

Federal Democratic Republic of Ethiopia
Ministry of Finance

Human Capital Project (P172284)
Stakeholder Engagement Plan (SEP)

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Abbreviations

BoA	Bureau of Agriculture
BoFED	Bureau of Finance and Economic Development
BoH	Bureau of Health
BoWE	Bureau of Water and Energy
BoWSA	Bureau of Women and Social Affairs
BSDG	Basic Service Delivery Group
CBOs	Community Based Organizations
COPCD	Channel One Programmes Coordination Directorate
DAG	Development Assistance Group
DLIs/DLRs	Disbursement Linked Indicators and Results
ESS	Ethiopian Statistical Services
ESF	Environment & Social Framework
FGD	Focus Group Discussion
GPG	General Purpose Grant
GRC	Grievance Redress Committees
GRM	Grievance Redress Mechanism
GTP I	Growth and Transformation Plans I
GTP II	Growth and Transformation Plans II
HCP	Human Capital Project
HDI	Human Development Index
IDPs	Internally Displaced People /persons
IGFT	Intergovernmental Fiscal Transfer
IP	Implementing Partners
IPF	Investment Project Financing
JRIS	Joint Review and Implementation Support
MoA	Ministry of Agriculture
MoE	Ministry of Education
MoF	Ministry of Finance
MoH	Ministry of Health
MoPD	Ministry of Planning and Development
MoWE	Ministry of Water and Energy
MoWSA	Ministry of Women and Social Affairs
NGOs	Non-governmental Organizations
NNP II	National Nutrition Program II

OIPs	Other Interested Parties
PAPs	Project Affected Parties
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PBS	Promoting Basic Services
PCU	Project Coordination Unit
PDO	Project Development Objective
PforR	Program for Results
PSCAP	Public Sector Capacity Building Program
PSTCs	Parent-Student-Teachers committees
PWD	Persons with disabilities
SDS	Service Delivery Secretariat
SEP	Stakeholders Engagement Plan
SHA/E	Sexual Harassment and Abuse/Exploitation
SPG	Special Purpose Grant
TDP	Ten Years Development Plan.
TPI	Third Party Implementer
TPM	Third Party Monitoring
WB	World Bank
WOFEDs	Woreda level Finance and Economic Development Offices

1.Introduction

1.1. Background

The Ethiopian Human Capital Project (HCP) is a national project with a project development objective (PDO) to improve learning outcomes and nutrition services for girls and boys, to strengthen service delivery and accountability, in all regions including conflict affected areas. The project, which is a PforR, has Investment Project Financing (IPF) component to strengthen systems and capacity for quality service delivery at national, regional, and woreda levels.

The HCP will involve different groups of beneficiaries, sector offices, stakeholders such as NGOs and the private sector who are expected to play critical roles at national, regional, city/town, community, and individual levels to achieve the HCP's development objective. A clear understanding of the nature, interests and concerns of such stakeholders is crucial for effective design and delivery to meet the project objectives.

As stated in the World Bank's Environment & Social Framework for IPF Operations and the Guidance Note on Stakeholder Engagement and Information Disclosure, stakeholder engagement is an integral component of all international and national development programs. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.

Stakeholder engagement is a wide-ranging process conducted throughout the project lifecycle. A well designed and implemented stakeholder engagement plan will support the development of strong, constructive and responsive relationships for successful assessment, management and monitoring of the project's environmental and social risks and impacts. According to the guidance note (GN4.2), meaningful stakeholder engagement throughout the project cycle is an essential aspect of good project management and provides opportunities for Borrowers to learn from the experience, knowledge, and concerns of the affected and interested stakeholders, and to manage their expectations by clarifying the extent of the Borrower's responsibilities and resources.

1.2. Project Description

The Human Capital Project (HCP) has the objective of to improve learning outcomes and nutrition services for girls and boys, to strengthen service delivery and accountability, in all regions including conflict affected areas in Ethiopia through three components: Program for Results (PforR), Investment Project Financing (IPF) and Contingent Emergency Response Component (CERC).

Component 1: Program for Results (PforR): The PforR component of the project has outlined to achieve the following result areas:

Result area 1: Strengthening basic service delivery system to mitigate the impact of the crises on access and quality of basic services, nationally: This result area adopts an outcome-based approach to contribute to the program development objective (PDO) of the HCP through strengthening the delivery of basic services and improving learning and nutrition outcomes across Ethiopia through investment in health, education, water, and agriculture.

Results Area 2: Improve learning outcomes and address stunting as well as strengthen community resilience to the crises in selected woredas: this result area focuses on improving learning and contributing to stunting reduction in the target woredas which directly linked to the HCP targets for learning and nutrition through expanding access to human capital services.

Component 2: Investment Program Financing (IPF): The IPF component of the HCP will finance a package of interventions to improve human capital outcomes in selected high risk, conflict-affected woredas, including Tigray, as well as to provide technical assistance to strengthen systems and capacity for quality service delivery at national, regional, and woreda levels. The following are the Investment Program Financing (IPF) sub-components of the HCP:

Sub-component 1: Protect and improve human capital outcomes in selected high risk, conflict-affected areas

This sub-component will focus on the design and implementation of multisector interventions in high-risk areas, including Tigray, drawing from a menu of services based on area-specific priorities and global evidence. This will support delivery of basic services in a multisectoral setting with a special focus on resilience, system rebuilding, and socio-emotional support for children, adolescents, students, and communities and frontline staff in social sectors (education, health, agriculture and water). These activities include: (i) supporting resilience and rebuilding of service delivery systems through to strengthening system resilience, socio-emotional support and inclusiveness, (ii) supporting the education system in high risk woredas affected the most by the conflict to recover learning losses by financing a menu of interventions to support return to school and boost learning outcomes by strengthening community mobilization for school return, school readiness, improving teaching and learning environments, and increasing school retention (especially for girls); and (iii) supporting nutrition interventions in high risk woredas affected the most by the conflict through a multisector interventions that address the key determinants of chronic malnutrition (stunting) in close collaboration with the new health operation (Ethiopia PforR for Strengthening primary Health Care (PHC) Services (P175167)) that will support the prevention and treatment of acute malnutrition (wasting) and other essential health services in conflict-affected woredas.

Sub-component 2: Building models for innovation to promote stunting reduction and reduce learning poverty

This component will support technical innovations for effective service delivery in the selected Special Purpose Grant (SPG) pilot woredas. The project will provide TA and capacity building support and will introduce tailored innovations that address context-specific demand and/or supply side barriers faced by the selected woredas in delivering the priority services that support Human Capital SPGs. The TA will also include federal, regional, zonal and woreda stakeholders to enable them to play a more effective role in facilitating and supporting quality service delivery and human capital formation.

Learning poverty window: To improve the efficiency and effectiveness of teaching and learning outcomes, innovative models may include: (i) developing audio-visual learning programs for young children (age 3-10), and their parents and teachers, with a focus on language learning as well as on cognitive, physical, social and emotional development; (ii) setting-up virtual science laboratories for secondary schools through

digital platforms; (iii) creating E-learning platforms for teachers' professional development; and (iv) establishing demonstration schools for innovative teaching and learning.

Stunting reduction window: To improve nutrition outcomes, innovative approaches may include (i) adapting gender-sensitive harmonized and evidence-based behavior change strategies to increase uptake of services, promote optimal practices, and increase frequency of contact with behavior change agents; (ii) testing innovative tools to improve the measurement and promotion of growth monitoring s and improve overall quality of maternal and child nutrition services; and (iii) strengthening gender, nutrition, water, and climate-smart agriculture interventions that target vulnerable households.

Sub-component 3: Strengthening systems and accountability for improved service delivery

This subcomponent will include: (i) Strengthening capacity in multisectoral coordination and data measurement for improved service delivery (ii) Strengthening accountability, fiduciary and safeguards at sub national level and (iii) provide support for project management and coordination of the overall project by the MOF as well as oversee sector ministries and independent TPM. It will include an impact evaluation to determine the effectiveness of the new innovations introduced under the SPG for potential expansion. This sub-component will include the development of a climate change and emergency preparedness response training curriculum for teachers, to be incorporated in teacher training. Climate change activities in the project will also be monitored under this subcomponent.

Component 3: The Contingent Emergency Response Component (CERC): This component of the HCP focuses on the uncertainties during program planning and implementation due to different pandemics, internal conflicts, manmade and natural disasters, environmental degradations, and other social and economic disasters. Considering the existing uncertain trajectory of the COVID pandemic, the ongoing conflict in some parts of the country and the associated political, social and economic uncertainties the country is facing and the possibilities of natural disasters that may affect the delivery of basic human development services, a contingent Emergency Response Component (CERC) was included in the HCP as one component.

