

Annex 2: Stakeholder Engagement Plan (SEP)



Southern African Development Community (SADC)

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

Table of Contents

Table of Contents	2
List of Tables	3
ABBREVIATIONS AND ACRONYMS	4
1. INTRODUCTION	6
1.1 Background	6
1.2 Program Development Objective	7
1.3 Program Components	7
1.4 Program Geographical Location.....	8
1.5 Potential Environmental and Social Risks	8
1.6 Institutional Arrangements.....	8
1.7 Objectives of the SEP	8
2. Regulations and Requirements.....	9
3. Stakeholder Identification and Analysis	10
4. Stakeholder Engagement Program.....	14
4.1 Preparation Stage: Summary of Previous Stakeholder Engagement Activities....	14
4.2 Purpose and Timing of Stakeholder Engagement Program	15
4.3 Proposed Strategy for Information Disclosure	17
4.4 Proposed Strategy for Consultation	21
4.5 Engagement with Disadvantaged and Vulnerable Groups	26
4.6 Timelines.....	Error! Bookmark not defined.
4.7 Review of Comments	26
5. Estimated Costs for SEP Implementation	26
6. Grievance Redress Mechanism (GRM)	26
6.1 Monitoring	31
6.2 World Bank Grievance Redress Service	32
7. STAKEHOLDER ENGAGEMENT MONITORING AND EVALUATION	32
7.1 Management Functions and Responsibilities	33
7.2 Monitoring and Evaluation.....	33
7.3 Reporting.....	34
7.4 Reporting Back to Stakeholder Groups.....	34
ANNEX 1: Grievance Form and Register	Error! Bookmark not defined.

List of Tables

Table 1 Activities implemented by SADC	Error! Bookmark not defined.
Table 2 Summary of Stakeholders Identification	11
Table 3 Strategy for Information Disclosure	18
Table 4 Strategy for Consultation	22
Table 5 Indicative Budget for implementation of SEP.....	26
Table 6 Methods and frequency of reporting to stakeholders.....	34

ABBREVIATIONS AND ACRONYMS

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

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

1. INTRODUCTION

1.1 Background

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

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

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

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

The World Bank's Environmental and Social Standard 10¹ recognizes the importance of open and transparent engagement with all Program stakeholders, based on the recognition that effective stakeholder engagement can improve E&S sustainability of Program activities, enhance Program acceptance, and implementation, and allow stakeholders to contribute to Program design. The key objectives of stakeholder engagement include a) an assessment of the level of interest and support of the Program by stakeholders to promote effective and inclusive engagement with all project-affected parties and b) to ensure that Program information on E&S risks and impacts is disclosed in a timely and understandable way.

This Stakeholder Engagement Plan (SEP) outlines all stakeholder engagements for the SADC activities under the Program in a systematic way. It defines legal and policy requirements in regard to stakeholder engagements, lists stakeholder engagements that have already been undertaken, provides a stakeholder analysis of all relevant project-

¹ The World Bank, Environmental and Social Framework (ESF), 2018.

affected parties, including members of vulnerable groups, to the NBI activities and lays out the means of dissemination of information to different parties as well as means and ways to continue to consult different stakeholder groups throughout the Program cycle. It also includes a Grievance Redress Mechanism (GRM), by which people affected by SADC's project-related activities can bring their grievances and concerns to project management's attention, and which describes how those grievances and concerns will be considered and addressed. Furthermore, it contains a monitoring plan for the implementation of the SEP.

This SEP applies exclusively to the SADC - RCRP and the identified beneficiaries do not involve those covered by participating Member States. Activities involving direct community engagement, physical works, or local beneficiaries are covered under country-level SEPs.

1.2 Program Development Objective

The Program Development Objective (PDO) is to improve the management of water-related climate impacts in Eastern and Southern Africa/AFE and strengthen the resilience of populations to climate-related shocks. As already mentioned, the project aims to serve as a first step towards a regional platform to tackle climate adaptation through a common and coordinated approach, including on fund raising and consolidating multi-lateral and bi-lateral support – which is critical to ensure alignment, development, and scaled-up financing of critical adaptive interventions.

1.3 Program Components

The project has four (4) components namely:

- (i) Strengthening Risk Management and Climate Financing;
- (ii) To improve Infrastructure Investments and Sustainable Asset Management for Climate Resilience;
- (iii) To develop Adaptive Climate Services for Resilient Communities; and
- (iv) Project Management.

