



**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**  
**MINISTRY OF URBAN AND INFRASTRUCTURE**  
**URBAN INFRASTRUCTURE LEAD EXECUTIVE OFFICE**



**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM II**

**(UIIDP II)**

**STAKEHOLDERS' ENGAGEMENT PLAN**

**Final**

**February, 2023**

**Addis Ababa**

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## **Acronyms**

CSO	Civil Society Organizations
DP	Development Partners
EDI	Entrepreneurship Development Institute
EIA	Environment Impact Assessment
ENA	Ethiopian News Agency
ESA	Environmental and Social Assessment
ESCP	Environmental and Social Commitment Plan
ESF	Environment Social Framework
FMT	Federal Mobile Team
GoE	Government of Ethiopia
GBV	Gender-Based Violence
GRM	Grievance Redressing Mechanism
MoUI	Ministry of Urban Infrastructure
MoF	Ministry of Finance
MoUI	Ministry of Labour and Skills
MoWSA	Ministry of Women and Social Affairs
PIU	Program Implementation Unit
PwD	Persons with Disability
SEP	Stakeholder Engagement Plan
SIA	Social Impact Assessment
ToR	Terms of Reference
UIIDP	Urban Institutional Infrastructure Development Program
WB	World Bank

### **1. Introduction /project description**

As a continuation of UIIDP, Urban Institutional Infrastructure National Development (UIINDP) will focus on enhancing the institutional capacity and performance of ULGs as well on delivering on infrastructure, services, local economic development and job creation in Ethiopia. In consideration of this, the Program Development Objective (PDO) is to enhance the institutional performance of participating urban local governments to finance, develop and sustain climate smart urban infrastructure and service delivery that will inclusively promote local economic development and job creation. The Ministry of Finance (MoF), on behalf of the Recipient, has requested USD 400 million over a 5-year period for both P for R and the Investment ULGs Financing (IPF) to be implemented by the MoUI. The TA will broadly cover institutional strengthening, capacity, Technical Assistance building, and annual performance assessment. It is five years from 2023/24 to 2027/28 which continues to cover part of the period of the National and Ministry Ten Years Perspective Plan (2021-30) and of the National Urban Development Spatial Plan (NUDSP) Vision 2030. The Ten Years plan and NUDSP recognizes the importance of properly managing the urbanization process and leveraging its potential to promote economic growth and structural transformation.

UIIDP will be implemented in selected regional capitals, regional economic centers, cultural heritage sites, urban population with greater than 50,000 population, Conflict affected ULGs and Refugee-hosting ULGs.

The UIIDP 2 is an hybrid (PforR and IPF) operation that will have three windows,

Window 1 - PforR window will have three sub-windows. PforR Sub-window 1 will go to Program ULGs for provision of urban services and capacity building as per agreed investment menu. Urban services menu will include (i) Road Network, Road Furniture and Road Structure; (ii) Integrated multiple infrastructure and land services (residential, micro and small enterprises, industrial zones, tourism sites), (iii) Sanitation, (iv) Solid waste Management services, (v) Urban disaster risk management and initiatives to enhance resilience (Urban drainage and Flood Control systems), (vi) Built facilities (Local Economic Infrastructure), and (vii) Urban green infrastructure; PforR sub-window 2 will go to Regional Governments for the provision of timely technical support to ULGs in their respective jurisdictions for Program implementation; and PforR sub-window 3 will go to MUI for incentivizing policy reforms to support sustainable climate smart urban development and services. The PforR resources will be disbursed to the three tiers of Governments (ULGs, Regions, and Federal) under the three sub-windows based on agreed Disbursement Link Indicators (DLIs) for each level;

Window 2 - will be the IPF window to MUI. The IPF window will consist of two sub-components: (i) Sub-component 1 - Technical Assistance to enable the GoE to procure international consultants for advancing policy frontiers and addressing new areas of focus, such as climate and disaster resilience. This IPF sub-component is linked to the PforR sub-window. It will also be used to support capacity building for non-participating ULGs under UIIDP 2. (ii) Sub-component 2 - Program Management; to support and enhance operational capacity primarily at the federal level in terms of both operational and Program management capacity including Annual Performance Assessment (APA), Mid Term review (MTR), Program Audit, Program communication activities, etc. This sub-component will help bring together and coordinate the respective bureaus and ministries who will be engaged in the implementation of UIIDP 2. This ESRS is prepared for this window.

Window 3 - Host and Refugee window (HRW). This window will support refugee host ULGs (about 13 ULGs, comprising an estimated urban population of 836,000 and 806,000 refugees in 29 refugee

settlements). out of the US\$100 million HRW, US\$85 million will directly go to the Refugee host ULGs for investments in urban infrastructure and services to benefit both host communities and refugees. The remaining US\$7m and US\$8m will go to federal and regional level respectively to support the implementation of the Government's agenda for inclusive urbanization, upgrading of refugee camps into urban settlements, and land use planning, among others. Window 3 will entirely be financed through PforR modality. Preparation of ESCP and SEP during project design and appraisal is requirement of ESF for IPF component. As agreed between the World Bank and the Government of Ethiopia (GoE), this SEP can be revised from time to time during the preparation of UIIDP to reflect adaptive management, respond to implementation changes, adapt to unforeseen circumstances, and respond to the assessment of Preparation Advance (TA activities).

## **2. Objective of SEP**

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. The SEP outlines the ways in which the Ministry of Urban and Infrastructure will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about the project and any activities related to the project. The SEP specifically emphasizes methods to engage groups considered most vulnerable and that are at risk of being left out of project benefits.

On the basis of ESS 10, planning Stakeholder Engagement and Information Disclosure has the following objectives.

- To establish a systematic approach to stakeholder engagement that will help Borrowers identify stakeholders and build and maintain a constructive relationship with them, in particular project-affected parties.
- To 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.
- To 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.
- To 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.

