

# Caribbean Renewable Energy Infrastructure Investment Facility (P180831)

## *Stakeholder Engagement Plan (SEP)* *DRAFT*

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Government of Saint Lucia

Ministry of Infrastructure, Ports, Transport, Physical Development and Urban  
Renewal



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## ACRONYMS

BESS	Battery energy storage system
CDB	Caribbean Development Bank
CERC	Contingency Emergency Response Component
CLO	Community Liaison Officer
ECCB	Eastern Caribbean Central Bank
ECCU	Eastern Caribbean Currency Union
E&S	Environmental and social
ESA	Electricity Supply Act
ESCP	Environmental and Social Commitment Plan
ESMF	Environmental and Social Management Framework
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Greenhouse gas
GRID	World Bank's agenda for Green, Resilient and Inclusive Development
IDA	International Development Association
IPF	Investment Project Financing
IPF DDO	Investment Project Financing with a Deferred Drawdown Option
IPP	independent power producers
IAEA	International Atomic Energy Agency
IRENA	International Renewable Energy Agency
LMP	Labor Management Procedures
LUCELEC	Saint Lucia Electricity Services Limited
MoF	Ministry of Finance
NDC	National Determined Contribution
NETS	National Energy Transition Strategy
NURC	National Utilities Regulatory Commission
OECS	Organisation of Eastern Caribbean States
PAP	Project-affected parties
PBC	Performance-based Conditions
PIU	Project implementation unit
PPP	Public private partnership
PSC	Project Steering Committee
RCU	Regional Coordination Unit
RE	Renewable Energy
REIIF	Renewable Energy Infrastructure Investment Facility
RSC	Regional Steering Committee
SEP	Stakeholder Engagement Plan
SLA	Service level agreements
SoP	Series of Projects
T&D	Transmission and distribution
USAID	United States Agency for International Development
USTDA	U.S. Trade and Development Agency

# 1. INTRODUCTION AND PROJECT DESCRIPTION

## Regional and Country Context

The economies of the countries in the Caribbean region limit options for offsetting the high cost of dependence on imported fossil fuels. Countries of the region do not benefit from economic diversification, varied composition of international trade, and economies of scale that can help larger countries deal with high energy costs. Additionally, some countries in the Caribbean Region are highly vulnerable to extreme weather events and climate change, which has taken a massive toll on their economies in recent years. Located in the Atlantic hurricane belt, the region is exposed to recurrent extreme weather events such as hurricanes, floods, and rising sea levels as well as subject to substantial seismic activities and associated risks such as earthquakes and volcanic eruptions. Disasters due to severe weather are estimated to have cost the Eastern Caribbean countries an average of 3.6 percent of Gross Domestic Product (GDP) between 1997 and 2016, well above the average for small states.

Caribbean countries have already made substantial strides in regional integration to overcome shared challenges but much more is required to implement the regional clean-energy transition. While regional structures are in place to address common development problems of countries in the Organisation of Eastern Caribbean States (OECS), there are multiple barriers to developing the utility-scale RE projects necessary to reduce high dependence on costly imported fuel for diesel-fired power plants and meet targets for a clean-energy transition.

Caribbean countries are committed to establishing policies and regulatory frameworks to meet their National Determined Contribution (NDC) targets, but progress could be faster. International Development Association (IDA) member countries in the OECS remain committed to their NDC targets, with a long-term strategy towards a clean energy transition. In January 2021, Saint Lucia published its updated NDC target of a seven percent reduction of greenhouse gas (GHG) relative to 2010 by 2030 in the energy sector, compared with two percent in the country's first NDC submission. Saint Lucia developed their National Green Cooling Strategies in 2020 and is in the process of updating its national energy policies and implementation action plans. However, despite these plans, results in reducing GHG have been insignificant in the Caribbean Region so far due to: (i) the lack of consistent and effective implementation by the government agencies, (ii) regulatory frameworks not yet fully functional in support of the clean-energy transition, and (iii) inadequate financial incentives as well as integration capacity of national utilities to support new RE investments.

**The Caribbean Renewable Energy Infrastructure Investment Facility (REIIF)** Project provides countries access to regional IDA to address funding needs for more renewable energy integration investment in their grids. The regional support will allow these countries to address their barriers related to scale and leverage regional IDA support, and it will ensure that national IDA will be focused on the immediate needs of these countries in terms of social sectors and disaster management. The proposed REIIF Project is designed for the countries in the Caribbean region to address shared and interlinked challenges in their energy sector and accelerate the decarbonization of the energy sector by mobilizing public and private sector financing for utility-scale RE projects.

The REIIF Project is designed as a regional program with a goal of creating an enabling environment for renewable energy and attracting major companies and investors into small island nations. This will encourage the development of interest and momentum in the countries to implement the necessary policies and infrastructure to fully benefit from regional developments. REIIF's approach of aggregating

capacity needs across member countries will create a significant enough demand for leading private players interested in deploying renewable energy projects in these countries.

### **Project Description, Development Objective, and Components**

The Caribbean Renewable Energy Infrastructure Investment Facility (REIFF) Project (hereafter referred to as the Project) is a regional Series of Projects (SoP) to create an enabling environment for renewable energy and attract major companies and investors into smaller island-countries. The SoP's programmatic framework is scalable, allowing countries in the region to join at different times. A regional approach will create interests and momentum in project countries to put in place the right policy and enabling infrastructure to take full advantage of regional developments. The Project's approach of aggregating capacity needs across countries will provide a large enough demand for leading private players to be interested in deploying solar energy in these countries. The first set of activities in the Project will be implemented at the regional level through a Regional Entity within the Eastern Caribbean Central Bank (ECCB) and at the national level in Grenada, Saint Lucia, and Saint Vincent and the Grenadines.

The Project Development Objective is to increase the share of utility-scale renewable energy generation and private sector participation in renewable energy development in the participating Caribbean countries.

The Project consists of five components that aim to address common regional barriers to RE development in the Caribbean countries. Across all components, measures to strengthen resilience have been integrated given the vulnerability of these countries to climate and natural disaster risks.

**Component 1: Regional RE Coordination Unit (RCU) Aggregation Mechanism, Institutional Strengthening, and Implementation Support.** The Regional Aggregation Mechanism is designed to streamline and enhance the development of renewable energy (RE) projects across the countries by leveraging economies of scale and facilitating regional cooperation. This component will be implemented through three key subcomponents: a) Regional Coordination Unit (RCU), b) Regional Aggregation for RE development, and c) Technical Assistance. The overarching goal is to address the unique challenges faced by individual Caribbean countries in their energy transition by pooling resources and expertise at the regional level.

