



Government of Nepal
Ministry of Physical Infrastructure and Transport
Department of Roads

Development Cooperation Implementation Division (DCID)
Jwagal, Lalitpur

Strategic Road Connectivity and Trade Improvement Project (SRCTIP)

Stakeholder Engagement Plan (SEP)

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1 Abbreviations and Acronyms

AH	Asian Highway
AIDS	Acquired Immune Deficiency Syndrome
AP	Affected Person
CBO	Community Based Organization
CBS	Central Bureau of Statistics
CDC	Compensation Determination Committee
CDO	Chief District Officer
CDR	Central Development Region
CSC	Construction Supervision Consultant
DAO	District Administration Office
DCC	District Coordination Committee
DCID	Development Cooperation Implementation Divisions
DFO	Division Forest Office
DDC	District Development Committee
DIA	Direct Impact Area
DLRO	District Land Revenue Office
DoR	Department of Road
EDR	Eastern Development Region
EIA	Environmental Impact Assessment
ERMC	Environment and Resource Management
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Standard
FWDR	Far-Western Development Region
GESU	Geo-Environment and Social Unit
GoN	Government of Nepal
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
HHs	Households
HIV	Human Immune Deficiency Virus
HPI	Human Poverty Index
HW	Highway
IEE	Initial Environmental Examination
IIA	Indirect Impact Area
IPs	Indigenous Peoples
LCF	Local Consultative Forum
LEST	Livelihood Enhancement Skills Training
LRO	Land Revenue Office

LMP	Labour Management Plan
MOPIT	Ministry of Physical Infrastructure and Transport
MWDR	Mid-Western Development Region
NEFIN	Nepal Federation of Indigenous Nationalities
NGO	Non Governmental Organization
NHDR	Nepal Human Development Report
NLSS	Nepal Living Standard Survey
NNM	Nagdhunga-Naubise-Mugling
NRs	Nepalese Rupees
OHS	Occupational Health Safety
PAPs	Project Affected Persons
PCU	Project Coordination Unit
PIC	Project In-Charge
PIP	Priority Investment Plan
PMU	Project Management Unit
PRP	PrithiviRajpath
R&R	Resettlement and Rehabilitation
RAP	Resettlement Action Plan
RF	Resettlement Framework
RM	Rural Municipality
RoW	Right of Way
SIA	Social Impact Assessment
SPAF/H	Severely Project Affected Family/Households
SRCTIP	Strategic Road Connectivity and Trade Improvement Project
SRN	Strategic Road Network
ToR	Terms of Reference
TRP	TribhuvanRajpath
VCDP	Vulnerable Community Development Plan
VDCs	Village Development Committees
WB	World Bank
ZoI	Zone of Influence

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CHAPTER I: INTRODUCTION

1.1 Context of the Document

This document forms the Stakeholder Engagement Plan (SEP) for Strategic Road Connectivity and Trade Improvement Project (SRCTIP), specifically covering the components of the improvement of Nagdhunga-Naubise-Mugling (NNM) Road, the upgrading of Kamala-Dhalkebar-Pathalaiya (KDP) Road, and periodic road maintenance activities under the project.

The SEP identifies the Project stakeholders and describes how these stakeholders will be engaged throughout the project lifecycle. The findings on risks, benefits and other aspects of the project described in the SEP are preliminary, based on currently available data, surveys and studies. The SEP is a “living document” that will be updated and refined as the Project progresses. This will include a revision prior to the construction and operation phases so that the SEP continues to be fit for purpose.

The World Bank is currently supporting Government of Nepal to implement SRCTIP for Road Upgrading and Periodic Maintenance under regional connectivity improvement designed to enhance the government’s capacity on regional connectivity via road upgrading and maintenance and also providing technical assistance to the Ministry of Physical Infrastructure and Transport (MoPIT) and their entities.

SRCTIP has been proposed to support the GoN’s strategy of increasing competitiveness and growth through better transport connectivity and trade facilitation. The SRCTIP project has three components: (i) Trade Facilitation (ii) Regional Connectivity Improvement and (iii) Institutional Strengthening. The first component is for the Ministry of Industry, Commerce and Supply (MoICS) and the other two components are applicable for MoPIT-DoR. The SEP is a part of Environment and Social Framework (ESF) mentioned in the Environmental and Social Standard-10 (ESS10).

This SEP has been prepared for the improvement of NNM Road of Tribhuban and Prithvi highway, the upgrading of KDP Road of Mahendra highway, and periodic maintenance of Strategic Road Network (SRN) covering a length of 250-300 km under the second component of SRCTIP.

SRCTIP plans on the proper integration of community engagement in the project via development of SEP and engaging community along with affected groups along the project cycle.

1.2 Scope, Purpose and Objective

Stakeholder engagement refers to a process of sharing information and knowledge, seeking to understand and respond to the concerns of stakeholders, and building constructive and responsive

relationships that are important for successful management of a project's environmental and social risks, as well as the sustainability of a Project's outcomes.

OBJECTIVES OF THE SEP

- To establish a systematic approach to stakeholder engagement that will help MoPIT-DoR build and maintain a constructive relationship with stakeholders, especially Project affected parties.
 - To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and to improve the environmental and social sustainability of the Project.
 - To provide means for effective and inclusive engagement with Project-affected parties and other interested parties throughout the Project life cycle on issues that could potentially affect them.
 - To 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.
 - To provide Project-affected parties with accessible and inclusive means to raise issues and grievances, and allow to MoPIT-DoR to respond to and manage such grievances.
-

1.3 Project Background

The proposed development objective of the project is to reduce time and costs of goods transit between Nepal and India, by improving the capacity and efficiency of trade and transport infrastructure and strengthening the institutions managing them.

The proposed project seeks to address poor transport connectivity and trade facilitation - two notable reasons for Nepal's low competitiveness, a key factor limiting its growth - through increasing efficiency in the movement of people and goods within and across the borders to enhance access to markets via regional connectivity and opportunities and trade competitiveness.

SRCTIP comprises of the following different components:

Component 1: Trade Facilitation

- (a) Support for physical infrastructure, equipment, traffic flow, inspection and related border transit management systems that are required to absorb increasing traffic and

- trade volumes at key border crossing points including Birgunj, Bhairahawa and Biratnagar;
- (b) Provision of equipment and training, and construction and/or renovation of lab buildings at key border locations with the target of achieving international accreditation in selected parameters; and
 - (c) Knowledge and capacity building for: continuous improvement of the trade policy environment; monitoring of trade performance; and development and implementation, and monitoring and evaluation, of targeted trade promotion measures.

This component will support (a) augmentation of infrastructure facilities and equipment at major border crossing points; (b) improvements in sanitary-phyto-sanitary management (SPS), to reduce the time taken for testing and hassles related to agricultural trade; and (c) knowledge and capacity building support for improving capacity for managing trade.

Component 2: Regional Connectivity Improvement

- (a) Improvement of the existing NNM Road to a 2-lane standard, including adoption of engineering measures to improve climate resilience and road safety, and involvement of citizens' engagement and beneficiary feedback mechanisms;
- (d) Upgrading of the KDP Road from 2-lane to 4-lane, including adoption of engineering measures to improve climate resilience and road safety, and involvement of citizens' engagement and beneficiary feedback mechanisms; and
- (e) Implementation of a safe corridor demonstration program, covering a length of 250-300 km of Strategic Road Network (SRN) including the NNM and KDP Roads, which program shall include support for enhanced enforcement of traffic rules and post-crash response.

The component will finance (i) capital expenditures pertaining to the construction phase of NNM and KDP Roads, and associated consultancy services for design, supervision of works and safety assessment activities; and (ii) works, goods, equipment and consultancy services for implementation of SCDP.

Component 3: Institutional Strengthening

- (a) Support for the National Road Safety Council through, *inter alia*:

- (i) establishment of an interim secretariat with seed funding for staffing and equipment; and
 - (ii) Support for prioritized activities from the National Road Safety Action Plan (RSAP), including coordinating, monitoring and evaluating measures under the SCDP; monitoring the working of IT-MIS and the equipment service providers; supporting nation-wide roll-out of the web-based Road Accident Information Management System (RAIMS); and supporting training and peer-exchange programs.
- (b) Capacity enhancement of DoR for improved management of SRN through:
- (iii) development and mainstreaming of road asset management System;
 - (iv) support for training facilities and training in selected priority areas, including network-level safety assessments, quality, procurement, design of advanced structures, and management of environmental and social risks and impacts; and
 - (v) support for training and employment of local women for skilled employment opportunities in non-traditional transport sectors.
- (c) Support for multi-year periodic maintenance program covering 5,000 lane-km of roads with high traffic within the SRN

Improvement of Nagdhunga-Naubise-Mugling (NNM) road

The existing NNM Road section is a part of Tribhuvan and Prithvi Highway. It starts at Nagdhunga check-post of Kathmandu district and ends at Mugling Bazaar of the Chitwan district, covering a total length of 94.7km. The NNM Road lies within Kathmandu, Dhading and Chitwan districts of Province 3. The alignment passes through Nagdhunga, Naubise, Khanikhola, Mahadevbesi, Galchhi, Baireni, Malekhu, Benighat, Kurintar settlements to reach Mugling. The project consists of the present 2-lane road proposed for improvement and upgrading to 2-lane carriageway configurations with shoulders and side drains. The Highway has a junction with Tribhuvan Highway at Naubise. The highway also connects Nukawot District via a recently constructed road from Galchhi and connects to the district headquarter of Dhading District at PhurkeKhola, Malekhu. Similarly, at Mugling the highway has junction of Mugling-Narayanghat Road Section connecting this highway to Mahendra Highway. The index map / location map of the project road is presented in Figure 1.

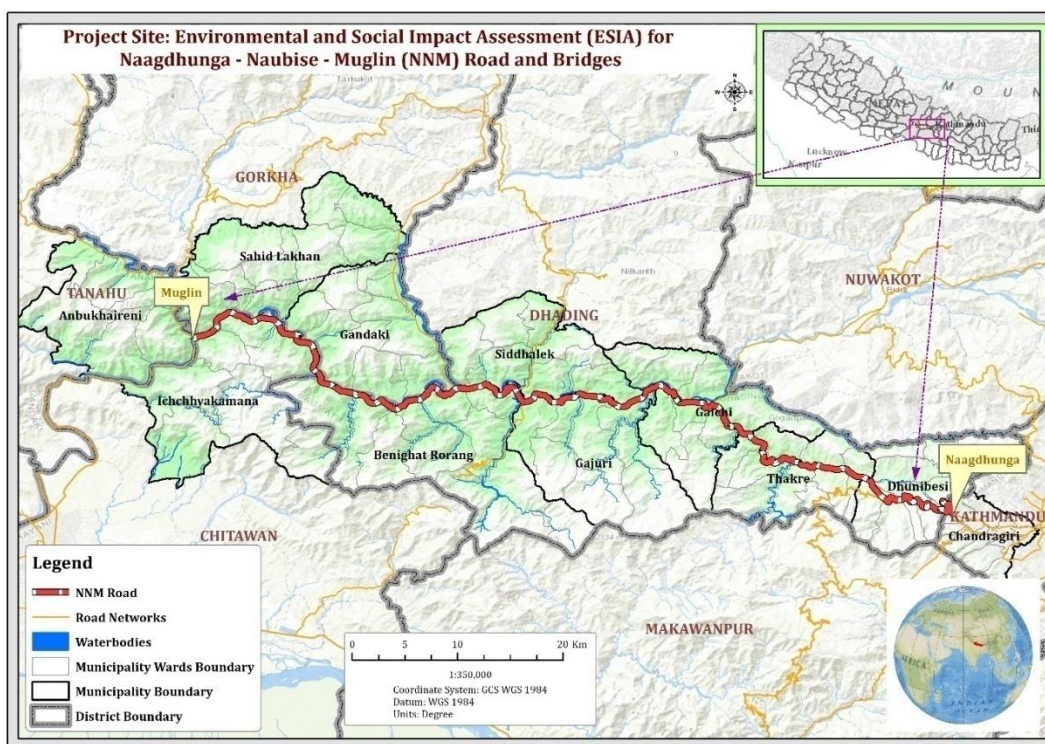


Figure 1 Map of NNM road

Upgrading of Kamala-Dhalkebar-Pathlaiya (KDP) road

The KDP Road is part of the East-West Highway, the longest highway in Nepal running across flat Terai region (lowland that lies south of the outer foothills of the Himalayas). The GoN considers East-West Highway as a strategic corridor; it is firmly committed to upgrade the entire length of the road to a standard 4-lane configuration and has proposed to widen the section of the Mahendra Highway between Kamala River in the East and Pathlaiya settlement in the West. The upgrading activities will involve provision of 2x2 roads with 2 traffic lanes in each direction and appropriate shoulders. This work would require the widening of the existing bridges or construction of new bridges adjacent to existing ones. The 130 km KDP Road section of Mahendra Highway passes through districts of Dhanusa, Mahottari, Sarlahi, Rautahat and Bara of Province 2. The location map of the project road is presented in Figure 2.

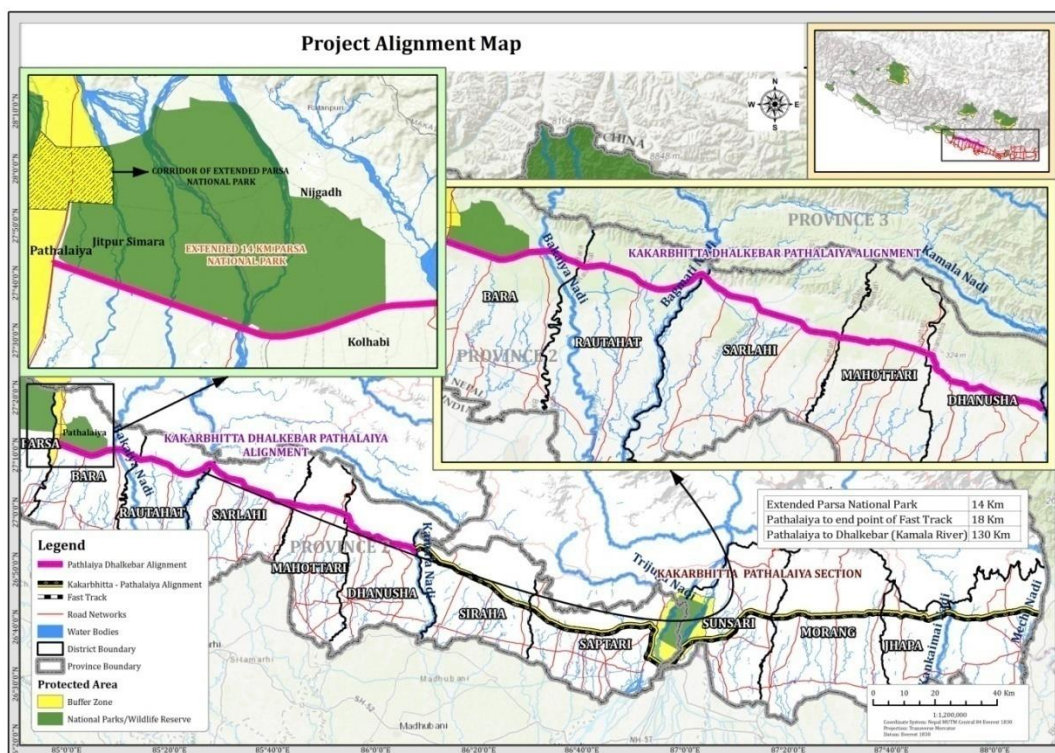


Figure 2 Map of KDP road

Maintenance of Strategic Road Network (SRN)

Under the Safe Corridor Demonstration Program (SCDP), it has been proposed maintenance of Strategic Road Network (SRN) covering a length of 250-300 km of including the NNM and KDP Roads.

1.4 Current Stage of the Project

Under the SRCTIP-Regional connectivity component, an Environmental and Social Impact Assessment (ESIA) for the NNM Road improvement, and Environmental and Social Assessment (ESA) for the KDP Road upgrading, and an Environmental and Social Management Plan (ESMP) for the Periodic Road Maintenance activities has been prepared. The identified environmental and social risks and mitigation measures are provided in Section 1.4.1.

MoPIT-DoR have also prepared other environment and social safeguards-related documents in line with the Bank's Environmental and Social Framework (ESF) namely: an Environment and Social Commitment Plan (ESCP), Labour Management Procedures (LMP), and Stakeholder Engagement Plan (SEP), applicable to the NNM Road, KDP Road and Periodic Maintenance activities; Resettlement Policy Framework (RPF), and Indigenous People Planning Framework (IPPF) applicable for the KDP Road and Road Maintenance activities; and a Resettlement Action

Plan (RAP), Indigenous People Development Plan (IPDP) prepared for the NNM Road. A RAP and IPDP will be prepared during the detailed design phase to cover the KDP Road and Periodic Road Maintenance activities. Environment and Social Management Plan (ESMP) of sub-projects will also be developed prior to each sub-project approval.

Consistent with the objective of engaging stakeholders all throughout the life cycle of the Project, stakeholder engagement activities at this stage will focus on:

- Disclosing Project information including alternatives;
- Informing stakeholders about the status of the Project;
- Seeking stakeholder inputs on various environmental issues, management measures and benefit; and
- Obtaining stakeholder insights that would help the evaluation of Project alternatives.

The detailed stakeholder engagement plan for the current stage of the Project development has mentioned in the section 4.

1.4.1 Summary of Potential Environmental and Social Risks and Stakeholder Needs

The potential environmental and social impacts and benefits of the Project, as identified in the ESIA and ESA stakeholder feedback during scoping consultation which may need to be paid particular attention to as part of the stakeholder engagement activities include:

- Identified impacts to land and private and public property, and providing appropriate compensation to the affected families. under the NNM Road project: the total numbers of project affected HHs are 78, out of this, 68 HHs are affected by losing private structures and remaining 10 HHs are affected by losing their private lands (0.20 ha.); the project will affect 9 public structures (3 temples, 2 public taps, 2 public toilets, 1 study centre and 1 waiting shed). In case of KDP Road the detail will be assessed during preparation of the ESIA
- Further, 1,161 electric poles and drinking water supply pipes¹ will need to be relocated.
- The Construction related impacts during project implementation will be managed as per the same resettlement framework mentioned in the Resettlement Action Plan (RAP)
- Improvement of NNM road will affect 6 HHs considered as vulnerable and disadvantaged, including women-headed HHs (4) and Dalits (2). No private lands of these vulnerable HHs will be affected.

¹ (Water supply pipeline of diameter of 1 inch (0.64 km, GI; 34.7 km, PVC), 0.5 inch (2 km, PVC), 1.5 inches (2.3 km, PVC) and 2 inches diameter (5.62 km, PVC)) will require relocation

- Engaging with Indigenous Peoples (IPs) to avoid adverse impacts on IPs from project activities and to promote project benefits to IP; the requirement for free, prior, and informed consent (FPIC) under the KDP Road will be determined during preparation of the ESIA as part of detailed design;
- Managing environment impacts, which may include forest clearance around access roads, cold storage construction site, risks of landslides and impacts on natural resources used by communities;
- Managing social impacts such as in-migration of workers resulting into labour influx and preserving IP's way of life;
- Potential impacts on air quality due to excavation, breaking rocks, movement of vehicles and equipment, open piles of topsoil and spoil, etc;
- Noise, dust, waste generation, hazardous materials pesticides generated from Labs, use and traffic disturbance from construction vehicles and machinery;
- Construction-induced impacts, resulting from, for example, vibrations through the use of heavy machinery
- Biodiversity impacts as the project entails risks to critical and natural flora and fauna habitats, wildlife, risk of grass land fragmentation
- Health and safety impacts on community and especially the safety of women;
- Community access to roads;
- Increased demand on social infrastructure and services;
- Generation of local income through the recruitment of workers from local communities to the project
- For Periodic Road Maintenance, minimal impacts are expected along the SRN road networks

Appendix A provides further information on the potential environmental and social risks and issues identified ESIA and ESA and how MoPIT-DoR will manage them.

The potential risks and impacts identified in the ESIA and ESA raised, most likely, by stakeholders are covered following the World Bank Environmental and Social Standards (ESS), including ESS10. The details of Stakeholder Engagement and Information Disclosure has mentioned in **Section 2.2**. MoPIT-DoR will work to meet these standards, therefore covering issues raised by stakeholders.

1.4.2 Project Alternatives

A number of alternative options are being assessed for the Project to avoid and minimise the potential impacts on the environment and surrounding communities. These alternatives include:

- Engineering and trade optimization in terms of capacity;
- Alignment of the access roads to ensure slope stability and traffic safety, and to minimise impacts on households, grasslands, agricultural areas, and the communities in general;
- Location of Project ancillary facilities (e.g., worker camps, disposal areas, quarries, crushing plants, power plants, maintenance shops, storage yards, fuel storage) to maintain community safety, and minimise physical resettlement, economic displacement, disruption of communities to the extent possible.

1.5 Previous Stakeholder Engagement Activities

1.5.1 Stakeholder Engagement of NNM Road

For the NNM Road, a feasibility study and detailed project report has been undertaken. Now, the construction phase is planned to be started.

1.5.1.1 Stakeholder Engagement during Scoping Stage

As part of Nepal's legislation, Environmental Protection Act 1997 (EPA) and Environmental Protection Regulations (EPR) 1997, the engagement of stakeholders took place during environmental and social assessment and scoping stage of NNM on 5 January, 2017 to 16 March, 2018. The documentation of NNM Road scoping process covers numerous consultations, interview, and workshops. The engagements with stakeholders were carried out in different locations in a series of sessions. The major issues raised during discussions were relevant to road extension work and compensation that should be provided to affected structures (fall within 25 m). Stakeholders also paid attention to needs for establishment preventive structures like gabion wall, breast wall, and safety parafait wall according to geography condition during the construction period. They were concerned about employment opportunities that should be provided for project affected household and skills-based training for project-affected household families. During consultations, there were engaged 260 participants of the meetings, including 76 females and 184 males. The details of meetings and raised questions are given in annex-1.

1.5.1.2 Stakeholder Engagement Activities During the preparation of ESIA

The next round of stakeholder engagement during preparation of ESIA and detailed design phase dated on 29 March, 2018. During this engagement meaningful consultations were carried out with different groups. The separate consultation was also carried out with female groups, project

affected groups, indigenous groups, and disadvantaged and vulnerable groups. During that period, several community meetings, hearings and discussions were carried out. Public hearings were carried out at four different locations of Dhunibesi Municipality (M), Galchhi Rural Municipality (RM), Benighat Rorang RM and Ichhankamana RM. The stake consultation was also carried out at 22 different locations of the affected RM/M focusing civil society, local non-government organization (NGOs) and female groups (210 females and 106 males, out of 316 participants) in June 2018. Up to the public hearing and supplementary consultations, there were still gaps in the consultations with direct affected groups (project affected vulnerable groups and IPs), and other interested parties (broader and general groups). Additional consultations with the specific groups such as women, vulnerable/IPs, project affected parties, stone crusher plants workers, female groups, business women, security personal, travel agencies, transportation agencies, other interested parties were carried out during May-December, 2019. The total participants of additional consultation were 347 (female- 146, male- 228).

The agenda for discussions were relevant to impacts on private/ public structure, common property and public utilities along with cultural heritage including grievance redress mechanism (GRM) and gender-based violence (GBV) related issues. The key issues raised during consultations were: compensation of impacted land, affected private and public structures, construction of public structures such as foot-over bridges near schools and major market places, construction of vegetable collection centres, gender friendly public toilets with refreshment centres, etc., and landslide risks during construction of road, establishment of ward level GRM, ensuring priority for local employment (including female), more communication, coordination and collaboration between stakeholders to solve problems; advance agreement, along with its proper monitoring and implementation, on rules and regulation between all the stakeholders (project, contractors, locals, government officials) proper road facilities to facilitate mobility of differently able person and stakeholder engagement during road upgrading works. The summary of the issues raised are presented in the summary.

The main events are listed below as:

- ESIA public hearings and initial informal meeting (April 2018)
- Community meetings for SEP preparation (May, 2019)
- Informal communication with government agencies (2018 -2019)
- Communication with local NGO (2018- 2019)

3.1.3 ESIA Implementation

The DoR-DCID is the Implementing Agency and thus responsible for the management of all

activities, including procurement, financial management, and reporting. The ESIA implementation requires adequate public consultation. This requirement is incorporated into the stakeholder engagement programme for this stage. The main purpose for the consultations at this stage is to provide feedback to stakeholder as to ESIA progress and preliminary results in NNM road.

1.5.2 Stakeholder Engagement of KDP Road

For the KDP road, initial consultations were carried out during the feasibility stage and ESA preparation in 2019/20 (November 2019 to January 2020). For the KDP road, the findings were based on the preliminary consultations and highlighted in the ESA.

CHAPTER II: KEY STANDARDS AND REGULATIONS

The Project will conform to the legal and administrative requirements of the Federal Democratic Republic of Nepal, international treaties to which Nepal is signatory, and to relevant international standards, in particular the World Bank Environmental and Social Standards.

Several other relevant laws have been listed below with brief description of their main provisions:

- Constitution of Nepal 2072 (2015): Article 27 states that all citizens have the right to demand or receive information on any matter of his or her interest or of public interest, except for information that has to be kept confidential in accordance with the laws.
- Right to Information Act (2007): requires all public bodies to make proactive disclosures of certain types of information to respond to information requests. Section 4 of the Act elaborates on the responsibility of a public body (MoPIT, in the case of the SRCTIP-Regional Connectivity and Institutional Strengthening) to disseminate information about the Project in an open and transparent manner, and make it easy for the public to access the information.
- Good Governance Act (2008): has provisions for holding public hearings (Section 30) and also specifies the participation at these hearings such as subject matter experts, stakeholders, and representatives of civil society and officials of the local bodies. Section 31 of the Act requires public bodies to provide a Grievance Management Process, including maintaining a complaint's box to collect grievances.
- Environment Protection Act, 2076 (2019): The law contains several provisions to internalize environmental impact assessment and to maintain a clean and healthy environment by minimizing the adverse impacts on human beings and other life forms and physical objects.
- The Environmental Management Guideline for roads and bridges (DoR, 1999) consists of environmental mitigation measures to be incorporated into DoR projects, procedures for public participation, and socio-economic consideration. The guideline also suggests considering the various socio-economic issues like land acquisition and compensation, economic impacts and cultural heritage. It includes the various implementation strategies.
- The Environmental Assessment in Road Sector (2000) explains, in general, and basically to DoR engineers and environmental safeguard experts for assessment of environmental

impacts. The document lists five main types of environmental assessment activities and the different criteria, required for a particular type of environmental assessment.

- Labour Policy, 2062 (2005): Labour Policy stresses out guaranteeing out the minimum social and professional security by for all citizens of the country without discrimination.
- Public-Private Partnership Policy, 2072 (2015): The objectives of this policy are focused on serving to public interests in developing of infrastructures at the same time creating environment for private investment and use of private sector experience, managerial skills, competencies and technical skills for infrastructure development
- Local Government Operation Act, 2074 (2017): The Act provides the functions, rights and duties of local government such as Municipalities, rural municipalities and their wards.

2.2 World Bank Environmental and Social Framework ESF

The main objectives of World Bank are to eliminate extreme poverty and promote shared prosperity. The WB ESF sets out the World Bank's commitment to sustainable development and mandatory requirement for the bank finance projects. The Bank's environmental and social framework is to assess and manage the environmental and social risks and impacts of the projects. To this end, the Bank has defined specific Environmental and Social Standards (ESSs), which are designed to avoid, minimize, or reduce, mitigate and compensate/offset the adverse environmental and social risks and impacts. The projects supported by WB are required to meet the provisions of 10 ESSs.

The ESS10 Stakeholder Engagement and Information Disclosure recognizes the importance of open and transparent engagement between the proponent and project stakeholders as an essential element of good international practices. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.

The main objectives of the ESS10 are:

- To establish a systematic approach to stakeholder engagements that will help Borrowers identify stakeholders, build and maintain a constructive relationship with them, in particular project-affected parties.
- To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and environmental and social performance.
- To promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect

them.

- To 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.
- To provide project-affected parties with accessible and inclusive means to raise issues and grievances, and allow Borrowers to respond and manage such grievances.

The World Bank has developed a range of guidance notes under the individual standards. These guidance notes will be used to guide the Project. The World Bank has also developed templates and checklists, which will assist the Project team. These include:

- An Environmental and Social Commitment Plan
- Grievance Redress Mechanism Checklist
- Labour Management Procedures Template
- Stakeholder Engagement Plan Template.

CHAPTER III: PROJECT STAKEHOLDERS

The first step in preparing an SEP is mapping the Project stakeholders. This analysis is important to inform the design of the SEP, particularly in developing the Project's approach to consultation and communication. This involves identifying relevant Project stakeholders or groups of stakeholders, characterising the key stakeholder issues and concerns, and mapping the Project stakeholders to determine the appropriate level of engagement for each stakeholder or stakeholder group. This section describes the outputs from the stakeholder mapping process.

3.1 Stakeholder Identification and Analysis

Stakeholder identification for the SRCTIP-Regional Connectivity and Institutional Strengthening has been initiated during the scoping meetings and further developed during the stakeholder mapping workshop with representation from DoR-DCID team. The stakeholder mapping workshop has undertaken to:

- Confirm the stakeholders and groups who were identified in initial scoping exercises and further revise and update the stakeholder list with input from key stakeholders;
- Analyse the level of impact the Project have on each stakeholder group, their level of interest, influence and importance, to identify the level of engagement required for each group; and
- Identify engagement strategy with each stakeholder group and assign responsibility to team members.

Table 0.1 provides a summary of Project stakeholders consulted.

Table 0.1 Summary of Stakeholders

Stakeholder Group	Stakeholder
Project-Affected Parties	
Directly Affected Population	• Individuals and households that are located within the Project Direct Area of Influence (DIA): - Environmental –those areas located within the Project’s area and area of disturbance - Social –the villages and households directly affected by Project construction and operation.
Indirectly Affected Population	Individuals and organisations located within Indirect Area of Influence includes: Environmental – those areas located within 1 km of any project construction, including the access road and worker camp components and other ancillary project facilities Social– the municipality within which the Project location ➤ For NNM road: Chandragiri and Dhunibesi Municipality and Thakre, Galchi, Gajuri, Benighat Rorang and Ichhakamana RM of Kathmandu, Dhading and Chitwan districts. ➤ For KDP road: Ganeshman Charnath, Dhanusha Dham, Mithila, Bardiwas, Gaushala, Ishworpur, Lalbandi, Hariwan, Bagmati and Nijagadh Municipality and Jitpur Sub Metropolitan city within Dhanusha, Mahottra, Sarlahi, Rautahat and Bara districts. ➤ For Road Maintenance: covering a length of 250-300 km of Strategic Road Network (SRN) including the NNM and KDP roads.

