APPENDIX B: ITEZHI-TEZHI HYDROPOWER PROJECT STAKEHOLDER ENGAGEMENT PLAN
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<th>Rev</th>
<th>Date</th>
<th>Details</th>
<th>Prepared by</th>
<th>Reviewed by</th>
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<td>1</td>
<td>September, 2012</td>
<td>Draft SEP</td>
<td>Vanessa Sanderson Social Consultant Leo Drynan</td>
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## Abbreviations

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<td>AfDB</td>
<td>African Development Bank</td>
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<tr>
<td>CBO</td>
<td>Community Based Organisation</td>
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<tr>
<td>ECZ</td>
<td>Environmental Council of Zambia</td>
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<tr>
<td>EIA</td>
<td>Environmental Impact Assessment</td>
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<tr>
<td>ESIA</td>
<td>Environmental and Social Impact Assessment</td>
</tr>
<tr>
<td>ESMPs</td>
<td>Environment and Social Management Plans</td>
</tr>
<tr>
<td>IFC</td>
<td>International Finance Corporation</td>
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<td>IFI</td>
<td>International Financial Institutions</td>
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<tr>
<td>ITPC</td>
<td>Itezhi Tezhi Power Corporation</td>
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<td>ITT</td>
<td>Itezhi-Tezhi Dam</td>
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<tr>
<td>NGO</td>
<td>Non-governmental Organisation</td>
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<td>PAI</td>
<td>Project Area of Impact</td>
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<td>PS</td>
<td>Performance Standard</td>
</tr>
<tr>
<td>SEP</td>
<td>Stakeholder Engagement Plan</td>
</tr>
<tr>
<td>ToR</td>
<td>Terms of Reference</td>
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INTRODUCTION

1.1 Document Context

This document details the Stakeholder Engagement Plan (SEP) that describes the process of engagement proposed to be undertaken with stakeholders for the Itezhi Tezhi Hydropower Project (hereafter referred to as the "Project"). The Project is being undertaken by the Itezhi Tezhi Power Corporation (ITPC).

This SEP has been prepared in conjunction with the Environmental and Social Impact Assessment (ESIA) process for the Project. Through the ESIA, the potential environmental and social impacts of the Project are assessed in accordance with international best practice, such as the International Finance Corporation’s (IFC’s) Performance Standards (PS).

Similarly, this SEP is based on the principles and guidance presented in IFC PS 1: Assessment and Management of Environmental and Social Risks and Impacts. Accordingly, the SEP will ensure that engagement undertaken is both appropriate for the cultural context and complies with Zambian and international legal requirements.

Although the SEP forms part of the Project’s ESIA work, it is noted that environmental approval for the Project has already been granted by the Zambian Environmental Management Agency (ZEMA) (26/1/2009 – ECZ/INS/101/4/1) following submission of an Environmental Impact Assessment (EIA), compliant with national standards, to ZEMA. Following the issue of environmental approval, construction works have commenced for the Project. This SEP does not cover engagement undertaken as part of the EIA preparation and approval process, but rather is forward looking and intended to manage stakeholder engagement throughout the ESIA development and construction and operation phases of the Project. Specifically, it will focus on:

- Undertaking meaningful consultations as part of ESIA report preparation to obtain Broad Community Support;
- Establishing an initial strategy for a wider range of stakeholder engagement activities in the post-approval phase (construction, operations and decommissioning); and
- Provision of a grievance procedure to enable individuals and groups to make grievances and for grievances to be resolved in a transparent manner.

1.2 Project History and Overview

1.2.1 Project History

The Itezhi Tezhi Hydropower Project will establish a hydroelectric power plant on the existing Itezhi Tezhi Dam (ITT). The dam is located on the Kafue River, 295km upstream from its confluence with the Zambezi River. The ITT Dam was completed in 1978 to provide seasonal regulation to the flow of the Kafue River and expansion stable water supply to the Kafue Gorge Hydroelectric Project (currently in operation).

ITT is a rock fill dam with a maximum height of 51m, a crest length of approximately 1,400m and a total reservoir storage volume of 6,000Mm³. The flow of water over the dam is controlled by a gated spillway at the top of the dam wall.
In addition to discharging through the main gates, during the original construction of the ITT, two river diversion tunnels (north and south tunnels) each with a gated intake were constructed in the southern dam abutment. Following completion of the dam, the southern diversion tunnel was closed to flow by a concrete seal plug. The northern diversion tunnel had a radial regulation gate installed in it to provide a Low Level Outlet for the reservoir.

The project involves the establishment of a 120MW hydroelectric power plant, immediately adjacent to the ITT, on the southern bank of the Kafue River (Figure 1). The southern diversion tunnel is proposed to be unplugged and the tunnel extended to connect to the plant. After passing through the plants turbines, the flow will be discharged into the Kafue River, approximately 100m downstream of the northern diversion tunnel outlet. The power plant will be a base load system and, as such, the rate of discharge will be relatively constant over a 24 hour period. The increased discharge associated with the operation of the power plant will be coupled with an associated decrease in discharge through the main spillway to ensure overall flow patterns are not significantly altered by the Project.

**Figure 1 - Location of the Project**

In addition to the power plant, the Project will also involve the development of a number of permanent ancillary facilities (Figure 2), including:

- A switchyard for the powerhouse;
- A construction workshop;
- An employee accommodation camp;
- A sewage treatment plant servicing the employee accommodation camp; and
A water treatment plant (connect by pipeline to the reservoir) servicing employees and local residents. During construction a range of temporary facilities will also be required, including:

- A construction workshop;
- A rock crushing site (excess rock to be sold to the local community);
- A explosives magazine; and
- A concrete batching plant.

**Figure 2 – Development locations of ancillary facilities for the Project**

### 1.2.2 Potential Environmental and Social Issues

The Project is envisaged to provide substantial benefits, although there will may also be potential environmental and social impacts. The different phases of the Project, such as construction and operation, are likely to have different impacts and affect stakeholders differently.

Overall, the Project will bring employment and create jobs (largely those requiring unskilled workers) that are anticipated to be filled by Itezhi Tezhi residents and nationals of Zambia. The development may also act as a catalyst for further development and investment into the area. In particular, in operation the Project will provide an improved source of power for the residents of Itezhi Tezhi. It is considered likely that this will encourage growth and development of the township.
Ancillary facilities associated with the Project such as the water treatment plant, and rock crushing site will also provide resources to benefit the local community. The proposed employee accommodation will increase demand for local produce, products and services.

However, it is also acknowledged that the Project may lead to induced migration into the region, potentially causing disturbance through anti-social behaviour, a rise in infectious diseases and increased competition for resources (e.g. firewood, potable water and health facilities). In addition, there is the potential for Project activities to lead to noise, dust, vibration and light pollution as well health and safety risks (e.g. increased accidents from increased traffic on heavily pedestrianised roads).

Most significantly, there is the potential for the Project to alter both the quality of the water discharged from the dam and the volume of water discharged. Alterations to these parameters may affect direct use of the waterways, as well as aquatic and riparian systems. Of particular importance are the potential impacts upon the fishing communities (and their livelihoods) downstream of the dam, should water quality levels degrade and detrimentally impact fish stock levels. Potential water quality impacts are associated with the potential long term accumulation of heavy metals within the Itezhi Tezhi reservoir (e.g. run-off from upstream copper mines) and anoxic conditions associated with the nutrient rich waters at the base of the reservoir.

1.2.3 Government Approval

National environmental approval, with associated terms and conditions, for the Project’s scope of works was issued on 26/1/2009 by ZEMA (then the Environmental Council of Zambia). This approval was based upon an EIA prepared by ZESCO in 2006, and then updated following an Addendum in 2009 to include an above ground power plant rather than a below ground power plant.

The EIA and subsequent addendum were prepared to Zambian national standards, and did not consider IFC PS in regards to environmental or social aspects. A gap analysis of the works undertaken from within this EIA with regard to IFC PS (URS, 2011) indicated that the stakeholder consultation undertaken as part of the EIA scoping, preparation and disclosure does not meet the IFC PS. Specifically, it was noted that:

- No scoping report was prepared, preventing any consultation at the scoping stage being undertaken;
- The EIA report states that all major institutions were represented and that meetings were held with the relevant stakeholders at the downstream villages of Musangwa and Laingo. However, the EIA does not state which institutions were consulted or how. Similarly, there are a range of additional villages downstream of the dam which would require consultation under IFC PS; and
- There is no specified process/plan for ongoing stakeholder engagement.

The EIA was publically disclosed in accordance with Zambian requirements and approved by the Zambian government.
1.3 Purpose of the SEP

As a national EIA has already been prepared, disclosed and approved, and construction works have already commenced, it is acknowledged that the potential for further stakeholder engagement to aid in the governmental decision-making process has passed. However, even though the original EIA has been approved and construction is going ahead there is still the opportunity for the updated ESIA and associated stakeholder engagement process to identify and mitigate impacts that may have been understated in the original EIA or have arisen subsequently.

This SEP does not attempt to fill the specific gaps associated with engagement undertaken as part of prior EIA. Rather, the purpose of the SEP is to establish an IFC PS compliant engagement programme for the project moving forward from the associated ESIA and through its construction and operation phase. Where possible, this will involve engaging with all relevant community members and institutions that would have been consulted under an IFC PS compliant ESIA and establish Broad Community Support for the Project.

This SEP identifies relevant stakeholders, the approach to engagement, and indicates how this differs between consultation undertaken during the ESIA and construction and operation stages. Specifically, the SEP aims to:

- Build and maintain on-going relationships with stakeholders;
- Provide culturally appropriate, adequate and timely information on the Project to stakeholders;
- Provide culturally appropriate and timely opportunities for stakeholders to express their opinions and concerns in relation to the ESIA and Project development;
- Support compliance with international and national requirements;
- Ensure that Project decisions consider stakeholder priorities, views and concerns and that these are reflected in the ESIA and Project management decisions where considered appropriate;
- Reduce the potential for delays in decision-making or the need for costly redesign of operations/facilities; and
- Help stakeholders understand the Project’s corporate and operational aims and requirements and have confidence in the Project’s ability to manage risk in a responsible manner.

