



नेपाल विद्युत प्राधिकरण
Nepal Electricity Authority

NEPAL ELECTRICITY AUTHORITY

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|  नेपाल विद्युत प्राधिकरण Nepal Electricity Authority | FUTURE UPPER ARUN HYDROELECTRIC PROJECT STAKEHOLDER ENGAGEMENT PLAN | |
| | Doc No. | Rev. No. September 2019 |

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Acronyms

| Acronym | Description |
|----------|--|
| BMP | Biodiversity Management Plan |
| CIA | Cumulative Impact Assessment |
| CLO | Community Liaison Officer |
| CSO | Community Service Organisation |
| DCC | District Coordination Committee |
| DIA | Direct Area of Influence |
| ESCP | Environmental and Social Commitment Plan |
| ESF | Environmental and Social Framework (World Bank) |
| ESIA | Environmental and Social Impact Assessment |
| ESMP | Environmental and Social Management Plan |
| ESS | Environmental and Social Standards |
| FAQs | Frequently Asked Questions |
| FFO | FPIC Facilitator Organisation |
| FNCCI | Federation of Nepalese Chambers of Commerce and Industries |
| FPIC | Free, Prior and Informed Consent |
| NFIN | Nepal Federation of Indigenous Nationality |
| GBV | Gender Based Violence |
| GoN | Government of Nepal |
| GRM | Grievance Redress Mechanism |
| IBA | Important Bird and Biodiversity Area |
| IPs | Indigenous Peoples |
| IPP | Indigenous Peoples Plan |
| Km | Kilometres |
| kV | kilovolt |
| m | metres |
| LAHURNIP | Lawyers Association For Human Rights of Nepalese Indigenous People |
| MBNP | Makalu-Barun National Park |
| MRM | Makalu Rural Municipality |
| MW | Megawatt |
| NEA | Nepal Electricity Authority |
| NCC | Nepal Chamber of Commerce |
| NGO | Non-Governmental Organization |
| PAPs | Project-Affected Parties |
| PAM | Project Affected Municipalities |
| PIC | Project Information Centre |
| PID | Project Information Document |
| RAP | Resettlement Action Plan |

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|-------|----------------------------------|
| SEA | Sexual Exploitation and Abuse |
| SEP | Stakeholder Engagement Plan |
| ToR | Terms of Reference |
| UAHEP | Upper Arun Hydroelectric Project |
| VEC | Valued Ecosystem Component |
| WAFED | Water & Energy Users' Federation |
| WB | World Bank |

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1 INTRODUCTION

1.1 CONTEXT OF THE DOCUMENT

This document forms the Stakeholder Engagement Plan (SEP) for current and future phases of all components of the proposed Upper Arun Hydroelectric Project (UAHEP) including UAHEP’s associated facilities such as the Limbutar Camp Facility of the UAHEP, the Access Road and the Transmission Line.

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

The Nepal Electricity Authority (NEA) is tasked with providing adequate, reliable, and affordable power to all of Nepal by planning, constructing, operating, and maintaining all generation, transmission, and distribution facilities in Nepal’s power system. To meet the increasing power demand, NEA is prioritising the development of a suite of proposed hydropower projects. Among these projects, the proposed 1,040 megawatt (MW) UAHEP is a high priority due to its expected low generation cost and high availability of firm power.

The Government of Nepal (GoN), Ministry of Energy, through NEA, is seeking financial support from the World Bank, to carry out environmental and social impact assessment during the detailed design study, and preparation of bidding documents for the proposed UAHEP (the Project).

1.2 SCOPE, PURPOSE AND OBJECTIVES

Stakeholder engagement refers to a process of sharing information and knowledge, seeking to understand and respond to the concerns of stakeholders, and building constructive and responsive relationships that are important for successful management of a project’s environmental and social risks, as well as the sustainability of a Project’s outcomes.

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

OBJECTIVES OF THE SEP

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

1.3 PROJECT BACKGROUND


NEA is planning to develop the 1,040 MW Hydroelectric Project on the Arun River in Sankhuwasabha District of eastern Nepal. The Government of Nepal (GoN) and NEA are considering to apply for financing from international financial institutions including the World Bank. Therefore, NEA has decided to follow the World Bank's Environmental and Social Framework (ESF) as a basis for identifying, assessing and mitigating social and environmental risks and for stakeholder engagement. This SEP is one of the elements of the ESF.

The Project is located approximately 15 kilometres (km) south of the international border with Tibet and 220 km east of Kathmandu. The Project area is situated within Longitude 87°20'00" to 87°20'00" East and Latitude 27°38'24" to 27°48'09" North. The Project is envisioned as a peaking hydroelectric project. The objective is to increase hydropower generation and build institutional capacity for developing hydropower sustainably in Nepal.

The Project will include the following main components:

- Dam, which is located near Chepuwa and Rukma villages, in a narrow gorge about 350 metres (m) upstream of the Arun River's confluence with the Chepuwa River;
- Underground power house, which is located beneath Sibrun Village 16 km downstream of the dam site, near the Arun River's confluence with the Leksuwa River;
- An approximately 39 km 400 kilovolt (kV) double circuit transmission line from UAHEP power plant to the Sitalpati 4 substation to join the national grid;
- An approximately 22 km UAHEP access road connecting UAHEP power plant with the dam site, with about 2 km long road tunnel and a bridge over the Arun River;
- 5 camps for owner, contractor and labour force located at Rukma (Dam), Sibrun (Surge Tank) and Syakshila (Power House); and
- Ancillary facilities, including but not limited to quarries, borrow areas, crusher plants, batch plants, laydown areas, maintenance yards, spoil/muck disposal areas, fabrication and maintenance workshops, and other roads necessary to access these facilities.

The right bank of the Arun River at the proposed Project site is located within the Makalu Barun Buffer Zone, which is adjacent to the Makalu Barun National Park. The proposed UAHEP dam site is located at the edge of the Makalu Barun Buffer Zone, but not in the Makalu Barun Buffer Zone. The Project layout is depicted in **Figure 1.1**.

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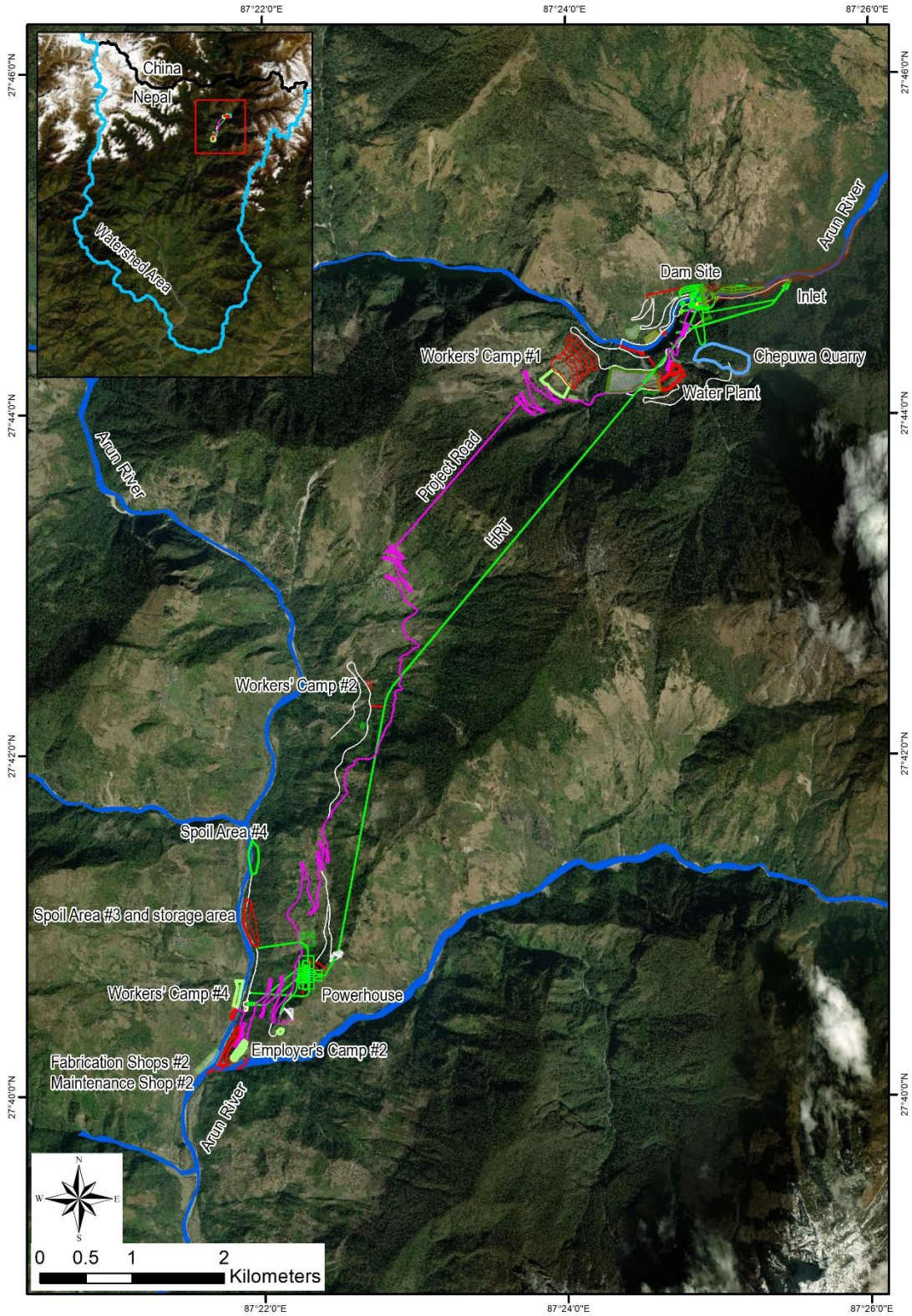


Figure 1.1 Upper Arun Hydroelectric Project Layout


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Figure 1.2 UAHEP Main Infrastructures and Local Villages

All of the project structures and ancillary facilities of the UAHEP fall within Wards 2, 4 and 5 of the Bhotkhola Rural Municipality. Ward No 3 will not host any of the project infrastructure but is expected to experience the dewatering effects on the Arun River once the project is operational. Villages (including smaller settlements) located within the Project area include (Figure 1.2):

- Sibrun – Located near the power house, surge tank and ancillary facilities on the left Bank of Arun
- Hema – Located near the proposed access road
- Hatiya – Located near the diversion reach on the right bank of the Arun River
- Sempun – located near the diversion reach on the right bank of the Arun River
- Khukamu – located near the diversion reach on the left bank of the Arun River
- Hongong – Located within or in adjacent to diversion reach
- Namase – Located near the proposed access road
- Rukma – Located near the proposed dam site
- Chepuwa – Located near the proposed headwork, reservoir and ancillary facilities in headwork area
- Lingam – Located near the proposed dam site

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- Syaksila – Located within or adjacent to the proposed diversion reach and ancillary facilities in power house area
- Barun Dovan – Located within or in adjacent to diversion reach
- Limbutar – Located near one of the worker camps
- Gola – Located within or in adjacent to the proposed Project campsite
- Other villages located further downstream of the powerhouse who may be affected by changes in the flow regime or the transmission line (depending on the final alignment selected).

1.4 CURRENT STAGE OF THE PROJECT

Typical stages of a hydropower project include: planning, construction, operation and closure.

The Project is currently at the planning phase (1 August 2019). NEA is financing preparation studies to develop technical components of the project, including an update of a Feasibility Study that has been prepared a long time ago, and an Environmental and Social Impact Assessment (ESIA) which identifies, assesses environmental and social risks and recommends mitigation measures. Further information is provided in **Section 1.4.1**.

NEA has hired a Dam Safety Panel of Experts to independently evaluate the technical preparation of the project, including dam safety elements. It has also hired an Environmental and Social Risk Panel of Experts which similarly reviews the ESIA preparation and other related safeguards documents that may need to be prepared, such as the Resettlement Action Plan (for involuntary resettlement and land acquisition), the Indigenous Peoples Plan, Free, Prior, Informed and Consent (FPIC), Emergency Response Plan, and many other environmental and social management plans.

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

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

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

1.4.1 Summary of Potential Environmental and Social Risks and Stakeholder Needs

Potential environmental and social impacts and benefits of the Project, as identified in the UAHEP ESIA Final Screening Report and stakeholder feedback during scoping consultation, that may need to be paid particular attention to as part of the stakeholder engagement activities include:

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- Land acquisition and compensation, and finding suitable replacement land to resettle displaced families within their community;
- Engaging with Indigenous Peoples to obtain their free, prior, and informed consent of the Project;
- Managing environmental flow of the Arun River to maintain aquatic habitat values and connectivity;
- Managing environment impacts such as forest clearance, sediment transport, risks of landslides and impacts on springs used by villages;
- Managing social impacts such as in-migration (approximately 3,000 workers at peak construction) and preserving Indigenous Peoples' way of life;
- Potential impacts on air quality due to excavation, blasting, movement of vehicles and equipment, open piles of topsoil and spoil, and the operation of combustion engines;
- Noise, dust, waste generation, hazardous material use, pesticide use and traffic disturbance from construction vehicles and machinery;
- Biodiversity impacts as the project entails risks to critical and natural flora and fauna habitats, risks of poaching and illegal trading of wildlife, risk of forest land fragmentation
- Potential impacts to the Makalu Barun National Park;
- Potential impacts on tangible and intangible cultural heritage;
- Health and safety impacts on community and especially the safety of women;
- Community investment and benefit sharing;
- Community access to electricity and roads;
- Increased demand on social infrastructure and emergency services;
- Generation of local income through the recruitment of workers from local communities to the project; and
- Cumulative impacts and selection and prioritisation of Value Ecosystems Components.