## **3. Stakeholder Identification and Analysis per project component**

### **3.1. Methodology**

The methods of preparing SEP are review of documents investment project, consultation of the staffs responsible for project preparation, appraisal, implementation, monitoring and evaluation. This helps to list potential stakeholders, their role, interests and influence. Consultation helps learn from past and current engagements, consider the future, use technology tools and consider the impact. On the basis of this, review has been conducted on the concept papers of UIIDP and reports of world Bank mission, documents of UIIDP I and templates of SEP. Consultation have been made with the UIIDP I thematic area specialists.

The following stakeholders have been identified and analyzed per project component. These stakeholders include affected parties (as defined in section 3.2), other interested parties (as defined in section 3.3) and disadvantaged/vulnerable individuals or groups (as defined in section 3.4).

### **3.2. Affected Parties**

Affected Parties refer to persons, groups and other entities within the ULGs area of Influence (PAI) that are directly influenced (actually or potentially) by the ULGs and/or have been identified as most susceptible to change associated with the ULGs, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures.

The Ministry of Urban Infrastructure and its pertinent technical executive entities and divisions are internal stakeholders and owners. Regional, zone, urban, and local administrations and sectorial offices are also interested parties for the ULGs. The following are the major stakeholders of the program that have a direct impact on the program:

- Ministry of Finance,
- Ministry of Revenue,
- Ministry of plan and Economic Development,
- Ministry of Labor and Skills,
- Ministry of Women and Social Affairs,
- Ethic and Anticorruption Commission and
- Environmental Protection Authority.

The affected parties in this context are mostly people who will need to be consulted for preparatory studies financed by the TA, including the feasibility studies for works and activities to be undertaken under the Urban Institution Infrastructure Development Program (UIIDP).

The affected parties in the context of the UIIDP are the community and vulnerable groups (including women, people with disabilities, elderly) in the beneficiary ULGs, during construction of urban infrastructure there might be some environmental and social impacts which needs the involvement of stakeholders. These people are likely to be impacted either positively or negatively by the TA activities and eventually by the ULGs. The activities of concern include the preparation of the Environmental and Social Assessments (ESA) for priority investments of the ULGs as per the requirements of ESF.

Activities including baseline surveys and various studies will require meaningful consultation and input from diverse and relevant stakeholders. The exact activities and locations of the TA activities have not been finalized, so not known at this stage of the TA preparation. However, the affected stakeholder groups will broadly include the following:

- i. Potential program beneficiaries and other interested parties include those that might be affected directly or indirectly by the ULGs, with respect to their interest in consultation and provision of inputs to the ULGs through TA activities. For the details and specific forms of engagement, please refer to Table 1 below.

- ii. Parties that might be affected directly or indirectly due to their direct involvement in the training and seminars to be organized for unemployed youth and skill trainers, technicians, employees of public and private training institutes, enterprises, and industries that might be used apprenticeship.

**Table 1: Proposed Stakeholders for UIIDP II**

Government			
Stakeholder	Involvement in the ULGs	Interest	Influence
Ministry of Finance	Ensure that budgeting, accounting, disbursement and internal audit system of the federal and regional government is harmonized		√
Ministry of Plan and Economic Development	Integrate with national Development plan of the country.		√
Environmental Protection Authority	Promote sustainable Environmental and social development and safeguard compliance.		√
Ministry of Revenue	Enhance revenue Capacity of urban Local Governments.		√
Ethics Anti-Corruption Commission	Involve in tackling fraud and corruption		√
Ministry of Labor and Skills	Involve in Labor and working conditions, enterprises formation and management, skill development for infrastructure and job creation		√
Ministry of Women and Social Affairs	Facilitate and ensure the participation and mainstreaming gender and other disadvantaged and vulnerable segments of the community in the training scheme;		√
Urban local governments	Involve in city mobilization and community consultation		√
World Bank	Financing the ULGs	√	
Universities and higher learning institutions	Involve in research and design of projects in the respective ULGs	√	

### 3.3. Other Interested Parties

In order to address issue directly affected groups Other Interested Parties such as civil society organizations, community support institutions, women youth, elderly associations and institutions people with disabilities. Individuals/groups/entities that may not experience direct impacts from the UIIDP but who consider or perceive their interests as being affected by UIIDP and/or who could affect the ULGs and the process of its implementation in some way; and Families and communities of unemployed citizens are interested in the ULGs.

The UIIDP stakeholders also include parties other than the directly affected communities, including competency certification and regulations entitle and other International and local CSOs and NGOs.



**Table 2: List of other interested parties**

Stakeholder	Involvement in the ULGs	Interest	Influence
Community Based Organizations (CBOs)	Organize and mobilize residents for the implementation of projects	√	
Federation /Associations of PwD	Coordinates and facilitates the participation of PwD in the training scheme	√	
Contactors	Involve in infrastructure development	√	
Consultants	Involve in research, training and technical assistance	√	
Private Universities (higher learning institutions)	Involve in Search and capacity building	√	
Small and micro-Enterprises	Involve in infrastructure development	√	
Women Associations/	<ul style="list-style-type: none"> <li>• Facilitate and ensure the participation of women in public consultation.</li> <li>• Ensure the participation of women in the training program</li> </ul>	√	
Youth Associations	Facilitate and ensure the participation of youth in public consultation	√	
Civil Society Organizations engaged in skill training.	<ul style="list-style-type: none"> <li>• Support the training schemes.</li> <li>• Facilitate experience sharing</li> <li>• Support trainees who are in need</li> </ul>	√	

### 3.4. Disadvantaged/vulnerable individuals or groups.

The vulnerability may stem from person’s origin, gender, age, health condition, economic deficiency and financial insecurity, disadvantaged status in the community (e.g., minorities or fringe groups), dependence on other individuals or natural resources, etc. Engagement with vulnerable groups and individuals often requires the application of specific measures and assistance aimed at the facilitation of their participation in the ULGs-related consultation and decision making so that their awareness of and input to the overall process are commensurate to those of the other stakeholders.