Achieving these objectives will ensure that all stakeholder consultations undertaken as part of this plan are in-line with the principles of Free, Prior and Informed Consultation.

This document has been formed as part of the current ESIA phase; however, it is a live document that will need to be updated and amended in later stages of construction, operation and closure of the Project.

1.4 Structure of this Plan

The SEP is structured as follows:
• Introduction
• Prior Stakeholder Engagement
• Stakeholder Engagement and Information Disclosure Requirements
• Stakeholder Identification
• Stakeholder Engagement Strategy and Plan
• Stakeholder Consultation and Management Process
• Grievance Procedure
• Recording and Monitoring Stakeholder Engagement

Annex A: Consultation and Minutes template
Annex B: Feedback Form
Annex C: Grievance Form
Annex D: Stakeholder Grievance Database (example)
PRIOR STAKEHOLDER ENGAGEMENT

2.1 Previous Stakeholder Engagement Activities

Consultations were undertaken by ITPC and ZESCO for the ITT Hydropower Project EIA between April and August 2008. Local communities, local businesses and households residing along the proposed transmission pipeline route also participated.

Documentation of the content and extent of these consultations is limited. However, Table 1 summarises the known consultations undertaken and key findings.

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<tr>
<th>MEETING</th>
<th>STAKEHOLDER TYPE</th>
<th>LOCATION</th>
<th>STAKEHOLDER</th>
<th>KEY CONCERNS</th>
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<td>Description of the Project and potential impacts</td>
<td>Traditional leader</td>
<td>Musungwa village</td>
<td>Chief Musungwa Headman Shamwene Headman Mwiila</td>
<td>Compensation for potentially affected people and the need to involve local Chiefs in the recruitment of local construction workers. Since the dam was constructed in 1978, there has been less flooding downstream and the ponds have no water. ZESCO should inform the Chiefs downstream of the dam before opening the water gates.</td>
</tr>
<tr>
<td>Description of the Project and potential impacts</td>
<td>Traditional leader</td>
<td>Kaingo village</td>
<td>Chief Kaingo and his Indunas</td>
<td>The effect that potential raising of the dam would cause to the immediate surroundings and fishing industry. The effect of continuous flooding on fishing downstream of the river. People need to be informed before releases are changed. Fluctuation of water releases would affect fish breeding. The intake should be designed to avoid use of deoxygenated water. Use of this water would kill the fish. Relocation should take into consideration the differences in ethnic composition of people along the reservoir and that of the upper land.</td>
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It is noted that since these consultations were undertaken, the Project scope of works has considerably changed. Most significantly, the potential for dam wall raising has been excluded from the scope of works and the proposed power-plant will now be operated as a baseline, as opposed to peaking, power plant. This will mean that the concerns relating to fluctuating water releases and opening of gates will not be realised.
3 STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE REQUIREMENTS

3.1 Project Developer Requirements

The Project is being developed by ITPC (a public-private partnership and 50:50 joint venture agreement between the Zambian Electricity Supply Corporation Limited (ZESCO) and Tata Africa Holdings). This SEP has been prepared on behalf of Fieldstone Africa, the transaction advisor for the Project.

Fieldstone Africa is a financial advisory service provider, specialising in the infrastructure and energy sectors. They provide objective, unbiased, and independent advice to their clients to facilitate and inform transaction and decision making across the entire range of transaction classes (e.g. public offers, project financing, restructuring, mergers and acquisitions).

ZESCO is the national, government owned, energy supplier for Zambia. Its remit is to generate, transmit and distribute electricity to all industrial, commercial and household customers across Zambia. ZESCO has been in operation for over 40 years and has installed an electricity production capacity of over 1700MW with the national grid. As part of its structure, it has a section responsible for the planning, designing and implementation of power Projects. Its operations are bound by the national legislation of Zambia (Section 3.2).

Tata Africa Holdings (TATA) is a wholly-owned subsidiary of the US$ 70.8 billion Tata Group. TATA has been active within Africa for over three decades, entering into joint ventures and partnerships with many African companies to help develop local resources and talent. The organisation today employs over 750 people and operates in major industrial sectors such as information systems, engineering, services, materials, consumer products and chemicals. Major Tata Africa subsidiaries include Tata Zambia, Tata Holdings Mozambique Lda, Tata Holdings (Tanzania) and Tata Ghana. The Tata Group is a signatory of the United Nations Global Compact, a strategic policy initiative for businesses that are committed to aligning their operations and strategies within ten universally accepted principles in the areas of human rights, labour, environment and anticorruption, as follows:

Human Rights

- Businesses should support and respect the protection of internationally proclaimed human rights; and
- Make sure that they are not complicit in human rights abuses;

Labour

- Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
- The elimination of all forms of forced and compulsory labour;
- The effective abolition of child labour; and
- The elimination of discrimination in respect of employment and occupation.
Environment

- Businesses should support a precautionary approach to environmental challenges;
- Undertake initiatives to promote greater environmental responsibility;
- Encourage the development and diffusion of environmentally friendly technologies; and

Anti-corruption

- Businesses should work against corruption in all its forms, including extortion and bribery.

3.2 National Requirements

Zambian Environmental Management Agency (ZEMA) (formerly Environmental Council of Zambia (ECZ) is the nodal agency for the review of Environmental Impact Assessment (EIA) reports and strategic environmental assessment reports. Its remit is broadly defined under the Zambian Environmental Management Act 2011 (EMA) and includes the responsibility of ensuring the sustainable management of natural resources and protection of the environment, the prevention and control of pollution, and undertaking environmental auditing and monitoring.

The EMA Act (2011) details and describes the process required to obtain environmental clearance from ZEMA, prior to the on-set of construction, and the role ZEMA will play in this process. In particular Section 29 of the Act requires that no project with the potential to have an effect on the environment will be undertaken without written approval from ZEMA. Further, the Act outlines requirements for:

- Final determination of a projects Terms of Reference (ToR) for an Environmental Impact Assessment;
- The holding of public meetings on EIA findings and disclosure of EIA through media;
- Review of EIAs and issue of approvals; and
- Conducting compliance audits and ensuring general administration of EIA regulations.

The EMA Act replaces and repeals the former Environmental Protection and Pollution Control Act (EPPCA) Cap 204 of 1990. The Regulations established under the Environmental Protection and Pollution Control Act, remain enforced under the EMA Act.

The key stages in the EIA process are as follows:

Scoping: Review all applicable laws, policies and planning documents which may relate to the type of project and/or the area in which it is to be located; review international regulations which may affect or be affected by the project, identify environmental standards; and identify all possible alternatives related to route, site, layout, design, technology etc. Conduct an alternatives assessment to determine the preferred option and thereafter identify key impacts associated with the selected option. Preparation of Draft Terms of Reference (ToR) and submit to ZEMA.
**EIA:** Submit Project Team and qualifications of Project Team when Terms of Reference approved. Undertake necessary baseline studies, including specialist studies where necessary, according to the approved Terms of Reference. Conduct impact assessments for each anticipated impact with reference to the magnitude, duration, probability of occurrence, extent to which the impact can be mitigated or not and whether the impact is reversible. Identification of appropriate mitigation measures in order to eliminate negative impacts.

**Public Consultation:** Project developer is required to publicise and hold public meetings to allow the general public to comment. Public consultations must be held i) during preparation of draft Terms of Reference, and ii) on the draft EIA Report. The Developer is required to organise public consultations with government agencies, local authorities, NGOs, Community Based Organisations (CBOs) and interested/affected parties.

**Environmental Approval:** Preparation of environmental and social impact statements containing details of the proposed project as per details given in Section 2.1 above. The Final EIA Report undergoes technical review by ZEMA and the Project is either accepted or rejected. The developer can appeal to the Minister and the High Court if the Project is rejected.

**Figure 3 – The EIA Process in Zambia**
3.2.1 Public Consultation

A key aspect of the EIA process within Zambia is public participation and contribution to the overall decision making process. Zambian EIA regulations specify public participation should be carried out during the following stages:

- **Preparation of draft Terms of Reference**: public consultation is required to determine the scope of the EIA and is held with government agencies, local authorities, NGOs, Community Based Organisations (CBOs) and interested/affected parties.

- **Preparation of draft and final EIA Report**: public consultation is required with affected communities through meetings and a public hearing publicised in the local media and hard copies made available in public buildings.

Following on from this, the regulations require that once a draft EIA is complete the developer must:

- Publicise the intended project, its effects and benefits, in the mass media, in a language understood by the community, for a period of not less than 15 days and subsequently at regular intervals throughout the process; and

- After the expiration of the period of 15 days hold meetings with the affected community in order to present information on the project and obtain the views of those consulted.

It is noted that these requirements are focused entirely on stakeholder consultation during the EIA phase and not the construction or operation phases. The EIA phase has been completed for the Project, however, to meet international standards and best practice stakeholder consultation will be carried out for construction and operation phases.

3.3 International Requirements

There are international standards, guidelines and best practice that outline requirements for stakeholder engagement as part of the ESIA process. The IFC PS and African Development Bank (AfDB) Integrated Environmental and Social Impact Assessments are relevant and outline key requirements.

The IFC Performance Standard 1, the IFC Policy on Social and Environmental Sustainability, and Access to Information Policy is of particular relevance to this SEP.

**Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts**

This standard outlines the following requirements specifically in relation to stakeholder engagement:

- **Stakeholder Analysis and Engagement Planning**: i) developers should identify a range of stakeholders, ii) develop and implement a Stakeholder Engagement Plan.

- **Disclosure of Information**: the developer will provide stakeholders with access to information on: i) purpose, nature and scale of the project, ii) duration of proposed project activities, iii) any risks, potential impacts and mitigation
measures, iv) proposed stakeholder engagement process, v) grievance
mechanism.

- **Consultation**: consultation will be in line with the degree of impact of the
  Project and should: i) begin early and continue through project, ii) be based on
  prior disclosure of relevant and easily accessible information on the project, iii)
  focus engagement on those who are directly affected, iv) be free of outside
  interference and external manipulation, v) enable meaningful participation, vi)
  be documented.