1.3. Key environmental and social risks

The environment and social risk for the IPF interventions is assessed as **substantial** considering particularly the proposed construction and rehabilitation of basic service facilities in conflict affected areas. The technical assistance will include capacity building in environmental and social risk management which will contribute to the E&S sustainability of activities at local levels. Moreover, social issues to be included in the technical assistance encompass above all inclusion of the most marginalized community members as well as protection of potential targeted communities.

The project is expected to have significant benefit to communities by strengthening the service delivery system. The newly introduced IPF component -1- includes the support in rebuilding of service delivery system, support education system and nutrition interventions in conflict affected woredas. Though major constructions are not anticipated, the project interventions could involve constructions with small-scale displacement. There could also be implementation delays in project activities and risks to workers

implementing at the affected sites prone to conflict and instability. In addition to these the assessment of the system revealed the presence of inadequate human resources in some of the executing agencies and coordination gap between basic service sectors and environmental and social oversight bodies. The environmental and social risks is thus assessed to be substantial.

1.4. Purpose of the Stakeholders Engagement Plan (SEP)

This SEP aims to:

- Establish a systematic approach to stakeholder engagement that will help the HCP implementers identify stakeholders and build and maintain a constructive relationship with them, in particular project affected parties.
- Assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and environmental and social performance.
- Promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them.
- Ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format.
- Define roles, and responsibilities for implementation of the SEP.
- Define monitoring, implementation involvement and reporting measures to ensure effectiveness of the SEP.
- Provide project-affected parties with accessible and inclusive means to raise issues and grievances and allow project implementers to respond to and manage such grievances.

2. Summary of Previous Stakeholder Engagement Activities

2.1. Stakeholder engagement platforms for different projects under the Ministry of Finance

- To ensure better implementation, monitoring and evaluation of the nation’s development programs, participation and regular consultations of various stakeholders and development partners is crucial. There are existing government-donor coordination frameworks and programs for active engagement and coordination of donors, development partners and stakeholders support towards the government development programs. The MoF through Channel One Program Coordination Directorate (COPCD) and Service Delivery Secretariat (SDS) engage in some of the following joint coordination platforms and programs to ensure proper implementation and monitoring and evaluation of national development plans and projects.
- Joint Government-Development Assistance Group (DAG) high level policy dialogue and technical working groups – a support program through policy dialogue, capacity building and protection of basic services programme.
- Public Sector Capacity Building Program (PSCAP) – a support program aimed to improve the scale, efficiency, and responsiveness of public service delivery at the federal, regional, and local level; to empower citizens to participate more effectively in shaping their own development; and to promote good governance and accountability.
- Basic Service Delivery Group (BSDG) – a framework for coordination and strategic engagement of development partners with the Government of Ethiopia on the delivery of decentralized basic services and related cross-cutting issues
- Joint Review and Implementation Support (JRIS) – a joint periodic review of implementation progress on all components of development programs and projects to provide implementation support.

2.2. Summary of Stakeholders Engagement Activities during the HCP Project Design

The Human Capital Project (HCP) follows a series of World Bank project phases. Since 2006 these are Promoting Public Basic Services (PBS) and Enhancing Shared Prosperity through Equitable Services (ESPES) that have supported the GoE’s Poverty Reduction Strategy Program (PRSP). The support was done through the Ethiopian government Plan for Accelerated and Sustained Development to End Poverty (PASDEP), Growth and Transformation Plans (GTP I and II), and the current Ten-Year Development Plan (TDP).

Particular to the HCP program design, the MoF has established steering and technical committees to coordinate the efforts and activities of different stakeholders at federal, regional and woreda level to work

on the project design. There were a series of virtual consultations with the stakeholders to develop the theory of change, program components, activities, outputs, outcomes, indicators and other specific issues related to the program. The following table shows some of the consultations done so far. Based on the information gathered from the key informants, there were several virtual consultations during the design period of the HCP. The following table lists the consultations.

Table1: Summary of Stakeholders Engagement Activities for the HCP

Engagement Modality	Date and Time	Engagement Purpose	Stakeholder Group	Concerns raised	Response provided
In person		Discussion and decision on: <ul style="list-style-type: none"> • HCP design amendment to incorporate high-risk and conflict affected woredas including Tigray • Recruitment of Third Party Implementer (TPI) and Third Party Monitoring (TPM) organization /firm for the activities to be implemented in the selected high-risk and conflict affected woredas 	MoF and WB higher management team	Implementation modality in conflict affected areas specifically in Tigray	TPI and TPM will be selected based on their better access to and experience in high risk and conflict affected areas including in Tigray
In person	May 4	Discussion on HCP design amendment to incorporate conflict affected woredas including Tigray	MoF HCP team and the WB team	Implementation modality in conflict affected areas specifically in Tigray	TPIs with better access to and experience in high risk and conflict affected areas including Tigray, will execute the project and TPM to monitor and report the performance of the TPI also will be recruited
Virtual/in person	Nov 1-19,2021	HCP pre-appraisal mission	All stakeholders including Federal HC and cross cutting sectors	Capacity gap to execute multi-sectoral planning and coordination at SPG Woredas	Provide TA and engage in capacity building on the identified gaps at the SPG woredas
				Low participation in and limited awareness of regions and SPG woredas about the HCP design process	Plan and execute participatory process during the other phases of the project Conduct HCP launching at regional and woredas levels

Engagement Modality	Date and Time	Engagement Purpose	Stakeholder Group	Concerns raised	Response provided
Virtual	Oct 22, 2021 9am-11am	Discussion on PBB	MoF HCP team, Fiduciary team and the WB team	Limited capacity to implement the PBB at federal and regional level	Plan –and implement ongoing capacity development at federal and regional level
					Disseminate the PBB findings at all levels
Virtual	Oct 12, 2021 2:30pm-5:30pm	HCP IPF budget source and budget breakdown, staffing issues after ESPES closing and other HCP IPF related issues	MoF HCP team and the WB team	Issues regarding the role and financing of current ESPES staff in HCP after closing of the former	-Extend the role of ESPES staff at all levels to carry out the HCP tasks through HCP-IPF
Virtual	Sep 29, 2021 10am-12-am	To finalize the final draft HCP- DLIS/DLRS and PAP including the E&S	Ministry of Finance, Ministry of Education, Ministry of Labour and Social Affairs, Ministry of Women, Children and Youth, Ministry of Agriculture, Ministry of Water, Irrigation and Energy, Plan Commission	-Implementation of ESS activities at sub national level	Conduct consultations with stakeholders responsible for social, environment and climate issues and verify the proposed PAP actions related to ESS
In person	Sep 16, 2021 10am-12am MoF building 8 th floor	Discussion on the draft ESCP	MoF HCP team and the WB team	- Relevance of Occupational Health and Safety (OSH) standards adoption and implementation for the HCP at sub national level	-Adoption and implement of the OSH standards for the HCP is one of the requirements from the recipient
				Allocation of additional funds by the recipient for unforeseen events	Allocation of additional funds for unforeseen events is one of the requirements from the recipient
Virtual	Aug 26, 2021 9am-11am	Discussion with HCP line ministries on HCP objective and related actions	Ministry of Finance, Ministry of Education, Ministry of Labour and Social Affairs, Ministry of Women, Children and Youth, Ministry of Agriculture, Ministry of Water, Irrigation and Energy, Plan Commission	-Clarity and feasibility of collecting and compiling the DLIs and achievability of the DLRs	-Detailed clarification on the objectives of the HCP and related DLIs/DLRs provided
					Plan to revise and refine the DLIs/DLRs
Virtual	Aug 18, 2021 2pm-4pm	Cross-sectoral meeting with the HCP line ministries	Ministry of Finance, Ministry of Education, Ministry of Labor and Social Affairs, Ministry of	-None	-None

Engagement Modality	Date and Time	Engagement Purpose	Stakeholder Group	Concerns raised	Response provided
			Women, Children and Youth, Ministry of Agriculture, Ministry of Water, Irrigation and Energy, Plan Commission		
Virtual	Jun 14, 2021 1pm-5pm	Regional consultations on Project design (SPG and GPG)	Regional bureaus of finance, education, agriculture, labour and social affairs, women, children and youth from Amhara, Benshangule Gumuz, Gambella, Oromia, Sidama, SNNPR and Somali regions	-Clarity on selection criteria of SPG woredas	-Detailed clarification provided on the selection criteria, which is developed based on on the country's Human Capital Index
Virtual	Jun 10, 2021 3pm-5pm	Discussions on capacity building/implementation support	Ministry of Finance, Ministry of Education, Ministry of Labour and Social Affairs, Ministry of Women, Children and Youth, Ministry of Agriculture, Ministry of Water, Irrigation and Energy, Plan Commission	Capacity gap to implement the HCP at all levels	Plan and execute capacity building on the identified gaps
Virtual	Jun 8, 2021 3pm-5pm	Discussion on DLIs and verification protocols	Ministry of Finance, Ministry of Health, Ministry of Agriculture, Ministry of Water, Irrigation and Energy/WDC and the WBG	-Identifying and assigning an appropriate institution for verification protocol	-Identify and assign an appropriate and experienced institution for verification protocol based on the ESPES experience

The consultations with the federal and regional level stakeholders mainly resulted in agreements over the scope of the project; in particular agreements are reached on the project development objective, on the subcomponents of the PforR and IPF components of the HCP and on the amount of investment on each component. During the consultations, the project's General-Purpose Grant (GPG) and Specific Purpose Grants (SPG) and their respective indicators were identified and endorsed.

