

**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**

**Response – Recovery – Resilience for Conflict-affected  
communities in Ethiopia (3R-4-CACE)  
(P177233)**

**Draft Preliminary  
Stakeholder Engagement Plan (SEP)**

**March 2022**

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## 1. Introduction

This document presents a first draft of the Stakeholder Engagement Plan (SEP) prepared as part of the required Environmental and Social (E&S) documentation for the Response – Recovery – Resilience for Conflict-affected communities in Ethiopia (3R-4-CACE)- P177233. This document represents an initial SEP, and it will be updated comprehensively during the course of the project implementation.

Ethiopia is emerging from one of the most devastating periods of conflict the country has faced in recent years. For a year, the country has been subject to an internal conflict in Northern Ethiopia, which has resulted in a major humanitarian crisis. While the exact number of martyrs and victims is unknown, the human losses have been significant. A significant number of citizens have been forcibly displaced as a result of the conflict, and many are in need of humanitarian assistance. In addition to fatalities, injuries and forced displacement, the attacks have also led to loss of livelihoods as well as psychological trauma and sexual abuse of women. Important infrastructure, such as roads and bridges, schools, health facilities, power and communication systems and public buildings, amongst others, has been severely damaged, thereby hindering the provision of basic services. Furthermore, private industry facilities and equipment have been destroyed, stolen and vandalized, and these damages and losses are expected to result in increased levels of poverty and unemployment in the affected regions. Lastly, some religious buildings have been damaged during the TPLF invasion.

Moreover, the Western part of Oromia and some parts of Benishangul Gumuz regions have been vulnerable to violent attacks by armed groups. These violent attacks in the past one year or more took many innocent lives, damaged properties and livelihoods, disrupted basic social services, and forced people to displace from their communities; this has left many dependents on humanitarian assistance and sheltered in displacement camps within and out of the region of their origin. The series of violent attacks have also impacted agricultural activities and private business operations, and disrupted government services. Some parts of the Southern Nations Nationalities and Peoples' regions (SNNPR), such as Konso, also witnessed violent communal conflicts, which led to displacement of communities and damages to livelihood means and public infrastructure just in the last 1 year. The impacts of conflict and displacement have been deeply gendered, including sexual and gender-based violence (GBV/SEA/SH), which have also been reported by IDPs.

To address the humanitarian crisis, the GoE with support of the international community, deployed all possible efforts to address humanitarian needs and restore some essential services, including power and communication lines. To date, Government authorities and humanitarian agencies have been focusing on the provision of humanitarian assistance to IDPs in transit, relocation or resettlement sites. Rapid assessments conducted by local governments and humanitarian agencies have been used as basis for deployment of relief such as food aid, water and sanitation, and temporary shelter as well as cash assistance in specific areas, capacity building at the local government level to support durable solutions (including to ensure that IDPs choices are adequately reflected), addressing drivers of displacement, women's empowerment projects, as well as projects focused on youth employment. At the same time, the Government is starting the process of moving from fragility towards stabilization, reconstruction and development based on good governance, inclusion and national dialogue and reconciliation. The World Bank, together with a number of development partners, is supporting the development of an Impact and Recovery Needs Assessment in support of a National Integrated Recovery and Reconstruction Plan.

The GoE has requested the Bank's support to assist with the recovery efforts. The Response-Recovery-

Resilience for Conflict Affected Communities in Ethiopia (3R-4-CACE) Project will be coordinated by the Ministry of Finance (MoF) and implemented by various line ministries, including inter alia, Ministry of Women and Social Affairs, Ministry of Health and the Ministry of Education, across the affected regions. The Project will support the recovery, of communities affected by the Northern conflict by providing access to basic services, strengthening GBV services and restoring core infrastructure required for a resilient recovery.

The management of the Project's social and environmental risks require the preparation of ESF instruments that will be implemented during the project's life. The project will be required to undertake stakeholder consultations not only for the preparation of environmental and social instruments but across the range of interventions to ensure that stakeholder's views are elicited and that stakeholders are meaningfully consulted throughout the project.

This Stakeholder Engagement Plan (SEP) presents the stakeholder consultation and engagement process for the Project. It describes a systematic approach to engagement stakeholder, thus contributing to the development and maintenance of a constructive relationship with stakeholders throughout the Project's implementation. The SEP also includes a Grievance Redress Mechanism (GRM) for stakeholders to raise concerns about the Project. This instrument was produced in accordance with the World Bank's Environmental and Social Framework (ESF).

The SEP can be updated from time to time during project implementation, to reflect adaptive project management, respond to implementation changes, adapt to unforeseen circumstances and in response to assessment of project implementation performance conducted under the ESCP and SEP itself. And the MoF will promptly disclose the updated SEP.