- **Informed Consultation and Participation**: for projects with potentially adverse
  impacts, conduct an Informed Consultation and Participation (ICP) process.
  ICP is a more in-depth exchange of views and information and developer
  incorporates views into decision making process. It should be ensured that the
  ICP process: i) captures both men and women's views, ii) reflects men and
  women's different concerns and priorities on impacts, benefits and mitigation
  measures. This should be documented and feedback given to those affected.

As the Project will not involve land acquisition or involuntary resettlement actions, the
requirements of Performance Standard 5 (Land Acquisition and Involuntary
Resettlement) are not directly applicable. However, elements of PS 5 shall be
considered within this SEP as and when appropriate. For example, in developing a
grievance mechanism PS 5 stipulates that the developer should develop a grievance
mechanism as early as possible during project development and disputes resolved in
an impartial manner. Any economic impacts, for example to fishers, would be
considered under the ESIA process in PS1.

**African Development Bank Integrated Environmental and Social Impact
Assessment Guidelines**

place particular emphasis on cross-cutting issues, for example gender and poverty.
The AfDB Handbook on Stakeholder Consultation and Participation (2001) outlines
the following requirements for successful engagement¹:

- Communicate with people on all levels;
- Involve stakeholders in all stages of the project cycle;
- Ensure a voice for women and other groups that have traditionally been
  excluded;
- Promote the role of civil society in the development process;
- Use participatory methods and techniques;
- Establish mechanisms for decentralised decision-making; and
- Support the capacity-building of local institutions.

Other international standards and best practice relevant for this SEP include The
Equator Principles, and World Bank Operational Policies (OP) 4.01 Environment
Assessment and OP 4.20 Gender and Development.

4 STAKEHOLDER IDENTIFICATION

4.1 Project Stakeholders

A stakeholder is considered to be any individual, group or organisation potentially affected by a project, or which has an interest in, or influence over, a project. In accordance with international standards (Section 3.3) an ESIA must ensure that all stakeholders have been identified and consulted, including all affected communities, settlements, specific groups (i.e. fishermen, farmers) and key informants.

Typically, stakeholders include affected communities, groups, key informants and organisations, local residents, and management authorities that may be: directly/indirectly affected; have an interest in the Project; and/or might have the ability to positively or negatively influence on the Project.

As part of this SEP, stakeholders were identified over national, regional and local levels based on how they related/were associated with the defined Project Area of Impact (PAI) and the proposed scope of works. The PAI is defined as the main Project site and associated facilities (Section 1.2.1). Three tiers of stakeholders were identified:

- Tier 1: Stakeholders residing or holding authority within a 2 km radius of the PAI components – considered to be those most likely to be directly affected by Project works;
- Tier 2: Stakeholders residing or holding authority within a 5km radius of the PAI components or present within the riparian zone of the Kafue River for 60km downstream – considered to be those likely to be affected by potential changes in water quality or indirect social-economic changes as a result of the Project; and
- Tier 3: Stakeholders outside of Tier 1 and 2 categories – typically considered to be stakeholders indirectly affected / interested in the Project. Indirect (secondary) level of impact: 5 km radius and 60 km downstream.

Figures 4 and 5 demonstrate the proposed development areas as well as key Tier 1 and 2 stakeholders surrounding the PAI and key development constraints and social infrastructure.
Figure 4 – Project development sites and closest sensitive receptors
Figure 5 – Project development sites in a regional context

Stakeholders relevant to the Project were identified through:

- A review of available Project documentation, such as the national EIA, AfDB Summary of the EIA, and URS Data Gap Analysis Report;
- Local knowledge of in-country sub-consultants;
- Formal and informal meetings and discussions;
- Site inspection (14-21 June, 2012); and
- Desk based research.

Based on research of the Project site, stakeholders and land use, a range of initial stakeholder groups were identified for engagement. It is noted that these groups do not include all government stakeholders that would typically be engaged as part of an SEP to accompany a Zambian EIA, as this has already been completed. Instead, the identified list is intended to be a practical list of stakeholders that will have an ongoing relationship with the construction and operation of the Project. Groups of stakeholders identified include:

- Fishermen;
• Seasonal Farmers;
• Itezhi Tezhi and local village inhabitants;
• Traditional leaders (i.e. Chiefs);
• People who access the Project area and the immediate downstream area for livelihood and collecting resources;
• People who access the Project area and the immediate downstream area for recreational and cultural activities;
• Local NGOs and CBOs, i.e. women’s cooperatives, fisherman committees;
• Local businesses;
• Youth;
• Vulnerable groups, including women, children, elderly, and disabled;
• Government (National and Provincial) authorities in regards to electricity supply, water resource management and natural resources; and
• Project employees.

As mentioned above, the SEP and annex are live documents and will continuously be updated and modified as new stakeholders are identified and engagement carried out over the life of the Project.

The Project area is primarily populated with indigenous groups from the Southern Province. The population around the reservoir is made up of Lozi, Bemba, Luvale and Mbunda ethno-linguistic groups who come from fisheries in Luapula, western, central, northern and north western provinces. Ila are the most prominent indigenous group of the Itezhi Tezhi area. While there are many languages spoken in the Project area, based on in-country experience it has been determined that Ila and English are widely spoken and understood. Therefore, consultations are to be carried out in both English and Ila.

Engagement constraints identified for stakeholders in the PAI are considered to be the low literacy and education levels, limited access to information, and poor capacity to participate effectively. However, there are no significant cultural or legal barriers identified for engaging with the identified Project stakeholders.

4.2 Stakeholder Assessment

As well as identifying initial potential stakeholders, it is also necessary to determine their priority as a stakeholder for the Project. Stakeholder priority can be determined by understanding each stakeholder’s influence and impact in relation to the Project. This is termed “Stakeholder Mapping”.

To conduct stakeholder mapping a stakeholder analysis matrix was used (Figure 6). Stakeholders were analysed based on impact and influence criteria. By placing stakeholders in the matrix, stakeholder engagement requirements for each stakeholder were determined.
Impact

Impact is based on the extent to which a Project impacts upon the interests of the stakeholder. This can be either a positive or negative change in the stakeholder’s baseline conditions and environment. Impacts vary in magnitude and extent depending on Project activities, and the sensitivity of the receiving environment and stakeholder. In analysing stakeholder impact it is important to assess the likely impact of the Project on the stakeholder and how important these impacts will be to the stakeholder. The Project may impact the stakeholder materially or physically, or the stakeholder may have an interest in the Project from a social, moral or academic perspective.

Impact was assessed using the criteria: high, medium or low.

- **High Impact**: The Project potentially has a significant positive or negative impact on the interests of the stakeholder. The impact is considered to be high and the stakeholders highly sensitive to the impact.

- **Medium Impact**: The Project potentially has a moderate positive or negative impact on the interests of the stakeholder. The impact is considered to be medium scale and stakeholders are moderately sensitive to the impact.

- **Low Impact**: The Project potentially has a minor positive or negative impact on the interests of the stakeholder. The impact is considered to be minor and stakeholders are not considered sensitive to the impact.

Influence

Stakeholder influence is the extent to which a stakeholder, or stakeholder group, can influence the Project. Influence can be formal or informal, for example, informal influence through a personal connection or formal influence through issue of government approval and permitting decisions.

Stakeholder influence was assessed using the criteria: high, medium or low.

- **High Power**: The stakeholder / stakeholder group is considered highly influential and has the capacity to stop the Project or significantly impact the Developer’s reputation. For example, powerful civil society groups and individuals.

- **Medium Power**: The stakeholder / stakeholder group is considered to have moderate influence and moderate capacity to influence the Project or impact the Developer’s reputation. For example, lobby groups, NGOs and small associations.

- **Low Power**: The stakeholder / stakeholder group is isolated and has limited capacity to exert influence over the Project or Developer’s reputation. For example, stakeholders who lack institutional and social legitimacy, lack awareness on the Project or have weak capacity. Isolated communities that are geographically distant are considered to have low power, however, a group of these communities connected through associations and social media can be considered to have moderate influence.
Using the matrix (Figure 6), it can be seen that there are five potential outcomes that represent the recommended level of engagement to be adopted for the stakeholder in question, based on their identified impact and influence characteristics. The five levels of engagement range from basic disclosure of information through to ongoing in-depth engagement and discussion. Typically each of the engagement levels involves the following types of disclosure and activities, as appropriate for the stakeholder:

- **In-depth engagement**: on-going one-to-one meetings, on-going letters, telephone calls and emails.
- **Focused engagement**: periodic focus groups, letters, telephone calls and emails.
- **Informed engagement**: occasional public meetings, project information through letters, flyers, internet and advertisements in local media.
- **Opportunity to comment**: opportunities to lodge comments with the Environmental Coordinator and via Feedback Forms (see Annex B).
- **Information disclosure**: specific information disclosure events, flyers, advertisements in media.

Stakeholders that have both high influence and high impact should be targeted and continuously engaged throughout the Project and kept fully informed. Those with high influence includes both ‘decision-makers’ and ‘opinion leaders’. Stakeholders that have low influence but high interest should also be kept well informed as there is the potential they may take public / collective action against the Project.

**Vulnerable groups**, such as women, elderly, children and the poor may fall into the category of low priority based on assessment of their influence and impact of the Project. It is considered that the rigidity of the matrix approach would underestimate the importance of these groups to the Project. As such, it is recommended that stakeholders that are identified as vulnerable or disproportionately disadvantaged due to their economic and social status, but who may be impacted by the Project, should be recognised as of particular importance. This group of stakeholders will require
specific inclusion in consultation and engagement activities (e.g. participation in focused engagement where practicable).

The situation and relationship between the Project and stakeholder can change over time; therefore, any stakeholder assessment will be updated as the Project progresses. Table 2 summarises the likely stakeholders identified and the mapped appropriate level of engagement to be undertaken. It is noted that, as an approved EIA has already been completed (Section 1.2.3) a number of government stakeholders have already been consulted. However, as determined above it is unclear which parties were consulted, therefore, should further consultation with these authorities arise, it is recommended that the mapped level of engagement be taken into consideration.