Within the TA, the vulnerable or disadvantaged groups may include and are not limited to the following: elders, women, and children, the mentally and physically disabled, the unemployed, internally displaced people, HIV/AIDS-affected individuals and poor households. Vulnerable groups within the communities affected by the TA will be further confirmed and consulted through dedicated means, as appropriate to ensure that these people are identified and meaningfully consulted.

In order to develop an effective SEP and consider potential impacts on vulnerable groups during the implementation of UIIDP, it is necessary to determine who the stakeholders are and understand their needs and expectations for engagement in relation to the program.

Stakeholders have been and will be identified on a continuing basis by identifying:

- categories that may be affected by, or be interested in, the ULGs;

- Specific individuals, groups, and organizations within each categories ;
- geographical area over which it may cause impacts (both positive and negative) over its lifetime;
- localities within which people and businesses could be affected;
- National/local government entities, NGOs, academic and research institutions and other bodies who may have an interest in these issues.

Targeted/ identified stakeholders will be oriented/ trained about the concept of engagement itself, as well as on the complex issues requiring specialized technical knowledge. These demands can increase the cost of consultation required to meet external expectations, and often this occurs at a time when a ULGs lacks the internal capacity and resources to implement a broad engagement strategy.

In general, engagement is directly proportional to impact and influence, and as the extent of impact of a ULGs on a stakeholder group increases, or the extent of influence of a particular stakeholder on a ULGs increases, engagement with that particular stakeholder group shall intensify and deepen in terms of the frequency and the intensity of the engagement method used. All engagement shall proceed on the basis of what are culturally acceptable and appropriate methods for each of the different stakeholder groups targeted.

There are a variety of engagement techniques that shall be used to build relationships with stakeholders such as gathering information and consulting and disseminating information to stakeholders.

When selecting an appropriate consultation technique, culturally appropriate consultation methods, and the purpose for engaging with a stakeholder group shall be considered.

The Ministry of Urban and Infrastructure as the secretariat of the program basically work with stakeholders in planning, implementing and monitoring the ULGs, coordinating and facilitating the involvement of stakeholders.

Table 3: UIIDP Stakeholder Engagement Techniques

<b>Engagement Technique</b>	<b>Appropriate application of the technique</b>
Correspondences (Phone, Emails)	<ul style="list-style-type: none"> <li>▪ Distribute information to Government officials, NGOs, Local Government, and organizations/agencies.</li> <li>▪ Invite stakeholders to meetings and follow-up</li> </ul>
One-on-one meetings	Seeking views and opinions and Enable stakeholders to speak freely about sensitive issues, Build personal relationships and record meetings
Formal meetings	<ul style="list-style-type: none"> <li>▪ Present the ULG information to a group of stakeholders.</li> <li>▪ Allow the group to comment – opinions and views.</li> <li>▪ Build impersonal relations with high level stakeholders.</li> <li>▪ Disseminate technical information.</li> <li>▪ Record discussions</li> </ul>
Public meetings	<ul style="list-style-type: none"> <li>▪ Present ULG information to a large group of stakeholders, especially communities</li> <li>▪ Allow the group to provide their views and opinions.</li> <li>▪ Build relationships with the communities, especially those impacted.</li> <li>▪ Distribute non-technical information.</li> <li>▪ Facilitate meetings with presentations, PowerPoint, posters etc.</li> <li>▪ Record discussions, comments, and questions.</li> </ul>
Focus Group Discussion	<ul style="list-style-type: none"> <li>▪ Present ULG information to a group of stakeholders</li> <li>▪ Allow stakeholders to provide their views on targeted baseline information.</li> <li>▪ Build relationships with communities.</li> <li>▪ Record responses</li> </ul>
ULGs website	<ul style="list-style-type: none"> <li>▪ Present ULGs information and progress updates</li> <li>▪ Disclose ESIA, ESMP, SEP, LMP, SA, and other relevant ULG documentation</li> </ul>
ULGs leaflet	<ul style="list-style-type: none"> <li>▪ Brief ULG information to provide regular updates.</li> <li>▪ Site-specific ULG information.</li> </ul>

## 4. Stakeholder Engagement Program

### 4.1. Summary consultative meetings with stakeholders

During program preparation/design, the several consultation and meetings were conducted among stakeholders. As a result, adequate information regarding program cities is gathered and analyzed, Policies and strategies of the government are properly analyzed and incorporated within the programs, adequate feedback collected on lessons learned from the parent program implementation, Beneficiary cities are selected using criteria together with the steering committee of the program and guidelines and necessary working tools are produced and discussed with the steering committee. The following table summarise the public consultation meetings that were during the program preparation time.

**Table 4: Summary of Consultative meetings**

Agenda	Date	Venue	Participants	# of Part/s	Issues raised
Assessment of UIIDP and Design of UIIDP II	06-09/03/2023	Dire Dawa	Federal and Regional Stakeholders	60	Performance of UIIDP and its contribution for the design of UIIDP II
UIIDP performance	14/04/2023	MoUI plenary Hall	Lead executive desks and FMT	32	Performance of the desks and FMT
Preparation of UIIDP II	14/01/2023	MoUI plenary Hall	Safeguard, DRM, Gender Committee members	6	Updating required safeguard guidelines and Identification of stakeholders
Discussion on the status of UIIDP II preparation and design.	23/01/2023	MoUI plenary Hall	MoUI and World Bank group.	6	Progress reports of the respective committee members
Joint meeting for Design and preparation of UIIDP II.	03/12/2023	Ethiopia Hotel starting	Committee members from the Desks of MUI and UIIDP Mobile Team Members.	25	Status and achievements for preparation UIIDP II.
Discussion on the status of UIIDP II preparation and design.	20/12/ 2023	MoUI	MoUI and FUIID Mobile Team	20	Host and Refugee Window (HRW) ULG selection

#### **4.2. Summary of project stakeholder needs and methods, tools and techniques for stakeholder engagement.**

There are several stakeholder engagement techniques used to build relationships, gather information, listen, consult, and disseminate ULGs information to stakeholders. These stakeholder engagement platforms will serve to express their views, concerns, and recommendations. When selecting an appropriate communication technique, culturally appropriate consultation methods, and the purpose for engaging with a stakeholder group should be considered. The techniques to be used in the TA are described in Table 6 below.