**Subcomponent 1.1: Regional RE Coordination Unit (RCU) and Institutional Strengthening Mechanism.** The RCU will serve as the central entity responsible for coordinating the aggregation of RE projects across the region to offer a larger size for private sector developers. It will be established as a team of energy engineers, financial and legal experts, environmental and social (E&S) specialists. This multidisciplinary team will ensure comprehensive oversight and management of the project pipeline from inception to implementation. The primary function of the RCU will be to act as a supporting project developer and transaction advisor to the participating countries. The RCU will assist in identifying potential RE projects, assist with feasibility studies, preparing tender documentation for IPP developers' selection, and guiding projects through to commercial operation. The RCU will be responsible for overall quality assurance, coordination, and reporting for the project. Each participating country will contribute to supporting the RCU based on their overall project allocation, if needed. This subcomponent will also support the regional procurement aggregation mechanism, which is a critical aspect of the facility mechanism, focusing on consolidating RE projects across different jurisdictions to enable larger size bids. The RCU operating costs will be funded by the project during implementation period. A fee structure will be developed to cover the operating costs of the RCU to ensure it can be self-sustaining after the WB project closes.

**Subcomponent 1.2: Technical Assistance.** The Technical Assistance subcomponent is designed to build capacity and provide technical support to the national governments. This subcomponent will focus on the following areas: (i) **a capacity building program** that will focus on national PIUs and other national counterparts to enhance their skills in project management, regulatory compliance, and technical aspects of RE development through workshops, seminars, and on-the-job training. (ii) The RCU will **develop and standardize key documents** required for the aggregation and tendering processes, including power purchase agreements (PPAs), request for proposals (RFPs), contract templates, power purchase agreements, implementation agreements, interconnection agreements (iii) **Advisory Services** will be provided to address specific technical, legal, and financial issues that may arise during project development and implementation. This support will ensure that all projects meet the required standards and are aligned with the overall goals of the regional aggregation mechanism. This will include issuance of guidance notes and model documents for public private partnerships (PPPs) in renewable energy infrastructure and the development of a sustainable finance framework for participating countries and the ECCB to create the necessary systems and processes to access regional and international capital markets.

**Component 2: Risk Mitigation Mechanism.** This component will finance a risk mitigation facility, which will enable private investment for RE projects, mitigate key risks perceived by the private sector to develop utility scale RE projects, and improve the financing terms for projects. An indicative long list of utility-scale renewable energy projects has been identified in the region. Some may be in active procurement, other are at an early stage. This indicative list will evolve but it provides an idea of the potential development impacts and contribution to help countries integrate more renewables in their grids. This component will establish Risk mitigation instruments. The REIF facility mechanism is structured as an expandable concept, starting with a first phase with three countries participating (Grenada, Saint Lucia, Saint Vincent and the Grenadines) with equal shares of IDA financing to be put into the REIF fund. For the first phase of the REIF project, the following two instruments are being considered:

- (1) **Partial Credit Guarantees through equity capital in the REIF:** The IDA funding will be transformed into initial government equity capital in the REIF. This equity base serves as the capital against which REIF mechanism can then extend partial credit guarantees to participating banks. The partial credit guarantee product will provide a guarantee to the participating banks for the debt service repayments over the life of covered loans (e.g., for the duration of the RE project cycle). It also will cover termination payment risk for lenders in case of termination or non-payment by off-taker/host government to protect outstanding principal due to lenders. REIF will also offer a short-term guarantee to participating banks for working capital for the RE developers to ensure that borrowers have access to the full spectrum of debt financing needed for financially sustainable RE investment. Given the full range of risk mitigation solutions offered by REIF under Component 2 to participating banks, the guaranteed cover would range from 50-75% coverage of the underlying loan amount offered by the participating banks. This also translates into significant leverage impacts of the REIF in terms of overall lending volumes to the RE sector. The REIF will establish minimum selection criteria for participating banks to be eligible for the risk mitigation offerings and will also require certain prerequisite security from end-borrowers, including a business track record, audited financial statements, a minimum equity investment, and collateral pledged, a specific debt-service ratio, environmental and social safeguards standards.
- (2) **Contingent Liquidity Financing:** This instrument will utilize the Investment Project Financing with a Deferred Drawdown Option (IPF DDO) to provide immediate liquidity support to

participating banks in the event of moderate impact shocks that damage underlying RE projects. Such shocks could range from climatic events such as winds and rainfall from lower-intensity hurricanes, other natural disasters such as earthquake, volcanic activity, to missed payments by off-takers for other reasons. The IPF DDO liquidity will provide immediate cash from the REIF to the banks to cover any delayed payments by borrowers and ensure the loans remain performing during the recovery period (e.g., up to 18 months). The IPF DDO will not become a loan on the IDA borrower's books until drawn down and can remain open for a maximum of eight years. In this case, the three participating IDA borrowers will bear the IPF DDO loans in equal portions when drawn and the cash will pass through REIF directly to the banks. The contingency amount will be relatively small as it just covers up to three loan repayments, and once the repayments are made (or the loans are recovered), the funding will be repaid by the banks to the REIF and ultimately, back to the IDA borrowing countries. The IPF DDO can also support recovery/rebuilding measures by the governments/utilities after an emergency event to restore the power system.

**Component 3: Renewable Energy Integration and Infrastructure modernization, Institutional Strengthening, and National Implementation Support.** Modernizing the electricity grid is crucial for integrating renewable energy sources and improving the reliability and resilience of the energy infrastructure. This component will provide financing for optimization and strengthening of transmission and distribution networks of participating countries to prepare the grid infrastructure to be ready to integrate more RE generation, including battery storage. This component will finance the works associated with increasing the wheeling capacity of the existing transmission lines, upgrading the capacity of the existing primary sub-stations, or creating new primary substations in each country. The design and construction of the grid infrastructure (T&D, substations, control centers etc.) to integrate renewables will integrate climate resilient design, to strengthen infrastructure resilience to climate hazards and risks.

**Subcomponent 3.2: Procurement, installation of T&D lines, upgrade of substations and modernization of Control Centers in Saint Lucia.** This subcomponent will finance the supply and installation of (i) transmission and distribution network reinforcement to integrate more capacity in the grid, (ii) upgrading substations by increasing their capacity and or optimizing the voltage level, (iii) modernizing existing distribution or transmission control centers and or creating new ones as needed. Specifically, the component will finance (i) replacement of 66kV Gas Insulated Substation (GIS) at Castries; (ii) construction of new transmission line from Cul de Sac to Castries; and (ii) construction of new substation in the north of the island.

(Subcomponent 3.1 and 3.3 of the Project provides similar support to Grenada and Saint Vincent and the Grenadines respectively.)

**Sub-Component 3.4: Institutional strengthening and Implementation Support to National PIUs:** The sub-component will focus on supporting the national PIUs in the implementation of the project. Each country's PIU will be responsible for managing its sub-component. This sub-component will help countries in the procurement of supervisory engineer, consultancy services and preparation of any E&S instruments that might be required; it will also help countries fund PIU staff and operations. Each country's PIU will have designated funds based on support activities that need to be carried out.