The stakeholder consultations also help to reach agreement about the specific and shared responsibilities among different stakeholders at the federal, regional and woreda levels. Based on their consensus, at a federal level the MoF will be the leading implementation agency for both GPG and SPG. The high level joint steering committee, consisting of stakeholders from all ministries, will have an oversight role for the project's implementation, monitoring and evaluation. The technical committee, comprised of technical experts from the line ministries, will provide technical expertise in the overall project processes. At a regional level, the Bureaus of Finance and Economic Development (BoFEDs) will be responsible for the

project coordination. At the woreda level, the Woreda Administration and Council will have oversight roles. Finance bureaus (WOFEDs) will be responsible for the overall management of the program sector coordination at the local level. The Investment Project Financing (IPF) component of the HCP will also be managed by the MoF COPCD (Channel One Programs Coordinating Directorate).

3. Stakeholder Identification and Analysis

Stakeholder engagement is the interaction with, and influence of, project stakeholders to the overall benefit of the project and its advocates. Stakeholders are parties that have interest on the project; that have positive or negative impact/influence on the project result/outcome; or which are directly or indirectly affected by a project. Stakeholder analyses help to identify the perceptions, interests, needs, and influence of these different actors on the project.

This stakeholder analysis categorizes and defines the possible engagement and relationship of various stakeholders under the IPF component of the Human Capital Project (HCP). For the purposes of effective and personalized engagement, stakeholders of the HCP project can be divided into the following core categories:

- **Project Affected Parties (PAPs)** – persons, groups and other entities that are directly or indirectly influenced by the project and/or have been identified as most susceptible to change associated with the project, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures;
- **Other Interested Parties (OIP)** – individuals/groups/entities that may not experience direct impacts from the Project but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way; and
- **Vulnerable/disadvantaged Groups** – groups/persons who may be disproportionately impacted or further disadvantaged by the project as compared with any other groups due to their vulnerable status and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project.

3.1. Project Affected Parties (Primary Stakeholders)

Project affected parties include all beneficiaries and the local communities who are expected to be targeted directly or indirectly by HCP project interventions. Effective consultations and other stakeholder engagements with the project affected parties will be conducted by the project coordination bodies once the implementing agencies have been engaged and throughout the implementation and monitoring and evaluation of the project. As the project aims to improve basic services nationally, it targets vulnerable groups of the community in the PforR and IPF components of the project.

Identification and analysis of the target population and beneficiaries under the IPF component is presented below in Table 2. The IPF component of the HCP is targeted to provide technical assistance to strengthen systems and capacity for quality service delivery at national, regional, and woreda levels.

Table 2: Direct or indirect target beneficiaries for the IPF sub-components

Sub-component 1:
Protect and improve human capital outcomes in selected high risk, conflict-affected areas: This sub-component will focus on the design and implementation of multisector interventions in high-risk areas, including Tigray, drawing from a menu of services based on area-specific priorities and global evidence.

Stakeholder	Category	Interest/Mandate/Role	Interest Level
Ministry of Finance	Government	Indirect beneficiary from the project outputs and government institution which is responsible to assess and review the situation of essential service delivery in conflict affected and high risk areas, nationally; to lead and coordinate the national level multi-sectorial innovative intervention to essential service delivery for improved human capital outcome in high-risk and conflict affected areas	High
Ministry of Health	Government	Indirect beneficiary from the project outputs and government institution which is responsible to lead and coordinate the national level multi-sectorial intervention in high-risk and conflict affected areas to prevent and treat acute malnutrition and other essential health services	High
Ministry of Education	Government	Indirect beneficiary from the project outputs and government institution which is responsible to lead and coordinate the national level intervention in high-risk and conflict affected areas to support return to school and boost learning outcomes	High
Federal level line Ministries and other stakeholders (MoH, MoE, MoWE, MoWSA, MoA,...)	Government	Indirect beneficiary from the project outputs and government institution which are responsible to follow-up and strengthen the national level intervention of rebuilding of resilient service delivery system in high-risk and conflict affected areas for effective essential service delivery	High
Regional BoFEDs	Government	Direct beneficiary from the project output and responsible to lead and coordinate regional level interventions to rebuild resilient service delivery system for improved human capital outcomes in high-risk and conflict-affected woredas	High
Regional level sector bureaus and other stakeholders (BoE, BoH, BoWE, BoWSA, BoPE,BoA)	Government	Direct beneficiary from the project output and responsible to follow-up and strengthen the regional level intervention of rebuilding of resilient service delivery system in high-risk and conflict affected areas for effective essential service delivery	High
Woreda level administration/council	Government	Direct beneficiary from the project output and responsible to oversight woreda level interventions to rebuild resilient service delivery system for improved human capital outcomes in the woreda	High
Woreda level sector offices (WoF, WoH, WoWE, WoWSA, WoPD, WoA)	Government	Direct beneficiary from the project output and responsible to lead and coordinate woreda level interventions to rebuild resilient service delivery system for improved human capital outcomes in the woreda	High

Stakeholder	Category	Interest/Mandate/Role	Interest Level
Children, female and male students, teachers, students with disability, women, elders and other vulnerable, underserved and destitute community members at the woreda level	Community	Direct beneficiaries from the project outcome and they are subject to the innovative interventions of rebuilding resilient service delivery system for education, health, nutrition and other essential services delivery	High
Third Party Implementers (TPI)	UN Agencies	Indirect beneficiaries from the project outcome and they are responsible to execute activities related to rebuilding of resilient service delivery system for education, health, nutrition and other essential services delivery in high-risk and conflict-affected areas	High
Third Party Monitoring (TPM) Organization/firm	International or National private organizations	Indirect beneficiaries from the project outcome and they are responsible to monitor the implementation of activities related to rebuilding of resilient service delivery system for education, health, nutrition and other essential services delivery in high-risk and conflict-affected areas by third-party implementer	High

Sub-component 2:

Building models for innovation to promote stunting reduction and reduce learning poverty. This component will support technical innovations for effective service delivery in the selected Special Purpose Grant (SPG) pilot woredas

Stakeholder	Category	Interest/Mandate/Role	Interest Level
Woreda administrative/council	Government	Direct beneficiary from the project outputs and government institution which is responsible to oversight the overall coordination of the project and the innovation among different stakeholders at pilot woredas	High
Woreda office of Finance	Government	Direct beneficiary from the project outputs and government institution which is responsible to lead the overall coordination of the project and the innovation among different stakeholders at pilot woredas	High
Woreda education offices/schools	Government	Direct beneficiary from the project outputs and government institution which is responsible for innovation to promote reduction of stunting and learning poverty at woreda level	High
Woreda health offices	Government	Direct beneficiary from the project outputs and government institution which is responsible for innovation to promote reduction of stunting and learning poverty at woreda level	High
Woreda water and energy offices	Government	Direct beneficiary from the project outputs and government institution which is responsible for innovation to promote reduction of stunting and learning poverty at woreda level	High
Woreda women and social affairs offices	Government	Direct beneficiary from the project outputs and government institution which is responsible for innovation to promote reduction of stunting and learning poverty at woreda level	High
Children, female and male students, teachers, students with disability, women, elders and other	Community	Indirect beneficiaries from the project outcome and they are subject to the innovative technologies, SBCC materials and audio-visual learning programs, science laboratories, professional developments, incentives and household level service packages	High

Stakeholder	Category	Interest/Mandate/Role	Interest Level
vulnerable, underserved and destitute community members at the woreda level			

Sub-component 3:

Strengthening system and accountability for improved service delivery: This sub-components aims to strengthen the multi-sectorial coordination and data measurement capacity to improve service delivery, to strengthen Public Financial Management (PFM) and to support program management coordination, monitoring and evaluation

