AFRICAN UNION COMMISSION

Western Africa Regional Digital Integration Program SOP1 (P176932)

**STAKEHOLDER ENGAGEMENT PLAN
(SEP)**

July 2023

EXECUTIVE SUMMARY

This Stakeholder Engagement Plan (SEP) is designed to enable an effective platform for productive interaction between the African Union Commission (AUC) and key stakeholders of the Project. It identifies the major stakeholders affected by the project either directly or indirectly as well as those with other interests that could influence decisions about the project. It outlines previous stakeholder engagement efforts carried out with various stakeholders and articulates a range of strategies for timely, relevant and accessible stakeholder engagement throughout the project life cycle. The SEP is also prepared to demonstrate the borrower's commitment to best practice in project management and to comply with the World Bank's corporate requirements on citizen and stakeholder engagement and information disclosure.

The project aims at supporting AUC in the implementation of DTS. These activities will support the development and strengthening of continental digital policy frameworks in key areas, evaluate and review progress of DTS, strengthen project management and implementation capacity.

Based on the planned interventions, the project environmental and social risk has been rated as substantial. Hence, several stakeholder engagements have been carried out through various channels during preparation and design phase of the project, as well as engagement and sensitization for this project, including consultative meetings with stakeholders.

Strategies for engaging stakeholders identified in this SEP include use of both traditional and modern media communication channels such as websites, printed media, information center boards, community durbars/ public meetings, newsletters, brochures, fact sheets, conducting of periodic focus groups, surveys, and independent evaluations, and the establishment and operationalization of a Grievance Mechanism (GM). Follow up on grievances and actions taken will form part of the overall monitoring of the project. Further, various strategies for involving stakeholders in project monitoring and reporting have been identified.

Resources and implementation arrangements for SEP activities will be included in Component 5 of the project and will be mainstreamed in the activities of the project

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LIST OF ABBREVIATIONS AND ACRONYMS

AfCFTA	African Continental Free Trade Area
AU	African Union
AUC	African Union Commission
E&S	Environmental & Social
EHSGs	Environment, Health, and Safety Guidelines
ESA	Environmental and Social Assessment
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESS	Environmental and Social Standard
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
M&E	Monitoring & Evaluation
OIP	Other Interested Party
PAP	Project Affected Person
PDO	Project Development Objective
PIU	Project Implementation Unit
RECs	Regional Economic Communities
SEA	Sexual Exploitation and Abuse
SEF	Stakeholder Engagement Framework
SEP	Stakeholder Engagement Plan
SH	Sexual Harassment
SOP	Series of Projects
TA	Technical Assistance
WB	World Bank

GLOSSARY OF KEY TERMS

Consultation: The process of gathering information or advice from stakeholders and taking these views into account when making project decisions and/or setting targets and defining strategies.

Engagement: A process in which a company builds and maintains constructive and sustainable relationships with stakeholders impacted over the life of a project. This is part of a broader "stakeholder engagement" strategy, which also encompasses governments, civil society, employees, suppliers, and others with an interest in the Project.

Grievance Mechanism: A process for receiving, evaluating, and addressing project-related complaints from citizens, stakeholders, and other affected communities.

Stakeholders: Persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively; workers, local communities directly affected by the project and other stakeholders not directly affected by the project but that have an interest in it, e.g., local authorities, neighboring projects, and/or nongovernmental organizations, etc.

Stakeholder Engagement Plan: A plan which assists investors with effectively engaging with stakeholders throughout the life of the project and specifying activities that will be implemented to manage or enhance engagement.

Complainant: An individual, group, association, or organization that submits a verbal or written complaint

Grievance/Complaint: an expression of dissatisfaction that stems from real or perceived issues, typically referring to a specific source of concern and/or seeking a specific solution. For this GM, real and perceived impacts are treated equally and given the same due process. The term grievance and complaint are used interchangeably in this document.

Sexual exploitation: any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another.

Sexual abuse: actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

Sexual harassment: Any unwelcome sexual advances, request for sexual favors, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might be reasonably expected or perceived to cause offense or humiliation to another when such conduct interferes with work; is made a condition of employment; or creates an intimidating, hostile, or offensive work environment.

Survivor: A survivor is a person who has experienced the SEA/SH incident in the context of this GM

Vulnerable Groups: Individuals and groups, who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, sexual orientation and gender identity, or social status may be more adversely affected by a Project than others and who may be limited in their ability to claim or take advantage of development benefits.

1.0 INTRODUCTION

1.1 Project Description

The African Union Commission (AUC) is the secretariat of the AU, based in Addis Ababa, Ethiopia, and responsible for planning, budgeting, coordinating, communicating, overseeing, operating, and facilitating the affairs of the AU. In recent years African Union Commission (AUC) has placed greater emphasis on economic integration by promoting deeper regional economic integration through the African Continental Free Trade Area (AfCFTA), with the support of African and other stakeholders, including the World Bank Group (WBG) and other bilateral and multilateral institutions. To support this regional integration agenda, the AU Digital Transformation Strategy (DTS) 2020-2030 was prepared and adopted as a framework for continental digital transformation. A comprehensive Digital Transformation Strategy for Africa in collaboration with the UN Economic Commission for Africa, Smart Africa, AUDA-NEPAD, Regional Economic Communities, African Development Bank, Africa Telecommunications Union, Africa Capacity Building Foundation, International Telecommunication Union, and the World Bank. The DTS was built on existing initiatives and frameworks, including the overarching vision of the development of a SDM for Africa, as part of the integration priorities of the African Union.

1.2 Project Component

The proposed project activities at the continental will aim at supporting AUC in the implementation of DTS. These activities will support the development and strengthening of continental digital policy frameworks in key areas, evaluate and review progress of DTS, strengthen project management and implementation capacity.

1.2.1 Component 1: Enabling environment for the establishment of a continental SDM

1.2.1.1 <u>Subcomponent 1.1: Legal and regulatory environment for a continental SDM</u>

The activities in this subcomponent will support the implementation of the AU Continental Strategy on Policy and Regulatory Environment for Africa's Single Digital Market (SDM). The AU strategy focuses on identifying and prioritizing key legal and regulatory strategic actions needed to pave the way for a harmonized framework to achieve a SDM in Africa by 2030. Furthermore, the strategy focuses on three interconnected building blocks of enabling a single digital market: a single connectivity market, a single data market, and a single online market. Therefore, activities in the areas of cybersecurity and cross-border data flows described below under the grant to AUC are inherently linked to this set of activities. Activities for the implementation of the strategy will include:

> Assessment and consolidation of relevant baseline information to define requirements and to measure the adoption of the strategy at the member states' level.
> Development of country-level assessment plans.
> Conducting yearly audits over the five-year period to support the successful implementation of the strategy.