## **2. Project Description**

### **2.1 Project Object:**

The project development objective (PDO) is to (i) rebuild and improve access to basic services and climate-resilient community infrastructure and (ii) improve access to multi-sectoral response services for GBV survivors, in select conflict-affected communities in Ethiopia.

### **2.2 Project Components**

**Overall Approach:** The 3R-4-CACE project will be implemented during a five-year period (2022-2026) and comprise three components: (i) rebuilding and improving access to basic services and climate-resilient community infrastructure; (ii) improving access to GBV response services; and (iii) adaptive project management. In addition, the project will include a zero-dollar Contingent Emergency Response Component (CERC). Activities will address immediate needs of conflict-affected communities, support post-conflict recovery of services and infrastructure, and strengthen longer-term institutional measures to increase community resilience and sustainable investments.

**Geographic scope:** The project has a national geographic scope. However, considering the conflict damage and needs estimates at appraisal and the project's financial envelope, it will initially prioritize support to the Amhara, Afar, Benishangul-Gumuz, Oromia, and Tigray regions. These regions have been highly impacted by recent conflict, and their damages and losses are currently being assessed jointly by the government, with technical assistance from the World Bank and development partners, via a Conflict Impact Assessment and Recovery and Reconstruction Planning exercise. These regions also host large numbers of IDPs, and are highly vulnerable to the impacts of climate change. During implementation of the project, other regions may

be considered based on resource availability and needs. The Woreda selection process will be articulated in the Project Operations Manual (POM), taking into account: (i) the results of the conflict damage assessment as relevant, including the availability of basic services and community infrastructure and the severity of damages to infrastructure; (ii) the number of IDPs; (iii) complementarity with other donor-funded activities (aiming to avoid duplications); (iv) security and accessibility; and (v) the potential for conflict mitigation. It will be periodically assessed and adjusted during project implementation to be responsive to the evolving conflict context.

**Component 1: Rebuilding and Improving Access to Basic Services and Climate-resilient Community Infrastructure.** Component 1 will support conflict-affected communities' access to basic services and climate-resilient community infrastructure in selected Woredas. The project will finance the provision of rapid response basic services as and when needed to lay foundations for more sustainable support with a focus on health, education, WASH, and other services as feasible. This component will also finance longer-term recovery through establishment, restoration, or rehabilitation of basic services and community infrastructure. The component will aim to address climate and FCV risks and strengthen drivers of resilience and socioeconomic recovery. The project will support response and recovery activities that advance growth and development in the country and address key risk factors that may exacerbate conflict. The implementation of this component will be led by a Federal Project Coordination Unit (FPCU) in MoF. Financed activities will be grouped into the following three sub-components.

***Sub-component 1.1: Community-based Rapid Response Basic Services (Cost: \$53.0 million).*** This sub-component will finance rapid response services to meet the basic needs of selected communities, including vulnerable groups (particularly women). Mobile health response services will include medical assessment, distribution of medicines, and medical services following an approach which builds upon lessons from health interventions recently conducted in the Tigray Region. Education teams will provide informal education support services, for example, through the successfully piloted Read@Home Program and more formal education services with accelerated curricula and community day care services. WASH interventions may encompass provision of potable water via trucks, basic sanitary facilities, and other interventions. Activities will be implemented in coordination with the World Bank-financed Health Sustainable Development Goals Program-for-Results (P123531), General Education Quality Improvement Program for Equity and Additional Financing (P163050/P168829), and the Urban Productive Safety Net and Jobs Project (P169943).

***Sub-component 1.2: Community-based Recovery Activities (Cost: \$151.0 million).*** This sub-component will finance recovery of local infrastructure and services, informed by conflict and climate needs assessments, and prioritized based on the results of community consultations. Ownership of the recovery process, including joint decision-making power by host communities and IDPs alike, will be facilitated through the establishment of Neighborhood Relations Committees (NRCs), with support from the Woreda administration and Mobile Support Teams from the Federal and regional levels. Communities will prioritize and decide on the recovery and rehabilitation investments/sub-projects, to be outlined in community recovery plans at the Kebele level. Recovery plans could include the reconstruction of existing or construction of new community facilities, such as education, health, and WASH facilities, youth clubs, and training centers, as well as related soft investments. The project may also finance inter-Kebele sub-projects that are prioritized jointly by the relevant communities, within a defined financial envelope. Construction and reconstruction of community facilities will take into account current and future climate change risks in the facilities' design, materials, and location

**Sub-component 1.3: Strengthening Institutions for Resilience (Cost: \$6.0 million).** This sub-component will finance capacity strengthening activities to enhance community resilience to the effects of conflict and to current and future climate change impacts. At the Federal level, institutional assessments and technical assistance activities may be financed, while at the Woreda level, capacity enhancement activities will focus on existing local civil servant workforce whose capacity for engaging with communities will be enhanced, and whose standard working procedures and systems for citizen engagement and deployment of rapid resources will be strengthened. At the Kebele level, interventions will focus on strengthening formal and informal community structures.