**Table 5: Proposed Communication techniques**

<b>Project stage</b>	<b>Target stakeholders</b>	<b>Topic of consultation / message</b>	<b>Method used</b>	<b>Responsibilities</b>	<b>Frequency/Timeline</b>
During the program Preparation phase and Implementation Phase	To all relevant stakeholder	Disseminating information to Government officials, skill training providers, NGOs, Local Government, and organizations/agencies local communities <ul style="list-style-type: none"> <li>➤ Information on the nature of the Project, duration of the Project, potential impacts on the environment, social and economic impacts.</li> <li>➤ Accessible grievances mechanisms and the required procedures including complaints forms.</li> <li>➤ Compensation issues</li> <li>➤ Disseminating non-technical information.</li> </ul>	Correspondences (Phone, Emails)	MUI /PIU	From the beginning of project preparation and throughout the project implementation
Before the start of the program and during implementation.	Government stakeholders and steering committee members	<ul style="list-style-type: none"> <li>• Presenting the status of the preparation and the progress of the program performance.</li> </ul>	Formal meeting through presentation	MUI /PIU	Periodically
During the preparation of the program and implementation time.	Vulnerable group	<ul style="list-style-type: none"> <li>• Information on the nature of the Project, duration of the Project, potential impacts on the environment, social and economic impacts and the particular impact of the program on the vulnerable group and the proposed mitigation measures.</li> </ul>	Focus group meetings	MUI /PIU	Throughout the program.
During the preparation of the program.	General public and other interested group.	<ul style="list-style-type: none"> <li>• Disclose environmental and social safeguard instruments and other relevant ULGs preparation documentation.</li> </ul>	MoUI website and social media accounts	MUI /PIU	During the program preparation and appraisal time.
Throughout the program	Government regulatory body	<ul style="list-style-type: none"> <li>• Sharing timely information on environmental and social safeguard instruments, communities need assessment results and capacity-building.</li> </ul>	communication and meeting with target groups.	MUI /PIU	Throughout the program -from preparation to completion.
After the program implementation.	General public and other interested group.	<ul style="list-style-type: none"> <li>• Status of the program performance and major lessons</li> </ul>	Media	MUI /PIU	Following the mid term and end term program review.

### **4.3. Proposed Strategy to incorporate the View of Vulnerable Groups**

Vulnerable or disadvantaged groups are a segment of the population that has some specific characteristics that places them at higher risk of falling into poverty, bearing a disproportionate share of the impact or being excluded from benefits of the Project compared to others living in areas or receiving services targeted by a project. It is, therefore, particularly important to understand whether project adverse impacts may disproportionately fall on disadvantaged or vulnerable individuals or groups, or whether they may be unjustifiably excluded from project benefits. These groups and individuals often who do not have a voice to express their concerns or understand the impacts of TA activities. The SEP seeks to ensure that awareness raising and stakeholder engagement with disadvantaged or vulnerable individuals or groups be adapted to consider such groups or individuals' particular sensitivities, concerns, and cultural sensitivities and to ensure their full understanding of TA activities and benefits.

The vulnerability may stem from person's origin, sex, age, health condition, economic deficiency and financial insecurity, disadvantaged status in the community (e.g., minorities or fringe groups), dependence on other individuals or natural resources, historically underserved communities etc. Engagement with vulnerable groups and individuals often requires the application of specific measures and assistance aimed at the facilitation of their participation in the project-related consultation and decision making so that their awareness of and input to the overall process are commensurate to those of the other stakeholders.

Within the TA, the vulnerable or disadvantaged groups may include and are not limited to the following: elders, women, and children, people with disabilities, the unemployed, internally displaced people, HIV/AIDS-affected individuals, minority ethnic groups, historically underserved communities, GBV/SEA/SH, and low-income households and refugees and host communities.

The TA is not expected to have significant impact on vulnerable groups within the communities, however, to mitigate any exclusion by the main project the potential impact will be further assessed and consulted through dedicated means, as appropriate to ensure that these people are identified and meaningfully consulted. The project design will take the needs and interests of vulnerable groups into consideration.

During the preparation and implementation of the program, the identified vulnerable group needs to be manfully consulted and their concerns should be addressed through the project design. To fulfil these requirements all the possible barriers/ obstacles of mean full consultation should be resolved /mitigated.

The following are some of the proposed measures to remove the obstacles:

1. Ensure the accessibility of the consultation place (nearness and suitability).
2. Select appropriate date and time for the consultation.
3. Provided adequate time for the consultation.
4. Select proper and local language for the consultation.
5. Ensure the cultural appropriateness of the approach...

## 5. Resources and Responsibilities for Implementation of stakeholder

### 5.1. Estimated budget<sup>1</sup>

Adequate budgetary resources will be dedicated to the implementation of the SEP. The budget for the SEP implementation is outlined below.