**Component 4: Results-Based Incentive Mechanism for the Public Sector.** This component will provide resources through the Performance-based Conditions (PBC) mechanism. It will finance a direct incentive to participating client countries for RE policy and regulatory reforms that help RE project implementation. The disbursement is linked to the achievement of the PBC for each country. (Saint Lucia's tentative list of

PBCs are indicated in Table 1 below). The use of these incentive payments is restricted to sustainability-related public spending, which will be further defined in the project-level agreements among the World Bank and the implementing country. The milestones are to be defined to reflect the effective support of the countries to enable the materialization of the projects.

*Table 1 PBCs for Saint Lucia (Tentative List)*

PBC	PBC Description	2025	2026	2027
<b>PBC 1</b>	The regulator in collaboration with the utility will complete an Integrated Resource and Resilience Plan (IRRP) updated from the existing Integrated Resource Plan (IRP) of 2016. IRRP is approved by the Cabinet.			
<i>Amount: 0.50mn</i>		<i>0.50mn</i>		
<b>PBC 2</b>	The MIPTPDUR will elaborate the Grid Code, updated to incorporate RE and energy storage connection to transmission (standards and procedures) and cover scheduling and dispatch operational procedures taking into consideration RE and storage			
<i>Amount: 0.50mn</i>		<i>0.50mn</i>		
<b>PBC 3</b>	Financial closure of 3 MWp solar PV/BESS by 2027			
<i>Amount: 0.50mn</i>				<i>0.50mn</i>

**Component 5: Contingent Emergency Response Component.** This component, known as the Contingent Emergency Response Component (CERC), will be available if needed, to redeploy some of the project resources alongside those of other projects in specific country project portfolio to respond to an emergency. The available resources will be made available to finance emergency response activities and to address crisis and emergency needs. An Immediate Response Mechanism Coordinating Agency and expenditure management procedures will be defined in an Immediate Response Mechanism Operational Manual, to be prepared separately and approved by the World Bank, in line with guidance provided under OP 10.00, paragraph 12. In case this component is used, the project will be restructured to allocate financing, revise the PDO and indicators, and detail implementation arrangements.

**Project Cost and Financing.** The lending instrument for the proposed project is Investment Project Financing (IPF). The total project cost is estimated at US\$98.59 million. The preliminary cost estimates by component are indicated in Annex 1.

The Project is being prepared under the World Bank’s Environment and Social Framework (ESF). As per the Environmental and Social Standard 10 (ESS10) on Stakeholder Engagement and Information Disclosure, Saint Lucia’s PIU has prepared this Stakeholder Engagement Plan (SEP). This SEP should be read together with other plans prepared for the Project, including the Environmental and Social Management Framework (ESMF), the Labor Management Procedures (LMP) and the Environmental and Social Commitment Plan (ESCP).

## 2. STAKEHOLDER IDENTIFICATION AND ANALYSIS

### Objective

The overall objective of this SEP is to define a program for stakeholder engagement, including public information disclosure and consultation throughout the entire project cycle. The scope and level of detail of the SEP should be commensurate with and proportionate to the nature and scale, potential risks, and impacts of the project and the concerns of the stakeholders who may be affected by or are interested in the project. This SEP is a strategic communication plan that outlines a step-by-step process on how the



Project team will communicate with their stakeholders to increase the likelihood of positive project outcomes.

## Methodology

Through the activities outlined in this SEP, the Project will provide stakeholders with timely, relevant, understandable, and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination, and intimidation. This SEP is a living document that will be revised as needed and throughout the project cycle based on feedback from project stakeholders. This SEP will be implemented through the following activities:

- Public consultations, such as community meetings, information sessions and focus group meetings
- A grievance mechanism
- Public awareness campaigns

Public consultations are an important step to identify and evaluate the project's environmental and social risks and impacts. These consultations aim to:

- Disclose information on the project and the results of the environmental and social aspects.
- Assess the level of risk as perceived by stakeholders.
- Identify challenges and limitations.

For the purposes of effective and tailored engagement, stakeholders of the project have been identified and are divided into the following core categories: project-affected parties, other interested parties, and disadvantaged/vulnerable groups.

## Project-Affected Parties

Project-affected parties (PAPs) include persons, groups, and other entities within the Project's area of influence that are directly influenced (actually or potentially) by the Project and/or have been identified as most susceptible to change associated with the Project. They need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures. Under the Project, PAPs include a wide range of individuals and organizations that will be engaged throughout the project cycle.

Direct beneficiaries will be the **electricity consumers and citizens** with greater access to affordable, reliable, resilient, and clean electricity and other social and economic infrastructure. Transitioning away from fossil fuel electricity generation is critical not only to boost long-term growth but also to ensure that households – particularly those that are low-income and vulnerable – can access affordable clean energy through reliable access to electricity.

Given the particular focus on renewable energy, it is expected that the consumers would benefit from enhanced security against power outages through BESS systems that address the intermittent nature of solar power. This will be especially beneficial for any **critical infrastructure such as health centers, water supply, transport**. The new renewable energy additions facilitated by the REIF offer a cleaner and more affordable alternative to existing fuel-based generation, making the grid more reliable and resilient in the face of fluctuating oil prices and climate hazards. Residents will also benefit from cleaner environment and reduced air pollution from lower fossil fuel combustion in power plants.

The Project's direct beneficiaries will also be **national governments** as they will benefit from reduced import bills linked with fossil fuel imports for electricity generation that will reduce the national fiscal burden. The Project will also help reduce the pressure on foreign exchange reserves that the ECCB may need to maintain for fossil fuel imports. Additionally, mobilization of private capital for investments in renewable energy will also reduce fiscal pressure on public finance.

The Project beneficiaries will also be the **private firms and labor force** involved in supply, construction, and operation of RE infrastructure projects. By financing transformational, gender-informed, and poverty focused infrastructure interventions in the region, the REIF will directly create jobs and other income-generating opportunities. This should directly contribute to increased consumption of selected low-income and vulnerable groups, particularly young people who experience low labor rate participation rates and precarious employment.

**Private firms** in countries will benefit from REIF's long-term risk mitigation, and through technology transfers and know-how, which is an indicator that is being tracked by ECCB and countries to measure the impact of the Project's intervention.

The **ECCB, the governments, national utilities, and regulator** will directly benefit from the REIF's interventions. The facility will be able to mobilize greater amounts of investment from private developers to boost the development of utility scale renewable energy in member countries. Similarly, participating countries (Ministries, national utilities, and regulators) and the RCU in the ECCB will benefit from the institutional strengthening activities envisioned under Component 1 and Component 3, thereby enhancing their ability to support infrastructure finance in the region.

