



OFFICE OF SAFEGUARDS



Capacity Building Workshop for Borrowers

Stakeholder Engagement and
Grievance Management

Welcome Remarks

Housekeeping



Emergency exit location/s



Bathrooms



Please put your phones on silent mode



Take important calls outside



Keep laptops closed in sessions

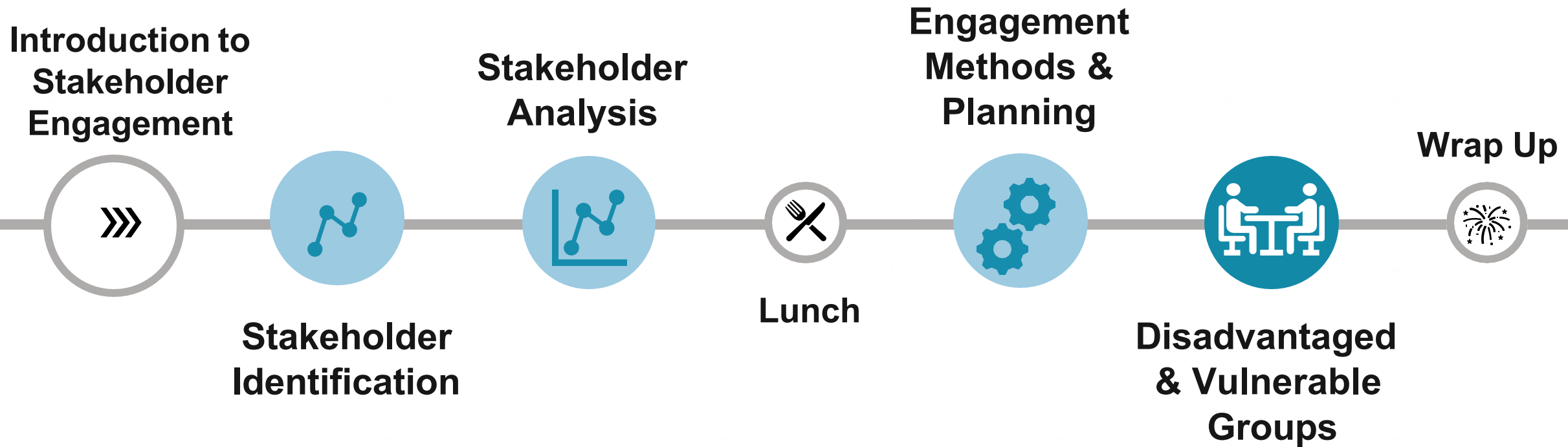
Introductions



- ☐ Move around the room and look at the photos
- ☐ Choose a photo that resonates for your table team
- ☐ At your table (10 minutes) introduce yourself and explain why the photo resonated
- ☐ One person to introduce the whole table (5 mins) in plenary (who and explain your table's chosen photo)