**Table 6: Budget**

Sn	Activities	Budget in Eth Birr		Remark
		Birr	Cents	
1	Program design			The budget proposal is subject for revision as soon as possible.
	Data collection	500,000	00	
	Manual & guideline preparation	500,000		
	Program orientation	500,000		
	Sub total	1,500,000		
2	Capacity building to stakeholders			
	Goods	10,000,000		
	Training	2,000,000		
	Sub total	12,000,000		
3	Communication			
	Press release	1,000,000		
	Public Conferences	2,000,000		
	Documentations	2,000,000		
	Leaflets /fliers	1,000,000		
	Notice boards /bill board	1,000,000		
	Sub total	6,000,000		
4	Reports and disseminations			
	Report production	2,000,000		
	Report dissemination	500,000		
	Sub total	2,500,000		
5	Grand total	<b>25,000,000</b>		

## 5.2. Management Functions and Responsibilities

### 5.2.1. Ministry of Urban and Infrastructure

The MoUI will be the lead implementing agency, with the main tasks are:

- Overall responsibility for day-to-day coordination and management of the project
- Capacity building, including direct support to regions and issuance of guidelines and standard regulations ;

<sup>1</sup> The required budget is lump sum to categorized during the actual planning process



- Program management and implementation of activities in accordance with agreements between the Government of Ethiopia and the World Bank;
- Overall Operation monitoring and evaluation.
- Operation reporting, including the periodic progress reports.
- Ensuring that Operation resources are budgeted for and disbursed within the expenditure framework.
- Evaluating the performance of the training scheme as per the agreement made between GoE and WB

The SEP implementation requires the appointment of personnel who will assume implementation and management responsibilities. PIU will be responsible for implementing stakeholder engagement for the TA. The Environment and Social safeguard management specialist will be responsible for coordinating SEP activities.

### **5.2. 3. Regulatory Entities**

- The federal Environmental protection Authority has key role in building and overseeing the capacity in the area of environmental and social safeguard and environmental policy and legal frameworks.
- The regional environmental authorities are responsible for reviewing, regulating and approving environmental and social instruments (including screening, ESIA, ESMP, RAP) during implementation of UIINDP.

## **6. Grievance Redressing Mechanism (GRM)**

### **6.1. Description of Grievance Redressing Mechanisms**

The GRM is designed to address concerns and complaints promptly and transparently with no impacts (cost, discrimination) or any reports made by ULGs Affected People (PAPs). The GRM works within existing legal and cultural frameworks, providing an additional opportunity to resolve grievances at the local, ULGs level. The key objectives of the GRM are:

- Register, categorize, and prioritize the grievances;
- Settle the grievances via consultation with all stakeholders;
- Forward any unresolved cases to the relevant authority.

In order to ensure the implementation of the ULGs in a timely manner and effectively address any anticipated and unanticipated risks that would be encountered during implementation, including the development of the necessary actions of mitigation and avoidance.

This grievance mechanism sets out the steps to be taken to resolve grievances, the role of different staff members involved, and timeframes to reach a decision on grievances. The GRM management will be under MoUI responsibility through the PIU and should ensure implementation with support from the Federal and Regional

Any person or group of people who have a relationship with the TA or are affected by its activities can raise a question, grievance, or complaint.

The Ethiopian Government outlines standard requirement for grievance mechanisms for ULGs. Complaints handling mechanisms should receive and facilitate resolution of the affected communities'

concerns and grievances. The concerns should be addressed promptly using an understandable and transparent process that is culturally appropriate and readily acceptable to all segments of affected communities, at no cost and without retribution.

There are a number of ways for the participation and engagement of citizens in complaint handling, transparency, and social accountability. At the grassroots, citizens have shown experience in forming community groups, committees or representatives to liaison with constituency and seek solutions.

The GRM will not impede affected persons' access to the legal system. At any time, the complainant may take the matter to the appropriate legal or judicial authority as per the laws of the land.

The public will be informed about the GRM through different channels, including TV, radio, newspapers, notice boards, and social media, which will also include means of contacting relevant UIIDP in case of complaints. All related correspondence shall be documented, and the grievance resolution process will be systematically tracked and reported to WB and other entities.

## **6.2. Basic Grievance Management Process**

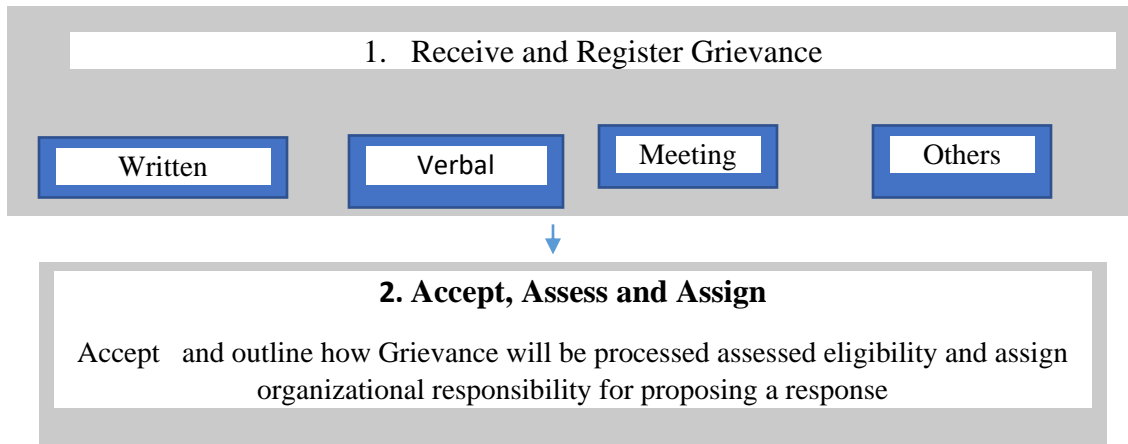
The Social Safeguard Management Expert at MoUI and at all levels will be assigned to follow up on complaints related to the ULGs. The complaint, to be filed, should be related to the ULGs components and/or to its implementation and management. The grievance resolution process involves the following main steps:

- ***Receipt of grievances:*** anyone from the affected communities or believing they are affected by the ULGs can submit a grievance (written, verbal, telephone, etc. **as appropriate for the complainant**).
- ***Registering the complaint:*** the focal point who received the complaint will use the GRM logbook for registering.
- ***Referral and examination of complaints:*** a GRM Committee shall be established at each ULGs implementation site (comprising of members from MoUI-PIU, PAPs, elders, a representative from the Women and Children Affairs office, etc.) who will examine the complaint, resolve, or refer.
- ***Notifying the complainant:*** the decision/solution/action by the grievance committee shall be communicated to the complainant as per the stipulated **timeline**.
- ***Closing the complaint:*** where the decision/solution of the complaint is accepted by the complainant, or a complaint that is not related to the ULGs or any of its components, or a complaint that is being heard by the judiciary will be closed following the appropriate procedure.

