access mitigation and adaptation funding; strengthening of regional capacities, partnerships and data sharing for Hydromet; and transboundary water and natural resource management.

The World Bank's Environmental and Social Standard 10<sup>1</sup> recognizes the importance of open and transparent engagement with all Program stakeholders, based on the recognition that effective stakeholder engagement can improve E&S sustainability of Program activities, enhance Program acceptance, and implementation, and allow stakeholders to contribute to Program design. The key objectives of stakeholder engagement include a) an assessment of the level of interest and support of the Program by stakeholders to promote effective and inclusive engagement with all project-affected parties and b) to ensure that Program information on E&S risks and impacts is disclosed in a timely and understandable way.

This Stakeholder Engagement Plan (SEP) outlines all stakeholder engagements for the SADC activities under the Program in a systematic way. It defines legal and policy requirements in regard to stakeholder engagements, lists stakeholder engagements that have already been undertaken, provides a stakeholder analysis of all relevant project-affected parties, including members of vulnerable groups, to the NBI activities and lays out the means of dissemination of information to different parties as well as means and ways to continue to consult different stakeholder groups throughout the Program cycle. It also includes a Grievance Redress Mechanism (GRM), by which people affected by SADC's project-related activities can bring their grievances and concerns to project management's attention, and which describes how those grievances and concerns will be considered and addressed. Furthermore, it contains a monitoring plan for the implementation of the SEP.

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<sup>1</sup> The World Bank, Environmental and Social Framework (ESF), 2018.

## 1.2 Program Development Objective

The Program Development Objective (PDO) is to strengthen the resilience of populations to climate-related shocks in Eastern and Southern Africa.

## 1.3 Program Components

SADC plays a key role as facilitator of long-term cooperation and regional cooperation in the AFE region, including information and knowledge sharing that is key to enhance regional preparedness. SADC's role will be key to the Program's regional resilience-building approach by helping address the countries' demand for coordinated solutions that strengthen institutional capacity on climate preparedness. SADC established a Disaster Risk Reduction Unit responsible for coordinating regional preparedness and response programs for trans-boundary hazards and disasters. The SADC Regional Platform for Disaster Risk Reduction was inaugurated in 2011. SADC also has in place a Climate Services Centre with the mandate to reduce the negative impacts of adverse weather and climate conditions such as drought, floods, and other extreme events on sustainable socio-economic development. The Centre aims to achieve this goal through generation and dissemination of meteorological, environmental, and hydro-meteorological products.

**Component 1. Risk Management and Climate Financing.** The objective of this component is to build capacity for increased regional cooperation on climate and disasters risk management and climate financing. This Component will support strengthening institutional capacity and Program management via two sub-components:

*Sub-Component 1.1. Climate and Disasters Risk Management.* This sub-component will support investments in hydromet and early warning systems in participating countries, and establishment/strengthening of coordination mechanisms at the regional level. Eligible activities under this sub-component include a mix of (i) installation and rehabilitation of small infrastructure (e.g., hydromet stations, monitoring equipment, rainfall gauges); (ii) provision of software and technical assistance/capacity building to relevant regional, national, and local agencies, to develop, consolidate, and communicate hydro-meteorological forecasts to other government entities, the general public and regional entities; and (iii) regional knowledge, capacity building, and data sharing on disaster risk management, flood and drought and cyclones forecasting, hydrological and metrological data exchange, and other disasters risk management topics of mutual interest.

*Sub-Component 1.2. Climate Financing.* This sub-component promotes multisectoral climate governance and crowd-in climate financing from different sources. It will include regional-level Technical Assistance (TA) for strengthening clients' capacity to access mitigation and adaptation financing, or Global Public Goods (GPG) funds, for example for the protection of wetlands and rangeland conservation, and to steer and benefit from carbon market opportunities via the creation of regional and country-based platforms for climate advocacy and financing; supporting deliberate outreach, and roundtables.

**Component 2. Infrastructure Investments and Sustainable Asset Management for Climate Resilience** Improving management of water-related climate impacts in AFE requires closing the

regional gap on critical water infrastructure for climate resilience, as well as a strong institutional framework (i.e., rules and organizations) for mainstreaming climate considerations as part of the planning, implementation, and operation of the new infrastructure. Given the tight fiscal space in participating countries, it is crucial to extend the lifeline and effectiveness of existing protective and storage infrastructure via improved asset management, and in particular, improved maintenance. For both climate resilience planning and O&M, it is critical to focus on a whole-of-government approach, that moves beyond a single sector but instead looks at the whole financial flows and competing demands. This will be achieved through (i) institutional development and planning; (ii) infrastructure development and rehabilitation; and (iii) sustainable asset management. Taking a regional approach under this component is fundamental as the region has much to offer in terms of lessons learnt, shared challenges, and successful solutions – the regional perspective thus helps maximize economies of scale and make the best use of scarce resources for larger impact.

*Sub-Component 2.1. Enhancing Institutional Capacity for Long-term Climate Risk Management.*

This subcomponent will finance technical assistance to strengthen the legal, regulatory, institutional framework for climate-resilient water resources management, including regional and transboundary collaboration. This involves strengthening the institutional capacity of countries to effectively manage long-term, climate-related flood, cyclones, and drought risks at watershed and urban levels, including foundational Policies, Institutions, and Regulation support, such as improving water resources monitoring systems and watershed management, water resources/flood management/spatial planning (i.e., master plans and basin plans), gender resilience benchmarking and gender-responsive approaches, strengthened capacity and tools for community engagement in resilience planning and mitigation, updating technical standards for climate-resilient infrastructure, revision of water codes and accompanying legislations, and capacity building. It will also finance South-South exchanges and capacity building on successful regional experiences.

*Sub-component 2.2. Closing the Climate Resilient Infrastructure Gap.* This sub-component will finance both preparatory studies and construction of new and in-dire-state priority infrastructure to increase climate resilience in participating countries. Studies will include dam safety assessments of critical storage – this infrastructure is critical in terms of managing too much/too little water, in addition to potentially supporting multiple water uses fundamental for countries' development. Eligible infrastructure includes protective assets (e.g., embankments/dikes, wetland restoration, urban drainage, channelization) and multipurpose storage (including priority large-scale dams). Both conventional infrastructure investments and nature-based solutions will be considered. In this SOP-1, works for flood risk management and high priority remedial works to ensure the safety of existing storage will be financed in South Sudan and Mozambique. In both countries, the project uses a framework approach with eligibility criteria to identify, prioritize and screen flood management and dam safety interventions including consideration of (i) potential for impact on project outcomes, including regional benefits, (ii) environmental and social impact (no high E&S risk in Mozambique), (iii) cost-effectiveness, (iv) sub-basin level clustering; (v) accessibility and security, and (vi) synergies with ongoing World Bank and development partner's engagements. It is likely that more infrastructure needs will be identified than existing resources – thereby the potential for co-financing from other donors. The DNAs will also identify potential high-priority drought infrastructure investments in latter phases of the SOP.