**Component 2: Improving Access to GBV Response Services (Cost: \$70.0 million).**

This component will primarily finance the strengthening of short- and medium-term GBV response services for survivors of GBV within the targeted regions. This will be complemented by piloting GBV prevention programming, both as a mechanism to encourage service seeking behavior by GBV survivors, facilitate their longer term recovery, and address underlying norms and dynamics that contribute to violence; and strengthening the institutional capacity for policy coordination and delivery for quality, confidential, and survivor-centered care across the country.

The interventions are expected to respond to the multiple needs of GBV survivors to enable short- and medium-term recovery from violence and to strengthen the capacity of vulnerable people to cope with future shocks and stresses, including, among others, those related to conflict and to the impacts of climate variability and change. This component also will aim to address drivers and risk factors that contribute to acceptance and perpetration of GBV that may be exacerbated by conflict, climate events, or other related shocks. Component 2 will be implemented by MoWSA in coordination with relevant government agencies, including MoH, Ministry of Justice (MoJ), the Federal Police Commission, and the Ministry of Education, and in partnership with nongovernment partners, particularly UNICEF. This component's activities will be grouped into the following three sub-components:

**Sub-component 2.1: Expanding and Strengthening GBV Services in Conflict-affected Communities (Cost: \$51.0 million).** Activities to be financed under this sub-component include (i) strengthening of existing and new OSC facilities as needed, including training of OSCs' critical personnel to perform core services (including medical, case management, psychosocial, police, and legal support), and procurement of essential medical supplies and other materials for the OSCs and (ii) expanding and strengthening community-level response and referral mechanisms for GBV survivors through the delivery of essential GBV response services and training of key personnel, including community-based actors, frontline providers, and health personnel in core services, including social services, MHPSS, emergency response, and referral support for GBV survivors by specialized implementing partners. The project will support capacity building of technical staff, such as health professionals and social workers, to provide medical care (including clinical management of rape), case management support, and MHPSS, and will pilot delivery of mobile GBV services in target Woredas where access to OSCs or health facilities is not available. This sub-component will finance the provision of MHPSS through training and deployment of mental health and psychosocial service providers, as well as through contracting of specialized external providers, to serve GBV survivors, as well as conflict- and displacement-affected people more broadly.

The project will explore establishment or rehabilitation of safe houses or safe spaces and programming for vulnerable children, such as establishment of Women and Girl Friendly Spaces (WGFS, also referred to as Girl Clubs) to enable multi-layered access to key support activities, including case management, counseling, and other social activities.

**Sub-component 2.2: GBV Prevention and Behavior Change (Cost: \$15.0 million).** This sub-component will pilot evidence-based GBV-related prevention and behavior change activities at individual, household, and community levels in selected conflict and climate-affected Woredas. Activities may include provision and facilitation of gender transformative dialogue groups and/or couple-based trainings, activism training, community awareness raising and mobilization (including traditional leaders), and behavior change communications campaigns to increase people’s awareness of risks and impacts of GBV and of available GBV support services.

**Sub-component 2.3: Support to Coordination, Policy Development, and Research for GBV Prevention and Response (Cost: \$4.0 million).** This sub-component will finance relevant capacity building activities to strengthen the coordination mechanisms for GBV programming between relevant ministries and regional bureaus with a mandate for GBV prevention and response; review and strengthening of the policy and legal framework for addressing GBV, which may include the dissemination of recently finalized and launched Standard Operating Procedures for OSCs, development of a National Strategy for GBV Response, a National GBV Policy, or other policy priorities identified by government partners; and technical assistance actions aiming to strengthen the government’s capacity to conduct targeted analyses that inform GBV prevention and response programming as needed.

### **Component 3: Adaptive Project Management (Cost: \$20.0 million)**

Component 3 will finance the incremental costs of the various project management aspects associated with the implementation of activities under components 1 and 2 (for example, the costs of the FPCU, Federal Project Implementation Unit [FPIU], and other coordination and oversight structures), as well as learning activities that will help improve the effectiveness of project-financed activities and adapt them to changed settings. Component 3 will be implemented by MoF as the lead Implementing Agency for this project, and by MoWSA, which will be responsible for implementation of Component 2. Activities will be grouped into the following two sub-components:

**Sub-component 3.1: Project Management (Cost: \$15.0 million).** The sub-component will finance project management and coordination costs, including the costs of the steering committees at the different levels, the FPCU in MoF, an FPIU in MoWSA, respective regional and Woreda coordination units, the FPCU’s Mobile Support Teams, and other project implementation structures as needed. It will also finance operational assessments such as the WNCCAs as well as project communication costs, making sure that project activities are well known to beneficiaries with details outlined in this Stakeholder Engagement Plan (SEP).