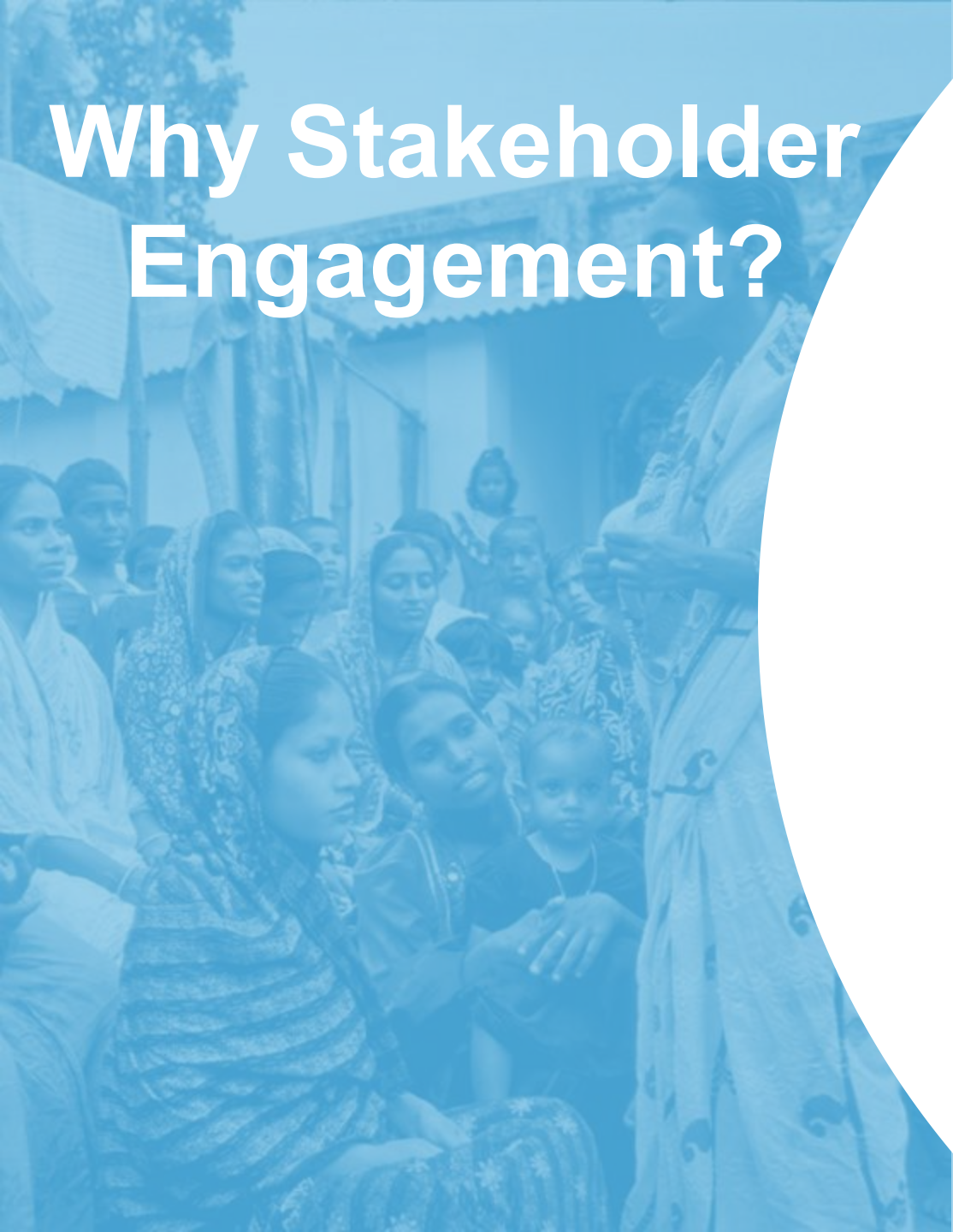
Today's Agenda

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Training Objectives

- ✓ Improve understanding of stakeholder engagement **theory and concepts**;
- ✓ **Build skills** on stakeholder analysis, inclusion of disadvantaged/vulnerable groups, and risk-based approaches;
- ✓ Improve understanding of effective **grievance mechanism design, risks, and good practices** to strengthen GMs.
- ✓ **Build and practice skills** for complaint handling and assessing/responding to potential reprisal risks

