



TFCA FINANCING FACILITY

Stakeholder Engagement Plan Guidance



Supported by:



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ACRONYM LIST

TERM	DEFINITION
E&S	Community Liaison Officer
E&S	Environmental and Social
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESS	Environmental and Social Standard
FPIC	Free, Prior and Informed Consent
GDPR	General Data Protection Regulation
GPS	Global Positioning System
GRM	Grievance Response Mechanism
ICP	Informed Consultation and Participation
IP	Indigenous Peoples
NGO	Non-Governmental Organisation
PAP	Project-Affected People
SEP	Stakeholder Engagement Plan
TFCA	Transfrontier Conservation Area
TFCA FF	Transfrontier Conservation Area Financing Facility
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
WB	World Bank
WB ESF	World Bank Environmental and Social Framework

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1.

Purpose of this SEP

- *Each Transfrontier Conservation Area (TFCA) Financing Facility (TFCA FF or 'the Facility') Project requires that a Stakeholder Engagement Plan (SEP) tailored to the Project be established by the Grantee.*
- *This document does not aim to be prescriptive but rather serves as a guidance for the development of a SEP. this guidance may also be used as template (using the headings and if appropriate, parts of the text). Furthermore, should a Grantee wish to use their own SEP template, it is suggested to conduct a check (gap analysis) against the key content of this template.*
- *This introductory section serves to introduce the SEP and explains its purpose.*
- *The guidance provided is focused on what to include in the SEP and is not intended as 'how to' guidance.*

1.1 Introduction

The purpose of a **Stakeholder Engagement Plan** (SEP) is to demonstrate how a project has engaged with stakeholders during the project design (design of the concept and full proposal), and the proposed stakeholder engagement process that will be followed during the project's planning and implementation. The Transfrontier Conservation Area (TFCA) Financing Facility (TFCA FF or 'the Facility') require Applicants/Grantees to have established an outline of a SEP upon submission of a full proposal.

Stakeholders are individuals or groups who are affected, or likely to be affected by a project, known as ('Project-Affected People' (PAP)) and/or may have an interest (stake) in the project ('Interested Parties'), or be able to influence its outcome, either positively or negatively. Stakeholders may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organisations and groups with special interests, tourists and guests, security personnel, anti-poaching units, the academic community, or other businesses.

The stake that each of these different individuals or groups will have in a given project varies. This requires analysing and understanding the degree to which stakeholders are affected by the project (and therefore the type of engagement that is expected), and the degree to which a stakeholder has an interest and/or influence in the project (and therefore the type of engagement that is required to ensure a successful and sustainable project).

Stakeholder engagement refers to a process of sharing information and knowledge, seeking to understand and respond to the concerns of others, and building relationships based on collaboration. Stakeholder engagement is an on-going process that intends to build a positive and transparent relationship between the Project and its stakeholders.

The level of stakeholder engagement can differ as a function of the likely impact of the Project on stakeholders. Also note that depending on the classification of affected communities and on the significance of potential negative impacts, specific engagement formats may be required, such as the process of Free, Prior and Informed Consent (FPIC) in line with the provisions of WB ESS 7 (for detailed information, please see Annex J to the TFCAFF ESMS Manual). Other examples of different types of engagement are

Informed Consultation and Participation (ICP), Consultation, and Information Sharing, , as indicated and explained in **Section 4**.

The SEP including a Stakeholder Engagement Plan Register'- as Annex K-1 to the ESMS Manual) is a public document and will be disclosed to all PAP and other project stakeholders. It is also a 'living document' that will be revised and updated to account for the ongoing stakeholder engagement activities and potential changes in the Project. The SEP should complement other safeguard instruments (e.g. an ESMP) and be developed and applied in conjunction with the project Level Grievance Redress Mechanism (GRM, see Annex L to the TFCAFF ESMS).

TABLE 1:

TFCA FF requirements for stakeholder engagement (TFCA FF E&S Safeguarding Principles and Requirements).

TFCA FF REQUIREMENTS	PHASE 1: PROJECT PREPARATION AND DEVELOPMENT			PHASE 2: EVALUATION	PHASE 3: APPROVAL	PHASE 4: PROJECT DEVELOPMENT		PHASE 5: EXIT
	Stage 1: Concept Note & Applicant ESMS Screening Questionnaire	Stage 2: E&S Risk Screening	Stage 3: Full Proposal Development	Stage 1: Full Proposal Evaluation and Safeguard Requirements	Stage 1: E&S Contracting	Stage 1: Project Inception	Stage 2: Project Implementation, Monitoring and Evaluation Implementation, Monitoring and Evaluation	Stage 1: Project Exit
STAKEHOLDER IDENTIFICATION	Required	N/A	N/A	N/A	N/A	N/A	N/A	N/A
STAKEHOLDER ANALYSIS AND CONSULTATION	N/A	N/A	Required	N/A	N/A	N/A	N/A	N/A
STAKEHOLDER IDENTIFICATION	N/A	N/A	Required	N/A	N/A	Required	Required	Required
DISCLOSURE AND REPORTING	N/A	N/A	Required (initial disclosure)	N/A	N/A	Required (subsequent disclosure)	Required	Required