Another set of activities in this subcomponent are designed to improve the resilience and sustainability of digital infrastructure and mitigate climate impacts of digital transformation by creating relevant policy approaches through the AUC. It will address the need to "green" digital and integrate appropriate considerations in digital policies. This will be achieved by developing green digital infrastructure standards and guidelines at the continental level. Activities will include:

> Technical assistance to develop a continent-wide framework and guidelines for green digital infrastructure, through first conducting a needs assessment for the region.

Maturing GHG ICT calculations in the region.

Support dissemination of the framework and guidelines.

In addition, this subcomponent will support the development of measures for mitigating cybersecurity risks while supporting AU's efforts to bolster cyber resilience across the continent. Activities will:

Support the development and finalization of the continental strategy for cybersecurity in Africa, focusing on the design and implementation of an action plan with clear prioritization of actions, and related roles and responsibilities.

Support the socialization of the strategy, including workshops and training, as part of existing AU high-level meetings and summits.

Support a program for cybersecurity awareness raising for policy makers and decision makers, via AU channels and platforms.

Support awareness-building for good practices for cybersecurity and the mainstreaming and harmonization of cybersecurity legal frameworks across Africa, including a potential gap analysis for the Malabo Convention and its potential update.

Support efforts to raise awareness and implementing good practices for child online protection.

Furthermore, this subcomponent is designed to establish a policy and technical framework to enable cross-border data flows to promote trade in line with the AfCFTA. These activities are aligned the Continental Data Policy Framework that was adopted by AU Heads of State in February 2022, and specifically the recommendation that the AUC, Regional Economic Communities (RECs), and regional institutions should, "promote and facilitate data flows within and among AU Member States by developing a Cross Border Data Flows Mechanism that takes into account the different levels of digital readiness, data maturity as well as legal and regulatory environments of countries." It will be closely coordinated with activities in other policy areas, other sub-regional and regional cross-border data flow initiatives, and, where appropriate, the African Digital Identity Framework that is advancing cross-border usage of digital identification. Activities will:

Identify 2-3 priority sectors to promote cross-border data flows in (e.g., trade data, climate data, and energy data), based on stakeholder consultations and assessment of impact and risks.

Convene regulators, line agencies, and the private sector in the priority sectors to reach a shared understanding on the use cases and outcomes for cross-border data flows, assess readiness across the AU, and understand existing policies, standards, infrastructure, and technologies.

Develop governance documents and technical standards to facilitate cross-border data flows, including through consultations with AU Member States, that will be adopted by AU Member States through the appropriate body/bodies.

Pilot the application of cross-border data flows in the priority sectors, including in coordination with and leveraging of national and World Bank projects in countries.

Document impact and lessons learned for scaling up in the priority sectors, as well as for other sectors.

Lastly, another area of support within this subcomponent will focus on aiding the AUC to conduct a mid-term evaluation for the Digital Transformation Strategy (DTS) 2020-2030. As a result, the process will propose adjustments for the DTS implementation and MEL Frameworks as necessary in order to achieve the overall objective and impact by 2030. Activities will:

Produce a mid-term evaluation report for DTS with the aim of addressing gaps in the

baseline and targets in the MEL Framework, to take stock of progress achieved and to ensure that capabilities are in place to enable full-scale implementation of the DTS. Document lessons learned in implementing DTS from 2020-2024 and issue recommendations to develop clear and realistic course of actions to achieve the overall objective, and consequently, support updating of DTS Implementation Framework for the period 2025-2030 based on findings of the Mid-Term Evaluation.

Develop a Digital Maturity Assessment toolkit based on World Bank's DGRA that suits the African Union Member States' context and support related capacity building.

1.3   Objective of Stakeholder Engagement Plan

Project activities will be implemented under a variety of environmental and social conditions. Both the Environmental and Social Risks are rated as moderate; hence, the project is not anticipated to have significant adverse impacts on people or the environment. It rather provides an opportunity to close digital gender gaps and internet access gaps between urban and rural areas. Although the scope of the anticipated civil works under the project is not entirely clear, it is expected to be moderate-scale civil works with temporary and site-specific impacts. During the project preparation, relevant measures to avoid, reduce, or mitigate risks and adverse impacts on the environment and vulnerable populations will be identified and as such, the overall Environmental and Social Assessment (ESA) process of the project will be based on the WBG's Environment, Health, and Safety Guidelines (EHSGs).

The African Union Commission (AUC) has a wide range of stakeholders that influence or will be influenced by the project and hence the need for an SEP.

An important aspect of every project management is the effective engagement of the right stakeholders during the design and implementation of the project. Stakeholders include persons or groups directly or indirectly affected by a project, as well as those who may have interest in a project and/or the ability to influence its outcome, either positively or negatively. This Stakeholder Engagement Plan (SEP) is designed to establish an effective platform for productive interaction with these potentially affected parties and others with interest in the implementation and outcomes of the Project throughout the project cycle. The SEP is prepared in compliance and with the application of the Environmental and Social Standard (ESS)10 of the World Bank Environmental and Social Framework (ESF), on stakeholder engagement and information disclosure.

This SEP identifies the major stakeholders affected by the project either directly or indirectly as well as those with other interests that could influence decisions about the project. It outlines the engagement approach undertaken and planned, and articulates a range of strategies for timely, relevant and accessible stakeholder engagement throughout the project life cycle. The SEP also demonstrates the borrower's commitment to comply with the World Bank's corporate requirements on citizen engagement, and to ensure that the relevant information about the project is disclosed appropriately and timely to stakeholders.

The main objective of this Stakeholder Engagement Plan is to define a program for stakeholder engagement, including public information disclosure and consultation. The SEP outlines the ways in which the project team will communicate with stakeholders and includes a mechanism by which people can raise concerns and provide feedback about activities related to the project. Sufficient involvement of the local population is essential to the success of the project to ensure a smooth collaboration between project staff, communities and all other actors. The specific objectives of the SEP are to:

Establish a systematic approach to stakeholder engagement to identify stakeholders, especially project affected parties, and to build and maintain a constructive relationship with them.

Assess the level of stakeholder interest and support for the project and to consider stakeholders' views throughout the project cycle

Promote and provide means for effective and inclusive engagement with stakeholders throughout the project life cycle on issues that could potentially affect them

Ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format

Provide project-affected parties with accessible, inclusive, and culturally sensitive means to raise issues and grievances, and allow the implementing unit to respond to and manage such grievances effectively.

Establish systems for prior disclosure/dissemination of information and consultation, including seeking inputs from affected persons, incorporation of inputs as applicable and provision of feedback to affected persons/groups on whether and how inputs have been incorporated; and

Establish a Grievance Mechanism for timely receipt, investigation and resolution of project related complaints, grievances, queries, and clarifications

1.4   Scope of the Stakeholder Engagement Plan

Stakeholder engagement refers to the process of:

Sharing information and knowledge in a meaningful manner;

Seeking to understand and respond to concerns of individuals potentially impacted or affected by an activity in a transparent, inclusive, and timely process; and

Building relationships based on trust.