Stakeholder Group	Stakeholder
Cumulatively Impacted Population	Individuals and organisations located within the Cumulative Area of Influence – For NNM Road: approach roads connecting to the wards of respective RM/M For KDP Road: approach roads connecting to the wards of respective RM/M, fast track road, east-west railway project and Nijgadh airport
Other Interested Parties	
District Administration and Offices	Chief District Officer/Administrator, Division Forest Office, Division Soil Conservation Office, District Coordination Committee (DCC)
Provincial Government	Provincial Ministries, Provincial Planning Commissions, Chief Secretary and Secretaries of the relevant Ministries
Centre (Federal) Government	- PMO & Council of Ministers - Ministry of Finance - Ministry of Home Affair - Ministry of Physical Infrastructure and Transport - Ministry of Forest and Environment - Ministry of Labor, Employment and Social Security (MoLESS) - Ministry of Tourism and Culture - Ministry of Women, Children and Senior Citizens - Ministry of Land Management, Poverty and Cooperatives - National Planning Commission - Departments: Department of Commerce, Department of Transport, Department of Roads, Department of Physical Infrastructure, Department of Forest and Soil Conservation, Department of Environment, Department of Road, Department of Transport Management, Department of Railways, Department of Labor, Land management Division, Land and Resettlement Section, - Parliament: Agriculture, Cooperatives and Natural Resources Committee
Elected Officials and Local Politicians	All elected leaders of project & sub-project located Municipalities, Local political leaders District level political leaders (different parties) – to be identified during the ESA baseline study and consultation activities Elected chief of the DCC includes in the Elected Officials and Local Politicians

Stakeholder Group	Stakeholder
Non- Government Organizations (NGOs)/INGOs	• The Federation of Nepalese Chambers of Commerce and Industry (FNCCI) • Nepal Chamber of Commerce (NCC) • World Wildlife Fund (WWF) Nepal • International Union for Conservation of Nature (IUCN) • Nepal Federation of indigenous Nationalities (NEFIN)
Media	National Category-A newspapers (daily and weekly) Kathmandu-based TV stations Kathmandu-based radio stations Local Social media Satellite TV/ Dish Home Other local media channels to be identified during the ESA baseline study and consultation activities
Businesses and Associated Groups	Federation of Nepalese Chambers of Commerce and Industries (FNCCI) and Nepal Chamber of Commerce (NCC) Local FNCCI unit in District NCC unit in District Local businesses: tourism businesses (hotels/lodges/restaurants), (train operators, traders of items with India)
Educational and Training Institutions	Local Schools Others to be identified during the ESA baseline study and consultation activities
Health Institutions	To be identified during the ESA baseline study and consultation activities

Stakeholder Group	Stakeholder
Interest Groups	Nepal Federation of Indigenous Nationalities (NEFIN) Nepal Dalit Commission Nepal Women Commission ‘concern’ groups/Struggle groups Transport Unions & Committees (Transport organization (Prithvi Highway Bus Operation Committee for NNM road) Local NEFIN local chapter Transport Unions & Committees local chapter
Internal Stakeholders	• Include but not limited to: supervision consultants, suppliers, Construction Contractors and Contractor’s workforce, sub-contractors, petty contractors, etc
Project Financiers	• The World Bank • Other potential financiers

The **Project-Affected Parties** (PAPs) are divided into three categories:

1. **Directly Affected Population** - Individuals and households that are located within the Project Direct Area of Influence (DIA)². These may include, but not limited to:
 - Individuals and households that will be directly affected by the land sub-projects
 - People who make their livelihoods by working around the project and sub-project construction sites;
 - Individuals and households that will have restricted access to natural resources due to the Project footprint. These stakeholders may include people who collect grass/firewood for livelihood, communities that use the access road section;
 - People directly affected by the construction and operation of the ancillary facilities and workers’ camps; and
 - People directly affected by the construction and operation of the cross-border infrastructure.

²The National EIA Guidelines (1993) defines the direct impact as a direct alteration in the existing environmental conditions as a consequences of project activity. The DIA includes the Project footprint, which includes areas occupied by the Project structures, ancillary facilities, and immediately adjacent areas (i.e., extending up to 200 m from the Project footprint)

2. **Indirectly Affected Population** – Individuals and organisations located within Indirect Area of Influence³. These may include, but not limited to:

- Community people in project/sub-project construction area. Individuals where the Project infrastructures are located;
- People outside of these municipalities who may be affected by restricted access to roads and infrastructures due to the Project construction and operation;
- Public and private organisations and businesses –identified during the ESIA and ESA baseline study and consultation activities.

These stakeholders may include, for example, people who may experience increased traffic congestion, increased cost of living, and reduced livelihood productivity.

Potential vulnerable groups were also identified during the stakeholder identification process.

Table 0.1 provides a summary of the potentially vulnerable Project stakeholders.

Vulnerable groups are those project-affected parties (individuals or groups) who, because of their particular circumstances, may be disadvantaged or vulnerable. Identification of the vulnerable groups helps the Project further identify individuals and sub-groups who may have different concerns and priorities about project impacts, mitigation mechanisms and benefits, and who may require different, or separate, forms of engagement.

Table 3.2 SRCTIP Potentially Vulnerable Groups

³The Indirect Impact Area (IIA) refers to the geographical area between the DIA and administrative boundary of the Project's development administrative units. This consists of the surrounding area which may be affected due to project implementation.

Stakeholder Group	Stakeholder
Dalit	Individual households that are in ‘extreme poverty’ who are formally considered as ‘untouchable’.
Indigenous Groups	For NNM Road: 4 project-affected vulnerable HHs are IP For KDP Road: Information on IPs in the Project area, adjacent and surrounding communities will be identified during the detail ESIA study
Women	In Nepal's patriarchal society women are often expected to not speak out, not be educated and their traditional roles involve work at home and in the fields (such as housework, crafting, and farming). The most vulnerable women include: - Single women-headed households - Women in low income households - For NNM Road: 15.9% of the Household were headed by women - For KDP Road: to be identified during detail ESIA
Children, Youth and Elderly	- They are vulnerable for lack of ability to influence decisions affecting their lives. - Population to be identified during the detailed ESIA for KDP road
People with Disability	Population to be identified during the detailed ESIA for KDP road
LGBTI	Lesbian, Gay, Bisexual, Transexual, Intersex (LGBTI) individuals in project area who are at risk of exclusion from project benefits
Minority Religious Groups	Population to be identified during the detailed ESIA for KDP road
Households in “Extreme Poverty”**	Households that suffer severe deprivation of basic human needs, including food, safe drinking water, sanitation facilities, health, shelter, education and information.

** The World Bank uses an updated international poverty line of US \$1.90 a day as a line for extreme poverty.

3.2 Stakeholder Mapping

Stakeholder mapping, illustrated in **Figure 0.1**, explains the details for NNM Road elaborated during ESIA and future phases for each group of stakeholders based on their level of interest and level of impact. For the KDP Road it will be further assessed during the detailed ESIA preparation.

The stakeholders will be mapped by group, based on the level of influence and level of interest. The mapping results will be summarized as follows:

- The stakeholders that appear in the top right quadrant are those that need to be managed closely (i.e. the stakeholders that need to be proactively engaged on a regular basis and engagement efforts should be focused on this group). This is because these are the stakeholders that are most interested in the Project and have the potential to impact its outcome (i.e. the ability of the Project to go ahead).
- The stakeholders that appear in next quadrants (i.e. in Q2 and Q3) need to be kept informed- i.e. provided information and consulted on issues of interest to the stakeholders.
- The final stakeholders (i.e. in Q4) need to be monitored-i.e. informed of key Project aspects. It is important to track if their level of interest or impact changes.

Appendix B provides the tentative list of the identified stakeholders and the results from the stakeholder mapping exercise.

The stakeholder list as well as stakeholder analysis and mapping will continue to be revised and updated during the consultation during the planning phase, based on the ongoing receipt of comments and input from local, national and international stakeholders directed to the Project.

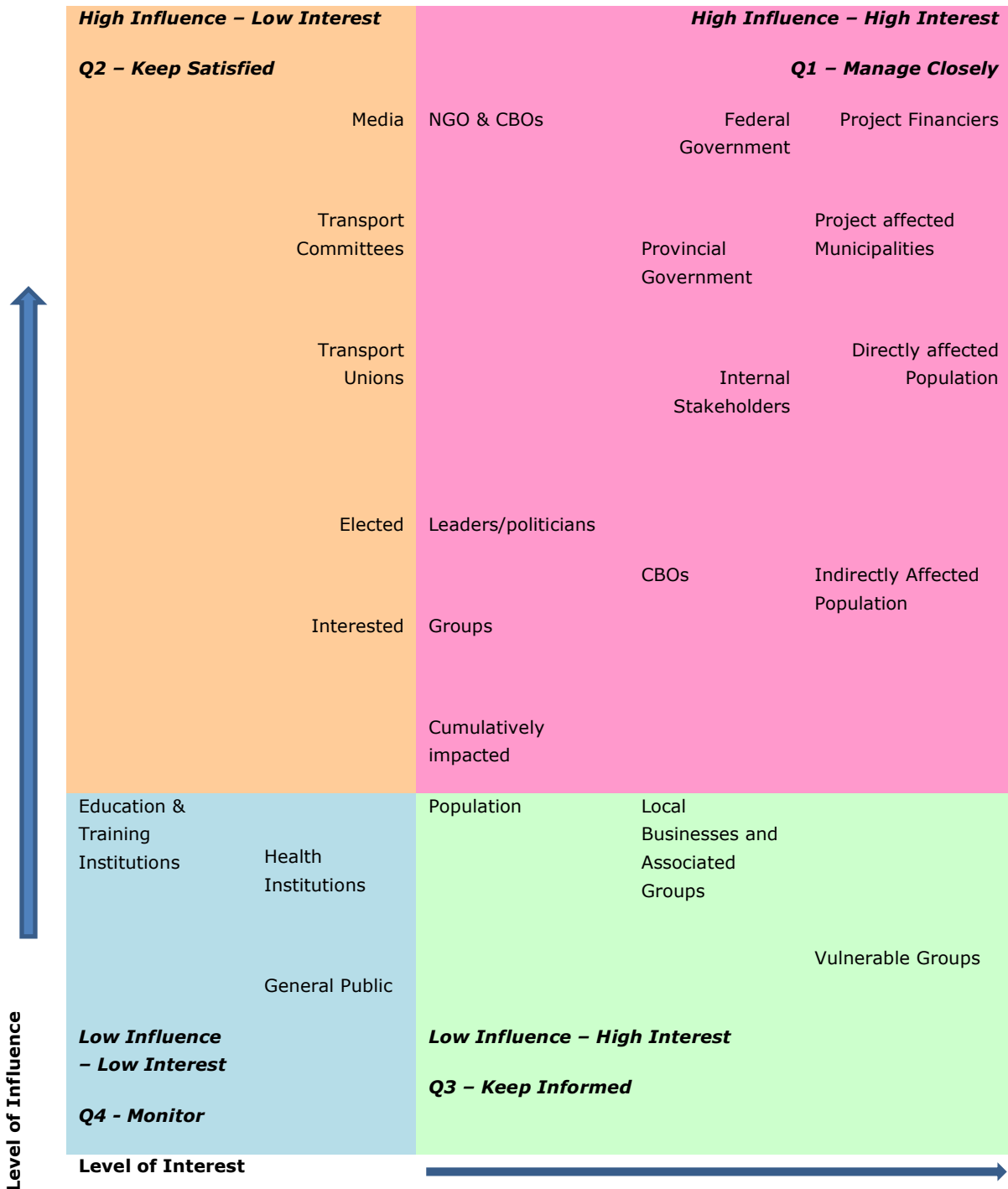


Figure 0.1 Preliminary Stakeholder Mapping Results

3.3 Summary of the Consultations

The following are the summary of the consultations with issues raised and response from DoR-DCID in both NNM and KDP Road.

Table 2 Summary of the raised issues during stakeholder consultation at NNM

Issues raised	Settlements of RM/M	Response
Date: From 26-30 January, 2017 to 15 December, 2019		
Road Safety issues • Zebra crossing spot should be marked in market area and dense settlement areas • Road safety sign and structures i.e. overhead bridge, Zebra crossing should be design in MahadevBesi bazar area and Adhamghat. • Safety for school children • Quick rescue/response is needed in case of accident and incident	Chandragiri M, Dhunibesi M, Thakre RM, Galchhi RM, Gajuri RM, BenighatRorang RM, Ichchakamana RM	• The road safety issues will be incorporated in the detail design report • Rapid Response team will be mobilized during project implementation
Environment Issues • Retaining wall/gabion construction in steep slope area along the roadside • Public land and river bank should be followed to protect productive agricultural land. • The spoil and the waste generated during construction should be disposed of properly and should not be dumped in the river.	Chandragiri M, Dhunibesi M, Thakre RM, Galchhi RM, Gajuri RM, BenighatRorang RM, Ichchakamana RM	• The of environmental safety design will be incorporated in the detail design report • The contractors EMP will cover the issues of spoil and the waste management
Road Infrastructures • Road expansion work should be conduct equally in each side. • Road improvement/widening works should start rapidly. • There should be uniformity in the expansion of road all along from Naubise to Mugling.	Chandragiri M, Dhunibesi M, Thakre RM, Galchhi RM, Gajuri RM, BenighatRorang RM, Ichchakamana RM	The incorporation of issues of road infrastructures will be recommended to design team
Public infrastructures • All the public infrastructures such as canals, local water supply pipelines and taps should be rebuilt • Construction of Foot-over bridge nearby school area • Additional foot-over bridge has been demanded at Galchhiarea(Galchhi RM) • New recreation facilities and parks should be built • Separate Parking Place in a fixed location • Construction of vegetable collection center in Mahadevbesibazaar(Thakre RM) • Overhead Foot Bridge in JungeKhola(Thakre RM)	Dhunibesi M, Thakre RM, Galchhi RM, Gajuri RM, BenighatRorang RM, Ichchakamana RM	• The responsibility of operation and management of public toilet after construction will be borne by local community • The responsibility of protection of foot-over bridge will be borne by local community • Local people have suggested to construct foot over bridge at Lewatar, of Ichchakamana RM
Traffic Management: • Contraction of separate lane to collect the road toll • Urgency of daily traffic status update during construction time	Chandragiri M, Dhunibesi M, Thakre RM, Galchi RM, Gajuri	• The detail design report will incorporate the issues of traffic management

Highway should not be affected during local access road construction	RM, BenighatRorang RM, Ichhakamana RM	Updates of daily traffic status and road condition will be updated via informative board will as well as FM and social media (Facebook, Viber group)
Social and Cultural issues - Compensation of land and structures with standard replacement value - Relocation of public utilities and cultural assets (shrines/small temples and religious trees) - Loss of livelihood - Damage of public/private structures	Dhunibesi M, Thakre RM, Galchi RM, Gajuri RM, BenighatRorang RM, Ichhakamana RM	- Resettlement Action Plan and will be prepared and incorporates the issues - ESMP will incorporate the issues
Employment - Employment priority should be given to the project affected households - Priority should be given to vulnerable, disadvantaged groups and females - Livelihood restoration training for project affected parties(PAFs)	Dhunibesi M, Thakre RM, Galchi RM, Gajuri RM, BenighatRorang RM, Ichhakamana RM	The ESIA, RAP/IPDP will incorporates such issues
Gender Issues: - Gender equality should be taken into consideration for employment - More involvement of women in construction and project work - Issues of gender-based discrimination in terms of wages and works - Gender friendly working environment and accommodation	Dhunibesi M, Thakre RM, Galchi RM, Gajuri RM, BenighatRorang RM, Ichhakamana RM	The ESIA, RAP/IPDP will incorporates such issues
Gender Based Violence Issues - Gender based risk - Human trafficking - Transmission of HIV/AIDS and STI	Chandragiri M, Dhunibesi M, Thakre RM, Galchhi RM, Gajuri RM, BenighatRorang RM, Ichhakamana RM	- The GBV action plan will help to minimize or prevent the issues - Contractors will develop Code of Conduct of the labors/workers
Grievances Mechanism - Issues of project related grievances during construction phase - Grievances related to workforce/labor - Community related grievances(due to labor influx) - GBV related grievances	Chandragiri M, Dhunibesi M, Thakre RM, Galchi RM, Gajuri RM, BenighatRorang RM, Ichhakamana RM	ESIA recommends overall one GRM and within that two-separate committee(one for labour related grievances and one for GBV related grievances)

Table 4: Summary of the raised issues during stakeholder consultation at KDP

Date	Issues raised	Settlements of M	Response
16-30 November, 2019	Road Safety issues - Overhead crossing spot should be marked in market area and dense settlement areas - Safety for school children and elderly people - Quick rescue/response is needed in case of accident and incident	Ganeshman charnath, Dhanusha Dham, Mithila, Bardiwas, Gaushala, Ishworpur, Lalbandi, Hariwan, Bagmati, Nijagadh Municipality and Jitpur Sub Metropolitan city	- The road safety issues will be incorporated in the detail design report - Rapid Response team will be mobilized during project implementation
	Environment Issues - River training works and control of inundation during road construction - Public land and river bank should be followed to protect productive agricultural land. - The spoil and the waste generated during construction should be disposed of properly and should not be dumped in the river or agricultural land of the local people.		- The of environmental safety design will be incorporated in the detail design report - The contractors EMP will cover the issues of spoil and the waste management
	Road Infrastructures - Road improvement/widening works should start rapidly. - The dismantle and damage of public structure should be minimum		The incorporation of issues of road infrastructures will be recommended to design team
	Public infrastructures - All the public infrastructures such as temples, shrines, local water supply pipelines and taps should be rebuilt - Construction of Foot-over bridge nearby school area and market place - Separate Parking Place in a fixed location		- The responsibility of operation and management of public toilet after construction will be borne by local community - The responsibility of protection of foot-over bridge will be borne by local community
	Traffic Management: - Contraction of separate lane to collect the road toll - Urgency of daily traffic status update during construction time - Highway should not be affected during local access road construction		- The detail design report will incorporate the issues of traffic management - Updates of daily traffic status and road condition will be updated via informative board will as well as FM and social media (Facebook, Viber group)
	Social and Cultural issues - Compensation of public and private structures with standard replacement value - Relocation of public utilities and cultural assets (shrines/small temples and religious trees) - Damage of public/private structures		- Resettlement Action Plan and will be prepared and incorporates the issues - ESMP will incorporate the issues
	Employment Employment priority should be given to the project affected households		The ESIA, RAP/VCDP will incorporates such issues

	• Priority should be given to vulnerable, disadvantaged groups and females • Livelihood restoration training for project		
	Gender Issues: • Gender equality should be taken into consideration for employment • More involvement of women in construction and project work • Issues of gender-based discrimination in terms of wages and works • There may be chance of discrimination in lower caste people, it should be minimize		• The ESIA, RAP/VCDP will incorporate such issues
	Gender Based Violence Issues • Gender based risk • Human trafficking • Transmission of HIV/AIDS and STI		• The GBV action plan will help to minimize or prevent the issues • Contractors will develop Code of Conduct of the labors/workers
	Grievances Mechanism • Issues of project related grievances during construction phase • Grievances related to workforce/labor • Community related grievances(due to labor influx) • GBV related grievances		ESIA recommends overall one GRM and within that two-separate committee(one for labour related grievances and one for GBV related grievances)

3.4. Social and Environment Impacts of NNM Road and KDP Road

Due to improved road and its better infrastructure there will be smooth running of vehicles causing less emission of pollutants, decrease in road accidents while increase in better access to social service and market cooperation facilities. Furthermore, during the construction of the road, there will be an increase in employment generation for the locals. On the other hand, the negative impacts may include some loss of land and small infrastructures, increase in environmental (air, noise, dust, land pollution) along with the problem caused by the influx of labour (GBV, health issues, social cohesion, etc), and delay in traffic during construction.

Chapter IV: Stakeholder Engagement Plan

The engagement process has been split into four stages. **Error! Reference source not found.** below describes the four stages of engagement and the relevant activities and target stakeholders. Detailed stakeholder engagement activities during the four stages are provided in **Appendix B**.

This version of the SEP focuses on stakeholder engagement during the Planning Phase (current phase of the Project). The results of consultations undertaken in separate locations in the project influence area during the past reveal that project-affected parties (PAPs) are mainly concerned about a) compensation rates for lost land and assets; b) the provision of broader benefits by the Project authorities, including employment opportunities, project shares, public infrastructure and access to services; c) the alignment of the access road for the Project; and d) the preservation of local traditions and cultures. This feedback triangulates well with comments solicited from PAPs and other interested parties during less formal meetings and dialogues held both before and after that, and is feeding directly into the preparation of multiple social and environmental mitigation plans for the SRCTIP-regional connectivity and institutional strengthen component.

The SEP is a living document and will be updated as required during the project life cycle, with for example, further details around stakeholder engagement activities and ensure engagement methods and tools are effective, especially in encouraging informed participation from the vulnerable and disadvantage groups.

The potential stakeholders of the NNM and KDP Road have been identified by the stakeholder mapping. The details of the stakeholder analysis are listed as below.

Table 4.1 : Engagement Summary

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
Planning and Approvals Objective Disclose relevant project information to stakeholders and solicit their inputs/feedback into ESIA, ESA, ESCP, LMP, ESMP, RPF, IPPF, RAP, IPDP, ESMP-sub projects and other plans	Project alternatives, scope of the potential impacts and mitigation measures and benefit enhancers Land acquisition process, if required Project environmental and social (E&S) principles Resettlement and livelihood restoration measures Grievance mechanism process	Project Affected Parties	Village meetings One-to-one meetings Separate group discussions with women, youth and children Household visits to IP families and individuals in the communities Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio	Scoping meetings Radio talk Visits to communities Communication through mass/social media (as needed) E & S Specialists providing regular consultations with community people who are most affected by Project development	Feedback Form Through Stakeholder Engagement Project Facebook One radio interview where stakeholders can call in to ask questions Meetings and household visits Grievance mechanism	PIU with E & S Team

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Consultation with IPs					
	Land acquisition process, if required Resettlement and livelihood restoration options Project scope, rationale and E&S principles Grievance mechanism process	Chief District Officer, Ministry of Home Affairs, Ministry of Forestry, other government departments involved in land acquisition at multiple levels. Municipality land acquisition and resettlement committee, Compensation Fixation Committee Representatives of affected communities, government	Face-to-face meetings Joint public/community meetings with PAPs	Monthly (and as needed)	Meetings Grievance mechanism	PIU with E & S Team

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
		entities and businesses				
	Project alternatives, scope of the potential impacts and mitigation measures and benefit enhancers Land acquisition and resettlement planning, if any Project E&S principles Grievance mechanism process Coordination activities for development and implementation	Other Interested Stakeholders – District, Provincial and National Stakeholders	One-to-one meetings Group meetings/ Workshop Project Information Sheets Mass/Social Media Communication - Facebook, radio, newspaper articles/ ads	One at each ESIA milestone and as needed	Feedback Form Through DoR's Social Safeguard Specialist; Communication Officer and consultants Project Facebook and radio interview Meetings Grievance mechanism	Social Safeguard Specialist; Communication and Grievance Officer with support from consultants

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	of management plans					
	Project information - scope and rationale and E&S principles Training on ESA and other sub-management plans Grievance mechanism process	Other Interested Stakeholders – Internal Stakeholders	Face-to-face meetings Trainings/workshops Invitations to public/community meetings	At each ESIA milestone and as needed	Meetings and workshops Internal emails Grievance mechanism	PIU with E & S Team
	Consultations and coordination to ensure management of cumulative impacts on VECs are well-	Other Interested Stakeholders – Trade & transport sector Developers, District, Provincial and National	Face-to-face meetings Trainings/workshops Invitation to public/community meetings	At each milestone and as needed	Meetings and workshops Written correspondence Grievance mechanism	DoR-DCID Social Safeguard Specialist; Communication and Grievance Officer with

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	coordinated and implemented	Governments, relevant research institutions and NGOs, etc				support from consultants
	Consultation and coordination with various stakeholders for input into Biodiversity Management Plan (BMP) (particularly on the offsets) to ensure achieving “like-for-like or better” biodiversity gains to balance the losses due to the project	Other Interested Stakeholders – District, Provincial and National Governments, relevant research institutions and NGOs, etc	Face-to-face meetings Trainings/workshops Invitation to public/community meetings	At each BMP milestone and as needed	Meetings and workshops Written correspondence Grievance mechanism	DoR-DCID with support from consultants

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Present the final ESIA, Environmental and Social Management Plans (ESMP), draft environmental and social commitment plan (ESCP) and related plans for comments and feedback	Project Affected Parties	Village meetings One-to-one meetings Separate group discussions with women, youth and children Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio	Once in each project site E&S Team Communication through mass/social media (as needed) Project Information Centre	Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook Meetings and group discussions Grievance mechanism	Stakeholder Engagement Team Lead Stakeholder Engagement Coordinator
	Present the final ESIA, Environmental and Social Management Plan (ESM), draft environmental and social	Other Interested Stakeholders	One-to-one meetings Group meetings Project Information Sheets such as PID, FAQs, GRM, Feedback Form	Once when final ESA and related plans are available	Meetings Feedback Form Project Facebook, telephone line and email address Grievance mechanism	Community Relations Manager Stakeholder Engagement Coordinator CLOs

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	commitment plan (ESCP) and related plans for comments and feedback		Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project telephone line			
Pre-construction Objective Ramp-up engagement activities to prepare stakeholders for construction phase Present Construction Contractors	Present the Construction Contractors Environmental and Social Management Plans (ESMPs) such as Traffic Management Plan, Spoils Disposal Management Plan and related plans for	Project Affected Parties	Village meetings One-to-one meetings Separate group discussions with vulnerable groups Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio Project Information Centre Project website	Once a month and as required	Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook, telephone line and email address, radio interview Meetings and household visits Grievance mechanism	DoR-DCID Community Relations Manager Stakeholder Engagement Coordinator CLOs

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
ESMPs and related plans, and final ESCP	comments and feedback Present final ESCP for feedback Project updates including construction activities, construction management plans, engagement activities and responsibilities Road test mitigation measures Ongoing consultation related to RPF &IPPF		Project telephone line			

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Construction permits and licenses and regular Project progress and updates	District, Provincial and National Governments	One-to-one meetings Group meetings/ briefing	Monthly and as required	Meetings Feedback Form	DoR-DCID Community Relations Manager with support from consultants and contractors
	Ongoing consultation on land acquisition and resettlement	With relevant government bodies and representatives of affected families, business and entities identified during Planning phase	Face-to-face meetings Joint public/community meetings with PAPs	Monthly (and as needed)	Meetings Grievance mechanism	DoR-DCID Resettlement consultants
	Interaction related to IPPF	Directly and Indirectly Affected Population	IPPF consultation meetings. This could serve as the key engagement tool with communities.	As required and at locations necessary	IPPF meetings Grievance mechanism	IPPF facilitator, as assigned DoR-DCID Community

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
			IPPF monitoring and assessment activities; IPPF progress reports.			Relations Manager
	Present the C-ESMP and related plans for comments and feedback Present final ESCP for feedback Project updates including construction activities, construction management plans, engagement activities and responsibilities Update on ongoing land	Other Interested Stakeholders	One-to-one meetings Group meetings Project Information Sheets such as PID, FAQs, GRM, Feedback Form Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project telephone line	One during Pre-Construction and as required	Meetings Feedback Form Project Facebook, telephone line and email address, radio interview Grievance mechanism	DoR-DCID Community Relations Manager Stakeholder Engagement Coordinator CLOs

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	acquisition and resettlement activities					
Construction Objective: Provide regular updates on construction activities, implement management plans and monitor the effectiveness of the plans Handling of complaints in a prompt and effective manner	Regularly update on construction activities, including key milestones, key changes in the Project design, and monitoring results from the ESCP and ESMPs Health and safety impacts (EMF, Construction-related safety measures) Update on resettlement and	Project Affected Parties	Project Information Centre Project Information Sheets such as Brochures, Factsheets, media notices, Feedback Form One-to-one meetings Village meetings Monitoring and community perception surveys Project Facebook and website Radio and newspaper Grievance mechanism	Once a month and as needed Community perception surveys – once a year	Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook and radio interview Meetings Project telephone line, Facebook and email Grievance mechanism	DoR-DCID Community Relations Manager Construction Contractors

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	livelihood rehabilitation, community development initiatives and other activities of community interest Start giving effects to benefit sharing Complaint handling					
	Disclose and consult on Construction Contractor activities, hiring preferences, job and business opportunities, training opportunities etc	Project Affected Parties	Village meetings Project Information Sheets such as Brochures, Factsheets Project Information Centre Facebook, radio and website	Monthly at the first 6 months of construction, then quarterly and as required from there on. Advanced notification will be given to hiring	Feedback Form Project Facebook and radio interview Meetings Project telephone line, Facebook and email Grievance mechanism	Construction Contractors with support from DoR-DCID

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Undertake community environmental and safety awareness program		Project Facebook and website Radio and newspaper Training and simulations	opportunities so local community members have a reasonable lead time to prepare for application.		
	Meetings and discussions with key government departments for construction permits and licences and provide construction progress update	District, Provincial and National Governments	One-to-one meetings Group meetings/ briefing	Monthly and as required	Meetings Feedback Form	DoR-DCID Community Relations Manager Construction Contractors
	Ongoing consultation on land acquisition and resettlement	With relevant government bodies and representatives of affected families, business and entities	Face-to-face meetings Joint public/community meetings with PAPs	Monthly and as needed PAP survey - Upon completion of resettlement	Meetings Grievance mechanism	DoR-DCID Community Relations Manager Resettlement consultants

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Interaction with IDPD and IPPF governance bodies	Directly and Indirectly Affected Population	IDPD and IPPF meetings. This could serve as the key engagement tool with communities. IDPD and IPPF Monitoring and evaluation efforts; IDPD and IPPF progress reports.	As required and at locations required	IDPD and IPPF meetings Grievance mechanism	IPPF facilitator, as assigned DoR-DCID Community Relations Manager
	Update on construction activities and implementation of management plans Update on resettlement and livelihood rehabilitation, benefit sharing, community	Other Interested Stakeholders	Project Information Centre Project Information Sheets such as Brochures, Factsheets, media notices, Feedback Form One-to-one meetings One radio talk Group meetings	Once at the start of construction then once a year, and as required	Feedback Form Project Facebook, telephone line and email address, radio talk Grievance mechanism	DoR-DCID Community Relations Manager Construction Contractors

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	development initiatives, etc Complaint handling Coordination of activities especially the roll-out of management plans Health and safety impacts (EMF, Construction-related safety measures) Employment opportunities		Project Facebook page, telephone line and website Grievance mechanism			
Operation	Day-to-day engagement with stakeholders to	Project Affected Parties	Village meetings Project telephone line Facebook page	Once at the beginning of the	Feedback Form Meetings	DoR-DCID Community Relations

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
Objective: Maintain constructive relationships with stakeholders and maintain awareness of environmental and safety practices in the local communities Engagement will focus on day-to-day operation of the Project	maintain good relationships and provide update on the Project progress Manage community issues and monitor community attitudes Complaint handling		Project website Project Information Sheets such as Brochures, Factsheets, media notices Grievance mechanism	operation then bi-annually Community attitude surveys – every 3 years	Project telephone line, Facebook and email Grievance mechanism	Manager with support from community relations staff
	Environmental and safety awareness program Emergency preparedness and response	Project Affected Parties	Brochures, pamphlets, and regular environmental and safety, emergency response talks to PAPs and other relevant stakeholders Emergency drills	Once at the beginning of operation then bi-annually or annually	Feedback Form Meetings Project telephone line, Facebook and email Grievance mechanism	DoR-DCID Community Relations Manager with support from H&E experts

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Day-to-day engagement with stakeholders to maintain good relationships and provide update on the Project progress.	Project Affected Parties District, Provincial and National government departments Other Interested Stakeholders	One-to-one meetings Group meetings Project telephone line Facebook page Project website Project Information Sheets such as Brochures, Factsheets, media notices Site visits for government officials, PAP representatives, media	Once at the beginning of operation and bi-annual and as needed	Feedback Form Meetings Project telephone line, Facebook and email Grievance mechanism	DoR-DCID Community Relations Manager with support from Community relations staff
	Interaction in line with IPPF	Directly and Indirectly Affected Population	IPPF meetings. This could serve as the key engagement tool. IPPF monitoring and evaluation activities; IPPF reports	As required and at locations identified	IPPF meetings Grievance mechanism	IPPF facilitator, as assigned DoR-DCID Community Relations Manager

4.1 Strategies for Information disclosure

The Project will make disclosure materials available to stakeholders via the communication channels outlined in **Table 4.2**. Other effective communication networks in the local communities identified throughout the Project lifecycle will be utilised whenever possible.