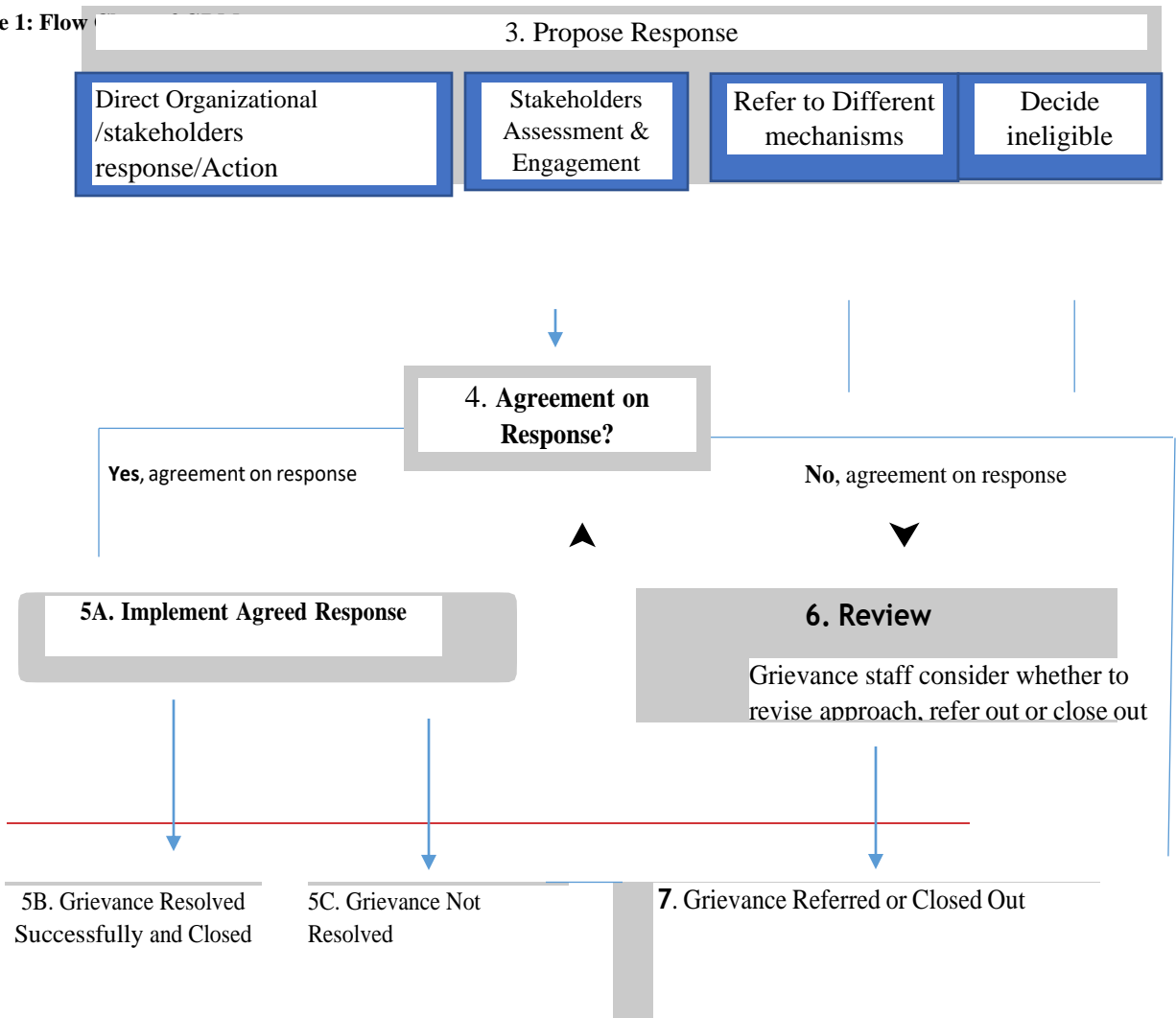
**Table 7: Grievance redressing Mechanisms**

<b>Process</b>	<b>Description</b>	<b>Time Frame</b>	<b>Other Information</b>
Establishment of GRM Committees at all ULGs.	<ul style="list-style-type: none"> <li>GRM Committee will be established at the ULG level comprising of members from local elders, and beneficiaries (Women and Men).</li> </ul>	Before ULGs implementation	Training will be provided by UIIDP for the GRM Committee members and beneficiaries
Identification of grievance.	<ul style="list-style-type: none"> <li>Face to face; telephone; letter; mail; e-mail; website; recorded during public/community interaction; others</li> <li>Any other convenient mechanism for PAPs, disadvantaged, vulnerable groups, etc.</li> </ul>	1 Day	Appropriately disclose Telephone no., an Email address, etc.;
Grievance assessed and logged.	<ul style="list-style-type: none"> <li>Significance assessed and grievance recorded or logged (i.e. in a logbook).</li> <li>It will be prudent to have a grievance record book where the grievances are recorded for follow-up.</li> <li>Grievances concerning sexual exploitation and abuse/gender-based violence should be treated as confidential.</li> </ul>	3-6 Days	Significance criteria: Level 1 –one-off event; Level 2 – complaint is widespread or repeated; Level 3- any complaint (one-off or repeated) that indicates a breach of law/ policy
Grievance is acknowledged.	Acknowledgment of grievance through appropriate medium.	3 Days	
Development of response.	Grievance assigned to the appropriate party for resolution. Response development with input from GRM Committee/relevant stakeholders.	4-8 Days	
Response signed off	Redress action approved at appropriate levels.	8-10 Days	
Implementation/ communication of response	Redress action implemented and update of progress on resolution communicated to the complainant.	5-9 Days	