*Sub-component 2.3. Sustainable Asset Management.* This sub-component will include an evaluation of the legal and institutional framework and flow of funds, and cost recovery for operating and maintaining protective and storage infrastructure. It will support technical assistance and capacity-building to strengthen the water agencies' capacity to operate and maintain existing and new assets for drought and flood management, including financial, legal,



and human capacity aspects, considering gender inclusion. The technical assistance will help define an approach to public asset management and minimal standards, and - where applicable - recommendations for and support to set up a regional/national asset maintenance fund for storage and protective infrastructure, including recommendations and support for the revision of water laws. The specific set-up will vary in each country, with the common objective to increase coverage of maintenance costs of protective assets/storage, including those with transboundary benefits. Capacity building will be conducted at the regional, national, and sub-national levels.

**Component 3. Adaptive Climate Services for Resilient Communities.** Strengthening social and human capital resilience to climate change in AFE will include enhancing last mile community preparedness and mainstreaming the climate dimension in social protection policy design, operational and budgetary planning, including in cash for work programs, whilst integrating gender needs. Adaptive social protection programs play a key role in the climate change risks cycle, from information campaigns about climate risks to vulnerability reduction to shock response. The development of these programs would decrease the number of refugees and displaced in case of disaster, thus preventing negative spillovers across countries, whilst safeguarding livelihoods of people in exposed areas.

*Sub-Component 3.1. Empowering Communities to Manage Climate Risk.* This sub-component will focus on enhancing last mile community preparedness and response capacity via (i) the development and implementation of community-level plans, simulation exercises, capacity building activities for community leaders and women to participate in effective preparedness, response and recovery efforts (including drought impacts reporting and drought contingency planning); and (ii) enhancing the capacity of beneficiary communities to actively participate in asset operation and maintenance through training and education programs targeting youths, leveraging wherever possible existing local governance for O&M of flood and drought infrastructure. This will include support for the development and piloting of didactic tools to enhance the quality of community engagement and knowledge around floods and droughts planning and mitigation, with a particular focus on improving the knowledge and participation of women, youth and other marginalized groups. While these programs will be tailored to the local context, cross-fertilization and learning across the region will inform their design and implementation.

*Sub-Component 3.2. Mainstreaming Climate Resilience in Social Protection Programs.* The ability of SP to timely respond to emerging needs depends on four activities supported by RCRP: (1) strengthening the climate-change content of the operational design of social protection programs, from public works to livelihoods; (2) improving information systems and households data to better assess climate change vulnerability, especially that of water; (3) enhancing the financial agility to support risk reduction measures and shock mitigation; and (4) supporting the intersectoral and cross-country coordination arrangements and partnerships, including for climate sensitive cash-for-work programs.

**Component 4. Project Management.** This component will finance all project management activities in participating countries and regional organizations, including equipment and materials, technical assistance and compliance with fiduciary, procurement, and safeguards (environmental and social) requirements, security planning and management, remote supervision, monitoring and evaluation (M&E) and impact assessment, knowledge management and communication, and when needed, support to technical activities and supervision. It will also finance national grievance redress mechanisms (GRM) and other project operating costs. At the national and regional organizations' level, the activities will be performed by Project Implementation Units (PIUs),

established under relevant Ministries, maximizing wherever possible complementarity with existing PIUs. A Regional Steering Committee (RSC) will be established to increase coordination across the region. This component will finance participation at regional events and knowledge sharing, including in the meetings of the RSC.

**Component 5: Contingent Emergency Response (US\$0).** A Contingent Emergency Response Component (CERC) is included in the project, under South Sudan's, Madagascar's, and Comoros' and Mozambique's financing agreements. This will allow for rapid reallocation of uncommitted funds under corresponding credits and grants in the event of an eligible crisis or emergency. Under this Project, eligible emergencies would be limited to the following: (i) floods/cyclones causing destruction, contamination, and limiting access to water services; (ii) droughts affecting water supplies for human consumption and livestock; (iii) localized water-borne disease epidemics related to flood/cyclones, and drought emergencies, and (iv) conflict-related impacts to water infrastructure. For the CERC to be activated and financing to be provided: (a) the Recipient's relevant authority has to declare a disaster, emergency or catastrophic event; (b) the Association and the Recipient have to agree in writing to address such disaster, emergency or catastrophic event under the Project and in accordance with the provisions of the respective Financing Agreement; (c) the Recipient has to ensure that all environmental and social management instruments required for said activities have been prepared and disclosed, and the Recipient has to ensure that any actions which are required to be taken under said instruments have been implemented, all in accordance with the applicable provisions of the respective CERC Manual; (d) the Coordinating Agency in charge of coordinating and implementing the CERC must have adequate staff and resources, for the purposes of said activities; and (e) the Recipient has to adopt a CERC Manual.

Activities implemented by SADC include the following:

### **Component 1: Risk Management and Climate Financing**

*Sub-Component 1.1. Climate Disasters Risk Management:* At SADC level, this sub-component will support the operationalization of the Continental Multi-Hazard Early Warning System (MHEWS) Framework via (i) diagnostic on EWS level across SADC members (except of SOP-1 participants who already carry it out under the RCRP); (ii) development of standardized data and information sharing formats and protocols at national level, including standard warning templates and protocols for climate risk identification systems to prioritize areas of social protection risk reduction interventions; (iii) South-South knowledge exchange and cooperation, including for strengthening regional capacity and data sharing for hydromet information (iv) dissemination and communication of specialist sectoral products produced by the Regional Specialized Meteorological Centers (RSMCs). Moreover, it will develop consistent drought severity designations for the region and protocols for triggering of assistance across boundaries, in concert with SHOC operationalization.