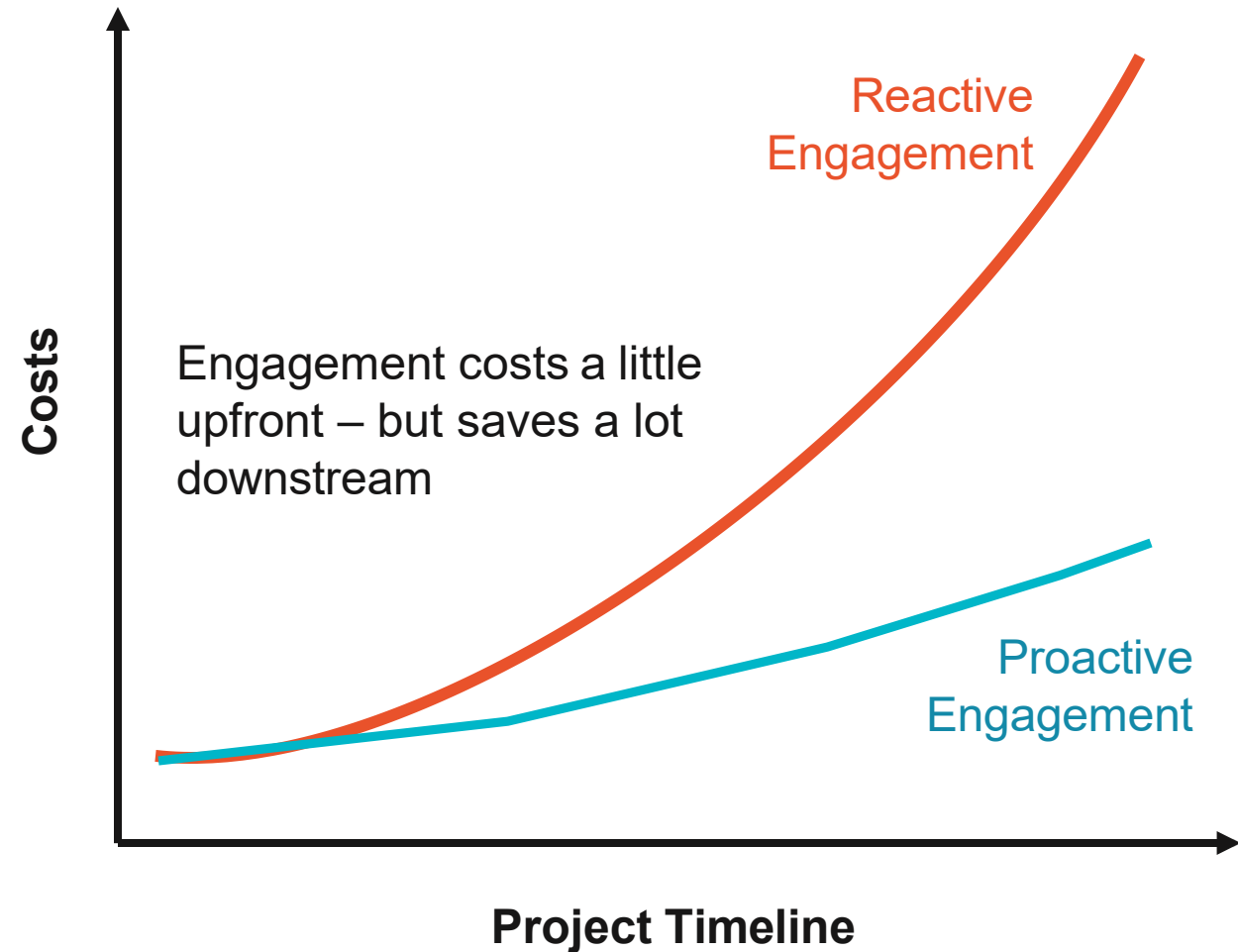


Why Stakeholder Engagement?

- Projects that underestimate stakeholder **risks can face delays averaging 20–70%**, according to global infrastructure reviews (e.g., World Bank, PwC).
- **Weak engagement can trigger redesigns, compensation claims, protests**, or reputational damage.
- Early and inclusive stakeholder **engagement leads to faster approvals, lower complaint volumes**, and greater community ownership.
- **MDBs now view strong engagement as a core risk-management** investment, not a “soft” activity.

Why Engagement Matters

The Cost of Poor vs. Strong Engagement



CORE CONCEPTS OF STAKEHOLDER ENGAGEMENT



Stakeholder identification
and analysis



Meaningful consultation



Stakeholder engagement
planning



SEP Implementation,
Monitoring and reporting



Information disclosure



Addressing and responding
to concerns and grievances

Who are stakeholders



The term stakeholder refers to individuals, communities, or groups who:

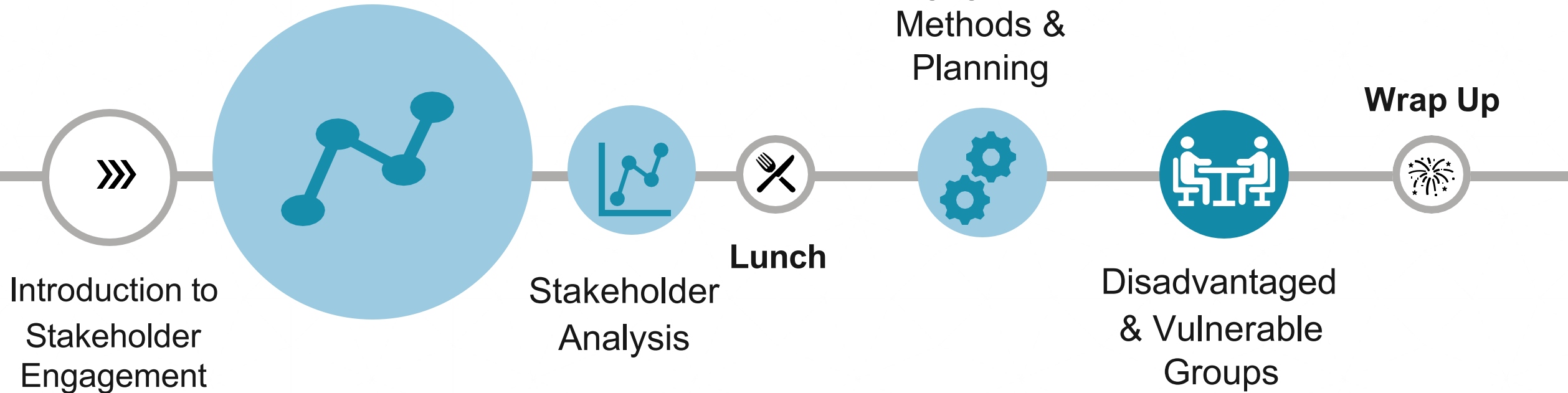
- **Are affected** or likely to be affected by a project, referred to as project-affected persons; and
- May **have an interest in a project**, referred to as other interested parties.