Stakeholder	Category	Interest/Mandate/Role	Interest Level
Ministry of Finance	Government	Direct beneficiary from the project output and responsible to lead and coordinate strengthening of the national level systems and capacity of multi-sectorial coordination and data management for quality delivery of the basic services	High
Federal level line Ministries and other stakeholders (MoE, MoH, MoWE, MoWSA, MoA, MoPD, ESS)	Government	Direct beneficiary from the project output and responsible to strengthen the federal level systems and capacity of multi-sectorial coordination and data management for quality delivery of the basic services	High
Regional BoFEDs	Government	Direct beneficiary from the project output and responsible to lead and coordinate strengthening of the regional level systems and capacity of multi-sectorial coordination; data management; PFM; project planning and budgeting; and monitoring and evaluation for improved delivery of the basic services	High
Regional level sector bureaus and other stakeholders (BoE, BoH, BoWE, BoWSA, BoPE,BoA)	Government	Direct beneficiary from the project output and responsible to strengthen the regional level systems and capacity of multi-sectorial coordination and data management for quality delivery of the basic services; to strengthen the PFM at regional level and enhance woreda level capacity in planning, budgeting, rigorous impact evaluation, operational and fiduciary oversight; and to strengthen program management capacity	High
Woreda level administration/council	Government	Direct beneficiary from the project output and responsible to oversight woreda level capacity strengthening of the PFM and enhancing the capacity of need prioritization; planning and budgeting; and quality data collection, verification and utilization for improved basic services delivery	High
Woreda level sector offices (WoF, WoH, WoWE, WoWSA, WoPE, WoA)	Government	Direct beneficiary from the project output and responsible to lead and coordinate woreda level capacity strengthening of the PFM and enhancing woreda level sectors' capacity on needs prioritization;	High

Stakeholder	Category	Interest/Mandate/Role	Interest Level
		multi-sectoral planning and budgeting; and quality data collection, verification and utilization for improved basic services delivery	
Community members/ Vulnerable groups and underserved communities	Community	Indirect beneficiaries from the outcome and subject to the quality basic services delivered due to sectors' strong PFM; planning and budgeting capacity; project management and monitoring and evaluation capacity and strong multi-sectoral coordination	High

3.2. Other Interested Parties

Other interested parties are stakeholders with an interest in the project activities or outcomes. Table 3 below identifies these groups and describes their expected project engagement.

Table 3: other interested groups

Stakeholder	Category	Interest	Component	Interest level
Schools	Government	These represent teachers and students' interests at national, regional and woreda level, and are critical to aspects of cooperative mobilization and consultation with respective government structures for more enabling policies and frameworks for quality basic service delivery	1,2,3	Medium
Health Sectors/facilities	Government	These are responsible to cooperate and mobilize resources to strengthen a system and structures for more enabling policies and frameworks for quality basic service delivery	1,2,3,4	Medium
Health extension workers, teachers, students, teachers' association, parent-student-teachers committees	community	These are formal and semi-formal community institutions responsible for supporting the planning, implementation and M & E of regional and woreda level project activities, and therefore critical in community sensitization and in discussions on project component implementation	1,2,3	Medium
International NGOs, local and national CSOs and NGOs operating in the health, education, WASH	Non-government	These are formal structures with seasoned invaluable experience in the successful delivery of a wide range of basic services, their networks, delivery systems, resource and knowledge of the complex community dynamics and interests will need to be tapped for use by the project	1,2,3	Medium

Stakeholder	Category	Interest	Component	Interest level
and livelihood sectors				
WBG	Non-government	Donor	1,2,3	High
Other UN agencies (WHO, UNICEF, UNDP, UNWOMEN, WFP, UNFPA)	Non-government	All UN organizations working in project locations are stakeholders and close coordination would add value for the capacity development, system strengthening for execution of quality basic service delivery	1,2,3	Medium

3.3. Vulnerable/disadvantaged Individuals/ Groups

These are stakeholders that are considered to face challenges in participation or accessing project information, activities or benefits, by virtue of their circumstances. These could be groups/persons who may be disproportionately impacted, or further disadvantaged, by the project as compared with other groups due to their vulnerable status and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project. Table 4 below identifies these groups and describes the additional support they require.

Table 4: Disadvantaged / vulnerable individuals or groups

Vulnerable/disadvantaged group	Limitation to participation in/consultation	Additional support/resources to be made available
Women and girls	Due to customary laws and having disadvantaged positions in the community, women and girls have low representation in decision-making and political processes. As a result, local and community-based decisions do not consider to the unique needs and capacities of women and girls. This produces a ripple effect on opportunities for basic services like health, education, WASH and food supply opportunities. The risk of sexual violence negatively affects women's ability to access the basic services.	Work through female community representatives in the project areas to identify suitable venues and timing for dedicated consultations and support for childcare. Provide safe spaces to discuss GBV-SEA and provide information on Grievance Redress Mechanism (GRM) and relevant referral pathways.
Female-headed households/widows	Women suffer greater food insecurity due to their cultural and social roles as caregivers and they may forego or pass on food within families.	
Persons with disabilities (PWDs) and their caregivers	The main challenges faced by people with disabilities are access to basic services such as water, sanitation and hygiene and discrimination that hinders their participation in social, political and economic life. Women with disabilities experience higher levels of physical, psychological and sexual violence.	All venues for consultations, workshops and meetings should be selected with a view to facilitate physical access for PWD. Where necessary avail sign-language interpreters.

Vulnerable/disadvantaged group	Limitation to participation in/consultation	Additional support/resources to be made available
Internally Displaced People (IDPs)	IDPs are likely to encounter challenges in accessing basic services	They will be kept informed about meetings and consultations via other community members in the area, and potentially through radio and notice at public places. Meetings will only be held during daytime in view of security concerns.
Elderly men and women with and without disabilities	Constrained mobility due to age or disability and health issues with low access to basic services	Accessible venues for meetings, flexibility of time and venue for meetings, minimize and shorten meetings at convenient time, meet at homes/shelter, use partner NGOs for consultation and information written documents should be easy to read and understand
Street children with or without disabilities	Lack basic needs such as food and drinks and may suffer from health issues including mental health and different disabilities, they are vulnerable to violence and exploitation, their high mobility challenges sustained consultation.	Ensure child protection protocols are in place and followed by all in contact with children, use professional assistance /social workers for communication, use experienced child participation facilitator, and assist addressing immediate needs first.
Underserved traditional local communities	Distance to meeting, seasonal mobility	Accessible venues for meetings, flexibility of time and venue for meetings, use of local language and culturally appropriate setting applied to get the required input and ensure that TA on services provided is appropriate

4. Stakeholder Engagement Plan (SEP)

4.1. Purpose and timing of stakeholder engagement plan

Project preparation has relied significantly on national level stakeholder engagement in order to gain understanding of the needs of the project beneficiaries, as well as existing capacities and coordination mechanisms at national, regional and woreda levels.

The overall objective of this SEP is to define a program for stakeholder engagement, including public information disclosure and consultation, throughout the entire project cycle. It will be refined and adapted periodically as necessary as the project implementation progresses.

This SEP will have the following purposes in the life of the project cycle:

- a) Describe the ways in which the project team will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about any activity related to the project.
- b) Support project activities related to a communication, mobilization, and community engagement campaign to raise public awareness and knowledge on reduction of stunting and leaning poverty among the general population.

- c) Contribute to strengthening the capacities of local government and community structures in disseminating and promoting stunting and learning poverty reduction messages.
- d) Adapt project interventions to evolving needs of the project affected and other interested groups
- e) Ensure the coordination between implementers: government, non-government and community structures
- f) Provide transparent and accountable mechanisms on all aspects of project implementation and monitoring; and
- g) Ensure the meaningful participation of members of vulnerable groups from project affected communities in the consultation process and enjoy project benefits.

4.2. Stakeholder Engagement/consultation strategies

To ensure proper engagement of stakeholders at national, regional and woreda levels the Federal Ministry of Finance and its regional and woreda level bureaus will play a leading role and coordinate the efforts of other stakeholders in their respective administrative levels. They will organize project appraisal and launch meetings on a national level as well as organize meetings in each project implementing regions and woredas with leaders, PAPs, and other interested parties.

A range of consultations with different stakeholders such as teachers, students, men and women (including vulnerable households) and representatives of underserved communities will be conducted and documented using various methods such as FGDs, one-on-one discussions, and consultations to better understand needs, expectations, and concerns of these groups in relation to the project with serious consideration of COVID-19 safety protocols. Public gatherings will be avoided—including public hearings, workshops and community meetings—and direct interaction between project agencies and beneficiaries / affected people will be minimized. However, small group sessions, such as focus group meetings with a maximum of four people, can be conducted. Other means of communications or alternative media platforms include community radios; radio and TV channels, radio and TV airtimes owned by key stakeholders; notice boards of key stakeholders; notice boards in public places (market places, religious worship areas, social gatherings); street billboards; brochures and booklets for those who can read; and via SMS, WhatsApp and Viber message for those who have an access will be widely utilized to disseminate basic information regarding the project activities.