**Youth and women** will benefit from support activities included in the Project. The capacity building activities under Component 3 will help improve women and youth employability in the energy sector's technical jobs. These jobs could be across the energy sector, including within the utility, private sector companies, or the public sector.

### Other Interested Parties

The projects' stakeholders also include individuals/groups/entities that may not experience direct impacts from the project but who consider or perceive their interests as being affected by the Project and/or who could affect the Project and implementation in some way. The following stakeholders under this category will also be included in the stakeholder engagement activities:

- NGOs and civil society groups, especially those working on climate change, environment, energy efficiency and consumer rights
- Consumer's Association that represents electricity users
- The Employers Federation
- Local government entities and other community leaders that represent the local communities/PAPs, to protect the rights of inhabitants in the project area and to receive and address any project-related feedback and grievances from them
- Private sector entities that would be interested in procurement and supply chain issues related to the Project as well in supporting the transition to EE/RE technologies within key sectors and at the household level
- Development partners such as the Global Environment Facility (GEF), Pan American Health Organization/World Health Organization, U.S. Trade and Development Agency (USTDA), United States Agency for International Development (USAID), Caribbean Development Bank (CDB), Abu Dhabi Fund

for Development, the International Renewable Energy Agency (IRENA) and the International Atomic Energy Agency (IAEA) that currently have projects in the sector

- Education sector entities such as Sir Arthur Lewis Community College
- Mass media outlets, to inform residents in the Project area and the wider public about planned Project activities
- The general public, to inform them of the general socio-economic impacts of the project
- Internal stakeholders include project staff; supervision consultants; contractors; sub-contractors; service providers, suppliers, and their workers.

### Disadvantaged/vulnerable individuals and groups

Disadvantaged/vulnerable individuals and groups are potentially disproportionately affected and less able to benefit from opportunities offered by the project due to specific difficulties to access and/or understand information about the project and its environmental and social impacts and mitigation strategies. These stakeholders may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the Project. Vulnerable groups within the communities affected by the Project will be further confirmed and consulted through dedicated means, as appropriate.

Within the Project, the vulnerable or disadvantaged groups may include but are not limited to the following:

- **Low income and vulnerable households:** These communities will benefit from Project activities by improving access to more reliable, affordable, and cleaner energy.
- **Youth and women:** Capacity building activities will improve women and youth employability in the energy sector’s technical jobs.
- Communities affected by **land acquisition or economic displacement** from Project activities could also potentially be included in this category of stakeholders.

Description of the methods of engagement that will be undertaken by the project is provided in the following section. Table 2 details these three categories of stakeholders.

*Table 2 Project Stakeholder Disaggregation*

Category of Activity	Project Affected Parties	Other Interested Parties	Disadvantaged/ Vulnerable Groups/individuals
<b>General and Cross-cutting Stakeholders</b>	<ul style="list-style-type: none"> <li>• National Utilities Regulatory Commission (NURC)</li> <li>• Saint Lucia Electricity Services Ltd (LUCELEC)</li> </ul>	(External) <ul style="list-style-type: none"> <li>• General public</li> <li>• Ministries and Government agencies</li> <li>• Local government entities</li> <li>• Media</li> </ul>	<ul style="list-style-type: none"> <li>• Low income and vulnerable households</li> <li>• Youth and women</li> <li>• Potential stakeholders</li> </ul>
<b>Component 3: Renewable Energy Integration and Infrastructure Modernization, Institutional Strengthening, and National Implementation Support (Tentative list of sub-projects)</b>			
<b>Replacement of Castries Substation 66kV GIS</b>			

<p><b>Construction of new transmission line Cul de Sac to Castries</b></p>	<ul style="list-style-type: none"> <li>Stakeholders impacted by land acquisition and/or economic displacement</li> <li>Landowners from whom land would be potentially purchased, through private treaty</li> <li>Residents living along roadway where works will take place</li> <li>Drivers using the roadway where works will take place</li> <li>City Councils</li> <li>Bus Drivers Association</li> <li>Transportation commission</li> <li>Police Authority</li> <li>Saint Lucia Solid Waste Management Authority (SLSWMA)</li> </ul>	<ul style="list-style-type: none"> <li>Private Sector</li> <li>NGOs /Civil Society</li> <li>Funding agencies</li> </ul>	<p>impacted by land acquisition and/or economic displacement</p>
<p><b>Construction of new Substation</b></p>	<ul style="list-style-type: none"> <li>Project Staff</li> <li>Supervision Consultants Contractors</li> <li>Sub-contractors</li> <li>Service providers, suppliers, and their workers</li> </ul>	<p>(Internal)</p>	
<p><b>Component 4: Results-Based Incentive Mechanism for Public Sector (Tentative list of PBCs)</b></p>			
<p><b>PBC 1: Integrated Resource and Resilience Plan (IRRP) created</b></p>	<ul style="list-style-type: none"> <li>National Utilities Regulatory Commission (NURC)</li> <li>Saint Lucia Electricity Services Ltd (LUCELEC)</li> </ul>		
<p><b>PBC 2: Grid Code updated for RE</b></p>			
<p><b>PBC 3: Financial closure of 3 MWp solar PV/BESS</b></p>			
<p><b>Component 5: Contingent Emergency Response Component</b></p>			
<p><b>Emergency Response Activities</b></p>	<ul style="list-style-type: none"> <li>National Emergency Management Organization (NEMO)</li> </ul>		

### 3. STAKEHOLDER ENGAGEMENT ACTIVITIES

The project will utilize a variety of stakeholder-specific mediums in the stakeholder engagement process such as national-level public consultations, focus groups and information disclosure throughout design, implementation, and operational phases of the project.

#### Stakeholder Engagement During Project Preparation

The objectives of the stakeholders’ consultations during project preparation are as follows:

- To inform stakeholders of the proposed Project
- To garner stakeholders’ input on the Project’s design and activities
- To identify or clarify project-affected persons, other interested parties, and disadvantaged/vulnerable groups
- To foster broad based ownership of Project and its outcomes

Between September 16 and October 3, 2024, the Ministry of Infrastructure, Ports, Transport, Physical Development and Urban Renewal (the implementing agency for the Project) is conducting a series of public consultations around Saint Lucia’s new Energy Supply Services Bill. During these consultations, the Project will also be presented to stakeholders.

A series of consultations specific to the Project are also being planned to take place in October 2024. During these initial consultations, the Project will be presented to gather feedback on the Project’s objectives and activities, the grievance management process, and potential impacts and risks related to the proposed Project activities. These first consultations serve as an opportunity to gather feedback on other potential impacts and risks not yet identified in the disclosed Environmental and Social Management Framework (ESMF) and Labour Management Procedures (LMPs). (The ESMF and LMP will be disclosed via the Project’s website.) This feedback will be recorded and considered by Project staff and a summary of the main recommendations received and to be integrated into the SEP.

