**Stakeholder Engagement Plan (SEP)**

**Simplified Template for Moderate and Some Substantial Risk Projects**

**April 2023**

**Template Instructions:** 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 scope and level of detail of the SEP should be commensurate with and proportionate to the nature and scale, potential risks, and impacts of the project and the concerns of the stakeholders who may be affected by or are interested in the project.

Depending on the nature of the scale of the risks and impacts of the project, the elements of a SEP may be included as part of the Environmental and Social Commitment Plan (ESCP), for example, with low risk projects, and preparation of a stand-alone SEP may not be necessary.

For Moderate and some Substantial Risk Projects, whereby E&S risks may be less complex than High Risk projects, this simplified SEP template may be used. Use of this simplified template is optional and should be used together with the accompanying Tip Sheet (separate document).

The SEP should be clear and concise; the suggested length is **no more than 20 pages including annexes**. Each section has a suggested page limit.

Throughout the document, instructions are in red and should be deleted upon completion. Information specific to the project should be inserted where there are [ ](for example, “[name of project]”) Delete the [ ] when inserting information.

## 1. Introduction/Project Description (suggested length: 1 page)

Describe project objectives, components, and location. Add link to Project Information Document (PID) if available.

The [name of project] aims to [add project development objective].

The [name of project] comprises the following components: [list components and short description] [list locations].

The [name of project] is being prepared under the World Bank’s Environment and Social Framework (ESF). Per Environmental and Social Standard ESS10 on Stakeholder Engagement and Information Disclosure, the implementing agencies should provide stakeholders with timely, relevant, understandable, and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination, or intimidation.

**2. Objective/Description 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 project team will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about project activities or any activities related to the project.

## 3. Stakeholder identification and analysis (suggested length: 1–2 pages)

## 3.1 Methodology

In order to meet best practice approaches, the project will apply the following principles for stakeholder engagement:

* *Openness and life-cycle approach:* Public consultations for the project(s) will be arranged during the whole life cycle, carried out in an open manner, free of external manipulation, interference, coercion, or intimidation.
* *Informed participation and feedback:* Information will be provided to and widely distributed among all stakeholders in an appropriate format; opportunities are provided for communicating stakeholder feedback, and for analyzing and addressing comments and concerns.
* *Inclusiveness and sensitivity:* Stakeholder identification is undertaken to support better communications and build effective relationships. The participation process for the projects is inclusive. All stakeholders at all times are encouraged to be involved in the consultation process. Equal access to information is provided to all stakeholders. Sensitivity to stakeholders’ needs is the key principle underlying the selection of engagement methods. Special attention is given to vulnerable groups that may be at risk of being left out of project benefits, particularly women, the elderly, persons with disabilities, displaced persons, and migrant workers and communities, and the cultural sensitivities of diverse ethnic groups.
* *Flexibility:* (include if relevant) If social distancing, cultural context (for example, particular gender dynamics), or governance factors (for example, high risk of retaliation) inhibits traditional forms of face-to-face engagement, the methodology should adapt to other forms of engagement, including various forms of internet- or phone-based communication.

### **3.2. Affected parties and other interested parties [[1]](#endnote-1)**

Affected parties include local communities, community members, and other parties that may be subject to direct impacts from the Project. Specifically, the following individuals and groups fall within this category: [add list of possible affected parties, positive or negative].

The projects’ stakeholders also include parties other than the directly affected communities, including [add list of other possible stakeholders. Examples include NGOs or civil society groups at the local and national levels, business owners and providers of services within the project area, other government officials].

### **3.3. Disadvantaged/vulnerable individuals or groups[[2]](#endnote-2)**

Within the Project, vulnerable or disadvantaged groups may include but are not limited to the following: [add table or list of possible vulnerable groups and the barriers to accessing information, or other Project benefits. Examples include elderly people, persons with disabilities and their caretakers, women-headed households, sexual and gender minorities, the unemployed, and disadvantaged groups that meet the requirements of ESS 7. Identify representative organizations and leaders for these groups who can be partners in stakeholder engagement].

Vulnerable groups within the communities affected by the Project may be added, further confirmed, and consulted through dedicated means, as appropriate. Description of the methods of engagement that will be undertaken by the project is provided in the following sections.

## 4. Stakeholder Engagement Program (suggested length: 3 pages max)

### **4.1. Summary of stakeholder engagement done during project preparation**

During project preparation, the following public consultation meetings were conducted [insert brief summary description of meetings held, venue, number of participants, and key issues discussed]. Refer to Annex Table 1 for details.

The environmental and social reports and plans were disclosed through [insert]. Feedback received during consultations was [insert summary of key points raised by stakeholders] and was taken into account by [insert]. A summary of the main recommendations received and integrated into the Stakeholder Engagement Plan is provided in Annex table 1.