The overall aim of an SEP is to ensure that a timely and appropriate approach is taken to engagement with stakeholders. The SEP outlines how a given project will further engage the various stakeholder groups throughout project design and implementation in order to ensure that their views and concerns are heard and taken into account. The purpose of having a SEP is to ensure a successful and sustainable project, and alignment of the project with international good practice approaches to stakeholder engagement, including the World Bank Environmental and Social Standards, particularly Environmental and Social Standard 10 (ESS10).

1.2 Objectives

The objectives of an SEP are as follows: please kindly remove the capital P in Project and make it project, to be more generic (in the spirit of a guidance)

- Identify and analyse stakeholders during the project design, listing all relevant stakeholders and analysing each in relation to their potential interest in and influence on the project, as well as the project's potential impact (positive and negative) on them;
- Actively obtain input from a broad spectrum of stakeholders at local, regional, national, and international levels, as necessary, with particular emphasis on PAPs and local communities, through meaningful consultation;
- Provide stakeholders with adequate, clear, timely and consistent information regarding the Project and Project activities, including impacts and opportunities that may arise and proposed management measures/solutions, as well as the manner in which they can participate in this process;
- Through a two-way dialogue, stay abreast of interests, concerns, needs and E&S perspectives of all stakeholders, in particular those of the project affected persons and the local communities, giving them sufficient opportunity to understand the activities, raise issues and participate in relevant project decisions;
- Form partnerships to promote constructive interaction amongst stakeholders, and maximise Project benefits such as employment and procurement opportunities through effective engagement with local communities;
- Build capacity among stakeholders to enhance their ability to interpret the information, as well as to contribute their issues of concern and suggestions for enhanced benefits;
- Working directly with the stakeholders and in particular, the PAPs, throughout Project implementation to ensure that public concerns and aspirations are consistently understood and considered by [Project title];
- Provide stakeholders with timely feedback on whether and how their inputs were incorporated into Project decisions particularly relating to management measures and strategies for enhancing benefits and including the effective and timely management of any grievances related to the Project; and
- Integrate stakeholder engagement into the [Grantee]'s core business activities, ensuring capacity (staffing and resources) to manage engagement with stakeholders, and the integration of

information gleaned from feedback/results of engagement into management plans.

Overall, the SEP will assist with building strong relationships between a project and its stakeholders, creating an atmosphere of mutual understanding, respect, trust, and collaboration. Active engagement will also give the PAP a sense of ownership and/or a stake in decision-making process pertaining to the Project, thereby allowing the Project to gain and maintain community acceptance and to grow. Importantly, regular engagement will help with managing expectations of the PAPs and other stakeholders from the beginning of the Project and throughout implementation, thereby ensuring that any expectations are realistic and factually informed.

1.3 Applicability

The SEP for an TFCA FF funded project has to be developed in alignment with international good practice, including the TFCA FF ESMS requirements and the WB ESS10, and complies with [host country] requirements as well as internal (Grantee) policies and procedures.

It is applicable to all Project activities conducted by Project personnel, including contractors, sub-contractors, and Grantee partner organisation(s).

2. Roles and Responsibilities

The key roles and responsibilities for the implementation of this SEP are described below.

Please insert guiding text as for the other sections and make clear that the titles of the roles explained below are examples only and the responsibilities listed below are to illustrate and to help the Grantee to define responsibilities.

2.1 Grantee Project Manager/E&S Officer

- [Grantee/Project title] will appoint a Community Liaison Officer (CLO) to be responsible for managing stakeholder engagement and other related communications;
- In collaboration with the CLO as required, be responsible for community liaison and arranging communications;
- Periodic reporting to the TFCA FF to inform them of stakeholder engagement activities; and
- Ensure the CLO and other Project personnel whose roles entail interaction with external stakeholders have the competency and ability to build positive Project-community relations, and are trained on the SEP.

2.2 Community Liaison Officer

- Have practical experience and undergo training on the SEP and the following areas:
 - Developing and maintaining a stakeholder list (or database);
 - Maintaining [Project title]'s Grievance Response Mechanism (GRM) including receipt, categorisation and response to internal and external issues raised;
 - Developing and maintaining detailed engagement plans with weekly/monthly events;
 - Running stakeholder meetings and consistent messaging;
 - Maintaining documentation (e.g. minutes of meetings, stakeholder plan, and grievance records); and
 - Specialised engagements with women and vulnerable groups.
- In collaboration with the [Grantee/Project title] Project Manager/E&S Officer as required, be responsible for community liaison and arranging communications, and be present and accessible throughout the delivery of the Project; and
- Maintain a record of the stakeholder engagement activities that have been undertaken (e.g., minutes of meeting, photographic evidence), and lines of communication with directly affected community leaders.