### Summary of methods, tools, and techniques for stakeholder engagement

The stakeholder engagement activities under the Project have two objectives: information disclosure on the Project activities and gathering feedback from stakeholders to support the objectives of the Project. To this end, the proposed engagement activities employ a range of formats, depending on the activity objective and the needs of stakeholders. These include formal, in-person meetings with government counterparts, site-level consultations at sub-project sites, focus group meetings, and site visits/walk-throughs during and after implementation.

### Stakeholder engagement program

Table 3 outlines the timeline of stakeholder activities that will take place under the Project.

*Table 3 Stakeholder Engagement Activities*

<b>Timeline</b> (Project stage)	<b>Topics</b>	<b>Methods Used</b> (Objective: Information disclosure, Feedback, Behavior Change)	<b>Target stakeholders</b>	<b>Responsibilities</b>
Prior to commencement of project activities (Preparation)	Project Objectives/ Activities  Stakeholder Engagement Plan  Grievance Management Mechanism  Environmental and Social Management Framework (ESMF)  Labor Management Procedure/Grievance Mechanism for workers	Information will be disclosed, and feedback gathered via: - Face-to-face meetings and presentations, including a national-level public consultation (Annex 2 provides guidance on a national consultation) - Email communication - The Project’s website and social media	PAPs such as LUCELEC, NURC, private sector entities, City Councils, Bus Drivers Association, and cross-sections of energy consumers  Stakeholders impacted by land acquisition and/or economic displacement  OIPs such as Consumer’s Association that represent electricity users to provide feedback on SEP and GRM; the Employers Federation to provide feedback on the LMP, and National	PIU Social and Environmental Specialists, Community Liaison Officer (CLO), Communications Officer

Timeline (Project stage)	Topics	Methods Used (Objective: Information disclosure, Feedback, Behavior Change)	Target stakeholders	Responsibilities
			Environmental Groups and relevant government agencies to provide feedback on the ESMF	
Prior to start of civil works and especially during construction activities  Monthly  (Implementation)	Environmental and Social Management Framework and any possible plans that may be applied to the sub-project works  ESMPs, Resettlement Action Plans, Cultural Heritage Plan, etc.  Stakeholder engagement activities  Grievance Management Mechanism	Prior to the start of civil works: - On-site interviews and walk-throughs with stakeholders - Informational meetings for neighboring communities on sub-project works  (Annex 3 provides guidance on site-specific consultations)  Information will be disseminated via: - The project's website - The project's social media - Mass media content (News stories/TV/radio programs on EE/RE) - Community bulletin boards - Posters  Feedback will be collected through: - The PIU staff - Site-level consultations - Grievance Mechanism - Project Social Media - Contractors on the sub-project site	PAPs, including neighboring residents, and businesses, NGO/Civil society groups  Stakeholders impacted by land acquisition and/or economic displacement  General Public  Other interested parties, such as: (Internal) Supervision Consultants, Contractors, Sub-contractors  (External) Ministries and Government agencies, Local government entities, Media, Private Sector, Development Partners	PIU Social and Environmental Specialists, Community Liaison Officer (CLO), Communications Officer
Post-construction phase Quarterly information disclosure, feedback, behavior change activities (Implementation)	Project Impacts  Grievance Management Mechanism	Information will be disseminated via: - The project's website - The project's social media  Feedback will be collected through: - Focus groups with cross-sections of energy consumers	PAPs, including site-specific groups and communities  General Public  Ministries and Government agencies, Local government entities, Media, Private Sector, Development Partners	PIU Social and Environmental Specialists, Community Liaison Officer (CLO), Communications Officer

### Strategy to Incorporate the Views of Vulnerable Groups

The Project will include targeted stakeholder engagement with vulnerable groups. The strategies that will be adopted to effectively engage and communicate to these vulnerable group will be considered during project implementation. Outreach activities will ensure that these groups are engaged in a manner that

is appropriate to their needs. Examples include gender-balanced community engagement teams; provisions for childcare, transport, and safety; online and in-person engagement activities so that stakeholders in unpaid care work can participate; communication materials and meeting formats that are child friendly or appropriate for those that are physically or visually impaired.

### Reporting Back to Stakeholders

Stakeholders will be kept informed as the Project develops, including reporting on the Project's environmental and social performance and implementation of the stakeholder engagement plan and grievance mechanism, and on the Project's overall implementation progress. Potential means for reporting back to stakeholders include via:

- The Project's Social and Environmental Specialists (via the Project website, meetings, etc.)
- During site-level meetings
- Theme-based social media
- National Radio stations (such as Hot FM, RCI and Helen 100)
- Mass media channels – news stories, press releases and radio programs

### Data Privacy

Personal data, personally identifiable information and sensitive data are likely to be collected and used by the Project in connection with the management of environmental and social risks under circumstances where measures to ensure the legitimate, appropriate, and proportionate use and processing of that data may not feature in national law or data governance regulations. Personal data is expected to be collected and processed<sup>1</sup> in the following ways:

- Stakeholder identification and consultations
- Investigation of incidents and accidents related to project activities through grievance management
- Complaints raised by individuals at the project level.

To guard against abuse of that data, the Project will incorporate best international practices for dealing with such data in such circumstances. Such measures may include, by way of example, data minimization (collecting only data that is necessary for the purpose); data accuracy (correct or erase data that are not necessary or are inaccurate); use limitations (data are only used for legitimate and related purposes); data retention (retain data only for as long as they are necessary); informing data subjects of use and processing of data; and allowing data subjects the opportunity to correct information about them, etc. In practical terms, the Project will ensure that these principles apply through assessments of existing or development of new data governance mechanisms and data standards for processing personal data in connection with parties involved in Project implementation (project implementation units, contractors, consultancy firms, etc.), including assessment or development of data sharing protocols, rules or regulations, revision of relevant regulations, and training on personal data protection.

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<sup>1</sup> Personal data processing is any operation or set of operations, automated or not, which is performed on personal data, including but not limited to collection, storage, use, transmission, disclosure, or deletion.

## 4. BUDGET AND IMPLEMENTATION OF STAKEHOLDER ENGAGEMENT ACTIVITIES

### SEP Budget

A tentative budget for implementing the stakeholder engagement plan is detailed in in Table 4. The PIU 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.