Table 2 – Stakeholder Analysis

<table>
<thead>
<tr>
<th>STAKEHOLDER GROUP</th>
<th>STAKEHOLDER</th>
<th>IMPACT</th>
<th>INFLUENCE</th>
<th>LEVEL OF ENGAGEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>NATIONAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central government</td>
<td>Ministry of Energy and Water Development</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Ministry of Tourism, Environment and Natural Resources</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Ministry of Agriculture and Co-operatives</td>
<td>Medium</td>
<td>Medium</td>
<td>Focused engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Department of Water Affairs (DWA)</td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Department of Fisheries</td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Environmental Council of Zambia (ECZ)</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Zambia Wildlife Authority (ZAWA)</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Ministry of Labour and Social Security</td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Ministry of Health</td>
<td>Medium</td>
<td>Medium</td>
<td>Focused engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Ministry of Home Affairs</td>
<td>Medium</td>
<td>Medium</td>
<td>Focused engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Geological Survey Department</td>
<td>Medium</td>
<td>Low</td>
<td>Focused engagement</td>
</tr>
<tr>
<td>Central government</td>
<td>Zambia Meteorological Department (ZMD)</td>
<td>Low</td>
<td>Low</td>
<td>Information disclosure</td>
</tr>
</tbody>
</table>

REGIONAL

STAKEHOLDER ENGAGEMENT PLAN
September, 2012

47061673

19
<table>
<thead>
<tr>
<th>STAKEHOLDER GROUP</th>
<th>STAKEHOLDER</th>
<th>IMPACT</th>
<th>INFLUENCE</th>
<th>LEVEL OF ENGAGEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regional government</td>
<td>Itezhi Tezhi District Council</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Regional government</td>
<td>District Commissioner</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Regional government</td>
<td>Zambia Wildlife Authority Ngoma Office</td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>NGO</td>
<td>Worldwide Fund for Nature (WWF)</td>
<td>Medium</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>NGO</td>
<td>Wildlife and Environmental Conservation Society of Zambia</td>
<td>Medium</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>NGO</td>
<td>Shelter Zambia Trust Fund</td>
<td>Medium</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Research institution</td>
<td>University of Zambia (UNZA)</td>
<td>Low</td>
<td>Medium</td>
<td>Opportunity to comment</td>
</tr>
<tr>
<td>Other interested parties</td>
<td>Food and Agriculture Organisation (FAO), Lusaka and Rome</td>
<td>Low</td>
<td>Low</td>
<td>Information disclosure</td>
</tr>
<tr>
<td>Other interested parties</td>
<td>Contributors to the Kafue Basin Research Project (active 20-30 years ago)</td>
<td>Low</td>
<td>Low</td>
<td>Information disclosure</td>
</tr>
<tr>
<td>LOCAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local government</td>
<td>Provincial authorities in regards to electricity supply and water resource management</td>
<td>High</td>
<td>High</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Traditional leaders</td>
<td>Traditional Chiefs</td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Fishermen</td>
<td>Local fishermen</td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>Seasonal Farmers</td>
<td>Small-scale and subsistence farmers</td>
<td>Medium</td>
<td>Medium</td>
<td>Focused engagement</td>
</tr>
<tr>
<td>Itezhi Tezhi and local village inhabitants</td>
<td></td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
<tr>
<td>People who access Project area and immediate downstream area for</td>
<td></td>
<td>High</td>
<td>Medium</td>
<td>In-depth engagement</td>
</tr>
</tbody>
</table>
### 4.3 Critical Groups and Concerns

Different stakeholder groups have different relationships to the Project and are impacted in different ways. Stakeholders can be impacted directly or indirectly, and/or accumulatively over time. Therefore, stakeholders will have different concerns and require different engagement methods and tools. Critical stakeholder groups are outlined in Table 3 below. Stakeholders that form a vulnerable group are considered critical to the Project.

<table>
<thead>
<tr>
<th>STAKEHOLDER GROUP</th>
<th>STAKEHOLDER GROUP</th>
<th>POTENTIAL PROJECT IMPACT</th>
<th>KEY ISSUES, CONCERNS AND PERSPECTIVES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fishermen</td>
<td>Direct</td>
<td>Changes to stocks of fish, Restriction of some water areas</td>
<td></td>
</tr>
<tr>
<td>Seasonal Farmers</td>
<td>Direct</td>
<td>Use and ownership of land may be disrupted</td>
<td></td>
</tr>
<tr>
<td>Itezhi Tezhi and local village inhabitants</td>
<td>Direct</td>
<td>Affected by environmental and social changes, Changes in accessibility, Changes in economic activity pursued</td>
<td></td>
</tr>
<tr>
<td>Traditional leaders</td>
<td>Indirect</td>
<td>Responsibilities relevant to the Project, Economic, social, environmental impacts</td>
<td></td>
</tr>
<tr>
<td>People who access Project area and immediate downstream</td>
<td>Direct</td>
<td>Impacts to livelihoods</td>
<td></td>
</tr>
<tr>
<td>STAKEHOLDER GROUP</td>
<td>POTENTIAL PROJECT IMPACT</td>
<td>KEY ISSUES, CONCERNS AND PERSPECTIVES</td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>--------------------------</td>
<td>--------------------------------------</td>
<td></td>
</tr>
<tr>
<td>area for livelihood and collecting resources</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| People who access the Project area and the immediate downstream area for recreational and cultural activities | Direct | Restricted access  
Visual landscape may be affected |
| NGOs | Indirect | Represent views and interests of members and/or general public, e.g. environment, sustainability, vulnerable groups |
| CBOs | Direct | Impacts on interests of members and local community, e.g. fishermen, farmers, women |
| Local businesses | Indirect | Impacts associated with downstream activities |
| Youth | Direct | Employment and skills training opportunities |
| Vulnerable groups | Direct | Affected by the Project due to vulnerable status, i.e. economic/social/political standing, legal status, lack of education and/or employment, lack of housing  
Unable to properly participate in stakeholder engagement process |
| National and provincial authorities (electricity, water resource management) | Indirect | Permitting and supervision  
Infrastructure  
Transport  
Natural resources  
Electricity provision |
| ITPC employees, contractors and subcontractors | Direct | Transparent hiring policy  
Contracts  
Accommodation  
Salary and benefits |
5 STAKEHOLDER ENGAGEMENT STRATEGY AND PLAN

5.1 Introduction and Disclosure Strategy

Consultations previously undertaken as part of the nationally approved EIA are summarised in Section 2. This section of the SEP details the engagement activities that have been carried out as part of the ESIA consultation and construction phases. This is followed by a Forward Programme of stakeholder engagement activities for ESIA disclosure and operation phases.

In each phase, different engagement activities are carried out with stakeholders based on their different engagement needs. This has been informed by the stakeholder mapping and analysis exercise (see Section 4) of each stakeholder and their consultation and disclosure needs. Engagement methods also take into account the cultural context and a stakeholder’s access to technology, literacy level and ability to travel.

In each phase of the stakeholder engagement programme, information on the Project and its potential benefits and environmental and social impacts are to be disclosed. This is in line with international and national policy, and helps to ensure that each stakeholder has been adequately informed about the Project and ESIA process, and can contribute to the advancement of the Project.

The following stakeholder engagement methods are recommended for carrying out stakeholder engagement:

- One-to-one meetings;
- Focus group discussions; and
- Public meetings.

In addition, as and when required, Project information will be made available during ESIA consultations and construction and operation phases through flyers, national and local media and letters. The level of engagement and disclosure for each stakeholder is further defined in the Stakeholder Engagement Plan (Table 4 and 5), building upon the stakeholder mapping exercise (Section 4.2).

Tools used to support engagement activities and for disclosure of Project information include:

- Flyer;
- Letter;
- National and local newspaper;
- Radio;
- Television;
- Feedback Form;
- Internet website; and
- Telephone calls and emails.
Table 4 outlines consultations that have already taken place as part of the ESIA consultations and construction Project phases. Table 5 details the Forward Programme of stakeholder engagement for ESIA disclosure and operation phases.

5.2 ESIA and Construction consultations

Through detailed consultation with a wide range of stakeholders, consultations assist in determining the environmental and social impacts of the Project; identifying ways of increasing positive impacts and mitigating potential negative impacts; informing the community about the Project and how it might affect them. Consultations improve the ability of the ESIA process to identify and address issues, and stakeholders are provided with sufficient information on the Project to determine their level of support.

Consultations for the construction phase include the powerhouse and associated infrastructure (such as water and sewage reticulation, housing and workshops). Construction impacts for the dam are reduced as the dam has already been built.

For ESIA and construction consultations, stakeholder engagement was undertaken through:

- One-to-one meetings;
- Focus group discussions; and
- Public meetings.

Focus groups facilitate discussion with specific groups and individuals, while one-to-one interviews allow for more detailed discussion of specific issues with key informants who have in-depth knowledge of a subject. Primary qualitative data is also collected on stakeholders and stakeholder comments and opinions.

Engagement tools used for these consultations include:

- Letters;
- Advertisements in national/local newspapers, radio and television; and
- Telephone calls and emails.

The objective of these consultations is to inform stakeholders of the Project and ESIA process; identify potential environmental and social issues and concerns; and identify potential environmental and social impacts. The consultations inform the development of mitigation measures, and determine if Broad Community Support exists for the Project – if it does not, then further analysis will need to be undertaken to understand why not.

Key stakeholders that were consulted at this stage, include:

- National and local government;
- Traditional Chiefs;
- Local fishermen;
- Seasonal farmers;
- Local businesses;
- Local NGOs and CBOs;
• Youth groups; and
• Vulnerable groups.