Appendix A provides further information on the potential environmental and social risks and issues identified during the ESIA scoping phase and how NEA is planning to manage them.

The potential risks and impacts identified in the Final Screening Report and raised by stakeholders to date are covered by the eight World Bank Environmental and Social Standards (ESS), including ESS10 – Stakeholder Engagement and Information Disclosure (further information in **Section 2.2**). NEA will work to meet these standards, therefore covering issues that have been raised by stakeholders.

1.4.2 Project Alternatives

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

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- Engineering and economic optimization of the UAHEP in terms of capacity, hydraulic capacity, and reservoir elevation;
- Alignment of the access road, especially in the area around Sibrun, to ensure slope stability and traffic safety, and to minimise impacts on homes, agricultural areas (e.g., cardamom fields), and the villages in general;
- Location of Project ancillary facilities (e.g., worker camps, spoil disposal areas, quarries, crushing and batch plants, water plants, power plants, maintenance shops, fabrication shops, storage yards, fuel storage, and explosives magazine) to maintain community safety, and minimise physical resettlement, economic displacement, disruption of villages and to avoid the Mt. Barun National Park to the extent possible;
- Location of transmission line route to ensure a technically feasible route and minimise impacts on local villages as Project power is transmitted toward a substation near Khandbari. One key consideration on the transmission line alternatives is to avoid impacting on Makalu-Barun National Park (MBNP) and an Important Bird and Biodiversity Area (IBA) area; and
- Powerhouse location below Barun river confluence to gain additional head and flow contribution to the environmental flows in the Arun River.

1.5 PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES


An initial site visit was conducted by a team of six experts between September 28, 2018 and October 4, 2018. This provided an opportunity to observe the Project areas and conduct informal stakeholder meetings. This included a meeting with a Makalu Barun National Park Sector Office official at Gola, a meeting with the Department Forest (DFP) team, and conversations with local communities in Chepuwa and Hatiya.

Scoping consultations for the ESIA have commenced. The results of the completed scoping consultation activities to date are summarised in **Appendix C**.

1.6 STRUCTURE OF THIS PLAN

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

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

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2 KEY STANDARDS AND LEGISLATION

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

2.1 NATIONAL LEGISLATION

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

- **Constitution of Nepal 2072 (2015)**, Article 27 states that all citizens have the right to demand or receive information on any matter of his or her interest or of public interest, except for information that has to be kept confidential in accordance with the laws.
- **Right to Information Act (2007)** requires all public bodies to make proactive disclosures of certain types of information to respond to information requests. Section 4 of the Act elaborates on the responsibility of a public body (NEA, in the case of the UAHEP) to disseminate information about the Project in an open and transparent manner, and make it easy for the public to access the information.
- **Good Governance Act (2008)** has provisions for holding public hearings (Section 30) and also specifies the participation at these hearings such as subject matter experts, stakeholders, and representatives of civil society and officials of the local bodies. Section 31 of the Act requires public bodies to provide a Grievance Management Process, including maintaining a complaint's box to collect grievances.
- **Environment Protection Rules (1997)** has provisions requiring holding public consultations and acquiring feedback. Rule 4 requires that an Environmental Impact Assessment scoping document incorporate public concerns about the development. Notice about the proposed project must be posted in the local area and stakeholders are invited to express their view about the project in writing. Rule 7 requires the proponent to organise a public hearing about the proposal "at the area of Village Development Committee or Municipality where the proposal is to be implemented and collect opinions and suggestions".
- **Land Acquisition, Resettlement and Rehabilitation Policy (2015)** has implementation policies requiring meaningful consultation with affected persons and vulnerable groups, disclosing information on resettlement planning and implementation in periodic manner, and establishing appropriate grievance redress mechanism. The policies also put emphasis on giving priority to project alternative with less environmental and social impacts and consult on the alternative options with the affected stakeholders.
- **National Land Policy (2019)** is underpinned by an inclusive agenda that covers the land rights of women and vulnerable groups, including rehabilitation of the landless, squatters and informal tenure-holders for improved housing; access to land and security of tenure; tenure security for landless peasants for farming; women's access to land ownership; and the optimum use of land for sustainable housing.

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

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

2.1.1 Hydropower EIA Manual

Nepal’s Hydropower EIA Manual requires actively seeking community participation at the onset (scoping), execution (engaging) and completion (disclosure) of the EIA process. The Hydropower EIA manual emphasizes continuous engagement with local communities through the project lifecycle including during project identification, screening (pre-feasibility), scoping (feasibility), the EIA study, the EIA report submission/review, implementation of environmental protection measures, monitoring, evaluation, and auditing. It also requires projects to be guided by a Stakeholder Engagement Plan prepared at the start of the project. The manual also requires mandatory participation of women and people from Vulnerable Groups. Engagement should enable local people to understand and be informed about the project and the implications.

In addition, the Hydropower EIA Manual requires that a grievance mechanism be developed early in the project life for receiving, evaluating and addressing project-related grievances from affected communities. These grievances need to be regularly monitored and responded to in a timely manner. The grievance handling mechanism needs to: (1) be clear, culturally-appropriate, accessible, transparent and free of cost, and (2) have a female member in the team. Contractors and sub-contractors are also to have in place systems to manage grievances.

2.2 WORLD BANK ENVIRONMENTAL AND SOCIAL FRAMEWORK

NEA is seeking financial support from the World Bank to support the UAHEP. The UAHEP environmental and social studies will be completed to show compliance with the World Bank Environmental and Social Framework (ESF).

Environmental and Social Standards 10 (ESS10) Stakeholder Engagement and Information Disclosure requires project proponents to engage with stakeholders throughout the Project lifecycle, and through disclosure of information, consultation, and informed participation. To facilitate this, ESS10 requires the proponent to develop and implement a Stakeholder Engagement Plan that is appropriate to the nature and scale of the project and its risks and

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impacts, and tailored to the characteristics and interests of the affected communities. ESS10 requires a SEP to include differentiated measures to enable effective participation of those identified as disadvantaged or vulnerable. A grievance mechanism and ongoing monitoring and reporting to affected communities are also required.

All standards have stakeholder engagement requirements; therefore, ESS10 applies to all standards. Furthermore, Environmental and Social Standard 7 (ESS7) on “Indigenous Peoples /Sub-Saharan African Historically Underserved Traditional Local Communities” requires additional consultation measures for projects such as UAHEP which affect Indigenous Peoples. For this Project, the additional consultation measures include the standard of Free, Prior, and Informed Consent (FPIC); see **Section 4.5** below for details regarding FPIC consultation.

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

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

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

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3 PROJECT STAKEHOLDERS

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

3.1 STAKEHOLDER IDENTIFICATION AND ANALYSIS

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


Stakeholder identification for the UAHEP was initiated during the scoping meetings and was further developed during the stakeholder mapping workshop held with key representatives from the World Bank and the Environment and Social Impact Assessment (ESIA) Project team on 6th March 2019. The stakeholder mapping workshop was undertaken to:

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


Table 3.1 provides a summary of Project stakeholders, which have been grouped into 15 categories.

Table 3.1 Summary of Upper Arun Hydroelectric Project Stakeholders


| Stakeholder Group | Stakeholder |
|---------------------------------|---|
| Project-Affected Parties | |
| Directly Affected Population | <ul style="list-style-type: none"> • Individuals and households that are located within the Project Direct Area of Influence (DIA): <ul style="list-style-type: none"> • Environmental – those areas located within the Project’s footprint or area of disturbance plus the entire length of the Project’s diversion reach (i.e., the river segment or reach between the Project’s headworks and powerhouse tailrace) • Social – the villages and households directly affected by Project construction and operation and subject to an FPIC process under ESS7. |

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| Stakeholder Group | Stakeholder |
|---------------------------------------|---|
| Indirectly Affected Population | <p>Individuals and organisations located within Indirect Area of Influence includes:</p> <ul style="list-style-type: none"> • Environmental – those areas located within 1 km of any project construction, including the hydropower, access road, transmission line, and worker camp components and other ancillary project facilities • Social – the municipality within which the Project is located (i.e., Bhotkhola, Makalu Gaunpalikas), and neighbouring municipalities including Chichila Gaunpalika and Khandbari and Panchakapan Nagarpalika). |
| Cumulatively Impacted Population | Individuals and organisations located within the Cumulative Area of Influence – There are currently eight hydropower projects proposed in the Arun River Basin. |
| Project-Affected Municipalities (PAM) | The municipality government within which the Project infrastructure and facilities are located (i.e., Bhotkhola, Makalu), and Chichila Gaunpalika and the Khandbari and Panchakhapan Nagarpalikas). |
| Other Interested Parties | |
| District Administration and Offices | <ul style="list-style-type: none"> • Chief District Officer/Administrator, Divisional Forest Office, Ilaka Forest Offices, field forest offices such as Agriculture Knowledge Centre • District Coordination Committee (DCC) • District Forest Office |
| Provincial Government | <ul style="list-style-type: none"> • Five Ministers, Chief of Provincial Planning, Chief Secretary and Secretaries of the relevant Ministries |

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| Stakeholder Group | Stakeholder |
|---|--|
| Centre (Federal) Government | <ul style="list-style-type: none"> • PMO & Council of Ministers • Ministry of Energy, Water Resource and Irrigation • Ministry of Forest and Environment • Ministry of Finance • Ministry of Home Affairs • National Planning Commission • Departments: Department of Electricity Development, Department of Immigration, Department of Mines & Geology, Department of Roads, Department of National Parks and Wildlife Conservation, Department of Forest and Soil Conservation, District Education Office • Parliament: Agriculture, Cooperatives and Natural Resources Committee • Ministry of Labour Employment and Social Security • Ministry of Tourism and Culture • Department of Archaeology |
| Elected Officials and Local Politicians | <p>All elected leaders of Bhotkhola Rural Municipality (BRM). Local political leaders identified at this stage:</p> <ul style="list-style-type: none"> • Pemba Bhote, Mayor, Bhotkhola RM (BRM) • Ms. Pantem Dawa Bhote, Deputy Mayor, BRM • Chhiring Cheddar Bhote, Chair, Ward-2, BRM • Andi Bhote, Chair Ward-4, BRM • Ms. Chamile Rai, Officiating Mayor, Makalu RM (MRM) <p>District level political leaders (different parties) – to be identified during the ESIA baseline study and consultation activities</p> <p>Elected chief of the DDC includes in the Elected Officials and Local Politicians</p> |
| National Park | Makalu-Barun National Park (MKNP) |
| Media | <p>National</p> <ul style="list-style-type: none"> • Category-A newspapers (daily and weekly) • Kathmandu-based TV stations • Kathmandu-based radio stations <p>Local</p> <ul style="list-style-type: none"> • Social media: Facebook • Satellite TV/ Dish Home • Other local media channels to be identified during the ESIA baseline study and consultation activities |

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| Stakeholder Group | Stakeholder |
|---------------------------------------|--|
| Businesses and Associated Groups | <ul style="list-style-type: none"> Federation of Nepalese Chambers of Commerce and Industries (FNCCI) and Nepal Chamber of Commerce (NCC) <p>Local</p> <ul style="list-style-type: none"> FNCCI unit in District NCC unit in District Local businesses: tourism businesses (lodges/ homestays), (mule train operators, traders of cattle with China) |
| Educational and Training Institutions | <ul style="list-style-type: none"> Shree Himsikhar Adharbhut School Others to be identified during the ESIA baseline study and consultation activities |
| Health Institutions | To be identified during the ESIA baseline study and consultation activities |
| Interest Groups | <ul style="list-style-type: none"> NEFIN Nelhos Nepal Himalaya Bhote Samaj KTM-based 'concern' groups Nepal Energy Forum (communication outlet) <p>Local</p> <ul style="list-style-type: none"> NEFIN local chapter Lohmi-Sinsa Kalyan Kendra Arun Sarokar Manch Upper Arun Hydroelectric Project 'concern' group |
| Hydropower Developers | <ul style="list-style-type: none"> Upper Arun Hydropower Co. Ltd. NEA Other Hydropower developers who are active in the Arun Valley, and along Koshi corridors |
| Internal Stakeholders | <ul style="list-style-type: none"> Include but not limited to: supervision consultants, suppliers, Construction Contractors and Contractor's workforce, sub-contractors, petty contractors, etc |

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| Stakeholder Group | Stakeholder |
|--|--|
| International Non-Governmental Organisations (NGO) and Organisations | National <ul style="list-style-type: none"> Water & Energy Users' Federation (WAFED), (one of its objectives is to "Oppose destructive dams) Lawyers Association For Human Rights of Nepalese Indigenous People (LAHURNIP) Bird Conservation Nepal International <ul style="list-style-type: none"> International Rivers Green Peace Accountability Council Transparency and Accountability Initiative WWF Nepal Birdlife/Bird Conservation Nepal IUCN Nepal UNESCO |
| Project Financiers | <ul style="list-style-type: none"> The World Bank Other potential financiers |

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

- Directly Affected Population** - Individuals and households that are located within the Project Direct Area of Influence (DIA)¹. These may include, but not limited to:
 - Individuals and households (including non-title holders) that will be directly affected by the land acquisition process for the Project, including: Ward 2 (proposed Dam), Ward 4 (proposed Power House) of Bhotkhola Rural Municipality (BRM) (Chepuwa, Rukma, Namase, Sibrun, Syaksila, Limbutar). Preliminary resettlement planning studies have identified 706 affected land parcels in Wards 2 and 4 which belong to 378 identified landowners;
 - People who make their livelihoods by working the land for people whose lands will be directly affected by land acquisition, including those who live in BRM and those who live elsewhere in the Upper Arun Valley;
 - Individuals and households that will have restricted access to natural resources due to the Project footprint. These stakeholders may include, for example, many in the valley who collect herbs for livelihood, communities that use the 15

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

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km section of the Arun River that will be subject to flow variability and EFlow for livelihood activities or use;

- MMNP Park Authority since some ancillary facilities including portion of the reservoir are within the buffer zone of the MBNP and thus falling within the physical footprint of the project;
- People directly affected by the construction and operation of the ancillary facilities and workers' camps; and
- People directly affected by the construction and operation of the transmission line.