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

Different engagement methods are proposed and cover different stakeholder needs as stated below: [insert description. Examples may include (i) structured agendas, (ii) focus group meetings/discussions, (iii) community consultations, (iv) formal meetings, (v) one-on-one interviews, and (vi) site visits.]

### **4.3. Stakeholder engagement plan**

Complete table below.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Project Stage** | **Estimated Date/Time Period** | **Topic of Consultation/ Message** | **Method Used**  | **Target Stakeholders**  | **Responsibilities**  |
|  |  |  |  |  |  |

### Note: Highlight activities focused on vulnerable groups in the above table. Pay particular attention to vulnerable groups such as poor women, persons with disabilities, and others.[[3]](#endnote-3) Under “Methods Used,” examples may include, as appropriate: (i) for government entities: correspondence by phone/email; one-on-one interviews; formal meetings; and roundtable discussions; and (ii) for local communities/vulnerable groups: letters to village leaders; traditional notifications; disclosure of Project documentation in a culturally appropriate and accessible manner; community meetings; focus group discussions; outreach activities.

Information will be disclosed as follows: [Briefly describe what information will be disclosed (for example, SEP; relevant E&S documents; Grievance Mechanism (GM) procedures; project orientation; regular updates on project developments); and in what formats (for example, public notices, press releases, Project website; consultation meetings; information leaflets and brochures; separate focus group meetings with vulnerable groups). Indicate which language will be used to disclose information.]

### **4.4. Reporting back to stakeholders**

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 Mechanism, and on the project’s overall implementation progress.

## 5. Resources and Responsibilities for implementing stakeholder engagement activities (suggested length: 2 pages)

### **5.1. Resources**

The [insert name of entity] will be in charge of stakeholder engagement activities.

The budget for the SEP is [insert] and is included in component [insert] of the project.

An example of a budget table is included below (only include those categories that apply). Complete table below:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Budget Category** | **Quantity** | **Unit Costs** | **Times/Years** | **Total Costs** | **Remarks** |
| **1. Estimated staff salaries\* and related expenses** |  |  |
| 1a. [E.g., communications consultant] |  |  |  |  |  |
| 1b. [E.g., travel costs for staff] |  |  |  |  |  |
| 1c. [E.g., estimated salaries for Community Liaison Officers] |  |  |  |  |  |
| **2. Events** |  |  |  |  |  |
| 2a. [E.g., organization of focus groups] |  |  |  |  |  |
| **3. Communication campaigns** |  |  |  |  |  |
| 3a. [E.g., posters, flyers] |  |  |  |  |  |
| 3b. [E.g., social media campaign] |  |  |  |  |  |
| **4. Trainings**  |  |  |  |  |  |
| 4a. [E.g., training on social/environmental issues for PIU and contractor staff] |  |  |  |  |  |
| 4b.[ E.g., training on gender-based violence (GBV) for Project Implementing Unit (PIU) and contractor staff] |  |  |  |  |  |
| **5. Beneficiary surveys** |  |  |  |  |  |
| 5a. [E.g., mid-project perception survey] |  |  |  |  |  |
| 5b. [E.g., end-of-project perception survey] |  |  |  |  |  |
| **6. Grievance Mechanism** |  |  |  |  |  |
| 6a.[E.g., training of GM committees] |  |  |  |  |  |
| 6b. [E.g., suggestion boxes in villages] |  |  |  |  |  |
| 6c. [E.g., GM communication materials] |  |  |  |  |  |
| **7. Other expenses** |  |  |  |  |  |
| 7a. [insert] |  |  |  |  |  |
| **TOTAL STAKEHOLDER ENGAGEMENT BUDGET:** |  |  |

*Note:* \*Salary costs can be indicative.

### **5.2. Management functions and responsibilities**

The entities responsible for carrying out stakeholder engagement activities are [insert].

The stakeholder engagement activities will be documented through [insert].

## 6. Grievance Mechanism (suggested length: 2 pages max)

The main objective of a GM is to assist to resolve complaints and grievances in a timely, effective, and efficient manner that satisfies all parties involved.

### **6.1. Description of GM**

Complete table below. Examples are listed below for illustrative purposes; only include the examples that apply.

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Description of Process**  | **Time Frame** | **Responsibility** |
| GM implementation structure | [Describe, for example, GM structure at national, regional, and local levels] |  |  |
| Grievance uptake | Grievances can be submitted via the following channels: * [e.g. Toll-free telephone hotline/Short Message Service (SMS) line
* E-mail
* Letter to Grievance focal points at local facilities
* Complaint form to be lodged via any of the above channels
* Walk-ins may register a complaint in a grievance logbook at a facility or suggestion box]
 |  |  |
| Sorting, processing | Any complaint received is forwarded to [insert], Logged in [insert], and categorized according to the following complaint types: [X/Y/Z] | Upon receipt of complaint | Local grievance focal points |
| Acknowledgment and follow-up | Receipt of the grievance is acknowledged to the complainant by [insert] | Within 2 days of receipt | Local grievance focal points |
| Verification, investigation, action | Investigation of the complaint is led by [insert] A proposed resolution is formulated by [insert] and communicated to the complainant by [insert] | Within 10 working days | Complaint Committee composed of …, … and … |
| Monitoring and evaluation | Data on complaints are collected in [insert] and reported to [insert] every [insert] |  |  |
| Provision of feedback | Feedback from complainants regarding their satisfaction with complaint resolution is collected [insert] |  |  |
| Training | Training needs for staff/consultants in the PIU, Contractors, and Supervision Consultants are as follows: [insert] |  |  |
| If relevant, payment of reparations following complaint resolution | [Describe how reparations will be handled including amounts, recipients, etc.] |  |  |

The GM will provide an appeals process if the complainant is not satisfied with the proposed resolution of the complaint. Once all possible means to resolve the complaint have been proposed and if the complainant is still not satisfied, then they should be advised of their right to legal recourse.

[When relevant, the project will have other measures in place to handle sensitive and confidential complaints, including those related to Sexual Exploitation and Abuse/Harassment (SEA/SH) in line with the World Bank ESF Good Practice Note on SEA/SH. Insert description if relevant]

[Also insert a few sentences about the Labor Grievance Mechanism, including that it exists and that workers can use it. The Labor GM should be described in detail in the Labor Management Procedures].

The World Bank and the Borrower do not tolerate reprisals and retaliation against project stakeholders who share their views about Bank-financed projects.

## 7. Monitoring and Reporting (suggested length: half a page)

### **7.1. Summary of how SEP implementation will be monitored and reported**

Describe SEP monitoring and reporting arrangements. Include indicators, for example, number of community meetings held to discuss project progress, number of information boards displayed, etc.). Describe involvement of stakeholders in monitoring activities, if applicable.

###

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

The SEP will be periodically revised and updated as necessary in the course of project implementation. [insert Quarterly or other] summaries and internal reports on public grievances, enquiries, and related incidents, together with the status of implementation of associated corrective/preventive actions, will be collated by responsible staff and referred to the senior management of the project. The [quarterly or other] summaries will provide a mechanism for assessing both the number and nature of complaints and requests for information, along with the Project’s ability to address those in a timely and effective manner. Information on public engagement activities undertaken by the Project during the year may be conveyed to the stakeholders in various ways: [insert].

**Annexes**

These can include:

* Records of meetings or consultations (see table 1)
* Visual summaries such as stakeholder mapping or stakeholder diagrams
* Grievance submission form, etc.

**Table 1. Template to Capture Consultation Minutes**

Complete table below.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Stakeholder (Group or Individual)** | **Dates of Consultations** | **Summary of Feedback** | **Response of Project Implementation Team** | **Follow-up Action(s)/Next Steps** | **Timetable/ Date to Complete Follow-up Action(s)** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

**Endnotes**

1. For the purposes of effective and tailored engagement, stakeholders of the proposed project(s) can be divided into the following core categories:

	* **Affected Parties:** Persons, groups, and other entities within the Project Area of Influence (PAI) that are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to change associated with the project, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures.
	* **Other Interested Parties:** Individuals/groups/entities that may not experience direct impacts from the Project but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way.
	* **Vulnerable Groups:** Persons who may be disproportionately impacted or further disadvantaged by the project(s) compared with any other groups due to their vulnerable status, and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project.
	* It is important to note that sometimes projects have different components with very different sets of stakeholders for each component. Those different stakeholders should be considered in preparing the SEP. [↑](#endnote-ref-1)
2. It is particularly important to understand whether project impacts may disproportionately fall on disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project, and to ensure that awareness raising and stakeholder engagement be adapted to take into account such groups’ or individuals’ particular sensitivities, concerns, and cultural sensitivities and to ensure a full understanding of project activities and benefits. 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 decision making so that their awareness of and input into the overall process are commensurate with those of other stakeholders. [↑](#endnote-ref-2)
3. Examples may include (i) Women: ensure that community engagement teams are gender-balanced and promote women’s leadership within these, design online and in-person surveys and other engagement activities so that women in unpaid care work can participate; consider provisions for childcare, transport, and safety for any in-person community engagement activities; there may also be women who face multiple challenges, for example, indigenous women, women with disabilities, etc. (ii) Elderly and people with existing medical conditions: develop information on specific needs and explain why they are at more risk and what measures to take to care for them; tailor messages and make them actionable for particular living conditions (including assisted living facilities), and health status; target family members; (iii) People with disabilities: provide information in accessible formats, such as braille or large print; offer multiple forms of communication, such as text captioning or signed videos, text captioning for the hearing impaired, and online materials for people who use assistive technology; and (iv) Children: design information and communication materials in a child-friendly manner and provide parents with skills to handle their own anxieties and help manage those in their children. [↑](#endnote-ref-3)