In the Project Areas of Influence, the E & S Specialists/Officers will move around communities and social venues such as local markets and tea houses. They will circulate the disclosure materials for people to view and take away. They will ensure that the Project disclosure and consultation occur on neutral grounds to help remove obstacles to participate, especially for women and vulnerable groups.

The Project will also explore films and videos of construction of different components of SRCTIP regional connectivity and institutional strengthening to screen for the PAPs and other interested stakeholders. Videos of relevant progressive rehabilitation programs, resettlement and livelihood restoration programs and community health and safety training programs will also be sourced whenever possible for community screen time.

Table 0.1: SRCTIP-Regional connectivity and intuitional strengthening -Information Disclosure Channels

Targeted Stakeholders	Information Disclosure Channels
Project Affected Persons and Project Affected Municipalities	• Project Information Centre • E & S team • Ward offices • Municipality Office • Local schools • Local clinics • Local tea houses/lodges
District Level Stakeholders – including Regional Stakeholders, District Government, Elected Officials, Local	• District Offices of various agencies • DCC • District/divisional chapters of Road component • FNCCI unit in district

Businesses, Local Interest Groups, Local Education and Health Institutions	• District schools and health clinics • Interest groups and local NGOs' networks
Provincial Level Stakeholders – including Provincial Government, Elected Officials and Politicians, Businesses, Interest Groups, Education and Health Institutions, Local NGOs, and Local Media	• Provincial Government Offices • Provincial Transport Committees • Provincial ministry for roads and physical infrastructures • Provincial NGOs and interest groups' network • Project Facebook page
National Level Stakeholders – including Centre Government and National and International NGOs	• Ministry Offices • NGOs' networks • Offices of National Transport Committees • Project Facebook page
Project website	• All stakeholders can access Project information materials

Disclosure events (time and place) will be communicated to all stakeholders via the following means and methods:

- E & S team in local areas
- Local teachers and school boards
- Ward officers and notice boards
- Clinic nurses and notice boards
- A local radio talk/ interview suggesting where and when information is available
- Facebook ads suggesting where and when information is available
- Local NGO network
- Notices to local chapters of trade unions/transport committees
- District level Journalists Association

- Advertisement on provincial newspapers and/or TV suggesting where information is available.

4.1.1 Communication Materials

Key disclosure and consultation materials include:

- **Project Information Document (PID):** This document consists of a non-technical summary of the Project, development timeline and milestones, Project updates, consultation program and opportunities for the stakeholders to participate in development of the Project, timeline and venues for engagement activities, contact details for questions and queries. The PID will be updated at each Project milestone to reflect the Project development and key activities at each stage.
- **Project Factsheet:** A one-pager in Nepali explaining the Project information in simple, plain language accompanied with maps and pictures.
- **SRCTIP-Regional Connectivity and Institutional Strengthening Component Frequently Asked Questions (FAQs)** which comprises of Project key risks and issues, and Project's plan to address them, as well as answers to key questions raised by the stakeholders during the previous consultation. The FAQs will be revised and updated regularly to reflect Project development and key issues that have come to light.
- **Grievance Redress Mechanism (GRM):** Details on how to access the grievance mechanism will be provided. This will include information on how the grievance management process will work, including the timeframes for responses.

Refer to **Appendix D** for the Draft PID and FAQs for the Project. Refer to **Appendix B** for more details on the series of communication materials planned for the Planning Phase.

4.1.2 Project Information Centre

A Project Information Centre (PIC) will be established in the local area in 2020. The PIC will be maintained by the field level E & S team members. The PIC will welcome visitors from the local communities and the district to obtain Project information, ask questions, raise issues or log grievances.

4.1.3 Project Website and Telephone line

A Project website will be established at Pre-Construction phase to provide information about the Project and disclose all Project related information to the wider public. The Project website will be regularly updated with new Project updates such as job opportunities for local workforce,

compensation and resettlement process. The Project website will also allow the public to submit issues or grievances related to the Project development.

The Project telephone line and email will also be made available from the Pre-construction to enable the public to ask questions, raise issues and submit grievances.

4.1.4 Social Media

Facebook is the most popular social media app in Nepal hence the SRCTIP-Regional Connectivity and Institutional Strengthening components Facebook page will be established during the pre-construction phase to communicate with the local population of different age and background and other Project Interested Parties via social media campaigns throughout the Project's lifecycle. Facebook ads that target youth will be generated as much as possible to disseminate information to this high social media user group.

4.2 Strategies for Consultation

Table 4.3 outlines various consultation methods to ensure inclusive and effective engagement and enable participation of marginalised groups.

During the *current phase* (Planning Phase) the relevant E & S team member will make visits to the affected communities in the Directly and Indirectly Affected Population. The E & S team members located in field offices will undertake consultation activities with the members of the communities that are most affected by the Project proposed activities. Supplemental to these, an intensive round of project awareness-raising consultations will also be conducted (see **Section 4.5** below).

Table 0.2: Consultation Methods

Consultation Methods	Targeted Stakeholders
Community meeting with proceedings appropriate to the culture and norms of the Indigenous Peoples in each Ward*	Every community in the Directly and Indirectly Affected Population.
Focus group discussion (FGD)	Women groups, youth groups, and minority religious groups in the Directly and Indirectly Affected Population. The focus group discussions will explore the gaps.
Household visit	Dalit, households in 'extreme poverty', single female headed households, people with disability, elderly who have mobility

	issue, minority religious groups in the Directly and Indirectly Affected Population. As many as possible.
School visit/ group briefing	School children in the Directly and Indirectly Affected Population
Face-to-face meeting/ workshop	Government offices – all levels, elected officials, PAM, DCC, FNCCI, NCC, schools and health clinics, interest groups, NGOs, Trade unions/transport committees
Radio	Regional stakeholders and other interested parties who can call in to ask questions and raise issues/ concerns while MoPIT-DoR representatives attend the radio interviews (It is proposed that this occur twice during Planning Phase)
Project Facebook page	All stakeholders can visit to get Project updates and ask questions, and raise issues/ concerns
Project email address	All stakeholders can email to request information, and raise issues/concerns
Perception survey	A perception survey examining PAPs' experience and feedback about the project will be carried out before/during construction, and at the completion of RPF.

4.3 Strategies for Vulnerable Groups

Vulnerable groups consist of people who may not be able to access Project information and articulate their concerns and priorities about potential Project impacts owing to certain barriers that disadvantage them. The barriers could be socio-political, for example in Nepalese patriarchal society, women are expected to not speak out in public. Other factors could be related to caste, ethnicity, language abilities, religion, or poverty as people influenced by these factors are not expected to or do not feel that they can have a 'voice' in public.

Taking these barriers into account, a number of measures will be used to remove obstacles to participation for vulnerable groups.

- Focus groups for women, led by a female facilitator, to introduce the Project and discuss any issues and concerns that the women may have regarding the Project development. FGDs will be undertaken for social baseline and further FGDs will be planned to fill the gaps in the Directly and Indirectly Affected Population. E & S field team will pay extra effort on recruiting women to visit Project Information Centre and attend women group discussions.

- Similarly focus groups for the youth will be led by a youth facilitator in each Community in the Directly and Indirectly Affected Population. SRCTIP-Regional Connectivity and Institutional Strengthening Facebook page and Facebook ads are designed to target the youth and encourage them to participate in the Project development.
- Individual household visits to as many Dalit, households in ‘deep poverty’, single female headed households, people with disability, the elderly who have mobility issues, and households of minority religious groups in the Directly and Indirectly Affected Population as possible at each Project milestone to ensure they are provided with the Project information and have opportunities to raise their questions and concerns freely without intimidation, discomfort or ridicule.
- School visits to disseminate Project information and consult with school children and teachers about potential impacts and benefits. Information disclosure through school teachers and students is also an effective way to reach the broader community, especially women, as teachers are important influencers in the community and children often bring information collected from school to share with their families.
- Most IPs in the Project affected areas speak Nepalese but some individuals may experience language issues especially around new concepts and processes. To overcome this, E & S field team will hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali. They will also assist IPs in how to provide comments, feedback and raise grievances.
- While reaching out to different groups particularly vulnerable groups such as women, elderly and disabled, the Project team will make sure time and location of consultation are appropriate to their needs.

Throughout the ESIA consultation (in both NNM and KDP road), the Project team will continue to identify representatives of these groups locally and at the district level to facilitate two-way communication on the Project development.

4.4 Review of Comments and Report Back

Feedback from stakeholders will be captured by the deployed E & S team. They will also maintain a stakeholder engagement/feedback and grievance register that will be forwarded to the E & S Project team in Kathmandu. Urgent issues and grievances that need immediate attention will be communicated to the Social Specialist to take it up the chain of command as soon as practically possible.

For other disclosure channels, a Comment Box will be provided in each disclosure location together with copies of a Feedback Form for stakeholders to provide input. Stakeholders can also make comments and suggestions via the Project Facebook page, Project email, and information telephone line.

Stakeholder feedback will be collated and Social Team will analyse engagement data to identify stakeholder key issues, trends, suggestions and aspirations. During the Planning and Pre-Construction phases, a stakeholder engagement report will be produced at each consultation milestone and include:

- Number of stakeholders engaged (total and by stakeholder group)
- Methods of engagement
- Key issues and trends
- Grievances and details of how they have been resolved.

During the Construction phase, the report will be produced monthly.

The report will be submitted to DoR-DCID Project Director and relevant managers in order to help them address the issues that have come up in different management plans, such as the traffic management plan, health and safety plan, or Construction Contractor's various plans. Mitigation measures will be addressed systematically through the relevant management plans. The FAQs will be revised and updated regularly to reflect Project changes and key issues that have come to light as a result of information disclosure and consultation activities.

A Stakeholder Issues and Response Report ("You Ask, We Answer") will be provided to the stakeholders at Draft ESA Consultation Phase, which provides a summary of stakeholder engagement activities undertaken to date, a summary of the feedback received and a brief explanation of how the feedback was taken into account or the reasons why it was not.

4.5 Free, Prior and Informed Consent (FPIC) Process

Under the World Bank's ESS7 on Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, Free, Prior, and Informed Consent (FPIC) is required in the following circumstances:

- i) Adverse impacts on land and natural resources subject to traditional ownership or under customary use;
- ii) Relocation of IPs from lands defined in the previous item; and/or
- iii) Significant project impacts on critical cultural heritage essential to IP lives/livelihoods.

In the NNM Road Project, six IP communities have collective attachments to the project area. However these groups are all outside the NNM Road Right of Way (ROW) where the project interventions will take place. Based on assessments and due diligence, the project will not cause any adverse impact to their land, will not cause any relocation of IPs from land they customary use or occupied and will not cause negative impacts to their cultural heritage. Therefore, according to the requirements of FPIC under ESS7, the FPIC is not relevant in this instance.

Indigenous groups may be present in the KDP corridor. However, given that the feasibility study has just started recently and detailed designed has not yet commenced, it cannot be determined whether there are any IP groups which have collective attachment in the KDP project area, and the project's potential impacts on these IP groups if any cannot be determined. This will be assessed during preparation of the ESIA as part of detailed project design. An IDPF has been prepared to guide the preparation of an IPDP to address any impacts to IPs groups identified. FPIC with indigenous communities will be undertaken, if required based on findings of the ESIA.

4.5 Resettlement Planning Engagement Process

A primary engagement process running concurrently with ESIA/ESA consultation is engagement related to resettlement planning. Consultations with government departments and offices, together with displaced families, are being undertaken for the development of the NNM Road RAP and KDP Road and Periodic Maintenance RPF. The consultations at this stage focuses on:

- Inventory of affected land, structure, trees, crops; and
- Formal consultation with PAPs on compensation, resettlement benefits, relocation sites, and livelihood restoration measures.

A typical RAP/RPF consultation process is outlined below. It will be updated and confirmed once the RPF is available for review. The RAP and RPF is a process that runs parallel with the SEP where findings will feed into the SEP and vice versa. See **Table 4.1** for planned engagement activities for resettlement planning at different Project phases. Refer to RAP and RPF for details.

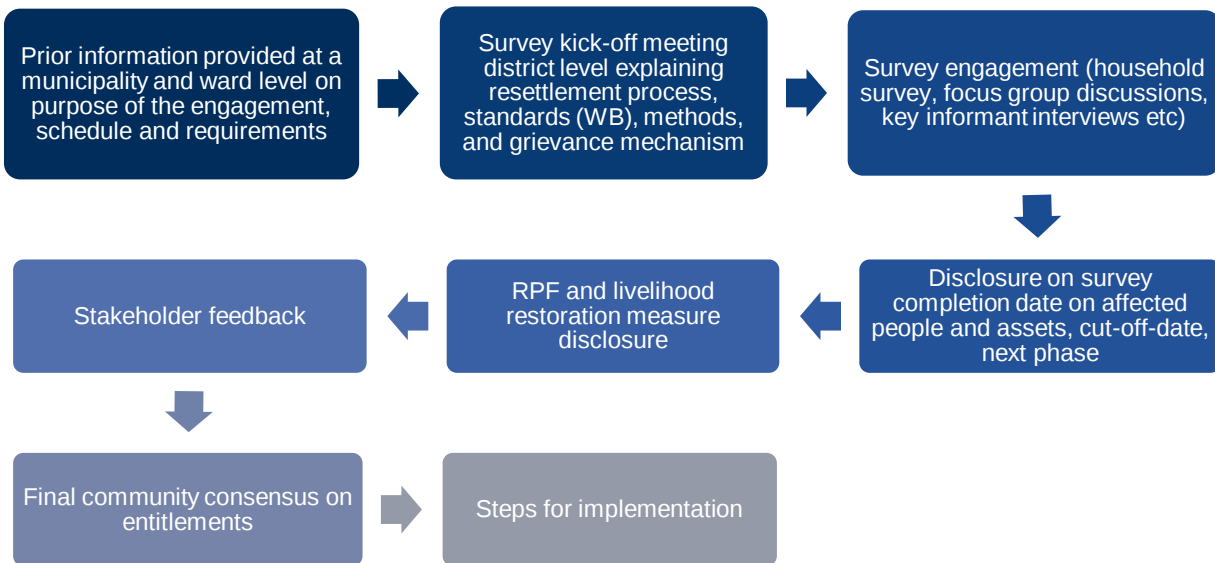


Figure 0.1 Proposed SRCTIP-Trade Regional Connectivity and Institutional Strengthening RPF Consultation Process-subject to update

4.5 Cumulative Impact Assessment Engagement Process

The Cumulative Impact Assessment (CIA) follows a nine-step process based on the IFC's Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets Good Practice Handbook.

Stakeholder engagement process for the CIA includes the following steps:

1. Identification of CIA stakeholders such as affected communities in the MoPIT-DoR, communities around construction sites, Nepal Federation of Indigenous Nationalities (NEFIN) & transport committees/unions, etc.
2. Initial consultation with relevant government agencies, research institutions, affected community representatives and other key stakeholder's external natural and social stressors within the CIA Study Area.
3. Consult with stakeholders on cumulative impacts arising from interactions between the Project, other projects, and other stressors within the CIA Study Area.
4. Consult on the design and coordinate the implementation of management and mitigation measures with key stakeholders. This is important to ensure management of cumulative impacts is well-coordinated and implemented.
5. Disclose draft CIA for comments and feedback.

4.8 Biodiversity Management Plan Engagement

Consultations with government departments and offices and project affected families are being undertaken for the development of Biodiversity Management Plan (BMP), as a part of ESIA of NNM and ESA of KDP Road and Periodic Maintenance. The BMP consultation at this stage is focusing on:

- Establishing an effective process for Project-Affect Parties (PAPs) and other key stakeholders to participate in designing and implementing the biodiversity management (if required); and
- Identifying suitable opportunities (potential offset sites, activities and mechanisms) for achieving “like-for-like or better” biodiversity gains to balance the losses due to the development.

To guide the development of biodiversity offsets, the following consultation activities will be undertaken:

- Consult with PAPs and other key stakeholders such as NGO and government departments to identify potential offset sites, implementation mechanisms and costs;
- Consult with PAPs and other stakeholders in designing and implementing the biodiversity offset;
- Setting the specific offset activities and locations in a Biodiversity Management Strategy to seek agreement on the approach with PAPs and key stakeholders; and
- Disclose draft BMP for comments and feedback.

Chapter V- Stakeholder Engagement Management System

Implementation of this SEP will be supported by a Stakeholder Engagement Management System (**Appendix E**). The system is a tool that can be used to track stakeholder activities and grievances and report on them. The system will help track the following information:

- The stakeholder – i.e. an organisation or individual;
- A contact person's name and position or title;
- Contact details (address, telephone, email, website);
- Stakeholder group(s);
- Stakeholder analysis results including potential impacts by the Project, level of stakeholder importance, influence, key interests etc;
- Details of engagement activities – i.e. date, location, attendees and key issues raised – and responses/actions agreed; and
- Grievances and how the Project has responded to them including responses, corrective actions, responsibilities, final decision, communication on proposed resolution and agreement, due dates, closed dates, etc.

The outputs from the stakeholder mapping process (**Section 4**) will be captured in the stakeholder database as well as the outputs from the engagement activities described above. This will help ensure that issues and concerns are captured and can be fed into decision-making process and that commitments tracked over time ensuring that they are met. **Appendix E** provides examples/templates to be utilised to track engagement activities.

Chapter VI-Grievance Mechanism

This section details the grievance mechanism that will be used to identify, track, and manage grievances raised by external Project stakeholders.

6.1 Objectives

The main objective of the grievance mechanism is:

- To address grievances promptly and effectively, in a transparent manner resulting in outcomes that are seen as fair, effective and lasting;
- To provide a grievance management process that is culturally appropriate and readily accessible to all Project affected parties;
- To build trust as integral component of the Project community relations activities; and
- To enable a systematic identification of emerging issues facilitating correcting actions and pre-emptive engagement.

6.2 Use of the Existing Dispute Resolution Systems

An assessment of local systems of decision making or dispute resolution to see what can be built on for the Project grievance mechanism reveals that the Constitution of Nepal 2015 and Local Government Operation Act (LGOA) 2017 empower local judicial committees of Municipalities to deal with community-based disputes. The Sections below describe how these existing systems have been incorporated in the dispute resolution process to ensure the cultural appropriateness of the mechanism.

6.3 The Complaint Resolution System

The objective of this system is to ensure there is a robust and transparent process available for addressing complaints. This system comprises a sequential process of four levels of resolution. The next level of resolution is triggered if the complaint cannot be resolved at a lower level, although SRCTIP-Regional connectivity recognises and accepts that complainants may go directly to Level 4 to lodge complaints.

Box 0.1SRCTIP-Trade Regional Connectivity Grievance Resolution System

Level 1: This level of resolution is for complaints that can be resolved by the E & S field team member of sub-project directly with the complainant. This level of complaint can be dealt with through immediate corrective action.

Level 2: This level of resolution is for complaints that could not be satisfactorily resolved by SRCTIP-Regional Connectivity component alone and therefore appeal to the Local Grievance Committee (also referred to as Sub-project Grievance Committee).

Level 3: If the complainants are not satisfied with the resolution proposed by the Local Sub-project Grievance Committee, they can appeal to the Project Grievance Committee.

Level 4: If the complainants do not accept the resolution or decision at level 3 then they can take legal action at the District Court. The Project does not control this level of resolution but acknowledges this process is available to stakeholders. It also acknowledges that some complainants may choose to proceed directly to this level of resolution.

Building on existing dispute resolution systems, the grievance committees will be set up as soon as possible during the Planning stage. They will be constituted as below:

- Local Grievance Committee (also referred to as Sub-project Grievance Committee): Consists of the Sub-Project Social Safeguard Specialist, Construction Contractor representatives, Ward/Municipality officials, and community representatives (especially women and youth).
- Project Grievance Committee: Consist of Project E & S Specialists, Construction Contractor representatives, Ward/Municipality representatives, the District Coordination Committee representative, an official from the District Administration Office, MoPIT-DoR representative, and community representatives (especially women and youth).

The Grievance Resolution System is illustrated in Figure 6.1.

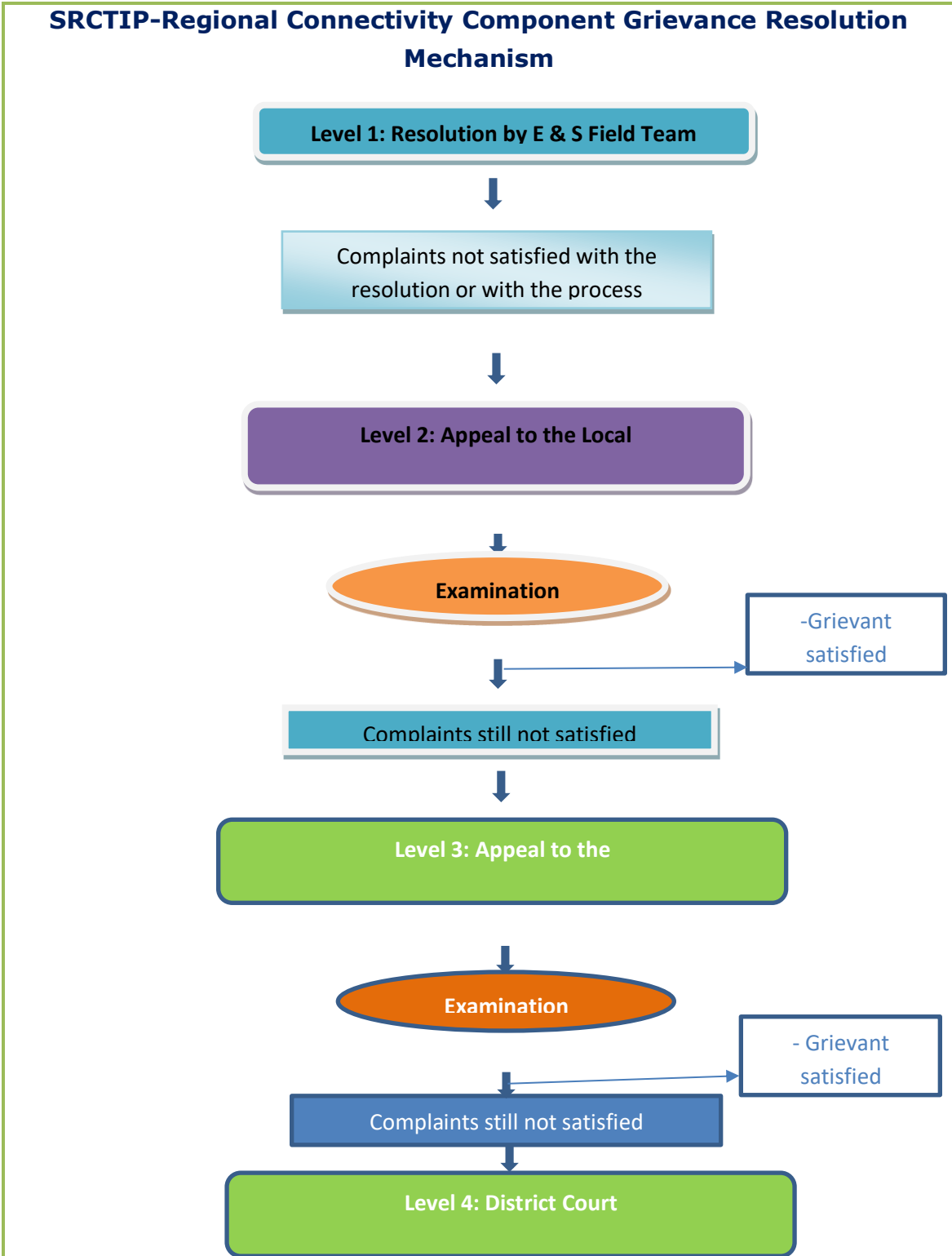


Figure 0.1 SRCTIP-Regional Connectivity Component Grievance Resolution System

6.4 The Grievance Procedure

All grievances shall be managed in accordance with the project's Grievance Procedure (**Figure 6.2**). All grievances must be handled in a discreet and objective manner. The Community Liaison Officers of E & S field team must take into consideration the sensitive nature of the needs and concerns of the affected communities and be responsive to the grievances made by the Project-Affected Parties, especially during the peak of the construction period.

All grievances and how they have been managed will be recorded in the Stakeholder Engagement Management System including complaint details, a summary of the grievance, the resolution or agreement on proposed actions (between the Project and the complainant), and monitoring actions taken in response to the grievance.

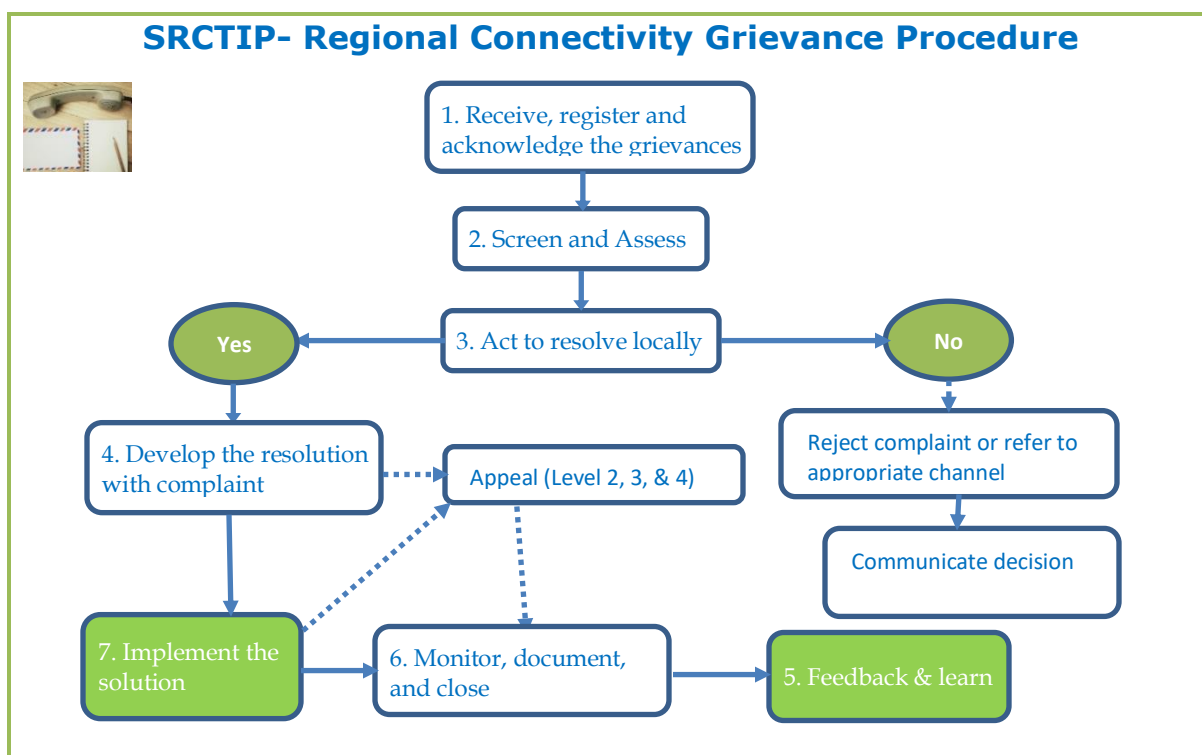


Figure 0.2 SRCTIP-Regional Connectivity Component Grievance Procedure (Refer to Grievance Resolution System for Levels 2 - 4)

The key steps of the procedure are as follows:

1. Receive, register and acknowledge the grievance

A variety of methods will be available through which stakeholders can lodge grievances. This will include:

- Verbal communication with the CLOs who are stationed in the sub-project field office. For those who have difficulty reading or writing or inexperienced with the complaint process the CLOs will assist them in filling out the complaint form.
- Written communication by filling out the complaint form (Appendix F) provided by the CLOs. The form will also be made available at the Project Information Centre, Project field/site office, Ward Offices of the Local Government and other disclosure venues identified in the ESA consultation (Table 4.5).
- The complainants then can submit the complaint forms to the CLOs or drop them in the Comment Box (complaint boxes) available at Project field/site office, Ward Offices and public places, or mail them to the Project office.

The CLO who received the grievance form will **register** the grievance in their Grievance Log and the Social Safeguard Specialist will register it in Stakeholder Engagement Management System weekly. The CLO will assign a **unique grievance number** to each grievance for easy tracking.