**Figure 1: Flow Chart of Grievance Redressing Mechanisms**



**Figure 1: Flow**



### **6.3. World Bank Grievance Redress System**

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

### **6.4. Principles of a good GRM**

Effective GRMs usually embody six core principles;

- *Fairness.* Grievances are treated confidentially, assessed impartially, and handled transparently.
- *Objectiveness and independence.* The GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case. GRM officials have adequate means and powers to investigate grievances (e.g., interview witnesses, access records).
- *Simplicity and accessibility.* Procedures to file grievances and seek action are simple enough that ULGs beneficiaries can easily understand them. ULGs beneficiaries have a range of contact options including, at a minimum, a telephone number (preferably toll-free), an e-mail address, and a postal address. The GRM is accessible to all stakeholders, irrespective of the remoteness of the area they live in, the language they speak, and their level of education or income. The GRM does not use complex processes that create confusion or anxiety (such as only accepting grievances on official-looking standard forms or through grievance boxes in government offices).
- *Responsiveness and efficiency.* The GRM is designed to be responsive to the needs of all complainants. Accordingly, officials handling grievances are trained to take effective action upon, and respond quickly to, grievances and suggestions.
- *Speed and proportionality.* All grievances, simple or complex, are addressed and resolved as quickly as possible. The action taken on the grievance or suggestion is swift, decisive, and constructive.
- *Participatory and social inclusion.* A wide range of ULGs-affected people— community members, members of vulnerable groups, ULGs implementers, civil society, and the media—are encouraged to bring grievances and comments to the attention of ULGs authorities. Special attention is given to ensure that poor people and marginalized groups, including those with special needs, are able to access the GRM.

## **6.5. Registry and Monitoring**

All complaints received will be entered into a publicly accessible system that will allow complaints to be tracked and monitored. The system will also present a database showing:

- No of complaints were received.
- No and % of complaints that have reached agreement.
- No and % of complaints that have been resolved.
- No and % of complaints that have gone to mediation
- No and % of complaints that have not reached an agreement

## **7. Monitoring and reporting**

### **7.1. Summary of how SEP will be monitored and reported upon (including indicators)**

The following Monitoring actions will be undertaken regarding stakeholder interests in line with the environmental and social performance of the TA, which will include:

- Conducting stakeholder engagement in a consultative manner, in accordance with the SEP, and building upon the channels of communication and engagement as established with stakeholders.
- Collection of feedback from stakeholders on the environmental and social performance of the ULGs, and on the implementation of the mitigation measures outlined in the ESCP on an annual basis.
- Periodic reviews of compliance with requirements of the legal agreements, including the ESCP.
- Where appropriate, and as will be set out in this SEP, engaging stakeholders and third parties such as independent experts, local communities, or nongovernmental organizations (NGOs), to complement or verify ULGs stakeholder monitoring information.
- Where other agencies or third parties would be responsible for managing specific risks and impacts and implementing mitigation measures, MoUI would collaborate with such agencies and third parties to establish and monitor such mitigation measures.

### **7.2. Reporting back to stakeholder groups**

The stakeholder engagement process aims to support the development of strong, constructive, and responsive relationships among the key TA stakeholders for successful management of the TA's environmental and social risks. Effective stakeholder engagement between the MoUI and ULGs stakeholders improves the environment and social sustainability of ULGs, enhances ULGs acceptance and makes a significant contribution to successful ULGs design and preparation.

All stakeholder engagement meetings will have minutes, which will be stored in the ULGs stakeholder engagement database; this will be to ensure that

- there are records that can be referred to and that all views raised are taken into consideration, and
- Commitments made are delivered upon.

Advice on basic requirements for meaningful monitoring is plentiful. Like any other type of monitoring, monitoring of engagement needs to comply with basic requirements such as goals and objectives need to be established, targets and trajectories need to be set, financial contributions need to be committed, and personnel need to be trained and made responsible for their duties. It is also important to remember that monitoring is a process. Therefore, monitoring can and should occur at different time steps. For example:

- Monitoring of the engagement process itself: this type of monitoring can be initiated over the short term. The effectiveness of the engagement process can be monitored, and the process can be adjusted for improvement.
- Monitoring of outputs: this type of monitoring can be initiated at the end of the engagement process itself, as a tool for evaluation of the process completed.
- Monitoring of outcomes of the engagement process: monitoring of outcomes requires longer time lines as well as evaluation of a wider set of drivers and conditions. Longer time lines and increased complexity also mean increased funding requirements. However, this type of monitoring does allow us to track the actual effectiveness of the engagement process as an agent of change.
- Monitoring of trends ('reach'): this type of monitoring is even more complex in nature. It also requires long timelines but places greater emphasis on the evaluation of wider sets of drivers and conditions and their impact on resource condition
- Monitoring of unintended consequences: the monitoring system needs to be sufficiently flexible to allow for and accommodate changes in context. The learning will be greatly enhanced if the system allows for the monitoring of unintended consequences, as well as the expected ones.