Consultations for the ESIA and construction phases were carried out in June and July 2012. Table 4 details the consultations that have taken place (up until September 2012) with Project stakeholders. The Forward Programme for ESIA disclosure and operations – engagement activities that are to take place – are outlined in Section 5.3 and Table 5.
<table>
<thead>
<tr>
<th>STAKEHOLDER CATEGORY</th>
<th>STAKEHOLDER NAME</th>
<th>STAKEHOLDER NAME</th>
<th>DATE</th>
<th>TYPE OF MEETING</th>
<th>KEY ISSUES AND CONCERNS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local government</td>
<td>Itezhi-Tezhi District Commissioners Office</td>
<td>Mr. Roy Nang’a’elwa</td>
<td>27 July 2012</td>
<td>One-to-one meeting</td>
<td>Fishing and agricultural sectors are important economic activities in the district. The ITPC project is a welcome development in the district. It is anticipated that the project will: a) Create employment b) Provide increased capacity for power generation and reduce electricity power outages through load shedding in the town c) Attract local tourism and contribute to improvement in the</td>
</tr>
<tr>
<td>STAKEHOLDER CATEGORY</td>
<td>STAKEHOLDER</td>
<td>STAKEHOLDER NAME</td>
<td>DATE</td>
<td>TYPE OF MEETING</td>
<td>KEY ISSUES AND CONCERNS</td>
</tr>
<tr>
<td>-----------------------</td>
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<td>---------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Local government</td>
<td>Itezhi-tezhi Council Offices</td>
<td>Hastings Chinyundu – District AIDS Coordination Advisor</td>
<td>27 July 2012</td>
<td>One-to-one meeting</td>
<td>Works in 13 Wards of the Itezhi-Tezhi District. It considers high poverty levels and unemployment as the most important problems facing the district. The influx of in-migrants to the district in search of employment is likely to increase HIV/AIDS and crime. The organisation is willing to engage with the community in HIV/AIDS issue in relation to the Project. Key concern: potential impact on rate of infection of HIV/AIDs.</td>
</tr>
<tr>
<td>Local government</td>
<td>Itezhi-tezhi Council Offices</td>
<td>Mr. Gaphine Walubita – District Planning Officer</td>
<td>20 June 2012</td>
<td>One-to-one meeting</td>
<td>The town is connected to the national power grid through Choma and Namwala towns. Key concerns: potential impact on employment, infrastructure, livelihoods, health, and waste management.</td>
</tr>
<tr>
<td>Local government</td>
<td>Itezhi-tezhi, Department of Livestock Services</td>
<td>Shepard Phiri – Veterinary Assistant</td>
<td>21 June 2012</td>
<td>One-to-one meeting</td>
<td>Livestock husbandry is an important livelihood activity in the district for a large proportion of the population. Key concern: potential impacts on livelihoods, such as animal husbandry.</td>
</tr>
<tr>
<td>Local government</td>
<td>Department of Agriculture</td>
<td>Ms. Petronella Lubasi – Senior Agricultural</td>
<td>21 June 2012</td>
<td>One-to-one meeting</td>
<td>In recent years there has been an influx of migrants to the district from southern province towns of Kalomo and Monze in search of productive agricultural land. These are food shortage areas due to tourism sector in the district. d) The project will lead to improved infrastructure due to increased demand on existing services. However, there are anticipated negative effects of Project induced migration to the town. This will increase demands on existing infrastructure. Key concerns: potential impacts on water users, employment opportunities, livelihoods, in-migration, and infrastructure.</td>
</tr>
<tr>
<td>STAKEHOLDER CATEGORY</td>
<td>STAKEHOLDER</td>
<td>STAKEHOLDER NAME</td>
<td>DATE</td>
<td>TYPE OF MEETING</td>
<td>KEY ISSUES AND CONCERNS</td>
</tr>
<tr>
<td>----------------------</td>
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<td>------------------</td>
<td>------------</td>
<td>-------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Offices</td>
<td>Officer</td>
<td></td>
<td>2012</td>
<td></td>
<td>adverse weather conditions in the past three years. Key concerns: potential impact on livelihoods and agriculture from construction/operation and Project induced migration.</td>
</tr>
<tr>
<td>Local government</td>
<td>District Education Board Secretary’s office</td>
<td>Mr. John Moose, District Education Board Secretary</td>
<td>21 June 2012</td>
<td>One-to-one meeting</td>
<td>There are challenges in the provision of education to girls, especially in the rural parts of the district. Girls are more likely to drop out of school at Grade 7 or Grade 9 because of early marriages. However, in some livestock communities boys drop out of school at similar levels of education attainment to herd cattle. Key concern is education.</td>
</tr>
<tr>
<td>Local government</td>
<td>Council Secretary</td>
<td>Mr. Cheembo Mang’watu</td>
<td>25 July 2012</td>
<td>One-to-one meeting</td>
<td>In past 5 years there has been increased in-migration of the Tonga from Southern Province towns of Kalomo, Kazungula, Choma and Monze in search of farming land. This caused consternation among the host population such that in 2010 there were conflicts as the in-migrants settled in Game Management Areas. Some were resettled in Chief Kaingu’s and Shimbhizi’s areas and others were sent back. It is expected that the ITPC project will increase demands for water supply and sewerage facilities. Currently only about 30% of houses have electricity. The ITPC is a positive development in the district. It is expected to create employment which will contribute to increased personal levy payable to the council; the project will increase prospects of more houses built which will increase rateable property; the development will also enhance Itezhi-Tezhi’s status. The increased power generated is also expected to reduce the load shedding and will attract more industries to come to Itezhi-Tezhi. Key concern: in-migration and competition for resources, employment, land, infrastructure, livelihoods, health, water and</td>
</tr>
</tbody>
</table>
## Stakeholder Engagement Plan

**Itezhi-Tezhi Hydropower Project**

### Stakeholder Categories

<table>
<thead>
<tr>
<th>Stakeholder Category</th>
<th>Stakeholder Name</th>
<th>Date</th>
<th>Type of Meeting</th>
<th>Key Issues and Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local government</td>
<td>Itezhi-Tezhi Ward Area Development Committee (ADC)</td>
<td>Ms Getrude Sosopi</td>
<td>27 July 2012</td>
<td>One-to-one meeting</td>
</tr>
<tr>
<td>National government</td>
<td>Ngoma Zambia Wildlife Authority Headquarters Office</td>
<td>Mr. Kennedy Mweetwa – Park Ranger</td>
<td>21 June 2012</td>
<td>One-to-one meeting</td>
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<tr>
<td>Local leader</td>
<td>Chief Musungwa</td>
<td>Chief Musungwa</td>
<td>24 July 2012</td>
<td>One-to-one meeting</td>
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<tr>
<td>NGO</td>
<td>Wildlife and</td>
<td>Patrick Shawa</td>
<td>30 July</td>
<td>One-to-one meeting</td>
</tr>
</tbody>
</table>
## Itezhi-Tezhi Hydropower Project — Stakeholder Engagement Plan

<table>
<thead>
<tr>
<th>STAKEHOLDER CATEGORY</th>
<th>STAKEHOLDER NAME</th>
<th>DATE</th>
<th>TYPE OF MEETING</th>
<th>KEY ISSUES AND CONCERNS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental</td>
<td>Conservation</td>
<td>2012</td>
<td>Wildlife Camp</td>
<td>It has plans to open a resource centre in Itezhi-Tezhi. As part of its outreach programme WECSZ is willing to engage with the community on environmental and social sector issues in relation to the Project. Key concern: potential impact on flora and fauna, and wildlife conservation.</td>
</tr>
<tr>
<td>NGO</td>
<td>Shelter Zambia</td>
<td>27 July 2012</td>
<td>One-to-one meeting</td>
<td>It believes that the Project will positively affect the provision of shelter in the district as more people are employed by the Project, and it will result in increased demand for more housing. Key concern: potential impact on existing infrastructure.</td>
</tr>
<tr>
<td>Fishermen</td>
<td>Nuungu Fishing</td>
<td>20 June 2012</td>
<td>Focus group discussion</td>
<td>Blasting from the ITPC Project site can be heard in the fishing camp. There have been low catches because of high waters, which drives the fish into the reeds. Key concern: fishing, livelihoods, health, noise/vibration and water.</td>
</tr>
<tr>
<td>Fishermen</td>
<td>Namacheka Fishing</td>
<td>20 June 2012</td>
<td>Focus group discussion</td>
<td>Namacheka fishing camp is a temporary fishing camp, which is abandoned when the Kafue River overflows its banks. The camp is abandoned between November and March when the water level is high and the camp is submerged. This period also coincides with the Fishery Department’s fish ban. Key concern: water, livelihood, fishing.</td>
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<tr>
<td>Fishermen</td>
<td>Mang’ongo Fishing</td>
<td>20 June 2012</td>
<td>Focus group discussion</td>
<td>Mang’ongo fishing camp is temporary camp occupied by fishermen and their families during the fishing season which runs from April to November. There are 25 households found at the</td>
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<td>STAKEHOLDER CATEGORY</td>
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<td>STAKEHOLDER NAME</td>
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</table>
| Local business       | New Kalala Lodge | Mr. Michael Mpundu – Manager – New Kalala Lodge | 21 June 2012 | One-to-one meeting | Electricity load shedding is a problem which may be solved by completion of the ITPC Project.  
During the construction phase clients are affected by noise from blasting from the Project site.  
Key concern: potential impact on existing infrastructure and livelihoods. |
| Local business       | Musungwa Safari Lodge | Mr. Luke Chirwa – Manager | 21 June 2012 | One-to-one meeting | ITPC Project is a welcome development in the area. It will improve electricity and reduce power outages. The Project has also employed young people from area, which has reduced petty crime, which was being experienced at the Lodge. Although the blasting noise can be heard from the Project site, there have been no effects from blasting.  
Key concern: potential impact on existing infrastructure and livelihoods. |
| Local business       | Musungwa Lodge Compound (business and settlement) | Community representatives: Frevios Mphanza – Chairman  
Mr. Charles Mabuwa – Musungwa Lodge Chairman  
Ms. Beatrice Pumulo – Class Teacher  
Mrs. Mercy Muyumba – | 21 June 2012 & 27 July 2012 | Focus group discussion | The settlement has no running water. Potable water is obtained from Musungwa Lodge about 500 metres away.  
Residents use pit latrines for sanitation. Many of the housing structures are in a dilapidated state.  
Key concern: potential impact of noise/vibration and construction in progress and employment opportunities. |
### Nursery Class Teacher
- **Name:** Mrs. Precious Mabuwa
- **Date:** 21 June 2012
- **Type of Meeting:** One-to-one meeting
- **Key Issues and Concerns:**
  - Most of the farm produce is sold in Lusaka. Some vegetables are supplied to Melissa Supermarket in Itezhi-Tezhi and the New Kalala Lodge.
  - The water used at the farm is abstracted from the Kafue River using two 7.5Hp pumps.
  - Key concerns: potential impacts of noise/vibration, the construction in progress and on livelihoods.