*Table 4 Budget for SEP\**

STAKEHOLDER ENGAGEMENT ACTIVITIES	UNIT COST (USD)/YEAR	YEARS	TOTAL COST (USD)	REMARKS
<b>STAFF SALARIES/TRAVEL/TRAININGS**</b>				
<i>Community Liaison Officer (CLO) (1) (Salary costs are indicative)</i>	40,000/per year	3	120,000	
<i>Training on social/environmental issues for PIU and contractor staff</i>			8,000	
<i>Contingency (10%)</i>			12,800	
		<b>Subtotal</b>	<b>140,800</b>	
<b>STAKEHOLDER ENGAGEMENT ACTIVITIES</b>				
<b>National Consultations</b> <i>(Venue, Catering, materials, travel)</i>	8,000	3	24,000	Consultations before project works begin, 1 during, 1 after completion
<b>Community/Stakeholder Meetings</b> <i>(Catering, materials, travel)</i>			30,000	Site-level meetings (before project works begin, 1 during, 1 after completion) Meetings with vulnerable groups (organized as needed)
<b>Communications Materials</b> <i>(TV/Radio content, advertisements, Print Materials, Site-based posters/banners/notice boards, Project Paraphernalia, etc.)</i>			30,000	Overall budget for communications materials
<i>Contingency (10%)</i>			8,400	
		<b>Subtotal</b>	<b>92,400</b>	
<b>GRIEVANCE MANAGEMENT ACTIVITIES</b>				
<i>Internal GR training for staff and contractors, (transport, catering, materials)</i>			4,000	Led by GRM Focal point and CLO
<i>Contingency (10%)</i>			400	
		<b>Subtotal</b>	<b>4,400</b>	
		<b>TOTAL</b>	<b>237,600</b>	

\*The budget detailed here is tentative and likely to change once the stakeholder engagement activities are further defined.

\*\*Costs for the Environmental Specialist salary, the Social Specialist salary, the services of a Communications Firm, and other travel and meeting costs are included in the overall Project budget

### Project Implementation Arrangements

The Project will set up and chair the **Regional Steering Committee (RSC)** which will include senior representatives of the governments of each participating country and will oversee Project implementation, provide strategic guidance, and facilitate decision-making on substantive Project matters. The RSC will approve annual work plans, facilitate collaboration, and meet at least annually to



assess implementation progress.

**The Regional Renewable Energy Coordinating Unit (RCU)**, hosted as an independent entity within the Regional Entity and under the strategic guidance of the RSC will coordinate the overall Project implementation, carry out activities under Components 1 and 2 and support national-level Project implementation units (PIUs) in executing Components 3, 4 and 5. The RCU will support national PIUs in identifying a pipeline of high-priority, utility-scale RE projects and aid in the preparation of these projects via feasibility studies and other assistance to ensure their readiness for an internationally competitive bidding process.

The RCU will have fiduciary responsibility for implementing Components 1 and 2. The RCU will be acting as transaction advisors to the countries, and will be responsible for overall quality assurance, coordination, and reporting for the Project to the RSC and World Bank. The RCU will lead the aggregated procurement activities on the regional level. As such, the RCU will sign individual Service Level Agreements (SLAs) with each PIU that will define their roles and responsibilities with respect to each other. The SLA will clearly outline the tasks that the RCU is expected to perform for the national PIUs specifically pertaining to centralized procurement. The SLA will also specify how the country's designated energy sector procurement authority (e.g., the regulatory authority), will assign procurement responsibilities to the RCU, as needed.

The RCU will specifically execute Component 1 activities: including project development, aggregation, tender processes for solar developers and BESS investments. Throughout all stages of project implementation, the RCU will provide technical assistance and capacity building to all stakeholders involved in the procurement process, particularly national energy ministries, regulatory authorities, and utilities. The RCU will consist of a Project Coordinator, two Renewable Energy Specialists with project financing knowledge, a T&D Specialist with BESS knowledge, a Procurement Specialist, a Financial Management Specialist, a Legal Specialist, an Environmental Specialist, a Social/Gender Specialist and support staff. The RCU will also act as secretariat of the RSC.

The existing PIU under the Saint Lucia Ministry of Infrastructure, Port, Transport, Physical Development and Urban Renewable (MIPTPDUR) will be the **National PIU in Saint Lucia** and will be leveraged with additional professional experts for the implementation of the Project activities. The PIU will include a Project Coordinator, an RE Expert, and other shared experts across energy sector projects such as an Environmental Specialist, a Social Specialist, a Community Liaison Officer (CLO), a Financial Management Specialist, Procurement Specialist and a Communications Specialist.

At the national level, a **Project Steering Committee (PSC)** under the supervision of the Ministry will be established and will include representatives of the MoF, National Utilities Regulatory Commission, and other government stakeholders. The PSC will coordinate and oversee the project activities at national level.

A Grievance Management Committee will address complicated complaints, as needed (See Section 5). The stakeholder engagement activities will be documented through a Project-specific website, a grievance/feedback database, and a stakeholder engagement log.

## 5. GRIEVANCE MECHANISM

### Objectives of the Grievance Mechanism

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Saint Lucia and the WB are committed to enhancing opportunities for grievance management, collaborative problem solving, and alternative dispute resolution for the Project. The Project and its associated activities may have some short term and reversible impacts. The Grievance Mechanism is a tool for early identification, assessment, and resolution of complaints regarding any anticipated and unanticipated risks that would be encountered during implementation as well as for receiving feedback to inform project activities. The Grievance Mechanism aims to resolve complaints and grievances in a timely, effective, and efficient manner that satisfies all parties involved.

## Implementation structure

The implementation structure for the Grievance Mechanism is the following:

- **PIU level:** the Social Specialist will be the project's Grievance Coordinator. With the support of the CLOs, the Grievance Coordinator will receive and examine grievances/feedback at the PIU level, maintain a project-wide database of filed grievances and their redressal process, monitor the project activities of contractors and consultants on management of grievances, and prepare quarterly progress reports on grievances received.
- **The Grievance Management Committee:** The Grievance Management Committee is chaired by the PIU head and composed of the Grievance Coordinator, the Environment Specialist, a representative from LUCELEC, and a representative from the National Utilities Regulatory Commission. The Committee will review complicated grievances that cannot be resolved through the Grievance Coordinator. Others will be included in Committee meetings as needed and depending on the nature of the complaint.
- **Sub-project site level:** The relevant CLO will receive and record grievances from stakeholders. Once received, the grievance is relayed to the Grievance Coordinator within the PIU.
- **Contractor level:** Contractors will designate a person to receive, record and investigate grievances. Once received, the grievance is relayed to the Grievance Coordinator within the PIU.

## The Grievance Redress Process

The process for grievance management is as follows:

1. **Receive grievance/feedback:** All grievances/feedback can be received by the PIU staff, sub-project site focal points or by any other person on a sub-project, including a contractor or other designated person. Through the consultation process, stakeholders will be informed of various avenues through which grievances/feedback can be filed, including at the sub-project level (suggestion/grievance boxes will be available in each building during construction works) or directly to the PIU. At the contractor/subcontractor level, the Environmental and Social Management Plans (ESMPs) will reflect site specific channels and contact point of entry for grievances. The points of receipt of grievances/feedback are detailed in Table 5.
2. **Processing:** Within 24 hours of receipt, the Grievance Coordinator will categorize the grievance (high, medium, low priority) and forward grievances/feedback to relevant persons at the sub-project level or within the PIU.
3. **Acknowledgement of grievance:** All grievances will be acknowledged by telephone or in writing by the Grievance Coordinator within 24 hours of receipt of the grievance. The grievant should be informed of the approximate timeline for addressing the complaint if it cannot be addressed immediately.