Grievances for highly sensitive cases, and as requested by complainants, will be filed anonymously, which is essential for capturing any grievances that may arise in relation to GBV (gender-based violence) and SEA (sexual exploitation and abuse).

The CLO will provide the complainant with a verbal acknowledgement of the receipt of the complaint within 3 working days (phone call, text message, or a meeting) and a written acknowledgement within 7 days (email, letter). The acknowledgement will include the grievance number so the complainant can use as reference to track the status of their complaint. If the grievance is not well understood or if additional information is required, clarification should be sought from the complainant during this step.

2. Grievance is screened and assessed within 10 days of receipt. The significance of the grievance will then be assessed using the criteria outlined in **Box 0.2**.

- If the grievance is related to the Project development and can be resolved locally then proceed to the next step.
- If the complaint is not related to the Project then refer to other government departments or organisations, or judicial committee within the local government as appropriate, reject the complaint, and communicate decision to the complainant with explanation.

3. Inform and assign responsibility

At ESIA stage, it is expected that the complaints related to the Project will be rare as the Project impacts are not materialised. The Team Manager will **inform** the ESIA Stakeholder Engagement Team Lead who in turn will inform MoPIT-DoR Grievance Manager of all grievances. The Grievance Manager is a member of MoPIT-DoR Project executive team.

At pre-construction onwards, the Community Relations (CR) Manager will take over the role of the ESIA Stakeholder Engagement Team Lead and Grievance Manager and will be notified of all grievances and the Project Director is notified of all Level 3 grievances.

- CLOs will initiate resolution for Level 1 complaints where potential impacts and consequences are relatively low (e.g. construction truck damages local Community fence).
- CR Manager will initiate resolution of all complaints at levels 2 and 3 and level 1 complaints that can have significant implications to the business image or performance.

Box 0.2 Significance Criteria

Level 1 Complaint: A complaint where potential impacts and/ or consequences are low that can be resolved quickly (e.g. Project construction vehicle damaging a local family's fences or cattle).

Level 2 Complaint: A complaint which is widespread and repeated (e.g. dust from construction vehicles).

Level 3 Complaint: A complaint that could potentially result in a serious breach of MoPIT policies or National law or affect MoPIT and Project image and performance (e.g. inadequate waste management).

4. A resolution is developed in consultation with the complainant as soon as possible but no later than 14 days after screening and assessing the grievance. The responsible CLO/ CR Manager shall seek input from relevant rural municipality officials as well as Project personnel and Construction Contractors, as necessary.

The response is signed-off by the Director for level 3 grievances and the CR Manager for Level 2 and Level 1. CLOs will ask complainant for written acceptance of the resolution (or verbal if the complainant has difficult reading/ writing).

5. If the complainant does not accept the proposed solution the responsible CLO/ CR Manager shall refer to the Local/Sub-Project Grievance Committee to facilitate an agreeable resolution (Level 2 of the Grievance Resolution System). If the complainant does not accept solution proposed by the Local/Sub-project Grievance Committee they can appeal to the Project

Grievance Committee (Level 3 of the Grievance Resolution System). And finally, as the last resort, they can appeal at District Court (Level 4).

6. Once the resolution is accepted by the complainant, the solution is implemented.

For relatively simple, short-term actions that can resolve the problem, the objective will be for the solution to be implemented within 20 days after assessing the grievance.

For solutions that take longer to address, or for which the complainants are not satisfied or additional corrective actions are required, the CLO will inform the complainants of the progress on a regular basis until the solution is completely implemented.

7. Inform the complainant once the resolution is implemented. The responsible CLO/CR Manager will inform the complainant that the corrective actions have been implemented and confirm that the complainant is satisfied with the resolution.
8. Monitor, document the grievance resolution process and close the grievance with sign-off from the CR Manager with the Project Director approval to close out level 3 grievances. A grievance close-out form will be used (Appendix D). If further attention is required the CLO/CR Managers should return to Step 2 to re-assess the grievance.

All correspondence related to the grievance must be documented in the Stakeholder Engagement Management System for monitoring, reporting and learning. This will help drive continual improvement.

Chapter VII- Monitoring and Reporting

To ensure that the desired outcomes are being achieved, the SEP will be monitored throughout the Project lifecycle.

7.1 Monitoring of Stakeholder Engagement Activities

There are two methods through which the stakeholder engagement process will be monitored:

1. Review of engagement activities in the field:
 - During engagement with stakeholders, the E & S team will assess meetings using a feedback evaluation form or by asking questions of participants.
 - At the end of each stakeholder engagement phase, the team will debrief with the Project team to assess whether the required outcomes of the stakeholder engagement process are being achieved, and to provide the opportunity to amend the process where necessary.
2. Systematic, formal evaluation, which will occur on an annual basis or on a special circumstances when the Project has potential to face a high social risk.

7.2 Evaluation of Stakeholder Engagement Activities

Performance will be reviewed on an ongoing basis to determine the effectiveness of the SEP, including the methods being used and the accuracy of the mapping results.

A formal evaluation will be done annually, during which the performance indicators set out in **Table 0.1** will be used to determine the extent to which the objectives of the SEP have been met. For the indicators related to participation and grievances filing, all data will be disaggregated according to gender and ethnicity. Information from the Stakeholder Engagement Management System and formal/informal feedback from stakeholders will be used to assess the performance indicators. The evaluation results will be used to update the SEP and will be reported internally as well as to key external stakeholders, as requested.

The annual review will be done internally, and by a third party if required. The annual review will start after the agreement on the ESCP. The Project team will undertake the first quick evaluation in six months after the start date to check if the different systems employed for the SEP are working.

The annual review will also provide a timely opportunity to review the stakeholder mapping results to ensure that the mapping results are still accurate.

The monitoring and evaluation activities and criteria will be reassessed when the IPPF emerges and a possible ongoing governance structure put in place for the IPPF. Such a structure would form a natural body for periodic and participatory evaluation.

Table 0.1: Performance Indicators

Objectives	Performance Indicators
Stakeholders are provided information about the Project in a timely manner	• Number of materials disseminated • Comments received on disclosure materials, positive or negative • Locations of information disclosure and who received the information
Stakeholders have an opportunity to share their views and concerns about the Project's development	• Number and type of engagement opportunities provided • Topics of engagement activities • Attendance rates • Numbers of grievances related to lack of opportunity to participate in Project development
Informed participation by Vulnerable Groups	• Number and type of engagement opportunities provided to Vulnerable Groups • Attendance rates • Representation of all sub-groups • Number and type of issues raised are satisfactorily resolved.
Positive working relationships are built and maintained over time	• Number and type of grievances lodged by stakeholders • Number of satisfactorily closed out grievances • Percentage of stakeholders taking part in engagement efforts • Community attitudes and perceptions
Engagement continues to be transparent, inclusive and appropriate throughout the Project lifecycle	• Adherence to the schedule of stakeholder engagement activities • Representation of Vulnerable Groups in engagement activities • Number and type of grievances lodged by community members • Number of satisfactorily closed out grievances

7.3 Reporting

Closing the loop in community engagement is vital in building trust and respect with stakeholders. Letting affected people and interested parties know what has happened with the feedback provided during consultation, the importance of their contribution to the project, and what the next step will be, is not only a good practice, but also a common courtesy.

Reporting back also has other benefits such as: double checking information, testing the stakeholder's reaction to the proposed mitigation measures, and obtaining further feedback to refine the measures before implementation, getting buy-in from key stakeholders for implementation plans.

Reporting back to the stakeholders will be done through:

- Frequently updated FAQs to address new concerns that have come to light through stakeholder feedback during planning, pre-construction, construction and operations. The updated FAQs is one of the key disclosure materials for the Project throughout the Project lifecycle.
- Issues and Response Reports (“You Ask We Answer”) to be disclosed with the Draft ESA. The report will provide summary stakeholder engagement activities undertaken to date, including a description of the stakeholders consulted, a summary of the feedback received and a brief explanation of how the feedback was taken into account or the reasons why it was not.
- Updated Issues and Response Report to be disclosed with the Final ESA incorporating any feedback received during the Draft ESA consultation phase and how the feedback has been considered in the Project designs and decisions.
- Construction Issues and Response Report to be disclosed which incorporate any new issues that have come to light and concerns and queries raised by the Project stakeholders, especially the Project-Affected Parties during construction, and how the feedback has been considered in the Construction designs and decisions.

Chapter VII-Roles, Responsibilities and Resources

8.1 Planning Phase

The organisation chart that depicts the roles and responsibilities for implementation of the SEP at the Planning Phase is provided in **Figure 8.1**.

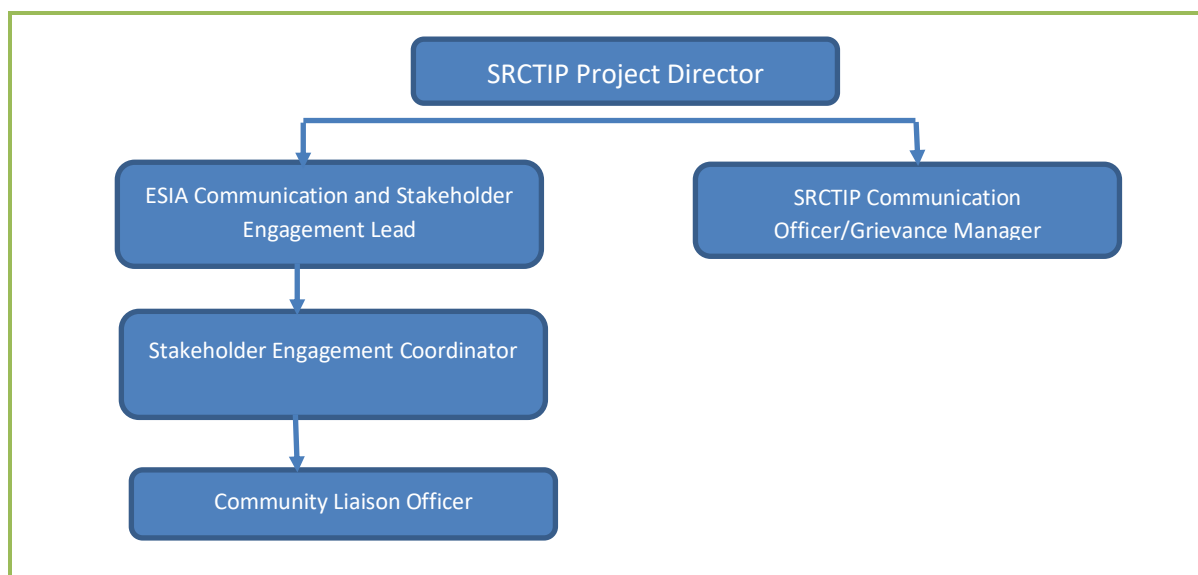


Figure 0.1: Organisational Structure during the Planning Phase

MoPIT-DoR has the overall responsibility for oversight of development and execution of the SEP. The roles and responsibilities of the planning phase stakeholder engagement team are summarised in **Table 8.1**.

Table 0.1 Roles and Responsibilities of the Planning Phase Stakeholder Engagement Team

Planning Phase Team Member	Responsibilities
SRCTIP Project Director (DOR)	- Has the overall responsibility for oversight of development and execution of the SEP - Responsible for approving the SEP, including the annual budget required for implementation.
MoPIT-DoR Communication Officer/ Grievance Manager	- Manage interactions with key national-level stakeholders in Kathmandu such as media and critical NGOs, and policy-makers, etc. - Provide resolutions of all grievances related to the Project according to the Grievance Mechanism

ESA Communication and Stakeholder Engagement Lead	• Lead in the implementation and monitoring of the SEP • Interface between MoPIT-DoR and the Project stakeholders • Train staff to undertake the stakeholder engagement activities outlined in the SEP • Coordinate the resolution of grievances with Communication Officer/Grievance Manager • Monitoring and reporting on the SEP, including updates, as required, to the stakeholder mapping results • Complete ESA disclosure • Adjust the SEP to accommodate any changes.
Stakeholder Engagement Coordinator	• Assisting the ESA Communication and Stakeholder Engagement Lead in implementing the SEP • Undertaking two rounds of visits to the affected communities a month the Directly and Indirectly Affected Population • Maintaining the Project Information Centre • Being the point of contact for any grievances for the PAPs • Coordinate the CLOs activities • Help ESA experts to communicate the findings from the impact assessment process and their recommendations for reducing or mitigating impact; • Help organise community level meetings for MoPIT-DoR-WB, and Public Hearing etc; and • Register stakeholder engagement activities and results, as well as grievances in the Stakeholder Engagement Management System.
Community Liaison Officer (CLO)	• Coordinate with ward chairperson • Implement Project Information Mobile Libraries in their communities • Hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali

	• Receive stakeholder feedback and grievances, and each will maintain a log of meetings held by them • Communicate urgent issues and grievances to the team coordinator in a timely manner.
--	--

8.2 Future Phases

At the beginning of pre-construction, the Project will appoint a Community Relations (CR) Manager who will take over the responsibility and oversight of the implementation of the SEP from MoPIT-DOR Communication Officers and the Communication and Stakeholder Engagement Lead consultant (**Figure 8.2**). This organisational structure will be reviewed periodically to ensure effectiveness of SEP implementation.

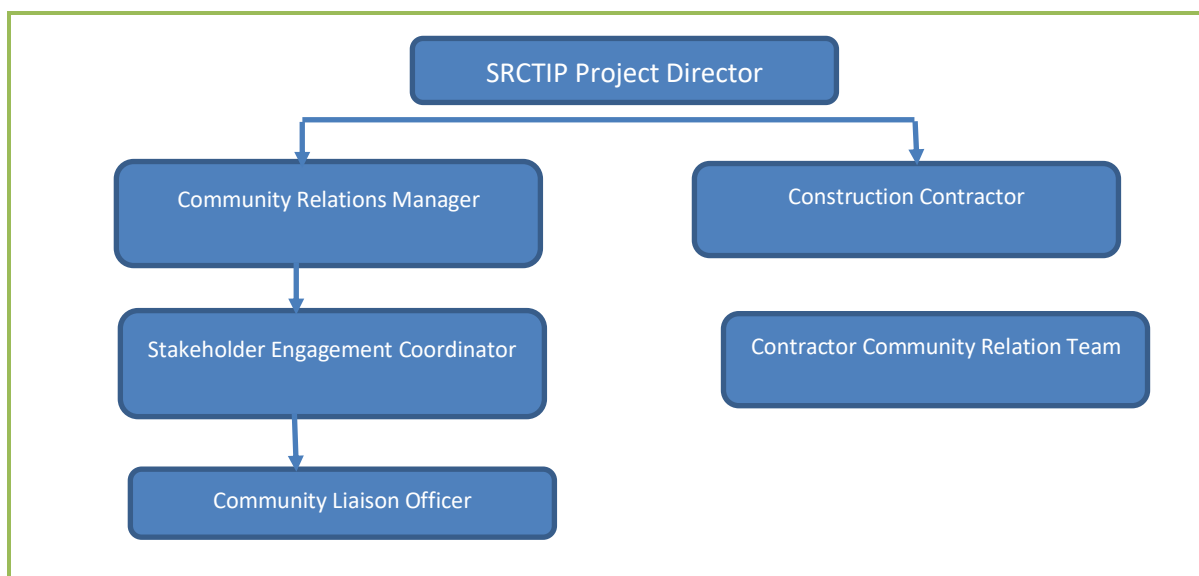


Figure 0.2 Organisational Structure for Future Phases

The roles and responsibilities of the stakeholder consultation team during the future phases of the project are summarised in **Table 8.2**.

Future Phases Stakeholder Engagement Team Member	Responsibilities
SRCTIP Project Director (DOR)	Responsible for approving the SEP, including the annual budget required for implementation.
Community Relations Manager	• Responsible for the overall implementation of the SEP and to ensure that grievances are resolved in a timely manner

	• Coordinate the engagement activities between the SEP and various frameworks/plans such as IPPF and RPF, including adjusting the SEP to accommodate any changes. • Accommodate the grievance mechanism likely to be included in the Indigenous People's Planning Framework.
Stakeholder Engagement Coordinator	• Support the CR Manager in the implementation of the SEP • Coordinating the CLOs activities on the ground, including regular training and briefings • Hold weekly meetings with CLOs (one week at the Dam site and next week at the Power-house/access road side) to examine the stakeholder engagement/feedback and grievance register records undertaken by the CLOs • Provide a weekly summary of feedback and grievances to the Communications and Stakeholder Engagement Lead and Social Team Lead
CLOs	• Implement Project Information Mobile Libraries in the PAP area • Receive training once a month on general Project information, engagement skills and techniques, various specialist topics centred on Project key risks and how the Project team plans to manage them • Hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali • Receive stakeholder feedback and grievances, and each will maintain a log of meetings held by them • Communicate urgent issues and grievances to the team coordinator in a timely manner

8.3 The Roles and Responsibility of Key different Stakeholders

The Roles and Responsibility of Key different Stakeholders are shown in the table below.

Table 2: The Roles and Responsibility of Key different Stakeholders

Key Agencies	Responsibilities
DoR-DCID-Project-GESU	• Planning Budgeting and Implementation of the SEP throughout project lifecycle • Guiding stakeholder engagement activities for the success of project; • Management of grievances and its resolution as mention in ESIA

	• Coordination and monitored to the consultants and contractors on SEP activities; • Documentation of the environmental and social performance SEP implementation • Monitoring and Evaluation of the feedback of SEP
Construction Supervision Consultation CSC	• Facilitate the SEP activities for the implementation • Supervision and monitoring of Contractor's activities during construction phase.; • Coordination and Management of engagement meetings of stakeholders during the construction phase • Facilitate to lodge overall project level grievances.
Contractors	• Implementation of given activities as per stakeholder engagement plan • inform and share the project any issues related to their engagement with stakeholders; • Updates the activities of SEP in every monthly Meeting

8.4 Estimated Budget

A tentative budget for implementing the stakeholder engagement plan over the early phase of project period which covers the Planning and Pre-Construction Phase is provided in Table 8.1. MoPIT-DoR will review this plan every six months to determine if any changes to stakeholder classification or engagement are required. If so, the plan will be updated, and a new revision distributed. The budget will be revised accordingly.

The tentative budget for stakeholder engagement related to RAP/RPF are not included in this budget as they are covered under RPF budget estimates.

A tentative budget for implementing the stakeholder engagement plan is NPR900,000 for activities related to the NNM Road, and NPR14,10,000 for activities related to the KDP Road. The SEP cost mention below summarizes all the stakeholder engagement activities for different stages. The projects will review these plan every six months and updates.

Table 3 Estimated budget for SEP of NNM

Stakeholder Activities	Unit	Amount (NPR)
Orientation, Training and Consultation	26	5,20,000
Monitoring	12	1,20,000
Documentation and reporting	6	60,000
Communication/digital board/Medias	LM	2,00,000
Total		9, 00,000

Table 4: Estimated budget for SEP of KDP Road

Stakeholder Activities	Unit	Amount (NPR)
Orientation, Training and Consultation	35	7,00, 000
Monitoring	15	3, 00, 000
Documentation and reporting	8	1,60, 000

Communication/digital board/Medias	LM	2,50,000
Total		14,10,000

APPENDIX A: POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS AND RISKS

Environmental and Social Impact Assessment (ESIA) and Environment and Social Assessment (ESA) provides preliminary screening of potential risks of the NNM Road, KDP Road and Periodic Maintenance relative to the World Bank Environmental and Social Framework. Refer to the Final Screening Report for details.

The potential risks and impacts mentioned in the Final Screening Report are covered by the eight World Bank Environmental and Social Standards (ESS), including ESS10 – Stakeholder Engagement and Information Disclosure (further information in **Section 2.2**). These standards include:

- ESS1: Assessment and management of environmental and social risks and impacts
- ESS2: Labour and working conditions
- ESS3: Resource efficiency and pollution prevention and management
- ESS4: Community health and safety
- ESS5: Land acquisition, restrictions on land use and involuntary resettlement
- ESS6: Biodiversity conservation and sustainable management of living natural resources
- ESS7: Indigenous Peoples/Sub-Saharan African historically underserved traditional local communities
- ESS8: Cultural heritage

MoPIT-DoR will work to meet these standards, therefore covering issues that have been raised by community members in consultation meetings with them.

APPENDIX B: PLANNED STAKEHOLDER ENGAGEMENT ACTIVITIES

Consultation and Information Disclosure during Planning Phase

Given the high profile and history of trade & transport sector development in Nepal, stakeholder engagement needs to start early, during the planning process to obtain input and discuss potential concerns from Project stakeholders, to support a comprehensive impact assessment and identification of potential mitigation measures. Early engagement will lead to a greater likelihood of Project acceptance within the community. Engagement will need to continue throughout the Project lifecycle.

Consultations during the project design stage is likely to be the most intense period of planned public participation for the Project to establish a strong foundation for a long-lasting and trusting relationship between MoPIT-DoR and stakeholders, in particularly the PAPs and surrounding communities, and to identify key issues and have an effect on the project decisions to which they relate.

The consultations aim to achieve the following goals:

- Disclose relevant Project information to help affected communities and other stakeholders understand the risks, impacts, and opportunities for the Project in a timely, understandable, accessible and appropriate manner and format;
- Provide the affected communities and stakeholders with opportunities to express their views on Project risks, impacts, and mitigation measures;
- To solicit stakeholders' ideas, opinions, and recommendations on various alternatives; and
- To assess the level of stakeholder interest and support for the Project and to enable stakeholders' views to be taken into account in project design and environmental and social mitigation measures as well as development benefits and opportunities.

Scoping Consultation

Scoping consultation for the ESIA and ESA has been completed.

The aim of the scoping consultation is to scope stakeholder issues. It is an important step to help identify more accurately the full range of potential impacts of the Project. The results of the completed scoping consultation will be incorporated into the Draft Scoping Report, which will help form the Terms of Reference (ToR) for the ESA. **Appendix C** provides information on the scoping consultation that has been undertaken.

During consultation with PAPs, the Project team PAPs, both men and women will participate in the scoping consultation. To ensure the objective of the SEP is met and basic principles of good stakeholder engagement are followed, the gender imbalance will be addressed and managed in the ESA consultation and throughout all Project phases. See the following sections for measures to increase women participation in the Project consultation and disclosure.

Incorporating Stakeholder Feedback and Reporting Back

Stakeholder questions, issues, suggestions and feedback during the Scoping consultation will help the Project team scope the key risks and issues for the Project (See **Appendix A**) which in turn will inform the ToR for the ESA.

The key stakeholder issues also will inform the content of the ESA consultation materials such as the Project Information Document (PID), the Frequently Asked Questions (FAQs) in **Appendix D**. These materials will be disclosed widely following the disclosure channels identified in **Section 4.1.1** as a way for Project to report back to stakeholders how the Project has incorporated their feedback into Project design and decision-making.

Consultation on Terms of Reference for ESIA

The ESIA ToR for the KDP road has been submitted to MoPIT-DoR and the World Bank for review.

A series of expert panel workshops will be held to present the findings of the scoping process to the key stakeholders who directly or indirectly influence the Project development and seek their input.

At the district level, a meeting will be held with key stakeholders such as: the District Coordination Committee Office, the District Administration Office, the District Road and Transport Office, Other relevant District Offices, and local NGOs working in the area.

Similarly, at the provincial level, meetings will be conducted with key stakeholders such as:

- Kathmandu: Consultation meeting with the Members of Parliament from the Sub-Project District, MoPIT-DoR, Members of Parliament's Trade & Transport Committee and Kathmandu-based project "concerned group" members, including Trade Unions/Transport Committees.
- Province Headquarter: Consultation meeting with the Chief Minister, Ministers of provincial governments and senior officials (e.g. the Provincial Planning Commission, Secretaries, etc.), provincial Trade Unions/Transport Committees, and Provincial community service organisations (CSOs) representing women, Indigenous Peoples, Dalits and other vulnerable groups

The comments and suggestions received from the participants at the district, provincial and central levels will be collected and incorporated in the final Scoping and ToR documents.

Consultation during the ESIA of NNM and ESA of KDP

Following the scoping consultation, a wider engagement program will be undertaken during the ESA baseline data collection process and impact assessment. Key consultation activities during this stage will be:

- Disclosing the Project information to affected communities and other stakeholders (as identified during the stakeholder mapping process); and
- Consulting on the scope of impacts, alternative options for Project components, and potential measures to help minimise the impacts and enhance the Project benefits.

Information Disclosure

The following information about the projects will be disclosed to the stakeholders:

- PID: This document consists of a non-technical summary of the Project, development timeline and milestones, the ESIA process, ESA consultation program and opportunities for the stakeholders to participate in development of the Project, timeline and venues for engagement activities, contact details for questions and queries.
- FAQs which comprises of Project key risks and issues, and Project's plan to address them, as well as answers to key questions raised by the stakeholders during the Scoping consultation. The FAQs will be revised and updated regularly to reflect Project development and key issues that have come to light.
- Grievance mechanism: Details on how to access the grievance mechanism will be provided. This will include information on how the grievance management process will work, including the timeframes for responses.

Please refer to **Appendix D** for the Draft PID and FAQs for the Project.

The Project related information documents will be translated into Nepalese and will be brought to the PAPs by the Stakeholder Engagement Coordinator who is stationed in the local area.

The Stakeholder Engagement Coordinator will visit the communities in the PAPs twice a month and move around communities and social venues such as local markets and tea houses in the Project Areas of Influences whenever possible. CLOs stationed at sub-project site offices will undertake regular consultations with community people in these two locations.

In addition, the Project will make disclosure materials available to stakeholders via the communication channels outlined in **Table 4.2**.

Disclosure events (time and place) will be communicated to all stakeholders via the following means and methods outlined in **Section 4.2**.

Consultation Activities

Consultation activities during this period will be undertaken following the methods identified in **Section 4.3**.

In addition to introducing Project information and alternatives, and obtaining stakeholder feedback, consultation at this stage will focus on key issues identified during the Scoping phase such as environmental impacts, compensation, shares and employment opportunities, community risks, and potential mitigation measures as well as benefit enhancers.

Stakeholder feedback will be documented, collated, and analysed in the Stakeholder Engagement Management System as discussed.

Incorporating Stakeholder Feedback and Report Back

Refer to **Section 4.4** for details.

Consultation on the Draft ESIA

The key objective of Draft ESA consultation is to:

- Disclose the Draft ESA and ESCP; and
- Consult on Project potential risks and impacts and proposed mitigation measures and benefit enhancers, and respond to stakeholder comments and inputs. Feedback will be incorporated them into final project designs and ESCP.

Information Disclosure

The following information will be disclosed to the stakeholders in Nepalese:

- A non-technical summary of the ESA and ESCP;
- A list of potential risks and impacts, proposed mitigation measures and benefit enhancers;
- Opportunities for comments and feedback, next steps, and contact details for questions and queries;
- Updated the SRCTIP-Regional Connectivity Component FAQs based on feedback received during previous consultation activities (Impact Assessment Consultation);
- An Issues and Response Report which provides a summary stakeholder engagement activities undertaken to date, a summary of the feedback received and a brief explanation of how the feedback was taken into account or the reasons why it was not; and
- Full version of the Draft ESIA, ESCP, and SEP.

Information will be disclosed via the channels established at the ESA Consultation stage (**Table 4.2**).

Consultation Activities

Consultation activities during this period will be undertaken following the methods identified in **Table 4.3**.

Incorporating Stakeholders and Report Back

Stakeholder feedback will be documented, collated, and analysed in the Stakeholder Engagement Management System as discussed in **Section 4.4**. Stakeholder comments and suggestions will be addressed and incorporated into the Final ESA and management plans.

The Project team will report back to the stakeholders about how their feedback has influenced the Project outcomes via the Issues and Response Report described above.

Pre-construction Engagement

Pre-construction engagement is designed to seamlessly continue the engagement process as the Project transitions from the ESIA stage to pre-construction. The aim is to:

- Provide stakeholders with updated information about the Project and progress towards development;
- Disclose the final ESIA, ESA and ESCP as well as Contractors ESMPs and related plans such as Community Health and Safety Plan, Traffic Management Plan, Worker's Camp Management Plan, etc.;
- Provide information on construction management plans such as traffic management plan, health and safety plan
- Conduct ongoing consultation related to compensation and resettlement;
- Road test the project mitigation measures and benefit enhancers; and
- Provide an update on engagement activities that will occur during construction, including the frequency in which activities will be undertaken, and the key points of contact within the Project team.

Disclosure and Consultation

Consultation materials to be disseminated during this phase include, but are not limited to:

- Project brochure – consisting of Project updates, construction activities and timelines, engagement activities during construction, details of the Project Information Centre, Project Information Mobile Libraries, point of contact for questions or queries;
- A non-technical summary of the Final ESIA and ESCP;
- Updated FAQs based on feedback received during the ESIA consultation;
- Updated Issues and Response Report based on feedback received during the Draft ESIA consultation; and
- Full version of the Final ESIA, ESCP, SEP, sub-project specific ESMPs and related plans such as Community Health and Safety Plan, Traffic Management Plan, Worker's Camp Management Plan, etc.

Information will be disclosed via the channels used during the ESA consultation period (**Table 4.2**).

Pre-construction engagement will be held at local, district, provincial and centre levels and will include all stakeholders impacted or interested in the construction phase. The complete list of

stakeholders is presented in **Table 3.1** and **Table 3.2**. Consultation with stakeholders will be via channels and methods identified during the ESA consultation phase (**Table 4.3**). Many of these channels and methods will be tested during the earlier stages of the Project to see if they meet the needs of stakeholders and modifications will be made to the SEP accordingly to ensure the effectiveness of the plan, particularly to ensure that vulnerable groups are able to engage in the process.

Incorporating Stakeholder Feedback and Report Back

Stakeholder feedback will be documented, collated, and analysed in the Stakeholder Engagement Management System. Stakeholder comments and suggestions will be filtered to the Project team to incorporate into the various construction plans.

The Project team will report back to the stakeholders about how their feedback has influenced the Project outcomes via an Updated Issues and Response Report.

Project Information Offices

The site offices of the projects will also serve as Project Information Offices (PIO) that will operate in full capacity during the pre-construction phase. See **Section 4.2** for details.

A Project website and Facebook page will be established at this stage as described in **Section 4.2**.

Engagement During Construction

Engagement during construction will focus on construction of relocation sites for resettlement and resettlement activities, together with subsequent construction of the Project facilities and land clearing activities. The main objectives of the consultation process during the construction phase are to:

- Provide regular updates to stakeholders on construction activities, in particular activities that may cause disruptions (e.g. road disruption, noisy activities, etc.), changes to construction schedule, and changes in designs, as well as various plans to manage construction-related impacts;
- Undertake stakeholder engagement to ensure compliance with and management of the construction various plans;
- Identify new issues, concerns or needs of the Project affected communities related to construction and address them promptly;
- Provide resolution of community complaints in an expedited manner whenever possible;
- Assess the effectiveness of environmental and social mitigation measures by participatory monitoring, and social monitoring in communities and direct feedback, particularly related to compensation and resettlement; and
- Identify opportunities for the Project to make a sustainable contribution to local communities and the region.