*Sub-Component 1.2.: Climate Financing*

### **Component 2: Infrastructure Investments and Sustainable Assets Management for Climate Resilience**

*Sub-Component 2.1.: Enhancing Institutional capacity for long term climate risk management.* Under this sub-component, **SADC** will organize regional and south-to-south knowledge exchanges and provide technical assistance, including coordinating efforts on transboundary water management (integrated planning, training on the state-of-the-art World Bank Decision

Tree Framework and other guidelines for mainstreaming climate resilience in planning and design); scaling up the activities and outcomes of the Southern Africa Drought Resilience Initiative (SADRI) initiative; and support participating countries in exploring nature-based solutions and integrating them into planning.

Moreover, SADC will pilot a Transboundary Distributional Impact of Investments methodology in the Okavango basin, with the Permanent Okavango River Basin Water Commission (OKACOM). This component will include: (i) development of a tool to prioritize pro-poor and resilient investments at the transboundary and country level; (ii) assessment of the contribution of basin activities to job creation, economic growth and environmental and social benefits; and (iii) distributional effect of different benefit sharing strategies (e.g., natural capital, allocation across economic sectors

*Sub-Components 2.2.: Closing the climate resilient infrastructure gap.* SADC will help strengthen the dialogue between riparian countries (i.e., Mozambique, Malawi, and South Africa) on dam safety and coordinated operations, and promote south-to-south exchanges on best practices for multi-purpose storage development and flood risk management infrastructure, including on how to integrate green and grey solutions.

*Sub-Component 2.3.: Sustainable Assets Management.* Under this sub-component, SADC will help organize regional knowledge exchanges and provide technical assistance, including on the development of standards and on options for improving maintenance of assets.

### **Component 3: Adaptive Climate Services for Resilient Communities.**

*Sub-Component 3.1.: Community Outreach*

*Sub-Component 3.2.: Mainstreaming climate resilience in social protection programmes.* At the **regional** level, this sub-component will also support the implementation of operation and coordination manuals for adaptive social protection, promoting their harmonization across the region for easier communication and more effective implementation. Moreover, the sub-component will finance regional exchanges with other countries and similar type of ASP programs.

**Table 1 SADC funding per sub-component in USD Mio.**

	SADC
<b>COMPONENT 1. Risk Management and Climate Financing</b>	<b>2.0</b>
1.1. Climate and Disasters Risk Management	1.5
1.2. Climate Financing	0.5
<b>COMPONENT 2. Infrastructure Investments and Sustainable Asset Management for Climate Resilience</b>	<b>1.5</b>
2.1. Enhancing institutional capacity for long term climate risk management	1.0
2.2. Closing the climate resilient infrastructure gap	0.3
2.3. Sustainable Asset Management	0.2
<b>COMPONENT 3. Adaptive Climate Services for Resilient Communities</b>	<b>1.0</b>
3.1. Community outreach	0.6
3.2. Mainstreaming climate resilience in social protection programs	0.4
<b>COMPONENT 4. Project Management</b>	<b>0.5</b>
<b>COMPONENT 5. CERC</b>	<b>-</b>
<b>TOTAL SOP1</b>	<b>5.0</b>

## 1.4 Program Geographical Location

SADC is based in Botswana from where most activities will be implemented, however, activities may also extend to all SADC countries.

## 1.5 Potential Environmental and Social Risks

The overall environmental risk for the regional programme is high. However, the activities SADC will be implementing under this Program do not include infrastructure activities or potential downstream environmental impacts that may occur for infrastructure investments that will be planned and prepared through SOP 1 TA activities. SADC will not undertake any construction. The main environmental risks therefore emanate from potential downstream impacts from TA activities.

The overall social risk for this programme is also considered high. However, the potential key risks and impacts for SADC's activities include labor management issues pertaining to workers employed by SADC directly or workers of research organizations. A potential risk is therefore also Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH) in regards to workers, as well as general Occupational Health and Safety (OHS) issues. Separate Labor Management Procedures (LMP) are prepared to mitigate these risks.

## 1.6 Institutional Arrangements

The Program will be implemented by SADC's Disasters Risk Reduction (DRR) Department, together with the Food and Agriculture and Natural Resources Directorate (FANR) and the Infrastructure Department. fiduciary management will occur in the central SADC Unit. A PIU will be set up within DRR. The PIU will include a Programme Coordination, fiduciary experts, one Environmental and Social Safeguards Expert and one technical expert per main theme (at least risk management and water resource management). The Environmental and Social Safeguards Expert will be responsible for the implementation of this SEP, while the Programme Coordinator will have the overall responsibility for the implementation of the SEP and all E&S safeguards instruments.

## 1.7 Objectives of the SEP

This Stakeholder Engagement Plan (SEP) will apply to all SADC activities of the Program. It aims at facilitating stakeholder engagement throughout the Program's life cycle and across the various Program components.

The objectives of this SEP are:

- To identify Program stakeholders, including members of vulnerable groups, their priorities, and concerns.
- Identify strategies for information sharing and communication to stakeholders as well as consultation of stakeholders in ways that are meaningful and accessible throughout the Program cycle.
- To specify procedures and methodologies for stakeholder consultations, documentation of the proceedings and strategies for feedback.
- To establish an effective, transparent and responsive grievance mechanism for the Program.
- To develop a strategy for inclusive and meaningful stakeholder participation in the monitoring of project impacts, documenting, reporting and dissemination of results among the different stakeholders.

## 2. Regulations and Requirements

Stakeholder engagement is an inclusive process conducted throughout the Program life cycle to support the development of strong, constructive, and responsive relationships that are important for successful management of a Program's environmental and social risks. The World Bank's Environmental and Social Framework (ESF) includes Environmental and Social Standard (ESS) 10, "Stakeholder Engagement and Information Disclosure", which recognizes "the importance of open and transparent engagement with the Program stakeholders as an essential element of good international practice". ESS10 also provides that effective stakeholder engagement can significantly improve the environmental and social sustainability of Programs, enhance Program acceptance, and make a significant contribution to successful Program design and implementation.

The application of these standards, by focusing on the identification and management of environmental and social risks, will support Borrowers in their goal to reduce poverty and increase prosperity in a sustainable manner for the benefit of the environment and their citizens. The standards will:

- a. support Borrowers in achieving good international practice relating to environmental and social sustainability;
- b. assist Borrowers in fulfilling their national and international environmental and social obligations;
- c. enhance non-discrimination, transparency, participation, accountability, and governance; and
- d. enhance the sustainable development outcomes of projects through ongoing stakeholder engagement.

Stakeholder engagement is also provided for in the various forms of national legislation including the constitutions and legislation on environmental and social impact assessments and audits. The instruments unanimously advocate for meaningful involvement of project stakeholders in decisions that affect them, participatory planning, and transparent grievance management mechanisms.