The SADC Regional Project proposes a platform for coordinated action on the regional climate change challenge, for testing and expanding a use of standardised and replicable approaches on emerging good practices across countries and sectors and for mobilising core financing for this agenda.

The proposed component's structure includes a strong intervention between regional and national dimensions, and provides a platform for policy and regulatory harmonization, joint knowledge generation, capacity development, standardisation of climate resilient infrastructure, cooperation and coordination between Member States. This regional approach is critical to achieve increased preparedness to the regional impacts of climate change, with social and economic benefits which will go beyond each country's boundaries.

This Stakeholder Engagement Plan (SEP) is covered under Component 4 which focuses on Project Management and provides the setting up and operationalisation of the Grievance Redress Mechanism (GRM) and Labour Management Procedures (LMP).

1.4 Program Geographical Location

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

1.5 Potential Environmental and Social Risks

The overall environmental risk for the regional programme is high given the nature of the physical investments and infrastructure activities. However, the activities SADC will be implementing under this Program do not include infrastructure activities or potential downstream environmental impacts that may occur for infrastructure investments that will be planned and prepared through SOP 1 TA activities. Given that SADC's role is limited to Technical Assistance, there will be no direct construction or community-level physical interventions, the main environmental risks emanating from potential downstream impacts from TA activities are moderate.

The overall social risk for the regional programme is also considered high given the nature of the activities at regional level. The potential key risks and impacts for regional activities include labor management issues, Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH) in regards to workers, as well as general Occupational Health and Safety (OHS) issues. Given that SADC's role is limited to Technical Assistance, the risks related to labour management, SEA/SH and OHS are moderate. Separate Labor Management Procedures (LMP) are prepared to mitigate these risks.

1.6 Institutional Arrangements

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

1.7 Objectives of the SEP

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

The objectives of this SEP are:

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

2. Regulations and Requirements

Stakeholder engagement is an inclusive process conducted throughout the Program life cycle to support the development of strong, constructive, and responsive relationships that are important for successful management of a Program's environmental and social risks. This Program is carried out in accordance with World Bank's Environmental and Social Standards (ESSs) and the Environmental and Social Commitment Plan (ESCP). The World Bank's Environmental and Social Framework (ESF) includes Environmental and Social Standard (ESS) 10, "Stakeholder Engagement and Information Disclosure", which recognizes "the importance of open and transparent engagement with the Program stakeholders as an essential element of good international practice". ESS10 also provides that effective stakeholder engagement can significantly improve the environmental and social sustainability of Programs, enhance Program acceptance, and make a significant contribution to successful Program design and implementation. The ESCP provides for measures and actions that shall be carried out as well as the timeframes of these actions and measures, in terms of institutional, staffing, training, monitoring and reporting arrangements, and grievance management. It also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Program.

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

- a. support Borrowers in achieving good international practice relating to environmental and social sustainability;
- b. assist Borrowers in fulfilling their national and international environmental and social obligations;
- c. enhance non-discrimination, transparency, participation, accountability, and governance; and

- d. enhance the sustainable development outcomes of projects through ongoing stakeholder engagement.

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

3. Stakeholder Identification and Analysis

The stakeholder identification presented in this section relates exclusively to regional-level activities implemented by SADC. Country-specific stakeholder identification is covered under each country's respective SEP.

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

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

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

Table 2: Summary of Stakeholders Identification

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

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

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

4. Stakeholder Engagement Program

This section of the report details stakeholder engagement activities including purpose and timing of stakeholder engagement program. Further, it outlines the proposed strategy for information disclosure and proposed strategy for consultation. It also highlights the process for engagement with disadvantaged and vulnerable groups.

4.1 Preparation Stage: Summary of Previous Stakeholder Engagement Activities

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

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

In regard to stakeholder engagement, participants articulated that they would like to be kept informed on project activities and other relevant information. Participants proposed, next to the typical engagement methods, to potentially hold an informal monthly meeting,

in which all stakeholders can share information on their latest initiatives and coordinate across the region. This has been taken into account in this SEP.

4.2 Purpose and Timing of Stakeholder Engagement Program

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

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

This section outlines some of the proposed methods of stakeholder engagement over the Program cycle. Stakeholder engagement will be undertaken on a continuous basis to inform the project affected persons and other members of the public about Program activities and plans and will employ appropriate strategies to ensure effective and meaningful disclosure of information. Different engagement methods are proposed and cover different needs of the stakeholders.