Meetings in each of the regions/woreda and kebele will also be organized on timely basis based on the agreement reached on the initial meetings. Table 5 provides detail engagement techniques, target audience and timeframe. The project will ensure that consultation activities will be conducted to enable meaningful communication, consultation, and discussion among stakeholders.

Table 5: Methods for Stakeholder Engagement

Engagement Technique	Description and use	Target audience	Timeframe
Committee meetings	Project high level steering committee meeting will be conduct at the federal level to oversight the overall coordination and implementation of the project activities and project technical committee meetings will be held at all levels to follow-up, lead and coordinate the project implementation and M & E activities	Federal level line ministries and development partners, regional and woreda level sectors and partners	Steering committees – on quarterly basis and technical committees monthly
Joint review meetings	Set joint review meetings with all stakeholders to follow-up whether the project is on the right truck or not and to adjust and make timely correction	Federal level line ministries and development partners, regional and woreda level sectors and partners	On quarterly basis
Internet/ Digital Media/ Websites	Publish all relevant project related documents like project appraisal document, environment and social assessment, stakeholder engagement plan and others on official websites/Facebook account and telegram channel of the line ministries and regional and woreda level offices and the World Bank, to disseminate information related with the project activities	All stakeholders and other interested parties that have access to the internet resources	Throughout the project
Media announcements	Advance announcements of the start of major project activities, project Grievance Redress Mechanism, and other outreach needs of the project, e.g., calls for bidding of billboard and brochure design and publication.	Project-affected stakeholders and communities	Throughout project implementation
Community / public meetings	Until full control of COVID-19 and as things get back to normal, public gatherings will be avoided and all meetings should respect national safety guidelines to COVID-19. However, small-group sessions, such as focus group discussions with a restricted number of people, can be conducted to provide general information on the project and its components and subcomponents, activities that are planned by the project, and project environmental and social risks and mitigation measures. Such meetings also will be conducted to provide regular updates on implementation progress to local, regional and national stakeholders.	Project affected stakeholders/communities	On quarterly basis
Correspondence by phone/ email/ written letter	Share project information to government officials, organizations, agencies and companies and invite stakeholders to meetings	Government officials, NGOs, CSOs, CBOs, teachers' associations students, Parent-Student-Teachers committees (PSTCs), Development Partners	On quarterly basis
Printed media advertisement	This will be used to disseminate and disclose project documents intended for general readers and audience. Advertise project procurements, as applicable	General public	Twice in a year or more as required
Distribution of printed public materials: Project information leaflets,	This will be used to convey general information on the Project and to provide regular updates on its progress to local, regional and national stakeholders.	General public and project beneficiary	Twice in a year or more as required

Engagement Technique	Description and use	Target audience	Timeframe
brochures, fact sheets			
One-on-one interviews	This will be used to gather views and opinions on project impacts and solution	Vulnerable individuals, CSOs, NGOs etc.	By the end of the budget year
Workshops	Due to COVID-19 workshops will be conducted with limited number of people or virtually. The workshops will be used to: present project information; to collect stakeholders' views and opinions; to analyze information; and to develop recommendations and strategies	Government, NGOs, CSOs, teachers' associations students, PST committees	On quarterly basis

Stakeholder engagement is a continuous process and depends on the needs of the project. The table below (Table 6) outlines key stakeholder engagement activities at key stages in the project cycle preparation, launch, implementation and closing. Responsible agents for consultation at each stage also take the task of integrating the feedbacks from these consultations to inform project at each key stages. A combination of the methods above will be used to engage different stakeholders.

Table 6: Stakeholders engagement activities and timing

Project Stage	Engagement activity	Objective	Target stakeholders	Timeframe
Project Design	National stakeholder consultations	Collect views on the design of the project, target beneficiaries, environmental and social risks, mitigation measures, grievance redress mechanisms and Stakeholder engagement plan.	Representatives of Government, Agencies and Departments Responsible for Implementation of the Project, Development Partners, and NGOs.	During the preparation stage
	Region/City level Stakeholder consultations	Collect views on the design of the project, identification of target beneficiaries, environmental and social risks, mitigation measures, grievance redress mechanisms and Stakeholder engagement plan.	Regional/ City Administration, City Councils, Municipal Offices, sector bureaus (BOFED, BoWSA, BoWE, BoH, BoA), schools, PST committees, development partners and NGOs	During the preparation stage
	Community level Stakeholder	Collect views on the design of the project, targeting of project beneficiaries environmental and social risks, mitigation measures, grievance redress mechanisms and stakeholder engagement	Ordinary members of the community, target beneficiary groups, such as women, youths, the elderly and disabled, Members of NGOs, CSOs, Community Organizations, Religious Leaders,	During preparation stage
Project Launch	National project Launch workshop with representatives of implementing agencies from participating regions	Awareness of stakeholders on key project features aspects including safeguard issues, roles and responsibilities and roll out plans	National project launch: MoF, MoE, MoWSA, MoWE, MoPD, ESS, MoA and regional counterparts, NGOs, Development Partners, donors	Launching of project
	Regional/ Woreda administration project launch workshop	Explain key project features including Environment and social safeguard issues, roles and responsibilities of each stakeholder, communication to beneficiaries and public	regional administration, woreda level offices of finance, education, health, agriculture, plan and economy, Iddir and neighborhood associations, NGOs, residents, school directors and health service providers, elders, religious	Launching of project

Project Stage	Engagement activity	Objective	Target stakeholders	Timeframe
			leaders, community leaders, CBOs, PST committees	
Project Implementation	Community /public mobilization and consultation	Mobilize and prepare target communities for project implementation, provide specific information on project plan, clarify expectations, agree on effective means for communication and outreach	regional and woreda administration, woreda level offices of finance, education, health, agriculture, plan and economy, Iddir, community associations, NGOs, residents, school directors and health service providers, elders, religious leaders, community leaders, CBOs, PST committees, students, teachers	At the start of implementation of the project and will continue on quarterly basis
	Project implementation monitoring and supervision missions	Provide and obtain on going information on project performances	National, regional, city/town, and community level stakeholders	Ongoing on quarterly/monthly basis throughout the project period
	Project review meetings with selected stakeholders	Provide and collect periodic feedback on project implementation progress and identify and discuss new and emerging issues,	Regional and woreda level sector offices, NGOs and CBOs, PST committees, students, teachers	Quarterly throughout the project period
Project Closing	Project closeout meetings	Engage stakeholders on project exit strategy	Regional and woreda level administrations and local level stakeholders and beneficiaries	End of the project

4.3. Proposed strategy for information disclosure

Information disclosure for the stakeholders depends on the stage of the project and stakeholders' information needs. These include information on the nature of the project design, target beneficiaries, anticipated environmental and social risks and impacts, proposed mitigation measures, stakeholder engagement plan, and grievance redress mechanisms. A combination of methods shall be used to disclose project related information to different stakeholders.

Information disclosure to the beneficiary communities and other interested parties may vary depending on the regional and local context, including the global and national dynamic nature of COVID-19. At the federal and regional level, disclosure of information shall be made through workshops and meetings with representatives of the various ministries and relevant agencies, development partners, indirect interested parties and representatives. Information disclosure at the woreda/community level will consider literacy levels and language differences. Considering the existing situation, information disclosure for stakeholders will rely on the following key methods: community radio broadcasting, community meetings in coordination with local authorities (regional and woreda level governments, community structures like Idirs, traditional leaders like Aba Geda, Siqqe, etc.), phone communication (SMS), and notices at public places (marketplaces, religious worship places, public social gatherings). Local authorities—such as traditional leaders, religious leaders, and woreda level administrative—will be requested to inform communities in community meetings and through disclosure at project locations.

Information disclosure to stakeholders includes disclosure of key project documents and reports of previous stakeholder’s consultation meetings including agenda, participants, main issues raised, and conclusions reached and proposed dates for next consultation meeting. The information disclosure shall be conveyed through appropriate means and depending on targeted stakeholder audience. The following table (Table 7) will explain information disclosure methods at different stages of the project.