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

- Villagers in Bhotkhola, Makalu, and Chichila Gaunpalikas, and Khandbari and Panchakhapan Nagarpalika. Individuals where the Project infrastructures are located;
- People outside of these municipalities who may be affected by restricted access to use Arun River for (such as recreational use) due to the Project construction and operation;
- Public and private organisations and businesses – to be identified during the ESIA baseline study and consultation activities.

3. **Cumulatively Impacted Population** – Individuals and organisations located within the Cumulative Area of Influence². These are people who reside in the Arun River Basin who are not included in the first two categories.

These stakeholders may include, for example, people who may experience increased traffic congestion, increased cost of living, and reduced agricultural productivity in the region as a cumulative impact of eight hydropower projects being proposed in the Arun River Basin with five along the mainstream of the Arun River.

Potential vulnerable groups were also identified during the stakeholder identification process. **Table 3.1** provides a summary of the potentially vulnerable Project stakeholders.

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

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

² The geographical areas upstream and downstream of the UAHEP DIA and IIA which have the potential to be affected by the cumulative impacts of the project and other hydropower projects being proposed in the Arun River Basin.


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Table 3.2 Upper Arun Hydroelectric Project Potentially Vulnerable Groups

| Stakeholder Group | Stakeholder |
|------------------------------------|--|
| Dalit | <ul style="list-style-type: none"> Individual households that are in 'extreme poverty' who are formally considered as 'untouchable'. |
| Indigenous Groups | <ul style="list-style-type: none"> The majority of Project Affected People are Indigenous Peoples. In Bhotkhola Rural Municipality, based on information available*: Bhote (65.48%), Lhomi (17.58%), Rai/Kulung (4.63%), Tamang (4.21%), Gurung (3.07%), Sherpa 1.49%), Kami (Dalit) (1.35%), Newar (0.51%) Chetri (0.33%) Information on IPs in the Project area, adjacent and surrounding communities will be identified during the ESIA baseline study |
| Women | <p>In Nepal's patriarchal society women are often expected to not speak out, not be educated and their traditional roles involve work at home and in the fields (such as housework, crafting, and farming). The most vulnerable women include:</p> <ul style="list-style-type: none"> Single women-headed households Women in low income households Landless women |
| Children, Youth and Elderly | <ul style="list-style-type: none"> They are vulnerable for lack of ability to influence decisions affecting their lives. % of population to be identified during the ESIA baseline study |
| People with Disability | <ul style="list-style-type: none"> % of population to be identified during the ESIA baseline study |
| Minority Religious Groups | <ul style="list-style-type: none"> % of population to be identified during the ESIA baseline study |
| Households in "Extreme Poverty"*** | <ul style="list-style-type: none"> Households that suffer severe deprivation of basic human needs, including food, safe drinking water, sanitation facilities, health, shelter, education and information. |

* This is an estimate provided by IP specialist, needs to be confirmed by social baseline survey. This is because the estimate was based on VDC populations that have not changed after municipality was formed.


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

3.2 STAKEHOLDER MAPPING

Stakeholder mapping, illustrated in **Figure 3.1**, was undertaken to identify the level of engagement required during the ESIA and future phases for each group of stakeholders based on their level of interest and level of impact.

The stakeholders were mapped by group. The mapping results are as follows:

- The stakeholders that appear in the top right quadrant are those that need to be managed closely (i.e. the stakeholders that need to be proactively engaged on a regular basis and engagement efforts should be focused on this group). This is

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because these are the stakeholders that are most interested in the Project and have the potential to impact its outcome (i.e. the ability of the Project to go ahead).

- The stakeholders that appear in next quadrants (i.e. in Q2 and Q3) need to be kept informed – i.e. provided information and consulted on issues of interest to the stakeholders.
- The final stakeholders (i.e. in Q4) need to be monitored – i.e. informed of key Project aspects. It is important to track if their level of interest or impact changes.

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

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

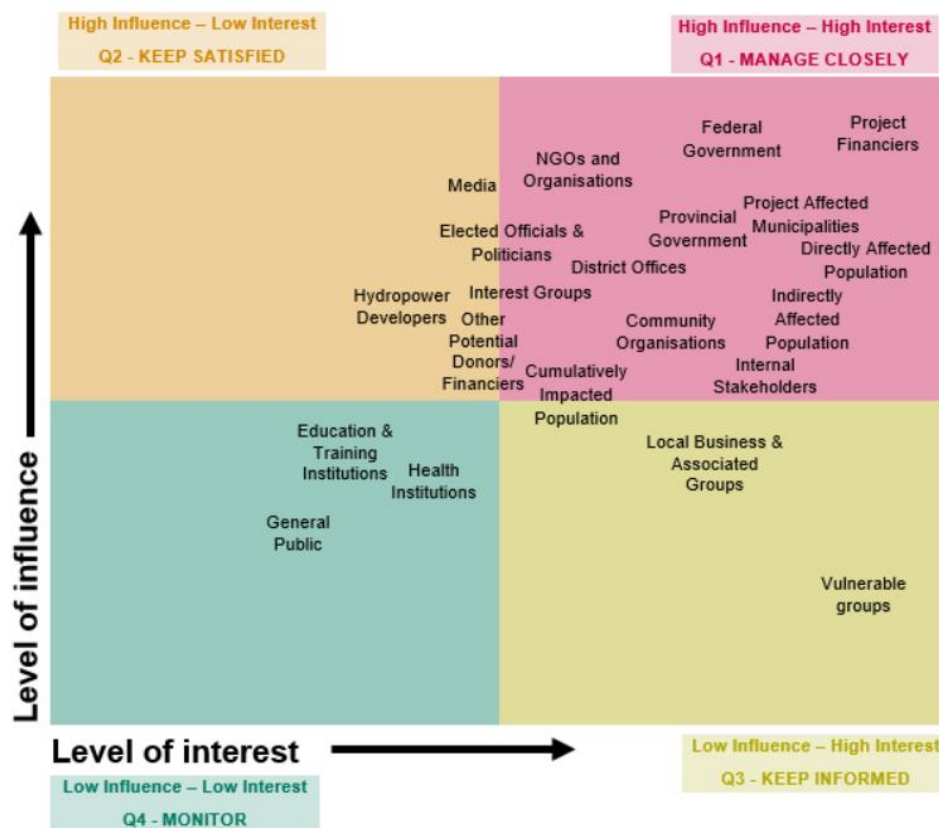



Figure 3.1 Upper Arun Hydroelectric Project Preliminary Stakeholder Mapping Results

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4 STAKEHOLDER ENGAGEMENT PLAN

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

This version of the SEP (with data current as of September 2019) focuses on stakeholder engagement during the Planning Phase (current phase of the Project). As demonstrated in Table 4.1, scoping consultations for the Project's Environmental and Social Impact Assessment are well underway. The results of consultations undertaken in 12 separate locations in the project influence area over a period of several days in January 2019 reveal that PAPs are mainly concerned about a) compensation rates for lost land and assets; b) the provision of broader benefits by the Project authorities, including employment opportunities, project shares, public infrastructure and access to services; c) the alignment of the access road for the Project; and d) the preservation of local traditions and cultures. This feedback triangulates well with comments solicited from PAPs and Other Interested Parties during less formal meetings and dialogues held both before and after that, and is feeding directly into the preparation of multiple social and environmental mitigation plans for the UAHEP.

Disclosure and consultation during the Planning Phase planning will be undertaken with full recognition of parallel exercises by the Free, Prior, and Informed Consent (FPIC) process taking place during the project preparation phase (late 2019 through mid-2020). Refer to **Section 4.5** for details regarding FPIC process and how the SEP will coordinate with FPIC to support this process.

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

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Table 4.1 Engagement Summary

| Project Stage and Engagement Objective | Primary Engagement Activities and Topics | Target Stakeholders | Method(s) of Engagement | Frequency and Location | Stakeholder Feedback Opportunity | Responsibilities |
|---|--|---|---|--|---|--|
| Planning and Approvals 2018-2020 Objective Disclose relevant project information to stakeholders and solicit their inputs/feedback into ESIA, CIA, RAP, FPIC, BMP and various management plans | Project alternatives, scope of the potential impacts and mitigation measures and benefit enhancers Land acquisition process Project environmental and social (E&S) principles Resettlement and livelihood restoration measures Grievance mechanism process Informing on the FPIC process Benefit sharing plan Cumulative Impact Assessment (CIA) particularly on the selection and prioritisation of Valued Ecosystem Components (VECs) Biodiversity Management Plan (BMP) (particularly on the offsets) | Project Affected Parties | Village meetings One-to-one meetings Separate group discussions with women, youth and children Household visits to vulnerable families and individuals in the 20 villages subject to FPIC Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio | Scoping meetings (<i>completed</i>) Radio talk (<i>completed</i>) Two visits a month in 20 villages subject to FPIC by Stakeholder Engagement Coordinator Communication through mass/social media (as needed) Project Information Centre in Gola Community Liaison Officer (CLOs) in Rukma and Sibrun providing regular consultations with villagers who are most affected by Project development | Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook One radio interview where stakeholders can call in to ask questions Meetings and household visits Grievance mechanism | Stakeholder Engagement Team Lead Stakeholder Engagement Coordinator CLOs FPIC Facilitation Organisation (FFO) |
| | Engagement for FPIC | Directly and Indirectly Affected Population (20 villages subject to FPIC) | Village-level consultations; FPIC Advisory Council meetings and FPIC Working Group meetings | Three rounds of village consultations every 3 months or so, followed by AC and WG meetings. At locations nominated by the Advisory Council and Working Group. | Advisory Council and Working Group meetings | FPIC Facilitation Organisation (FFO) NEA |
| | Land acquisition process Resettlement and livelihood restoration options Project scope, rationale and E&S principles Grievance mechanism process | Officer for Preliminary Action, Chief District Officer, Ministry of Home Affairs, Ministry of Forestry, MBNP, other government departments involved in land acquisition at multiple levels. Municipality land acquisition and resettlement committee, Compensation Fixation Committee Representatives of affected communities, government entities and businesses | Face-to-face meetings Joint public/community meetings with PAPs | Monthly (and as needed) | Meetings Grievance mechanism | NEA Resettlement consultants |
| | Project alternatives, scope of the potential impacts and mitigation measures and benefit enhancers Land acquisition and resettlement planning | Other Interested Stakeholders – District, Provincial and National Stakeholders | One-to-one meetings Group meetings/ Workshop Project Information Sheets such as PID, FAQs, GRM | One at each ESIA milestone and as needed | Feedback Form Through NEA Communication Officer and consultants | NEA Communication and Grievance Officer with support from consultants |

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| Project Stage and Engagement Objective | Primary Engagement Activities and Topics | Target Stakeholders | Method(s) of Engagement | Frequency and Location | Stakeholder Feedback Opportunity | Responsibilities |
|--|--|--|--|---|---|--|
| | Project E&S principles Grievance mechanism process Informing FPIC process and benefit sharing plans Coordination activities for development and implementation of management plans | | Mass/Social Media Communication - Facebook, radio, newspaper articles/ ads | | Project Facebook and radio interview Meetings Grievance mechanism | Stakeholder Engagement Team Lead |
| | Project information - scope and rationale and E&S principles Training on ESIA and other sub-management plans Grievance mechanism process | Other Interested Stakeholders – Internal Stakeholders | Face-to-face meetings Trainings/workshops Invitations to public/community meetings | At each ESIA milestone and as needed | Meetings and workshops Internal emails Grievance mechanism | NEA with support from consultants |
| | Consultations and coordination as part of the CIA to ensure management of cumulative impacts on VECs are well-coordinated and implemented | Other Interested Stakeholders – Hydropower Developers, District, Provincial and National Governments, relevant research institutions and NGOs, etc | Face-to-face meetings Trainings/workshops Invitation to public/community meetings | At each CIA milestone and as needed | Meetings and workshops Written correspondence Grievance mechanism | NEA with support from consultants |
| | Consultation and coordination with various stakeholders for input into BMP (particularly on the offsets) to ensure achieving “like-for-like or better” biodiversity gains to balance the losses due to the project | Other Interested Stakeholders – MBNP Park Authority, District, Provincial and National Governments, relevant research institutions and NGOs, etc | Face-to-face meetings Trainings/workshops Invitation to public/community meetings | At each BMP milestone and as needed | Meetings and workshops Written correspondence Grievance mechanism | NEA with support from consultants |
| | Present the final ESIA, Environmental and Social Management Plans (ESMPs), CIA, BMP, draft environmental and social commitment plan (ESCP) and related plans for comments and feedback | Project Affected Parties | Village meetings One-to-one meetings Separate group discussions with women, youth and children Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio | Once in each of 20 villages subject to FPIC by Stakeholder Engagement Coordinator and CLOs Communication through mass/social media (as needed) Project Information Centre in Gola | Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook Meetings and group discussions Grievance mechanism | Stakeholder Engagement Team Lead Stakeholder Engagement Coordinator CLOs |
| | Present the final ESIA, Environmental and Social Management Plans (ESMPs), CIA, BMP, draft environmental and social commitment plan (ESCP) and related plans for comments and feedback | Other Interested Stakeholders | One-to-one meetings Group meetings Project Information Sheets such as PID, FAQs, GRM, Feedback Form Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project hotline | Once when final ESIA and related plans are available | Meetings Feedback Form Project Facebook, hotline and email address Grievance mechanism | NEA Community Relations Manager Stakeholder Engagement Coordinator CLOs |