Table 4.2: Timelines for Stakeholder Engagement

Engagement objective	Target Stakeholders	Timeline	Responsible
Understanding concerns of different stakeholders	SADC entities National Institutions responsible for water management National academic institutions and water research agencies Water professionals working at national level NGOs – Water Aid, Water Mission, World	Bi- annual Project Steering Committee meetings Mid term Review consultations Final project evaluation consultations	PIU

	Vision, Kalahari Conservation Society River Basin Organizations Regional Water Resource Management Agencies Water professionals working at regional level International Partners (World Bank and others)		
Reception of feedback and comments as well as grievances from stakeholders	SADC entities National Institutions responsible for water management National academic institutions and water research agencies Water professionals working at national level NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society River Basin Organizations Regional Water Resource Management Agencies Water professionals working at regional level International Partners (World Bank and others)	Throughout the project cycle	PIU
Feedback on potential environmental and social risks and impacts and mitigation measures	River Basin Organizations Regional Water Resource Management Agencies SADC entities NGOs – Water Aid, Water Mission, World	Quarterly review meetings Mid-term review consultations Throughout the project cycle	PIU

	Vision, Kalahari Conservation Society National Institutions responsible for water management National academic institutions and water research agencies		
Regular update on project implementation	SADC entities National Institutions responsible for water management National academic institutions and water research agencies Water professionals working at national level NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society River Basin Organizations Regional Water Resource Management Agencies Water professionals working at regional level International Partners (World Bank and others)	Project Steering Committee Meetings Mid – term Consultations Final evaluation consultations	PIU

4.3 Proposed Strategy for Information Disclosure

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

Table 3 Strategy for Information Disclosure

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

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

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

4.4 Proposed Strategy for Consultation

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

Table 4: Strategy for Consultation

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

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

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

Topic of Consultation	Target Stakeholders	Expected outcomes	Suggested Method of consultation	Timetable: location and dates	Responsibility
	NGOs – Water Aid, Water Mission, World Vision, Kalahari Conservation Society River Basin Organizations Regional Water Resource Management Agencies Water professionals working at regional level International Partners (World Bank and others)				

4.5 Engagement with Disadvantaged and Vulnerable Groups

Since SADC will work with governments implementing Program activities, and will not be working directly with countries and their different communities, no disadvantaged and vulnerable groups are expected to be engaged directly by SADC. Such engagements will be undertaken at the country levels, based on country-specific SEPs, and by the country governments. Results will nevertheless be made available to SADC. SADC will request national PIUs to provide gender-disaggregated data as part of their regular reporting, and will include a summary of gender and social inclusion considerations in its consolidated regional progress reports submitted to the World Bank.

4.6 Review of Comments

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

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

5. Estimated Costs for SEP Implementation

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

6. Indicative Budget for implementation of SEP

A total of US\$10,000 has been allocated for stakeholder engagement. Additional costs including grievance redress related costs are embedded under Component 4 in the Project Management budget over the period of the project.

7. Grievance Redress Mechanism (GRM)

The SADC RCRP PIU has a GRM in place to provide a formal process for managing complaints from stakeholders as provided under ESS10 of the WB ESF and the participating states national requirements. The PIU continues to apply the same GRM. The GRM only covers regional level grievances for activities implemented by the SADC

Secretariat. Country-specific projects, have their own country-level GRM, which functions independently and is administrated by their respective PIUs. If the SADC GRM receives grievances, complaints or feedback that relate to activities implemented by national governments, these grievances will be registered and will then be formally referred to the respective country PIU to be handled, ensuring traceability.

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

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

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

Grievance Process

Grievance reporting: The Project has provided several channels for reporting of incidents, complaints or grievances arising out of the normal implementation of SADC project-related activities. Reporting can be done through a dedicated first contact of the Project Coordinator, a dedicated email address for grievance redress feedback.rcrp@sadc.int, the Complaint Form and a SADC hotline. In the absence of the Project Coordinator, another grievance recipient will be designated to receive, acknowledge and process the grievance until resolution and report on the outcomes to World Bank.

For grievances raised by direct workers, the process aligns with the SADC Disciplinary and Grievance Policy and shall follow the steps as described below:

1. **Filing a grievance** through the Project Coordinator, who logs and acknowledges receipt within 24 hours.
2. **Conciliation Level:** If unresolved, the matter is escalated to the Human Resources Officer for resolution.
3. **Mediation Level:** If further resolution is required, the case is reviewed by a Grievance Committee.
4. **Appeal Level:** If unresolved, the grievance is escalated to SADC Senior Management.
5. **Final Resolution:** If no agreement is reached, legal action may be pursued.

For project workers such as consultants, contractors, service providers, participants to trainings and workshops, grievances and complaints will follow the grievance procedures for non-staff stakeholders. Project workers including consultants and other stakeholders such as contractors, service providers, workshops and training participants and other external stakeholders will be informed about the Grievance Redress Mechanism at the time of engagement.

These grievances will follow the procedures outlined in the Grievance Redress Mechanism as follows in view of resolution:

- i. Step 1: Receipt of complaint
- ii. Step 2: Acknowledgement, Registration and Initial Assessment
- iii. Step 3: Investigation and Consultation (as appropriate)
- iv. Step 4: Proposed Resolution and Communication of Outcome
- v. Step 5: Review and Appeal, if requested
- vi. Step 6: Implementation of Agreed Actions, Closure, Feedback and Documentation

Any other grievances arising from the project may be handled through SADC internal policies and guidelines.

The PIU will maintain a database of all incoming grievances and how they have been resolved. All incoming grievances will be acknowledged to the originator within five (5) working days (24 hours' notice for SEA/SH incidents) after they are received with an indication of a roadmap of when and how the grievance will be resolved. General grievances will be handled to resolution within 30 working days from acknowledgement of the complaint. In the event that the complaint is not resolved during 30 working days, the timeframe will be extended to another 30 working days to resolve the matter. A written notification outlining the outcome of the grievance will be provided to the complainant within 10 working days at the end of each process.

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

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

Disclosure of GRM: The GRM will be disclosed as early as possible and maintained throughout the Project lifecycle. It will be disclosed in SADC official working languages on the project webpage on the SADC website, SADC social media platforms, on administrative and/or logistics notes before meetings/workshops as well as presentations during trainings/meetings/workshops for wider access and shall state the following information:

- Anyone can raise complaints, grievances, concerns, ask questions or make comments or suggestions related to the Project;
- Anyone can contact the GRM focal point using the GRM focal point's contact details provided;
- The GRM focal point is responsible for receiving complaints, grievances, concerns, questions, comments, suggestions, and for responding to the complainant.;
- The GRM focal point will confirm receipt of the complaint, grievance, concern, question, comment, suggestion, either providing a preliminary answer or confirming the expected timing to provide an answer; and
- The outcome and resolution of any registered grievance will be reported to the World Bank on a quarterly basis through a grievance register.

SEA/SH-related Grievances

Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) and labour-related risks primarily pertain to PIU staff, consultants, and participants in regional trainings, workshops, and consultations.

Grievances related to Gender Based Violence/Sexual Exploitation and Abuse/Sexual Harassment (GBV/SEA/SH) are handled in accordance with the survivor-centered approach, ensuring confidentiality, dignity and non-discrimination.

The following mechanisms will be applied:

- SEA/SH complaints will not be processed through the general grievance workflow at any stage.
- A dedicated confidential reporting channel is available via the SADC Hotline 16146, emails: sadc@tip-offs.com and feedback.rcrp@sadc.int and website: www.tip-offs.com, accessible only to trained Safeguard Officers.
- The PIU will maintain a referral directory of qualified local GBV service providers (e.g. medical care, legal assistance, psychological support) in each Member State hosting the project activities.

- The Project will enter into formal referral arrangements (e.g. Memorandum of Understandings or partnerships) with these service providers where feasible.
- All GBV/SEA/SH complaints will be fast-tracked and excluded from public disclosure or registers to protect survivor identity.
- Staff and consultants will receive annual awareness sessions on project obligations related to GBV/SEA/SH in line with the World Bank's Good Practice Note.
- The Project will uphold the right of all stakeholders to submit grievances anonymously. The following measures will be used:
 1. An online anonymous grievance form will be added to the RCRP Project webpage (no name, email or login required)
 2. The Project accepts anonymous emails, voice messages, or written submissions and will investigate them to the extent possible.
 3. Complaints received via the Tip-Offs Anonymous system (Telephone: 16146; Email: sadc@tip-offs.com; Website: www.tip-offs.com) are also valid and will be followed up accordingly.
- The SADC Secretariat guarantees that no person who submits a grievance in good faith shall suffer retaliation, including dismissal, demotion, exclusion, intimidation or blacklisting.
 1. All consultants and external stakeholders contracts' shall include a non-retaliation clause.
 2. Any stakeholder who alleges or experiences retaliation can report it via the same grievance channels. Such cases will be prioritized and investigated immediately.
 3. Retaliation will be treated as serious misconduct and may result in termination of contract or disciplinary action.
 4. The PIU and SADC Internal Audit Directorate will monitor follow-up patterns and investigate silent drop-offs, grievance withdrawals, or abrupt non-participation following complaint submission.

