Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

This template provides guidance for the Borrower on specific aspects of the application of the Environmental and Social Standards (ESSs), which form part of the World Bank's 2016 Environmental and Social Framework. Templates help to illustrate the requirements of the ESSs and propose sample approaches to fulfilling the requirements; they are not Bank policy and are meant to be a useful and voluntary tool. In case of any inconsistency or conflict with the ESSs, the provisions of the ESSs prevail.

Stakeholder Engagement Plan (SEP)

The scope and level of detail of the plan should be commensurate and proportionate with the nature and scale, potential risks, and impacts of the project and the concerns of the stakeholders who may be affected by or are interested in the project. Depending on the nature of the scale of the risks and impacts of the project, the elements of an SEP may be included as part of the Environmental and Social Commitment Plan (ESCP), and preparation of a stand-alone SEP may not be necessary.

The SEP should be clear and concise and focus on describing the project and identifying its stakeholders. It is key to identify what information will be in the public domain, in what languages, and where it will be located. It should explain the opportunities for public consultation, provide a deadline for comments, and explain how people will be notified of new information or opportunities for comment. It should explain how comments will be assessed and taken into account. It should also describe the project's grievance mechanism and how to access this mechanism. The SEP should also commit to releasing routine information on the project's environmental and social performance, including opportunities for consultation and how grievances will be managed.

1. Introduction/Project Description

Briefly describe the project, the stage of the project, its purpose, and what decisions are currently under consideration on which public input is sought.

Describe location and, where possible, include a map of the project site(s) and surrounding area, showing communities and proximity to sensitive sites, and including any worker accommodation, lay-down yards, or other temporary activities that also may impact stakeholders. Provide a link to, or attach a nontechnical summary of, the potential social and environmental risks and impacts of the project.

2. Brief Summary of Previous Stakeholder Engagement Activities

If consultation or disclosure activities have been undertaken to date, including information disclosure and informal or formal meetings/or consultation, provide a summary of those activities (no more than half a page), the information disclosed, and where more detailed information on these previous activities can be obtained (for example, a link, or physical location, or make available on request).

3. Stakeholder identification and analysis

Identify key stakeholders who will be informed and consulted about the project, including individuals, groups, or communities that:

- Are affected or likely to be affected by the project (project-affected parties); and

- May have an interest in the project (other interested parties).

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

Depending on the nature and scope of the project and its potential risks and impacts, examples of other potential stakeholders may include government authorities, local organizations, NGOs, and companies, and nearby communities. Stakeholders may also include politicians, labor unions, academics, religious groups, national social and environmental public-sector agencies, and the media.

3.1. Affected parties

Identify individuals, groups, local communities, and other stakeholders that may be directly or indirectly affected by the project, positively or negatively. The SEP should focus particularly on those directly and adversely affected by project activities. Mapping the impact zones by placing the affected communities within a geographic area can help define or refine the project's area of influence. The SEP should identify others who think they may be affected, and who will need additional information to understand the limits of project impacts.

3.2. Other interested parties

Identify broader stakeholders who may be interested in the project because of its location, its proximity to natural or other resources, or because of the sector or parties involved in the project. These may be local government officials, community leaders, and civil society organizations, particularly those who work in or with the affected communities. While these groups may not be directly affected by the project, they may have a role in the project preparation (for example, government permitting) or be in a community affected by the project and have a broader concern than their individual household.

Moreover, civil society and nongovernmental organizations may have in-depth knowledge about the environmental and social characteristics of the project area and the nearby populations, and can help play a role in identifying risks, potential impacts, and opportunities for the Borrower to consider and address in the assessment process. Some groups may be interested in the project because of the sector it is in (for example, mining or health care), and others may wish to have information simply because public finance is being proposed to support the project. It is not important to identify the underlying reasons why people or groups want information about a project—if the information is in the public domain, it should be open to anyone interested.

3.3. Disadvantaged / vulnerable individuals or groups

It is particularly important to understand project impacts and whether they 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. The following can help outline an approach to understand the viewpoints of these groups:

- Identify vulnerable or disadvantaged individuals or groups and the limitations they may have in participating and/or in understanding the project information or participating in the consultation process.

- What might prevent these individuals or groups from participating in the planned process? (For example, language differences, lack of transportation to events, accessibility of venues, disability, lack of understanding of a consultation process).

- How do they normally get information about the community, projects, activities?

- Do they have limitations about time of day or location for public consultation?

- What additional support or resources might be needed to enable these people to participate   in

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

the consultation process? (Examples are providing translation into a minority language, sign language, large print or Braille information; choosing accessible venues for events; providing transportation for people in remote areas to the nearest meeting; having small, focused meetings where vulnerable stakeholders are more comfortable asking questions or raising concerns.)