Table 7: Summary of key methods for information disclosure at different stages of the project

Project stage	List of information to be disclosed	Methods proposed	Tentative schedule	Target stakeholders	Responsibility
Project Design	Project design summary, Stakeholder Engagement Plan, Environmental and Social Commitment Plan, Grievance Redress Mechanism setup	Community Meetings, Focus group Events, and Special Gatherings	Project preparation period at selected community venues	Members of target communities in target woreda/ community	Project Preparation team in collaboration with concerned offices
		Community radios, regional and city FM radios and National/regional Radio and TV stations	After the Bank’s Approval	Community members in target woreda/ community	Project preparation team and implementing agencies and offices
		Make available printed and electronic copies at National, Regional/City and Woreda/kebele level focal offices as well as online portals	After the Bank’s Approval	National and woreda level stakeholders	Project implementing agencies and offices
Project implementation	Project Progress Reports	Review Meetings A short summary/ of annual report in simple and accessible language to local communities and media Focus group feedback sessions with most vulnerable Interviews and one on one meetings	Annually throughout the project life span	Stakeholder representative at national, city and community level	Project coordination unit with joint review committee
		Any project-related information (on activities, beneficiary selection, GRM, etc.)	Community meetings, radio, mobile phone, email, website	Annually throughout the project life span	Stakeholder representative at national, city and community level

4.4. Strategies for engagement of vulnerable groups

MoF and other implementing organizations at the federal, regional and woreda/community level will ensure that women, elders, persons with disabilities, street children, and other members of vulnerable groups are participating effectively and meaningfully in consultative processes and that their voices are not ignored. This will require specific measures and assistance to create opportunities for meetings with vulnerable groups in addition to general community consultations. For example, women are usually more outspoken in women-only meetings than in general community meetings. Similarly, separate meetings need to be held with young people, elders, persons with disabilities and street children.

Engagement of vulnerable groups needs appropriate and clear methods of communication to inform participants about the consultation meetings. This will include invitation letters and direct contact by social workers with specific information about the objective of the meeting and types and number of community stakeholder groups expected to come.

Adequate consideration should be given to organize meetings within manageable distances for people with walking or physical challenges due to old age or physical disability. Consideration also required for individuals who might need assistant or interpreter due to visual and hearing challenges. In cases where necessary, one-on-one interviews and surveys will be used to ensure the inclusion of views and concerns of vulnerable beneficiaries. Moreover, the project will ensure that all consultations are culturally appropriate.

During the consultations, verbal consent shall be sought from meeting participants before starting recording of the proceedings. Comment/suggestion boxes shall also be prepared and placed in designated places within close reach of the communities to enable them to submit their views and reactions after information disclosure meetings.

After completion of consultations, all views expressed by stakeholders will be carefully noted, documented in the consultation summary and considered, including those of disadvantaged or vulnerable groups.

4.5. Review and Integration of Stakeholder Consultations

The MoF and other project components and sub-components implementing organizations at the federal, regional, woreda and community level will gather all comments and inputs originating from community meetings, SMS, GRM outcomes, surveys and FGDs. The information gathered will be submitted to the project coordination unit, specifically to the Social and Environmental Specialists, to ensure that the project has general information on the perception of communities, and that it remains on target. It will be the responsibility of the IPs/TPIs to respond to comments and inputs, and to keep open a feedback line to the communities, as well as the local authorities.

4.6. Timelines

The planned Human Capital Project will be implemented for duration of five to ten years. The stakeholder consultations shall be conducted throughout the project lifecycle. It was conducted during the preparation of the project and will be conducted throughout project implementation. Information disclosure and consultations during project implementation will include monthly visits and meetings with community leaders and regular meetings with regional, woreda and community authorities and other concerned stakeholders. Activities under each sub-component will include further consultations prior to its initiation to ensure a good selection of beneficiaries, transparency and accountability on project modalities, and to allow community voices to be the basis of the design of every project intervention.

5. Grievance Redress Mechanisms (GRM)

The main objective of a Grievance Redress Mechanism (GRM) is to help resolve complaints in a timely, effective and efficient manner. Project-level GRMs can provide the most effective way for people to raise issues and concerns about projects that affect them. The project-level GRM will be culturally appropriate, effective, accessible, and transparent, and should be known to all. Different ways will be used to submit the grievances including in person, through suggestion box or by phone to the grievance redress committees (GRC) established by the project at local levels (kebele/woredas/community level) and to the nearest focal points of IPs (including the TPI) or police. The complaints will organized and submitted to the woredas/kebele council and then to the GRM focal person at the Service Delivery Secretariat(SDS) and project management/lead. There will be an awareness raising campaign planned for the affected communities about the presence of the GRM and inform their right to file any concerns, complaints and issues they have related to the HCP. The GRM provides a transparent and credible process for fair, effective and lasting outcome. It also builds trust and cooperation as an integral component of broader community consultation that facilitates corrective actions.

There will be also a GRM guideline developed and implemented by the project implementing organizations with detailed information about the procedure, timing, referral system, etc. The project will have a Grievance Redress Committees (GRCs) established at the woreda/community level comprises representatives from woreda administration, core implementing organizations, community structures or support groups, elders, teachers' associations, students, women and girls, and other vulnerable groups. The GRCs will be responsible to create awareness on the GRM to implementers and beneficiaries; receive complaints on project related grievances including sexual harassment and abuse (SHA) and forward to an appropriate body as well as through referral systems as necessary; work on provision of responses including safety planning; communicate with stakeholders and authorities who are working on the cases and follow up on the outcome; and report monthly to the project coordination unit/management regarding implementation of the GRM. Resources will be allocated for the GRM in the project. The following figure (Figure 1) summarized the procedures and referral system of the project level GRM.

Figure 1: GRM flowchart

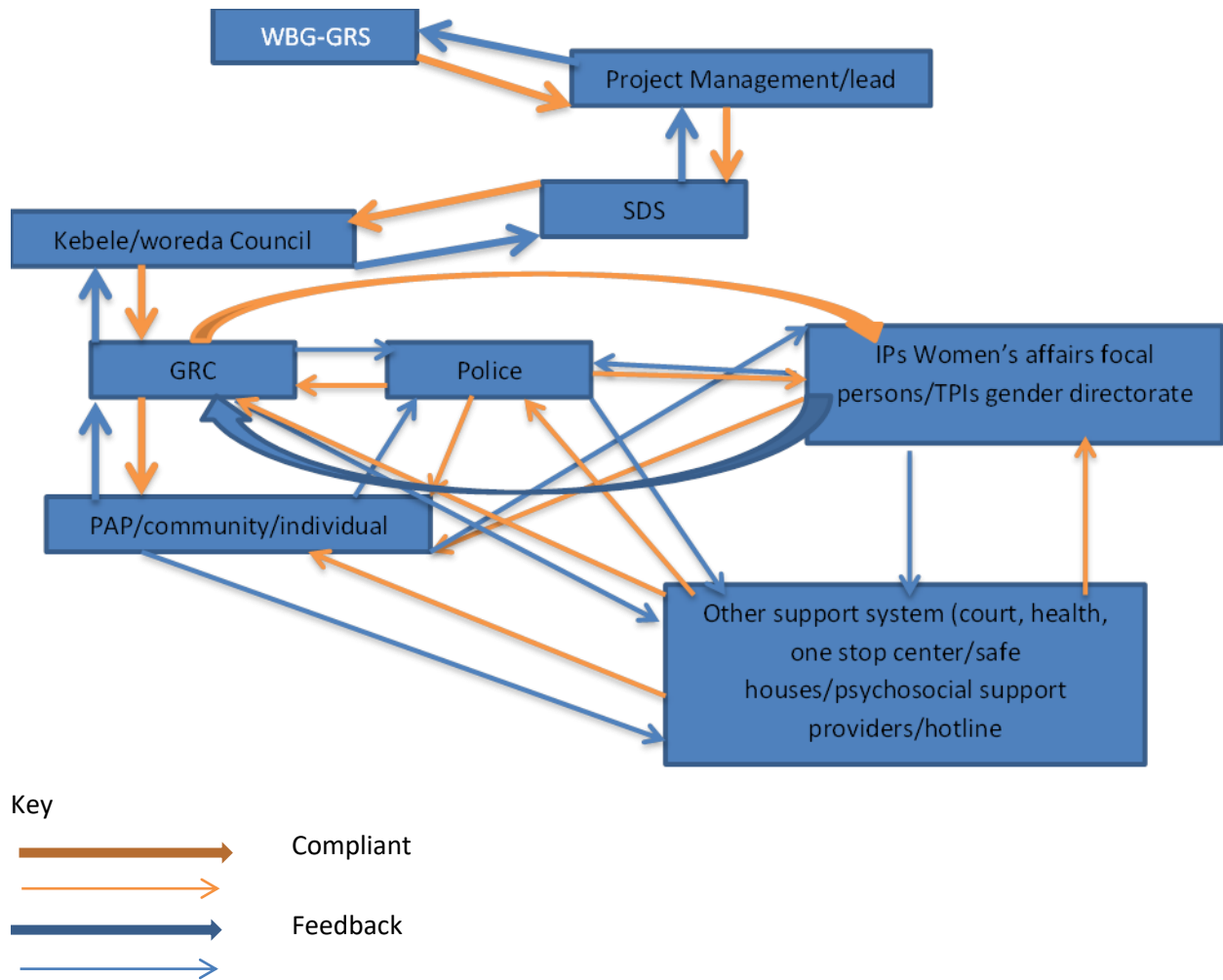


Table 8: Synthesis of Actors and responsibilities within the Project GRM

Actors	Responsibilities within Project GRM
Grievance redress Committee (GRC)	<ul style="list-style-type: none"> • Intake of complaint and feedback • Report and refer to woredas/kebele council, PCU and E&S Risk Specialists • Corrective measures definition and implementation with prior agreement of PCU • Sensitize communities and beneficiaries prior to any activity's implementation on GRM channel and rights
Woreda/kebele council	<ul style="list-style-type: none"> • Assist in establishing and ensuring the effective operation of the GRC • Review unresolved appeals from GRC
IP's Women's affair desk/focal points (TPIs in high-risk and conflict-affected areas)	<ul style="list-style-type: none"> • Intake of feedback and complaint from the community and report to police, GRC or other support systems (court, safe house, one stop center) • Respond and contact with the Complainer
Police	<ul style="list-style-type: none"> • Intake of complaint