4. **Verification, investigation, action:** The Grievance Coordinator will investigate the complaint. This investigation will include, but is not limited to, meetings with the grievant, site visits, meetings/interviews with project staff and collection of relevant documentation and other forms of evidence. For meetings, the deliberations and decision will be recorded on a Meeting Record Form. Community representatives or representatives of the grievant will be allowed to sit in at these meetings. The Grievance Coordinator will work with the relevant authorities and with project contractors to ensure speedy resolution of grievances. If the complaint cannot be resolved by the Grievance Coordinator, it will be reviewed by the Grievance Management Committee.
5. **Monitoring and evaluation:** Data on complaints will be collected in the Grievance Management Registration and Monitoring Sheet and reported to the NCC and WB on a quarterly basis.
6. **Provision of feedback:** Feedback from grievant regarding their satisfaction with complaint resolution is collected within a month after the grievance is resolved.

**Table 5 Grievance Redress Management Process**

Step	Description of Grievance Management Process	Responsible Entity	Time Frame
1. Receiving Grievance/Feedback	PIU level, Saint Lucia's Ministry of Infrastructure, Ports, Transport, Physical Development and Urban Renewal Union Complex, Union, Castries Tel: (758) 468-4300  Intake channels: In-person, in writing, Project site, telephone, fax, emails, SMS, Whatsapp, Facebook page, Grievance submission form	Grievance Coordinator	Ongoing and available to project stakeholders during all stages of project
	Sub-project site level  Intake channels: in person, in writing, telephone, SMS, Whatsapp, suggestion/grievance box	Designated CLO	
	Contractor  Intake channels: grievants may file a complaint at a sub-project site via a suggestion/grievance box or in-person in writing, telephone, SMS, or Whatsapp with the contractor	Contractor-Designated Grievance Manager	
2. Processing	Any complaint received is categorized (high, medium, low priority) and forwarded to relevant sub-project focal points or PIU. Then the grievance is logged in the Grievance Management Registration and Monitoring Sheet	Grievance Coordinator	Within 24 hours of receipt
3. Acknowledgement	Receipt of the grievance is acknowledged to the grievant and informed of the approximate timeline for addressing the complaint if it can't be addressed immediately.	Grievance Coordinator	Within 24 hours of receipt
4. Verification, investigation, action	Investigation of the complaint is led by the Grievance Coordinator (and if needed, the Grievance Management Committee) and a proposed resolution is formulated and communicated to the grievant	Grievance Coordinator in collaboration with relevant Ministries, and Grievance Management Committee (for complex cases)	No later than 30 working days

5. Monitoring and evaluation	Data on complaints are collected in the Grievance Management Registration and Monitoring Sheet and reported to the NCC and WB	GRM Focal point	Quarterly reporting
6. Provision of feedback	Feedback from grievant regarding satisfaction with complaint resolution is collected	GRM Focal Point	Within 1 month after resolution

Meetings with the grievant will be recorded and decisions will be communicated to the grievant formally. If she/he accepts the resolutions, the grievant’s acceptance will be obtained on the disclosure format in Annex 6. It is expected that the complaint will be resolved at this level no later than 30 working days of receipt of the original complaint. If the affected party does not agree with the resolution by the Grievance Management process, or there is a time delay of more than 60 working days in resolving the issue, the grievant can opt to consider taking legal recourse within the local courts.

## 6. MONITORING AND REPORTING

### Monitoring Stakeholder Engagement

A number of key performance indicators will also be monitored by the project on a regular basis, including the following parameters:

**General:**

- The number of consultation meetings and public discussions conducted quarterly

**Information Dissemination:**

- The number of national broadcasts related to the Project (such as notices, radio and tv talk shows)
- The number of WhatsApp and social media groups engaged

**Feedback Gathering:**

- The number of recommendations gathered in consultations during Project implementation
- The number of recommendations that were integrated into the Project design
- The number of participants in site-level meetings

**Grievance Management:**

- The numbers and types of grievances received within a quarterly period
- Percentage of grievants by gender
- The number of grievances resolved within the prescribed timeline

### Reporting on Stakeholder Engagement

The SEP will be periodically revised and updated as necessary during project implementation. Quarterly summaries on stakeholder engagement activities and reports on public suggestions and grievances, together with the status of implementation of associated corrective/preventative actions will be collated by responsible staff and referred to the senior management of the project.

The quarterly summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project’s ability to address those in a timely and effective manner. Information on public engagement activities undertaken by the Project during the year will be conveyed to stakeholders through publication of a standalone annual report.

## ANNEX 1: PROJECT COST AND FINANCING BY COMPONENT

#	Components	Total amount (\$MN)
<b>1</b>	<b>Regional coordination RE Unit (RCU), Institutional Strengthening, and Implementation Support</b>	<b>5.00</b>
1.1	Regional RE Coordination Unit (RCU) and Institutional Strengthening	3.00
1.2	Technical Assistance	2.00
<b>2</b>	<b>Risk Mitigation Mechanism</b>	<b>30.00</b>
2.1	Saint Lucia-contribution	6.50
2.2	Grenada-contribution	7.00
2.3	Saint Vincent and the Grenadines	6.50
<b>3</b>	<b>Renewable Energy Integration and Infrastructure modernization, Institutional Strengthening, and National Implementation Support</b>	<b>67.00</b>
<b>3.1</b>	<b>Saint Lucia- Renewable Energy Integration and Infrastructure modernization</b>	<b>19.00</b>
<b>3.2</b>	<b>Grenada- Renewable Energy Integration and Infrastructure modernization</b>	<b>19.00</b>
<b>3.3</b>	<b>Saint Vincent and the Grenadines -Renewable Energy Integration and Infrastructure modernization</b>	<b>20.00</b>
<b>3.4</b>	<b>Implementation Support to National PIUs</b>	<b>9.00</b>
<b>3.4 (i)</b>	<b>Saint Lucia-Institutional Strengthening, and National Implementation Support</b>	<b>3.00</b>
<b>3.4 (ii)</b>	<b>Grenada: Institutional Strengthening, and National Implementation Support</b>	<b>3.00</b>
<b>3.4 (iii)</b>	<b>Saint Vincent and the Grenadines - Institutional Strengthening, and National Implementation Support</b>	<b>3.00</b>
<b>4</b>	<b>Results-Based Incentive Mechanism for the Public Sector</b>	<b>4.50</b>
4.1	Saint Lucia	1.50
4.2	Grenada	1.50
4.3	Saint Vincent and the Grenadines	1.50
<b>5</b>	<b>Contingent Emergency Response</b>	<b>0.00</b>
	<b>Total Project Costs</b>	<b>106.50</b>
	<b>Total Financing</b>	<b>106.50</b>