### **3. Stakeholder Identification and Analysis**

The stakeholders of the SADC activities under the RCRP are individuals or groups (parties) that can be affected by the Program outcomes, either directly or indirectly and both positively or negatively (Project-Affected Parties (PAP) or have an interest in the project (other interested parties (OIP)). Analysis of stakeholders therefore encompasses identification of the stakeholder groups that are likely to influence or be affected by the proposed Program components either positively or negatively and organizing them according to the potential impacts of the activities on them.

Stakeholders can be classified based on: a) their roles and responsibilities in the Program; b) the influence/interest in the Program; c) whether they are direct or indirect beneficiaries; and d) whether they are vulnerable groups. In the case of this Program, SADC will focus on the provision of TA and will be working through national governments. SADC will not be working directly with local communities, and all related stakeholder engagements with national or local entities, as well as vulnerable groups, will be undertaken by the national PIUs. The stakeholders for the activities implemented by SADC hence mainly include different entities of SADC and national governments.

Overall stakeholder groups at different stages of the Program, (i.e. preparation, implementation and closure) are presented in Table 1. Considering that stakeholders are likely to change in the course of the Program, the stakeholder list will be revised and updated continuously to include new stakeholders with access to additional information.

**Table 2 Summary of Stakeholders Identification**

Stakeholder	Category Department	Mandate/Role	Interest	Stakeholder group PAP/ OIP		Language needs	Preferred notification means (Emails, Phone, Letters)	Specific needs (accessibility, large print, daytime meetings)
<b>Regional/National level</b>								
SADC entities (SADC Secretariat and Secretariat Structures addressing water resource management such as Directorates for Food, Agriculture, and National Resources and Infrastructure )	SADC	Recipient	High	PAP		English	Meetings, Formal letter, email, phone	none
National Institutions responsible for water management	National entities	Regulate climate change issues and flood management	High	PAP		English	Meetings, Formal letter, email, phone	none
National academic institutions and water research agencies	Academic institutions	Conduct research on climate change and flood management topics	High	PAP / OIP		English	Meetings, Formal letter, email, phone	none
Water professionals working at national level	Professionals	Working on issues related to climate change and flood management	High	OIP		English	Meetings, Formal letter, email, phone	none
NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society	NGOs	Supporting flood management and climate resilience	Medium	PAP / OIP		English	Meetings, Formal letter, email, phone	none
River Basin Organizations	NGOs/govt organizations	Supporting flood management and climate resilience	Medium	PAP		English	Meetings, Formal letter, email, phone	none

Stakeholder	Category Department	Mandate/Role	Interest	Stakeholder group PAP/ OIP		Language needs	Preferred notification means (Emails, Phone, Letters)	Specific needs (accessibility, large print, daytime meetings)
Regional Water Resource Management Agencies, Global Water Partnership of Southern Africa	Regional organizations	Regulate climate change issues and flood management	High	PAP		English	Meetings, Formal letter, email, phone	none
Water professionals working at regional level	Regional individuals	Working on issues related to climate change and flood management	Medium	OIP		English	Meetings, Formal letter, email, phone	none
SADC Great Green Wall National Focal Points	SADC initiative	Will be monitoring the activities on the ground and coordinating capacity building on natural resources management	High	PAP		English	Meetings, Formal letter, email, phone	none
Cooperation for International Waters in Africa – CIWA	Regional organization	Platform to support national governments, regional and international organizations, and civil society to ensure that stakeholders' concerns are addressed	High	OIP		English	Meetings, Formal letter, email, phone	none
Global Water Security Partnership – GWSP		Support to client governments to achieve water-related SDGs	High	OIP		English	Meetings, Formal letter, email, phone	none
<b>Indirect Beneficiaries / Other Interested Parties</b>								



<b>Stakeholder</b>	<b>Category Department</b>	<b>Mandate/Role</b>	<b>Interest</b>	<b>Stake holder group PAP/ OIP</b>		<b>Language needs</b>	<b>Preferred notification means (Emails, Phone, Letters)</b>	<b>Specific needs (accessibility, large print, daytime meetings)</b>
International Partners (World Bank and others)	Donor	Financing climate resilience activities	High	PAP		English	Meetings, Formal letter, email, phone	none

## **4. Stakeholder Engagement Program**

Stakeholder engagement refers to the process of interacting and working with stakeholders identified as relevant to the Program to come up with new concepts, identify challenges and discrepancies and how to address issues that may rise. All this helps in the realization of stakeholder needs and expectations for effective implementation of Program components.

The Stakeholder Engagement Plan (SEP) is used to formulate schedules, strategies and general plans to ensure there is effective, meaningful and inclusive participation of project affected persons, including members of vulnerable groups, and other interested parties, throughout the entire Program life cycle. It consists of planning on how consultations will take place, developing the layout and how issues raised will be addressed and responded to in a transparent, meaningful, timely and inclusive manner. The importance of this is to provide an effective outline of activities to be undertaken within a given timeframe to ensure effective stakeholder involvement and improve the Program's sustainability and development benefits. The SEP outlines how consultations are to be carried out and the scope of work to be achieved. The SEP will be updated on a regular basis to promptly include new developments and issues that may arise. This may include the techniques to be used in the engagement of stakeholders to address stakeholder concerns and enhance Program ownership.

The SEP describes the timing and methods of engagement with stakeholders throughout the life cycle of the Program as agreed between Bank and Borrower, distinguishing between project-affected parties and other interested parties. The SEP also describes the range and timing of information to be communicated to project-affected parties and other interested parties, as well as the type of information to be sought from them.

The SEP includes a description of the Program with its anticipated environmental and social impacts, as known at the time; a list of the stakeholder groups identified, including disadvantaged or vulnerable individuals or groups; the proposed stakeholder engagement program (including topics stakeholders will be engaged on, how stakeholders will be notified, the methods of engagement, list of information/documents that will be in the public domain, languages they will be available in, length of consultation period, and opportunities to comment); indication of resources required and the responsibilities for implementing stakeholder engagement activities; summary description of the grievance mechanism; and contact information and process for seeking further information.