The implementation and monitoring of the stakeholder engagement plan are the responsibility of the Recipient throughout the planning, construction, operation, and decommissioning phases of the project activities. This SEP would:

Build on and documents all consultations undertaken to date;

Present the methodology for the planned stakeholder engagement activities to be undertaken during subsequent activities; and

Highlight the regulatory framework for this SEP.

The scope of the SEP (as well as the associated Grievance Mechanism (GRM)) covers the entirety of the project. As such, the SEP includes various stakeholders who are positively, neutrally, and adversely affected by the Project. The Project employees, workers, and contractors as well as any visitors to the Project premises shall comply with the requirements of this SEP.

This SEP is intended to be a 'live' document that is one of the environmental and social safeguards instrument the ESCP committed to be developed and updated throughout the project lifecycle to document the implementation of the Project community engagement and communication strategy and changing project landscape. This SEP will be reviewed regularly by the project Owner, the consultants to the Project, and the World Bank as the financier of the Project and updated as relevant.

2.0 REGULATORY FRAMEWORK AND REQUIREMENT FOR STAKEHOLDER ENGAGEMENT

Stakeholder engagement is an inclusive process conducted throughout the project life cycle to support the development of strong, constructive, and responsive relationships that are important for successful management of a project's environmental and social risks. 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 project stakeholders as an essential element of good international practice". ESS10 also provides 4 that effective stakeholder engagement can significantly improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.

The application of these standards, by focusing on the identification and management of environmental and social risks, will support Recipients 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:

> support Recipients in achieving good international practice relating to environmental and social sustainability;
>
> assist Recipients in fulfilling their national and international environmental and social obligations;
>
> enhance non-discrimination, transparency, participation, accountability, and governance; and
>
> enhance the sustainable development outcomes of projects through ongoing stakeholder engagement.

Stakeholder engagement is also provided for in the various forms of respective 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.

2.1 Policy and Regulatory Framework in The African Union Commission (AUC)

The African Union Commission (AUC) has a stakeholder engagement policy that aims to involve stakeholders in decision-making processes, improve communication with them, and build partnerships for development. The policy recognizes stakeholders as entities or individuals who are affected by or have an interest in the AUC's work. It establishes principles of stakeholder engagement such as transparency, inclusivity, responsiveness, and accountability, and outlines approaches to engagement such as consultation, collaboration, and co-creation. The AUC's stakeholder engagement policy identifies feedback as an important component of engagement and emphasizes the need for timely and effective feedback mechanisms. The AUC uses various feedback mechanisms such as public consultations, surveys, focus groups, and partnerships with civil society organizations to gather feedback from stakeholders. The AUC also has a dedicated feedback mechanism on its website, where stakeholders can submit comments, suggestions, and complaints.

3.0 Brief Summary of Previous Stakeholder Engagement Activities

The African Union Commission has been guided by stakeholder consultations carried out at the continental levels. Stakeholder engagement for the Project started at the project identification level to allow stakeholders' views and concerns to be considered in the project design. Engagements included both formal and informal methods. A summary of previous stakeholder engagements is presented below.

Table 9: Previous Stakeholder Engagement Activities

Stakeholder Group	Institutions	Interests and Concerns	Meeting Type and Mode of Engagement	Topic of consultations
Government Agencies	• ICT Ministry or related Regulatory • Agencies • ICT Agencies	**Interests** Project Implementing partners, implementing agencies, beneficiaries **Concern** Successful realization of the project	**Meeting Type** Project Preparation Meetings Consultative Meetings Technical Review Meetings **Mode of Engagement** Virtual Meeting Face to face meetings	Project objective, scope, implementation arrangement, costing and budgeting, etc. Environmental and social risk and mitigation planning Skills Training and Entrepreneurship development
Private and Public Innovation Ecosystem Providers	• Academia Accelerator • hubs • EdTechs	**Interests** Implementing Partners/Project beneficiaries **Concern** Realization of proposed recommendations and activities	**Meeting Type** Consultative Meetings **Mode of Engagement** Virtual Meeting	Project design, scope and implementation Skills Training and Entrepreneurship development
Private sector	SA • SAS private private sector	**Interest**	**Meeting Type**	Project design, scope and

Actors	members	Impleme nting part ners Projec t Benefici aries **Concer n** Realization of proposed recommendations and activities	Consultative Meetings **Mode of Engagement** Virtual Meeting	impleme ntation
Vulnerable Groups	Women and • Girls	**Interest** Project Beneficiaries **Concer n** Realization of proposed project activities	**Meeting Type** Consultative Meetings **Mode of Engagement** Virtual Meeting	Pro object sco ject ives, pe and implementat ion Social risk and mitigation planning

4.0 Stakeholder Identification and Analysis

Project stakeholders are defined as individuals, formal or informal groups, and organizations and/or government entities whose interests or rights will be affected directly, indirectly, positively, or negatively by the Project.

According to ESS10, stakeholder identification categorizes stakeholders into three groups:

Affected parties: These are 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 of their present conditions;

Other interested parties: These are individuals, groups or entities that may not experience direct impacts of the Project but who consider or perceive their interests as being affected by the Project and/or who could affect the Project and the processes of its implementation in some way; and

Vulnerable/disadvantaged groups: Individuals or groups who may be disproportionately impacted or further disadvantaged by the project as compared with any other groups due to their vulnerable status who may require special engagement due to their vulnerable status to ensure their equal representation in the consultation and decision-making process associated with the project

During the initial consultation activities, project stakeholders were identified, and their interests were assessed, analyzed and incorporated in the design of this SEP. The identified project stakeholders categorized based on (a) their roles and responsibilities in the project; (b) the influence/interest in the project; and (c) whether they are direct or indirect beneficiaries.

The stakeholder engagement requirements for this Project, are limited to stakeholders that participate in the institutional capacity development (AUC, and other implementing units), as there is no direct contact with local communities and disadvantaged and vulnerable groups. As the Project would not finance any physical investments, there no anticipated risks and impacts related to land acquisition, restrictions on land use and involuntary resettlement. Similarly, since the activities AUC related, there will be no or limited probability for having activities that require any direct interaction with wider communities.