Once the Project construction begins, while the Construction Contractors will relevant stakeholders on construction related activities directly, MoPIT-DoR will remain the first point of contact with the affected communities on many issues during the construction period. MoPIT-DoR will work closely

with the Construction Contractors to ensure that communications are consistent and that information is provided on hiring opportunities and practices, local workforce training, worker camps and codes of conducts, and upcoming construction activities.

MoPIT-DoR will remain in charge of community relations although it will require the Construction Contractors to have appropriate personnel to undertake parallel consultation and disclosure activities, particularly in construction schedule updates, local job opportunities and emerging issues related to their scope of work.

Error! Reference source not found.2 describes the main activities for consultation anticipated during construction. More details are provided in **Table 4.1**.

Table A.2:Engagement during Construction

Engagement Activities	Details
Regular updates about the Project	Disclosure of Project information at Project Information Centre and district government offices Local radio notices and updates (monthly or quarterly) Provincial newspaper notices and updates (quarterly and as required) Regular revision of information on the Project website and Facebook page Periodic press conferences and interactions with media, including site visits
Monitor community concerns, attitudes and progress	Identify and manage issues via a range of community relation activities including Community meetings, focus group discussions and household visits (Vulnerable Groups), written correspondence
Monitor the effectiveness of the ESCP	Assess the effectiveness of the ESCP implementation through participatory monitoring and community perception surveys
Consultation on compensation and resettlement	Ongoing consultation and negotiation with affected households, organisations and institutions. Details to be provided in the Resettlement Action Plan and Livelihood Restoration Program.
Construction Contractor activities	Construction Contractors to consult and disclose on a range of activities during construction including: • Construction activities and schedule • Additional mitigation measures/ updated ESCP • Community health and safety, workers camp code of conducts, environmental management, road access and traffic management • Hiring opportunities and practices and local worker training program
Project telephone line	For phone enquiries and complaints for regional and national stakeholders

Community enquiry line	Maintain FAQs to respond to community queries Provide mailboxes (complaint boxes) at Project Information Corners and public places
Complaints handling and management	A formal grievance mechanism has been introduced (Section 5) and will continue through to the construction phase Provide mailboxes (complaint boxes) at Project Information Centres and public places in the PAP area
National and international communications	Regular updates on the Project website and Facebook page Report annually to district, provincial and central governments Site tours as required Engage with national and international media as required

The activities outlined above are indicative of engagement activities and methods that will be undertaken for the Project construction phase. Many of these activities will be tested during the earlier stages of the Project to see if they meet the needs of stakeholders and modifications will be made accordingly based on these review processes, particularly to ensure that vulnerable groups/IPs are able to engage in the process.

Engagement during Operation

Consultation at this phase will focus on day-to-day operation of the Project, including progressive rehabilitation through to Project disclosure. The main objectives of the consultation process during Operation are to:

- Provide updates on the progress of the Project;
- Maintain constructive relationships with the communities adjacent to the Project facilities;
- Maintain awareness of environmental and safety practices in the local communities, especially emergency preparedness and response;
- Manage concerns and complaints from stakeholders and in particular PAPs and Adjacent and Surrounding Communities; and
- Monitor community attitudes towards the Project and MoPIT-DoR

Error! Reference source not found.5 describes the main activities for consultation anticipated during operation.

Table 0.5 Engagement during Operation

Engagement Activities	Details
Updates about the Project	Brochures, fact sheets made available for Project-Affected Parties bi-annually

	Newsletters to district and provincial government offices bi-annually or annually Local media notices and updates once at the beginning of operation and as required Regular revision of information on the Project website Briefings of media as needed
Community relations activities	Consultation and disclosure activities will form part of day-to-day functions Community relations staff will be placed throughout the life of the Project to maintain relationships with local communities and other stakeholders
Environmental and safety awareness program	Provide brochures, pamphlets, and regular environmental and safety talks to relevant stakeholders
Emergency preparedness and response	Provide training, brochures and pamphlets for local communities and workforce on emergency preparedness and response Undertake emergency drills as outlined in Emergency Preparedness and Response Plan
Manage community issues and monitor community attitudes	Through a range of community relation activities including Community meetings, group discussions, household visits, community perception surveys
Project telephone line	For phone enquiries and complaints for regional and national stakeholders
Complaints handling and management	A formal grievance mechanism will be introduced (Section 5) and will continue through to the operational phase

The activities outlined above are indicative of engagement activities and methods that will be undertaken for the Project operation phase. The SEP will be updated prior to operation to provide more details on how these engagement activities will be carried out, and how the stakeholder comments and feedback will be incorporated and reported back.

APPENDIX C: SCOPING CONSULTATION

Scoping consultations for the Environmental and Social Impact Assessment will be conducted. The results of the completed scoping consultation will be incorporated into the Draft Scoping Report, which will form the Terms of Reference for the ESIA.

Consultation with Project-Affected Parties

Consultation meetings with the Project Affected Persons will be undertaken in different locations. The Project team will introduce the Project to the local community people, answer questions, and obtain feedback. Community people participating during the meetings will include women, Indigenous Peoples, and Dalit participants. Key issues, suggestions and feedback that were raised across the local communities will be reported after the consultation.

This section will be filled up after the stakeholder consultation workshop planned on February 28, 2020.

Table B.2 provides the template for further details on the key issues raised, as well as the locations of the meetings and the attendees.

Table B.2 Template for Scoping Consultation with Local Communities and Key Suggestions and Issues Discussed

Date	Meeting Location and Communities	Attendees		Key Suggestions and Issues Discussed
		Male	Female	

The Project team will also undertake scoping consultation with other stakeholders in the Affected Parties category. This included meetings with:

Table B.3 provides the template for further details on the key issues raised, as well as the locations of the meetings and the attendees.

Table B.3 Template for Consultation with other Stakeholders in the Affected Parties Category

Date	Meeting Location and Stakeholders	Attendance	Key Suggestions and Issues Raised by Stakeholders

Consultation with Other Interested Parties

The Project team will also undertake scoping consultation meetings with other stakeholders:

- Meeting with DCC and senior district officials
- Interview on radio by MoPIT-DoR representative

Key issues, suggestions and feedback raised:

This section will be filled-up after the consultation.

Table C.1 provides template for further details on the key issues raised, as well as the locations of the meetings and the attendees.

Table C.1 Template for Scoping Consultation with Other Interested Parties and Key Suggestions and Issues Discussed

Date	Meeting Location and Stakeholders	Attendees	Key Suggestions and Issues Discussed

APPENDIX D: PROJECT INFORMATION DISCLOSURE DOCUMENTS

Documents to be listed.

APPENDIX E: STAKEHOLDER ENGAGEMENT MANAGEMENTSYSTEM TEMPLATE EXAMPLES

A stakeholder database template example is provided in **Table E.1.**

Table E.1. Stakeholder Database Template Example

Stakeholder	Contact person	Contact details	Interest/ Issues	Details of engagement		
				Engagemen t	Issues	Actions
Stakeholder group	Individual	Ward, Municipality, District, Province		Date Location Attendees	Key issues raised Response provided	Agreed actions

S . N .	Stakehol der group	Dat e	Locati on / venue	Name of Key representati ves	Purpose of engagem ent	Method of engagem ent	Key outcom es & actions	Statu s of actio ns	Responde d in managem ent plan	Referen ce to records

APPENDIX F: GRIEVANCE FORM AND CLOSE-OUT TEMPLATE

The grievance log and close-out template is provided in **Table R.1.**

Table F.1 Grievance Log and Close-Out Template

Grievance FormPART 1 Contact and Details	
Complaint number :	
Date:	
Recorded by:	
Complainant details (Tick the box for anonymity ☐)	
Name:	
Category [community/ contract worker/ supplier/ contractor]:	
Telephone number:	
Address:	
Preferred method of contact:	
Grievance Log PART 2 Description of grievance(s)	
Describe the grievance below.	
Mode of communication (written/ verbal/ meetings/ mediator):	
Date of grievance:	
Date of acknowledgement:	
Signatures	
Recorder:	
Claimant:	
Date:	
Grievance Closed Out PART 3 Resolution	
Describe the steps taken to resolve the grievance and the outcome.	
Department:	
Mode of communication for reply (meeting/ written/ verbal/ display):	
Date closed:	
Signatures	

Complainant:

Project representative:

Date:



Government of Nepal

**Ministry of Industry, Commerce and Supplies (MoICS) and
Ministry of Agriculture and Livestock Development (MoALD)**

Project Coordination Unit (PCU)

**Strategic Road Connectivity and Trade Improvement Project (SRCTIP)-Trade
Component**

Stakeholder Engagement Plan (SEP)

February 23, 2020

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Acronyms

Acronym	Description
BMP	Biodiversity Management Plan
CIA	Cumulative Impact Assessment
CLO	Community Liaison Officer
CSO	Community Service Organisation
DCC	District Coordination Committee
DAoI	Direct Area of Influence
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework (World Bank)
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
FAQs	Frequently Asked Questions
FNCCI	Federation of Nepalese Chambers of Commerce and Industries
FPIC	Free, Prior and Informed Consent
NFIN	Nepal Federation of Indigenous Nationality
GBV	Gender Based Violence
GoN	Government of Nepal
GRM	Grievance Redress Mechanism
IPs	Indigenous Peoples
IPPF	Indigenous Peoples Planning Framework
Km	Kilometres
MoALD	Ministry of Agriculture & Livestock Development
MoICS	Ministry of Industry, Commerce and Supply
NCC	Nepal Chamber of Commerce
NGO	Non-Governmental Organization
PAPs	Project-Affected Parties
PAM	Project Affected Municipalities
PIC	Project Information Centre

PID	Project Information Document
RPF	Resettlement Policy Framework
SEA	Sexual Exploitation and Abuse
SEP	Stakeholder Engagement Plan
SRCTIP	Strategic Road Connectivity and Trade Improvement Project
ToR	Terms of Reference
WB	World Bank

2 Introduction

2.1 Context of the Document

This document is the Stakeholder Engagement Plan (SEP) for Strategic Road Connectivity and Trade Improvement Project (SRCTIP). The SEP identifies the Project stakeholders and describes how these stakeholders will be consulted throughout the project lifecycle. Information on the risks, benefits and other aspects of the project activities which have been described in this SEP are preliminary, based on currently available data, surveys and studies. The SEP is a **“living document”** and will be updated and revised as the project progresses. This will include a revision prior to the construction and operation phases so that the SEP continues to be fit for purpose.

The World Bank is supporting the Government of Nepal to implement ‘Strategic Road Connectivity and Trade Improvement Project (SRCTIP)’ to enhance Nepal’s connectivity with its regional neighbours and to facilitate trade by providing technical assistance to the following Ministries: Ministry of Industry, Commerce and Supply (MoICS) and Ministry of Agriculture, and Livestock Development (MoALD) and their entities. Key results expected by implementing “*Strategic Road Connectivity and Trade Improvement Project (SRCTIP)*” include: i) Improved level and quality of border infrastructure in selected locations in keeping with expected growth in trade volumes via those points, ii) Enhanced labs at selected sites equipped with instruments and/or accreditation to enhance market access for agricultural commodities, iii) Improved/Expanded access roads sections for better linkage to transport and the trade, iv) Improved/Expanded parking yards around ICDs to enhance the connectivity and trade, and v) Enhanced training and capacity building. The Government of Nepal (GoN) has requested the World Bank to provide IDA financing, to support Nepal in addressing its commitments to enhancing the regional trade.

In addition to improving cross-border infrastructures, laboratories, access roads and parking yards around ICDS, reforms are planned to address the fragmented supply chains arising from operational, organizational, procedural, regulatory issues and business practices, and to modernize the transit regime within Nepal and between Nepal and India through SRCTIP trade component.

2.2 Scope, Purpose and Objectives

Stakeholder engagement refers to a process of sharing information and knowledge, seeking to understand and respond to the concerns of stakeholders, and building constructive and

responsive relationships that are important for successful management of a project's environmental and social risks, as well as the sustainability of a Project's outcomes.

The Project team is committed to undertaking a process that delivers an inclusive dialogue with the Project stakeholders.

OBJECTIVES OF THE SEP

- To establish a systematic approach to stakeholder engagement that will help MoICS/MoALD build and maintain a constructive relationship with stakeholders, especially Project affected parties.
 - To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and to improve the environmental and social sustainability of the Project.
 - To provide means for effective and inclusive engagement with Project-affected parties and other interested parties throughout the Project life cycle on issues that could potentially affect them.
 - To 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.
 - To provide Project-affected parties with accessible and inclusive means to raise issues and grievances, and allow MoICS/MoALD to respond to and manage such grievances.
-

2.3 Project Background

The proposed development objective of the project is to improve transport efficiency on selected project corridors and strengthen infrastructure and institutional capacity to improve connectivity and facilitate trade.

The proposed project seeks to address poor transport connectivity and trade facilitation - two notable reasons for Nepal's low competitiveness, a key factor limiting its growth - through increasing efficiency in movement of people and goods within and across the borders to enhance access to markets and opportunities and trade competitiveness.

The SRCTIP comprises of following three different components including trade facilitation:

Component 1: Trade Facilitation

- (f) Support for physical infrastructure, equipment, traffic flow, inspection and related border transit management systems that are required to absorb increasing traffic and trade volumes at key border crossing points including Birgunj, Bhairahawa and Biratnagar;
- (g) Provision of equipment and training, and construction and/or renovation of lab buildings at key border locations with the target of achieving international accreditation in selected parameters; and
- (h) Knowledge and capacity building for: continuous improvement of the trade policy environment; monitoring of trade performance; and development and implementation, and monitoring and evaluation, of targeted trade promotion measures.

This component will support (a) augmentation of infrastructure facilities and equipment at major border crossing points; (b) improvements in sanitary-phyto-sanitary management (SPS), to reduce the time taken for testing and hassles related to agricultural trade; and (c) knowledge and capacity building support for improving capacity for managing trade.

Component 2: Regional Connectivity Improvement

- (b) Improvement of the existing Nagdhunga-Naubise-Mugling road to a 2-lane standard, including adoption of engineering measures to improve climate resilience and road safety, and involvement of citizens' engagement and beneficiary feedback mechanisms;
- (i) Upgrading of the Kamala-Dhalkebar-Pathlaiya road from 2-lane to 4-lane, including adoption of engineering measures to improve climate resilience and road safety, and involvement of citizens' engagement and beneficiary feedback mechanisms; and
- (j) Implementation of a safe corridor demonstration program, covering a length of 250-300 km of Strategic Road Network (SRN) including the NNM and KDP roads, which program shall include support for enhanced enforcement of traffic rules and post-crash response.

The component will finance (i) capital expenditures pertaining to the construction phase of NNM and KDP roads, and associated consultancy services for design, supervision of works and safety assessment activities; and (ii) works, goods, equipment and consultancy services for implementation of SCDP.

Component 3: Institutional Strengthening

- (d) Support for the National Road Safety Council through, *inter alia*:

- (vi) establishment of an interim secretariat with seed funding for staffing and equipment; and
 - (vii) Support for prioritized activities from the National Road Safety Action Plan (RSAP), including coordinating, monitoring and evaluating measures under the SCDP; monitoring the working of IT-MIS and the equipment service providers; supporting nation-wide roll-out of the web-based Road Accident Information Management System (RAIMS); and supporting training and peer-exchange programs.
- (e) Capacity enhancement of DoR for improved management of SRN through:
- (viii) development and mainstreaming of road asset management System;
 - (ix) support for training facilities and training in selected priority areas, including network-level safety assessments, quality, procurement, design of advanced structures, and management of environmental and social risks and impacts; and
 - (x) support for training and employment of local women for skilled employment opportunities in non-traditional transport sectors.
- (f) Support for multi-year periodic maintenance program covering 5,000 lane-km of roads with high traffic within the SRN

Sub-components of SRCTIP-Trade Component:

This list will be further screened and prioritized based on selection criteria that will include environmental and social risks and impacts and land availability:

1. Border Infrastructure

- I. Strengthening facilities at Bhairahawa, Birgunj and Biratnagar Integrated Check Posts (ICPs):

All the ICPs have been constructed and are under operation process. Some basic facilities in the ICPs such as Lab building, parking yards, warehousing and others are yet to be strengthened.

- II. Construction of Container Freight Station (CFS):

Birgunj ICD is only one rail linked ICD of Nepal which is linked to Kolkata and Visakhapatnam port. The space is not sufficient to handle dirty/dusty bulk cargo. And therefore, CFS MoICS/MoALDr to ICD Birgunj needs to be constructed to resolve the logistic and space problems. MoICS has identified the land for this purpose.

2. Strengthening warehouse, collection/processing/semi-processing centers

I. Establishment of Warehouse with cold storage facilities at border points:

Many border Customs points do not have warehouse facilities to exportable and imported cargoes. Therefore, such warehouses with cold storage facilities need to be built mainly in Biratnagar, Birgunj and Bhairawa.

II. Construction of collection/processing/facility Centers:

Nepal needs to construct collection and processing/semi-processing centers with warehouse and cold storage facilities in the major areas so that many agriculture, herbal and horticulture products can be integrated into the production and value chain development process. Some of the potential locations include Pokhara and Kathmandu/Kavre.

3. Strengthening laboratory testing and certification at border points

Nepal is facing various non-tariff barriers in export and also it has not been able to regulate import through proper testing laboratory system. Therefore, strengthening laboratory testing and certification for SPS and TBT measures at border points are proposed.

4. Access Roads

The designs and works for 'Access Roads' will have provisions for road construction/maintenance/expansion to improve connectivity of ICDs, cold storage centers and other structures as well as better management of climate change impacts and road safety related issues and risks. Exact location of access roads needs to be explored and defined.

5. Products and value chain development of priority export potentials

The Government of Nepal has identified some export potentials (large cardamom, ginger, tea, chyangra pashmina, carpet, MAPs, footwear, leather and leather products etc.). These products need to be developed and diversified well to harness the potential benefit. Therefore, products and value chain development of these products focusing on construction of product specific zone, common facility centers and establishing training and design centers are needed (location to be identified through further discussion).

6. Other infrastructure and supports

Nepal has huge potential of exporting Himalayan Spring water mainly due to its Himalayan range from the East to the West. However, due to infrastructure and technology gap, it has not been able to exploit the potentials. Therefore, necessary infrastructure, technology and other logistic facilities, such as processing plants, equipment, and skills (technical knowhow) among others are needed to support and facilitate entire product and value chain development of Himalayan spring water.

2.4 Current Stage of the Project

The Project is currently at the planning phase. While MoICS & MoALD are still working to develop technical sub-components of the project SRCTIP-Trade Component, an ESMF has

been developed for the project. The ESMF identifies, assesses environmental and social risks and recommends mitigation measures. Further information is provided in **Section 1.4.1**.

MoICS & MoALD have also prepared other Environment and Social Safeguard related documents in line with the Bank's E & S Standards, namely Environment and Social Commitment Plan (ESCP), Labour Management Procedures (LMP), Resettlement Policy Framework (RPF) and Indigenous People Planning Framework (IPPF) in addition to this Stakeholder Engagement Plan (SEP). Environment and Social Management Plan (ESMP) of sub-projects will also be developed prior to each sub-project approval.

Consistent with the objective of engaging stakeholders all throughout the life cycle of the Project, stakeholder engagement activities at this stage will focus on:

- Disclosing Project information including alternatives;
- Informing stakeholders about the status of the Project;
- Seeking stakeholder inputs on various environmental issues, management measures and benefit; and
- Obtaining stakeholder insights that would help the evaluation of Project alternatives.

Refer to **Section 4** for detailed stakeholder engagement plan for the current stage of the Project development.

2.4.1 Summary of Potential Environmental and Social Risks and Stakeholder Needs

Potential environmental and social impacts and benefits of the Project, as highlighted in the ESMF, impact assessment studies, and during initial stakeholder consultation sessions, that require particular attention during project implementation include:

- Land acquisition and compensation where private land and property is required for construction under the various components), and finding suitable replacement land to resettle displaced families;
- Relocation of public utilities including electric power distribution lines and water pipes;
- Engaging with Indigenous Peoples to avoid adverse impacts on IPs from project activities and to promote project benefits to IP; free, prior, and informed consent of the Project from IP communities may be required;

- Managing environment impacts, which may include forest clearance around access roads, cold storage construction site, risks of landslides and impacts on natural resources used by communities;
- Managing social impacts such as in-migration of workers resulting into labour influx and preserving Indigenous Peoples' way of life;
- Potential impacts on air quality due to excavation, breaking rocks, movement of vehicles and equipment, open piles of topsoil and spoil, etc;
- Noise, dust, waste generation, hazardous materials pesticides generated from Labs, use and traffic disturbance from construction vehicles and machinery;
- Biodiversity impacts as the project entails risks to critical and natural flora and fauna habitats, wildlife, risk of grass land fragmentation
- Health and safety impacts on community and especially the safety of women;
- Community access to roads;
- Increased demand on social infrastructure and services;
- Generation of local income through the recruitment of workers from local communities to the project; and

Appendix A provides further information on the potential environmental and social risks and issues identified ESMF and how MoICS & MoALD will manage them.

The potential risks and impacts identified in the ESMF and raised, most likely, by stakeholders are covered by the eight World Bank Environmental and Social Standards (ESS), including ESS10 – Stakeholder Engagement and Information Disclosure (further information in **Section 2.2**). MoICS & MoALD will work to meet these standards, therefore covering issues raised by stakeholders.

2.4.2 Project Alternatives

A number of alternative options are being assessed for the Project to avoid and minimise the potential impacts on the environment and surrounding communities. These alternatives include:

- Engineering and trade optimization in terms of capacity;
- Alignment of the access roads to ensure slope stability and traffic safety, and to minimise impacts on households, grasslands, agricultural areas, and the communities in general;

- Location of Project ancillary facilities (e.g., worker camps, disposal areas, quarries, crushing plants, power plants, maintenance shops, storage yards, fuel storage) to maintain community safety, and minimise physical resettlement, economic displacement, disruption of communities to the extent possible.

2.5 Previous Stakeholder Engagement Activities

An initial site visit was conducted by Environment and Social Safeguard Specialists of MoICS/NITDB during December 26-31, 2019. This provided an opportunity to observe selected Project areas and conduct informal stakeholder meetings. This included a meeting with ICD, Birgung team, a meeting with ICP team, and conversations with local communities in Birgunj.

Scoping consultations for ESA will be conducted for the project and its sub-components. The results of the completed scoping consultation activities will be summarised in **Appendix**, when available.

2.6 Structure of this Plan

The remainder of this document is structured in the following manner:

- Section 1: Introduction
- Section 2: Key Standards and Legislation Guiding Stakeholder Engagement;
- Section 3: Project Stakeholders;
- Section 4: The Stakeholder Engagement Plan;
- Section 5: Stakeholder Engagement Management System;
- Section 6: Grievance Management Mechanism;
- Section 7: Monitoring and Reporting; and
- Section 8: Roles, Responsibilities and Resources.

3 Key Standards and Legislation

The Project will conform to the legal and administrative requirements of the Federal Democratic Republic of Nepal, international treaties to which Nepal is signatory, and to relevant international standards, in particular the World Bank Environmental and Social Standards.

3.1 National Legislation

Key national legislative requirements and standards concerning public consultation and participation that apply to the Project include:

- **Constitution of Nepal 2072 (2015)**, Article 27 states that all citizens have the right to demand or receive information on any matter of his or her interest or of public interest, except for information that has to be kept confidential in accordance with the laws.
- **Right to Information Act (2007)** requires all public bodies to make proactive disclosures of certain types of information to respond to information requests. Section 4 of the Act elaborates on the responsibility of a public body (MoICS & MoALD, in the case of the SRCTIP-Trade Component) to disseminate information about the Project in an open and transparent manner, and make it easy for the public to access the information.
- **Good Governance Act (2008)** has provisions for holding public hearings (Section 30) and also specifies the participation at these hearings such as subject matter experts, stakeholders, and representatives of civil society and officials of the local bodies. Section 31 of the Act requires public bodies to provide a Grievance Management Process, including maintaining a complaint's box to collect grievances.
- **Environment Protection Rules (1997)** has provisions requiring holding public consultations and acquiring feedback. Rule 4 requires that an Environmental Impact Assessment scoping document incorporate public concerns about the development. Notice about the proposed project must be posted in the local area and stakeholders are invited to express their view about the project in writing. Rule 7 requires the proponent to organise a public hearing about the proposal "at the area of Municipality where the proposal is to be implemented and collect opinions and suggestions".
- **Land Acquisition, Resettlement and Rehabilitation Policy (2015)** has implementation policies requiring meaningful consultation with affected persons and vulnerable groups, disclosing information on resettlement planning and implementation in periodic manner, and establishing appropriate grievance redress mechanism. The

policies also put emphasis on giving priority to project alternative with less environmental and social impacts and consult on the alternative options with the affected stakeholders.

- **National Land Policy (2019)** is underpinned by an inclusive agenda that covers the land rights of women and vulnerable groups, including rehabilitation of the landless, squatters and informal tenure-holders for improved housing; access to land and security of tenure; tenure security for landless peasants for farming; women's access to land ownership; and the optimum use of land for sustainable housing.

In addition, various government policies require participation of underrepresented groups including women, Dalits and Adibasi/Janajati (Indigenous nationalities) in policy and decision-making, which also apply to engagement and communication. For example, the Fundamental Rights Section under Article 21 included a right to social justice which gives indigenous nationalities the right to participate in state structures on the basis of principles of proportional inclusion. Under Article 33, the Responsibilities, Directive Principles and State policies section includes a policy to uplift the economically and socially disadvantaged indigenous nationalities by making provisions for reservations in education, health, housing, food security and employment for a certain period of time, as well as a policy of making special provision on the basis of positive discrimination.

Nepal voted “Yes” to the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) at the UN General Assembly in 2007. In addition, Nepal ratified as a primary international legal instrument the Convention on Indigenous and Tribal Peoples of the International Labour Organization (ILO, Convention no 169) in 2006.

3.2 World Bank Environmental and Social Framework

MoICS & MoALD are seeking financial support from the World Bank to support the SRCTIP-Trade Component. The ESMF of the project is in line with the World Bank Environmental and Social Framework (ESF).

Environmental and Social Standards 10 (ESS10) Stakeholder Engagement and Information Disclosure requires project proponents to engage with stakeholders throughout the Project lifecycle, and through disclosure of information, consultation, and informed participation. To facilitate this, ESS10 requires the proponent to develop and implement a Stakeholder Engagement Plan that is appropriate to the nature and scale of the project and its risks and impacts, and tailored to the characteristics and interests of the affected communities. ESS10 requires a SEP to include differentiated measures to enable effective participation of those

identified as disadvantaged or vulnerable. A grievance mechanism and ongoing monitoring and reporting to affected communities are also required.

All standards have stakeholder engagement requirements; therefore, ESS10 applies to all standards. Furthermore, Environmental and Social Standard 7 (ESS7) on “Indigenous Peoples /Sub-Saharan African Historically Underserved Traditional Local Communities” requires additional consultation measures for projects such as SRCTIP-Trade Component which affect Indigenous Peoples.

The World Bank has developed a range of guidance notes under the individual standards. These guidance notes will be used to guide the Project.

The World Bank has also developed templates and checklists, which will assist the Project team. These include:

- An Environmental and Social Commitment Plan
- Grievance Redress Mechanism Checklist
- Labour Management Procedures Template
- Stakeholder Engagement Plan Template.

4 Project Stakeholders

The first step in preparing a SEP is mapping the Project stakeholders. This analysis is important to inform the design of the SEP, particularly in developing the Project's approach to consultation and communication. This involves identifying relevant Project stakeholders or groups of stakeholders, characterising the key stakeholder issues and concerns, and mapping the Project stakeholders to determine the appropriate level of engagement for each stakeholder or stakeholder group. This section describes the outputs from the stakeholder mapping process.

4.1 Stakeholder Identification and Analysis

For the purposes of this SEP, as defined in the World Bank Environmental and Social Framework, *“stakeholder” refers to individuals or groups who: (a) are affected or likely to be affected by the Project (project-affected parties); and (b) may have an interest in the Project (other interested parties).*

Stakeholder identification for the SRCTIP-Trade Component will be initiated during the scoping meetings and will be further developed during the stakeholder mapping workshop to be held with key representatives from the World Bank and the MoICS/MoALD team. The stakeholder mapping workshop will be undertaken to:

- Confirm the stakeholders and groups who were identified in initial scoping exercises and further revise and update the stakeholder list with input from key stakeholders;
- Analyse the level of impact the Project have on each stakeholder group, their level of interest, influence and importance, to identify the level of engagement required for each group; and
- Identify engagement strategy with each stakeholder group and assign responsibility to team members.

Table 0.1 provides a summary of Project stakeholders to be consulted, which have been grouped into 15 categories.