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| Project Stage and Engagement Objective | Primary Engagement Activities and Topics | Target Stakeholders | Method(s) of Engagement | Frequency and Location | Stakeholder Feedback Opportunity | Responsibilities |
|--|--|--|--|--|--|---|
| Pre-construction 2020 – 2022 Objective Ramp-up engagement activities to prepare stakeholders for construction phase Present Construction Contractors ESMPs and related plans, and final ESCP | Present the Construction Contractors Environmental and Social Management Plans (C-ESMPs) such as Traffic Management Plan, Spoils Disposal Management Plan and related plans for comments and feedback Present final ESCP for feedback Project updates including construction activities, construction management plans, engagement activities and responsibilities Road test mitigation measures Ongoing consultation related to land acquisition and resettlement, benefit sharing (IPP preparation) and FPIC | Project Affected Parties | Village meetings One-to-one meetings Separate group discussions with vulnerable groups Project Information Sheets such as PID, FAQs, GRM Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project hotline FPIC Advisory Council and FPIC Working Group | Once a month and as required | Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook, hotline and email address, radio interview Meetings and household visits Grievance mechanism | NEA Community Relations Manager Stakeholder Engagement Coordinator CLOs |
| | Construction permits and licenses and regular Project progress and updates | District, Provincial and National Governments | One-to-one meetings Group meetings/ briefing | Monthly and as required | Meetings Feedback Form | NEA Community Relations Manager with support from consultants and contractors |
| | Ongoing consultation on land acquisition and resettlement | With relevant government bodies and representatives of affected families, business and entities identified during Planning phase | Face-to-face meetings Joint public/community meetings with PAPs | Monthly (and as needed) | Meetings Grievance mechanism | NEA Resettlement consultants |
| | Interaction with Indigenous Peoples Plan (IPP) governance bodies | Directly and Indirectly Affected Population | IPP Advisory Council meetings and IPP governance body meetings. This could serve as the key engagement tool with 20 villages subject to FPIC. IPP monitoring and assessment activities; IPP progress reports. | As required and at locations nominated by the Advisory Council and IPP governance bodies | Advisory Council and IPP governance body meetings Grievance mechanism | IPP facilitator, if any NEA Community Relations Manager |
| | Present the C-ESMP and related plans for comments and feedback Present final ESCP for feedback Project updates including construction activities, construction management plans, engagement activities and responsibilities Update on ongoing land acquisition and resettlement activities | Other Interested Stakeholders | One-to-one meetings Group meetings Project Information Sheets such as PID, FAQs, GRM, Feedback Form Mass/Social Media Communication - Facebook, radio Project Information Centre Project website Project hotline | One during Pre-Construction and as required | Meetings Feedback Form Project Facebook, hotline and email address, radio interview Grievance mechanism | NEA Community Relations Manager Stakeholder Engagement Coordinator CLOs |

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| Project Stage and Engagement Objective | Primary Engagement Activities and Topics | Target Stakeholders | Method(s) of Engagement | Frequency and Location | Stakeholder Feedback Opportunity | Responsibilities |
|--|--|---|--|--|--|---|
| Construction 2022 – 2028 Objective: Provide regular updates on construction activities, implement management plans and monitor the effectiveness of the plans Handling of complaints in a prompt and effective manner | Regularly update on construction activities, including key milestones, key changes in the Project design, and monitoring results from the ESCP and ESMPs Health and safety impacts (EMF, Construction-related safety measures) Update on resettlement and livelihood rehabilitation, community development initiatives and other activities of community interest Start giving effects to benefit sharing Complaint handling | Project Affected Parties | Project Information Centre Project Information Sheets such as Brochures, Factsheets, media notices, Feedback Form One-to-one meetings Village meetings Monitoring and community perception surveys Project Facebook and website Radio and newspaper Grievance mechanism | Once a month and as needed Community perception surveys – once a year | Feedback Form Through Stakeholder Engagement Coordinator and CLOs Project Facebook and radio interview Meetings Project hotline, Facebook and email Grievance mechanism | NEA Community Relations Manager Construction Contractors |
| | Disclose and consult on Construction Contractor activities, hiring preferences, job and business opportunities, training opportunities etc Undertake community environmental and safety awareness program | Project Affected Parties | Village meetings Project Information Sheets such as Brochures, Factsheets Project Information Centre Facebook, radio and website Project Facebook and website Radio and newspaper Training and simulations | Monthly at the first 6 months of construction, then quarterly and as required from there on. Advanced notification will be given to hiring opportunities so local community members have a reasonable lead time to prepare for application. | Feedback Form Project Facebook and radio interview Meetings Project hotline, Facebook and email Grievance mechanism | Construction Contractors with support from NEA |
| | Meetings and discussions with key government departments for construction permits and licences and provide construction progress update | District, Provincial and National Governments | One-to-one meetings Group meetings/ briefing | Monthly and as required | Meetings Feedback Form | NEA Community Relations Manager Construction Contractors |
| | Ongoing consultation on land acquisition and resettlement | With relevant government bodies and representatives of affected families, business and entities | Face-to-face meetings Joint public/community meetings with PAPs | Monthly and as needed PAP survey - Upon completion of resettlement | Meetings Grievance mechanism | NEA Community Relations Manager Resettlement consultants |
| | Interaction with Indigenous Peoples Plan (IPP) governance bodies | Directly and Indirectly Affected Population | IPP Advisory Council meetings and IPP governance body meetings. This could serve as the key engagement tool with 20 villages subject to FPIC. IPP Monitoring and evaluation efforts; IPP progress reports. | As required and at locations nominated by the Advisory Council and IPP governance bodies | Advisory Council and IPP governance body meetings Grievance mechanism | IPP facilitator, if any NEA Community Relations Manager |
| | Update on construction activities and implementation of management plans Update on resettlement and livelihood rehabilitation, benefit sharing, community development initiatives, etc Complaint handling Coordination of activities especially the roll-out of management plans | Other Interested Stakeholders | Project Information Centre Project Information Sheets such as Brochures, Factsheets, media notices, Feedback Form One-to-one meetings One radio talk Group meetings | Once at the start of construction then once a year, and as required | Feedback Form Project Facebook, hotline and email address, radio talk Grievance mechanism | NEA Community Relations Manager Construction Contractors |

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| Project Stage and Engagement Objective | Primary Engagement Activities and Topics | Target Stakeholders | Method(s) of Engagement | Frequency and Location | Stakeholder Feedback Opportunity | Responsibilities |
|--|--|---|---|---|---|---|
| | Health and safety impacts (EMF, Construction-related safety measures) Employment opportunities | | Project Facebook page, hotline and website Grievance mechanism | | | |
| Operation 2028 and beyond Objective: Maintain constructive relationships with stakeholders and maintain awareness of environmental and safety practices in the local communities Engagement will focus on day-to-day operation of the Project | Day-to-day engagement with stakeholders to maintain good relationships and provide update on the Project progress Manage community issues and monitor community attitudes Complaint handling | Project Affected Parties | Village meetings Project hotline Facebook page Project website Project Information Sheets such as Brochures, Factsheets, media notices Grievance mechanism | Once at the beginning of the operation then bi-annually Community attitude surveys – every 3 years | Feedback Form Meetings Project hotline, Facebook and email Grievance mechanism | NEA Community Relations Manager with support from community relations staff |
| | Environmental and safety awareness program Emergency preparedness and response | Project Affected Parties | Brochures, pamphlets, and regular environmental and safety, emergency response talks to PAPs and other relevant stakeholders Emergency drills | Once at the beginning of operation then bi-annually or annually | Feedback Form Meetings Project hotline, Facebook and email Grievance mechanism | NEA Community Relations Manager with support from H&E experts |
| | Day-to-day engagement with stakeholders to maintain good relationships and provide update on the Project progress. | Project Affected Parties District, Provincial and National government departments Other Interested Stakeholders | One-to-one meetings Group meetings Project hotline Facebook page Project website Project Information Sheets such as Brochures, Factsheets, media notices Site visits for government officials, PAP representatives, media | Once at the beginning of operation and bi-annual and as needed | Feedback Form Meetings Project hotline, Facebook and email Grievance mechanism | NEA Community Relations Manager with support from Community relations staff |
| | Interaction with Indigenous Peoples Plan (IPP) governance bodies | Directly and Indirectly Affected Population | IPP Advisory Council meetings and IPP governance body meetings. This could serve as the key engagement tool with 20 villages subject to FPIC. IPP monitoring and evaluation activities; IPP reports | As required and at locations nominated by the Advisory Council and IPP governance bodies | Advisory Council and IPP governance body meetings Grievance mechanism | IPP facilitator, if any NEA Community Relations Manager |

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4.1 STRATEGIES FOR INFORMATION DISCLOSURE


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

In the Project Areas of Influence, the Stakeholder Engagement Coordinator and Community Liaison Officers (CLOs) will use mobile exhibition kiosks (referred to as Project Information Mobile Libraries) to move around villages and social venues such as local markets and tea houses. The Mobile Libraries will be stocked up with disclosure materials for people to view and take away. Use of such Mobile Libraries will ensure the Project disclosure and consultation occur on neutral grounds to help remove obstacles to participate, especially for women and vulnerable groups.

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

Table 4.2 UAHEP Information Disclosure Channels

| Targeted Stakeholders | Information Disclosure Channels |
|---|--|
| Project Affected Persons and Project Affected Municipalities | <ul style="list-style-type: none"> • Project Information Centre (in Gola) • Project Information Mobile Libraries • Stakeholder Engagement Coordinator and CLOs • Ward offices of each ward of BhotKhola Rural Municipality • Rural Municipality Office • Local schools • Local clinics • Local tea houses/lodges |
| District Level Stakeholders – including Regional Stakeholders, District Government, Elected Officials, Local Businesses, Local Interest Groups, Local Education and Health Institutions | <ul style="list-style-type: none"> • District Offices of various agencies • DCC • MBNP • FNCCI unit in district • NCC unit in district • District schools and health clinics • Interest groups and local NGOs' networks |
| Provincial Level Stakeholders – including Provincial Government, Elected Officials and Politicians, Businesses, | <ul style="list-style-type: none"> • Provincial Government Offices • Provincial FNCCI and NCC • Provincial NGOs and interest groups' network |

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|---|---|
| Interest Groups, Education and Health Institutions, Local NGOs, and Local Media | <ul style="list-style-type: none"> • Project Facebook page |
| National Level Stakeholders – including Centre Government and National and International NGOs | <ul style="list-style-type: none"> • Ministry Offices • Through NGOs’ networks • Project Facebook page |
| Project website | <ul style="list-style-type: none"> • All stakeholders can access Project information materials |


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

- Stakeholder Engagement Coordinator and CLOs located in local areas
- Local teachers and school boards
- BRM ward officers and notice boards
- Clinic nurses and notice boards
- A local radio talk/ interview suggesting where and when information is available
- Facebook ads suggesting where and when information is available
- Local NGO network
- District level Journalists Association
- Advertisement on provincial newspapers and/or TV suggesting where information is available.

4.1.1 Communication Materials

Key disclosure and consultation materials include:

- Project Information Document (PID): This document consists of a non-technical summary of the Project, development timeline and milestones, Project updates, consultation program and opportunities for the stakeholders to participate in development of the Project, timeline and venues for engagement activities, contact details for questions and queries. The PID will be updated at each Project milestone to reflect the Project development and key activities at each stage.
- Project Factsheet: A one-pager in Nepali explaining the Project information in simple, plain language accompanied with maps and pictures.
- UAHEP FAQs which comprises of Project key risks and issues, and Project’s plan to address them, as well as answers to key questions raised by the stakeholders during the previous consultation. The FAQs will be revised and updated regularly to reflect Project development and key issues that have come to light.

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- Grievance Redress Mechanism (GRM): Details on how to access the grievance mechanism will be provided. This will include information on how the grievance management process will work, including the timeframes for responses.

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

4.1.2 Project Information Centre

A Project Information Centre (PIC) will be established in the local area in Gola in late 2019. The PIC will be maintained by the Stakeholder Engagement Coordinator. The PIC will welcome visitors from the local communities and the district to obtain Project information, ask questions, raise issues or log grievances.

4.1.3 Project Website and Hotline

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

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

4.1.4 Social Media

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

4.2 STRATEGIES FOR CONSULTATION

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

During the *current phase* (Planning Phase) the Stakeholder Engagement Coordinator will make two rounds of visits to the affected communities in the Directly and Indirectly Affected Population, especially the 20 villages subject to FPIC. The CLOs located in Rukma and Sibrun, the villages that are most affected by the Project proposed activities, will undertake consultation activities with the members of their village. Supplemental to these, an FPIC Facilitation Organisation (FFO) will be conducting an intensive round of project awareness-raising consultations (see **Section 4.5** below).