3. Stakeholder Identification and Analysis

The stakeholder identification and analysis described in this section are part of the accompanying Excel file which may be used by the Grantee as format for their SEP database.

3.1 Stakeholder Identification

Different stakeholders will have different positions and views on the Project. As such, it is important that all stakeholders are identified as early on in the Project design as possible, whilst remaining cognisant not to raise expectations about the potential Project benefits. Stakeholder identification and analysis is a tool that helps identify the key stakeholders, and assess their respective interests levels, influences, and degree to which they might be impacted.

The first step in the process of stakeholder engagement is stakeholder identification – determining who the Project stakeholders are and their key groupings and subgroupings (e.g., government, local communities, NGOs, civil society, etc.):

- *[List the stakeholders for the Project]*

The level of interest is dependent on several factors including level of authority, location (jurisdiction, country, etc.) and social economic context, cultural and intellectual factors. Stakeholder categories include:

- **Key stakeholders:** Stakeholders who have a high level of interest or that will be directly (positively and negatively) impacted by the Project and its activities, for example neighbouring communities, etc.;
- **Potentially active stakeholders:** Stakeholders that will have a high level of interest or influence on the Project, particularly in relation to legal requirements (such as legitimate representatives¹, including elected officials, non-elected community leaders, leaders of informal or customary community institutions) and those that may be indirectly impacted; and
- **Other Interested Parties:** Stakeholders that are likely to voice their opinions and/or concerns but unlikely to experience any impacts from the Project or take any action to influence the Project development.

¹Note that in cases where stakeholder engagement depends upon community representatives, the Project should verify that such persons do, in fact, represent the views of such individuals and communities, and that they are facilitating the communication process in an appropriate manner.

During concept design phase, stakeholders should be identified through various means, including through e.g., networking, meetings, interviews, observations referral and liaison with Affected Community leaders, local NGOs, and government authorities, and advertising the Project in the local media. Stakeholder identification is an ongoing process and should be reviewed and updated regularly as Project implementation proceeds. Potential Project stakeholders identified should be recorded in a Stakeholder Register (see Tab 1 of the accompanying Excel document).

3.2 Stakeholder Analysis

After identification follows a stakeholder analysis which provides a more in depth look at the identified stakeholder groups. Identified stakeholder groups/stakeholders are often analysed using three criteria, and the results of this exercise (which can be repeated at any time, and is often an iterative process) then informs the type of stakeholder engagement that is likely to be required, forming the basis for the stakeholder engagement strategy.

- 1** The potential of the Project to impact the stakeholder - impact is normally used to describe how the Project will positively or negatively affect the stakeholder. Indicative impact categories that could be used are provided in the accompanying Excel document, please see comments from KfW in the Excel file.
- 2** Stakeholder's interest (stake) in the Project – Interest is the level of interest (stake) of the stakeholder in the Project and its activities. Indicative categories that could be used to determine level of interest are provided in the accompanying Excel document.
- 3** Stakeholder's potential to influence the Project and other stakeholders - Influence is the ability of the actor to influence other stakeholders and/or the Project and its activities. Indicative categories to determine level of influence are provided in the accompanying Excel document.

NOTE: A template for stakeholder analysis is provided in the accompanying Excel document, including a table with examples of the stakeholder groupings and stakeholders.

A Stakeholder Mapping Matrix tool is provided in **Annex 1**, which assists in identifying stakeholder's stance towards the Project depending on their influence and interest in the Project.

There are various ways of conducting and presenting a stakeholder analysis. Often in practice there are other aspects to consider regarding the type of engagement, and how this can be done, which can be considered at an early stage through the 'early ideas on how to engage in the Project' in the accompanying Excel document.

The accompanying Excel document presents both a tabular format, and a visual format respectively for presenting a stakeholder analysis. There is no right or wrong approach, but the analysis described above, and the types of engagement per stakeholder described below, should be considered regardless of the approach used.