Table 4.1 Summary of SRCTIP-Trade Component Stakeholders

Stakeholder Group	Stakeholder
Project-Affected Parties	
Directly Affected Population	• Individuals and households that are located within the Project Direct Area of Influence (DIA): • Environmental – those areas located within the Project’s footprint or area of disturbance plus the entire length of the Project’s access roads, Users of road • Social – the communities and households directly affected by Project construction and operation
Indirectly Affected Population	Individuals and organisations located within Indirect Area of Influence includes: • Environmental – those areas located within 1 km of any project construction, including the ICD sites, access road, and worker camp components, laboratories and other ancillary project facilities. • Social – the municipality within which the sub-projects are located, and neighbouring municipalities.
Other Interested Parties	
District Administration and Offices	• Chief District Officer/Administrator, District Forest Offices, District Agriculture & Livestock offices • District Coordination Committee (DCC)
Provincial Government	• Provincial Ministries, Provincial Planning Commissions, Chief Secretary and Secretaries of the relevant Ministries

Centre (Federal) Government	• PMO & Council of Ministers • Ministry of Industry, Commerce and Supply (MoICS) • Ministry of Agriculture and Livestock Development (MoALD) • Ministry of Finance • Ministry of Home Affair • Ministry of Physical Infrastructure and Transport • Ministry of Forest and Environment • Ministry of Labor, Employment and Social Security (MoLESS) • Ministry of Tourism and Culture • Ministry of Women, Children and Senior Citizens • Ministry of Land Management, Poverty and Cooperatives • National Planning Commission • Departments: Department of Commerce, Department of Custom (DOC), Department of Agriculture Service, Department of Food Technology and Quality Control, Department of Livestock Service, Department of Transport, Department of Roads, Department of Physical Infrastructure, Department of Forest and Soil Conservation, Department of Environment, Department of Road, Department of Transport Management, Department of Railways, Department of Labor, Land management Division, Land and Resettlement Section, • Parliament: Agriculture, Cooperatives and Natural Resources Committee • Nepal Intermodal Transportation Board (NITDB) • Nepal Food Management and Trading Company Limited (NFMTCL) • Nepal Business Forum (NBF) • Trade and Export Promotion Centre (TEPC) • Nepal Transit and Warehouse Company Limited (LTWCL) • Nepal Food Management and Trading Company Limited (NFMTCL)
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Stakeholder Group	Stakeholder
Elected Officials and Local Politicians	All elected leaders of project & sub-project located Municipalities, Local political leaders District level political leaders (different parties) – to be identified during the ESA baseline study and consultation activities Elected chief of the DDC includes in the Elected Officials and Local Politicians
Non- Government Organizations (NGOs)	• The Federation of Nepalese Chambers of Commerce and Industry (FNCCI) • Nepal Chamber of Commerce (NCC) • Nepal Truck Container Business Association • Nepal Truck and Container Professional Association • Nepal Freight Forwarders Association • Customs Agent Federation of Nepal
Media	National • Category-A newspapers (daily and weekly) • Kathmandu-based TV stations • Kathmandu-based radio stations Local • Social media • Satellite TV/ Dish Home • Other local media channels to be identified during the ESA baseline study and consultation activities
Businesses and Associated Groups	• Federation of Nepalese Chambers of Commerce and Industries (FNCCI) and Nepal Chamber of Commerce (NCC) Local • FNCCI unit in District • NCC unit in District • Local businesses: tourism businesses (hotels/lodges/restaurants), (train operators, traders of items with India)

Stakeholder Group	Stakeholder
Educational and Training Institutions	• Local Schools • Others to be identified during the ESA baseline study and consultation activities
Health Institutions	To be identified during the ESA baseline study and consultation activities
Interest Groups	• Nepal Federation of Indigenous Nationalities (NEFIN) • Nepal Dalit Commission • Nepal Women Commission • ‘concern’ groups/Struggle groups • Transport Unions & Committees Local • NEFIN local chapter • Transport Unions & Committees local chapter
Internal Stakeholders	• Include but not limited to: supervision consultants, suppliers, Construction Contractors and Contractor’s workforce, sub-contractors, petty contractors, etc
Project Financiers	• The World Bank • Other potential financiers

The **Project-Affected Parties** (PAPs) are divided into three categories:

3. **Directly Affected Population** - Individuals and households that are located within the Project Direct Area of Influence (DIA)¹. These may include, but not limited to:
 - Individuals and households that will be directly affected by the land sub-projects
 - People who make their livelihoods by working around the project and sub-project construction sites;

¹ The National EIA Guidelines (1993) defines the direct impact as a direct alteration in the existing environmental conditions as a consequences of project activity. The DIA includes the Project footprint, which includes areas occupied by the Project structures, ancillary facilities, and immediately adjacent areas (i.e., extending up to 200 m from the Project footprint)

- Individuals and households that will have restricted access to natural resources due to the Project footprint. These stakeholders may include people who collect grass/firewood for livelihood, communities that use the access road section;
- People directly affected by the construction and operation of the ancillary facilities and workers' camps; and
- People directly affected by the construction and operation of the cross-border infrastructure.

4. **Indirectly Affected Population** – Individuals and organisations located within Indirect Area of Influence¹. These may include, but not limited to:

- Community people in project/sub-project construction area. Individuals where the Project infrastructures are located;
- People outside of these municipalities who may be affected by restricted access to roads and infrastructures due to the Project construction and operation;
- Public and private organisations and businesses – to be identified during the ESA baseline study and consultation activities.

These stakeholders may include, for example, people who may experience increased traffic congestion, increased cost of living, and reduced livelihood productivity.

Potential vulnerable groups were also identified during the stakeholder identification process.

Table 0.1 provides a summary of the potentially vulnerable Project stakeholders.

Vulnerable groups are those project-affected parties (individuals or groups) who, because of their particular circumstances, may be disadvantaged or vulnerable. Identification of the

¹ The Indirect Impact Area (IIA) refers to the geographical area between the DIA and administrative boundary of the Project's development administrative units. This consists of the surrounding area which may be affected due to project implementation.

vulnerable groups helps the Project further identify individuals and sub-groups who may have different concerns and priorities about project impacts, mitigation mechanisms and benefits, and who may require different, or separate, forms of engagement.

Table 3.2 SRCTIP Potentially Vulnerable Groups

Stakeholder Group	Stakeholder
Dalit	Individual households that are in ‘extreme poverty’ who are formally considered as ‘untouchable’.
Indigenous Groups	- In project located Municipality, based on information available*: -Muslims - Information on IPs in the Project area, adjacent and surrounding communities will be identified during the ESA baseline study
Women	In Nepal's patriarchal society women are often expected to not speak out, not be educated and their traditional roles involve work at home and in the fields (such as housework, crafting, and farming). The most vulnerable women include: - Single women-headed households - Women in low income households - Landless women
Children, Youth and Elderly	- They are vulnerable for lack of ability to influence decisions affecting their lives. - Population to be identified during the ESA baseline study
People with Disability	Population to be identified during the ESA baseline study
LGBTI	Lesbian, Gay, Bisexual, Transexual, Intersex individuals in project area who are at risk of exclusion from project benefits
Minority Religious Groups	Population to be identified during the ESA baseline study
Households in “Extreme Poverty”**	Households that suffer severe deprivation of basic human needs, including food, safe drinking water, sanitation facilities, health, shelter, education and information.

* This needs to be confirmed by social baseline survey.

** The World Bank uses an updated international poverty line of US \$1.90 a day as a line for extreme poverty.

4.2 Stakeholder Mapping

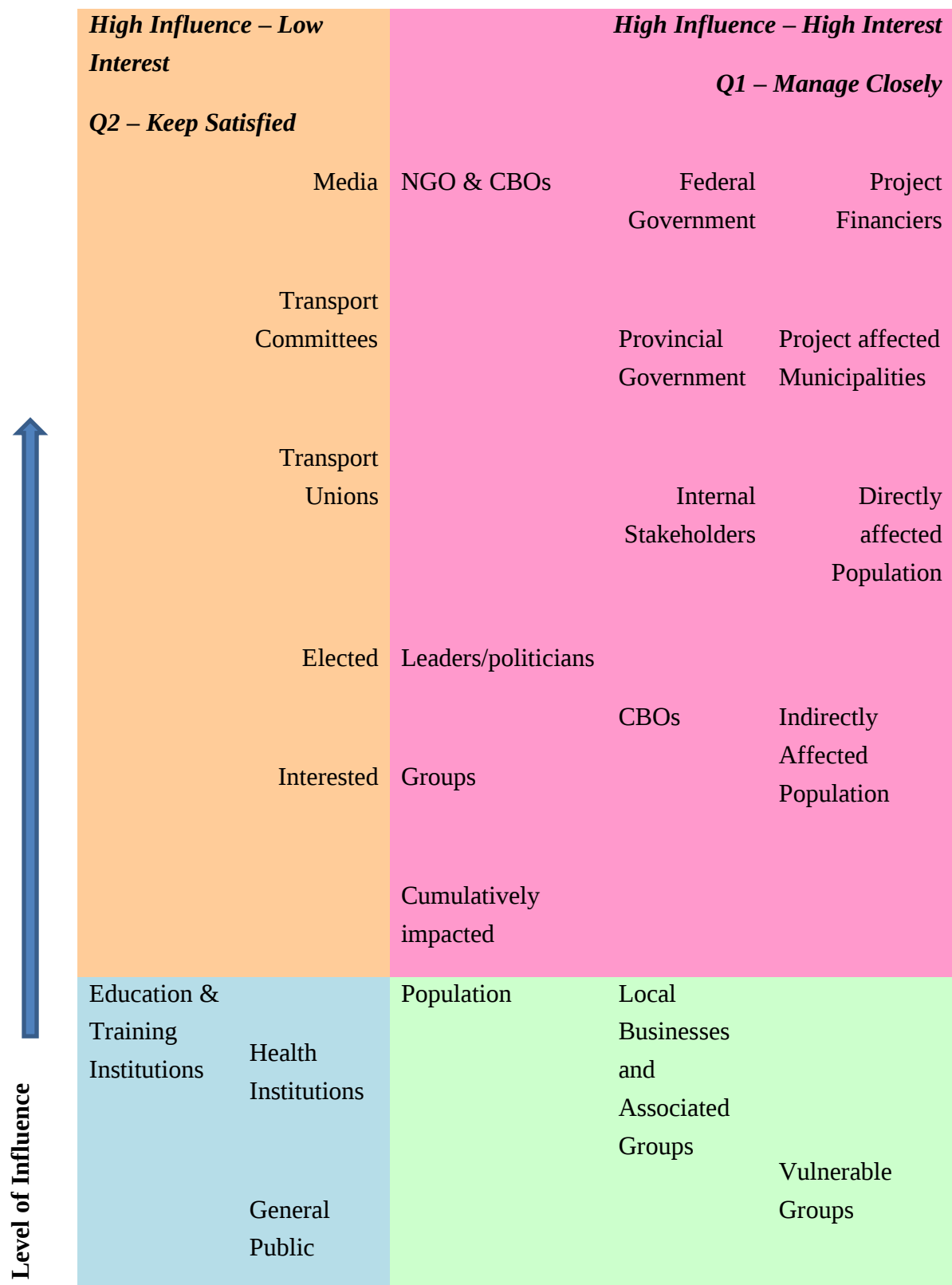
Stakeholder mapping, illustrated in **Figure 0.1**, will be further consulted to identify the level of engagement required during the ESA and future phases for each group of stakeholders based on their level of interest and level of impact.

The stakeholders will be mapped by group, based on the level of influence and level of interest. The mapping results will be summarized as follows:

- The stakeholders that appear in the top right quadrant are those that need to be managed closely (i.e. the stakeholders that need to be proactively engaged on a regular basis and engagement efforts should be focused on this group). This is because these are the stakeholders that are most interested in the Project and have the potential to impact its outcome (i.e. the ability of the Project to go ahead).
- The stakeholders that appear in next quadrants (i.e. in Q2 and Q3) need to be kept informed – i.e. provided information and consulted on issues of interest to the stakeholders.
- The final stakeholders (i.e. in Q4) need to be monitored – i.e. informed of key Project aspects. It is important to track if their level of interest or impact changes.

Appendix B provides the tentative list of the identified stakeholders and the results from the stakeholder mapping exercise.

The stakeholder list as well as stakeholder analysis and mapping will continue to be revised and updated during the consultation during the planning phase, based on the ongoing receipt of comments and input from local, national and international stakeholders directed to the Project.



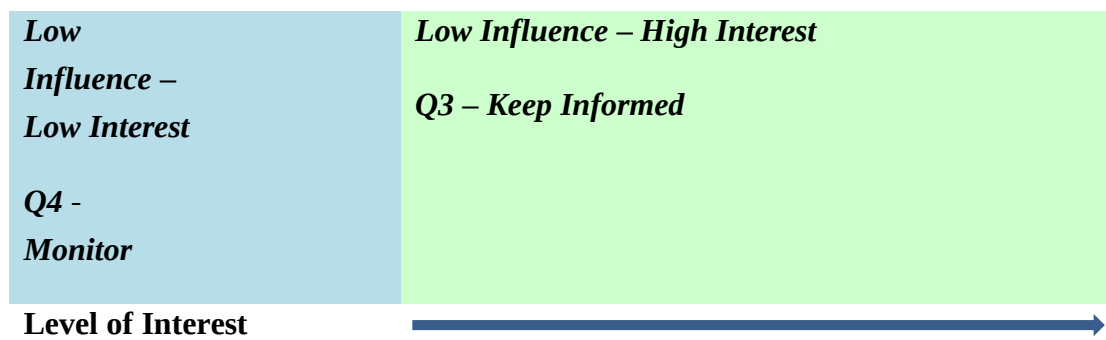


Figure 4.1 Preliminary Stakeholder Mapping Results

5 Stakeholder Engagement Plan

The engagement process has been split into four stages. Error! Reference source not found. below describes the four stages of engagement and the relevant activities and target stakeholders. Detailed stakeholder engagement activities during the four stages are provided in **Appendix B**.

This version of the SEP focuses on stakeholder engagement during the Planning Phase (current phase of the Project). As demonstrated in Table 4.1, scoping consultations for the Project's Environmental and Social Assessment are well underway. The results of consultations undertaken in separate locations in the project influence area during the past reveal that PAPs are mainly concerned about a) compensation rates for lost land and assets; b) the provision of broader benefits by the Project authorities, including employment opportunities, project shares, public infrastructure and access to services; c) the alignment of the access road for the Project; and d) the preservation of local traditions and cultures. This feedback triangulates well with comments solicited from PAPs and Other Interested Parties during less formal meetings and dialogues held both before and after that, and is feeding directly into the preparation of multiple social and environmental mitigation plans for the SRCTIP-Trade Component.

The SEP will be **revised further prior to construction and operation** to confirm and further detail the stakeholder engagement activities and ensure engagement methods and tools are effective, especially in encouraging informed participation from the vulnerable and disadvantage groups.

Table 5.1 Engagement Summary

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
Planning and Approvals Objective Disclose relevant project information to stakeholders and solicit their inputs/feedback into ESMF, ESCP, LMP, ESA, RPF, IPPF, ESMP-sub projects and other plans	Project alternatives, scope of the potential impacts and mitigation measures and benefit enhancers Land acquisition process, if required Project environmental and social (E&S) principles Resettlement and livelihood restoration measures Grievance mechanism process Consultation with IPs	Project Affected Parties	Village meetings One-to-one meetings Separate group discussions with women, youth and children Household visits to IP families and individuals in the communities Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio	Scoping meetings Radio talk Visits to communities Communication through mass/social media (as needed) E & S Specialists providing regular consultations with community people who are most affected by Project development	Feedback Form Through Stakeholder Engagement Project Facebook One radio interview where stakeholders can call in to ask questions Meetings and household visits Grievance mechanism	PIU with E & S Team
	Land acquisition process, if required Resettlement and livelihood restoration options Project scope, rationale and E&S principles Grievance mechanism process	Chief District Officer, Ministry of Home Affairs, Ministry of Forestry, other government departments involved in land acquisition at multiple levels. Municipality land acquisition and resettlement committee, Compensation Fixation Committee Representatives of affected communities, government entities and businesses	Face-to-face meetings Joint public/community meetings with PAPs	Monthly (and as needed)	Meetings Grievance mechanism	PIU with E & S Team

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Project alternatives, scope of the potential impacts and mitigation measures and benefit enhancers Land acquisition and resettlement planning, if any Project E&S principles Grievance mechanism process Coordination activities for development and implementation of management plans	Other Interested Stakeholders – District, Provincial and National Stakeholders	One-to-one meetings Group meetings/ Workshop Project Information Sheets Mass/Social Media Communication - Facebook, radio, newspaper articles/ ads	One at each ESA milestone and as needed	Feedback Form Through MoICS/MoALD Social Safeguard Specialist; Communication Officer and consultants Project Facebook and radio interview Meetings Grievance mechanism	MoICS/MoALD Social Safeguard Specialist; Communication and Grievance Officer with support from consultants
	Project information - scope and rationale and E&S principles Training on ESA and other sub-management plans Grievance mechanism process	Other Interested Stakeholders – Internal Stakeholders	Face-to-face meetings Trainings/workshops Invitations to public/community meetings	At each ESA milestone and as needed	Meetings and workshops Internal emails Grievance mechanism	PIU with E & S Team
	Consultations and coordination to ensure management of cumulative impacts on VECs are well-coordinated and implemented	Other Interested Stakeholders – Trade & transport sector Developers, District, Provincial and National Governments, relevant research institutions and NGOs, etc	Face-to-face meetings Trainings/workshops Invitation to public/community meetings	At each milestone and as needed	Meetings and workshops Written correspondence Grievance mechanism	MoICS/MoALD Social Safeguard Specialist; Communication and Grievance Officer with support from consultants
	Consultation and coordination with various stakeholders for input into BMP (particularly on the offsets) to ensure achieving “like-for-like or better” biodiversity gains to balance the losses due to the project	Other Interested Stakeholders – District, Provincial and National Governments, relevant research institutions and NGOs, etc	Face-to-face meetings Trainings/workshops Invitation to public/community meetings	At each BMP milestone and as needed	Meetings and workshops Written correspondence Grievance mechanism	MOICS/MOALD with support from consultants

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	Present the final ESA, Environmental and Social Management Plans (ESMF), draft environmental and social commitment plan (ESCP) and related plans for comments and feedback	Project Affected Parties	Village meetings One-to-one meetings Separate group discussions with women, youth and children Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio	Once in each project site E&S Team Communication through mass/social media (as needed) Project Information Centre	Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook Meetings and group discussions Grievance mechanism	Stakeholder Engagement Team Lead Stakeholder Engagement Coordinator CLOs
	Present the final ESA, Environmental and Social Management Framework (ESMF), draft environmental and social commitment plan (ESCP) and related plans for comments and feedback	Other Interested Stakeholders	One-to-one meetings Group meetings Project Information Sheets such as PID, FAQs, GRM, Feedback Form Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project telephone line	Once when final ESA and related plans are available	Meetings Feedback Form Project Facebook, telephone line and email address Grievance mechanism	MOICS/MOALD Community Relations Manager Stakeholder Engagement Coordinator CLOs
Pre-construction Objective Ramp-up engagement activities to prepare stakeholders for construction phase	Present the Construction Contractors Environmental and Social Management Plans (ESMPs) such as Traffic Management Plan, Spoils Disposal Management Plan and related plans for comments and feedback Present final ESCP for feedback	Project Affected Parties	Village meetings One-to-one meetings Separate group discussions with vulnerable groups Project Information Sheets such as PID, FAQs, GRM	Once a month and as required	Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook, telephone line and email address, radio interview	MOICS/MOALD Community Relations Manager Stakeholder Engagement Coordinator CLOs

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
Present Construction Contractors ESMPs and related plans, and final ESCP	Project updates including construction activities, construction management plans, engagement activities and responsibilities Road test mitigation measures Ongoing consultation related to RPF & IPPF		Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project telephone line		Meetings and household visits Grievance mechanism	
	Construction permits and licenses and regular Project progress and updates	District, Provincial and National Governments	One-to-one meetings Group meetings/ briefing	Monthly and as required	Meetings Feedback Form	MOICS/MOALD Community Relations Manager with support from consultants and contractors
	Ongoing consultation on land acquisition and resettlement	With relevant government bodies and representatives of affected families, business and entities identified during Planning phase	Face-to-face meetings Joint public/community meetings with PAPs	Monthly (and as needed)	Meetings Grievance mechanism	MOICS/MOALD Resettlement consultants
	Interaction related to IPPF	Directly and Indirectly Affected Population	IPPF consultation meetings. This could serve as the key engagement tool with communities. IPPF monitoring and assessment activities; IPPF progress reports.	As required and at locations necessary	IPPF meetings Grievance mechanism	IPPF facilitator, as assigned MOICS/MOALD Community Relations Manager
	Present the C-ESMP and related plans for comments and feedback Present final ESCP for feedback Project updates including construction activities, construction	Other Interested Stakeholders	One-to-one meetings Group meetings Project Information Sheets such as PID, FAQs, GRM, Feedback Form	One during Pre-Construction and as required	Meetings Feedback Form Project Facebook, telephone line and	MOICS/MOALD Community Relations Manager Stakeholder Engagement Coordinator

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	management plans, engagement activities and responsibilities Update on ongoing land acquisition and resettlement activities		Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project telephone line		email address, radio interview Grievance mechanism	CLOs
Construction Objective: Provide regular updates on construction activities, implement management plans and monitor the effectiveness of the plans Handling of complaints in a prompt and effective manner	Regularly update on construction activities, including key milestones, key changes in the Project design, and monitoring results from the ESCP and ESMPs Health and safety impacts (EMF, Construction-related safety measures) Update on resettlement and livelihood rehabilitation, community development initiatives and other activities of community interest Start giving effects to benefit sharing Complaint handling	Project Affected Parties	Project Information Centre Project Information Sheets such as Brochures, Factsheets, media notices, Feedback Form One-to-one meetings Village meetings Monitoring and community perception surveys Project Facebook and website Radio and newspaper Grievance mechanism	Once a month and as needed Community perception surveys – once a year	Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook and radio interview Meetings Project telephone line, Facebook and email Grievance mechanism	MOICS/MOALD Community Relations Manager Construction Contractors
	Disclose and consult on Construction Contractor activities, hiring preferences, job and business opportunities, training opportunities etc Undertake community environmental and safety awareness program	Project Affected Parties	Village meetings Project Information Sheets such as Brochures, Factsheets Project Information Centre Facebook, radio and website Project Facebook and website Radio and newspaper Training and simulations	Monthly at the first 6 months of construction, then quarterly and as required from there on. Advanced notification will be given to hiring opportunities so local community members have a reasonable lead time to prepare for application.	Feedback Form Project Facebook and radio interview Meetings Project telephone line, Facebook and email Grievance mechanism	Construction Contractors with support from MoICS/MoALD
	Meetings and discussions with key government departments for	District, Provincial and National Governments	One-to-one meetings Group meetings/ briefing	Monthly and as required	Meetings Feedback Form	MoICS/MoALD Community Relations Manager

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
	construction permits and licences and provide construction progress update					Construction Contractors
	Ongoing consultation on land acquisition and resettlement	With relevant government bodies and representatives of affected families, business and entities	Face-to-face meetings Joint public/community meetings with PAPs	Monthly and as needed PAP survey - Upon completion of resettlement	Meetings Grievance mechanism	MoICS/MoALD Community Relations Manager Resettlement consultants
	Interaction with IPPF governance bodies	Directly and Indirectly Affected Population	IPPF meetings. This could serve as the key engagement tool with communities. IPPF Monitoring and evaluation efforts; IPPF progress reports.	As required and at locations required	IPPF meetings Grievance mechanism	IPPF facilitator, as assigned MoICS/MoALD Community Relations Manager
	Update on construction activities and implementation of management plans Update on resettlement and livelihood rehabilitation, benefit sharing, community development initiatives, etc Complaint handling Coordination of activities especially the roll-out of management plans Health and safety impacts (EMF, Construction-related safety measures) Employment opportunities	Other Interested Stakeholders	Project Information Centre Project Information Sheets such as Brochures, Factsheets, media notices, Feedback Form One-to-one meetings One radio talk Group meetings Project Facebook page, telephone line and website Grievance mechanism	Once at the start of construction then once a year, and as required	Feedback Form Project Facebook, telephone line and email address, radio talk Grievance mechanism	MoICS/MoALD Community Relations Manager Construction Contractors
Operation Objective:	Day-to-day engagement with stakeholders to maintain good relationships and provide update on the Project progress Manage community issues and monitor community attitudes	Project Affected Parties	Village meetings Project telephone line Facebook page Project website	Once at the beginning of the operation then bi-annually Community attitude surveys – every 3 years	Feedback Form Meetings Project telephone line, Facebook and email	MoICS/MoALD Community Relations Manager with support from community relations staff

Project Stage and Engagement Objective	Primary Engagement Activities and Topics	Target Stakeholders	Method(s) of Engagement	Frequency and Location	Stakeholder Feedback Opportunity	Responsibilities
Maintain constructive relationships with stakeholders and maintain awareness of environmental and safety practices in the local communities Engagement will focus on day-to-day operation of the Project	Complaint handling		Project Information Sheets such as Brochures, Factsheets, media notices Grievance mechanism		Grievance mechanism	
	Environmental and safety awareness program Emergency preparedness and response	Project Affected Parties	Brochures, pamphlets, and regular environmental and safety, emergency response talks to PAPs and other relevant stakeholders Emergency drills	Once at the beginning of operation then bi-annually or annually	Feedback Form Meetings Project telephone line, Facebook and email Grievance mechanism	MoICS/MoALD Community Relations Manager with support from H&E experts
	Day-to-day engagement with stakeholders to maintain good relationships and provide update on the Project progress.	Project Affected Parties District, Provincial and National government departments Other Interested Stakeholders	One-to-one meetings Group meetings Project telephone line Facebook page Project website Project Information Sheets such as Brochures, Factsheets, media notices Site visits for government officials, PAP representatives, media	Once at the beginning of operation and bi-annual and as needed	Feedback Form Meetings Project telephone line, Facebook and email Grievance mechanism	MoICS/MoALD Community Relations Manager with support from Community relations staff
	Interaction in line with IPPF	Directly and Indirectly Affected Population	IPPF meetings. This could serve as the key engagement tool. IPPF monitoring and evaluation activities; IPPF reports	As required and at locations identified	IPPF meetings Grievance mechanism	IPPF facilitator, as assigned MoICS/MoALD Community Relations Manager

5.1 Strategies for Information disclosure

The Project will make disclosure materials available to stakeholders via the communication channels outlined in **Table 4.2**. Other effective communication networks in the local communities identified throughout the Project lifecycle will be utilised whenever possible.

In the Project Areas of Influence, the E & S Specialists/Officers will move around communities and social venues such as local markets and tea houses. They will avail the disclosure materials for people to view and take away. They will ensure that the Project disclosure and consultation occur on neutral grounds to help remove obstacles to participate, especially for women and vulnerable groups.

The Project will also explore films and videos of construction of different components of SRCTIP trade component to screen for the PAPs and other interested stakeholders. Videos of relevant progressive rehabilitation programs, resettlement and livelihood restoration programs and community health and safety training programs will also be sourced whenever possible for community screen time.

Table 5.2 *SRCTIP-Trade Component Information Disclosure Channels*

Targeted Stakeholders	Information Disclosure Channels
Project Affected Persons and Project Affected Municipalities	• Project Information Centre • E & S team • Ward offices • Municipality Office • Local schools • Local clinics • Local tea houses/lodges
District Level Stakeholders – including Regional Stakeholders, District Government, Elected Officials, Local Businesses, Local Interest Groups, Local Education and Health Institutions	• District Offices of various agencies • DCC • District chapters of Trade Unions/Transport Committees • FNCCI unit in district • NCC unit in district • District schools and health clinics • Interest groups and local NGOs' networks

Provincial Level Stakeholders – including Provincial Government, Elected Officials and Politicians, Businesses, Interest Groups, Education and Health Institutions, Local NGOs, and Local Media	• Provincial Government Offices • Provincial Trade Unions/Transport Committees • Provincial FNCCI and NCC • Provincial NGOs and interest groups’ network • Project Facebook page
National Level Stakeholders – including Centre Government and National and International NGOs	• Ministry Offices • NGOs’ networks • Offices of National Trade Unions/Transport Committees • Project Facebook page
Project website	• All stakeholders can access Project information materials

Disclosure events (time and place) will be communicated to all stakeholders via the following means and methods:

- E & S team in local areas
- Local teachers and school boards
- Ward officers and notice boards
- Clinic nurses and notice boards
- A local radio talk/ interview suggesting where and when information is available
- Facebook ads suggesting where and when information is available
- Local NGO network
- Notices to local chapters of trade unions/transport committees
- District level Journalists Association
- Advertisement on provincial newspapers and/or TV suggesting where information is available.

5.1.1 Communication Materials

Key disclosure and consultation materials include:

- Project Information Document (PID): This document consists of a non-technical summary of the Project, development timeline and milestones, Project updates, consultation program and opportunities for the stakeholders to participate in development of the Project, timeline and venues for engagement activities, contact details for questions and queries. The PID will be updated at each Project milestone to reflect the Project development and key activities at each stage.
- Project Factsheet: A one-pager in Nepali explaining the Project information in simple, plain language accompanied with maps and pictures.
- SRCTIP-Trade Component Frequently Asked Questions (FAQs) which comprises of Project key risks and issues, and Project's plan to address them, as well as answers to key questions raised by the stakeholders during the previous consultation. The FAQs will be revised and updated regularly to reflect Project development and key issues that have come to light.
- Grievance Redress Mechanism (GRM): Details on how to access the grievance mechanism will be provided. This will include information on how the grievance management process will work, including the timeframes for responses.

Refer to **Appendix D** for the Draft PID and FAQs for the Project. Refer to **Appendix B** for more details on the series of communication materials planned for the Planning Phase.

5.1.2 Project Information Centre

A Project Information Centre (PIC) will be established in the local area in 2020. The PIC will be maintained by the field level E & S team members. The PIC will welcome visitors from the local communities and the district to obtain Project information, ask questions, raise issues or log grievances.

5.1.3 Project Website and Telephone line

A Project website will be established at Pre-Construction phase to provide information about the Project and disclose all Project related information to the wider public. The Project website will be regularly updated with new Project updates such as job opportunities for local workforce, compensation and resettlement process. The Project website will also allow the public to submit issues or grievances related to the Project development.

The Project telephone line and email will also be made available from the Pre-construction to enable the public to ask questions, raise issues and submit grievances.

5.1.4 Social Media

Facebook is the most popular social media app in Nepal hence the SRCTIP-Trade Component Facebook page will be established during the pre-construction phase to communicate with the local population of different age and background and other Project Interested Parties via social media campaigns throughout the Project's lifecycle. Facebook ads that target youth will be generated as much as possible to disseminate information to this high social media user group.

5.2 Strategies for Consultation

Table 4.3 outlines various consultation methods to ensure inclusive and effective engagement and enable participation of marginalised groups.

During the *current phase* (Planning Phase) the relevant E & S team member will make visits to the affected communities in the Directly and Indirectly Affected Population. The E & S team members located in field offices will undertake consultation activities with the members of the communities that are most affected by the Project proposed activities. Supplemental to these, an intensive round of project awareness-raising consultations will also be conducted (see **Section 4.5** below).

Table 5.3 *SRCTIP-Trade Component Consultation Methods*

Consultation Methods	Targeted Stakeholders
Community meeting with proceedings appropriate to the culture and norms of the Indigenous Peoples in each Ward*	Every community in the Directly and Indirectly Affected Population.
Focus group discussion (FGD)	Women groups, youth groups, and minority religious groups in the Directly and Indirectly Affected Population. The focus group discussions will explore the gaps.
Household visit	Dalit, households in 'extreme poverty', single female headed households, people with disability, elderly who

	have mobility issue, minority religious groups in the Directly and Indirectly Affected Population. As many as possible.
School visit/ group briefing	School children in the Directly and Indirectly Affected Population
Face-to-face meeting/ workshop	Government offices – all levels, elected officials, PAM, DCC, FNCCI, NCC, schools and health clinics, interest groups, NGOs, Trade unions/transport committees
Radio	Regional stakeholders and other interested parties who can call in to ask questions and raise issues/ concerns while MoICS/MoALD representatives attend the radio interviews (It is proposed that this occur twice during Planning Phase)
Project Facebook page	All stakeholders can visit to get Project updates and ask questions, and raise issues/ concerns
Project email address	All stakeholders can email to request information, and raise issues/concerns
Perception survey	A perception survey examining PAPs' experience and feedback about the project will be carried out before/during construction, and at the completion of RPF.