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Table 4.3 UAHEP Consultation Methods

| Consultation Methods | Targeted Stakeholders |
|--|---|
| Village meeting with proceedings appropriate to the culture and norms of the Indigenous Peoples in each village* | Every village in the Directly and Indirectly Affected Population. |
| Focus group discussion (FGD) | Women groups, youth groups, and minority religious groups in the Directly and Indirectly Affected Population, especially in the 20 villages subject to FPIC. The focus group discussions will cover the gaps in the FGDs undertaken by social baseline study team. |
| Household visit | Dalit, households in 'extreme poverty', single female headed households, people with disability, elderly who have mobility issue, minority religious groups in the Directly and Indirectly Affected Population. As many as possible. Especially in the 20 villages subject to FPIC. |
| School visit/ group briefing | School children in the Directly and Indirectly Affected Population |
| Face-to-face meeting/ workshop | Government offices – all levels, elected officials, PAM, DCC, FNCI, NCC, NBNP, schools and health clinics, interest groups, NGOs, |
| Radio | Regional stakeholders and other interested parties who can call in to ask questions and raise issues/ concerns while NEA representatives attend the radio interviews (It is proposed that this occur twice during Planning Phase) |
| Project Facebook page | All stakeholders can visit to get Project updates and ask questions, and raise issues/ concerns |
| Project email address | All stakeholders can email to request information, and raise issues/concerns |
| Perception survey | A perception survey examining PAPs' experience and feedback about the project will be carried out annually during construction, and at the completion of RAP. |

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

4.3 STRATEGIES FOR VULNERABLE GROUPS

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

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

- Focus groups for women, led by a female facilitator, to introduce the Project and discuss any issues and concerns that the women may have regarding the Project

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development. FGDs have been undertaken for social baseline and further FGDs will be planned to fill the gaps in the Directly and Indirectly Affected Population. The CLOs will pay extra effort on recruiting women to visit Project Information Libraries and attend women group discussions.

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

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

4.4 REVIEW OF COMMENTS AND REPORT BACK

Feedback from the PAPs will be captured by the Stakeholder Engagement Coordinator and CLOs. The Coordinator will also maintain a stakeholder engagement/feedback and grievance register that will be forwarded to the Project team in Kathmandu (current phase) and Community Relations Team (in future phases) to input into Project's Stakeholder Engagement Management System. Urgent issues and grievances that need immediate attention will be communicated to the Stakeholder Engagement Team Lead (current phase)/ CR Manager (future phases) to take it up the chain of command as soon as practically possible.

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

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

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

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

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


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

4.5 FREE, PRIOR AND INFORMED CONSENT (FPIC) PROCESS

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

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

In the UAHEP case the project will have potential adverse impacts on community forest land, as well as water resources (River Arun, Ikhuwa Khola and other streams), which are under customary use, which makes criterion i) above applicable. Criterion ii is also applicable as the handful of affected IP families have recognizable individual rights to the affected

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properties, which per footnote 20 of ESS7 puts this matter additionally under ESS5: “Land Acquisition, Restrictions on Land Use & Involuntary Resettlement,” as well as ESS7: Indigenous Peoples. Thus two criteria are triggered and the FPIC requirement does apply to the Project.

The FPIC process is a separate process that occurs alongside of and is an integral part of the stakeholder engagement process. This FPIC process will be facilitated by an FPIC Facilitation Organization (FFO) which will work closely with NEA and consultants (ERM), and the Environmental and Social Panel of Experts (ESPoE) to support the FPIC process.

The primary responsibilities of the FFO will be:

- Respond to requests from parties to explain and guide their understanding of and implementation of the FPIC process so as to raise their capacity of understanding FPIC.
- Support to identify issues, safeguards, project impacts, mitigation measures and potential benefits to affected Indigenous Peoples. Help Indigenous Peoples broadly understand safeguards, project impacts, mitigation measures, and potential benefits of the project.
- Verify and engage with affected Indigenous Peoples decision-making authorities/representatives (and taking into account gender and other marginalisation characteristics) to discuss the FPIC process.
- Develop a mutually acceptable engagement and negotiation framework for the FPIC process (FPIC Process Agreement), based on the principles of Good Faith Negotiations¹ and agree on what constitutes FPIC for the project and the IPP in the UAHEP context.
- Conduct all activities in a culturally appropriate manner (i.e., in local languages in written and oral format to the most possible extent) and provide sufficient time for awareness and capacity building and support to affected communities to understand these matters and their rights.
- Facilitate negotiations on the draft IPP and related materials presented, and ensure that those documents are adjusted as needed in response to input. Use mediation if needed to resolve disagreements.
- Present updated materials and seek support from affected indigenous peoples and their representatives in an Adibasi/Janajati Advisory Council (AJAC).
- Document community support in a mutually agreed written format, including an agreed mechanism for monitoring of key commitments in the future.

¹ All parties demonstrate a willingness to engage in a process and availability to meet at reasonable times and frequency; provisions have been made for the dissemination of information necessary for informed negotiation; engagement process addresses key issues of importance; engagement process involves mutually acceptable procedures for negotiation; client demonstrates a willingness to change initial position and modify offers where possible; and sufficient time has been provided for communities to engage in their preferred methods of decision making.

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The steps to achieve FPIC will be as follows:

- A. Project Disclosure by NEA
- B. Organize Village Orientation/Community Mobilisations
- C. Community mobilisation and social mapping
- D. First Meeting of the Advisory Council & Establishment of an FPIC Working Group
- E. Village Consultations Round-1: Inputs to IPP and approval of FPIC Process
- F. The Second Meetings of the Working Group and the Advisory Council: Review IPP revisions, FPIC Process Agreement, and auxiliary documents
- G. Consultations Round 2: Review of above documents
- H. Third meetings of the Working Group and the Advisory Council: document finalisation and consent decision


4.6 RESETTLEMENT PLANNING ENGAGEMENT PROCESS

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

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

A typical RAP consultation process is outlined below. The consultation process will also include steps to ensure NEA fulfill the requirements of Paragraph 30, (a) through (f), of ESS7. These requirements relate to steps to obtain FPIC from Indigenous People who are subject to relocation for the purpose of the Project development. It will be updated and confirmed once the RAP is available for review.

The RAP is a process that runs parallel with the SEP where findings will feed into the SEP and vice versa. See **Table 4.1** for planned engagement activities for resettlement planning at different Project phases. Refer to Resettlement Action Plan(s) for details of stakeholder engagement for land acquisition and resettlement.

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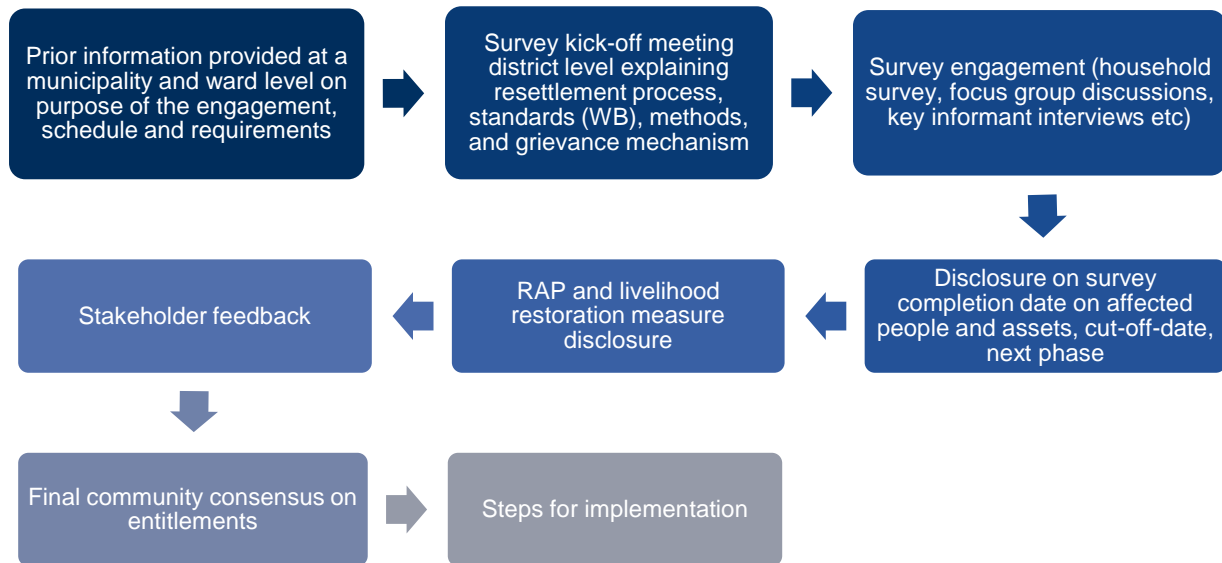


Figure 4.1 Proposed UAHEP RAP Consultation Process – subject to update

4.7 CUMULATIVE IMPACT ASSESSMENT ENGAGEMENT PROCESS

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

Stakeholder engagement process for the CIA includes the following steps:

1. Identification of CIA stakeholders such as affected communities in the Arun basin, Ministry of Energy, Water Resources and Irrigation (MoEWRI), Ministry of Forest and Environment (MoFE), Department of National Parks and Wildlife Conservation, other hydropower developers, communities near proposed and under construction HPPs, Nepal Federation of Indigenous Nationalities (NEFIN), Central Fisheries Promotion and Conservation Centre (CFPCC), fisherfolk and Majhi Communities, etc.
2. Initial consultation with relevant government agencies, research institutions, affected community representatives and other key stakeholders to identify the Valued Ecosystem Components (VECs), developments, and external natural and social stressors within the CIA Study Area.
3. Consult with stakeholders to inform the VEC baseline, their spatial and temporal extent, existing conditions, sensitivity to change, resilience/recovery time, existing stressors and trend in condition.
4. Consult with stakeholders on cumulative impacts arising from interactions between the Project, other projects, and other stressors within the CIA Study Area on the VECs.
5. Consult on the design and coordinate the implementation of management and mitigation measures with key stakeholders. This is important to ensure management of cumulative impacts on VECs is well-coordinated and implemented.

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6. Disclose draft CIA for comments and feedback.

4.8 BIODIVERSITY MANAGEMENT PLAN ENGAGEMENT

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

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

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

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

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5 STAKEHOLDER ENGAGEMENT MANAGEMENT SYSTEM

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

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

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

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6 GRIEVANCE MECHANISM

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

NEA acknowledges that the Indigenous Peoples Plan that is developed would ideally have its own Grievance Redress Mechanism (GRM), so the Project grievance mechanism will be amended to take into consideration the GRM proposed in the IPP when required.

6.1 OBJECTIVES

The main objective of the grievance mechanism is:

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

6.2 USE OF THE EXISTING DISPUTE RESOLUTION SYSTEMS

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

- The Constitution of Nepal 2015 and Local Government Operation Act (LGOA) 2017 empower local judicial committees to deal with community-based disputes.
- The role of village council (known as Kiduk Samaj) in decision-making on village matters. Kiduk Samaj meetings are held ahead of all festivals or social functions (such as birth and death rituals) to discuss and organise these events. The meetings are attended by all adult members including women. The decisions were made in these Kiduk Samaj after due deliberation through consensus. The decisions made in Kiduk Samaj is accepted as legitimate collective decisions.

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

6.3 THE COMPLAINT RESOLUTION SYSTEM

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

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Box 6.1 UAHEP Grievance Resolution System

Level 1: This level of resolution is for complaints that can be resolved by the Stakeholder Engagement Coordinator directly with the complainant. This level of complaint can be dealt with through immediate corrective action.

Level 2: This level of resolution is for complaints that could not be satisfactorily resolved by UAHEP alone and therefore appeal to the Local Grievance Committee (also referred to as Rural Municipal Grievance Committee).


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

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

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

- **Local Grievance Committee** (also referred to as Rural Municipal Grievance Committee): Consists of the Project Community Relations Manager, Construction Contractor representatives, Kiduk Samaj, rural municipality officials, and community representatives (especially women and youth).
- **Project Grievance Committee at District Level:** Consist of the Community Relations Manager, Construction Contractor representatives, municipality representatives, the District Coordination Committee representative, an official from the District Administration Office, and community representatives (especially women and youth).