- If there are no organizations active in the project area that work with vulnerable groups, such as persons with disability, contact medical providers, who may be more aware of marginalized groups and how best to communicate with them.

- What recent engagement has the project had with vulnerable stakeholders and their representatives?

3.4. Summary of project stakeholder needs

Example

Community	Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs (accessibility, large print, child care, daytime meetings
Village A	Parents with young children	Approximately 180 households affected; 300 children	Official language	Written information, radio	Child care for meetings—late afternoon preferred timing
Village A	Refugees	38 extended families, poverty level	Language alternative	Visit with translator and civil society representative	Graphics, education on process

4. Stakeholder Engagement Program

4.1. Purpose and timing of stakeholder engagement program

Summarize the main goals of the stakeholder engagement program and the envisaged schedule for the various stakeholder engagement activities: at what stages throughout the project's life they will take place, with what periodicity, and what decision is being undertaken on which people's comments and concerns. If decisions on public meetings, locations, and timing of meetings have not yet been made, provide specific information on how people will be made aware of forthcoming opportunities to review information and provide their views. Include the ESCP as part of such information. For some projects, a stand-alone SEP may not be necessary and its elements may be incorporated into the ESCP.

4.2. Proposed strategy for information disclosure

Briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each of the stakeholder groups. Methods used may vary according to target audience. For each media example, identify the specific names (for example, *The Daily News* and *The Independent*, *Radio News 100.6*, television *Channel 44*). The selection of disclosure—both for notification and providing information—should be based on how most people in the vicinity of the

June 2018

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

project routinely get information, and may include a more central information source for national interest. A variety of methods of communication should be used to reach the majority of stakeholders. The project should select those that are most appropriate and have a clear rationale for their choices. The plan should include a statement welcoming comments on the proposed engagement plan and suggestions for improvement. For remote stakeholders, it may be necessary to provide for an additional newspaper outlet or separate meeting, or additional documents that should be placed in the public domain. The public domain includes:

- Newspapers, posters, radio, television;

- Information centers and exhibitions or other visual displays;

- Brochures, leaflets, posters, nontechnical summary documents and reports;

- Official correspondence, meetings;

- Website, social media.

The strategy should include means to consult with project-affected stakeholders if there are significant changes to the project resulting in additional risks and impacts. Following such consultation, an updated ESCP will be disclosed.

Example

Project stage	List of information to be disclosed	Methods proposed	Timetable: Locations/ dates	Target stakeholders	Percentage reached	Responsibilities
Construction	Traffic management plan	Notification Radio News 100.6 and copy in village hall Poster on community bulletin board	Radio twice daily in weeks of disclosure	Villagers, including pedestrians and drivers	Radio News 100.6 reaches 60% of village Poster on bulletin board reaches another percentage of the population	Community Liaison Officer

4.3. Proposed strategy for consultation

Briefly describe the methods that will be used to consult with each of the stakeholder groups. Methods used may vary according to target audience, for example:

- Interviews with stakeholders and relevant organization

- Surveys, polls, and questionnaires

- Public meetings, workshops, and/or focus groups on specific topic

- Participatory methods

- Other traditional mechanisms for consultation and decision making.

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

Example

Project stage	Topic of consultation	Method used	Timetable: Location and dates	Target stakeholders	Responsibilities
Construction	Traffic safety	Discussion with village schools Public meeting	ABC elementary school September 4, 3:00 p.m. Village A town hall September 8, 5:30 p.m.	Parents and children in village Community	Community Liaison Officer (CLO) Transportation Engineer, Manager, CLO

4.4. Proposed strategy to incorporate the view of vulnerable groups

Describe how the views of vulnerable or disadvantaged groups will be sought during the consultation process. Which measures will be used to remove obstacles to participation? This may include separate mechanisms for consultation and grievances, developing measures that allow access to project benefits, and so forth.

4.5. Timelines

Provide information on timelines for project phases and key decisions. Provide deadlines for comments.

4.6 Review of Comments

Explain how comments will be gathered (written and oral comments) and reviewed, and commit to reporting back to stakeholders on the final decision and a summary of how comments were taken into account.

4.7 Future Phases of Project

Explain that people will be kept informed as the project develops, including reporting on project environmental and social performance and implementation of the stakeholder engagement plan and grievance mechanism. Projects should report at least annually to stakeholders, but often will report more frequently during particularly active periods, when the public may experience more impacts or when phases are changing (for example, quarterly reports during construction, then annual reports during implementation).

5. Resources and Responsibilities for implementing stakeholder engagement activities

5.1. Resources

Indicate what resources will be devoted to managing and implementing the Stakeholder Engagement Plan, in particular:

- What people are in charge of the SEP

- Confirm that an adequate budget has been allocated toward stakeholder engagement

- Provide contact information if people have comments or questions about the project or the consultation process; that is, phone number, address, e-mail address, title of responsible person

June 2018

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

(individual names may change).