### **4.1 Preparation Stage: Summary of Previous Stakeholder Engagement Activities**

A variety of stakeholder engagements have been undertaken for the preparation of this Program. The World Bank has had Program preparation meetings with the SADC on Phase 1 of the Regional Climate Resilience Program for Eastern and Southern Africa – P180171. On 26 October 2022, the Bank team met with Director Gove from the Food and Agriculture and Natural Resources Directorate (FANR) and his team. During the meeting technical activities were discussed that the Program could finance. On 10 January 2023 another meeting was held with Director Gove to discuss preparation timelines and a mission in February. On 1 February 2023 the Bank team met with Director Gove and the heads of his team, including the Senior Programme Officer for Environment and Climate Change and the Executive Secretary Assistance as well as

colleagues from the SADC Climate Services Centre to discuss activities, implementation arrangements and Programme preparation timelines.

On 23 March 2023, SADC undertook stakeholder consultations through a virtual meeting with a broad variety of stakeholders. These included representatives from the United Nations Africa Climate Change Commission, the Southern Africa Commission for Climate Change, the Africa Climate Center, the Gesellschaft für Technische Zusammenarbeit (GIZ), the World Food Programme's Regional Bureau, and others. Stakeholders generally endorsed the Programme activities and highlighted the complementarities with other programmes in the region. Participants discussed how activities can link up with other programmes, for example a new initiative funded by the European Investment Bank or ongoing hydromet programs. Several participants pointed out that information sharing, which this Programme will promote, is key. In addition, a gap needs to be closed between information and early action, especially in regard to warnings from the regional climate center. SADC clarified that the Programme will aim to do this under Component 1. Other participants pointed out the importance of communication between countries, for example in regard to dam releases. Some participants asked about the inclusion of activities supporting human dimensions of climate disaster, for example where people are subject to protracted disaster and have to flee their areas. It was clarified that these aspects are included in the country-based activities under this programme, but they are not covered by the SADC programme activities.

In regard to stakeholder engagement, participants articulated that they would like to be kept informed on project activities and other relevant information. Participants proposed, next to the typical engagement methods, to potentially hold an informal monthly meeting, in which all stakeholders can share information on their latest initiatives and coordinate across the region. This has been taken into account in this SEP.

## **4.2 Purpose and Timing of Stakeholder Engagement Program**

SADC will continue to disseminate all relevant program information to its stakeholders and to consult them on relevant topics. The objectives of information dissemination and consultations under the Program are: (a) understanding of the concerns of the different stakeholders in relation to the program; (b) reception of feedback and comments as well as grievances from all stakeholders on Program design and implementation; (c) feedback on potential environmental and social risks and impacts and mitigation measures; (d) provision of regular information to stakeholders related to Program implementation progress and any other emerging issues throughout the Program cycle and (e) provision of transparent and accountable mechanisms on all aspects of implementation.

To ensure this, a grievance redress mechanism (GRM) will be set up and implemented throughout the life cycle of this Program (see below). It is designed to allow all affected stakeholders to report on Program-related grievances or to provide comments and feedback. In addition, the ESCP and this SEP will be publicly disclosed to ensure that everyone is informed about social and environmental risks and respective mitigation measures.

This section outlines some of the proposed methods of stakeholder engagement over the Program cycle. Stakeholder engagement will be undertaken on a continuous basis to inform the project affected persons and other members of the public about Program activities and plans and

will employ appropriate strategies to ensure effective and meaningful disclosure of information. Different engagement methods are proposed and cover different needs of the stakeholders.

#### **4.3 Proposed Strategy for Information Disclosure**

Information disclosure to the all potential stakeholders will rely on the following key methods: correspondence by phone/mail; memos, virtual meetings, letters, website, and email. Information will be disclosed in English. Contact details will be updated during program implementation.

**Table 3 Strategy for Information Disclosure**

Information to be disclosed	Target Stakeholders	Messages/ Agenda	Methods of Communication	Time Table: locations / dates	Responsibility
<b>PROJECT PREPARATION</b>					
Stakeholder Engagement Plan (SEP)	SADC entities	Present the Program – objectives, rationale, components, benefits and beneficiaries, Implementation arrangements.  Indicative implementation schedule and period, project contacts.  Describe Grievance Redress Mechanism (GRM).  Present stakeholders identified and describe approach to stakeholder engagement. Sets out measures, actions, plans, and	Correspondence by phone/email	During project preparation	PIU
Labor Management Procedures (LMP)	National Institutions responsible for water management		Memos	SADC region	
Environmental and Social Commitment Plan (ESCP)	National academic institutions and water research agencies		Informal Monthly Meetings (virtual)		
	Water professionals working at national level		Letters		
	NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society		Telephone		
	River Basin Organizations		Website		
	Regional Water Resource Management Agencies				
	Water professionals working at regional level				
	International Partners (World Bank and others)				
General Program information	SADC entities	Email message to advise stakeholders of disclosure and where to access the disclosed documents.	Correspondence by phone/email	During project preparation and throughout implementation	PIU
	National Institutions responsible for water management	Advertisement in newspaper	Memos		
	National academic institutions and water research agencies		Informal Monthly Meetings (virtual)	SADC region	

Information to be disclosed	Target Stakeholders	Messages/ Agenda	Methods of Communication	Time Table: locations / dates	Responsibility
	Groundwater professionals working at national level  NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society  River Basin Organizations  Regional Water Resource Management Agencies  Water professionals working at regional level  International Partners (World Bank and others)	Disclosure of Program documentation	Letters  Telephone  Upload on websites  Email copies to key individuals and organizations.		
<b>THROUGHOUT THE PROJECT</b>					
Quarterly, annual progress reports	SADC entities  National Institutions responsible for water management  National academic institutions and water research agencies  Water professionals working at national level  NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society  River Basin Organizations	Quarterly reports  General information on Program activities  Updates to Program instruments	Correspondence by phone/email  Informal Monthly Meetings (virtual)  Letters  Telephone  Upload on websites  Email copies to key individuals	Throughout Program implementation  SADC region	PIU

Information to be disclosed	Target Stakeholders	Messages/ Agenda	Methods of Communication	Time Table: locations / dates	Responsibility
	<p>Regional Water Resource Management Agencies</p> <p>Water professionals working at regional level</p> <p>International Partners (World Bank and others)</p>		and organizations.		
<p>Information on GRM</p> <p>Labor Management Procedures (LMP)</p>	<p>SADC entities</p> <p>National Institutions responsible for water management</p> <p>National academic institutions and water research agencies</p> <p>Water professionals working at national level</p> <p>NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society</p> <p>River Basin Organizations</p> <p>Regional Water Resource Management Agencies</p> <p>Water professionals working at regional level</p> <p>International Partners (World Bank and others)</p>	Access information for GRM	Websites	<p>Throughout Program implementation</p> <p>SADC region</p>	PIU

#### **4.4 Proposed Strategy for Consultation**

This plan lays out the overall consultative processes of the project with its different stakeholders. The GRM will be another means of consultation, as complaints received will be filed, assessed and responded to (see below). Local communities, vulnerable and minority groups will be consulted through the country- based Projects, based on their respective SEPs.