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

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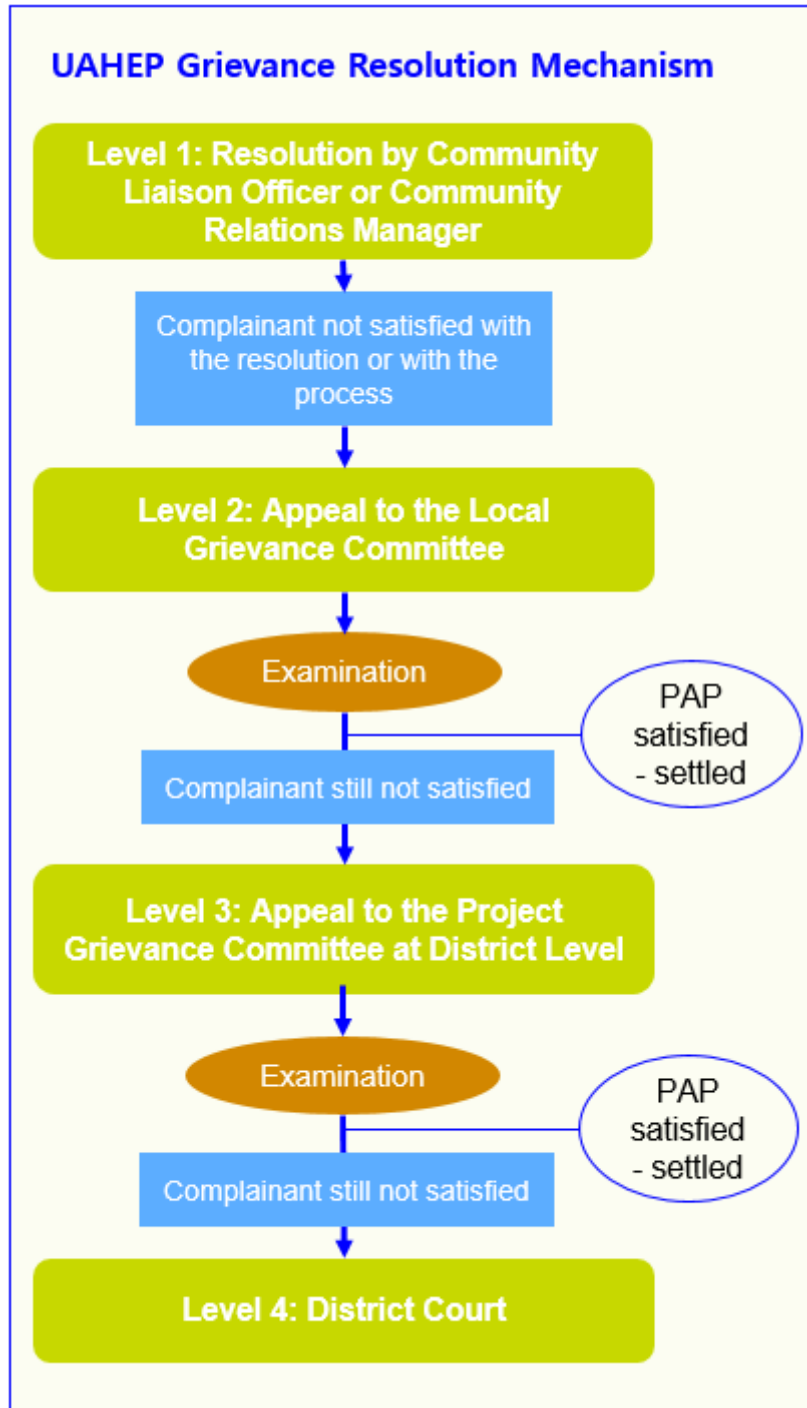



Figure 6.1 UAHEP Grievance Resolution System

6.4 THE GRIEVANCE PROCEDURE

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

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

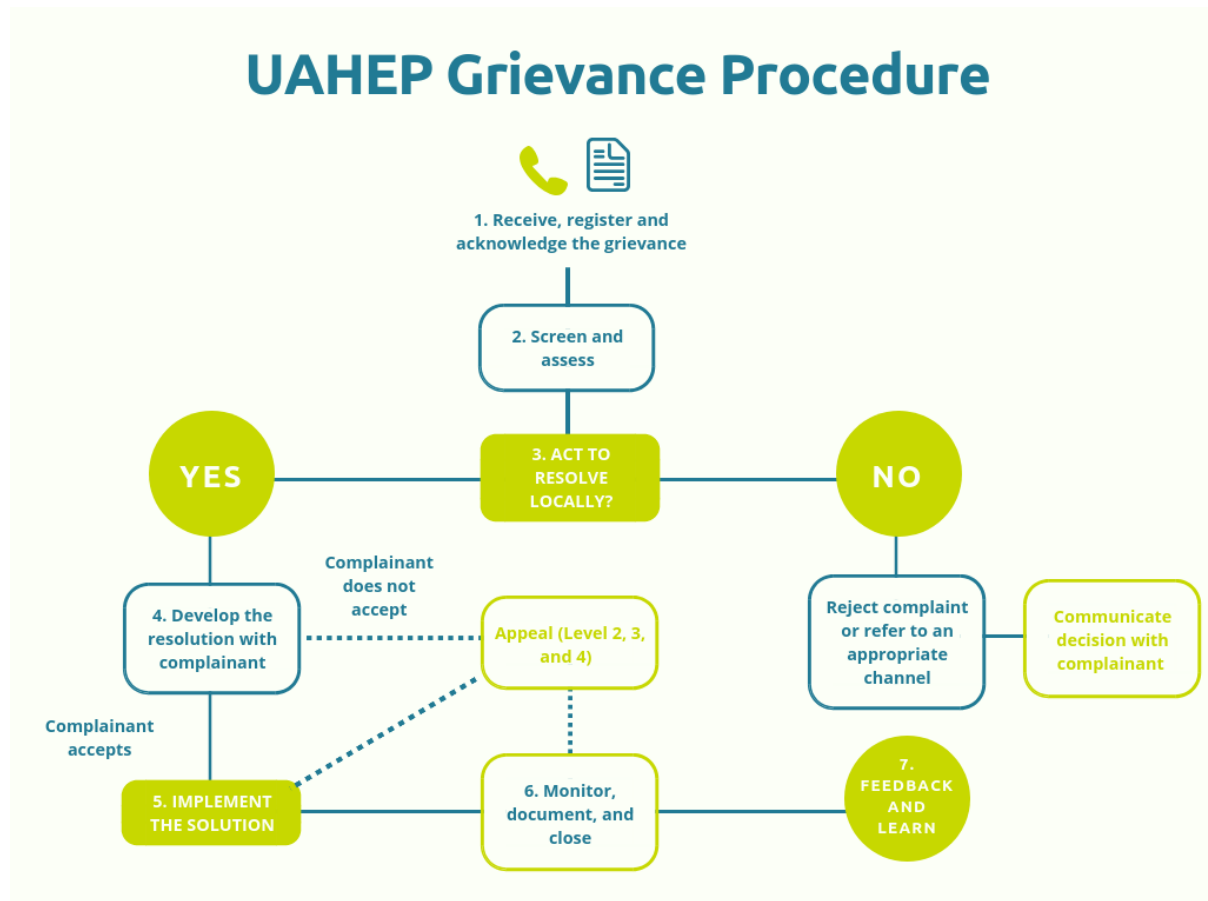



Figure 6.2 UAHEP Grievance Procedure (Refer to Grievance Resolution System for Levels 2 - 4)

The key steps of the procedure are as follows:

1. Receive, register and acknowledge the grievance

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

- Verbal communication with the CLOs who are stationed in the local communities. For those who have difficulty reading or writing or inexperienced with the complaint process the CLOs will assist them in filling out the complaint form.
- Written communication by filling out the complaint form (**Appendix F**) provided by the CLOs. The form will also be made available at the Project Information Centre, Project Information Mobile Libraries, Ward Offices of the Local Government and other disclosure venues identified in the ESIA consultation (**Table 4.5**).

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- The complainants then can submit the complaint forms to the CLOs or drop them in the Comment Box (complaint boxes) available at Mobile Libraries, Ward Offices and public places, or mail them to the Project office.

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

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

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

2. Grievance is screened and assessed within 10 days of receipt. The significance of the grievance will then be assessed using the criteria outlined in **Box 6.2**.

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

3. Inform and assign responsibility

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

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

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

Box 6.2 Significance Criteria

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

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

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

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

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

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

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


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

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

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

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

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

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7 MONITORING AND REPORTING

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

7.1 MONITORING OF STAKEHOLDER ENGAGEMENT ACTIVITIES

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

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

7.2 EVALUATION OF STAKEHOLDER ENGAGEMENT ACTIVITIES

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

A formal evaluation will be done annually, during which the performance indicators set out in **Table 7.1** will be used to determine the extent to which the objectives of the SEP have been met. For the indicators related to participation and grievances filing, all data will be disaggregated according to gender and ethnicity. Information from the Stakeholder Engagement Management System and formal/informal feedback from stakeholders will be used to assess the performance indicators. The evaluation results will be used to update the SEP and will be reported internally as well as to key external stakeholders, as requested.

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

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

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


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Table 7.1 Performance Indicators

| Objectives | Performance Indicators |
|--|---|
| Stakeholders are provided information about the Project in a timely manner | <ul style="list-style-type: none"> • Number of materials disseminated • Comments received on disclosure materials, positive or negative • Locations of information disclosure and who received the information |
| Stakeholders have an opportunity to share their views and concerns about the Project's development | <ul style="list-style-type: none"> • Number and type of engagement opportunities provided • Topics of engagement activities • Attendance rates • Numbers of grievances related to lack of opportunity to participate in Project development |
| Informed participation by Vulnerable Groups | <ul style="list-style-type: none"> • Number and type of engagement opportunities provided to Vulnerable Groups • Attendance rates • Representation of all sub-groups • Number and type of issues raised are satisfactorily resolved. |
| Positive working relationships are built and maintained over time | <ul style="list-style-type: none"> • Number and type of grievances lodged by stakeholders • Number of satisfactorily closed out grievances • Percentage of stakeholders taking part in engagement efforts • Community attitudes and perceptions |
| Engagement continues to be transparent, inclusive and appropriate throughout the Project lifecycle | <ul style="list-style-type: none"> • Adherence to the schedule of stakeholder engagement activities • Representation of Vulnerable Groups in engagement activities • Number and type of grievances lodged by community members • Number of satisfactorily closed out grievances |


7.3 REPORTING

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

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

Reporting back to the stakeholders will be done through:

- Frequently updated FAQs to address new concerns that have come to light through stakeholder feedback during planning, pre-construction, construction and operations.

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The updated FAQs is one of the key disclosure materials for the Project throughout the Project lifecycle.

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

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8 ROLES, RESPONSIBILITIES AND RESOURCES

8.1 PLANNING PHASE

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

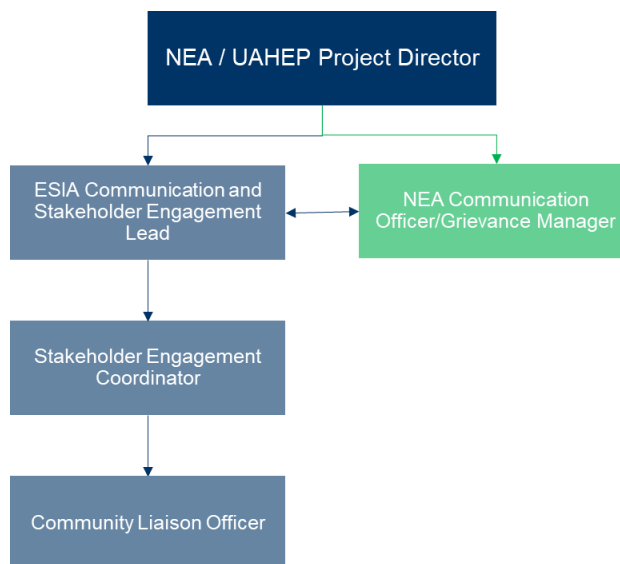



Figure 8.1 Organisational Structure during the Planning Phase

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

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

| Planning Phase Team Member | Responsibilities |
|--|--|
| UAHEP Project Director | <ul style="list-style-type: none"> Has the overall responsibility for oversight of development and execution of the SEP Responsible for approving the SEP, including the annual budget required for implementation. |
| NEA Communication Officer/Grievance Manager | <ul style="list-style-type: none"> Manage interactions with key national-level stakeholders in Kathmandu such as media and critical NGOs, and policy-makers, etc. Provide resolutions of all grievances related to the Project according to the Grievance Mechanism |
| ESIA Communication and Stakeholder Engagement Lead | <ul style="list-style-type: none"> Lead in the implementation and monitoring of the SEP Interface between NEA and the Project stakeholders Train staff to undertake the stakeholder engagement activities outlined in the SEP Coordinate the resolution of grievances with NEA Communication Officer/Grievance Manager |

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| | <ul style="list-style-type: none"> Monitoring and reporting on the SEP, including updates, as required, to the stakeholder mapping results Complete ESIA disclosure prior to formal FPIC consultations Adjust the SEP to accommodate and yield when necessary to the FPIC process. |
| Stakeholder Engagement Coordinator (Deployed to the Project area in September 2019) | <ul style="list-style-type: none"> Assisting the ESIA Communication and Stakeholder Engagement Lead in implementing the SEP Undertaking two rounds of visits to the affected communities a month the Directly and Indirectly Affected Population Maintaining the Project Information Centre Being the point of contact for any grievances for the PAPs Coordinate the CLOs activities in Rukma and Sibrun Help ESIA experts to communicate the findings from the impact assessment process and their recommendations for reducing or mitigating impact; Help organise community level meetings for NEA-WB, ESPOE, and Public Hearing etc; and Register stakeholder engagement activities and results, as well as grievances in the Stakeholder Engagement Management System. |
| CLOs (starting in Rukma and Sibrun in September 2019) | <ul style="list-style-type: none"> Identified by the ward chairperson Implement Project Information Mobile Libraries in their villages Hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali Receive stakeholder feedback and grievances, and each will maintain a log of meetings held by them Communicate urgent issues and grievances to the team coordinator in a timely manner. |

8.2 FUTURE PHASES

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

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Figure 8.2 Organisational Structure for Future Phases