As per **Stakeholder Analysis**, 'Type of engagement required: category: Column L', the type of engagement based on the Project's potential impact on the stakeholder should be stated clearly in a stakeholder analysis, to demonstrate that the extent and degree of engagement is commensurate with the risks and impacts of the Project, as per the TFCA FF E&S Standards and Guidelines. **The likely categories of engagement type include:**

- 1 **'Free, Prior and Informed Consent (FPIC²)'**, if there are Indigenous Peoples (IP) and other vulnerable groups potentially affected by the Project; see also Annex J to the ESMS Manual)
- 2 **'Informed Consultation and Participation (ICP³)'**, if there are potentially significant adverse impacts on the stakeholder in question; I am sure ICP is not part of the glossary of terms and should be explained to more detail here including when it is recommended/required to be applied.
- 3 **'Consultation⁴'**, also referred to as 'meaningful consultation' if the level of impact and type of engagement is not yet clear and needs to be understood, or in cases where the potential impacts are not significant, but the stakeholders are affected nonetheless;
- 4 **'Information sharing'**, for all other stakeholders where there is no identified potential impact; information should be shared with stakeholders on the progress of the Project; and
- 5 **Awareness**, for all stakeholders especially Indigenous People and vulnerable groups, engage them on risks relating to human rights in law enforcement, access restriction to resources, occupational health, safety and security in Project implementation.

These would be considered the minimum levels of engagement required, based on potential impact of the Project on the stakeholder, but the Project can of course surpass these TFCA FF E&S Standards and Guidelines.

² See SADC TFCA FF ESMS Glossary of Terms for definition of FPIC.

³ See SADC TFCA FF ESMS Glossary of Terms for definition of ICP.

⁴ See SADC TFCA FF ESMS Glossary of Terms for definition of Consultation.

4. Stakeholder Engagement

The disclosure of relevant Project information⁵ should be done well in advance of the start of the Project to ensure that the stakeholders will be informed and receive information prior to the engagement activities. It also allows for adequate time for preparation work by all Interested Parties. Additional support from the local authorities may be necessary to ensure that notification can be provided to remote communities. Ongoing stakeholder engagement activities ensure that stakeholders are kept informed and have an opportunity to continue a constructive dialogue about the Project and provide feedback. Updated versions of the SEP, which are under the responsibility of the Grantee should be shared with the stakeholders to receive feedback on perceptions of engagement activities during the entire life of the Project.

Additionally, the implementation of the SEP will be subject to regular monitoring through the TFCA FF. All personal information (e.g., name and contact details) collected for the purposes of the SEP and maintained by the Grantee will be treated in a secure manner. This personal information will not be included in the publicly available SEP at any time.

The SEP as per section below should always provide a brief description of stakeholder engagement actions that have already taken place as well as engagement actions to be taken to actually implement the SEP through the TFCAFF funding period.

4.1 Stakeholder engagement already undertaken

This section should describe all of the stakeholder engagement activities that have taken place prior to Project implementation.

NOTE: A template for stakeholder engagement to date can be found in the Engagement to Date tab (tab 2 of the accompanying Excel, see Annex K_1 to the ESMS Manual).

Planned stakeholder engagement and disclosure during Project:

This section should describe how stakeholder groups will be further engaged throughout Project implementation in order to ensure that their views and concerns are heard and considered, foster constructive work relationships as well as more generally to share information and facilitate understanding.

NOTE: A template for planned stakeholder engagement is provided in Planned Engagement tab (tab 3 of the accompanying Excel document, see Annex K_1 to the ESMS Manual).

⁵See TFCA FF definition of relevant Project information in the ESMS Glossary of Terms. Ensure that personal information/ data is not disclosed, as per the TFCA FF GDPR Policy. Also be aware of sensitive information, such as information relating to cultural heritage that could endanger the integrity of that heritage, or in conflict situations where even basic information (e.g., location of settlements) cannot be disclosed: this should be decided and understood on a project-by-project basis.

Engagement and consultation with local communities requires conformance with the requirements and process steps of ICP as described in **Section 4.3**, below. The Project will undertake engagement with the stakeholders as required by the TFCA FF E&S Standards and Guidelines. This engagement process includes stakeholder analysis and engagement planning, disclosure of information, consultation, and participation, in a culturally appropriate manner. The Project's engagement with local communities needs to include participants from diverse backgrounds and viewpoints, including any vulnerable groups. The Project shall also provide sufficient time to fully consider and address any community concerns and suggestions.

4.2 Informed Consultation and Participation (ICP)

4.2.1 Background to Informed Consultation and Participation

For Projects with potentially significant adverse impacts on stakeholders, an ICP process is appropriate. ICP involves an in-depth exchange of views and information, and an organised and iterative consultation, leading to the incorporating of the views of the stakeholders into the decision-making process on matters that affect them directly, such as management measures (measures to avoid, minimise or compensate for identified impacts), sharing of development benefits and opportunities, and implementation issues.

The consultation process should:

- Capture all stakeholder's views (including vulnerable groups' and both men's and women's), if necessary, through separate forums or engagements, and
- Reflect different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate.

The Grantee will document the consultation process and in particular, the measures taken to avoid or minimise adverse impacts on the PAP. the Grantee will also inform those affected about how their concerns have been taken into account.