**Sub-component 3.2: Learning and Adaptive Implementation (Cost: \$5.0 million).** This sub-component will finance the contracting of an operations-focused consulting firm to provide quality control and learning services to the project. This will include analyses of the effectiveness of activities under components 1 and 2 and improvement recommendations, and continued evaluation of the project’s targeting mechanisms.

### **Component 4: Contingent Emergency Response Component (Cost: \$0.0)**

A CERC is included in the project in accordance with Investment Project Financing (IPF) Policy, paragraphs 12 and 13, for Situations of Urgent Need of Assistance and Capacity Constraints. This will allow for rapid reallocation of credit/grant uncommitted funds in the event of an eligible emergency as defined in OP 8.00. An Annex to the POM (‘CERC Annex’) will be prepared within 6 months of project effectiveness to guide the activation and implementation of the CERC, and a CERC Environmental and Social Management Framework (ESMF) will also be prepared within 6 months of project effectiveness with the CERC environmental and

social (E&S) assessment and initial requirements. For the CERC to be activated, and financing to be provided, the Government will need (i) to submit a request letter for CERC activation, and the evidence required to determine eligibility of the emergency, as defined in the CERC Annex; and (ii) an Emergency Action Plan, including the emergency expenditures to be financed; and (iii) to meet the E&S requirements as agreed in the Emergency Action Plan and the Environmental and Social Commitment Plan (ESCP).

### **3. Summary of Previous Stakeholder Engagement Activities**

In order to ensure that the concerns and interests of various interested parties are captured and incorporated in the design and implementation of the project, several meetings have been held with relevant stakeholder and implementing agencies including MoF, Ministry of Women and Children Affairs (MoWCA), MoLSA, MoP, MoH, EDRMC, MoA, and MoUDC. Benishangul-Gumuz, Gambella, Somali, Afar, and Oromia regions' Health, Women and Children Affairs, Disaster risk Management, Agriculture, Social and Labour Affairs bureaus. International development partners incl. EU, Germany, FCDO, Netherlands, USAID, etc. as well as international and local NGOs were consulted for the preparation of the project. Stakeholders' contributions, including concerns and suggestions on various aspects of the project were collected in the design of the project. Due to the COVID-19 pandemic, meetings have been conducted considering the COVID19 prevention protocol like keeping social distance with small groups of participants, as well as virtually using through WebEx. Stakeholders believe that the project is very timely and important to promote the local economy and contribute to the resilience and recovery and improvement of the living conditions of host communities as well as IDPs.

### **4. Stakeholder identification and analysis**

The first step in the stakeholder engagement process is to identify the key stakeholders to be consulted and involved. The stakeholders stated in this SEP include those currently associated with the Response, Recovery, Resilience for conflict affected communities in Ethiopian (3R-4CACE) project and those who will be linked with the project at a later stage of project implementation. Stakeholders are identified and categorized into i) Project affected parties. ii) Other interested parties; and iii) Disadvantaged and vulnerable groups. Stakeholders are individuals, institutions, CSOs, or groups who are affected or likely to be affected by the 3R-4CACE project and who may have an interest in the project.

The term "project-affected parties" includes "those likely to be affected by the project because of actual impacts or potential risks to their physical environment, health, security, cultural practices, well-being, or livelihoods. These stakeholders may include individuals or groups, including host/local communities and IDPs. The term "Other interested parties" (OIPs) refers to individuals, groups, or organizations with an interest in the project, which may be because of the project location, its characteristics, its impacts, or matters related to the public interest. These parties may include regulators, government officials, the private sector, the scientific community, academics, unions, women's organizations, other civil society organizations, and cultural groups.

'Disadvantaged/vulnerable individuals or groups' are potentially disproportionately affected and less able to benefit from opportunities offered by the project due to specific difficulties to access and/or understand information about the project and its environmental and social impacts and mitigation strategies.

MoF and MOWSA will be committed to engaging in meaningful consultations with all stakeholders, paying attention to the inclusion of Historically Underserved Peoples, vulnerable and disadvantaged groups (including the elderly, persons with disabilities, female-headed households and orphans, and vulnerable children).



#### **4.1. Affected parties**

Affected parties are those sets of people who are directly influenced actually or potentially by the proposed project and/or have been identified as most susceptible to potential risks and impacts associated with the project and who need to be closely engaged including local community members and other parties that may be subject to direct impacts from the Project. These include:

- ✓ General conflict affected population,
- ✓ Displaced families (IDPs);
- ✓ Host communities;
- ✓ Vulnerable population including women, female headed households, children/ child headed households, Persons with Disability (PWD), elderly and others;
- ✓ Civil society organizations, NGOs and Associations operating with IDPs and host communities in project areas;
- ✓ Public servants (health, education workers, public administration in general);
- ✓ Communities in adjacent kebeles and villages;
- ✓ Regional and woreda administrations/managements; and
- ✓ Service provider like medical centers and health staff, etc.