## ANNEX 2: DRAFT NATIONAL PUBLIC CONSULTATION MEETING AGENDA

<b>LOCATION</b>	National level public consultations were held on (date) at (location), from (time) to (time).
<b>OBJECTIVE</b>	National level public consultations aimed to present the main development goals of the Project to key local and national-level stakeholders. The consultations are designed to encourage open, transparent, and active public participation to integrate concerns, comments and remarks on the project and the draft SEP.
<b>INVITEES AND FORMAT</b>	Stakeholders will be invited via e-mail to participate in a hybrid (in-person/videoconference) consultation process. The public announcement for the consultations will be posted on (website).
<b>AGENDA</b>	<p><b>Project Presentation:</b> Context (why the need for the project), Project objectives, Project activities</p> <p><b>Overview of project interventions</b></p> <p><b>Positive/negative impacts for the community</b></p> <p><b>Break out Group Sessions by sector/interest to discuss:</b></p> <ul style="list-style-type: none"> <li>• Do these interventions align with your needs?</li> <li>• What other interventions can be added?</li> </ul> <p><b>GRM process:</b></p> <ul style="list-style-type: none"> <li>• GRM objectives</li> <li>• Channels for filing grievances/feedback</li> <li>• GR process/timeline</li> </ul> <p><b>Closing Remarks</b></p>
<b>STAKEHOLDER COMMENTS</b>	The discussion after the presentation of the project and the SEP included the following comments/recommendations:
<b>RESPONSE TO COMMENTS</b>	<i>(A summary of the main recommendations integrated into the Stakeholder Engagement Plan)</i>
<b>NEXT STEPS</b>	<i>(Describe finalization/disclosure process of the SEP/ Environmental and Social Management Framework)</i>
<b>CONSULTATION MATERIALS</b>	<i>(Photos, links to video recordings, materials shared during meeting)</i>
<b>ATTENDANCE</b>	<i>(List of organizations invited and in attendance)</i>

## ANNEX 3: SITE SPECIFIC CONSULTATION AGENDA

The Project will conduct consultations with stakeholders at the site-level during the preparation, implementation, and post-construction phases. These consultations will be carried out by Project staff (the Environmental Specialist, the Social Specialist, the site-designated CLO in identifying and convening stakeholders as well as organizing the consultations.

### **Project Presentation:**

- Context and why the need for the Project
- Project objectives
- General Project activities

### **Specific project interventions at the sub-project site**

### **Positive/negative impacts for sub-project site stakeholders and mitigation measures**

### **Grievance management process:**

- Grievance management objectives
- Channels for filing grievances/feedback
- Grievance management process/timeline
- Reporting back on site-level grievances

### **Reporting back to stakeholders:**

- Project's environmental and social performance at the site
- Implementation of the stakeholder engagement plan and performance of the grievance mechanism at the site-level
- Project's overall implementation progress

### **Q&A/Discussion:**

- Do these interventions align with your needs? (preparation phase)
- What other interventions can be added? (preparation phase)
- What is the best way to get your feedback on the project?
- What is the best way to report back to you on the project's activities at various stages? (preparation phase)

### **Template to Capture Consultation Minutes**

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

## ANNEX 4: GRIEVANCE SUBMISSION FORM

<b>Date received:</b>	<b>Date: (dd-mm-yyyy)</b>	
<b>Grievant Name</b>		<input type="checkbox"/> Please keep my name confidential
<b>Other Information:</b>	<i>(Relevant information on the stakeholder (such as are they a nearby resident/business, project staff, or general public, does the stakeholder belong to a vulnerable group such as by gender, income, physical/visual able)</i>	
<b>Contact Information:</b>	<b>Phone:</b> <b>Email address:</b> <b>Address:</b>  (Please indicate the preferred method of communication)	
<b>Details of grievance:</b> (Who, what, when, where)	<input type="checkbox"/> One-time incident/complaint <input type="checkbox"/> Happened more than once (indicate how many times): _____ <input type="checkbox"/> Ongoing (a currently existing problem)	
<b>How would you like to see issue resolved?</b>		
<b>Attachments to the grievance:</b> (e.g., pictures, reports etc.)	List here:	

\_\_\_\_\_  
Grievant Signature (if applicable)

\_\_\_\_\_  
Date (DD/MM/YYYY)

\_\_\_\_\_  
Signature-Project personnel (to confirm receipt only)

\_\_\_\_\_  
Date (DD/MM/YYYY)

**For PIU use only:**

**Grievance Category:**

- Construction Quality/Equipment
- Worker Safety
- Power outages



Waste Management  
 Traffic/Road Access  
 Problem with staff (Project/Contractor/Sub-project site)  
 Consultations related  
 Trainings related  
 Other (specify) \_\_\_\_\_

**Grievance No:** \_\_\_\_\_

**Priority Level: Low/Medium/High** \_\_\_\_\_

**Grievance Owner/ Department:** \_\_\_\_\_

# ANNEX 5: GRIEVANCE MANAGEMENT REGISTRATION AND MONITORING SHEET

No.	Name of Grievant	Date Received	Grievance uptake channel used	Location/ sub-project site, if applicable	Gender of grievant	Grievance category	Grievance Description	Further Intervention?	Action(s) taken by PIU	Resolution Accepted/ Not Accepted Y/N	Date	Grievant Satisfaction score (1: Highly Unsatisfied-5: Highly Satisfied)

## ANNEX 6: GRIEVANCE DISCLOSURE/RELEASE FORM

### Result of Grievance Management

<b>Grievance No:</b>	
<b>Name of Grievant:</b>	
<b>Date Filed:</b>	
<b>Summary of Grievance:</b>	
<b>Summary of Resolution:</b>	
<b>Satisfaction Score of Grievant</b> <b>(1: highly unsatisfied – 5: highly satisfied)</b>	
<b>Date of grievance resolution</b> <b>(DD/MM/YYYY):</b>	

<b>Signature of Grievant in acceptance of the suggested grievance resolution:</b>	<b>Name:</b>
<b>ID type and number:</b>	<b>Date (DD/MM/YYYY):</b>

<b>Signature of Social Development Specialist</b>	<b>Signature of PIU Head:</b>

<b>Name:</b>	<b>Name:</b>
<b>Place:</b>	<b>Place:</b>
<b>Date (DD/MM/YYYY):</b>	<b>Date (DD/MM/YYYY):</b>