4.2.2 Project Informed Consultation and Participation Process

The stakeholders potentially significantly affected by the Project, requiring ICP, should be listed in tab 1 of the accompanying Excel document and *a summary sentence of the stakeholders where ICP will be required should be included*].

The process of ICP entails consultation that occurs freely and voluntarily, without any external manipulation, interference, or coercion, and without intimidation. **ICP builds upon the following core values:**

- Begin early in the process of identification of environmental and social risks and impacts and continue on an ongoing basis as risks and impacts arise;
- Be based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information which is in a culturally appropriate local language(s) and format and is understandable to stakeholders;
- Focus inclusive engagement on those directly affected as opposed to those not directly affected, and include men, women, the elderly, youth, displaced persons, and vulnerable and disadvantaged persons or groups;
- Be free of external manipulation, interference, coercion, or intimidation;
- Enable meaningful participation, where applicable; and
- Be documented.

As a process, five typical steps should be followed to ensure iterative consultation, as illustrated in Figure 1:

- Planning ahead;
- Consultation based on using basic principles of good practice;
- Feedback incorporation;
- Documentation of the process and results of consultation; and
- Reporting back.

Informed participation is a more intensive and active form of consultation. It involves in-depth exchange of information, and joint analysis and decision making. Stakeholder groups who are materially affected by the Project are encouraged to participate in the Project's information disclosure and consultation. To ensure informed and meaningful participation, participatory tools and techniques can be applied, especially in situations of low education, or high controversy or complexity. **Some participatory tools include:**

- Participatory workshops;
- Focus groups;
- Semi-structured interviews;
- Role play;
- Poverty and vulnerability analysis; and
- Local institutional analysis.

In certain situations, capacity building may be needed to enable effective participation of stakeholders.

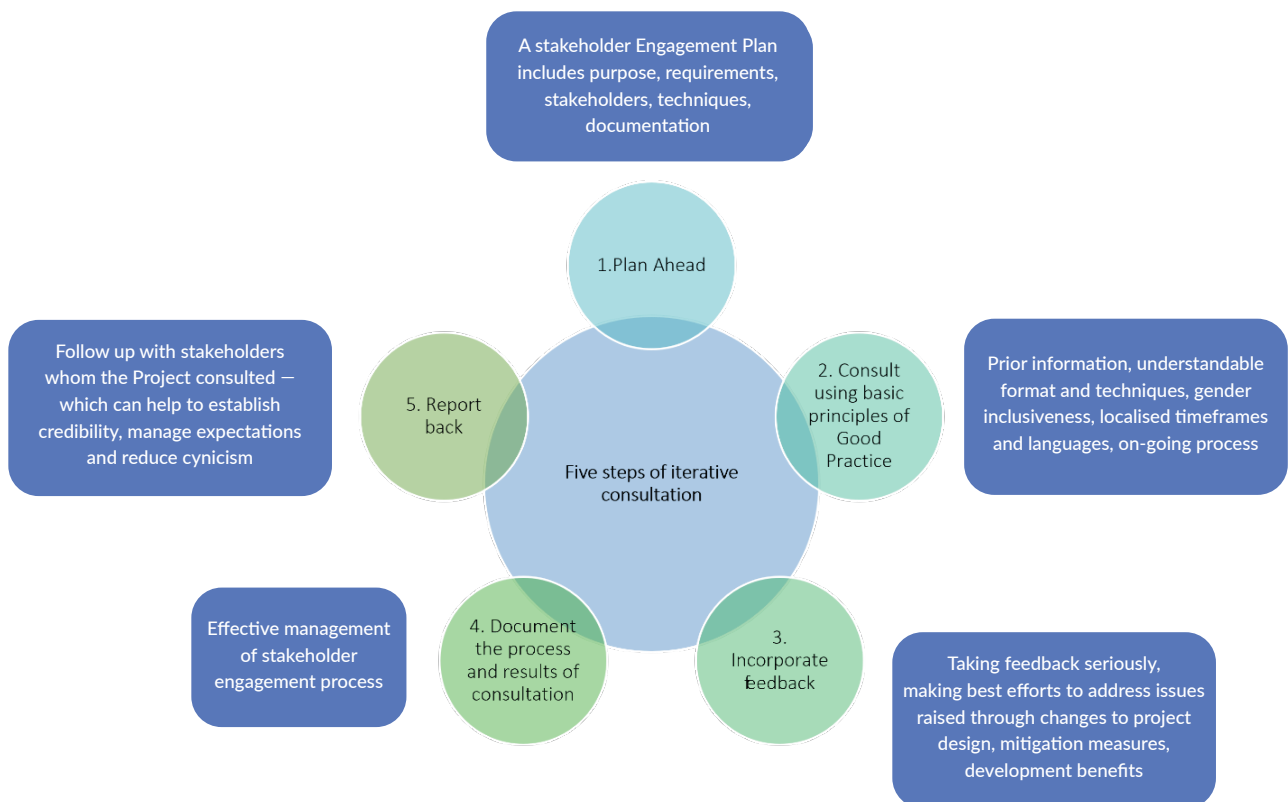


Figure 1: Informed Consultation and Participation Process

4.3 Indigenous Peoples (IP)

For detailed information regarding requirements and guidance related to the FPIC process, please see Annex J to the TFCAFF ESMS Manual.