### Local business
- **Name:** Melissa Farm
- **Contact:** Mr. Victor Lungu – Manager Melissa Farm
- **Date:** 21 June 2012
- **Type of Meeting:** One-to-one meeting
- **Key Issues and Concerns:**
  - Most of the farm produce is sold in Lusaka. Some vegetables are supplied to Melissa Supermarket in Itezhi-Tezhi and the New Kalala Lodge.
  - The water used at the farm is abstracted from the Kafue River using two 7.5Hp pumps.
  - Key concerns: potential impacts of noise/vibration, the construction in progress and on livelihoods.
5.3 ESIA disclosure

This section details the stakeholder engagement plan for ESIA disclosure. The Final ESIA report will be presented and made available to the public and stakeholders. This will provide stakeholders with further up-to-date information regarding the Project (as disclosure of the EIA was completed several years ago), its potential impacts, and how they can provide comment / raise grievances.

Disclosure of the Final ESIA Report will be undertaken through:

- Disclosure of Final ESIA Report on the internet and hard copies made available in public places;
- Public meetings; and
- Availability of the Environmental Coordination Officer and grievance procedure.

They key tools for engagement in this phase are:

- Internet website;
- Grievance and Feedback Forms; and
- Telephone calls and emails.

ESIA disclosure should allow any interested party to access Project information and the ESIA Report. In addition to disclosure, meetings will be held with key stakeholders to gather comments and feedback. Meetings will be announced via letter and invitation in local media at least three weeks in advance. It is envisaged that there would be three disclosure meetings, one in Itezhi-Tezhi and two downstream at villages to be determined in consultation with ITPC and confirmed with community leaders. Stakeholders to be invited to the public meetings include:

- Itezhi Tezhi and local village inhabitants;
- People who access Project area and immediate downstream area for livelihood and collecting resources;
- Traditional Chiefs;
- Local fishermen; and
- Local NGOs and CBOs.

See Table 5 for stakeholder engagement plan for stakeholder activities to be carried out for ESIA disclosure.

5.4 Operation

This section details the stakeholder engagement plan for the operation phase. The operation phase entails managing Environmental and Social Management Plans (ESMPs) and continuing to monitor potential impacts. The ESMPs will contain mitigation and management measures to avoid and minimise negative impacts, compensate where there are adverse environmental and social impacts and enhance positive impacts. Stakeholder engagement during this phase will focus on providing information on employment opportunities, influx related issues, health and safety,
mitigation measures as outlined in the ESMP, and environmental and social monitoring.

Engagement in this phase will be undertaken through:

- One-to-one meetings;
- Focus group discussions (periodic visits to affected settlements/parties);
- Regular updates and information (e.g. flyer or newsletter) available through local administrative offices, public places and website; and
- Ongoing availability of an Environmental Coordination Officer and grievance procedure.

The key tools for engagement in this phase are:

- Flyer summarising project impacts/risks/management measures etc.;
- Internet website;
- Letters; and
- Telephone calls and emails.

Consultations in this phase will enable ongoing relationships and engagement with Project stakeholders over the lifecycle of the Project. Stakeholders will have the opportunity to continue to comment on the Project and Project impacts. As approval for the project has already been issued, the grievance mechanism (see Section 7) and appointment of an Environmental Coordination Officer is considered to be the main way in which stakeholders can raise concerns. This will also allow ITT to respond to any complaints, as well as monitor Broad Community Support for the Project and its ‘social license’ to operate.

Key stakeholders will be:

- Fishermen;
- Itezhi-Tezhi local village inhabitants;
- People who access Project area and immediate downstream area for livelihood and collecting resources; and
- Project employees;

Mitigation measures are detailed in the Environment and Social Management Plan (ESMP) and will form the basis of discussions with stakeholders. Mitigation measures outlined for the operation phase include:

- Clean and safe drinking water, water-borne toilets, waste disposal, health campaigns on communicable diseases, such as HIV/AIDS;
- Speed limit of 30 km/hour for all motorists on the construction site and surrounding area;
- Regular safety awareness campaigns and protective clothing for all workers and visitors to the Project site;
- Set timings for blasting to reduce noise pollution and water programme to reduce dust from drilling, blasting and excavation;
• Control of water releases, installing flood warning devices, and education of at-risk populations on flooding;
• First aid training for all workers and First aid box on-site;
• Awareness of archaeological heritage, National Heritage Conservation Commission will be notified; and
• Working arrangement between Kafue National Park and Namwala Game Park management and Project workers and restrictions on purchasing firearms to ensure there is no game hunting.

Key concerns of stakeholders during this phase are likely to be increased traffic, Project induced migration, increased pressure on existing social services, job opportunities, hiring process and transparency, rise in local prices, and health and safety.

See Table 5 below for the stakeholder engagement plan for stakeholder activities for the operation phase.
<table>
<thead>
<tr>
<th>PHASE</th>
<th>STAKEHOLDER CATEGORY</th>
<th>STAKEHOLDER NAME</th>
<th>PLANNED ENGAGEMENT</th>
<th>KEY ACTIONS AND TOOLS</th>
<th>DATE</th>
<th>ROLES AND RESPONSIBILITIES</th>
<th>OUTCOMES</th>
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<td>Public meeting</td>
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<td>TBC (Recommended before end of 2012)</td>
<td>Dr. Mitulo Silengo Supported by URS</td>
<td>Documented community concerns and responses Impacts and mitigation measures for the ESIA Community satisfaction</td>
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### Stakeholder Engagement Plan

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<td>Frevios Mphanza – Chairman Mr. Charles Mabuwa – Musungwa Lodge Chairman Ms. Beatrice Pumulo – Class Teacher</td>
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<td>Dr. Mitulo Silengo Supported by URS</td>
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RESOURCES AND RESPONSIBILITIES

Planning, implementation and management of the stakeholder engagement plan will be carried out by ITPC and ZESCO, with the support of URS. Effective stakeholder engagement requires good co-ordination within the Project, between the Project and partners and with stakeholders. Key participants in the management of stakeholder engagement include:

- Environmental Coordinator - the Environmental Coordinator is responsible for planning, implementation and on-going management, including grievances;
- Capital Cost Controller - the Capital Cost Controller is responsible for the Project team administration and field activity budget;
- Project consultants and contractors - the consultants and contractors will assist the Environmental Coordinator; and
- The Project Team.

The Project team will ensure the Project is implemented and provide progress reports to the company management and other stakeholders. The team includes:

- Project manager;
- Site manager;
- Electrical engineers;
- Civil engineers; and
- Environmental Coordinator.
7 STAKEHOLDER CONSULTATION AND MANAGEMENT PROCESS

7.1 Overview

Regular contact with stakeholders is critical for ensuring both Broad Community Support and a ‘social license’ to operate. Comments and issues raised during stakeholder engagement and how these are managed will be included in the ESIA report.

In accordance with international best practice, all stakeholder engagement will be adequately documented and consultation records kept. Recording and monitoring stakeholder engagement is also critical for effective stakeholder management. Stakeholder consultations will be recorded in a Stakeholder Consultation Database that will be maintained by ITPC. The database will ensure that engagement with stakeholders is recorded, views expressed are taken into consideration and any commitments made are effectively responded to.

7.2 Recording and Tracking of Comments

During stakeholder consultation records will be made and minutes taken with all key issues and concerns raised recorded into the relevant template (Annex B). Consultations will be recorded in a consistent and transparent way with key information captured following each engagement activity. The results of the minutes will be recorded in the Stakeholder Consultation Database.

All data should be kept in adherence to national and international privacy laws. Complaints/grievances will be managed by the grievance procedure and grievance register (Section 8).

7.3 Stakeholder Consultation Database

The Project will develop and maintain a Stakeholder Consultation Database. All stakeholder engagement and consultation activities are to be recorded in the Stakeholder Consultation Database.

The Stakeholder Consultation Database will (at a minimum) record and track:

- Stakeholder contact details;
- Stakeholder profiles (e.g. impact, influence);
- Consultation tracking sheets for each stakeholder (or group); and
- Feedback, issues, comments and views expressed by the stakeholder.

Stakeholders will continue to be identified throughout the Project lifecycle. The Stakeholder Consultation Database will be continuously updated with any new identified stakeholders and engagement activities as they arise. The database will include information on consultation / engagement requirements for each stakeholder or if consultation is not necessary (or possible). The database will also record any commitments made during stakeholder engagement and how these commitments are fulfilled.
It is recommended that the Stakeholder Consultation Database be formed and maintained in an easy to use format (e.g. a Microsoft Excel database). The expected information collation requirements for the Project are not considered to be of significant scale to warrant development/application of a project specific database product. A Consultation and Minutes Template is included at Annex A.

7.4 Comment Management Process

An Environmental Coordination Officer will act as a constant liaison between the Project affected communities and individuals and ITPC. The Environmental Coordination Officer will also be responsible for managing and tracking consultations, comments and outcomes of consultations.
8 GRIEVANCE PROCEDURE

The availability of an effective and adequate grievance mechanism is important in the management of grievances from the local community and other stakeholders for the smooth implementation of the Project. The grievance mechanism is an integral part of the stakeholder engagement plan and process. A grievance is a formal notified complaint made by people who feel they have been adversely affected by activities associated with survey work, construction, operation and decommissioning of a project. A grievance mechanism is established to ensure that such complaints are addressed in good faith, through a transparent and impartial process and in a timely manner. It also provides a mechanism for stakeholders to continue to engage with the Developer and is an important risk management system for the Project. The grievance mechanism within this document is referred to as the ‘grievance procedure’.