#### **4.2. Other interested parties**

As indicated above, other interested parties are individuals, groups, or organizations with an interest in the project. Interested parties of the project's stakeholders include: the federal Ministerial institutions like MoF, EDRMC, MoWSA, MoP, Federal Attorney General, MoH, Ministry of Justice (MoJ), Ministry of Urban Development and Infrastructure (MoUDI) and Ministry of Agriculture (MoA), and their regional counterparts. The regional and local interested parties include, among other,

- ✓ 3R-4CACE project staff
- ✓ Regional and Woreda Agriculture and Natural Resource offices;
- ✓ Regional and Woreda Finance offices;
- ✓ Zone and Woreda Agriculture and Natural Resources Bureaus;
- ✓ Zonal office of Finance;
- ✓ Woreda Women, Children and Youth affairs office;
- ✓ Contractors and different community groups;
- ✓ NGOs (especially those working on Gender Based Violence, child and social action; social protection reconstruction process);
- ✓ International Organizations (World Food Program, UNICEF, World Health Organization etc.);
- ✓ Universities and Research Institutions, National Disaster Management Institutes;
- ✓ National and international Development Partners including the WB;
- ✓ Consultants; and
- ✓ The public at large

#### **4.3. Disadvantaged /Vulnerable individuals or groups**

It is particularly important to understand whether project impacts may disproportionately affect disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project. They may be disproportionately be impacted or further disadvantaged by the project as compared with any other groups due to their vulnerable status, and usually require special arrangement to ensure their equal representation in the consultation and decision-making process associated with the project. Their vulnerability may stem from their origin, gender, age, health condition, including HIV/AIDS status, disability, economic deficiency and financial insecurity, lack of assets, disadvantaged status in the community and IDP areas, dependence on other individuals or natural

resources, etc.

Thus, it is also crucial that awareness raising and stakeholder engagement with disadvantaged or vulnerable individuals or groups is adapted considering the sensitivities of such groups or individuals, their concerns and cultural norms and to ensure that they are provided a full understanding of the project activities and benefits. Engagement with these vulnerable groups and individuals often requires the application of specific measures and assistance aimed at the facilitation of their participation in the project decision making so that their needs, views, and input to the overall process are commensurate to those of the other stakeholders. Moreover, it is important to closely examine the potential adverse impact and risks of the project activities on different categories of people with particular focus on vulnerable group and historically underserved communities in Benishangul-Gumuz, and in pastoral and agro-pastoral in Afar and parts of Oromia regional states.

Within the Project areas the vulnerable groups include, but are not limited to, the following:

- ✓ IDPs,
- ✓ Elders who do not have support,
- ✓ Women and children,
- ✓ People with disabilities, the unemployed youths
- ✓ Female and child headed households, etc.

Vulnerable groups including women, children and people with disabilities, within the communities affected by the project will be further confirmed and consulted during the comprehensive Social Assessment, site specific project activity screening, implementation and monitoring stage. Based on the finding the comprehensive SA, this SEP will be updated.

## **5. Stakeholder Engagement Program**

The Stakeholder Engagement Plan (SEP) will support the design of instruments and ensure stakeholder involvement during the project's implementation, monitoring and evaluation period.

### **5.1. Purpose and timing of stakeholder engagement program**

The overall purpose of this SEP is to define a program for stakeholder engagement, including public information disclosure and consultation, throughout the preparation and operation of the proposed 3R-4-CACE project. The SEP outlines how PCU with relevant stakeholders including MoF, MOWSA, MOP, MOH, EDRMC and contractors/subcontractors, private sector companies, enterprises will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or file complaints.

### **5.2. Proposed strategy for information disclosure**

There are a variety of engagement techniques used to build relationships, gather information, consult and disseminate project information to stakeholders. When selecting an appropriate consultation technique, culturally appropriate consultation methods and the purpose for engaging with a stakeholder group should be taken in to consideration. The technique to be used in 3R-4-CACE are described in below table

**Table 2: Proposed consultation and information disclosure Plan**

<b>Project Stage</b>	<b>List of information to be disclosed</b>	<b>Methods proposed</b>	<b>Timetable: locations/ dates</b>	<b>Target Stakeholders</b>	<b>Responsibilities</b>
Project Design	SEP and ESCP as well as updated SEP	Stakeholder public Consultation and meetings	Meetings take place in Amhara, Oromia, Afar, Benishangul-Gumuz, and some part of Tigray regions (as feasible) either in person or virtual	Government institutions, local authorities/implementers, local NGOs, implementation partners, donors, IDPs and the public in general,	PCU/MOF/MOWSA environment and social risk management team
	Environmental and social management framework (ESMF) incl. Social Assessment including description of GRM, Security Risk Assessment and Management Plan, and GBV/SEA/SH Risk Assessment and Action Plan; Resettlement Framework, and Labour Management Procedures (LMP).	Public consultation meetings, formal meetings, one on one Interviews, e-mail, website, electronic and Social media;	After project approval by the WB Board, Public meetings will take place in Amhara, Oromia, Afar, Benishangul-Gumuz, and some part of Tigray regions using COVID-19 protocols	IDPs, Public in general, local authorities, local and international NGOs, implementation partners, donors,	PCU/MOF/MOWSA environment and social risk management team