*Most if not all PAPs are Indigenous People hence no separate methods are proposed to engage with them separately from the rest of the Community

5.3 Strategies for Vulnerable Groups

Vulnerable groups consist of people who may not be able to access Project information and articulate their concerns and priorities about potential Project impacts owing to certain barriers that disadvantage them. The barriers could be socio-political, for example in Nepalese patriarchal society, women are expected to not speak out in public. Other factors could be related to caste, ethnicity, language abilities, religion, or poverty as people influenced by these factors are not expected to or do not feel that they can have a 'voice' in public.

Taking these barriers into account, a number of measures will be used to remove obstacles to participation for vulnerable groups.

- Focus groups for women, led by a female facilitator, to introduce the Project and discuss any issues and concerns that the women may have regarding the Project development. FGDs will be undertaken for social baseline and further FGDs will be planned to fill the gaps in the Directly and Indirectly Affected Population. E & S field team will pay extra effort on recruiting women to visit Project Information Centre and attend women group discussions.
- Similarly focus groups for the youth will be led by a youth facilitator in each Community in the Directly and Indirectly Affected Population. SRCTIP-Trade Component Project Facebook page and Facebook ads are designed to target the youth and encourage them to participate in the Project development.
- Individual household visits to as many Dalit, households in ‘deep poverty’, single female headed households, people with disability, the elderly who have mobility issues, and households of minority religious groups in the Directly and Indirectly Affected Population as possible at each Project milestone to ensure they are provided with the Project information and have opportunities to raise their questions and concerns freely without intimidation, discomfort or ridicule.
- School visits to disseminate Project information and consult with school children and teachers about potential impacts and benefits. Information disclosure through school teachers and students is also an effective way to reach the broader community, especially women, as teachers are important influencers in the community and children often bring information collected from school to share with their families.
- Most IPs in the Project affected areas speak Nepalese but some individuals may experience language issues especially around new concepts and processes. To overcome this, E & S field team will hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali. They will also assist IPs in how to provide comments, feedback and raise grievances.
- While reaching out to different groups particularly vulnerable groups such as women, elderly and disabled, the Project team will make sure time and location of consultation are appropriate to their needs.

Throughout the ESA consultation, the Project team will continue to identify representatives of these groups locally and at the district level to facilitate two-way communication on the Project development.

5.4 Review of Comments and Report Back

Feedback from the PAPs will be captured by the deployed E & S team. They will also maintain a stakeholder engagement/feedback and grievance register that will be forwarded to the E & S Project team in Kathmandu. Urgent issues and grievances that need immediate attention will be communicated to the Social Specialist to take it up the chain of command as soon as practically possible.

For other disclosure channels, a Comment Box will be provided in each disclosure location together with copies of a Feedback Form for stakeholders to provide input. Stakeholders can also make comments and suggestions via the Project Facebook page, Project email, and information telephone line.

Stakeholder feedback will be collected and Social Team will analyse engagement data to identify stakeholder key issues, trends, suggestions and aspirations. During the Planning and Pre-Construction phases, a stakeholder engagement report will be produced at each consultation milestone and include:

- Number of stakeholders engaged (total and by stakeholder group)
- Methods of engagement
- Key issues and trends
- Grievances and details of how they have been resolved.

During the Construction phase, the report will be produced monthly.

The report will be submitted to MoICS/MoALD Project Director and relevant managers in order to help them address the issues that have come up in different management plans, such as the traffic management plan, health and safety plan, or Construction Contractor's various plans. Mitigation measures will be addressed systematically through the relevant management plans. The FAQs will be revised and updated regularly to reflect Project changes and key issues that have come to light as a result of information disclosure and consultation activities.

A Stakeholder Issues and Response Report ("You Ask, We Answer") will be provided to the stakeholders at Draft ESA Consultation Phase, which provides a summary of stakeholder engagement activities undertaken to date, a summary of the feedback received and a brief explanation of how the feedback was taken into account or the reasons why it was not.

5.5 Free, Prior and Informed Consent (FPIC) Process

Under the World Bank's Environmental and Social Standard 7 (ESS7) on "Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities", Free, Prior, and Informed Consent (FPIC) is required in the following circumstances:

- iv) adverse impacts on land and natural resources subject to traditional ownership or under customary use;
- v) relocation of IPs from lands defined in the previous item; and/or
- vi) significant project impacts on critical cultural heritage essential to IP lives/livelihoods.

As the activities incurring such circumstances will be excluded from SRCTIP-Trade Component project, it is expected that FPIC will not be applicable for SRCTIP- Trade component. *If any sub-project of the project has any of above three circumstances, FPIC process will be followed as per World Bank ESS.*

5.6 Resettlement Planning Engagement Process

A primary engagement process running concurrently with ESA consultation is engagement related to resettlement planning. Consultations with government departments and offices, together with displaced families, are being undertaken for the development of Resettlement Policy Framework (RPF) for different Project components. The RPF consultation at this stage focuses on:

- Inventory of affected land, structure, trees, crops; and
- Formal consultation with PAPs on compensation, resettlement benefits, relocation sites, and livelihood restoration measures.

A typical RPF consultation process is outlined below. It will be updated and confirmed once the RPF is available for review.

The RPF is a process that runs parallel with the SEP where findings will feed into the SEP and vice versa. See **Table 4.1** for planned engagement activities for resettlement planning at different Project phases. Refer to Resettlement Policy Framework (RPF) for details.

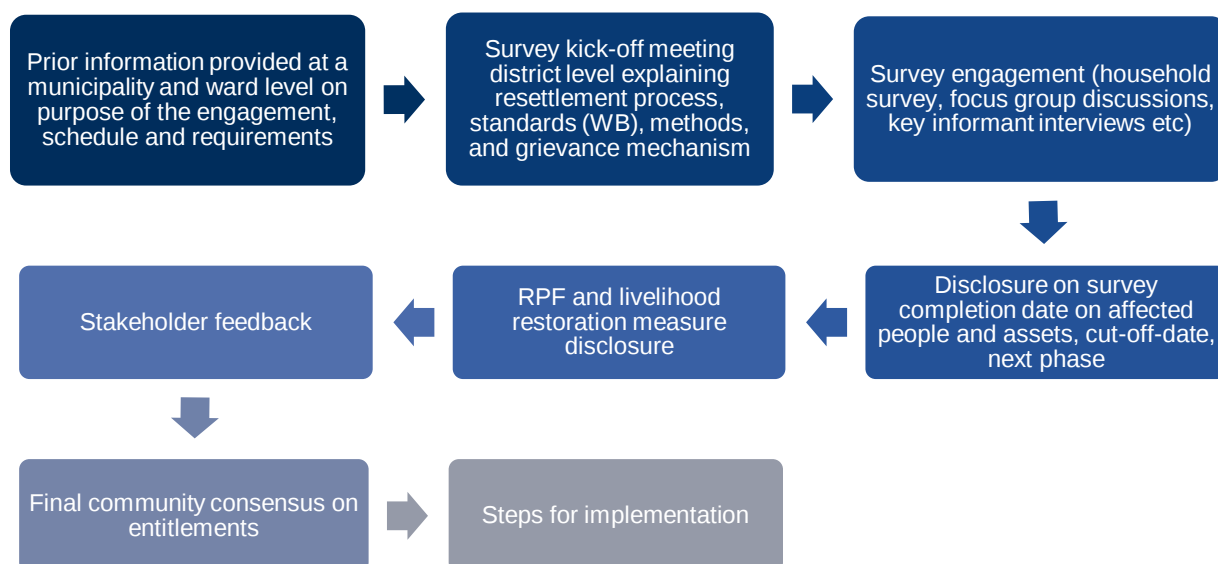


Figure 5.1 Proposed SRCTIP-Trade Component RPF Consultation Process – subject to update

5.7 Cumulative Impact Assessment Engagement Process

The Cumulative Impact Assessment (CIA) follows a nine-step process based on the *IFC's Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets Good Practice Handbook*.

Stakeholder engagement process for the CIA includes the following steps:

6. Identification of CIA stakeholders such as affected communities in the MoICS, MoALD, communities around construction sites, Nepal Federation of Indigenous Nationalities (NEFIN), trade & transport committees/unions, etc.
7. Initial consultation with relevant government agencies, research institutions, affected community representatives and other key stakeholders external natural and social stressors within the CIA Study Area.
8. Consult with stakeholders on cumulative impacts arising from interactions between the Project, other projects, and other stressors within the CIA Study Area.
9. Consult on the design and coordinate the implementation of management and mitigation measures with key stakeholders. This is important to ensure management of cumulative impacts is well-coordinated and implemented.
10. Disclose draft CIA for comments and feedback.

5.8 Biodiversity Management Plan Engagement

Consultations with government departments and offices and project affected families are being undertaken for the development of Biodiversity Management Plan (BMP), as a part of ESMF. The BMP consultation at this stage is focusing on:

- Establishing an effective process for Project-Affect Parties (PAPs) and other key stakeholders to participate in designing and implementing the biodiversity management (if required); and
- Identifying suitable opportunities (potential offset sites, activities and mechanisms) for achieving “like-for-like or better” biodiversity gains to balance the losses due to the development.

To guide the development of biodiversity offsets, the following consultation activities will be undertaken:

- Consult with PAPs and other key stakeholders such as NGO and government departments to identify potential offset sites, implementation mechanisms and costs;
- Consult with PAPs and other stakeholders in designing and implementing the biodiversity offset;
- Setting the specific offset activities and locations in a Biodiversity Management Strategy to seek agreement on the approach with PAPs and key stakeholders; and
- Disclose draft BMP for comments and feedback.

5 Stakeholder Engagement Management System

Implementation of this SEP will be supported by a Stakeholder Engagement Management System (**Appendix E**). The system is a tool that can be used to track stakeholder activities and grievances and report on them. The system will help track the following information:

- The stakeholder – i.e. an organisation or individual;
- A contact person's name and position or title;
- Contact details (address, telephone, email, website);
- Stakeholder group(s);
- Stakeholder analysis results including potential impacts by the Project, level of stakeholder importance, influence, key interests etc;
- Details of engagement activities – i.e. date, location, attendees and key issues raised – and responses/actions agreed; and
- Grievances and how the Project has responded to them including responses, corrective actions, responsibilities, final decision, communication on proposed resolution and agreement, due dates, closed dates, etc.

The outputs from the stakeholder mapping process (**Section 4**) will be captured in the stakeholder database as well as the outputs from the engagement activities described above. This will help ensure that issues and concerns are captured and can be fed into decision-making process and that commitments tracked over time ensuring that they are met. **Appendix E** provides examples/ templates to be utilised to track engagement activities.

6 Grievance Mechanism

This section details the grievance mechanism that will be used to identify, track, and manage grievances raised by external Project stakeholders.

6.1 Objectives

The main objective of the grievance mechanism is:

- To address grievances promptly and effectively, in a transparent manner resulting in outcomes that are seen as fair, effective and lasting;
- To provide a grievance management process that is culturally appropriate and readily accessible to all Project affected parties;
- To build trust as integral component of the Project community relations activities; and
- To enable a systematic identification of emerging issues facilitating correcting actions and pre-emptive engagement.

6.2 Use of the Existing Dispute Resolution Systems

An assessment of local systems of decision making or dispute resolution to see what can be built on for the Project grievance mechanism reveals the following:

- The Constitution of Nepal 2015 and Local Government Operation Act (LGOA) 2017 empower local judicial committees of Municipalities to deal with community-based disputes.

Sections below describe how these existing systems have been incorporated in the dispute resolution process to ensure the cultural appropriateness of the mechanism.

6.3 The Complaint Resolution System

The objective of this system is to ensure there is a robust and transparent process available for addressing complaints. This system comprises a sequential process of four (4) levels of resolution. The next level of resolution is triggered if the complaint cannot be resolved at a

lower level, although SRCTIP-Trade Component recognises and accepts that complainants may go directly to Level 4 to lodge complaints.

Box 6.1 SRCTIP-Trade Component Grievance Resolution System

Level 1: This level of resolution is for complaints that can be resolved by the E & S field team member of sub-project directly with the complainant. This level of complaint can be dealt with through immediate corrective action.

Level 2: This level of resolution is for complaints that could not be satisfactorily resolved by SRCTIP-Trade Component alone and therefore appeal to the Local Grievance Committee (also referred to as Sub-project Grievance Committee).

Level 3: If the complainants are not satisfied with the resolution proposed by the Local Sub-project Grievance Committee, they can appeal to the Project Grievance Committee.

Level 4: If the complainants do not accept the resolution or decision at level 3 then they can take legal action at the District Court. The Project does not control this level of resolution but acknowledges this process is available to stakeholders. It also acknowledges that some complainants may choose to proceed directly to this level of resolution.

Building on existing dispute resolution systems, the grievance committees will be set up as soon as possible during the Planning stage. They will be constituted as below:

- **Local Grievance Committee** (also referred to as **Sub-project Grievance Committee**): Consists of the Sub-Project Social Safeguard Specialist, Construction Contractor representatives, Ward/Municipality officials, and community representatives (especially women and youth).
- **Project Grievance Committee:** Consist of Project E & S Specialists, Construction Contractor representatives, Ward/Municipality representatives, the District Coordination Committee representative, an official from the District Administration Office, MoICS/MoALD representative, and community representatives (especially women and youth).

The Grievance Resolution System is illustrated in **Figure 6.1**.

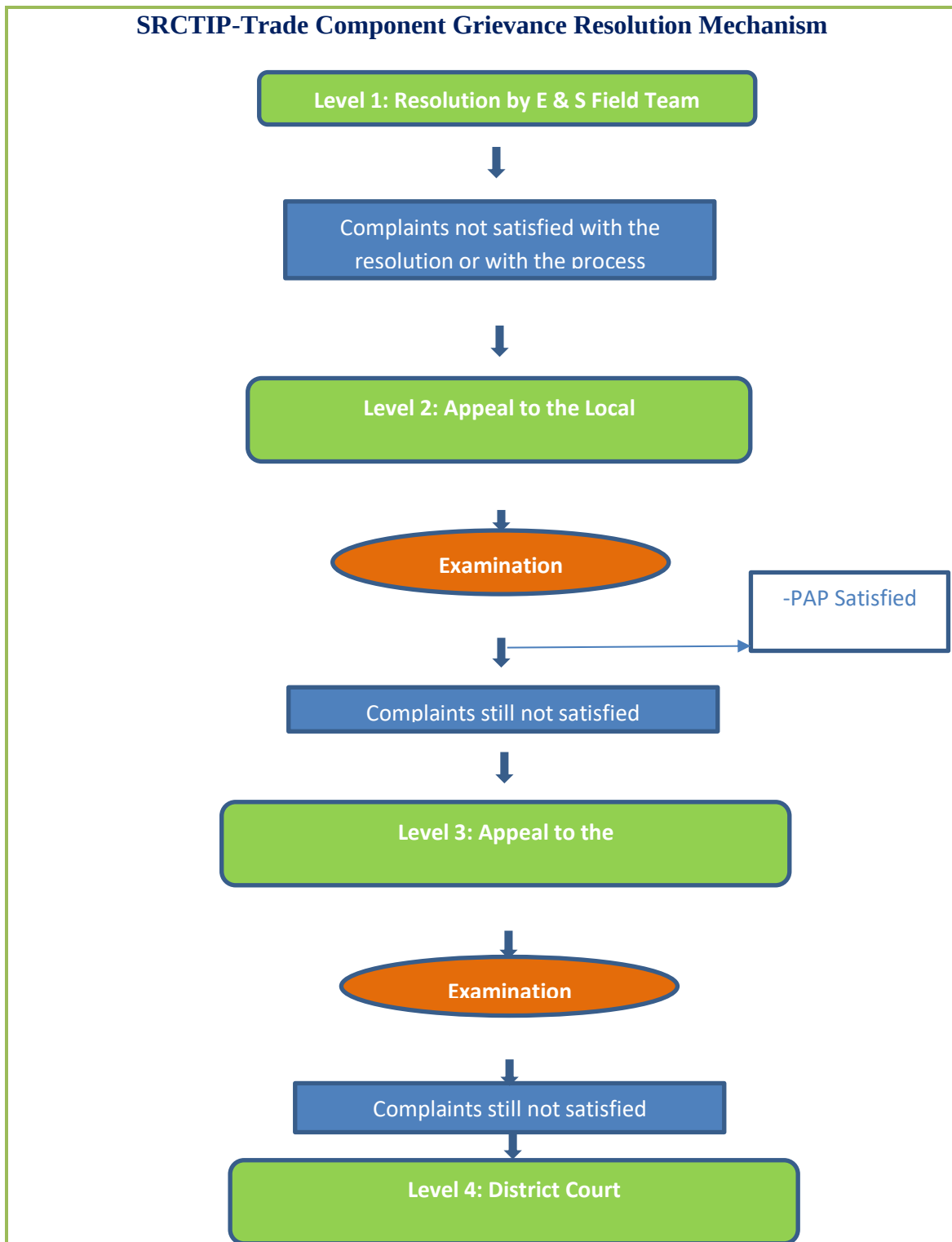


Figure 6.1 SRCTIP-Trade Component Grievance Resolution System

6.4 The Grievance Procedure

All grievances shall be managed in accordance with SRCTIP-Trade Component's Grievance Procedure (**Figure 6.2**). All grievances must be handled in a discreet and objective manner.

The Community Liaison Officers of E & S field team must take into consideration the sensitive nature of the needs and concerns of the affected communities and be responsive to the grievances made by the Project-Affected Parties, especially during the peak of the construction period.

All grievances and how they have been managed will be recorded in the Stakeholder Engagement Management System including complaint details, a summary of the grievance, the resolution or agreement on proposed actions (between the Project and the complainant), and monitoring actions taken in response to the grievance.

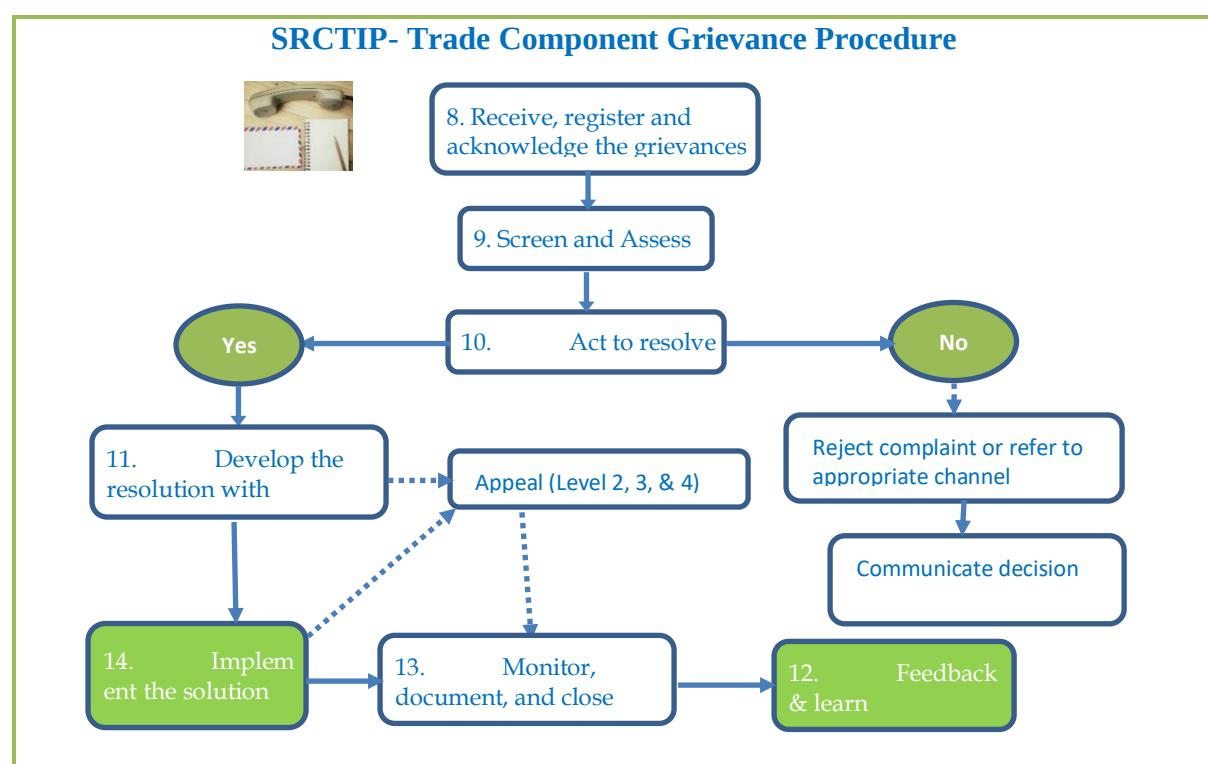


Figure 6.2 SRCTIP-Trade Component Grievance Procedure (Refer to Grievance Resolution System for Levels 2 - 4)

The key steps of the procedure are as follows:

9. Receive, register and acknowledge the grievance

A variety of methods will be available through which stakeholders can lodge grievances. This will include:

- Verbal communication with the CLOs who are stationed in the sub-project field office. For those who have difficulty reading or writing or inexperienced with the complaint process the CLOs will assist them in filling out the complaint form.
- Written communication by filling out the complaint form (**Appendix F**) provided by the CLOs. The form will also be made available at the Project Information Centre, Project field/site office, Ward Offices of the Local Government and other disclosure venues identified in the ESA consultation (**Table 4.5**).
- The complainants then can submit the complaint forms to the CLOs or drop them in the Comment Box (complaint boxes) available at Project field/site office, Ward Offices and public places, or mail them to the Project office.

The CLO who received the grievance form will **register** the grievance in their Grievance Log and the Social Safeguard Specialist will register it in Stakeholder Engagement Management System weekly. The CLO will assign a **unique grievance number** to each grievance for easy tracking.

Grievances for highly sensitive cases, and as requested by complainants, will be filed anonymously, which is essential for capturing any grievances that may arise in relation to GBV (gender-based violence) and SEA (sexual exploitation and abuse).

The CLO will provide the complainant with a **verbal acknowledgement** of the receipt of the complaint within 3 working days (phone call, text message, or a meeting) and a written acknowledgement within 7 days (email, letter). The acknowledgement will include the grievance number so the complainant can use as reference to track the status of their complaint. If the grievance is not well understood or if additional information is required, clarification should be sought from the complainant during this step.

10. Grievance is screened and assessed within 10 days of receipt. The significance of the grievance will then be assessed using the criteria outlined in **Box 0.2**.

- If the grievance is related to the Project development and can be resolved locally then proceed to the next step.
- If the complaint is not related to the Project then refer to other government departments or organisations, or judicial committee within the local government as

appropriate, reject the complaint, and communicate decision to the complainant with explanation.

11. Inform and assign responsibility

At ESA stage, it is expected that the complaints related to the Project will be rare as the Project impacts are not materialised. The Team Manager will **inform** the ESA Stakeholder Engagement Team Lead who in turn will inform MoICS/MoALD Grievance Manager of all grievances. The Grievance Manager is a member of MoICS/MoALD Project executive team.

At pre-construction onwards, the Community Relations (CR) Manager will take over the role of the ESA Stakeholder Engagement Team Lead and Grievance Manager and will be notified of all grievances and the Project Director is notified of all Level 3 grievances.

- CLOs will initiate resolution for Level 1 complaints where potential impacts and consequences are relatively low (e.g. construction truck damages local Community's fence).
- CR Manager will initiate resolution of all complaints at levels 2 and 3 and level 1 complaints that can have significant implications to the business image or performance.

Box 6.2 Significance Criteria

Level 1 Complaint: A complaint where potential impacts and/ or consequences are low that can be resolved quickly (e.g. Project construction vehicle damaging a local family's fences or cattle).

Level 2 Complaint: A complaint which is widespread and repeated (e.g. dust from construction vehicles).

Level 3 Complaint: A complaint that could potentially result in a serious breach of MoICS/MoALD policies or National law or affect MoICS/MoALD and Project image and performance (e.g. inadequate waste management).

- 12. A resolution is developed in consultation with the complainant** as soon as possible but **no later than 14 days after screening** and assessing the grievance. The responsible CLO/ CR Manager shall seek input from relevant rural municipality officials as well as Project personnel and Construction Contractors, as necessary.

The response is signed-off by the Director for level 3 grievances and the CR Manager for Level 2 and Level 1. CLOs will ask complainant for written acceptance of the resolution (or verbal if the complainant has difficult reading/ writing).

13. If the complainant does not accept the proposed solution the responsible CLO/ CR Manager shall refer to the Local/Sub-Project Grievance Committee to facilitate an agreeable resolution (Level 2 of the Grievance Resolution System). If the complainant does not accept solution proposed by the Local/Sub-project Grievance Committee they can appeal to the Project Grievance Committee (Level 3 of the Grievance Resolution System). And finally, as the last resort, they can appeal at District Court (Level 4).

14. Once the resolution is accepted by the complainant, the solution is implemented.

For relatively simple, short-term actions that can resolve the problem, the objective will be for the solution to be **implemented within 20 days** after assessing the grievance.

For solutions that take longer to address, or for which the complainants are not satisfied or additional corrective actions are required, the CLO will inform the complainants of the progress on a regular basis until the solution is completely implemented.

15. Inform the complainant once the resolution is implemented. The responsible CLO/ CR Manager will inform the complainant that the corrective actions have been implemented and confirm that the complainant is satisfied with the resolution.

16. Monitor, document the grievance resolution process and close the grievance with sign-off from the CR Manager with the Project Director approval to close out level 3 grievances. A grievance close-out form will be used (**Appendix D**). If further attention is required the CLO/ CR Manager should return to Step 2 to re-assess the grievance.

All correspondence related to the grievance must be documented in the Stakeholder Engagement Management System for monitoring, reporting and learning. This will help drive continual improvement.

7 Monitoring and Reporting

To ensure that the desired outcomes are being achieved, the SEP will be monitored throughout the Project lifecycle.

7.1 MONITORING OF STAKEHOLDER ENGAGEMENT ACTIVITIES

There are two methods through which the stakeholder engagement process will be monitored:

1. Review of engagement activities in the field:
 - During engagement with stakeholders, the E & S team will assess meetings using a feedback evaluation form or by asking questions of participants.
 - At the end of each stakeholder engagement phase, the team will debrief with the Project team to assess whether the required outcomes of the stakeholder engagement process are being achieved, and to provide the opportunity to amend the process where necessary.
2. Systematic, formal evaluation, which will occur on an annual basis or on a special circumstances when the Project has potential to face a high social risk.

7.2 EVALUATION OF STAKEHOLDER ENGAGEMENT ACTIVITIES

Performance will be reviewed on an ongoing basis to determine the effectiveness of the SEP, including the methods being used and the accuracy of the mapping results.

A formal evaluation will be done annually, during which the performance indicators set out in **Table 0.1** will be used to determine the extent to which the objectives of the SEP have been met. For the indicators related to participation and grievances filing, all data will be disaggregated according to gender and ethnicity. Information from the Stakeholder Engagement Management System and formal/informal feedback from stakeholders will be used to assess the performance indicators. The evaluation results will be used to update the SEP and will be reported internally as well as to key external stakeholders, as requested.

The annual review will be done internally, and by a third party if required. The annual review will start after the agreement on the ESCP. The Project team will undertake the first quick evaluation in six months after the start date to check if the different systems employed for the SEP are working.

The annual review will also provide a timely opportunity to review the stakeholder mapping results to ensure that the mapping results are still accurate.

The monitoring and evaluation activities and criteria will be reassessed when the IPPF emerges and a possible ongoing governance structure put in place for the IPPF. Such a structure would form a natural body for periodic and participatory evaluation.

Table 7.1 **Performance Indicators**

Objectives	Performance Indicators
Stakeholders are provided information about the Project in a timely manner	• Number of materials disseminated • Comments received on disclosure materials, positive or negative • Locations of information disclosure and who received the information
Stakeholders have an opportunity to share their views and concerns about the Project's development	• Number and type of engagement opportunities provided • Topics of engagement activities • Attendance rates • Numbers of grievances related to lack of opportunity to participate in Project development
Informed participation by Vulnerable Groups	• Number and type of engagement opportunities provided to Vulnerable Groups • Attendance rates • Representation of all sub-groups • Number and type of issues raised are satisfactorily resolved.
Positive working relationships are built and maintained over time	• Number and type of grievances lodged by stakeholders • Number of satisfactorily closed out grievances • Percentage of stakeholders taking part in engagement efforts • Community attitudes and perceptions
Engagement continues to be transparent, inclusive and appropriate throughout the Project lifecycle	• Adherence to the schedule of stakeholder engagement activities • Representation of Vulnerable Groups in engagement activities • Number and type of grievances lodged by community members • Number of satisfactorily closed out grievances

7.3 REPORTING

Closing the loop in community engagement is vital in building trust and respect with stakeholders. Letting affected people and interested parties know what has happened with the feedback provided during consultation, the importance of their contribution to the project, and what the next step will be, is not only a good practice, but also a common courtesy.

Reporting back also has other benefits such as: double checking information, testing the stakeholder's reaction to the proposed mitigation measures, and obtaining further feedback to refine the measures before implementation, getting buy-in from key stakeholders for implementation plans.

Reporting back to the stakeholders will be done through:

- Frequently updated FAQs to address new concerns that have come to light through stakeholder feedback during planning, pre-construction, construction and operations. The updated FAQs is one of the key disclosure materials for the Project throughout the Project lifecycle.
- Issues and Response Reports (“You Ask We Answer”) to be disclosed with the Draft ESA. The report will provide summary stakeholder engagement activities undertaken to date, including a description of the stakeholders consulted, a summary of the feedback received and a brief explanation of how the feedback was taken into account or the reasons why it was not.
- Updated Issues and Response Report to be disclosed with the Final ESA incorporating any feedback received during the Draft ESA consultation phase and how the feedback has been considered in the Project designs and decisions.
- Construction Issues and Response Report to be disclosed which incorporate any new issues that have come to light and concerns and queries raised by the Project stakeholders, especially the Project-Affected Parties during construction, and how the feedback has been considered in the Construction designs and decisions.