These provisions aim to build trust, protect vulnerable parties, and ensure that the grievance mechanism is inclusive, safe, and responsive to all categories of stakeholders involved in or affected by the RCRP Project.

In cases of SEA/SH related grievances, necessary disciplinary action will be initiated against the perpetrator in accordance with the Disciplinary and Grievance Policy where the perpetrator is a direct worker and in accordance with contract provisions and national legislations where the perpetrator is a consultant or external stakeholder.

Given the sensitive nature of GBV complaints, the exclusive SADC hotline or email addresses: sadc@tip-offs.com and feedback.rcrp@sadc.int or website: www.tip-offs.com can be used to report on Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH)- related grievances. No grievance uptake mechanism can reject such grievances, and all personnel directly receiving grievances will be trained in the handling and processing of SEA/SH-related grievances. Information on relevant legislation will be

delivered to survivors prior to any disclosure of case details. This will allow protect the survivor-centered approach from mandatory reporting.

The GBV survivor has the freedom and right to report an incident to anyone: project staff, GBV case manager, local authorities. All recipients of the report should – with the survivor’s informed consent – report the case to one of the Project’s formal GRM. Furthermore, a survivor can ask someone else to act as a survivor advocate and report on her/his behalf.

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

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

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

Awareness Raising: General awareness raising among staff in regard to SEA/SH will be conducted and all staff is expected to sign the Code of Conduct (CoC) with reference to SEA/SH.

7.1 Monitoring and Reporting

Effectiveness of the GRM will be monitored on a regular basis to ensure timely identification and resolution of issues. This is important because it helps find solutions to

challenges as they arise and dealing with them promptly. Some of the measures put in place for this include a quarterly report to World Bank on the number of grievances received, those resolved and the ones outstanding to ensure there is a continuous flow of the project, resolution timeline tracking, progress on measures taken for resolution and closure rates. To ensure that confidentiality is maintained specifically in quarterly reporting to the World Bank, individual cases of SEA/SH will only be reported in aggregate or anonymized form unless the survivor provides informed consent for further disclosure. This will be undertaken and reported to PIUs. As part of stakeholder engagement and consultation, involving the views of the stakeholders for whom the Grievance Mechanism is designed will be part of PIU Monitoring.

7.2 World Bank Grievance Redress Service

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB's non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

8. STAKEHOLDER ENGAGEMENT MONITORING AND EVALUATION

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

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

Monitoring will verify:

- i). The socio-economic and environmental impacts of the Program;
- ii). Compliance and effectiveness of the **SEP** and application of the recommended standards, stakeholder engagement and implementation of the grievances redress mechanism
- iii). Indicators that will routinely be monitored include:

- Number of grievances received and resolved
- Number of concerns from stakeholder that have been received and resolved timely
- Number of E&S activities conducted during field visits and workshops

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

While monitoring will be conducted regularly, evaluation of the effectiveness of the implementation of E&S activities will be done annually and at the final evaluation of the project. A set of questions on E&S will be part of the terminal evaluation tool that will be developed to ensure that the E&S is adequately accounted for in the entire cycle of the project. The indicators will be at outcome level aggregating the routine collected data on output indicators during monitoring.

8.1 Management Functions and Responsibilities

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

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

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

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

8.2 Monitoring and Evaluation

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

- i). percentage of grievances resolved within the target timeframe;
- ii). percentage of stakeholders reporting that their concerns were adequately addressed; and

- iii). number of program design adjustments made in response to stakeholder input.

8.3 Reporting

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

Table 5: Methods and frequency of reporting to stakeholders

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

8.4 Reporting Back to Stakeholder Groups

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

Participants at the informal stakeholders meeting on the Region Climate Resilience Programme

23rd March 2023

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