Project Implementation	Implementation of site specific ESMPs, GBV/SEA Action Plan, and RAP	Community meetings (in line with COVID-19 protocols), Woreda notice boards, electronic and local social media, including radio, SMS, Website, Community notice board	To be defined by the PCU - Before commencement of activities in subprojects that require these specific instruments and during preparation of instruments.	Potential beneficiaries, local authorities, and the general public.	MoF and MoWSA together with local counterparts and community institutions
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### **5.3. Proposed strategy for consultation**

As the proposed project follows the CDD approach, it is anticipated that the four purposes of consultations and information dissemination in the 3R-4-CACE project are related to: (i) understanding of the needs of the IDPs and host communities; (ii) ensuring coordination between all implementing partners, government authority and community structures; (iii) reception of feedback and comments as well as grievances from all stakeholders on the design and implementation of the project; and (iv) provision of transparent and accountable mechanisms on all aspects of the project, (v) any feedback collected from the communities and relevant stakeholders will be addressed by the PCU and PIU. Further, feedbacks that have concern on the grievance redress mechanism will be directed to grievance redress communities. The SEP will be refined and updated as the project design evolves. However, a grievance redress mechanism (GRM) will be in place throughout the life cycle of the Project and will be set up in a way that all affected individuals and groups can report on project-related grievances or can provide comments and feedback. In addition, all social and environmental risk management instruments like the ESMF, RF, SEP, SA, LMP and ESCP will be publicly disclosed. Continuous stakeholder consultations will take place formally during implementation of sub-projects. The PCU under the MoF together with MoWSA will produce and update this plan and implement it. The plan will follow the World Bank Note on conducting consultations during COVID-19, and WHO guidelines and Government (MOH) guidelines in consultation methods during the pandemic. The SEP shall be updated to reflect ongoing feedback that is given to qualify this SEP and will be follow a participatory monitoring approach.

#### **5.4. Proposed strategy to incorporate the view of vulnerable groups**

All project component leads including MoF and MoWSA will ensure that vulnerable groups are participating in consultative processes and that their voices and concerns are captured during the subproject activities identification and implementation. This may require specific meetings with vulnerable groups in addition to general community consultations. In general, women may be more outspoken in women-only consultation meetings than in general community meetings. Similarly, separate meetings may be held with IDPs and host communities. Further, it is important also to consider other consultation methods besides physical meetings, such as radio broadcasting, to ensure that groups that cannot physically be present at meetings can participate. A preliminary rapid social assessment was conducted. However, comprehensive social assessment will be undertaken before the one month of the project effectiveness. Based on the rapid preliminary assessment, the comprehensive social assessment will embark on field visit to collect data and conduct in-depth consultation process with the identified vulnerable and underserved groups specific to the project. During the fieldwork, additional information focusing on potential project risks and impacts on underserved and vulnerable groups will be assessed. Besides, the preliminary rapid social assessment identified some risk and impacts related to the project components implementation including potential risk of social exclusion of the most vulnerable and underserved groups from sharing the benefit packages of the project particularly related to recovery packages such as transition skill trainings, seed grants, etc. as well as GBV and MHPSS referral services like mobile community-based services on health, education, and WASH. Also, lack of considering appropriate needs, priorities and skills of Vulnerable groups. . The SEP will be updated as the results of the assessment are received. GRMs will be designed and capture in ESMF, SA and SEP. Further, the grievance redress committee will be established before commencing of each sub project implementation and will be continue through the project cycle, in such a way that all groups identified such as vulnerable have access to the information and can submit their grievances and receive feedback.

#### **5.5. Timelines**

The proposed project is planned for a duration of five years. Information disclosure and consultations are especially relevant throughout the early stages of the Project, but also throughout the Project life cycle. Activities under each sub-component will include further consultations prior to their commencement, to ensure a good selection and inclusiveness of beneficiaries, transparency, and accountability on project modalities, and allow IDP and other vulnerable groups voices to form the basis for the concrete design of every intervention; consultations will continue throughout the project cycle.

Information dissemination and delivery of reports will be the two mains means of information disclosure. The information will be uploaded on the implementing agencies and WB external websites. The printed versions of the final documents will be also made available in easily accessible public places (for example, Woreda and/or kebeles relevant offices, schools, etc.).