**Table 4 Strategy for Consultation**

Topic of Consultation	Target Stakeholders	Expected outcomes	Suggested Method of consultation	Timetable: location and dates	Responsibility
Project Preparation					
Stakeholder Engagement Plan (SEP)	SADC entities	Inputs into Grievance Redress Mechanism (GRM).	Correspondence by phone/email	One off activity as part of project preparation	PIU
Environmental and Social Commitment Plan (ESCP)	National Institutions responsible for water management	Inputs into stakeholders identification and approach to stakeholder engagement.	Informal Monthly Meetings (virtual)	SADC region	
	National academic institutions and water research agencies		Telephone		
	Water professionals working at national level				
	NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society				
	River Basin Organizations				
	Regional Water Resource Management Agencies				
	Water professionals working at regional level				
	International Partners (World Bank and others)				
Final Program design / overall project activities	SADC entities	Inputs into Program design - objectives, rationale, components, benefits and beneficiaries, Implementation	Correspondence by phone/email	One-off activity as part of Program preparations	PIU
	National Institutions responsible for water management		Informal Monthly Meetings (virtual)	SADC region	
	National academic institutions and water research agencies		Telephone		

Topic of Consultation	Target Stakeholders	Expected outcomes	Suggested Method of consultation	Timetable: location and dates	Responsibility
	<p>Water professionals working at national level</p> <p>NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society</p> <p>River Basin Organizations</p> <p>Regional Water Resource Management Agencies</p> <p>Water professionals working at regional level</p> <p>International Partners (World Bank and others)</p>	<p>arrangements.</p> <p>Inputs into indicative implementation schedule and period, project contacts.</p>			
THROUGHOUT THE PROJECT					
Overall Program activities	<p>SADC entities</p> <p>National Institutions responsible for water management</p> <p>National academic institutions and water research agencies</p> <p>Water professionals working at national level</p> <p>NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society</p> <p>River Basin Organizations</p>	Inputs into Program activities	<p>One to one meeting, Email,</p> <p>Informal Monthly Meetings (virtual)</p> <p>Meetings (virtual) with representative organizations</p>	<p>Throughout Program implementation</p> <p>SADC region</p> <p>Minimum frequency: quarterly with all groups</p>	PIU

Topic of Consultation	Target Stakeholders	Expected outcomes	Suggested Method of consultation	Timetable: location and dates	Responsibility
	<p>Regional Water Resource Management Agencies</p> <p>Water professionals working at regional level</p> <p>International Partners (World Bank and others)</p>				
SEP and GRM	<p>SADC entities</p> <p>National Institutions responsible for water management</p> <p>National academic institutions and water research agencies</p> <p>Water professionals working at national level</p> <p>NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society</p> <p>River Basin Organizations</p> <p>Regional Water Resource Management Agencies</p> <p>Water professionals working at regional level</p> <p>International Partners (World Bank and others)</p>	<p>Updates to Program E&amp;S instruments</p> <p>Well-functioning Grievance Mechanism</p>	<p>Email, Phone</p> <p>Meetings (virtual) with representative organizations</p> <p>GRM</p>	<p>Throughout Program implementation</p> <p>SADC region</p> <p>Minimum frequency: quarterly with all groups</p>	PIU
M&E	SADC entities	Inputs into monitoring and	Email, Phone	Throughout Program	PIU

Topic of Consultation	Target Stakeholders	Expected outcomes	Suggested Method of consultation	Timetable: location and dates	Responsibility
	<p>National Institutions responsible for water management</p> <p>National academic institutions and water research agencies</p> <p>Water professionals working at national level</p> <p>NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society</p> <p>River Basin Organizations</p> <p>Regional Water Resource Management Agencies</p> <p>Water professionals working at regional level</p> <p>International Partners (World Bank and others)</p>	evaluation of Program	<p>Meetings (virtual) with representative organizations</p> <p>GRM</p>	<p>implementation</p> <p>SADC region</p> <p>Minimum frequency: quarterly with all groups</p>	

## 4.5 Engagement with Disadvantaged and Vulnerable Groups

Since SADC will work with governments implementing Program activities, and will not be working directly with countries and their different communities, no disadvantaged and vulnerable groups are expected to be engaged directly by SADC. Such engagements will be undertaken at the country levels, based on country-specific SEPs, and by the country governments. Results will nevertheless be made available to SADC. SADC also will ensure that women's concerns and perspectives are included in their communications and other project-related activities.

## 4.6 Timelines

Information disclosure and consultations are especially relevant throughout the early stages of the Program, but also throughout the project cycle. Program design has therefore been based on consultations. Activities under each Component will include further consultations prior to their commencement to ensure transparency and accountability on project modalities, and to allow stakeholder voices to form the basis of the concrete design of every intervention and consultations will continue throughout the Program cycle.

## 4.7 Review of Comments

The PIU will compile all comments and inputs originating from the different consultations to ensure that the Program has general information on the perception of stakeholders and their concerns, and for the Program to remain on target. It will be the responsibility of all implementers to respond to comments and inputs, and to keep open a feedback line to the stakeholders.

Training on environmental and social standards facilitated by WB will be provided soon after the Program becomes effective to ensure that all implementing staff are equipped with the necessary skills.

## 5. Estimated Costs for SEP Implementation

SADC will be in charge of managing and implementing the SEP. Adequate resources for the implementation of stakeholder engagements, including the GRM, will be covered by the budget assigned under the Project Management activities. SADC will as part of their annual workplans allocate adequate budget to undertake the required stakeholder engagement and implement the GRM noting the need for human and material resources will be required to implement the plan at all levels.

**Table 5 Indicative Budget for implementation of SEP**

Stakeholder Engagement Activity	Total Cost (USD)
<b>Social experts</b>	
E&S Specialist (50% of time for implementation of SEP for 4 years)	60,000

Stakeholder Engagement Activity	Total Cost (USD)
<b>Consultation and disclosure</b>	
Consultation sessions and outreach	120,000
<b>Grievance redress mechanism</b>	
GRM Hotline	40,000
Dissemination of information on GRM	10,000
<b>TOTAL</b>	<b>230,000</b>

## 6. Grievance Redress Mechanism (GRM)

The SADC FANR PIU has a GRM in place to provide a formal process for managing complaints from stakeholders as provided under ESS10 of the WB ESF and the participating states national requirements. The PIU will continue to apply the same GRM. The GRM will only cover regional level grievances for activities implemented by SADC. Country-specific projects, have their own country-level GRM, which functions independently and is administrated by their respective PIUs. If the SADC GRM receives grievances, complaints or feedback that relate to activities implemented by national governments, these grievances will be registered and will then be passed on to the respective PIU to be handled.