**Table 8: Principles of Informing a Monitoring Framework**

<b>Principle</b>	<b>Description</b>
Social learning	Monitoring processes need to contribute to collective learning and action by stakeholders
Adaptive management	Monitoring processes should provide relevant feedback to inform decisions about future actions
Assess processes as well as outcomes	Document and share lessons on the process of monitoring plan development
Analyze change through dialogue and contextual understanding	Recognize it may not be possible to trace observed changes to ULG actions, but deal with this by collaboratively interpreting findings with ULGs partners who have a rich understanding of the social and ecological context
Phasing of change processes	Focus early monitoring efforts more on process indicators, with outcome indicators becoming more significant during ULGs implementation. Changes in environmental status are longer term
Fostering collaboration	Collaboration between stakeholders is important during the design, implementation, and interpretation of monitoring findings, and involves careful facilitation and negotiation
Integration	Monitoring plans should span the different aspects of ULGs (ecological, social, institutional, and so forth), incorporate the knowledge held by different groups, and address different scales of action and outcome

Principle	Description
Workable	The plan is simple to grasp, 'light' to implement, produces useful information and meets reporting requirements

### 8. Central Point of Contact

SN	Full name	Position	Contact address	Remark
1	Demeke Argaw	Social Safeguard Specialist Urban Institutional Infrastructure Development Program Ministry of Urban and Infrastructure.	Mobile +251 911 439495 Email <a href="mailto:demekeat@gmail.com">demekeat@gmail.com</a>	
2				



**Annex 1 : Template to Capture Consultation Minutes**

<b>Sn</b>	<b>Stakeholder (Group or Individual)</b>	<b>Summary of Feedback</b>	<b>Response of Project Implementation Team</b>	<b>Follow-up Action/Next Steps</b>

**Annex 2: Examples of a SEP Budget Table**

Description	Quantity	Unit costs	Times/Years	Total costs	Remarks
<b>1. Estimated Staff salaries* and related expenses-</b>					
Specialists (communications, capacity Development, )					
Travel cost					
1c. E.g., Estimated salaries for Community Liaison Officers					
<b>2. Consultations/ Participatory Planning, Decision-Making Meetings</b>					
2a. E.g., Project launch meetings					
2b. E.g., Organization of focus groups					
<b>3. Communication campaigns</b>					
3a. E.g., Posters, flyers					
3b. E.g., Social media campaign					
<b>4. Trainings</b>					
4a. E.g., Training on social/environmental issues for PIU and contractor staff					
4b. E.g., Training on Gender-Based Violence (GBV) for PIU and contractor staff					
<b>5. Beneficiary surveys</b>					
5a. E.g., Mid-project perception survey					
5b. E.g., End-of-project perception survey					
<b>6. Grievance Mechanism</b>					
6a. E.g., Training of GM committees					

6b. E.g., Suggestion boxes in villages					
6c. E.g., GM communication materials					
6d. E.g., Grievance investigations/site visits					
6e. E.g., GM Information System (setting up or maintenance)					
6f. Other GM Logistical Costs					
<b>7. Other expenses</b>					
7a...					
<b>TOTAL STAKEHOLDER ENGAGEMENT BUDGET:</b>					

\*Note: Salary costs can be indicative

### Annex 3: Sample Monitoring and Reporting on SEP

Key evaluation questions	Specific Evaluation questions	Potential Indicators	Data Collection Methods
<b>GRM.</b> To what extent have project-affected parties been provided with accessible and inclusive means to raise issues and grievances? Has the implementing agency responded to and managed such grievances?	<p>_Are project affected parties raising issues and grievances?</p> <p>_How quickly/effectively are the grievances resolved?</p>	<ul style="list-style-type: none"> <li>▪ Usage of GM and/or feedback mechanisms</li> <li>▪ Requests for information from relevant agencies.</li> <li>▪ Use of suggestion boxes placed in the villages/project communities.</li> <li>▪ Number of grievances raised by workers, disaggregated by gender of workers and worksite, resolved within a specified time frame.</li> <li>▪ Number of Sexual Exploitation, and Abuse/Sexual Harassment (SEA/SH) cases reported in the project areas</li> <li>▪ Number of grievances that have been (i) opened, (ii) opened for more than 30 days, (iii) resolved, (iv) closed, and (v) number of responses that satisfied the complainants, during the reporting period disaggregated by category of grievance, gender, age,</li> </ul>	Records from the implementing agency and other relevant agencies

		and location of complainant.	
<p><b>Stakeholder engagement impact on project design and implementation.</b> How have engagement activities made a difference in project design and implementation?</p>	<p>_ Was there interest and support for the project? _ Were there any adjustments made during project design and implementation based on the feedback received? _ Was priority information disclosed to relevant parties throughout the project cycle?</p>	<ul style="list-style-type: none"> <li>▪ Active participation of stakeholders in activities</li> <li>▪ Number of actions taken in a timely manner in response to feedback received during consultation sessions with project affected parties.</li> <li>▪ Number of consultation meetings and public discussions where the feedback and recommendation received is reflected in project design and implementation.</li> <li>▪ Number of disaggregated engagement sessions held, focused on at-risk groups in the project.</li> </ul>	<p>Stakeholder Consultation Attendance Sheets/Minutes Evaluation forms Structured surveys Social media/traditional media entries on the project results</p>
<p><b>Implementation effectiveness.</b> Were stakeholder engagement activities effective in implementation?</p>	<p>_ Were the activities implemented as planned? Why or why not? _ Was the stakeholder engagement approach inclusive of is aggregated groups? Why or why not?</p>	<ul style="list-style-type: none"> <li>• Percentage of SEP activities implemented.</li> <li>• Key barriers to participation identified with stakeholder representatives.</li> <li>• Number of adjustments made in the stakeholder engagement approach to improve projects' outreach, inclusion and effectiveness.</li> </ul>	<p>_ Periodic Focus Group Discussions Face-to-face meetings and/or Focus Group discussions with Vulnerable Groups or their representatives</p>