4.1 Primary Stakeholders/Direct Beneficiaries

Individuals or groups 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. These will include, among others:

AUC Secretariat
AUC Office of the Director General
AUC Directorate of Partnerships Management and Resources Mobilization
AUC Directorate of Management and Information Systems
AUC Directorate of Human Resource Management
AUC Directorate of Operations Support Services
AUC Office of Strategic Planning and Delivery
AUC Directorate of Office of Internal Oversight

AUC Directorate of Finance

AUC Directorate of Information and Communication

4.2   Secondary Stakeholders/Indirect Beneficiaries

Broader stakeholders who may be able to influence the outcome of the project because of their mandate, relationship and knowledge about the affected communities or political influence.

National African institutions relevant for trade and free movement of people

International organizations who implement projects in the targeted areas

4.3   Methodology

Stakeholder Engagement of the Project includes the activities to be initiated by the project implementers to ensure meaningful participation of all stakeholders in developing and implementing the project. It is intended to raise the inclusiveness, commitment, trust, transparency, integrity and sense of ownership among different stakeholders during the Project.

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 and timely manner; opportunities will be provided for communicating stakeholders' feedback, for analyzing and addressing comments and concerns;

Inclusiveness and sensitivity: stakeholder identification will be 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.

Table 10: Summary of Stakeholders Identification

Stakeholder	Description	Category Department	Role	Interest	PAP	Language Needs	Preferred notification means	Specific needs (accessibility, large print, daytime meetings)
Primary Stakeholders or Direct Beneficiaries	AUC Secretariat	Multilateral Organization	Undertaking day to day activities of the union	High	Yes	Language translators	Meetings, email, phone, internal memo	n/a
	AUC Office of the Director General	Directorate	Program coordination, Implementation of policies and reporting	High	Yes	Language translators	Meetings, email, phone, internal memo	n/a
	AUC Directorates	Directorate	Coordinate efforts of resource mobilization	High	Yes	Language translators	Meetings, email, phone, internal memo	n/a
Secondary Stakeholders or Indirect Beneficiaries	National African institutions relevant for trade and free movement of people	National organizations, departments, institutions	Promotion of free trade and free movement of people	High	Yes	Respective National Language(s)	Respective National Language(s)	n/a

5.0   Stakeholder Engagement Program

Stakeholder engagement refers to the process of interacting and working with stakeholders identified as relevant to the project to come up with new concepts, identify challenges and discrepancies and how to address issues that may rise. This assists the realization of stakeholder needs and expectations for effective implementation of project components.

5.1   Purpose and Timing of Stakeholder Engagement Program

This Stakeholder Engagement Plan (SEP) is designed to establish an effective platform for productive interaction with the potentially affected parties and others with interest in the implementation outcome of the Project. Meaningful stakeholder engagement throughout the project cycle will:

Inform stakeholders about project objectives, scope and manage expectations

Solicit feedback to inform project design, implementation, monitoring and evaluation

Assess and mitigate project environmental and social risks

Enhance project outcomes and benefits

Build constituencies and collaboration

Disseminate project information/ materials

Receive and address project-related grievances

Adequate stakeholder consultations will require effective timing and advanced planning. To ensure information is readily accessible to affected stakeholders, and adequate representation and participation of the different groups in the process, the Project Implementation Partners will adopt different methods and techniques based on an assessment of stakeholder needs.

5.2   Proposed Strategy for Consultation

The main goal of the stakeholder engagement plan is to ensure that project stakeholders are consulted, and their concerns and issues are considered in project design, implementation and monitoring and evaluation. The stakeholder consultation for the project aims to create awareness and increase understanding, improve project decisions making, mobilize support and forge collaboration and clarify roles and responsibilities. Stakeholder consultations will serve as a platform for the dissemination of project information and receive feedback.

Detailed record of all public consultations will be kept. Minutes should be supported with photo material taken during consultation and lists of attendees with their contact information and original signatures.

Stakeholder engagement that started at the project design stage will continue throughout the project cycle. The sequencing of the project components makes it possible for stakeholders to provide input into assessments, studies and decision-making processes.

Project Launch: AUC and other implementing units will organize a project launch workshop at the continental level. The purpose of the workshop launch at a continental level is to clarify the roles and responsibilities, implementation arrangements, project time frame and sequencing, the prioritization of activities. The national workshop will be accompanied by disclosure of key project documents and other relevant documents (strategies and regulations).

Project Implementation: Periodic review of project implementation (bi-annual) will be conducted at the continental levels with stakeholders. Implementing units will share information on the overall project progress with stakeholders, lay out the plans for a subsequent period and receive feedback and recommendations.

Project Evaluation: Project stakeholders will be engaged in both baseline data collection, midterm and end line project evaluation activities based on the results framework for the project.

Project Closing: Stakeholder consultation on project closure and post closure concerns are also considered at the end of the project to inform project achievements, share lessons learnt and make recommendations for possible future engagements.

5.2.1 Alternative Methods of Consultations That May Be Adopted During Restriction of Public Gatherings

Considering the ongoing COVID-19 pandemic, different ways of consultation and information disclosure could be necessary to minimize risks. The following are examples of methods that could be considered as alternative methods of consultations that may be adopted during restriction of public gatherings:

Virtual meetings to discuss details of the project can be held for stakeholders

In the case where some stakeholders cannot join virtual meeting, information on project can translated into a short video and shared via appropriate media platforms. The video could present the objectives of the project and the main risks and benefits.

Project related documents link to be shared on the client website for stakeholders that can access websites

Conduct of interviews over the phone - especially for people who do not have Internet access.

5.2.2 Guidance on Process Related Issues in Conducting Virtual Consultations

Online meetings shall observe protocols similar to face-to-face meetings:

Identify participants to be included in the invitation. Meetings shall be based on a stakeholder analysis. The Environmental and Social Consultant(s) will identify which stakeholders are relevant but may have challenges accessing the format of the meeting proposed. He or She will also identify which medium works best for them (e.g., phone-calls) and engage with them using that medium.

Send invitations ahead of the meeting. Use an accessible medium (email, phone, etc.) to send invitations. Invitations shall be sent well in advance and at least seven days prior to the meeting.

Register participants. By doing a rollcall or registering online.

Distribute material prior to meeting. This may include the agenda, project documents, presentations, questionnaires, and discussion topics. These can be sent, for example, by email, courier, or WhatsApp prior to the meeting (at least seven days prior).

Provide technical support. The consultations team shall provide technical support to the participants during the virtual consultations, particularly in terms of connection options (e.g., possibility of being called in instead of opting for a connection requiring internet).

Ensure appropriate opportunities for discussion and feedback. Participants can be organized and assigned to different topic groups by being in smaller chat groups, or by having smaller virtual sessions. Feedback can also be provided through an electronic questionnaire or feedback forms that can be emailed to the team.

Share the conclusions and summary of the meeting. The chair of the meeting should summarize the virtual workshop discussion, formulate conclusions and share with all participants in an accessible medium.