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

| Future Phases Stakeholder Engagement Team Member | Responsibilities |
|--|---|
| UAHEP Project Director | <ul style="list-style-type: none"> Responsible for approving the SEP, including the annual budget required for implementation. |
| Community Relations Manager | <ul style="list-style-type: none"> Responsible for the overall implementation of the SEP and to ensure that grievances are resolved in a timely manner Coordinate the engagement activities between the SEP and various plans such as IPP and RAP, including adjusting the SEP to accommodate and yield when necessary to the FPIC process. Accommodate the grievance mechanism likely to be included in the Indigenous People’s Plan as an outcome of FPIC. |
| Stakeholder Engagement Coordinator | <ul style="list-style-type: none"> Support the CR Manager in the implementation of the SEP Coordinating the CLOs activities on the ground, including regular training and briefings Hold weekly meetings with CLOs (one week at the Dam site and next week at the Power-house/access road side) to examine the stakeholder engagement/feedback and grievance register records undertaken by the CLOs Provide a weekly summary of feedback and grievances to the Communications and Stakeholder Engagement Lead and Social Team Lead |

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| CLOs | <ul style="list-style-type: none"> • Implement Project Information Mobile Libraries in the PAP area • Receive training once a month on general Project information, engagement skills and techniques, various specialist topics centred on Project key risks and how the Project team plans to manage them • Hold small group meetings in local IPs language to explain printed disclosure materials for people who are not literate or problem in reading/understanding Nepali • Receive stakeholder feedback and grievances, and each will maintain a log of meetings held by them • Communicate urgent issues and grievances to the team coordinator in a timely manner |
| Contractors and their sub-contractors (More details in Section 4) | <ul style="list-style-type: none"> • Inform NEA of any issues related to their engagement with stakeholders • Transmit and resolve complaints caused by the construction activities in close collaboration with and as directed by CR Manager and by participating in the local Grievance Resolution Committee • Prepare, disclose and implement various construction management plans, community health and safety awareness campaign, workers camp code of conducts, environmental management, road access and traffic management • Inform local communities of hiring opportunities and practices and local worker training program • Inform local communities of any environmental monitoring e.g. noise, vibration, water quality monitoring • Announce important construction activities ahead of schedule (such as road closures and available alternatives) |

8.3 ESTIMATED BUDGET


A tentative budget for implementing the stakeholder engagement plan over the next 3 years which covers the Planning and Pre-Construction Phases is provided in Table 8.1. NEA will review this plan every six months to determine if any changes to stakeholder classification or engagement are required. If so, the plan will be updated, and a new revision distributed. The budget will be revised accordingly.

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

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Table 8.2 UAHEP Stakeholder Engagement Plan Budget (next 3 years)

| Stakeholder Engagement Activities | Quantity | Unit Cost (USD) | Months/ Times | Total Cost (USD) | Comments |
|--|----------|-----------------|---------------|------------------|----------------------------|
| Communication/ Grievance Officer | 1 | \$1,500 | 28 | \$42,000 | |
| Stakeholder Engagement Coordinator | 1 | \$1,800 | 28 | \$50,400 | |
| ESIA Communication and Stakeholder Engagement Lead | 1 | \$2,000 | 4 | \$ 8,000 | During Planning phase |
| Community Relations Manager | 1 | \$2,000 | 24 | \$48,000 | Starts at Pre-Construction |
| CLOs | 5 | \$ 700 | 120 | \$84,000 | Starts at Pre-Construction |
| Social media staff – responsible for social media, website content update and media briefing | 1 | \$1200 | 12 | \$14,400 | Part-time 2-3 days a week |
| Travel expenses | | \$10,000 | 3 | \$30,000 | |
| Training of staff | | \$ 2,000 | 3 | \$ 6,000 | |
| Project Information Mobile Libraries | 1 | | | \$ 1,000 | |
| Stakeholder Engagement Management System | | \$ 500 | 28 | \$14,000 | |
| Project Information Centre | 1 | \$ 2,000 | 24 | \$48,000 | |
| Communication Materials | | | | \$30,000 | |
| Project website | 1 | | | \$ 5,000 | |
| Contingency (10%) | | | | \$ 38,000 | |
| Sub- Total Stakeholder Engagement Activities | | | | \$420,880 | |
| Grievance Mechanism Activities | Quantity | Unit Cost (USD) | Months/Times | Total Cost (USD) | Comments |
| Comment box | 30 | \$ 50 | | \$1,500 | |
| Communication Materials and GRM handbooks | | | | \$5,000 | |
| Training – Staff and local and district grievance committees | | \$2,000 | 3 | \$6,000 | |
| Grievance Mechanism Database | | \$ 200 | 28 | \$5,400 | |
| Contingency (10%) | | | | \$1,790 | |
| Sub-Total Grievance Mechanism Activities | | | | \$19,690 | |
| Total Stakeholder Engagement and Grievance Mechanism Activities (next 3 years) | | | | \$444,570 | |

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APPENDICES

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APPENDIX A: POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS AND RISKS

Environmental and Social Impact Assessment (ESIA), Cumulative Impact Assessment (CIA) and Social Planning Studies (SPS) for Upper Arun and Ikhuwa Khola Hydropower Projects Final Screening Report provides preliminary screening of potential UAHEP risks relative to the World Bank Environmental and Social Framework. Refer to the Final Screening Report for details.

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

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

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

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APPENDIX B: PLANNED STAKEHOLDER ENGAGEMENT ACTIVITIES

CONSULTATION AND INFORMATION DISCLOSURE DURING PLANNING PHASE


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

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

The ESIA consultation aims to achieve the following goals:

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

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

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STEPS IN ESIA CONSULTATION



Figure A.1 UAHEP ESIA Consultation Program and Timeframe

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Scoping Consultation

Scoping consultation for the ESIA is well underway.

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

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

Incorporating Stakeholder Feedback and Reporting Back

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

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

Consultation on Draft Scoping Report and Terms of Reference for ESIA


The Draft Scoping Report and ToR for the ESIA were submitted to NEA and the World Bank for review in March 2019.

A series of expert panel workshops were held in April 2019 to present the findings of the scoping process to the key stakeholders who directly or indirectly influence the Project development and seek their input.

At the district level, a meeting will be held with key stakeholders such as: the District Forest Office, the District Development Committee Office, the District Administration Office, the District Education Office and the District Agriculture Development Office, and local NGOs working in the area.

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

- Kathmandu: Consultation meeting with the Members of Parliament from the Sankhuwasabha District, NEA, Members of Parliament's Agriculture, Cooperatives and Natural Resources Committee and Kathmandu-based project "concerned group" members.
- Biratnagar: Consultation meeting with the Chief Minister, Ministers of provincial governments and senior officials (e.g. the Provincial Planning Commission, Secretaries,

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etc.) and Provincial community service organisations (CSOs) representing women, Indigenous Peoples, Dalits and other vulnerable groups

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

Consultation during the ESIA

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

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

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

Information Disclosure

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

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

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

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

The Stakeholder Engagement Coordinator will visit the villages in the PAPs twice a month and use mobile exhibition kiosks (referred to as Project Information Mobile Libraries) to move around villages and social venues such as local markets and tea houses in the Project Areas of Influences whenever possible. Two CLOs recommended by the ward chairperson stationed

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at Rukma and Sibrun, the two villages that are affected the most by the Project development, will undertake regular consultations with villagers in these two locations.

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

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

Consultation Activities

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

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

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

Incorporating Stakeholder Feedback and Report Back

Refer to **Section 4.4** for details.

Consultation on the Draft ESIA


The key objective of Draft ESIA consultation is to:

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

Information Disclosure

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

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

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- Full version of the Draft ESIA, ESCP, and SEP.

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

Consultation Activities

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

Incorporating Stakeholders and Report Back

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

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

PRE-CONSTRUCTION ENGAGEMENT

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

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

Disclosure and Consultation

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

- Project brochure – consisting of Project updates, construction activities and timelines, engagement activities during construction, details of the Project Information Centre, Project Information Mobile Libraries, point of contact for questions or queries;
- A non-technical summary of the Final ESIA and ESCP;
- Updated UAHEP FAQs based on feedback received during the ESIA consultation;
- Updated Issues and Response Report based on feedback received during the Draft ESIA consultation; and

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- Full version of the Final ESIA, ESCP, SEP, Contractors ESMPs and related plans such as Community Health and Safety Plan, Traffic Management Plan, Worker's Camp Management Plan, etc.

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

Pre-construction engagement will be held at local, district, provincial and centre levels and will include all stakeholders impacted or interested in the construction phase. The complete list of stakeholders is presented in **Table 3.1** and **Table 3.2**. Consultation with stakeholders will be via channels and methods identified during the ESIA consultation phase (**Table 4.3**). Many of these channels and methods will be tested during the earlier stages of the Project to see if they meet the needs of stakeholders and modifications will be made to the SEP accordingly to ensure the effectiveness of the plan, particularly to ensure that vulnerable groups are able to engage in the process.

Incorporating Stakeholder Feedback and Report Back

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

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

Project Information Centre and Mobile Libraries

A Project Information Centre (PIC) located in Gola will operate in full capacity during the pre-construction phase. See **Section 4.2** for details.


Together with the PIC, a system of Project Information Mobile Libraries will be intensified in the local communities. The Project will employ a number of CLOs to undertake a Project Information Campaign. The main purpose of the Mobile Libraries is to bring as much information about the Project development directly to local residents to make it easily accessible and readily available. Brochures, question forms, complaint forms and other materials listed above will be made available at the Mobile Libraries. The CLOs will be tasked with collecting questions forms, complaint forms and making sure stakeholder concerns and grievances are addressed promptly.

The CLOs will be trained/brief monthly or fortnightly (and as required) on engagement skills and techniques, various topics related to Project risks, impacts and management measures, as well as construction activities and timelines. Each CLO will maintain a log of engagement activities held by them and these records will be inputted in the Stakeholder Engagement Management System.

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

ENGAGEMENT DURING CONSTRUCTION

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

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


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

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

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

Table A.2 Engagement during Construction

| Engagement Activities | Details |
|-----------------------------------|---|
| Regular updates about the Project | Disclosure of Project information at Mobile Libraries and Project Information Centre and district government offices Local radio notices and updates (monthly or quarterly) Provincial newspaper notices and updates (quarterly and as required) Regular revision of information on the Project website and Facebook page Periodic press conferences and interactions with media, including site visits |

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| Monitor community concerns, attitudes and progress | Identify and manage issues via a range of community relation activities including village meetings, focus group discussions and household visits (Vulnerable Groups), written correspondence |
| Monitor the effectiveness of the ESCP | Assess the effectiveness of the ESCP implementation through participatory monitoring and community perception surveys |
| Consultation on compensation and resettlement | Ongoing consultation and negotiation with affected households, organisations and institutions. Details to be provided in the Resettlement Action Plan and Livelihood Restoration Program. |
| Consultation related to FPIC | Ongoing consultation following a structure that the FFO will likely propose as part of the IPP governance structure as result of FPIC process |
| Construction Contractor activities | Construction Contractors to consult and disclose on a range of activities during construction including: <ul style="list-style-type: none"> • Construction activities and schedule • Additional mitigation measures/ updated ESCP • Community health and safety, workers camp code of conducts, environmental management, road access and traffic management • Hiring opportunities and practices and local worker training program |
| Project hotline | For phone enquiries and complaints for regional and national stakeholders |
| Community enquiry line | Maintain FAQs to respond to community queries Provide mailboxes (complaint boxes) at Project Information Corners and public places |
| Complaints handling and management | A formal grievance mechanism has been introduced (Section 5) and will continue through to the construction phase Provide mailboxes (complaint boxes) at Project Information Centres and public places in the PAP area |
| National and international communications | Regular updates on the Project website and Facebook page Report annually to district, provincial and central governments Site tours as required Engage with national and international media as required |

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

ENGAGEMENT DURING OPERATION

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


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


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

Table 0.1 Engagement during Operation

| Engagement Activities | Details |
|---|---|
| Updates about the Project | Brochures, fact sheets made available for Project-Affected Parties bi-annually Newsletters to district and provincial government offices bi-annually or annually Local media notices and updates once at the beginning of operation and as required Regular revision of information on the Project website Briefings of media as needed |
| Community relations activities | Consultation and disclosure activities will form part of day-to-day functions Community relations staff will be placed throughout the life of the Project to maintain relationships with local communities and other stakeholders |
| Environmental and safety awareness program | Provide brochures, pamphlets, and regular environmental and safety talks to PAPs and other relevant stakeholders |
| Emergency preparedness and response | Provide training, brochures and pamphlets for local communities and workforce on emergency preparedness and response Undertake emergency drills as outlined in Emergency Preparedness and Response Plan |
| Consultation related to FPIC | Ongoing consultation following a structure that the FFO will likely propose as part of the IPP governance structure as result of FPIC process |
| Manage community issues and monitor community attitudes | Through a range of community relation activities including village meetings, group discussions, household visits, community perception surveys |
| Project hotline | For phone enquiries and complaints for regional and national stakeholders |
| Complaints handling and management | A formal grievance mechanism has been introduced (Section 5) and will continue through to the operational phase |

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

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APPENDIX C: SCOPING CONSULTATION UNDERTAKEN

Scoping consultations for the Environmental and Social Impact Assessment are well underway. The results of the completed scoping consultation have been incorporated into the Draft Scoping Report, which helped form the Terms of Reference for the ESIA.