In projects where there are potential adverse impacts on IP/Sub-Saharan African Historically Underserved Traditional Local Communities⁶, including economic displacement, or if the Project is associated with any of the potentially adverse impacts listed below, then the Grantee has to ensure that a process of FPIC⁷ is undertaken. FPIC shall be applied for Projects in the following criteria: please check with FPIC guidance

- 1 Cause adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation;
- 2 Cause relocation of IP/Sub-Saharan African Historically Underserved Traditional Local Communities from land and natural resources subject to traditional ownership or under customary use or occupation; or
- 3 Have significant impacts on IP/Sub-Saharan African Historically Underserved Traditional Local Communities' cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected IP/Sub-Saharan African Historically Underserved Traditional Local Communities' lives⁸.

FPIC is IP's right, as recognised in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and ILO Convention 169/1989. For Projects that require FPIC, the Grantee will establish the outline of an FPIC protocol at full proposal submission, and a full FPIC Protocol will be developed during the Project inception phase.

Detailed information on the Project's FPIC Protocol can either be provided separately in the FPIC Protocol or included in the SEP. here. ***If the information is included in a separate protocol, include a summary of the FPIC Protocol contents in the SEP including, for example, the following aspects:***

- Purpose of FPIC Protocol;
- Summary of the Principles of FPIC to be applied in the Project;
- Rightsholders⁹ (those with the right to FPIC);
- Implementation steps (guideline); and
 - Include a bulleted summary of the key steps to the FPIC process
- Capacity building, if required

In cases where the criteria 1-3 (listed above) do not apply (i.e., there are no potential adverse impacts on Indigenous Peoples in the study area), the Grantee should commit to ICP of IP. **This process will:**

- Involve IP/Sub-Saharan African Historically Underserved Traditional Local Communities' representative bodies and organisations (e.g., councils of elders or village councils, or chieftains) and, where appropriate, other community members;
- Provide sufficient time for IP/Sub-Saharan African Historically Underserved Traditional Local Communities' decision-making processes; and
- Allow for IP/Sub-Saharan African Historically Underserved Traditional Local Communities' effective participation in the design of Project activities or mitigation measures that could potentially affect them either positively or negatively.

⁷See SADC TFCA FF ESMS Glossary of Terms for definition of FPIC.

⁸See SADC TFCA FF ESMS Glossary of Terms for definition of Cultural Heritage.

⁹See SADC TFCA FF ESMS Glossary of Terms for definition of Rightsholders.

4.4 Disadvantaged or Vulnerable Groups

In the case of disadvantaged and vulnerable groups, the *Project* has to ensure that they are duly and timely identified and consulted, making sure that their concerns are heard, taking into account individuals' and communities' specificities, and delivered in an appropriate form, manner, and language. In some cases, special efforts must be made to ensure that disadvantaged or vulnerable members have access to consultation events or discussion forums. As with other stakeholder groups, the type of engagement should be commensurate to the potential level of risks/impacts associated with the Project.

The SEP should provide short description on disadvantaged or vulnerable groups affected by the Project. It should be clearly stated if and how these groups may be affected by the Project and its activities.

Most importantly, the SEP has to demonstrate how these disadvantaged or vulnerable groups will be engaged. In particular, the SEP must consider any constraints to participation of identified disadvantaged or vulnerable groups. The SEP has to describe the approach and measures that will be taken to remove these barriers/ensure the effective participation of these groups, e.g., timing of the engagement, means of communication/languages, additional expertise etc].

5. Grievance Response Mechanism

The development and operation of a project level grievance redress mechanism is a mandatory requirement as per TFCA FF ESMS. For more information and guidance, see Annex L to the ESMS Manual.

The **GRM** has to be made available to all stakeholders.

6. Stakeholder Register

The Project's Stakeholder Register (see accompanying Excel document, Annex K_1 to the ESMS Manual) is essentially a database that records on-going stakeholder engagement activities, including specifics of the engagement activities, any issues raised by stakeholders requiring follow-up actions, and the status of these actions. It will be maintained by the responsible Project staff member. The Stakeholder Register can also be extended to document additional information, if necessary. Where many stakeholders raise similar issues, these can be grouped as 'issues' and responses to them will be tracked together in a separate section of the register.