Document the meeting just as you would a face-to-face meeting. As with a face-to-face meeting, ensure that the meeting is well-documented, including information on how stakeholders were identified, how invitations were sent out, how the meeting was held and measures taken to ensure that the meeting was accessible, what issues were raised and how the responses to the issues. It will be important to document in detail the processes such as invitations, online platforms, accessibility, etc.

5.3 Proposed Strategy for Information Disclosure

The project strategies for information disclosure will be tailored to the different stakeholders. Appropriate formats and methods of disclosure and information sharing will be used. A continental depository of all disclosed information will be maintained with the AUC website. Information on the different project components will be disclosed on the websites of the respective project implementing units. Other means of communication including print media, radio, television, public events, brochures fliers, social media will be used.

The proposed framework for consultation and information disclosure at each project phase is summarized in Table 3 below.

Table 11: Strategy for Consultation and Information Disclosure

Project stage	List of information to be disclosed	Method proposed	Timetable/ Location	Target Stakeholders	Topic of consultation	Responsibility	Proposed Time Schedule
Preparation/ **Design phase**	Project Appraisal Document (PAD) Stakeholder Engagement Plan (SEP) Environmental and Social Commitment Plan (ESCP)	Official websites Correspondence by phone or email Memos Virtual Meetings Letters	Project duration All relevant offices	AUC AUC Office of the Director General AUC Directorate of Partnerships Management and Resources Mobilization and other Directorates National African Institutions relevant for trade and free movement of people	Project design, benefits and impact Environmental and Social Management Procurement Stakeholder Engagement Project Concept Mode of selection of subprojects,	WB, AUC	11th June – 9th July 2023

Project stage	List of information to be disclosed	Method proposed	Timetable/ Location	Target Stakeholders	Topic of consultation	Responsibility	Proposed Time Schedule
Implementation Phase	Project design and implementation	Project inception stakeholder meetings	Project Implementation duration	AUC	Project concept and implementation modalities	AUC, PIU	1st December 2023 – 1st December 2028
	Project progress reports	Annual/mid-year project stakeholder meetings	All relevant offices	AUC Office of the Director General	Project progress		
	Project			AUC Directorate of Partnerships	Project concept and implementation modalities		
	Monitoring and Safeguard Compliance Report	Official websites		Management and Resources Mobilization and other Directorates	Subprojects benefits, impacts		
	Annual Sector Performance reports	Emails Face-to-face or Virtual Meetings		National African Institutions relevant for trade and free movement of people	GRM GBV issues and mitigation		
	Environmental						

and Social
Audit

rep
orts

Up
date   o
s   n

project
activities

			All Stakeholders		AUC, PIU	
Completion	Project	Institutional	Stakeholders	Project Results		29th
Phase	Completion	completion reports				December
	on					mber
	Report					2028

5.4 Timelines

Information disclosure and consultations are especially relevant throughout the early stages of the project, but also throughout the project cycle. Activities under each component will include further consultations prior to their commencement to ensure transparency and accountability on project modalities, and to allow stakeholder voices to form the basis of the concrete design of every intervention and consultations will continue throughout the project cycle.

5.5 Review of stakeholder comments

Upon disclosure of project information, a provision will be made for websites of implementing units where dedicated space in their portal will be provided for the general public and concerned stakeholders to submit their comments, observations and questions regarding the projects and various studies, assessments, proposals and draft regulations.

For information disclosed through meetings, instant feedback will be collected through designated representatives who will be available during the meetings. Participating stakeholders shall also be given the freedom to take their own minutes of the proceedings and share a copy with the representatives.

The project will conduct a survey at least annually and receive feedback on various aspects of the project from the targeted project stakeholders and integrate the result into the project annual planning and review cycle. The results of the surveys will be disclosed through the websites of implementing units.

6.0   Resources and Responsibilities for Implementing Planned Activities

This section provides estimates of resources required for implementation and responsible agencies. Implementation and monitoring of all other Environmental and Social Standards (ESS) instruments will be the responsibility of AUC. The PIU under the AUC will engage an Environmental and Social Consultant(s). Project implementation unit (PIU) will be responsible for the implementation of the SEP in collaboration with key implementers. The SEP will be coordinated by the PIU an Environmental and Social Consultant(s) in AUC and in collaboration with focal persons in implementing units. The technical assistance (TA) under component 5 of the project has dedicated resources for assessment of the institutional capacity of the relevant institutions and capacity development needs for managing environmental and social risk management.

6.1   Role and Responsibility in the implementation of SEP

The project at a continental level, with multilateral organizations, directorates and national organizations, departments, institutions partnering on project activities. Therefore, the overall institutional arrangements for coordinating, overseeing, and managing project activities comprise of;

Project Implementation Unit (PIU): Managed by the African Union Commission (AUC). The primary functions of the unit will be to (i) convene and support oversight committee meetings;

prepare consolidated project status, progress, and performance reports for the oversight committee and the Bank; (iii) coordinate across multilateral organizations, directorates and national organizations, departments, institutions; and (iv) undertake due diligence and ensure quality assurance of, and accountability for, project implementation, including financial management, procurement, and safeguards. The PIU is led by the Project Coordinator who will have overall responsibility for implementing the SEP, including leading consultations with key stakeholders.

Project Steering Committee: The primary function of this committee would be to review project status, progress, and performance, to help ensure effective cooperation, and to resolve any outstanding project implementation issues.

(iii)**Project Technical Committee:** This committee will be composed of officials from all multilateral organizations, directorates and national organizations, departments, institutions. The main function of this committee will be to supervise and advise on technical aspects of project implementation.

Project implementing and partnering units: The main implementing unit for the project is AUC. AUC will primarily be responsible for implementation of project activities that fall under their respective purviews, comprising all elements including financial management, procurement, safeguards, monitoring and evaluation, capacity development and technical assistance, and research and analysis. These Specialists will have specific responsibilities in implementing aspects of the SEP. A summary of key institutions and or Focal Persons and their responsibilities is presented below.

Table 12: Key Institutions/Focal Persons and their Responsibilities

Institutions/ Focal persons/ Unit	Responsibilities
Project Steering Committee	· Oversight responsibility for entire project implementation
Project Implementation Unit	· Overall Coordination · Manage and implement the Stakeholder Engagement Plan (SEP) · Dissemination of project information
Environmental and Social Consultant(s) at the PIU	· Facilitate and monitor implementation of the SEP · Incorporate SEP guidelines in contractors' agreement · Organize and conduct national and district level training · Develop manuals and modules for capacity building and awareness creation · Facilitate monitoring and coordinate monitoring activities · Develop and ensure effective implementation of GM · Liaise with relevant institutions on environmental and social issues · Ensure provisions for gender inclusion and GM under the SEP are implemented effectively · Interface with stakeholders and respond to comments or questions about the project or consultation process. · Provide contact information if stakeholders have questions or comments about the project or consultation process. · Document any interactions with external stakeholders. · Maintain database, records for SEP

- Coordinating public meetings, workshops, focus groups etc.
- Makes sure the SEP is being adhered to and followed correctly.
- Raise awareness of the SEP among project implementation unit,

  employees contracted firms and relevant external stakeholders
- Deliver information to stakeholders on complaint mechanism

  and procedures of the SEP

Training Service Providers	· Provide Competency-Based Training for Apprentices and Mastercraft persons - Comply with all E&S issues
Communication Specialists	- Lead all communication activities related to the project and ensure information reaches all stakeholders and affected groups in a timely and accurate manner
Contractors/ Sub-Contractors	- Follow and comply with all, E&S guidelines - Keep records of all E&S issues on site

6.2   Estimated SEP Budget

The project will allocate sufficient funds to implement the SEP Funding and resourcing for the SEP implementation will be included as part of project cost under sub-component 4 which would fund all Technical Assistance (TA) and communication strategies planned to be carried out on the project at various levels. The budget for implementing activities under the SEP is estimated at USD 200,000.00. Below is an estimated plan for the five years of implementation.

Table 13: Estimated SEP Budget Over the 5-year Implementation Period

Activities	Number/Year	Unit cost USD	Total Cost for 5yrs (USD)
Project launch workshops	1	6,000.00	30,000.00
Consultation meetings	2	3,000.00	30,000.00
Trainings	5	1,000.00	25,000.00
Travel Expenses	5	2,000.00	50,000.00
Production and dissemination of communication material	1	2,000.00	10,000.00
GRM Implementation	2	2,000.00	20,000.00
Additional expenses on resource persons on SEP activities	1	5,000.00	25,000.00
Other (contingency)	Lump Sum – 5% of total budget		10,000.00
Total			**200,000.00**

7.0   GRIEVANCE MECHANISM

The main objective of a Grievance Mechanism (GM) is to assist an entity to resolve complaints and grievances in a timely, effective and efficient manner that satisfies all parties involved. The GM is an integral part of the SEP and helps to create avenues for receiving and responding to stakeholder concerns and complaints about issues related to the project. Specifically, it provides a transparent and credible process for fair, effective and lasting outcomes. It also builds trust and cooperation as an integral component of broader community/citizen engagement that facilitates corrective actions. Specifically, the GRM

> Provides affected people with avenues for making a complaint or resolving any dispute that may arise during the implementation of projects;
> Ensures that appropriate, timely and mutually acceptable redress actions are identified and implemented to the satisfaction of complainants; and
> Avoids the need to resort to judicial proceedings.

Having multiple stakeholders on board the project could lead to complaints, misunderstandings, conflicts and disputes. The project will provide a grievance redress mechanism that will provide all direct and indirect beneficiaries, service providers and other stakeholders the opportunity to raise their concerns and/or ask for information. Stakeholders will be informed of the grievance redress mechanism in place, as well as the measures put in place to protect them against any reprisal for its use. This will be done during sensitization activities and other interactions with stakeholders.

7.1   Direct workers

The Project will have a compact but effective grievance system for direct workers employed by the AUC. The PIUs, where all the direct workers are concentrated, will hold periodic team meetings to discuss any workplace concerns. The grievance raised by workers will be recorded with the actions taken by PIUs. The summary of grievance cases will be reported to the World Bank as part of the regular report. Where the aggrieved direct worker wishes to escalate their issue or raise their concerns anonymously and/or to a person other than their immediate supervisor/hiring unit, the worker may raise the issue with responsible authorities, where relevant.

7.2   Contracted workers

Contractors (e.g. research organizations or other sub-implementers) will hold monthly team meeting with all present contracted workers at site to discuss any workplace grievances. Any grievances raised will be recorded with the actions taken by the contractor. The summary of grievance cases will be reported to the respective PIU as part of contractor's periodic report. If contracted workers wish to escalate an issue, they can report directly to the respective PIU. The contracted workers will be informed of the grievance mechanism at the induction training session prior to the commencement of work. The contact information of the PIU will be shared with contracted workers.

7.3   SEA/SH Specific complaints management procedures

Complaints related to SEA/SH will be managed by a focal point(s) who will mainly be people with experience of GBV in order to make it easier for survivors to talk about their case.
Entry point(s) accessibility will be confirmed during the stakeholder consultations, in particular the specific consultations dedicated to women and led by a woman.

If there has been a pre-selection, consultations with the women should confirm whether this person is indeed deemed accessible and trustworthy, otherwise an additional entry point should be identified.

Throughout the project, during specific consultations dedicated to women, they will be asked to give their opinion on the accessibility of the mechanism and, if necessary, suggest channels for filing complaints that they prefer and consider more accessible.

SEA/SH complaint will also be recorded and managed in accordance with the principles of confidentiality, security, ethics and, above all, the survivor-centered approach.
Complaints will be recorded by the focal point(s) in a separate logbook and kept in separate locked cabinets with access limited to a few people and will be referred to GBV service providers (if the survivor has given her consent through a consent form) for at least medical, psychosocial and legal care. So,the WARDIP PIU will be able to use GBV management services mapped and assessed by other Bank projects, as well as referral and information exchange protocols with providers. This information will not go beyond the resolution of the incident, the date the incident was resolved and the closure of the case.

SEA/SH COMPLAINTS INVESTIGATION

A small committee made up specifically of women with experience of GBV (or at least other social issues) will be formed to handle SEA/SH complaints (while taking care to check the link with the project, suggest sanctions in relation to the CoP the workers have signed, etc.) the investigation should be limited to checking whether the complaint is related to the project - so whether the alleged perpetrator is a member of staff or a project worker. They will not aim to establish the guilt or innocence of the perpetrator, which is the role of the police if the survivor decides to seek justice at the same time as MGP.

If the link with the project is confirmed, the committee analyzing the complaint will propose sanctions, but these will only be applied after informing the survivor, who must reconfirm her consent to continue. It is recommended that the survivor be informed of the confirmed link and the sanctions planned by the GBV service providers, who will help her to draw up a safety plan in case of revenge, etc.

SEA/SH COMPLAINTS MANAGEMENT PRINCIPLES

Safety & Well-Being: The safety of the survivor shall be ensured at all times including during reporting, investigation, and the provision of victim assistance. Those involved in the management of complaints will need to consider potential dangers and risks to all parties (including the survivor, the complainant if different the subject

of the complaint, and the organizations involved), and streamline ways to prevent additional harm in all the complaint handling process.

The survivor is never to blame for reporting an act of GBV and should never be made feel investigated. On the contrary, it is important that she/he feels that her story is heard, believed and valued. The actions and responses of the complaint mechanism will be guided by respect for the choices, needs, rights, and the dignity of the survivor.

Confidentiality: The confidentiality of complainants, survivors, and other relevant parties must be respected at all times. All GBV-related information must be kept confidential, identities must be protected, and the personal information on survivors should be collected and shared only with the informed consent of the person concerned and on a strict need-to-know basis.

Survivor-Centred Approach: All prevention and responses action will need to balance the respect for due process with the requirements of a survivor-centred approach in which the survivor's choices, needs, safety, and wellbeing remain at the center in all matters and procedures. As such, all actions taken should be guided by respect for choices, needs, rights and dignity of the survivor, whose agency and resilience must be fostered through the complaint process.

Accessibility and non-discrimination: The mechanism must be accessible to all potential complainants and sufficient information must be given on how to access them, making the complaints process accessible to the largest possible number of people. This includes identifying and instituting various entry points that are both gender and context sensitive. To facilitate incidents reporting and avoid stigmatization, reports from third parties (witnesses, people suspicious or aware of an incident, etc.) must also follow accountability protocols.

Reporting: All reporting will limit information in accordance with the survivor's wishes regarding confidentiality and in case the survivor agrees on further reporting, information will be shared only on a need-to-know-base, avoiding all information which may lead to the identification of the survivor and any potential risk of retribution.

Data on SEA/SH cases recorded should only include the nature of the complaint (what the complainant says in her/his own words), whether the complainant believes the perpetrator was related to the project and additional demographic data, such as age and gender, will be collected and reported, with informed consent from the survivor. If the survivor does not wish to file a formal complaint, referral to available services will still be offered even if the complaint is not related to the project, that referrals will be made, the preference of the survivor will be recorded, and the case will be considered closed.

Referrals are a process through which the survivor gets in touch with professionals and institutions regarding her case. Services can include health, psycho-social, security and protection, legal/justice, and economic reintegration support. The grievance recipient will instantly provide the survivor with contacts of the available referral services in the respective area. If the survivor wishes for any assistance with transport or payment for

services, the grievance recipient will provide allowances. Referral services are provided even in cases, where the survivor opts to not pursue the case through the GRM or through legal channels.

The grievance will be reported to the employing agency of the alleged perpetrator with the consent of the survivor. The PIU will follow up and ensure that the violation of the Code of Conduct is handled appropriately, e.g. the worker is removed from his or her position and employment is ended. The responsibility to implement any disciplinary action lies with the employer of the perpetrator, in accordance with local labor legislation, the employment contract, and the code of conduct

7.4   Building Grievance Redress Mechanism Awareness

The PIU Environmental and Social Consultant(s) will initially brief all staff of the project office, the Project Steering Committee (PSC), consultants and contractors on the Grievance Redressal Mechanism and GBV complaints mechanism of the Project and explain to them the procedures and formats to be used including the reporting procedures.

The project Environmental and Social Safeguards Consultant(s) will brief all project stakeholders on the Grievance Redressal Mechanism of the Project and explain the procedures and formats to be used including the reporting procedures. Awareness campaigns would be conducted targeting project stakeholders to inform them of the availability of the mechanism; various mediums will be used- as detailed in previous sections of the SEP. The

GRM will also be published on the AUC website and those of the implementing units and the project website or Facebook page if there is one. A project site board will be erected on the sites of sub-projects indicating the existence of the mechanism and a phone number, email and address for further information. The GRM will be translated into local languages if needed.

7.5 Recommended Grievance Redress Time Frame

The table below presents the recommended time frames for addressing grievance or disputes related to resettlement and compensation. It is anticipated that resettlement/compensation disputes could be resolved at the continental levels.

Table 14: Proposed GRM Time Frame

Step	Process	Time frame
1	Receive and register grievance	within 24 hours
2	Acknowledge	within 24 hours
3	Assess grievance	Within 2 Days
4	Assign responsibility	Within 2 Days
5	Development of response	within 21 Days
6	Implementation of response if agreement is reached	within 21 Days
7	Close grievance	within 30 Days
8	Initiate grievance review process if no agreement is reached at the first instance	within 30 Days
9	Implement review recommendation and close grievance	within 30 Days
10	Mediation	Within 10 Days
11	Grievance taken to court by complainant	As applicable

7.6 Grievance Documentation and Reporting

Resolved and escalated grievances/cases would be documented daily (as tickets) into the centralized GRM system by the assigned grievance managers at the PIU. The Environmental and Social Consultant(s) would exercise oversight over the system and track the resolution of all grievances/cases.

Monthly case/ grievance reports will be generated from the system by the Environmental and Social Consultant(s) at the PIU and report to the Project Coordinator to inform management decisions. Quarterly reports will also be generated and reported to the AUC as part of the Project's Progress Reporting to the World Bank. Periodic reports will also be generated within a reasonable time frame for stakeholders upon request irrespective of the period (e.g. bi-annual, annual etc.)

The following indicators could be used as monitoring purposes:

Number of active project complaints and appeals recorded and reported in each institution
90% of grievance redressed claims settled within the specified period
10% of unresolved complaints or disputes during the monitoring period
Comments received by multilateral organizations, directorates, national organizations, departments, institutions and other parties

7.7 World Bank Grievance Redress Service

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

8.0   MONITORING AND REPORTING

Monitoring and Tracking of Stakeholder Engagement is vital to the project to ensure effective continuous engagement and follow-up and to minimize slippages and oversight of important engagements. The Project Coordinator will maintain a Stakeholder Engagement Log that records all stakeholder engagement undertaken or planned. The Engagement Log includes location and dates of meetings, workshops, and discussions, outcomes and a description of the project-affected parties and other stakeholders consulted. Monitoring reports presented to the AUC Secretariat will include Stakeholder Engagement Logs as well as feedback from the GRM. It may also include for instance, how the project implementation agency responded to the concerns raised, how these responses were conveyed back to those consulted, details of outstanding issues and any planned follow up. There will be annual reporting of the SEP as part of the project monitoring report.

The Project will also develop an evaluation form to assess the effectiveness of every formal engagement process. The questions will be designed as appropriate for the relevant audience.

8.1   Involvement of Stakeholders in Monitoring and Evaluation Activities

Inclusive and participatory monitoring and evaluation is also necessary to minimize misconceptions and misunderstandings about the Project and maintain a positive perception about it. 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. This will be responsibility of AUC Secretariat PIU.