Grievances and concerns are bound to occur from the earliest or inception phase of the project. A Grievance Redress Mechanism is to receive and facilitate resolution of affected stakeholders' concerns and grievances related to the Project's environmental and social performance. SADC will extend this GRM to this Program.

The GRM process will be disclosed publicly during all Program phases. The purpose of the GRM is to put in place a simple and easily accessible systematic process for recording, processing and promptly resolving grievances and concerns raised during Program activities. The aim of the GRM is to achieve mutually agreed resolution of grievances raised by stakeholders and other parties.

Grievances will be received, recorded/ documented and addressed in a manner that is easily accessible, culturally appropriate and understandable to affected stakeholders. The Program's dedicated personnel on handling grievances will be consistent, experienced and qualified to do so. The stakeholders will be informed about the GRM during the stakeholder consultation and disclosure activities (as per the above tables). The GRM will be communicated and made available to all affected stakeholders. The Program's dedicated personnel will be experienced and/or trained to seek solutions to complaints in a collaborative manner with the involvement of the affected stakeholders, taking into consideration methods of dispute resolution, and not impeding access to existing judicial or administrative mechanism available in the country for resolution of disputes. The GRM includes a redress aspect so that those who feel their complaint has not been addressed in a manner they find satisfactory can have recourse to an external body for reconsideration of their case. Concerns will be addressed promptly, using a transparent process that is readily accessible to all segments of the affected communities and at no cost to them and with no retribution. Grievances received and responses provided will be reported back to the stakeholders periodically (at least every six months). The Program will provide an option for anonymous grievances, including for workers' grievances whereby the workers' identity can be protected from their supervisor or any repercussions.

### Grievance Process

Any grievance related with the Programme may be addressed using the two step process below:

Grievances arising out of the normal implementation of SADC project-related activities that cannot be resolved at activity level may be escalated to the SADC-FANR PIU through the following email address [dqove@sadc.int](mailto:dqove@sadc.int), [abanda@sadc.int](mailto:abanda@sadc.int), [agina@sadc.int](mailto:agina@sadc.int) or by any other available means to the aggrieved.

If the grievance cannot be resolved by the PIU, it can be referred to the mechanisms within the SADC Secretariat to resolve the problem or refer it to the SADC Water Resources Technical

Committee (WRTC) which has its own escalation channels that include the DRR Ministers, Water Ministers' and Council of Ministers' Meeting respectively.

The PIU will maintain a database of all incoming grievances and how they have been resolved. All incoming grievances will be acknowledged to the originator within 48 hours (24 hours' notice for SEA/SH incidents) after they are received with an indication of a roadmap of when and how the grievance will be resolved.

GRM Focal Point: The GRM Focal Points' contact details will be made available to all stakeholders. Grievances will be lodged by anyone to the GRM Focal Point. The GRM Focal Point will work with other project safeguards officers to support the handling of complaints brought to the attention of the GRM Focal Point.

Monitoring of GRM: The Program GRM focal point will also be responsible for documenting (recording), logging grievances received and addressed (both anonymous and non-anonymous, and reporting on a regular to the Program committee members. To ensure that the identity of anonymous complainants is protected, grievance log books and reports should not include identifying information on individuals.

Disclosure of GRM: The GRM will be disclosed as early as possible and maintained throughout the Program lifecycle. It will be disclosed in English and other languages in respective countries in an understandable format to all affected stakeholders, stating the following information:

- Anyone can raise complaints, grievances, concerns, ask questions or make comments or suggestions related to the Project;
- Anyone can contact the GRM focal point using the GRM focal point's contact details provided;
- The GRM focal point is responsible for receiving complaints, grievances, concerns, questions, comments, suggestions, and for responding to the person on an anonymous basis or generally via the Program's website on an anonymous basis;
- The GRM focal point will confirm receipt of the complaint, grievance, concern, question, comment, suggestion, either providing a preliminary answer or confirming the expected timing to provide an answer; and
- By using this grievance redress mechanism, the complaint, grievance, concern, question, comment, suggestion with respect to Program development will be received by the Program proponent, who will respond to the complaint, grievance, concern, question, comment, suggestion and engage with the complainant and the Program's other relevant parties to mitigate any complaint, grievance, concerns, or incorporate any comment, suggestion in the Program development to the extent possible.

### **SEA/SH-related Grievances**

Given the sensitive nature of GBV complaints, all grievance uptake channels can be used to report on Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH)- related grievances. No grievance uptake mechanism can reject such grievances, and all personnel directly receiving grievances will be trained in the handling and processing of SEA/SH-related grievances. Information on relevant legislation will be delivered to survivors prior to any disclosure of case details. This will allow protect the survivor-centered approach from mandatory reporting.

The GBV survivor has the freedom and right to report an incident to anyone: project staff, GBV case manager, local authorities. All recipients of the report should – with the survivor's informed



consent – report the case to one of the Project’s formal GRM. Furthermore, a survivor can ask someone else to act as a survivor advocate and report on her/his behalf.

The grievance recipient will be responsible for the recording and registration of the complaint. A GRM operator cannot reject a SEA/SH complaint. At the same time, however, the project can only respond to a SEA/SH complaint if it is directed into the designated GRM channels. All recipient channels will be prepared to transfer the survivor to GBV referral services.

Confidentiality: All grievance recipients and anyone handling the SEA/SH-related grievances must maintain absolute confidentiality in regard to the case and in a survivor-centered manner. Maintaining confidentiality means not disclosing any information at any time to any party without the informed consent of the person concerned. There are exceptions under distinct circumstances, for example a) if the survivor is an adult who threatens his or her own life or who is directly threatening the safety of others, in which case referrals to lifesaving services should be sought; b) if the survivor is a child and there are concerns for the child’s health and safety. The survivors need to be informed about these exceptions.