Record keeping is critical to the effective implementation of the SEP. The responsible staff member in the Grantee team will oversee documenting and reporting stakeholder engagement activities to the Grantee E&S Officer/Site Manager.

Local communities and other Interested Parties may also want to receive feedback from the Project to understand how their concerns will be addressed. Therefore, the results of the periodic monitoring on the implementation of the SEP shall be disclosed and considered as feedback to local communities by the CLO or Grantee Project Manager/E&S Officer.

7. Monitoring, Evaluation and Reporting

The Grantee has to update the SEP through the lifetime of the Project, in particular whenever there have been changes to the Project, additional stakeholder activities or when particular milestones (e.g., agreements with government entities, implementing partners and local communities) have been reached.

7.1 Internal Monitoring

Monitoring and reporting of stakeholder engagement activities will help a project track issues/concerns, thereby providing an understanding of trends which will help pre-empt risk management activities. Furthermore, monitoring and evaluating project performance with regard to stakeholder engagement will allow for its efficacy to be evaluated and improved where necessary.

The Stakeholder Register and planned engagement have to be updated regularly, and at least on an annual basis. **Through updating the Register, the Project can track some basic indicators which are commonly used to monitor and evaluate the effectiveness of a Project's stakeholder engagement programme, including:**

- List of stakeholder events/activities carried out during the reporting period and the stakeholders targeted (this can be combined with photographs) - this can be tracked through updates to Engagement to Date (see accompanying Excel document, Annex K_1 to the ESMS Manual);
- Number of participants at each event/activity (disaggregated by gender) - this can be tracked through attendance register;
- ICP or FPIC engagement activities undertaken during the review/reporting period - this can be tracked through updates to Engagement to Date (see accompanying Excel document), or referencing the FPIC Protocol steps completed;
- Percentage of follow-up actions addressed/completed during the reporting period, percentage still open - this can be tracked through updates to Engagement to Date (see accompanying Excel document); and
- Proportion of year's planned stakeholder engagement completed during the reporting period - this can be tracked through updates to Planned Engagement (see accompanying Excel document).

7.2 External Monitoring

- The TFCA FF will be informed of stakeholder engagement activities through periodic reporting.

8. Limitations of the Stakeholder Engagement Process

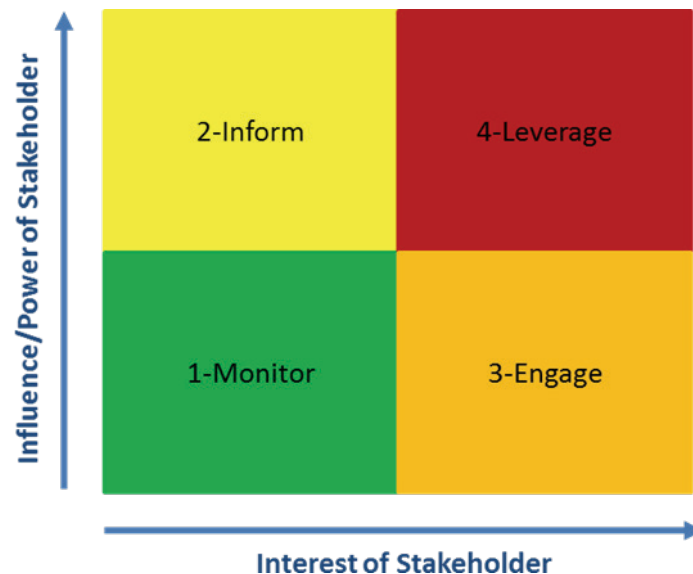
The SEP should also outline the limitations of the stakeholder engagement process. These could be created by political or social contextual barriers that may not easily allow for engagement to go on. It should also provide other limitations such as stakeholder accessibility difficulties due to terrain, cultural norms, religious beliefs, climatic conditions, conflicts, budgets, etc

9. Supporting Documents for Stakeholder Engagement

The stakeholder engagement process should be accompanied by documents that show proof and validity of the engagement. The documents include but not limited to:

- Report/Minutes of engagement [*include key issues that requires further considerations and follow ups*];
- Photographs and charts;
- Global Position System (GPS) Coordinates of the location where the engagement was held;
- Signed attendance register with contact details of attendees;
- Video or photographic recordings; and
- Signed consent/letters for any agreements.

Annex 1. Stakeholder Categorisation and Analysis Matrix



Annex 1 Stakeholder Analysis Matrix

The Stakeholder Analysis Matrix is a tool which assists in identifying stakeholder's stance towards the Project depending on their influence and interest in the Project. The influence and interest of stakeholders can be classified as low or high.