Consultation with Project-Affected Parties

Consultation meetings with the Project Affected Persons were undertaken in 12 locations over the period from 16 January 2019 to 24 January 2019. The Project team introduced the Project to the local villagers, answered questions, and obtained feedback. There were a total of 259 villagers participating during the meetings, 42 of which were women. The majority of the attendees were Indigenous Peoples, with 251 Indigenous Peoples participants and 8 Dalit participants. Key issues, suggestions and feedback that were raised across the local villages include:

- Concerns about the Project impacts on the environment and livelihoods, especially farming activities, fisheries, and the water sources;
- Request for compensation and shares or investment in shares in the Project as means to mitigate the Project impacts, as well as financial assistance in improving the village access to health and education;
- Request for access to electricity provided by the Project, either for free or at a discounted rate; and
- Concerns about the Project impacts on the way of life of the villagers with requests to preserve their culture and customs, and minimise disturbance from the influx workers.



Figure B.1 An example of the UAHEP scoping consultation at Chemtang Village

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

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Table B.2 Scoping Consultation with Local Villages and Key Suggestions and Issues Discussed

| Date | Meeting Location and Communities | Attendees | | Key Suggestions and Issues Discussed |
|-----------|----------------------------------|-----------|--------|--|
| | | Male | Female | |
| 16/1/2019 | Gola | 37 | 6 | Compensation policy and criteria for those affected Employment opportunities Distribution of UAHEP shares |
| 17/1/2019 | Syakshila/Chograng | 15 | 2 | Adequate compensation for those affected Employment opportunities and distribution of UAHEP shares Impacts on settlements, lands, house and farms along with water sources located above the proposed tunnel alignment Financial support to complete micro hydro (17 Kilowatt) being constructed at Syakshila village |
| 17/1/2019 | Siburung -1 | 12 | 1 | Consultation about the Project with the village through Aurun Sarokar Samiti Employment opportunities Adequate compensation for those affected, especially Dalit houses Village access to Project access roads |
| 18/1/2019 | Siburung -2 | 32 | 5 | Provision of scholarships, royalties, improving education and health infrastructure Employment opportunities Preserve local culture and customs and protect the environment, especially water sources |
| 18/1/2019 | Hema | 2 | 7 | Minimise impacts of the access road alignment, especially cardamom farming Employment opportunities and skills enhancement training Adequate compensation and rehabilitation for those affected |
| 19/1/2019 | Namase | 27 | 6 | Minimise impacts of the access road alignment, especially cardamom farming, and water sources |

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| Date | Meeting Location and Communities | Attendees | | Key Suggestions and Issues Discussed |
|-----------|----------------------------------|-----------|--------|--|
| | | Male | Female | |
| | | | | Employment opportunities and skills enhancement training Adequate compensation and rehabilitation for those affected Village access to proposed access road Distribution of UAHEP shares |
| 20/1/2019 | Rukma | 16 | 3 | Minimise impacts on the environment and the forest, particularly rare and endangered species, medicinal herbs, religious sites, water sources and fisheries Community investment in Project shares Invest in educational development |
| 20/1/2019 | Lingam | 9 | 2 | Employment opportunities and skills enhancement training Adequate compensation and rehabilitation for those affected Community investment in Project shares Provision of electricity from the Project for free |
| 21/1/2019 | Chemtang | 21 | 2 | Adequate compensation and rehabilitation for those affected Employment opportunities Community investment in Project shares Access to electricity from the Project |
| 22/1/2019 | Chepuwa | 22 | 2 | Adequate compensation and rehabilitation for those affected Employment opportunities Community investment in Project shares Access to electricity from the Project Village access to proposed access road Distribution of UAHEP shares Consultation with the village through the village committee |

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| Date | Meeting Location and Communities | Attendees | | Key Suggestions and Issues Discussed |
|-----------|----------------------------------|-----------|--------|--|
| | | Male | Female | |
| | | | | Manage impacts of influx workers on the community |
| 24/1/2019 | Hongong | 11 | 4 | Project impacts on irrigation, crops, forest, and fisheries Project impacts must be presented to locals ahead of construction Employment opportunities Community investment in project shares Village access to Project access roads |
| 24/1/2019 | Hatiya | 12 | 2 | Impact to fisheries and agriculture Direct impact to the aquatic species and reduction in number of the fishes. Employment opportunities Community investment in project shares |

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

- Barun Mela Committee¹
- Buffer Zone Management Authority
- Makalu Barun National Park Authority
- Bhotkhola Rural Municipality (BRM).

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

¹ The Barun Mela committee is annually formed through initiation of Ward Chairs (4 & 5) of Bhotkhola Gaun Palika, particularly with objective of management of Barun Mela (Arun River local festivals). The committee is temporarily formed and automatic defunct after end of Barun Mela. The current Mela committee comprises 11 male members only. The committee has no permanent fund for its operations. However, the committee charges fee for stalls/shop operators during Mela to cover its operation cost.

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


| Date | Meeting Location and Stakeholders | Attendance | Key Suggestions and Issues Raised by Stakeholders |
|---------------------------|--|---------------------|---|
| 19th Jan 2019 | Barun Mela Committee | 4 committee members | <ul style="list-style-type: none"> • Impacts on the cultural significance of the Barun Mela where ritual baths and worships take place • Effective environmental management is required during operation of the Project to prevent any accidents occurring during Khola Puja in the dewatering stretch of the Arun River • Opportunities, including development programs that can be established, such as the Barun cable car scheme and commercial fruit cultivation. |
| 29 th May 2019 | Makalu Barun National Park Authority | One to One Meeting | <ul style="list-style-type: none"> • The MBNP is categorised as an II IUCN Park. Therefore, the management objective is to preserve its topography and biodiversity in its' natural state. MBNP has a topographic extreme ranging from 500 m to above 8000 m. It is connected eastward with the Sagarmatha National Park. It exhibits Floral and faunal diversity of the sub-tropical to Alpine climatic zones of the Himalayan landscape. • Development Activities permitted in the MBNP and its Buffer Zone Within the core area only trails for eco-tourism activities are permitted. In the Buffer Zone, community forests activities are permitted but only to meet the local requirements of the communities. Commercial exploitation of the resources of the community forest are not permitted. Foot trails, small irrigation, pico-hydro, water mills, and other small community infrastructures to meet the basic minimum needs of the local communities are permitted after thorough examination by the Park officials. Major infrastructures are prohibited. • Based on previous experience, MBNP authority have not been engaged for some of the infrastructure that was developed (road development) around the MBNP. The authorities also noted that some of the road developers have not implemented mitigation measures. |

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| Date | Meeting Location and Stakeholders | Attendance | Key Suggestions and Issues Raised by Stakeholders |
|-----------------------|------------------------------------|------------|--|
| | | | <ul style="list-style-type: none"> Opinion of the MBNP on the development of the Proposed Transmission Line and UAHEP infrastructure and ancillary facilities <p>The UAHEP, as it lies at the boarder of the MBNP Buffer Zone, the MBNP Warden has no objection on its development. But is concerned with regard to the potential for illegal activities of the construction workers impacting the ecological resources of the MBNP. He is also concerned with the aquatic life of Arun River. As per the Warden half of the Arun River lies on the Buffer Zone. Thus aquatic life of the Arun River is also an ecological resource of the MBNP. In his opinion, the UAHEP should avoid MBNP area (including Buffer Zone) wherever alternatives are available. Where alternative options are not available, they should be consulted with convincing reasons for their approval.</p> <p>In the case of Transmission line (132 kV and 400 kV), as there is left bank alternative available for development, the Warden reiterated, not to align the transmission line through the MBNP land area (including Buffer Zone). In case of a proposal of the TL development through the right bank within the Buffer Zone is proposed, the Warden will not recommend such proposal for development. However, the warden stated, he is not the final authority for approval, but certainly will not recommend to the higher authority and register a note of decent.</p> |
| Sept 28 – Oct 4, 2018 | Bhotkhola Rural Municipality (BRM) | 3 | Ward Chairs were informed about the ESIA process for UAHEP. They were supplied with project lay-out maps for informing them about location of project components. |
| Jan 16-24, 2019 | | | |
| Sept 28 – Oct 4, 2018 | Makalu Gaon Palika | 2 | The initial contact has briefed them about the status of project planning (optimisation and updating of Feasibility Report) and plan for carrying out ESIA. |

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| Date | Meeting Location and Stakeholders | Attendance | Key Suggestions and Issues Raised by Stakeholders |
|--------------------------|-------------------------------------|------------|--|
| 1 st Oct 2018 | Malpot and Napi Office at Khandbari | 5 | <ul style="list-style-type: none"> • Survey/Napi department has hard copies of the revenue maps at Khandbari office. They do not have digitized maps. We have to apply for survey sheets we require, and they will give us these copies (blue sheets). • Arun-III digitized these maps and laid the project design on it to identify the affected land parcels to be surveyed by Napi. • The owners of the land as per records of the Survey office and as per Revenue or Malpot office do not always match. Hence, reconciliation of records also takes time. • The survey will take titleholders (those who have lal purja), other occupiers such as tenants and long term encroachers are not covered. They need to approach the District Administration to make their claims. • A general estimate of the time required to survey 400ha of land and prepare a detailed inventory is 5-6 months. • The rate for land compensation is decided by a committee constituted by District Administration, which is known as Compensation Determination Committee (CDC) where all heads of the government departments at district level are represented. • The current practice of compensation for Transmission Lines is 100% of land cost for TL Towers, and 10-30% to those land falling within the RoW. |

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Consultation with Other Interested Parties

The Project team has also undertaken scoping consultation meetings with other stakeholders in March 2019. Three consultation sessions in Khandbari

- Meeting with DCC and senior district officials
- Meeting with Khandbari based NGOs
- Interview on radio by NEA representative

Key issues, suggestions and feedback that were raised include:

- Concerns about the Project impacts on the environment and livelihoods;
- Concerns about safety from the Project infrastructure, in particular the dam, as well as the safety of women due to the increase in the male population due to the Project construction workforce;
- Concerns about the use of overseas workforce and suppliers;
- Request for compensation and shares or investment in shares in the Project and financial assistance in improving the village access to health and education and other community development programs;
- The employment opportunities available to the local communities and the upskilling of the local communities to gain employment within the Project; and
- Concerns about the Project impacts on the way of life of the villagers with requests to preserve their culture, language and customs, as well as to preserve the medicinal herbs used from the forest.

Table C.4 provides further details on the key issues raised, as well as the locations of the meetings and the attendees.


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Table B.4 Scoping Consultation with Other Interested Parties and Key Suggestions and Issues Discussed

| Date | Meeting Location and Stakeholders | Attendees | Key Suggestions and Issues Discussed |
|---------------------------------------|--|------------------|--|
| Khandbari Consultation Session | | | |
| 28/3/2019 | District Coordination Committee (DCC) | 43 | <ul style="list-style-type: none"> Future dam structure integrity and responsible party should a failure occur Adequate compensation for those affected and a robust compensation procedure in place Distribution of UAHEP shares and the procedure of distribution Execution of community development programs Use of overseas workforce and suppliers Enhancement of agriculture productivity Village access to Project access roads Development of a cement industry in the district Employment opportunities Conservation of medicinal herbs and non-timber forest products Upskill local community members to gain access to employment Safety of women Impact to the springs used by the villages Consultation with local government |
| 28/3/2019 | Khandbari based NGOs | 26 | <ul style="list-style-type: none"> Compensation for those affected Employment opportunities Enhancement of agriculture productivity Upskill local community members to gain access to employment Land acquisition process Distribution of UAHEP shares Community investment and benefits from the project e.g. through education and health Execution of community development programs Conservation of the local ways of life (culture and language) Minimisation of impacts on water, land and forests Procedure of mineral resources found during construction Mitigation measures in place to protect the environment |

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APPENDIX D: PROJECT INFORMATION DISCLOSURE DOCUMENTS

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APPENDIX E: STAKEHOLDER ENGAGEMENT MANAGEMENT SYSTEM TEMPLATE EXAMPLES


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

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Table E.1 Stakeholder Database Template Example

| Stakeholder | Contact person | Contact details | Interest/ Issues | Details of engagement | | |
|-------------------|----------------|---|------------------|-------------------------------|--|----------------|
| | | | | Engagement | Issues | Actions |
| Stakeholder group | Individual | Village, Municipality, District, Province | | Date Location Attendees | Key issues raised Response provided | Agreed actions |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| S. No | Stakeholder group | Date | Location / venue | Name of Key representatives | Purpose of engagement | Method of engagement | Key outcomes & actions | Status of actions | Responded in management plan | Reference to records |
|-------|-------------------|------|------------------|-----------------------------|-----------------------|----------------------|------------------------|-------------------|------------------------------|----------------------|
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APPENDIX F: GRIEVANCE FORM AND CLOSE-OUT TEMPLATE

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

Table F.1 Grievance Log and Close-Out Template

| Grievance Form PART 1 Contact and Details | |
|---|--|
| Complaint number : | |
| Date: | |
| Recorded by: | |
| Complainant details (Tick the box for anonymity <input type="checkbox"/>) | |
| Name: | |
| Category [community/ contract worker/ supplier/ contractor]: | |
| Telephone number: | |
| Address: | |
| Preferred method of contact: | |
| Grievance Log PART 2 Description of grievance(s) | |
| Describe the grievance below. | |
| Mode of communication (written/ verbal/ meetings/ mediator): | |
| Date of grievance: | |
| Date of acknowledgement: | |
| Signatures | |
| Recorder: | |
| Claimant: | |
| Date: | |
| Grievance Closed Out PART 3 Resolution | |
| Describe the steps taken to resolve the grievance and the outcome. | |

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| |
| Department: Mode of communication for reply (meeting/ written/ verbal/ display): Date closed: |
| Signatures |
| Complainant: Project representative: Date: |