#### **5.6. Review of Comments**

The project implementing agencies will gather all comments and inputs originating from community meetings, GRM outcomes and assessments including environmental and social audits. The information gathered will be submitted to the PCU 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 Project Coordinator and the Environmental and Social Risk Management Specialists to ensure that comments and inputs are responded to and inform the communities. Training on environmental and social risk management will be facilitated the PCU with technical support from the World Bank Environment and Social Risk Management team soon after the Project effectiveness to ensure that all the staff from the

different implementing agencies are equipped with the necessary environment and social risks skills.

This SEP provides the overarching guidelines for the developing and implementing stakeholder engagements. The PCU Environmental and Social Risk Management teams will continue to monitor the capacity of the environment and social staff of MoF and MOWSA as well as other federal and regional counterparts and implementers, and recommend appropriate actions, e.g., refresher trainings. The Project will implement a reporting system that will allow collection of information, analysis and dissemination to affected/ interested parties. Quarterly and annual environmental and social risk management implementation reports will show how the consultation conducted, environmental and social issues are being raised and addressed, and the main challenges faced during project implementation. The report will be shared to the relevant stakeholders including directly impacted community members and IDPs.

As indicated in the ESCP, the PCU will prepare and share quarterly and annual reports for joint implementation support missions showing the level of implementation of different indicators by compiling the reports from MoWSA and other national stakeholders as well as the local level counterparts. This will include monitoring and reporting of the GRM.

### **5.7. Future Phases of Project**

Stakeholders will be kept informed as the project develops, including reporting on project environmental and social performance and implementation of the stakeholder engagement plan and grievance redress mechanism. This will be important for the wider public, more specifically for the directly impacted community members and IDPs.

## **6. Resources and Responsibilities for implementing stakeholder engagement activities**

### **6.1. Resources**

The MoF together with MoWSA and the relevant local government institutions will be responsible for the implementation of the activities in this SEP. The PCU will allocate adequate resource for the implementation of the SEP. The financing will be further used for producing communication materials, including local media and radio content, and traditional information sharing mechanism for effective information sharing with communities (including IDPs) and documentation. The budget for SEP implementation will be updated when the SEP is updated as needed during project implementation. MoF and MoWSA will be responsible for implementing this SEP for the Project. Besides, the PCU will assign experts to overlook the overall SEP implementation.

### **6.2. Management functions and responsibilities**

Due to the multisectoral nature of the project, the coordinating Implementing Agency of the project is the MoF, which will host a Project Coordination Unit (PCU) led by a Project Coordinator, and will be comprised of technical support personnel, and monitoring, FM, procurement, and environmental and social (E&S) risk management specialists. A respective technical project team will be set up in MoWSA. The technical leadership on questions of conflict and displacement will be aligned to the structure of the Government's national dialogue approach which is currently been developed. Regional and Woreda-level counterparts will support the PCU in the implementation of the project.

Independent project monitoring services may be provided by independent agencies, focusing on compliance with national and international standards in the project's development interventions. The PCU

will take the responsibility of coordinating the overall implementation of the project. Down at regional and woreda levels, the implementing institutions consists of each federal institution counterparts as well as regional and Woreda/City administrations. Grant money will be managed by woreda administration with direct transfer from the MoF.

A multi-sectoral Steering Committee, chaired by MoF, and composed of focal points from the EDRMC, MoWSA, Ministry of Health (MoH), Ministry of Urban Development and Infrastructure (MoUDI), Ministry of Education (MoE); Ministry of Agriculture (MoAg), and the regional states included in the projects will provide project oversight and guidance, approve annual work plan and budgets, and ensure inter-ministerial decision making and resolution of issues.

All project related activities will be based on the SEP principles. And the stakeholder engagement activities will be documented through quarterly, biannually and annual progress reports and shared with relevant stakeholders including the World Bank.

## **7. Grievance Mechanism**

The Grievance Redress Mechanism (GRM) addresses grievances in an efficient, timely, and cost-effective manner, that arise in the Project, either due to actions by MoF, EDRMC, MoWSA, MOP, MoF, or the contractor/subcontractors employed, from affected communities and external stakeholders. A separate grievance redress mechanism will be established to address worker grievances by the MoF and MoWSA. MoF and MoWSA will be responsible for managing the GRM and cascade the responsibilities to contractors and subcontractors engaged with the respective implementing entity. MoF and MoWSA environmental and social experts shall monitor the grievance resolution process at different levels and respective implementing entities. Project Affected Persons (PAPs) and other potential complainants should be fully informed of the GRM, its functions, procedures, timelines, and contact persons both verbally and through written materials (often used Kebele Center notice boards for posting) and information brochures during consultations meetings and other stakeholder engagement activities. MoF and MoWSA will keep a log of the complaints at hand. They will implement an effective GRM, to help third parties to avoid resorting to the judicial system as far as possible. Complainants can seek redress from the judicial system at any time. The step-by-step process does not deter them from approaching the courts. All grievance related correspondence shall be documented, and the grievance resolution process will be systematically tracked.