5.2. Management functions and responsibilities

Describe how stakeholder engagement activities will be incorporated into the project's management system and indicate what staff will be devoted to managing and implementing the Stakeholder Engagement Plan:

- Who will be responsible for carrying out each of the stakeholder engagement activities and what are the qualifications of those responsible?

- How involved will management be in stakeholder engagement?

- How will the process be documented, tracked, and managed (for example, stakeholder database, commitments register, and so forth)?

6. Grievance Mechanism

Describe the process by which people affected by the project can bring their grievances and concerns to the project management's attention, and how they will be considered and addressed:

- Is there an existing formal or informal grievance mechanism, and does it meet the requirements of ESS10? Can it be adapted or does something new need to be established?

- Is the grievance mechanism culturally appropriate, that is, is it designed to take into account culturally appropriate ways of handling community concerns? For example, in cultures where men and women have separate meetings, can a woman raise a concern to a woman in the project grievance process?

- What process will be used to document complaints and concerns? Who will receive public grievances? How will they be logged and monitored?

- What time commitments will be made to acknowledge and resolve issues? Will there be ongoing communication with the complainant throughout the process?

- How will the existence of the grievance mechanism be communicated to all stakeholder groups? Are separate processes needed for vulnerable stakeholders?

- If a complaint is not considered appropriate to investigate, will an explanation be provided to the complainant on why it could not be pursued?

- Will there be an appeals process if the complainant is not satisfied with the proposed resolution of the complaint? Not all projects will necessarily have an appeals process, but it is advisable to include one for more complex projects. In all cases, complainants need to be reassured that they still have all their legal rights under their national judicial process.

- A summary of implementation of the grievance mechanism should be provided to the public on a regular basis, after removing identifying information on individuals to protect their identities. How often will reports go into the public domain to show that the process is being implemented?

June 2018

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

7. Monitoring and Reporting

7.1. Involvement of stakeholders in monitoring activities

Some projects include a role for third parties in monitoring the project or impacts associated with the project. Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. The criteria for selection of third parties should be clear. For further information, see the World Bank's Good Practice Note on Third-Party Monitoring.

7.2. Reporting back to stakeholder groups

Describe how, when, and where the results of stakeholder engagement activities will be reported back to both affected stakeholders and broader stakeholder groups. It is advised that these reports rely on the same sources of communication that were used earlier to notify stakeholders. Stakeholders should always be reminded of the availability of the grievance mechanism.

Template for ESS10: Stakeholder Engagement and Information Disclosure
Stakeholder Engagement Plan and Stakeholder Engagement Framework

Stakeholder Engagement Framework

Please read this in conjunction with the Stakeholder Engagement Plan Template

---

In certain instances where the specifics for creating a detailed Stakeholder Engagement Plan are not available, a stakeholder engagement framework (SEF) may be adopted. The SEF will guide the development of an SEP, as soon as the specific locations, stakeholder groups, and schedule of activities are known. The scope and level of detail of the framework SEP should be commensurate with the nature and scale, potential risks, and impacts of the project and the level of concern in the project area. However, since adequate information is not yet available on which people can comment, more detail is needed on the range of issues under consideration than in a specific SEP, which is often attached to or accompanied by a nontechnical summary of the project.

It is important to remember that people make their minds up about a project, whether positive or negative, at an early stage. If only limited information is provided to people from the project, they will form opinions based on their own informal discussions, and perhaps on the basis of less credible information. While it is important to manage expectations, it is typically a mistake to delay providing information to stakeholders, as opinions can be quite firmly established, even when more information is later provided.

When the details of the project location, technology, or other key factors are not known and will be decided at a future date, the Stakeholder Engagement Plan should be presented as the approach to stakeholder engagement that is envisaged, following the information note above, but with the following changes:

- The stakeholder identification may expand to a wider area than the project will affect, if a location has not yet been identified. Be careful to provide information on the range of options under consideration and how these options will be narrowed down.

- Provide information on the process that will be followed in developing a specific stakeholder engagement plan and the objectives of the consultation.

- Provide details on the early stages of consultation, when more information will be gathered to draft the Stakeholder Engagement Plan, and welcome input on the best methods of notification, information disclosure, and consultation.

- The framework needs to be specific about the way people will be informed when more information is known, including specific names of media and websites. It should outline the general process that will be followed, and the number of days/weeks/months that people will have to comment on information when it is available.

- When locations and dates of meetings are not known, provide a general range of the number of meetings planned and the approach to consultation.

- The contact information for the project needs to be provided in full in the framework for people who have more questions or concerns.

- The grievance mechanism needs to be provided in full in the framework. Stakeholders can have problems even during the project planning stage.