Actors	Responsibilities within Project GRM
	<ul style="list-style-type: none"> • Report to GRC and women’s affairs focal point • Solution proposal including the justice, health, psychosocial support
SDS	Record complaints from all channels <ul style="list-style-type: none"> • Referring complaint to respective Project Technical Officer and other support systems
Project management	Assess Complaint and Corrective measures definition Report to WB Decision making
Other support systems	Monitoring of Complaints and feedback Triangulation of complaints through different channel Provide necessary supports Reporting to Project Coordinator and M&E Officer
PAP/Community/individual	Report incident to GRC, police, or women’s affairs desk
WB - GRS	Appeal and parallel Grievance system

WB’s Grievance Redress Service: Stakeholders 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. Information on how to submit complaints to the WB’s GRS is available at <http://www.worldbank.org/GRS>.

5.1. Grievance resolution process

Information about the GRM will be shared during the community gatherings, and information and communication materials will be displayed in public spaces such as government offices. Information about the GRM will also be posted on the HCP webpage at MoF, SDS and regional and woredas level bureaus of finance.

The overall process for the GRM will comprised of steps to uptake, sort, verify and resolve and provide feedback on the complaints related to disagreement with decisions passed by program implementers; dissatisfaction with the quality of implementation; transparency and right based issues; and GBV related cases.

Step 1: Uptake. At the community level, project affected parties (PAPs) will be able to provide feedback and submit complaints through the Grievances Redress Committees (GRC), which is comprised of several focal persons from the woredas/kebele level government structures and community representatives. A member of the GRC will be available at woredas/kebele office to receive and resolve grievances reported in person or grievances referred from the police or women’s affairs focal persons of IPs at woredas/kebele level. Standardized intake forms for acknowledgement receipt and grievance listing will also be developed and distributed.

Step 2: Sorting and processing. Complaints and feedback will be compiled by the assigned GRC member and recorded in a register. The project will support the development, translation, and program-wide distribution of a GRM manual.

Step 3. Acknowledgement and follow up. The project will establish a system under the GRC to facilitate more timely and proactive follow up of cases. Standardized intake forms for acknowledgement receipt and grievance listing will also be developed and distributed.

Step 4. Verification, investigation and resolution. The GRC will be responsible for collecting additional information and investigating through field visits, consultation with community elders and residents and cross-checking documents (PIM, HCP GRM Manual). A template document will be provided to the GRC so that they can document their verification, investigation and resolution process.

The GRC will give resolution to the appeals and send a listing of the cases to the SDS and Kebele/Woreda level police, women’s affairs focal persons and other institutions in the support system for further investigation and verification and then the appeal will forward to the Woreda level project lead for implementation.

Step 5. Feedback and Monitoring and Evaluation. The GRC will inform the grievant about the resolution of their appeal and their right to escalate the appeal if they are not satisfied with the decision.

5.2. Grievance Logs

GRCs will maintain grievance logs to regularly collect and submit copies of complaints. The grievance logs will include the following information please also see the annexed logs.

- Individual reference number
- Name of the person submitting the complaint, or other feedback, address and/or contact information (unless the complaint has been submitted anonymously)
- Details of the complaint or feedback
- Date of the complaint
- Name of committee person who registered the complaint (acknowledge to the complainant, investigate, propose resolutions, etc)
- Details of proposed resolution, including person(s) or body who will be responsible for authorizing and implementing any corrective actions that are part of the proposed resolution
- Date when proposed resolution was communicated to the complainant (unless anonymous)
- Date when the complainant acknowledged, in writing if possible, being informed of the proposed resolution
- Details of whether the complainant was satisfied with the resolution, and whether the complaint can be closed out
- Date when resolution is implemented (if any, whether successful or otherwise. If unsuccessful, reason it wasn’t resolved).

6. Resources and Responsibilities for Implementing Stakeholder Engagement Activities

6.1. Human Resources

Stakeholder engagement is a core strategy to the project interventions, and will be the daily responsibility of project staff working at the community level when facilitating the organization of groups and other activities. Therefore, all human resources mobilized by the project (WB and implementing partners; MoF and line ministries and respective regional and woreda level offices) will be primarily engaged in the process on an on-going basis. The assigned qualified full time social development specialists at MOF and E & S focal persons under basic sectors at national, regional and woreda level will be responsible for the implementation of project components and sub-components including the stakeholder engagement Plan groups.

6.2. Budget

The MOF has allocated 187,000USD for the SEP implementation. Budgetary resources will be dedicated to the facilitation and implementation of the SEP and GRM through the entire project period. While this is an overall budget for the project coordination unit to implement and monitor the SEP by MoF, other line ministries can dedicate budget resource to strengthen the stakeholders engagement as part of the integral project costs .

A tentative budget for the SEP implementation is reflected in Table 9. This table will be updated to include all stakeholder activities, including workshops, trainings, and program review and monitoring activities.

Table 9: SEP activities and budget for 5 years

SEP Activities	Quantity	Frequency	Unit Cost (USD)	Total Cost (USD)
Establish HCP Steering Committee at federal level	1	1	-	-
Establish Multisectoral Technical Committees at federal and regional level	9	1	-	-
Project launch at national level	1	1	8,000.00	8,000.00
Project launch at regional level	8	1	6,000.00	48,000.00
SEP focal person recruitment at federal level	1	5	12,000.00	60,000.00
Training for project and government staff at all levels on SEP and GRM	3	3	2,000.00	18,000.00
Community awareness on HCP and GRM at regional and woredas level	8	3	2,000.00	48,000.00
Prepare and dispatch Information and Communication materials	lump sum	5	1,000.00	5,000.00
Total				187,000.00

6.3. Management functions and responsibilities

The implementation arrangement for the project is based on the decentralized government structures of Ethiopia at the national, regional/city, woreda/kebele and community levels. At national level, the implementation of the SEP shall be coordinated by MoF Channel One Programs Coordination Directorate (COPCD) through the recruited stakeholder engagement focal person in collaboration with the established Service Delivery Secretariat (SDS). The SDS will comprise qualified and experienced persons including social risk management specialists drawn from the program implementing agencies including MoF, MoWSA, MoE, MoWE, and MoPD At the regional/city and woreda level, the assigned environmental and social focal persons will be responsible to facilitate the implementation of the Stakeholder Engagement Plan.

The implementation and monitoring and evaluation activities of the project in high-risk and conflict-affected areas will be led by a contracted or sub-contracted third party implementer and third party monitoring organization or firm. The MoF will be responsible in selection and oversight of the third party implementers and monitoring organizations' performance in the identified high-risk and conflict-affected areas.

To implement the various activities envisaged in the SEP, the Stakeholder Engagement Focal Person will need to closely coordinate with other key stakeholders, including other government ministries, regional and woredas level stakeholders and the SDS. The roles and responsibilities of these stakeholders are summarized in Table 10 below.

Table 10. SEP roles and responsibilities of stakeholders

Stakeholder	Structural level	Responsibilities
Ministry of Finance – Channel One Program Coordination Directorate	National Level	<ul style="list-style-type: none"> • Establish the Service Delivery Secretariat (SDS) for HCP • Overall implementations and coordination with support of gov't agencies and sectors • Planning and implementation of the SEP (lead all related activities) • Management and implementation of program GRM • Monitoring and reporting on social performance to GoE and WB • Select and recruit TPI and TPM for the activities implemented in the selected high-risk and conflict-affected areas • Assign Stakeholder Focal Person to manage HCP stakeholder engagement and monitor the management, resolution, and reporting of grievances by communicating with the regional GRM focal person
Regional Bureaus of Finance	Regional level	<ul style="list-style-type: none"> • Coordinate stakeholders' engagement at regional level • Monitoring and reporting on gender and social development performance to MoF • Transmit and resolve complaints caused by the project interventions in close collaboration with woredas/kebele level BoF • Assigns GRM focal person to monitor the management, resolution, and reporting of grievances. This focal person will be responsible for receiving the list of appeals and resolutions from the woreda level and transmitting them to the federal GRM focal person.
Woreda level Bureaus of Finance	Woreda level	<ul style="list-style-type: none"> • Oversight the TPI and TPM engagement in the high-risk and conflict-affected woredas • Participate in the implementation of assigned activities in the SEP;

Stakeholder	Structural level	Responsibilities
		<ul style="list-style-type: none"> • Provide report on all grievances submitted to the GRM to the Regional GRM focal person; • Make available project information (brochures, flyers) and GRM procedures to the public. • Provide guidance for the formation of the GRC • Support awareness-creation activities
Steering Committee	National level	<ul style="list-style-type: none"> • Provide operational oversight, track performance, and strengthen inter-ministerial coordination
Technical Committees	federal, regional, and woreda/city level)	Provide operational oversight, track performance, and strengthen inter-ministerial /bureau/office coordination.
Woredas/kebele level Councils	Woreda/kebele Level	<ul style="list-style-type: none"> • Assist in establishing and ensuring the effective operation of the GRC • Review unresolved appeals from GRC • Assist in resolving escalated and unresolved appeals
Grievance redress committee (GRC)	Community level	<ul style="list-style-type: none"> • Receive grievances • Provide a listing of the grievances received and their resolution to the Kebele Council and Woreda Council
Joint Review and Implementation Support (JRIS) mission.	Federal, regional, and woreda/city level)	<ul style="list-style-type: none"> • Conduct semi-annual Monitoring and Evaluation of the project at national level
Third party implementer (TPI)	Regional and woreda level	<ul style="list-style-type: none"> • Execute resilient system rebuilding for improved human capital outcome in identified high-risk and conflict-affected areas • Provide trainings for frontline experts from education; health and nutrition; agriculture; water and hygiene; women and social affairs and other relevant sectors in the identified high-risk and conflict-affected areas • Support the school reopening and essential service delivery capacity of relevant sectors in the identified high-risk and conflict-affected areas
Third party Monitoring (TPM)	Regional and woreda	<ul style="list-style-type: none"> • Monitor activities implementation of the TPI • Report the monitoring result to the GoE (MoF) and the WB

The central point of contact for the Stakeholders Engagement Plan (SEP) at the Ministry of Finance (MoF) is:

Name: Bekabtu Arwaga Chibsa

Organization: Human Capital Project Coordinator, MoF

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7. Monitoring and Reporting

7.1. Participatory Monitoring

Adequate institutional arrangements, systems and resources will be put in place to monitor the application of stakeholder engagement plan across the whole project. The goals of monitoring will be to measure the success rate of the activities, determine whether interventions have handled negative impacts, identify ideas for improvement of interventions, and whether further interventions are required or monitoring is to be extended in some areas.

The main monitoring responsibilities will be with the PCU, as the administrator of the GRM, and overall project-related environmental and social monitoring and main implementer of the SEP. This will be led by the PCU Environmental and Social Safeguards Officers, with the support of the monitoring officers at the woreda and regional level project implementing units. For the activities implemented by the Third Party Implementer (TPI) in selected high-risk and conflict- affected areas, the Third Party Monitoring (TPM) will be responsible to monitor and report the results to the MoF and WB.

The GRM will be a distinct mechanism that will allow stakeholders, at the community level in particular, to provide feedback on project impacts and mitigation programs. The project will also establish and operate a separate grievance mechanism for all direct and contracted workers to raise workplace concerns, as provided under ESS2.

In addition, the IPs will have their own dedicated means of monitoring impacts, administering mitigating measures and stakeholder involvement in consultation with the PCU and the MoF/WB to ensure consistency in quality. The IPs will share their monitoring plans with the PCU and integrate stakeholder inputs into their regular monitoring and reporting activities. The IPs will report the number, locations and results of their SEP or SEP-related activities to the PCU on a monthly basis.

7.2. Reporting back to stakeholder groups

Results of stakeholder engagements will be reported back to the affected communities, as well as the relevant local authorities and other stakeholders through quarterly project reports produced by MoF. It will be the responsibility of the PCU to ensure that all relevant reporting is shared through the above defined public means. At a sub-component and activity level, IPs will be responsible for disclosing their stakeholder engagement results and relevant reporting on a quarterly basis. All stakeholders will be reminded of the availability of the GRM in case of any issues arising from the reporting.

8. References

1. The World Bank, 2018. Guidance Note for Borrowers: Environmental & Social Framework for IPF Operations: ESS10: Stakeholder Engagement and Information Disclosure.
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3. The World Bank, 2016. World Bank Environmental and Social Framework. Washington, DC.
4. Government of Ethiopia, 2020. Ten Years Development Plan.
5. Government of Ethiopia, 2010. Growth and Transformation Plan I.
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7. Ministry of Labour and Social Affairs, 2016. National Social Protection Strategy of Ethiopia, Addis Ababa.
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9. Federal Ministry of Education, 2015. Education Sector Development Programme V (ESDP V) (2015/16 - 2019/20), Addis Ababa.
10. Federal Ministry of Education, 1991. National Education Policy, Addis Ababa.
Federal Democratic Republic of Ethiopia, 2016. Seqota Declaration Implementation Plan (2016-2030), Addis Ababa.

9. Annex

A. Sample Grievance Logs

i. Registration Form

Contact Details of Compliant	Name:		
	Address:		
	Telephone:		
	E-mail:		
How would you prefer to be contacted?	In Person	By Phone	By email
Details of your comments, grievance, recommendation. Please describe the problem, how it happened, when, where and how many times, as relevant?			
What are the complainant's suggestions to resolve the grievance?			
Details of how Grievance Submitted	In Person:		
	In Writing:		
	By Phone:		
	Other:		
Signature of Complainant(s)		Date:	
Name of Person Receiving Complaint		Date Logged:	

ii. Compliant report Form

Contact Details of Complainant	Name:	
	Address:	
	Tel:	
	E-mail:	
Grievance Number		
Summary of Grievance		
Is the Complaint Project Related?	No	
	Justification: Communication to Stakeholder (information, form and date): Acceptance by Stakeholder: Yes _____ No _____ Yes Cause: Communication to Stakeholder (information, form and date):	
Agreement Reached to Resolve Grievance	Yes _____ No _____ Form of the agreement Next Steps	
Next Steps (either to implement resolution or resolve grievances with dates and responsible parties)		
Signature of Complainant(s)		Date
Signature of Grievance Committee		Date Logged

B. List of organizations and individuals consulted at federal level

Organization's Name	Individual's Name	Position in the Organization	Contact
Ministry of Finance	Ato Demile Yismaw	Sr. Social Protection Specialist, COPCD	0911397784
	Ato Bimerew Alemu	M & E Specialist, COPCD	0911092730
	Ato Berhanu Anbesa	Sr. Expert, International Financial Institutions Cooperation Directorate	
	Ato Girma	Director, Strategic Planning Directorate	
	Ato Bekabtu Arwaga Chibsa	Human Capital Project Coordinator, MoF	cbarwaga@mofed.gov.et +251911120415
Ministry of Health	Dr Ruth Nigatu		0902482948
Ministry of Water and Energy	Ato Abiy Girma	National Wash Coordinator	0911320282
Ministry of Education	Ato Getahun Desalegn	Senior Expert	0911566975
Ministry of Agriculture	Ms Alemtsehay	Director, Food and Nutrition Directorate	0912022143
Ministry of Plan and Development	Ato Kewanie Yibrah	Director, M & E Directorate	0904130811
Ministry of Women and Social Affairs	Ato Muluken Seyoum	Director, of Strategic Planning Directorate	0911535554
	Ato Feleke Jember		0911897179

C. List of organizations and individuals consulted at regional BoFED

Region	Individual's Name	Position	Contact
Amhara	Ato Getachew Cherie	Channel one Coordinator	0911753079
SNNPR	Ato Tarekegn Nuramo	Channel one Coordinator	0911711527
Oromia	Ato Tesfaye Gemechu	Channel one Coordinator	0911866629
Afar	Ato Hussien Ahmed	Channel one Coordinator	0936435304
Benshangul	Ato Getachew Disasa	Channel one Coordinator	0911761186
Gambella	Ato Obang	Channel one Coordinator	0917833834