### **7.1. Basic Grievance Management Process**

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 functionalize project GRM for affected parties and a separate grievance mechanism for all direct and contracted workers to raise workplace concerns, as provided under ESS2. An environment and social risk management experts will be assigned at MoF to follow up complaints related to affected parties by the project. The complaint, to be filed, should be related to the project components and/or to its implementation and management. Any complaint not directly related to the project will be referred to the appropriate responsible government body. The 3R-4-CACE project grievance resolution process will involve the following main steps:

- ✓ *Receipt of grievances*: anyone from the affected communities or believing they are affected by the Project can submit a grievance (written, verbal, text message, telephone, etc. as



- appropriate for the complainant).
- ✓ *Registering the complaint:* the focal person who received the complaint will use the GRM logbook for registering.
  - ✓ *Referral and examination of complaints:* a GRM Committee shall be established at each project implementation site/ Kebele (comprising of members from representatives of implementing agencies, PAPs, elders, a representative from Woreda Women and Children Affairs office, etc. as necessary) who will examine the complaint, resolve, or refer to the appropriate body such as formal courts.
  - ✓ *Notifying the complainant:* the decision/solution/action by the grievance committee shall be communicated to the complainant as per the stipulated timeline for feedback.
  - ✓ *Closing the complaint:* where the decision/solution of the complaint is accepted by the complainant, or complaint that is not related to the project or any of its components, or a Complaint that is being heard by the judiciary will be closed following the appropriate procedure based on the acknowledge and signed off by the complainant.

The complaints recorded, resolved and referred will be reported quarterly with the environmental and social implementation performance report to the World Bank and other relevant stakeholders.

## 7.2. World Bank Grievance Redress System

Communities and individuals who believe that they are adversely affected by the World Bank 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 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 allowed 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/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

**Table 3: The proposed project GRM Management Process**

Process	Description	Time Frame
Establishment of GRM Committees Kebele Level	<ul style="list-style-type: none"> <li>✓ GRM Committee will be established at the subproject kebele level comprising of members from representatives of implementing agencies, local elders, beneficiaries, Woreda/ Kebele representative, and Woreda Women Youth and children officer.</li> </ul>	Before commencement of project implementation
Identification of grievance	<ul style="list-style-type: none"> <li>✓ Face to face, telephone call, letter, text message, mail, e-mail; website, recorded during public/community interaction; others</li> <li>✓ The grievance can also be passed through other parties</li> </ul>	48 hours
Grievance assessed and logged	<ul style="list-style-type: none"> <li>✓ Grievances assessed and recorded or logged (i.e., in a logbook).</li> <li>✓ The committee will have a grievance record book where the grievances are recorded for follow up.</li> <li>✓ Grievances concerning sexual exploitation and abuse/GBV</li> </ul>	Within a week

	should be treated as confidential. Only the nature of the complaint and the processing outcome should be recorded. Woreda Women, Children, and Youth Offices will be responsible for GBV case management. MoF shall allocate budget to this office for capacity building and related GBV aspects.	
Grievance is acknowledged	✓ Acknowledgment of grievance through appropriate medium	Within 4 days
Development of response	✓ Grievance assigned to the appropriate party for resolution and develop response with input from GRM Committee	Within 10 days
Response signed off	✓ Redress action approved at appropriate	1within 15 days
Feedback/ communication of response	✓ Redress action implemented and update of progress on resolution communicated to the complainant.	Within 20 days

## **8. Monitoring and Reporting**

Adequate institutional arrangements, systems and resources will be put in place to monitor implementation of project activities and the E&S risk management instruments including the SEP. The goals of monitoring will be to measure the success rate of the SEP and other project activities, determine whether interventions have handled negative or positive impacts, and whether further interventions are required.

The main responsibilities for monitoring will be with the PCU. The PCU Project coordinator and E&S expert will be responsible for overall the implementation of the environmental and social mitigation measures, including the SEP. It will be the responsibility of the PCU to ensure that all relevant reporting is shared. At a subproject component level, MoF and MoWSA will be responsible for disclosing their stakeholder engagement results and relevant reporting. A monthly report will be prepared by MoF and MoWSA for the implementation of the SEP. Quarterly stakeholder meetings will be convened to discuss and review key indicators of stakeholder engagement . Stakeholders will have the opportunity to indicate whether they are satisfied or not with the project consultation process and what needs to be changed in the SEP implementation process to make it more effective.

A Third-Party Monitor will be engaged on a competitive basis to provide independent operational review of project's environment and social risk management performance, as well as verification of all project results. This will include assessing adherence at all implementation levels to the procedures set out in the Project Operations Manual (POM) and other relevant project documents, and in verifying outputs of all project activities.

Results of stakeholder engagements will be regularly reported back to the affected communities, as well as the relevant local authorities. The main means for reporting will be through electronic media like emails and fax as well as in some rural area with poor intranet access the reports will be deliver in person .