Informed Consent: The survivor can only give approval to the processing of a case when he or she has been fully informed about all relevant facts. The survivor must fully understand the consequences of actions when providing informed consent for a case to be taken up. Asking for consent means asking the permission of the survivor to share information about him/her with others (for instance, with referral services and/or IPs or PIU), and/or to undertake any action (for instance investigation of the case). Under no circumstances should the survivor be pressured to consent to any conversation, assessment, investigation or other intervention with which she does not feel comfortable. A survivor can also at any time decide to stop consent. If a survivor does not consent to sharing information, then only non-identifying information can be released or reported on. In the case of children, informed consent is normally requested from a parent or legal guardian and the children.

Awareness Raising: General awareness raising among staff in regards to SEA/SH will be conducted and all staff is expected to sign Codes of Conducts (CoCs) with reference to SEA/SH.

## 6.1 Monitoring

Effectiveness of the GRM should be monitored on a regular basis. This is important because it helps find solutions to challenges as they arise and dealing with them promptly. Some of the measures put in place for this include a quarterly report on the number of grievances received, those resolved and the ones outstanding to ensure there is a continuous flow of the project. This will be undertaken and reported to PIUs. As part of stakeholder engagement and consultation, involving the views of the stakeholders for whom the Grievance Mechanism is designed will be part of PIU Monitoring.

## 6.2 World Bank Grievance Redress Service

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB’s independent Inspection

Panel which determines whether harm occurred, or could occur, as a result of WB's non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

## 7. STAKEHOLDER ENGAGEMENT MONITORING AND EVALUATION

Inclusive and participatory monitoring and evaluation minimizes misconceptions and misunderstandings about the Program and maintain a positive perception about the Program and projects.

Stakeholder Engagement monitoring involves collecting data, assessing the level of engagement and using insights from the data collection to adjust strategies and tactics for engaging effectively with stakeholders. These will be responsibility of PIU in collaboration with entities in the partner states.

Monitoring will verify:

- i). The socio-economic and environmental impacts of the Program;
- ii). Compliance and effectiveness of the **SEP** and application of the recommended standards, stakeholder engagement and implementation of the grievances redress mechanism

Annual reviews of the Program and the implementation of the E&S instruments will be conducted at the end of each year. The monitoring reports for E&S implementation will be prepared by the PIU and will be used as a monitoring and review tool to track effectiveness. In the review process, the PIU and partner states will play the lead role in coordinating the process with key stakeholders.

### 7.1 Management Functions and Responsibilities

Adequate institutional arrangements, systems and resources will be put in place to monitor the implementation of the SEP. The main monitoring responsibilities will be with the PIU. This will be led by the PIU E&S Specialist. The PIU Program Coordinator will be overall responsible for the implementation of the SEP, as well as for monitoring and inspections for compliance with the SEP.

The Project's M&E Plan will include monitoring indicators for the measurement of the performance of the SEP.

The PIU will collect all reporting, as well as its own findings, and produce an overall environmental and social progress report, which will contain a distinct section of stakeholder engagement and which will be provided to the World Bank. The project will follow a quarterly reporting cycle. These quarterly reports will further be shared with all stakeholders, as defined in the SEP.

The PIU, and especially staff responsible for E&S risk mitigation will receive training on the ESF by the World Bank.

## 7.2 Monitoring and Evaluation

The Program will establish and maintain a database and activity file detailing public consultation, disclosure information and grievances collected throughout the Program, which will be available for public review on request. Stakeholder engagement shall be periodically evaluated by the PIU. The following indicators will be used for evaluation:

- i). Quarterly grievances received, speed of resolution and how they have been addressed; and
- ii). Level of involvement and participation of stakeholders

## 7.3 Reporting

The PIU will prepare and regularly avail important information on project status to stakeholders (based on information need) including Program implementation progress, actions on commitments made to various stakeholders and any new or corrected information since the previous report. Table 5 outlines some of the reports, target audience, method of correspondence and timelines.

**Table 6 Methods and frequency of reporting to stakeholders**

Reporting Party	Reporting Method	Stakeholder	Reporting Information	Frequency
PIU	Official Correspondence Correspondence by email or postal mail Website and social media	SADC entities  National Institutions responsible for water management  Regional Water Resource Management Agencies  International Partners (World Bank and others)	Project progress Plans for next steps Issues and changes	Quarterly

## 7.4 Reporting Back to Stakeholder Groups

Results of stakeholder engagements will be regularly reported back to the stakeholders. It will be the responsibility of the PIU to ensure that all relevant reporting is shared through the above defined public means.

## ANNEX 1: Grievance Form and Register

Reference No: \_\_\_\_\_

### Details of Complainant:

**Note:** you can remain anonymous if you prefer or request not to disclose your identity to the third parties without your consent

Full name: \_\_\_\_\_

☐ I wish to raise my grievance anonymously

☐ I request not to disclose my identity without my consent Contact

☐ By Mail: Please provide mailing address:

Gender of Complainant:

Age of Complainant:

#### Contact Information

Please tick how you wish to be contacted: - ☐ E-mail, ☐ Telephone, ☐ in Person

☐ By Telephone: \_\_\_\_\_

☐ By E-mail \_\_\_\_\_

**Preferred Communication:** ☐ local language, ☐ English

☐ One time incident/grievance Date \_\_\_\_/\_\_\_\_/\_\_\_\_

☐ Happened more than once (how many times) \_\_\_\_\_

☐ On-going (currently experiencing problem)

**Description of Incident or Grievance:**

Location of grievance:

What happened? Where did it happen? Who did it happen to? What is the result of the problem?

**What would you like to see happen to resolve the problem?**

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The grievance register will contain the following information (ideally in an excel file, or if at local level in a book) :

Type of Information	Response
Complaint/ Log number	
Reference document (s)	
Date complaint made	
Date complaint received	
Category of Grievance	
Method of Logging:	
Complaint name (state if anonymous)	
Location in which complained action took place	
Caller contacts for follow up	
Gender	
Age	
Parties against whom complaint is made (Unit/Agency etc)	
Nature of Complaint ["SEA/GBV"; "Timing of Payment"; "Amount of Payment"; "Inclusion or Issue regarding Project benefits" or create standard categories based on complaint type]	
Description of complaint	
Nature of feedback (describe)[In case issue type is GBV/SEA immediate referral to the GBV referral system]	
Verification and investigation (describe)	
Recommended action (describe)	
Timeline of Initial feedback (within 5 days) [investigate the claim within 5 working days, and share findings/feedback with relevant stakeholder]	
Status update (and justification if it is not expected to be resolved within the timeframe set out)	
Date Resolved	





## **Annex 2: Participants List Stakeholder Consultations**

- To be inserted