8 Roles, Responsibilities and Resources

8.1 PLANNING PHASE

The organisation chart that depicts the roles and responsibilities for implementation of the SEP at the Planning Phase is provided in **Figure 8.1**.

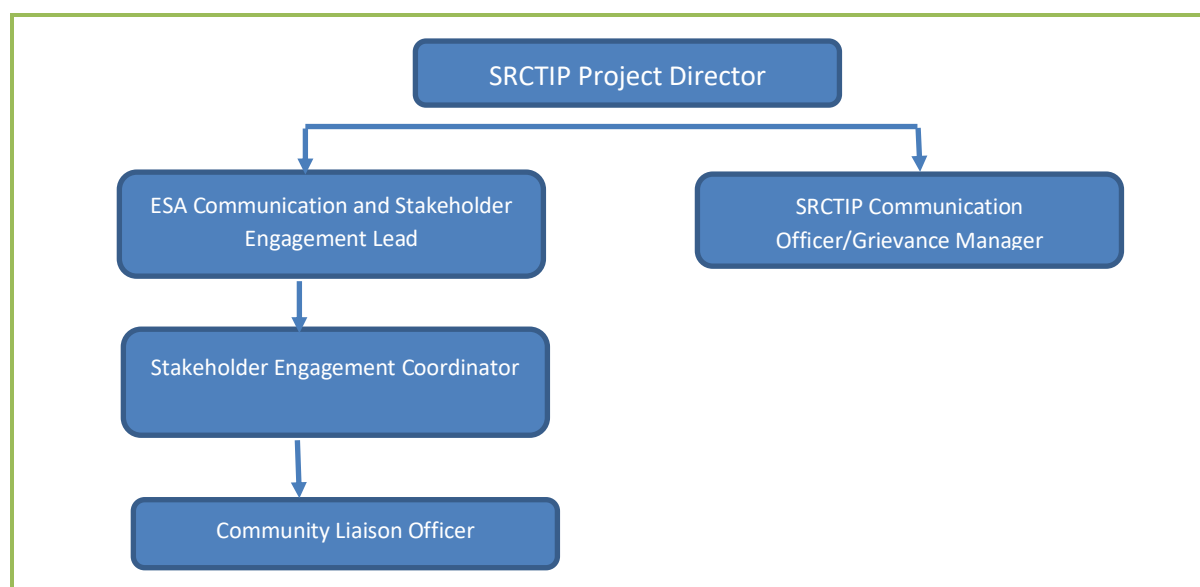


Figure 8.1 Organisational Structure during the Planning Phase

MoICS/MoALD has the overall responsibility for oversight of development and execution of the SEP. The roles and responsibilities of the planning phase stakeholder engagement team are summarised in **Table 8.1**.

Table 8.1 Roles and Responsibilities of the Planning Phase Stakeholder Engagement Team

Planning Phase Team Member	Responsibilities
SRCTIP-Trade Component Project Director	• Has the overall responsibility for oversight of development and execution of the SEP • Responsible for approving the SEP, including the annual budget required for implementation.
MoICS/MoALD Communication Officer/Grievance Manager	• Manage interactions with key national-level stakeholders in Kathmandu such as media and critical NGOs, and policy-makers, etc.

	• Provide resolutions of all grievances related to the Project according to the Grievance Mechanism
ESA Communication and Stakeholder Engagement Lead	• Lead in the implementation and monitoring of the SEP • Interface between MoICS/MoALD and the Project stakeholders • Train staff to undertake the stakeholder engagement activities outlined in the SEP • Coordinate the resolution of grievances with MoICS/MoALD Communication Officer/Grievance Manager • Monitoring and reporting on the SEP, including updates, as required, to the stakeholder mapping results • Complete ESA disclosure • Adjust the SEP to accommodate any changes.
Stakeholder Engagement Coordinator	• Assisting the ESA Communication and Stakeholder Engagement Lead in implementing the SEP • Undertaking two rounds of visits to the affected communities a month the Directly and Indirectly Affected Population • Maintaining the Project Information Centre • Being the point of contact for any grievances for the PAPs • Coordinate the CLOs activities • Help ESA experts to communicate the findings from the impact assessment process and their recommendations for reducing or mitigating impact; • Help organise community level meetings for MoICS/MoALD-WB, and Public Hearing etc; and • Register stakeholder engagement activities and results, as well as grievances in the Stakeholder Engagement Management System.
Community Liaison Officer (CLO)	• Coordinate with ward chairperson

	• Implement Project Information Mobile Libraries in their communities • Hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali • Receive stakeholder feedback and grievances, and each will maintain a log of meetings held by them • Communicate urgent issues and grievances to the team coordinator in a timely manner.
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8.2 FUTURE PHASES

At the beginning of pre-construction, the Project will appoint a Community Relations (CR) Manager who will take over the responsibility and oversight of the implementation of the SEP from MoICS/MoALD Communication Officers and the Communication and Stakeholder Engagement Lead consultant (**Figure 8.2**). This organisational structure will be reviewed periodically to ensure effectiveness of SEP implementation.

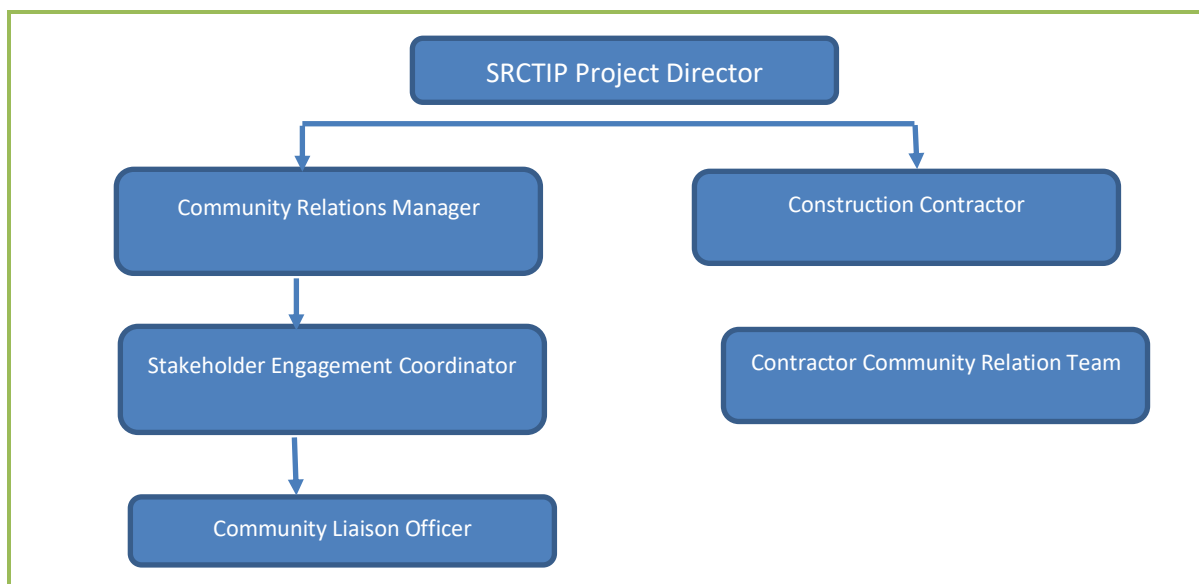


Figure 8.2 Organisational Structure for Future Phases

The roles and responsibilities of the stakeholder consultation team during the future phases of the project are summarised in **Table 8.2**.

Future Phases Stakeholder Engagement Team Member	Responsibilities
SRCTIP-Trade Component Project Director	• Responsible for approving the SEP, including the annual budget required for implementation.
Community Relations Manager	• Responsible for the overall implementation of the SEP and to ensure that grievances are resolved in a timely manner • Coordinate the engagement activities between the SEP and various frameworks/plans such as IPPF and RPF, including adjusting the SEP to accommodate any changes. • Accommodate the grievance mechanism likely to be included in the Indigenous People's Planning Framework.
Stakeholder Engagement Coordinator	• Support the CR Manager in the implementation of the SEP • Coordinating the CLOs activities on the ground, including regular training and briefings • Hold weekly meetings with CLOs (one week at the Dam site and next week at the Power-house/access road side) to examine the stakeholder engagement/feedback and grievance register records undertaken by the CLOs • Provide a weekly summary of feedback and grievances to the Communications and Stakeholder Engagement Lead and Social Team Lead
CLOs	• Implement Project Information Mobile Libraries in the PAP area • Receive training once a month on general Project information, engagement skills and techniques, various specialist topics centred on Project key risks and how the Project team plans to manage them

	• Hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali • Receive stakeholder feedback and grievances, and each will maintain a log of meetings held by them • Communicate urgent issues and grievances to the team coordinator in a timely manner
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8.3 ESTIMATED BUDGET

A tentative budget for implementing the stakeholder engagement plan over the early phase of project period which covers the Planning and Pre-Construction Phases is provided in Table 8.1. MoICS/MoALD will review this plan every six months to determine if any changes to stakeholder classification or engagement are required. If so, the plan will be updated, and a new revision distributed. The budget will be revised accordingly.

The tentative budget for stakeholder engagement related to RPF are not included in this budget as they are covered under RPF budget estimates.

Table 8.2 Draft Template for SRCTIP-Trade Component Stakeholder Engagement Plan Budget

Stakeholder Engagement Activities	Quantity	Unit Cost (USD)	Months/ Times	Total Cost (USD)	Comments
Community Relations Officer					
Stakeholder Engagement Coordinator					
ESA Communication and Stakeholder Engagement Lead					
Community Relations Manager					
CLOs					
Media staff – responsible for social media, website, media briefing					
Travel expenses					
Training of staff					
Project Information Mobile Libraries					
Stakeholder Engagement Management System					
Project Information Centre					
Communication Materials					
Project website					

Contingency (10%)					
Sub- Total Stakeholder Engagement Activities					
Grievance Mechanism Activities	Quantity	Unit Cost (USD)	Months/Times	Total Cost (USD)	Comments
Comment box					
Communication Materials and GRM handbooks					
Training – Staff and local and district grievance committees					
Grievance Mechanism Database					
Contingency (10%)					
Sub-Total Grievance Mechanism Activities					
Total Stakeholder Engagement and Grievance Mechanism Activities					

APPENDIX A: POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS AND RISKS

Environmental and Social Assessment (ESA) provides preliminary screening of potential SRCTIP-Trade Component risks relative to the World Bank Environmental and Social Framework. Refer to the Final Screening Report for details.

The potential risks and impacts mentioned in the Final Screening Report are covered by the eight World Bank Environmental and Social Standards (ESS), including ESS10 – Stakeholder Engagement and Information Disclosure (further information in **Section 2.2**). These standards include:

- ESS1: Assessment and management of environmental and social risks and impacts
- ESS2: Labour and working conditions
- ESS3: Resource efficiency and pollution prevention and management
- ESS4: Community health and safety
- ESS5: Land acquisition, restrictions on land use and involuntary resettlement
- ESS6: Biodiversity conservation and sustainable management of living natural resources
- ESS7: Indigenous Peoples/Sub-Saharan African historically underserved traditional local communities
- ESS8: Cultural heritage

MoICS/MoALD will work to meet these standards, therefore covering issues that have been raised by community members in consultation meetings with them.

APPENDIX B: PLANNED STAKEHOLDER ENGAGEMENT ACTIVITIES

Consultation and Information Disclosure during Planning Phase

Given the high profile and history of trade & transport sector development in Nepal, stakeholder engagement for the SRCTIP-TRADE COMPONENT needs to start early, during the planning process to obtain input and discuss potential concerns from Project stakeholders, to support a comprehensive impact assessment and identification of potential mitigation measures. Early engagement will lead to a greater likelihood of Project acceptance within the community. Engagement will need to continue throughout the Project lifecycle.

The ESA process is likely to be the most intense period of planned public participation for the Project to establish a strong foundation for a long-lasting and trusting relationship between MoICS/MoALD and stakeholders, in particularly the PAPs and surrounding communities, and to identify key issues and have an effect on the project decisions to which they relate.

The ESA consultation aims to achieve the following goals:

- Disclose relevant Project information to help affected communities and other stakeholders understand the risks, impacts, and opportunities for the Project in a timely, understandable, accessible and appropriate manner and format;
- Provide the affected communities and stakeholders with opportunities to express their views on Project risks, impacts, and mitigation measures;
- To solicit stakeholders' ideas, opinions, and recommendations on various alternatives; and
- To assess the level of stakeholder interest and support for the Project and to enable stakeholders' views to be taken into account in project design and environmental and social mitigation measures as well as development benefits and opportunities.

Key steps in the ESA consultation program and timeframe are provided in **Figure A.1** below.

Figure A.1 SRCTIP-TRADE COMPONENT ESA Consultation Program and Timeframe

Scoping Consultation

Scoping consultation for the ESA is well underway.

The aim of the scoping consultation is to scope stakeholder issues. It is an important step to help identify more accurately the full range of potential impacts of the Project. The results of the completed scoping consultation will be incorporated into the Draft Scoping Report, which will help form the Terms of Reference (ToR) for the ESA. **Appendix C** provides information on the scoping consultation that has been undertaken.

During consultation with PAPs, the Project team PAPs, both men and women will participate in the scoping consultation. To ensure the objective of the SEP is met and basic principles of good stakeholder engagement are followed, the gender imbalance will be addressed and managed in the ESA consultation and throughout all Project phases. See the following sections for measures to increase women participation in the Project consultation and disclosure.

Incorporating Stakeholder Feedback and Reporting Back

Stakeholder questions, issues, suggestions and feedback during the Scoping consultation will help the Project team scope the key risks and issues for the Project (See **Appendix A**) which in turn will inform the ToR for the ESA.

The key stakeholder issues also will inform the content of the ESA consultation materials such as the Project Information Document (PID), the Frequently Asked Questions (FAQs) in **Appendix D**. These materials will be disclosed widely following the disclosure channels identified in **Section 4.1.1** as a way for Project to report back to stakeholders how the Project has incorporated their feedback into Project design and decision-making.

Consultation on Draft Scoping Report and Terms of Reference for ESA

The Draft Scoping Report and ToR for the ESA will be submitted to MoICS/MoALD and the World Bank for review.

A series of expert panel workshops will be held to present the findings of the scoping process to the key stakeholders who directly or indirectly influence the Project development and seek their input.

At the district level, a meeting will be held with key stakeholders such as: the District Development Committee Office, the District Administration Office, the District Road and Transport Office, Other relevant District Offices, and local NGOs working in the area.

Similarly, at the provincial level, meetings will be conducted with key stakeholders such as:

- Kathmandu: Consultation meeting with the Members of Parliament from the Sub-Project District, MoICS/MoALD, Members of Parliament's Trade & Transport Committee and Kathmandu-based project "concerned group" members, including Trade Unions/Transport Committees.
- Province Headquarter: Consultation meeting with the Chief Minister, Ministers of provincial governments and senior officials (e.g. the Provincial Planning Commission, Secretaries, etc.), provincial Trade Unions/Transport Committees. and Provincial community service organisations (CSOs) representing women, Indigenous Peoples, Dalits and other vulnerable groups

The comments and suggestions received from the participants at the district, provincial and central levels will be collected and incorporated in the final Scoping and ToR documents.

Consultation during the ESA

Following the scoping consultation, a wider engagement program will be undertaken during the ESA baseline data collection process and impact assessment. Key consultation activities during this stage will be:

- Disclosing the Project information to affected communities and other stakeholders (as identified during the stakeholder mapping process); and
- Consulting on the scope of impacts, alternative options for Project components, and potential measures to help minimise the impacts and enhance the Project benefits.

While scoping consultation aims to involve key stakeholders in the initial scoping activities to form the ToR for the ESA, consultation during the impact assessment process is designed to reach a wider stakeholder group. This will include more intensive engagement activities to ensure all interested parties, especially women and vulnerable groups, are provided with opportunities to express their views regarding the Project and for the Project team to respond to stakeholder feedback.

Information Disclosure

The following information about the SRCTIP-Trade component will be disclosed to the stakeholders:

- PID: This document consists of a non-technical summary of the Project, development timeline and milestones, the ESA process, ESA consultation program and opportunities

for the stakeholders to participate in development of the Project, timeline and venues for engagement activities, contact details for questions and queries.

- SRCTIP-Trade Component FAQs which comprises of Project key risks and issues, and Project's plan to address them, as well as answers to key questions raised by the stakeholders during the Scoping consultation. The FAQs will be revised and updated regularly to reflect Project development and key issues that have come to light.
- Grievance mechanism: Details on how to access the grievance mechanism will be provided. This will include information on how the grievance management process will work, including the timeframes for responses.

Please refer to **Appendix D** for the Draft PID and FAQs for the Project.

The Project related information documents will be translated into Nepalese and will be brought to the PAPs by the Stakeholder Engagement Coordinator who is stationed in the local area.

The Stakeholder Engagement Coordinator will visit the communities in the PAPs twice a month and move around communities and social venues such as local markets and tea houses in the Project Areas of Influences whenever possible. CLOs stationed at sub-project site offices will undertake regular consultations with community people in these two locations.

In addition, the Project will make disclosure materials available to stakeholders via the communication channels outlined in **Table 4.2**.

Disclosure events (time and place) will be communicated to all stakeholders via the following means and methods outlined in **Section 4.2**.

Consultation Activities

Consultation activities during this period will be undertaken following the methods identified in **Section 4.3**.

In addition to introducing Project information and alternatives, and obtaining stakeholder feedback, consultation at this stage will focus on key issues identified during the Scoping phase such as environmental impacts, compensation, shares and employment opportunities, community risks, and potential mitigation measures as well as benefit enhancers.

Stakeholder feedback will be documented, collated, and analysed in the Stakeholder Engagement Management System as discussed.

Incorporating Stakeholder Feedback and Report Back

Refer to **Section 4.4** for details.

Consultation on the Draft ESA

The key objective of Draft ESA consultation is to:

- Disclose the Draft ESA and ESCP; and
- Consult on Project potential risks and impacts and proposed mitigation measures and benefit enhancers, and respond to stakeholder comments and inputs. Feedback will be incorporated them into final project designs and ESCP.

Information Disclosure

The following information will be disclosed to the stakeholders in Nepalese:

- A non-technical summary of the ESA and ESCP;
- A list of potential risks and impacts, proposed mitigation measures and benefit enhancers;
- Opportunities for comments and feedback, next steps, and contact details for questions and queries;
- Updated the SRCTIP-Trade Component FAQs based on feedback received during previous consultation activities (Impact Assessment Consultation);
- An Issues and Response Report which provides a summary stakeholder engagement activities undertaken to date, a summary of the feedback received and a brief explanation of how the feedback was taken into account or the reasons why it was not; and
- Full version of the Draft ESA, ESCP, and SEP.

Information will be disclosed via the channels established at the ESA Consultation stage (**Table 4.2**).

Consultation Activities

Consultation activities during this period will be undertaken following the methods identified in **Table 4.3**.

Incorporating Stakeholders and Report Back

Stakeholder feedback will be documented, collated, and analysed in the Stakeholder Engagement Management System as discussed in **Section 4.4**. Stakeholder comments and suggestions will be addressed and incorporated into the Final ESA and management plans.

The Project team will report back to the stakeholders about how their feedback has influenced the Project outcomes via the Issues and Response Report described above.

Pre-construction Engagement

Pre-construction engagement is designed to seamlessly continue the engagement process as the Project transitions from the ESA stage to pre-construction. The aim is to:

- Provide stakeholders with updated information about the Project and progress towards development;
- Disclose the final ESA and ESCP as well as Contractors ESMPs and related plans such as Community Health and Safety Plan, Traffic Management Plan, Worker's Camp Management Plan, etc.;
- Provide information on construction management plans such as traffic management plan, health and safety plan
- Conduct ongoing consultation related to compensation and resettlement;
- Road test the project mitigation measures and benefit enhancers; and
- Provide an update on engagement activities that will occur during construction, including the frequency in which activities will be undertaken, and the key points of contact within the Project team.

Disclosure and Consultation

Consultation materials to be disseminated during this phase include, but are not limited to:

- Project brochure – consisting of Project updates, construction activities and timelines, engagement activities during construction, details of the Project Information Centre, Project Information Mobile Libraries, point of contact for questions or queries;
- A non-technical summary of the Final ESA and ESCP;
- Updated SRCTIP-Trade Component FAQs based on feedback received during the ESA consultation;
- Updated Issues and Response Report based on feedback received during the Draft ESA consultation; and
- Full version of the Final ESA, ESCP, SEP, sub-project specific ESMPs and related plans such as Community Health and Safety Plan, Traffic Management Plan, Worker's Camp Management Plan, etc.

Information will be disclosed via the channels used during the ESA consultation period (**Table 4.2**).

Pre-construction engagement will be held at local, district, provincial and centre levels and will include all stakeholders impacted or interested in the construction phase. The complete list of stakeholders is presented in **Table 3.1** and **Table 3.2**. Consultation with stakeholders will

be via channels and methods identified during the ESA consultation phase (**Table 4.3**). Many of these channels and methods will be tested during the earlier stages of the Project to see if they meet the needs of stakeholders and modifications will be made to the SEP accordingly to ensure the effectiveness of the plan, particularly to ensure that vulnerable groups are able to engage in the process.

Incorporating Stakeholder Feedback and Report Back

Stakeholder feedback will be documented, collated, and analysed in the Stakeholder Engagement Management System. Stakeholder comments and suggestions will be filtered to the Project team to incorporate into the various construction plans.

The Project team will report back to the stakeholders about how their feedback has influenced the Project outcomes via an Updated Issues and Response Report.

Project Information Offices

The site offices of the projects will also serve as Project Information Offices (PIO) that will operate in full capacity during the pre-construction phase. See **Section 4.2** for details.

A Project website and Facebook page will be established at this stage as described in **Section 4.2**.

Engagement During Construction

Engagement during construction will focus on construction of relocation sites for resettlement and resettlement activities, together with subsequent construction of the Project facilities and land clearing activities. The main objectives of the consultation process during the construction phase are to:

- Provide regular updates to stakeholders on construction activities, in particular activities that may cause disruptions (e.g. road disruption, noisy activities, etc.), changes to construction schedule, and changes in designs, as well as various plans to manage construction-related impacts;
- Undertake stakeholder engagement to ensure compliance with and management of the construction various plans;
- Identify new issues, concerns or needs of the Project affected communities related to construction and address them promptly;
- Provide resolution of community complaints in an expedited manner whenever possible;

- Assess the effectiveness of environmental and social mitigation measures by participatory monitoring, and social monitoring in communities and direct feedback, particularly related to compensation and resettlement; and
- Identify opportunities for the Project to make a sustainable contribution to local communities and the region.

Once the Project construction begins, while the Construction Contractors will relevant stakeholders on construction related activities directly, MoICS/MoALD will remain the first point of contact with the affected communities on many issues during the construction period. MoICS/MoALD will work closely with the Construction Contractors to ensure that communications are consistent and that information is provided on hiring opportunities and practices, local workforce training, worker camps and codes of conducts, and upcoming construction activities.

MoICS/MoALD will remain in charge of community relations although it will require the Construction Contractors to have appropriate personnel to undertake parallel consultation and disclosure activities, particularly in construction schedule updates, local job opportunities and emerging issues related to their scope of work.

Error! Reference source not found.2 describes the main activities for consultation anticipated during construction. More details are provided in **Table 4.1**.

Table A.2 Engagement during Construction

Engagement Activities	Details
Regular updates about the Project	Disclosure of Project information at Project Information Centre and district government offices Local radio notices and updates (monthly or quarterly) Provincial newspaper notices and updates (quarterly and as required) Regular revision of information on the Project website and Facebook page Periodic press conferences and interactions with media, including site visits
Monitor community concerns, attitudes and progress	Identify and manage issues via a range of community relation activities including Community meetings, focus group discussions and household visits (Vulnerable Groups), written correspondence

Monitor the effectiveness of the ESCP	Assess the effectiveness of the ESCP implementation through participatory monitoring and community perception surveys
Consultation on compensation and resettlement	Ongoing consultation and negotiation with affected households, organisations and institutions. Details to be provided in the Resettlement Action Plan and Livelihood Restoration Program.
Construction Contractor activities	Construction Contractors to consult and disclose on a range of activities during construction including: • Construction activities and schedule • Additional mitigation measures/ updated ESCP • Community health and safety, workers camp code of conducts, environmental management, road access and traffic management • Hiring opportunities and practices and local worker training program
Project telephone line	For phone enquiries and complaints for regional and national stakeholders
Community enquiry line	Maintain FAQs to respond to community queries Provide mailboxes (complaint boxes) at Project Information Corners and public places
Complaints handling and management	A formal grievance mechanism has been introduced (Section 5) and will continue through to the construction phase Provide mailboxes (complaint boxes) at Project Information Centres and public places in the PAP area
National and international communications	Regular updates on the Project website and Facebook page Report annually to district, provincial and central governments Site tours as required Engage with national and international media as required

The activities outlined above are indicative of engagement activities and methods that will be undertaken for the Project construction phase. Many of these activities will be tested during the earlier stages of the Project to see if they meet the needs of stakeholders and modifications will be made accordingly based on these review processes, particularly to ensure that vulnerable groups/IPs are able to engage in the process.

Engagement during Operation

Consultation at this phase will focus on day-to-day operation of the Project, including progressive rehabilitation through to Project disclosure. The main objectives of the consultation process during Operation are to:

- Provide updates on the progress of the Project;
- Maintain constructive relationships with the communities adjacent to the Project facilities;
- Maintain awareness of environmental and safety practices in the local communities, especially emergency preparedness and response;
- Manage concerns and complaints from stakeholders and in particular PAPs and Adjacent and Surrounding Communities; and
- Monitor community attitudes towards the Project and MoICS/MoALD.

Error! Reference source not found.5 describes the main activities for consultation anticipated during operation.

Table 8.3 Engagement during Operation

Engagement Activities	Details
Updates about the Project	Brochures, fact sheets made available for Project-Affected Parties bi-annually Newsletters to district and provincial government offices bi-annually or annually Local media notices and updates once at the beginning of operation and as required Regular revision of information on the Project website Briefings of media as needed
Community relations activities	Consultation and disclosure activities will form part of day-to-day functions

	Community relations staff will be placed throughout the life of the Project to maintain relationships with local communities and other stakeholders
Environmental and safety awareness program	Provide brochures, pamphlets, and regular environmental and safety talks to relevant stakeholders
Emergency preparedness and response	Provide training, brochures and pamphlets for local communities and workforce on emergency preparedness and response Undertake emergency drills as outlined in Emergency Preparedness and Response Plan
Manage community issues and monitor community attitudes	Through a range of community relation activities including Community meetings, group discussions, household visits, community perception surveys
Project telephone line	For phone enquiries and complaints for regional and national stakeholders
Complaints handling and management	A formal grievance mechanism will be introduced (Section 5) and will continue through to the operational phase

The activities outlined above are indicative of engagement activities and methods that will be undertaken for the Project operation phase. The SEP will be updated prior to operation to provide more details on how these engagement activities will be carried out, and how the stakeholder comments and feedback will be incorporated and reported back.

APPENDIX C: SCOPING CONSULTATION

Scoping consultations for the Environmental and Social Impact Assessment will be conducted. The results of the completed scoping consultation will be incorporated into the Draft Scoping Report, which will form the Terms of Reference for the ESA.

Consultation with Project-Affected Parties

Consultation meetings with the Project Affected Persons will be undertaken in different locations. The Project team will introduce the Project to the local community people, answer questions, and obtain feedback. Community people participating during the meetings will include women, Indigenous Peoples, and Dalit participants. Key issues, suggestions and feedback that were raised across the local communities will be reported after the consultation.

Figure B.1 An example of the SRCTIP-Trade Component scoping consultation in a project site

This section will be filled up after the stakeholder consultation workshop planned on February 26, 2020.

Table B.2 provides the template for further details on the key issues raised, as well as the locations of the meetings and the attendees.

Table B.2 Template for Scoping Consultation with Local Communities and Key Suggestions and Issues Discussed

Date	Meeting Location and Communities	Attendees		Key Suggestions and Issues Discussed
		Male	Female	

The Project team will also undertake scoping consultation with other stakeholders in the Affected Parties category. This included meetings with:

Table B.3 provides the template for further details on the key issues raised, as well as the locations of the meetings and the attendees.

Table B.3 Template for Consultation with other Stakeholders in the Affected Parties Category

Date	Meeting Location and Stakeholders	Attendance	Key Suggestions and Issues Raised by Stakeholders

Consultation with Other Interested Parties

The Project team will also undertake scoping consultation meetings with other stakeholders:

- Meeting with DCC and senior district officials
- Interview on radio by MoICS/MoALD representative

Key issues, suggestions and feedback raised:

This section will be filled-up after the consultation.

Table C.1 provides template for further details on the key issues raised, as well as the locations of the meetings and the attendees.

Table C.1 Template for Scoping Consultation with Other Interested Parties and Key Suggestions and Issues Discussed

Date	Meeting Location and Stakeholders	Attendees	Key Suggestions and Issues Discussed

APPENDIX D: PROJECT INFORMATION DISCLOSURE DOCUMENTS

Documents to be listed.

APPENDIX E: STAKEHOLDER ENGAGEMENT MANAGEMENT SYSTEM TEMPLATE EXAMPLES

A stakeholder database template example is provided in **Table E.1**.

Table E.1. Stakeholder Database Template Example

Stakeholder	Contact person	Contact details	Interest/ Issues	Details of engagement		
				Engagem ent	Issues	Actions
Stakeholder group	Individual	Ward, Municipality, District, Province		Date Location Attendees	Key issues raised Response provided	Agreed actions

S . N .	Stakeholder group	Date	Location / venue	Name of Key representatives	Purpose of engagement	Method of engagement	Key outcomes & actions	Status of actions	Responded in management plan	Reference to records
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APPENDIX F: GRIEVANCE FORM AND CLOSE-OUT TEMPLATE

The grievance log and close-out template is provided in **Table R.1**.

Table F.1 Grievance Log and Close-Out Template

Grievance Form PART 1 Contact and Details	
Complaint number :	
Date:	
Recorded by:	
Complainant details (Tick the box for anonymity ☐)	
Name:	
Category [community/ contract worker/ supplier/ contractor]:	
Telephone number:	
Address:	
Preferred method of contact:	
Grievance Log PART 2 Description of grievance(s)	
Describe the grievance below.	
Mode of communication (written/ verbal/ meetings/ mediator):	
Date of grievance:	
Date of acknowledgement:	

Signatures
Recorder: Claimant: Date:
Grievance Closed Out PART 3 Resolution
Describe the steps taken to resolve the grievance and the outcome.
Department: Mode of communication for reply (meeting/ written/ verbal/ display): Date closed:
Signatures
Complainant: Project representative: Date: