Stakeholder Engagement Plan (SEP)
Template for Substantial Risk and High Risk Projects

1. Introduction/Project Description

[*Insert short background/ paragraph about the country and sector context, project objectives, components, and location. Map(s) can be added in the document or in annexes].*

[Country/Sector Context]
[The [*name of project*] aims to [*add project development objective*]
The [*name of project*] comprises the following components: [*list components and short description*] *[list locations]*

The [*name of project*] is being prepared under the World Bank's Environment and Social Framework (ESF).

2. Objective/Description of SEP

The overall objective of this SEP is to define a program for stakeholder engagement, including public information disclosure and consultation throughout the entire project cycle. The SEP outlines the ways in which the [*name of the implementing agency*] will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about the project and any activities related to the project. The SEP specifically emphasizes methods to engage groups considered most vulnerable and that are at risk of being left out of project benefits.

3. Stakeholder identification and analysis per project component

3.1 Methodology

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

3.2. Affected parties

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

3.3. Other interested parties

The projects' stakeholders also include parties other than the directly affected communities, including: [*add list of other possible stakeholders].*

3.4. Disadvantaged / vulnerable individuals or groups[1]

Within the Project, the vulnerable or disadvantaged groups may include but are not limited to the following: [*add list of possible vulnerable groups per each project component and possible barriers they may encounter in accessing information or other project benefits].*

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

4. Stakeholder Engagement Program

4.1. Summary of stakeholder engagement done during project preparation

During project preparation, the following public consultation meetings will be/were conducted [*insert table listing meetings, venue, number of participants and key issues discussed]*.

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

The Stakeholder Engagement Plan below outlines the engagement process, methods, including sequencing, topics of consultations and target stakeholders. The World Bank and the Borrower do not tolerate reprisals and retaliation against project stakeholders who share their views about Bank-financed projects.

Table 1: SEP Summary Table

Project stage	Target stakeholders	Topic of consultation / message	Method used	Responsibilities	Frequency/Timeline
Indicate whether it is: *- Preparation stage* *-Implementation stage*	*Examples may include: General Public, Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Communities, persons with disabilities.*	*Examples may include:* *- Present the project and receive feedback on project activities.* *- Inform on progress,* *- Consult on key risks* *- Note public events to disseminate the results* *- Give information on GM*	*Examples may include:* *- Focus Group Meetings/ Discussions* *- Community consultations* *- Formal meetings* *- Virtual discussions or surveys* *- One-on-one interviews* *- Site visits*	*Name the agency/ministry in charge of stakeholder engagement activities*	*Add either specific dates or a given frequency (either MM/YY, or "monthly" / "quarterly" / "twice a year")*

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4.3. Proposed strategy to incorporate the views of vulnerable groups

The project will seek the views of [*vulnerable or disadvantaged groups identified*] through the following methods [*indicate methods of engagement*]. The following measures will be taken in order to remove obstacles to full and enabling participation / access to information: [*Indicate measures here*][2]

5. Resources and Responsibilities for implementing stakeholder engagement

5.1. Implementation Arrangements and Resources

The [*insert*] will be in charge of stakeholder engagement activities. The entities responsible for carrying out stakeholder engagement activities are [*insert*]. The overall responsibility for SEP implementation lies with the Project Implementation Unit (PIU) director.

The project's stakeholder engagement implementation arrangements are as follows: [*insert*][1]

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

The budget estimate for the preparing and implementing SEP is [*insert the total estimated amount*]. The budget breakdown can be found in Annex 2. See the sample budget line items listed in Annex 2.

6. Grievance Mechanism

A Grievance Mechanism is a system that allows not only grievances, but also queries, suggestions, positive feedback, and concerns of project-affected parties related to the environmental and social performance of a project to be submitted and responded to in a timely manner.

6.1. Description of Grievance Mechanism (GM)

Table 2: Illustrative Table on the GM Steps - to be adjusted to each project

[Step	Description of process (e.g.)	Timeframe	Responsibility
GM implementation structure	[*Describe, for example, GM structure at national, regional, and local levels]*		
Grievance uptake	Grievances can be submitted via the following channels [*select and specify as appropriate*] • Toll-free telephone hotline: [*include number*] operated by [*insert*] • Short Message Service (SMS) to [*include number*] • E-mail to [*insert*] • Letter to [*insert*]		

[1] Integrate provisions for the mobilization of technical expertise for safe consultations with vulnerable groups, and/or on sensitive topics, as and when needed.

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[Step	Description of process (e.g.)	Timeframe	Responsibility
	• In-person at a physical facility [*specify where*] • Grievance or suggestion boxes located [*insert locations*] • Social media [*insert relevant social media accounts*] • Tablet/smartphone application [*specify*] • Online form on the following website: [*insert*]		
Sorting, processing	Any complaint received is forwarded to [*insert*]; logged in [*insert*]; categorized according to the following complaint types: [*insert*]	Upon receipt of complaint	Local grievance focal points
Acknowledgement and follow-up	Receipt of the grievance is acknowledged to the complainant by [*insert*]	Within 2 days of receipt	Local grievance focal points
Verification, investigation, action	Investigation of the complaint is led by [*insert*] A proposed resolution is formulated by [*insert*] and communicated to the complainant by [*insert*]	Within 10 working days	Complaint Committee composed of *[insert]*
Monitoring and evaluation	Data on complaints are collected in [*insert*] and reported to [*insert*] every [*insert*]		
Provision of feedback	Feedback from complainants regarding their satisfaction with complaint resolution is collected [*insert*]		
Training	Training needs for staff/consultants in the PIU, Contractors and Supervision Consultants are [*insert*]		
If relevant, payment of reparations following complaint resolution	[*If relevant, describe how payment of reparations will be handled including amounts, recipients, etc.]*		
Appeals process	[*Describe how appeals will be handled when/if the complainants are not satisfied with the proposed resolution of the complaint]*		

[*Insert a few sentences about the Labor GM, which should be described in detail in the Labor Management Procedures and other project documents*].

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[*Integrate a section to describe how Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) complaints will be safely and ethically received and managed, through the different stages of the GM, as and where possible*].[2]

7. Monitoring and Reporting

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

The SEP will be monitored based on both qualitative reporting (based on progress reports) and quantitative reporting linked to results indicators on stakeholder engagement and grievance performance.

SEP reporting will include the following:

(i) Progress reporting on the ESS10-Stakeholder Engagement commitments under the Environmental and Social Commitment Plan (ESCP)

(ii) Cumulative qualitative reporting on the feedback received during SEP activities, in particular (a) issues that have been raised that can be addressed through changes in project scope and design, and reflected in the basic documentation such as the Project Appraisal Document, Environmental and Social Assessment, Resettlement Plan, Indigenous Peoples Plan, or SEA/SH Action Plan, if needed; (b) issues that have been raised and can be addressed during project implementation; (c) issues that have been raised that are beyond the scope of the project and are better addressed through alternative projects, programs or initiatives; and (d) issues that cannot be addressed by the project due to technical, jurisdictional or excessive cost-associated reasons. Minutes of meetings summarizing the views of the attendees can also be annexed to the monitoring reports.

(iii) Quantitative reporting based on the indicators included in the SEP. An illustrative set of indicators for monitoring and reporting is included in Annex 3.

7.2. Reporting back to stakeholder groups

The SEP will be revised and updated as necessary during project implementation.

[*Quarterly or other*] summaries and internal reports on public grievances, enquiries, and related incidents, together with the status of implementation of associated corrective/preventative actions will be collated by responsible staff and referred to the project managers.

Specific mechanisms to report back to the stakeholders include the following [*insert the specific mechanism/avenues to be used by the project to report back to the stakeholder groups that have been/will be consulted*] This reporting back to the stakeholders will be [*insert the timeline/frequency of such reporting]*.

[2] In some projects, the GM could be adapted to receive SEA/SH allegations/complaints. If so, the responses should follow a survivor-centered approach that prioritizes survivors' dignity, confidentiality and safety, and the project accountability and response framework. Kindly refer to the Good Practice Notes on Addressing SEA/SH in Investment Project Financing involving Major Civil Works (page 53) and in Human Development Operations (page 38).

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Annexes

- Annex 1. Template to capture minutes/records of consultation meetings
- Annex 2. Example of a SEP Budget Table
- Annex 3. Sample Table: Monitoring and Reporting on the SEP

Other Annexes can include:

- Visual summaries such as stakeholder mapping or stakeholder diagrams
- Grievance submission form
- Project maps (if applicable)

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Annex 1: Template to Capture Consultation Minutes

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

Annex 2: Example of a SEP Budget Table

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

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6d. E.g., Grievance investigations/site visits					
6e. E.g., GM Information System (setting up or maintenance)					
6f. Other GM Logistical Costs					
7. Other expenses					
7a. …					
TOTAL STAKEHOLDER ENGAGEMENT BUDGET:					

*Note: Salary costs can be indicative

Annex 3. Sample Table: Monitoring and Reporting on the SEP

Key evaluation questions	Specific Evaluation questions	Potential Indicators	Data Collection Methods
GM. To what extent have project-affected parties been provided with accessible and inclusive means to raise issues and grievances? Has the implementing agency responded to and managed such grievances?	• Are project affected parties raising issues and grievances? • How quickly/effectively are the grievances resolved?	• Usage of GM and/or feedback mechanisms • Requests for information from relevant agencies. • Use of suggestion boxes placed in the villages/project communities. • Number of grievances raised by workers, disaggregated by gender of workers and worksite, resolved within a specified time frame. • Number of Sexual Exploitation, and Abuse/Sexual Harassment (SEA/SH) cases reported in the project areas, which were referred for health, social, legal and security support according to the referral process in place. (if applicable) • Number of grievances that have been (i) opened, (ii) opened for more than 30 days, (iii) resolved, (iv) closed, and (v) number of responses that satisfied the complainants, during the reporting period disaggregated by category of grievance, gender, age, and location	Records from the implementing agency and other relevant agencies

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		of complainant.	
Stakeholder engagement impact on project design and implementation. How have engagement activities made a difference in project design and implementation?	• Was there interest and support for the project? • Were there any adjustments made during project design and implementation based on the feedback received? • Was priority information disclosed to relevant parties throughout the project cycle?	• Active participation of stakeholders in activities • Number of actions taken in a timely manner in response to feedback received during consultation sessions with project affected parties. • Number of consultation meetings and public discussions where the feedback and recommendation received is reflected in project design and implementation. • Number of disaggregated engagement sessions held, focused on at-risk groups in the project.	Stakeholder Consultation Attendance Sheets/Minutes Evaluation forms Structured surveys Social media/traditional media entries on the project results
Implementation effectiveness. Were stakeholder engagement activities effective in implementation?	• Were the activities implemented as planned? Why or why not? • Was the stakeholder engagement approach inclusive of disaggregated groups? Why or why not?	• Percentage of SEP activities implemented. • Key barriers to participation identified with stakeholder representatives. • Number of adjustments made in the stakeholder engagement approach to improve projects' outreach, inclusion and effectiveness.	Communication Strategy (Consultation Schedule) Periodic Focus Group Discussions Face-to-face meetings and/or Focus Group discussions with Vulnerable Groups or their representatives

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[1] It is particularly important to understand whether project impacts may disproportionately fall on disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project and to ensure that awareness raising and stakeholder engagement with disadvantaged or vulnerable individuals or groups are adapted to take into account such groups or individuals particular sensitivities, concerns and cultural sensitivities and to ensure a full understanding of project activities and benefits. The vulnerability may stem from person's origin, gender, age, health condition, economic deficiency and financial insecurity, disadvantaged status in the community (e.g., minorities or fringe groups), dependence on other individuals or natural resources, etc. Engagement with the vulnerable groups and individuals often requires the application of specific measures and assistance aimed at the facilitation of their participation in the project-related decision making so that their awareness of and input to the overall process are commensurate to those of the other stakeholders.

[2] Examples may include (i) women: ensure that community engagement teams are gender-balanced and promote women's leadership within these, design online and in-person surveys and other engagement activities so that women in unpaid care work can participate; consider provisions for childcare, transport, and safety for any in-person community engagement activities; promote gender-segregated consultations and other approaches allowing for the free and enabling participation of women and girls, including groups of women and girls who are particularly vulnerable to exclusion and risks potentially associated with the project; consult with women's organizations, including organizations advocating for survivors' rights (ii) Pregnant women: develop education materials for pregnant women on basic hygiene practices, infection precautions, and how and where to seek care based on their questions and concerns; (iii) Elderly and people with existing medical conditions: develop information on specific needs and explain why they are at more risk & what measures to take to care for them; tailor messages and make them actionable for particular living conditions (including assisted living facilities), and health status; target family member; (iii) Persons with disabilities: provide information in accessible formats, like braille, large print; offer multiple forms of communication, such as text captioning or signed videos, text captioning for hearing impaired, online materials for people who use assistive technology; consider and take into account gender and other dimensions of identity and vulnerability and (iv) Children: design information and communication materials in a child-friendly manner and provide parents with skills to gather and promote children's voices, best interest, perspectives and participation; mobilize capacity as needed to be able to safely engage teenagers, and/or engage with organizations advocating for children's rights.

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