For the Itezhi-Tezhi Hydropower Project, the proposed grievance procedure reflects both the scale of impacts and expected risks of the project. Literacy levels are low in the region; therefore, grievances can be made verbally. It also includes an independent, objective appeal mechanism, which will not impede access to judicial or administrative remedies. If possible, it is good practice for the grievance procedure to be piloted in Project affected communities to ensure it is effective and the measures are appropriate.

8.1 Stages of the Grievance Procedure

The proposed grievance procedure involves nine stages:

- Submission of grievance;
- Grievance identification;
- Registration and categorisation;
- Acknowledgement;
- Investigation, consultation, resolution;
- Communication of proposed resolution;
- Recourse to external experts;
- Closing the grievance; and
- Effectiveness review.

8.1.1 Submission of grievance

A grievance can be submitted verbally over the telephone, in writing or in person to the Environmental Coordinator based at the ITPC Itezhi Tezhi office. Grievances can also be submitted through the Project website and Grievance Forms posted on the website, once it is established. Grievance forms will be held with the Environmental Coordinator. A grievance should include, as far as possible:

- Name(s) of complainant;
- Contact details of complainant;
- A description of the grievance, such as date, time, location, impacts; and
• Any potential corrective action the complainant identifies or suggests.
• Method of feedback to the complainant (i.e., verbal, written)

A complainant can also record a grievance anonymously and all efforts shall be taken to ensure this is maintained and not disclosed in any public forum. An anonymous grievance will be tracked using the grievance reference number recorded on the Grievance Form.

A grievance can be lodged by any individual or organisation that is considered to be a stakeholder of the project. The grievance procedure does not apply to requests or complaints from individuals or groups not affected by the Project.

An example of the Grievance Form is included at Annex C.

8.1.2 Grievance identification

When a complaint / grievance is received (either verbally, written or in person) it is recorded in a Grievance Form by the complainant and the Environmental Coordinator. Both parties then sign off the Grievance Form (thumb print also accepted).

The Environmental Coordinator will analyse the complaint to determine the nature of the grievance. If a grievance does not relate to the Project activity, the Environmental Coordinator will contact the complainant and inform them of the appropriate person or body to address the grievance raised.

8.1.3 Registration and Categorisation

All complaints received, either verbally or in writing, shall be recorded by the Environmental Coordinator in a grievance database. As the local population is relatively small and there are not envisaged to be significant social impacts or grievances associated with the Project, the database is recommended to be established using Microsoft Excel or Word - so that it can be used by local staff and is appropriate for the expected scale of grievances.

The Environmental Coordinator will assess the significance of the grievance and categorise it. The grievance will be categorised according to the following:

• **Critical Priority Complaint**: A critical priority complaint relates to an issue with high impact on local communities, and/or vulnerable groups, and other stakeholder’s. There is the potential for significant reputational risk and the grievance to significantly breach ITPC’s policies and national legislation. For example, a grievance in relation to spills affecting the aquatic environment, fishing or agricultural activities.

• **Medium Priority Complaint**: A medium priority complaint relates to an issue with moderate impact on local communities, and/or vulnerable groups, and other stakeholders. The grievance has the potential to negatively affect ITPC’s reputation and may breach ITPC policies, and/or national legislation. For example, a grievance in relation to economic activities affected in the short term (e.g. during construction) due to limited access to local market or blocked roads.
• **Low Priority Complaint**: A low priority complaint relates to an issue of minimal impact on local communities, and/or vulnerable groups, and other stakeholders. The grievance is unlikely to affect ITPC’s reputation and does not breach ITPC policies, and/or national legislation. For example, a grievance about sporadic, temporary and low impact noise disturbance.

If unable to deal with a complaint directly, the Environmental Coordinator will assign a complaint to an appropriate ITPC employee, team or Head of Department for resolution. The Site Manager will be immediately informed of any Critical Priority Complaints. Requests to Heads of Department are also sent to the Environmental Coordinator. The Environmental Coordinator remains responsible for tracking the complaint and ensuring that it is addressed.

8.1.4 **Acknowledgement**

Upon submission of a complaint / grievance, regardless of the method used, stakeholders will receive a letter of acknowledgement within **5 business days** of the Grievance Form being signed, informing them that their grievance has been received and logged. Acknowledgement by the Environmental Coordinator will provide information on the next course of action and an indicative timeframe for resolution of the grievance where possible.

8.1.5 **Investigation, consultation and resolution**

Following categorisation the Environmental Coordinator will assign a grievance to an appropriate employee or team and an investigation will be conducted into the issue raised. Field investigations and consultations with the concerned person and company representatives may be carried out. The assigned employee or team will work in collaboration with the Environmental Coordinator to identify measures to resolve the grievance as appropriate.

8.1.6 **Communication of proposed resolution**

The Environmental Coordinator will communicate the outcome of the investigation to the stakeholder that submitted the grievance. If the complainant accepts the resolution, then the Grievance Form can be signed off by both parties.

Following acknowledgement of a grievance, complaints should be responded to within the following timeframes:

- Critical priority complaint responded to within **2 weeks**;
- Medium priority complaint responded to within **3 weeks**; or
- Low priority complaint responded to within **4 weeks**.

All complaints should be responded to, even if the response is a summary of what is planned and when it is likely to be implemented, or an explanatory note clarifying why action is not required. Response should be in writing, though a verbal response will also be provided where appropriate and will be transcribed by the Environmental Coordinator.

If the complainant does not accept the resolution, then the complainant can lodge an appeal.
8.1.7 Recourse to external experts

If a resolution cannot be achieved, the Project will establish an amicable resolution mechanism through the setting up of a Conflict Resolution Committee. This is made up of developer representatives, local community representatives and the District Commissioner or his/her representative, using pre-arbitration methods of dispute resolution to settle disputes amicably. The Conflict Resolution Committee allows the developer and complainant to both be “problem solvers” and enhance the long-term relationship. In using an amicable settlement process, the emphasis is on an amicable settlement between developer and complainant regarding a grievance and an amicable settlement is encouraged throughout the process. If still unresolved the dispute would be sent to the relevant provincial body. If not resolved at provincial level, the dispute would ultimately be referred to the relevant national body.

8.1.8 Closing the grievance

The Environmental Coordinator and an assigned employee are responsible for managing the grievance process, from acknowledgement of a grievance to its satisfactory resolution. The Environmental Coordinator will keep the complainant informed of the progress of any corrective actions. When both parties are satisfied that the grievance has been closed, the Environmental Coordinator and assigned senior employee, and complainant can sign off the Grievance Form. The grievance is now closed and all details logged into the Stakeholder Grievance Database.

8.1.9 Effectiveness review

To ensure the effectiveness of the grievance procedure and to improve the ITPC grievance mechanism, the complainant will provide feedback to ITPC. The complainant will fill out a Feedback Form and details will be entered into the Stakeholder Grievance Database.

The indicators for monitoring the grievance procedure are:

- Number of grievances;
- Number of grievances resolved;
- Timeliness of resolution;
- Number of appeals; and
- Feedback from complainant.

The Environmental Coordinator will monitor these indicators and provide monthly monitoring and evaluation reports. Figure 7 summarises the Grievance Mechanism.
8.2 Stakeholder Grievance Database

As part of the overall Stakeholder Consultation Database (Section 7), the Project will develop and maintain a Stakeholder Grievance Database for managing stakeholder grievances and complaints; ensuring that complaints are responded to and following up on any actions taken. Each grievance is assigned an individual number to facilitate consistent tracking of all the actions taken on each grievance received. The database will be used to analyse the nature (type), frequency and any recurrent trends of grievances. This database will manage any ongoing Project related issues.

At a minimum, the Stakeholder Grievance Database will record:

- Stakeholder contact details (if anonymous, grievance reference number);
• Date when the grievance was received;
• The reference number;
• Content of the grievance;
• Identification of parties responsible for the resolution;
• Dates when the investigation was initiated and completed;
• Findings of the investigation;
• Information on proposed corrective action sent to the person who lodged the grievance (unless it was anonymous) and the date when the response was sent as well as the date when the grievance was closed out;
• Statement of satisfaction of the person who lodged the grievance, or a reason for non-resolution of the grievance; and
• Follow up on any outstanding response and action for non-closed grievances.

It is important that all grievances are registered in the Stakeholder Grievance Database to ensure effective grievance management. An example of the Stakeholder Grievance Database is included at Annex D.

8.3 Confidentiality

Persons lodging grievances will have an opportunity to maintain their confidentiality. The Environmental Coordinator will ensure that the name and contact details of the person are not disclosed without their consent and only the team directly working on the investigation of the grievance will be aware of them. In cases where an investigation necessitates passing some of the information on to third parties for the purposes of resolving the situation, the complainant’s consent will be sought in an appropriate manner. If it is not possible for the team to fully investigate the grievance without revealing the person’s identity (for example if they are required to give evidence in court), the investigation team will discuss with the complainant how they wish to proceed.

The procedure also allows for anonymous complaints to be lodged. In this case the grievance will still be investigated fully and the necessary corrective actions will be taken, although the Environmental Coordinator will not be able to provide feedback to a complainant.

8.4 Workers’ Complaints

It should be noted that this grievance procedure does not cover employment related complaints from the contractor’s workers. Employment related complaints from the workers will be managed using a separate procedure, the Human Resources Grievance Procedure.

8.5 Dissemination of the Grievance Procedure

For this procedure to be of use, it has to be disseminated to the local community and all the relevant stakeholders. Various methods can be used to disseminate the procedure such as meetings, leaflets, posters, announcements on the local radio station and the project website. Other stakeholders such as NGOs, government
departments and Community Based Organisations (CBOs) can help the Project Team to disseminate the grievance procedure.
9 MONITORING AND EVALUATION

9.1 Introduction

Monitoring and evaluation of the stakeholder engagement process is essential to measuring ITPC’s success in engaging with stakeholders and ensuring effective management of the consultation process and grievance procedure. Monitoring also creates a mechanism to respond to any gaps, amend practices, and alter scope for more effective engagement with stakeholders.