A definition of each group based on the Stakeholder Analysis Matrix can be summarised as follows:

- 1. Monitor:** Low influence and low interest. Typically, this group includes the media and NGOs.
- 2. Inform:** High influence and low interest. From an impact assessment perspective, these are stakeholders that have the potential to influence Project outcomes but may not have a specific interest in impact assessment related issues. Stakeholders in this group should be kept informed on the progress of the Project development and usually include statutory consultees.

3. **Engage:** Low influence and high interest. This group is also an important group and includes those groups or organisations that are not adversely affected, but whose interests determine them as stakeholders. As such, this group should be kept engaged and the Project should maintain open communication throughout the Project. Typically, this group would include local communities not directly affected by the Project and authorities who have limited influence on the Project.
4. **Leverage:** High influence and high interest. This group of stakeholders is the most important to the Project as they have the ability to influence Project outcomes and also have a high level of interest in its outcomes. Stakeholders in this group should be engaged frequently throughout the Project lifecycle. This group of stakeholders would typically include statutory approval bodies and PAP.

ANNEX 1: THE STAKEHOLDER TEMPLATE (SEE EXCEL SPREADSHEET)

STAKEHOLDER	ROLE/MANDATE OF STAKEHOLDER	INFLUENCE AND RELEVANCE TO THE PROJECT	EXPECTATIONS / INTERESTS	WEAKNESSES STRENGTH	POTENTIALS FOR CONTRIBUTION	IMPLICATIONS FOR THE PROJECT
District Municipality Office	Represents the Central Government at District Level and gives Policy interpretation for all developments be public or private	Highly Political and can either politicize or de-politicize the development of conservation project	Expects to have a good working relationship with the Developer and for the Office to have a say in the business development	Highly Political Office and if not well handled, can affect project implementation	During the Scoping exercise, the District Administration Office pledged to support the project for it was seen to mean well for the district	Need for continuous engagement as the representation of Government at lower level
National Heritage Conservation Commission	They are responsible for the management of heritage resources in the country on behalf of the people	They are important during project implementation in case of chance finds of heritage resources requiring management	They expect to be informed should there be any chance finds. Further, they expect Grantees to state if there are heritage resources in the area	If their interest is ignored especially in cases of chance finds, they can be a source of conflict with the project.	They are a critical stakeholder during project implementation	They need to be informed of the project area in case of heritage resources being there.

ANNEX 2: STAKEHOLDER CATEGORISATION AND ANALYSIS MATRIX

HIGH INFLUENCE	KEEP SATISFIED	MTA	MANAGE CLOSELY	Government - district level
				IUCN, KFW
				Primary beneficiary
LOW	MONITOR (MINIMUM EFFORT)		KEEP INFORMED	
				Government - Provincial level
				WCS
LOW INTEREST		HIGH INTEREST		

ANNEX 3: STAKEHOLDER ENGAGEMENT ACTIVITIES AND SCHEDULE OF PLANNED ACTIVITIES (SEE EXCEL SPREADSHEET)

THEMATIC AREA OF ENGAGEMENT	ENGAGEMENT ACTIVITIES	TARGET GROUPS	ENGAGEMENT METHOD	ENGAGEMENT OUTPUT	SCHEDULED DATE OF ENGAGEMENT	COMMENT/OBSERVATION
Human Rights abuse in Law Enforcement	- Contextualisation of the risk with respect to surrounding communities - Determining the implication of human rights abuse - Receive concerns from the communities	- Affected people (people living within the license area) - Local administrative Authorities and Government Officials services - Traditional leaders - Ranger Patrol Officers	- Public Assemblies in Municipality - Focus Group Discussions with Rangers, Community Leaders, etc	- Minutes of Engagement Meeting with photos, signed attendance registers, GPS Coordinates of the venue, etc. - SEP Reports, outlining agreements, road map, proposed changes, etc	23/07/2022	Stakeholder already engaged and is fully aware about the project

STAKEHOLDER ENGAGEMENT REGISTER

A: ENGAGEMENT ACTIVITY	B: STAKEHOLDER	C: DESCRIPTION	D: NUMBER OF PARTICIPANTS (DISAGGREGATED BY GENDER)	E: TIMING (INCLUDING LOCATION AND DATE)	F: ISSUES DISCUSSED, AND INFORMATION DISCLOSED	G: OUTCOMES OF THIS DISCUSSION (INCLUDING HOW THIS ENGAGEMENT ACTIVITY INFLUENCED PROJECT DESIGN)	H: FOLLOW-UP ACTIONS	I: STATUS OF ACTIONS (RECORDED; ACTIVE; CLOSED)	J: LOCATION OF MEETING/ ACTIVITY DOCUMENTATION (EG. MEETING NOTES, FIELD REPORT, ETC)