Monitoring will validate:

- Compliance and effectiveness of the SEP
  - Number of stakeholders engaged and consulted during the planning and implementation of the project
  - Level of participation and representation of different stakeholder groups in the stakeholder engagement process
  - Feedback and satisfaction levels of stakeholders regarding the quality and effectiveness of the stakeholder engagement plan
  - Number of grievances or complaints received from stakeholders related to the stakeholder engagement process
- Compliance and effectiveness of the application of the recommended E&S standards,
  - Percentage of environmental and social standards and guidelines that have been implemented in the project
  - Number of environmental and social non-compliances or violations identified and addressed through corrective actions or sanctions
  - Number of trainings or capacity-building programs provided to staff and stakeholders on the application of recommended standards
  - Number of assessments or evaluations conducted to measure the effectiveness of the application of recommended standards
- Compliance and effectiveness of the implementation of the workers' GRM.
  - Number of workers who have submitted grievances through the mechanism
  - Percentage of grievances submitted through the workers' GRM that have been resolved satisfactorily and in a timely manner
  - Number of follow-up actions or improvements made in response to workers' grievances and feedback
  - Level of awareness and understanding of the workers' GRM among workers and management staff.

Annual reviews of the project 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 AUC Secretariat PIU and will be

used as a monitoring and review tool to track effectiveness. In the review process, the PIU will play the lead role in coordinating the process with key stakeholders

8.2   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 AUC PIU. This will be led by the Project Coordinator. The PIU Project 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 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.

8.3   Monitoring and Evaluation

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

Quarterly workers' grievances received, speed of resolution and how they have been addressed

Level of involvement and participation of stakeholders including project affected people

(disaggregated by gender).

Incidents and accidents

8.4   Reporting Back to Stakeholder Groups

Through the project's planned communication channels, results of the project will be disseminated to stakeholders at the continental levels. PIU through its Environmental and Social Consultant(s) or a dedicated staff will provide the opportunity to report back to stakeholders on matters relating to the following:

Main findings from the consultations conducted at sub-project feasibility, design and implementation

Progress on the SEP implementation and grievance management

Project implementation process

Sharing of reports (available at info centers, copies to stakeholders, etc)

Table 15: Monitoring and Evaluation Plan for SEP

Indicator Name/ Topic	Definition/ Description	Frequency	Data source	Methodology for Data Collection	Responsibility for Data Collection
Goal:					
Inclusive delivery of project through effective stakeholder consultations and engagements	This measures the extent to which project results are delivered with no major environmental and social risks	Bi-annual	Bi-annual survey	Conduct stakeholder satisfaction survey on implementation of project	AUC PIU
Outcomes:					
Stakeholders satisfied with project activities/ outputs	This measures the extent to which key stakeholders are satisfied with project activities.	Bi-annual	Bi-monthly survey	Conduct bi-annual stakeholder satisfaction survey on project activities in their localities	AUC PIU
Complaints and resolved amicably grievances	This measures the rate at which complaints and grievances arising from	Monthly	Complaints and grievances register	Review status of grievances resolved	E&S Consultant(s)

	the project are resolved peacefully to the satisfaction of all parties				
Zero or minimal incidences of gender-based violence during project implementation	This measures the extent to which the project is implemented without any reported cases of gender-based violence	Monthly	GBV records/ reports	Monthly review of project reports for incidences of GBV	E&S Consultant(s)
Outputs:					
Key stakeholders identified	This measures the number and types of stakeholders identified for engagement during	Biannually	Stakeholders register for the project	Review project documents	AUC PIU

project	implementation				
Key stakeholders consulted	This measures the number of consultations carried out with key stakeholders before and during project implementation	Monthly	Stakeholder consultation reports	Review project documents	
Key stakeholders engaged	This measures the number and type of stakeholders during project preparation and implementation	Monthly	Reports on stakeholders engaged	Review project documents	E&S Consultant(s)
Key project information disclosed	This measures the number and type of project information disclosed	Monthly	SEP, reports on information disclosure	Review project documents	E&S Consultant(s)
Key issues/topics stakeholders are consulted or engaged on	This measures the number and type of issues or topics stakeholders are	Monthly	SEP and ESCP	Review project documents	E&S Consultant(s)

	eng consu age o lted or d n				
Grievances recorded	This measures the number ty an pe grievan d s of ces recorded as a result of project activities	Monthly	GR repo E& M rts S rep orts	Review project documents	E&S Consultant(s)
Grievances resolved	Creat found ing ation of succe resol ssful ution of con cer an complai n d nts rela pro affec ted to ject ted per son	Monthly	GR repo E& M rts S rep orts	Review project documents	E&S Consultant(s)

10
.0   ANNEXES

10.1 Annex 1: Grievance Information Form

Date/Time received:	Date: (dd-mm-yyyy) Grievance ID #: Time: □ am □ pm	
Name of Grievant:		□ You can use my name, but do not use it in public. □ You can use my name when talking about this concern in public. □ You cannot use my name at all.
Company (if applicable)		□ You can use my company name, but do not use it in public. □ You can use my company name when talking about this concern in public. □ You cannot use my company name at all
Contact Information:	Phone: Email address: Address: Location: (Kindly indicate the preferred language and method of communication)	
Status of Occurrence	□ One-time incident/complaint □ Happened more than once (indicate how many times): _____ □ Ongoing (a currently existing problem)	

_____   _____

Grievant/Complainant Signature (if applicable)   **Date (dd-mm-yyyy)**

_____   _____

Project Personnel Signature (to confirm receipt only)   **Date (dd-mm-yyyy)**

For PIU use only:

Grievance No: _____

Grievance Category:

□ Problems during material transport   □ Smell

□ Blocked road access   □ Problem with project staff

□ Dust   □ Other (specify): _____

□ Noise

Grievance Owner/ Department: _____

Grievant/Complainant Signature (if applicable)

10.2 Annex 2: Grievance Acknowledgement Form (GAF)

The project acknowledges receipt of your complaint and will contact you within 10 working days.

Grievance ID #: Date of grievance/complaint: (dd/mm/yyyy)	
Name of Grievant/Complainant:	
Complainant's Address and Contact Information:	
Summary of Grievance/Complaint: (Who, what, when, where) Name of Project Staff Acknowledging Grievance:	
Signature:	
Date: (dd/mm/yyyy)	

10.3   Annex 3: Grievance Redressal Registration Monitoring Sheet

No.	Grievance ID Number	Complainant confidential code (for only SEA/SH complaints)	Date Received	Grievance Description	Name of Grievant Owner	Action(s) to be taken	Responsible Unit	Due Date	Result(s) of Intervention	Closing Date of Complaint

10.4   Annex 4: Disclosure/Release Form

Grievance ID #:	
Name of Grievant/Complainant:	
Date of Complaint:	
Summary of Complaint:	
Summary of Resolution:	
Resolved at:	□ **First Level** □ **Second Level** □ **Third Level**
Date of grievance resolution (dd/mm/yyyy):	

_____   _____

Grievant/Complainant Signature (if applicable)   **Date (dd-mm-yyyy)**

_____   _____

Project Personnel Signature (to confirm receipt only)   **Date (dd-mm-yyyy)**