In line with IFC international standards that recommend involving stakeholders in the monitoring and evaluation, the Project will involve stakeholders in the monitoring and evaluation of the Project where possible. Stakeholder engagement should be reflective of the type and scale of the Project, and this is taken into consideration when monitoring and evaluating. Successful stakeholder engagement should be relative to the scale and risks of the Project that meets national and international standards.

A Feedback Form will be made available to stakeholders during consultations to gather views on the effectiveness of the consultation and engagement process.

9.2 Monitoring and Reporting

Monitoring will take place at certain points over the Project lifecycle. These are:

- **Short term**: during the engagement activities, to allow for immediate adjustments and changes as stakeholder engagement is carried out.
- **Medium term**: completion of engagement activities, review of outputs at the end of engagement to evaluate effectiveness.
- **Long term**: into the future of the Project, the impact of engagement on stakeholders over the long term.

Indicators for evaluating stakeholder engagement for each phase have been developed in accordance with Free, Prior and Informed Consent (FPIC)². FPIC is an engagement process that is free from external manipulation, interference, coercion or intimidation and is conducted on the basis of timely, understandable and accessible information. It recognises that all parties:

- Are willing to engage in a process and available to meet at reasonable times and frequency;
- Provide information necessary for informed negotiation;
- Explore key issues of importance;
- Use mutually acceptable procedures for negotiation;
- Willing to be flexible and accommodate other positions, where possible; and
- Provide sufficient time for decision making.

The indicators are outlined in Table 6.

² IFC, Performance Standard 7
Table 6 – Key Indicators for Monitoring Stakeholder Engagement

<table>
<thead>
<tr>
<th>AIM</th>
<th>KEY CONCERNS</th>
<th>KEY INDICATORS</th>
<th>MEASURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Free</td>
<td>Intimidation</td>
<td>No. of stakeholders providing negative feedback on the consultation process</td>
<td>Stakeholder Consultation Database Feedback Form</td>
</tr>
<tr>
<td></td>
<td>Coercion</td>
<td>No. of stakeholders providing positive feedback on the consultation process</td>
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<td></td>
<td></td>
<td>% of stakeholders that have received adequate and timely information prior to any meetings</td>
<td>Stakeholder Consultation Database Feedback Form</td>
</tr>
<tr>
<td>Prior</td>
<td>Adequate information</td>
<td>No. and type of consultations held</td>
<td></td>
</tr>
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<td></td>
<td>timely provided</td>
<td>% of stakeholders that have received adequate and timely information prior to any meetings</td>
<td>Stakeholder Consultation Database Feedback Form</td>
</tr>
<tr>
<td></td>
<td>Opportunity to influence</td>
<td>% of stakeholders that have received adequate and timely information prior to any meetings</td>
<td>Stakeholder Consultation Database Feedback Form</td>
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<td></td>
<td>the Project</td>
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<td>Informed</td>
<td>Culturally, gender inclusive</td>
<td>No. of stakeholders that could easily understand stakeholder materials</td>
<td>Stakeholder Consultation Database Feedback Form</td>
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<td></td>
<td>and appropriate information</td>
<td>% of women participating in stakeholder consultations</td>
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<td></td>
<td>Understanding of how Project</td>
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<td>will impact peoples’ livelihoods</td>
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</table>

As outlined in Sections 7 and 8, all stakeholder engagement activities will be recorded, and minutes and outcomes documented. All information from consultation activities will be stored in the Stakeholder Consultation Database. The database will help ensure that communication is adequately recorded, views expressed are taken into consideration by the Project, and that any commitments made are effectively managed. All information from the grievance management process will be stored in the Stakeholder Grievance Database.

These databases will also be used to produce monthly reports on the key indicators for monitoring stakeholder engagement (Table 6), and the information relating to Project grievances, as follows:

- Classification of the grievance received (critical, medium, low priority);
- Grouping of grievance / issue by subject area, e.g. environmental, social, health and safety.
- The relevance and validity of grievance;
- Actions taken to resolve grievance, time taken and any follow-up required;
- Involvement of a Conflict Resolution Committee; and
- Actions taken to reduce grievances in the future.

9.3 Evaluation of Effectiveness

Following development of the SEP and submission of the Final ESIA Report, ITPC is responsible for on-going stakeholder engagement and management. ITPC will appoint a Stakeholder Engagement Manager under responsibility of senior management, to be responsible for leading and managing this process.
ITPC will manage and maintain the Stakeholder Consultation Database. Data recorded and tracked in the database will be used to monitor and evaluate effectiveness in line with indicators outlined above based on Free, Prior and Informed Consent.
PHOTO LOG

Field trip: 14-21 June, 2012

Choonga Farm (within 2 km of Project site)

Mang’ongo Fishing Village (village located along Kafue River, approximately 20 km downstream of the project site)

Mang’ongo Fishing Village (village located along Kafue River, approximately 20 km downstream of the project site)
Upstream Fishing Village
# ANNEX A

**Itezhi-Tezhi Hydropower Project**

## Summary of Consultations

Please use for summary of any meetings/focus group discussions and attendance sheet.

<table>
<thead>
<tr>
<th>No.</th>
<th>Key Issues Raised</th>
<th>By which stakeholder group</th>
<th>Stakeholder Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Please choose from the following key issues options:</td>
<td>Please choose from:</td>
<td>Insert name of stakeholder(s) who raised issue:</td>
</tr>
<tr>
<td></td>
<td>Social: 1- Employment 2- Construction in progress 3- Land 4- Infrastructure 5- Livelihoods 6- Health 7- Other, please specify:</td>
<td>1- Federal government 2- Regional government 3- Local government 4- Affected landowners/users 5- Potentially affected community 6- Disadvantaged and Vulnerable groups 7- NGOs 8- Project employees 9- Media 10- Water 11- Air quality/odour 12- Visual Impact 13- Waste 14- Other, please specify:</td>
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<tr>
<td></td>
<td>Other: 15- Cultural heritage</td>
<td>18- Other, please specify:</td>
<td></td>
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</tbody>
</table>

2. Write more detailed explanation here:
<table>
<thead>
<tr>
<th>No.</th>
<th>Key Issues Raised</th>
<th>By which stakeholder group:</th>
<th>Stakeholder Name</th>
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</thead>
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<td>4.</td>
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<td>5.</td>
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Please note any observations:
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<thead>
<tr>
<th>No.</th>
<th>Follow up agreed or required</th>
<th>Person responsible</th>
<th>Comments</th>
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## Attendance Sheet

Please use for all stakeholder engagement meetings. To be filled out by sub-consultant.

<table>
<thead>
<tr>
<th>No.</th>
<th>Name</th>
<th>Organisation</th>
<th>Address (Village/Town/City, District, Province, Country)</th>
<th>Telephone</th>
<th>Email</th>
<th>Gender (M/F)</th>
<th>Age Group</th>
</tr>
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</table>

**Type of consultation:**
- □ Small, private meeting
- □ Village Focus Group Discussion
- □ Government/Council/Chief group discussion
- □ Any other, please specify:

**Place & Venue:**

**Date & Time:**

**Sub-consultant:**

---

**STAKEHOLDER ENGAGEMENT PLAN**

May 2012
ANNEX B

Feedback Form

Itezhi Tezhi Hydropower Project
Environmental and Social Impact Assessment

Date: ...........................................

Contact Information

<table>
<thead>
<tr>
<th>Name:</th>
<th>Organisation (if applicable):</th>
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<th>Address:</th>
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<table>
<thead>
<tr>
<th>Telephone number:</th>
<th>Email address:</th>
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Please write below any comments or concerns you have about the Itezhi Tezhi Project

Are there any particular actions you think the Project should take to protect the environment and the community?

What is your attitude towards the proposed Project? (Please circle the one that best describes your attitude)

1 - Positive
2 - Neutral
3 - Negative

4 - I Don't know
If you answered “positive” or “negative”, please add any reasons for that choice

What is the most convenient way for you to receive information about the Project? (Please circle one number only)

1 - Local newspaper
2 - Local radio/TV
3 - Local authority
4 - Internet website
5 - Email (if you have provided an email address overleaf)
6 - Local community centre/local non-governmental organisation, please specify:
7 - Place of worship, please specify:
8 - Other, please specify:
9 - I don’t want to receive any more information

Please write below any additional observations, comments or concerns you would like to make:

Please place this form in the box provided or send to:
[Insert address]

Document ID: .............................. (For Internal Use Only)
### Grievance Form

**Itezhi-Tezhi Hydropower Project**

#### Section 1: Complainant Details

<table>
<thead>
<tr>
<th>Grievance Reference Number</th>
<th>Date received</th>
<th>Submitted by</th>
<th>Name of person recording the grievance:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>□ Person submitting grievance</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>□ Other (please specify who)</td>
</tr>
</tbody>
</table>

Name of Complainant / Organisation registering complaint (or write Anonymous): 

Address: 

Telephone Number: 

Email address: 

How was the grievance lodged:

□ In person  
□ By Phone  
□ At Community Meeting  
□ By Mail  
□ By Email

Signature of Complainant: 

Confirm that the Grievance has been acknowledged and a copy of this form provided to the complainant?

□ Yes  

Date: 

#### Section 2: Details about the Grievance

Description of Grievance:
### Section 3: Action Taken / Required

<table>
<thead>
<tr>
<th>Acknowledgement of grievance sent to Complainant? (Y/N)</th>
<th>Date when Acknowledgment provided:</th>
<th>Date set for resolution of Complaint:</th>
<th>Date logged in Grievance Log by Environmental Coordination Officer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>grievances classification:</td>
<td>Reason(s) why:</td>
<td>Department Manager responsible for addressing grievance:</td>
<td></td>
</tr>
<tr>
<td>□ Critical priority</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Medium priority</td>
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<tr>
<td>□ Low priority</td>
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</tr>
</tbody>
</table>

Description of action required (to be updated as needed):

Action carried out by: | Date of Completion: | Method of feedback to Complainant:

Stakeholder response to action:

### Section 4: Effectiveness Review

<p>| Status of Grievance: | Date: |</p>
<table>
<thead>
<tr>
<th>How was the action(s) verified as being effective in resolving the Complaint:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grievance Closed:</td>
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</table>