COFFEE BREAK

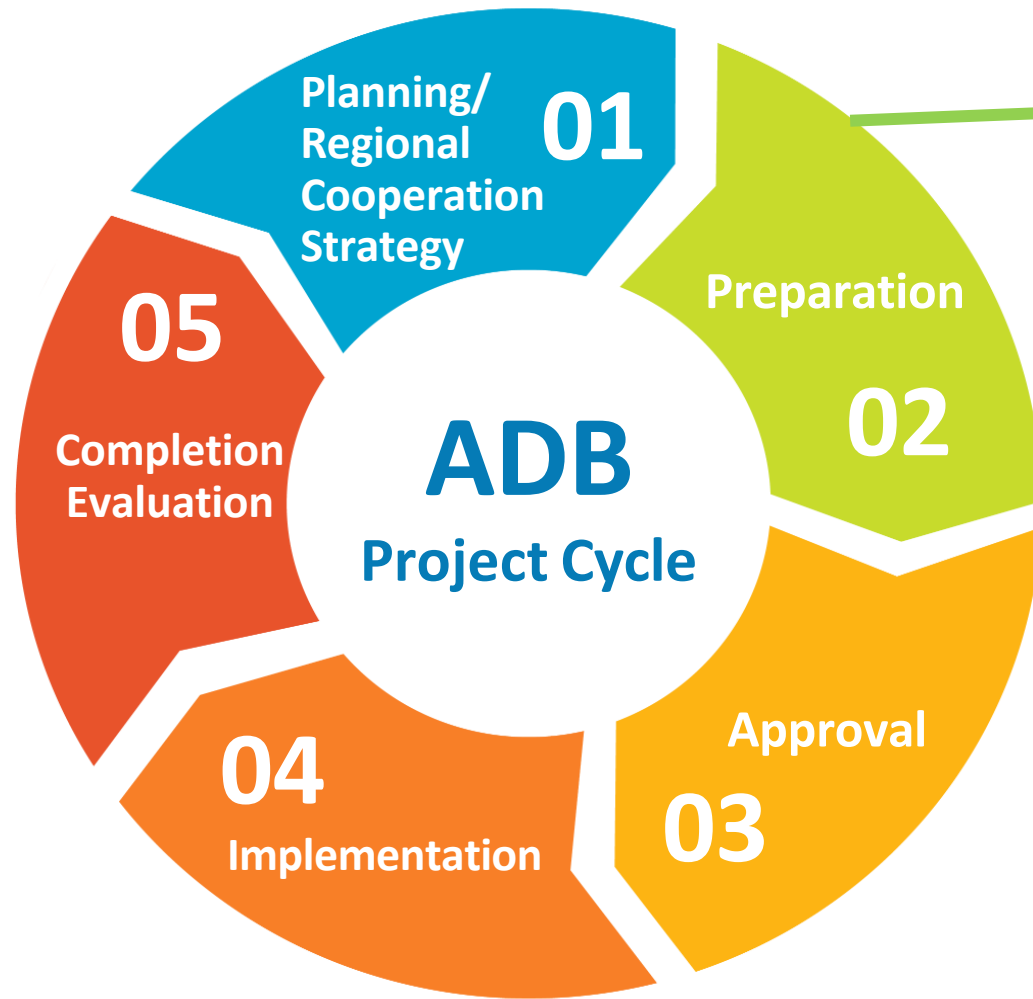
Today's Agenda

Stakeholder Identification



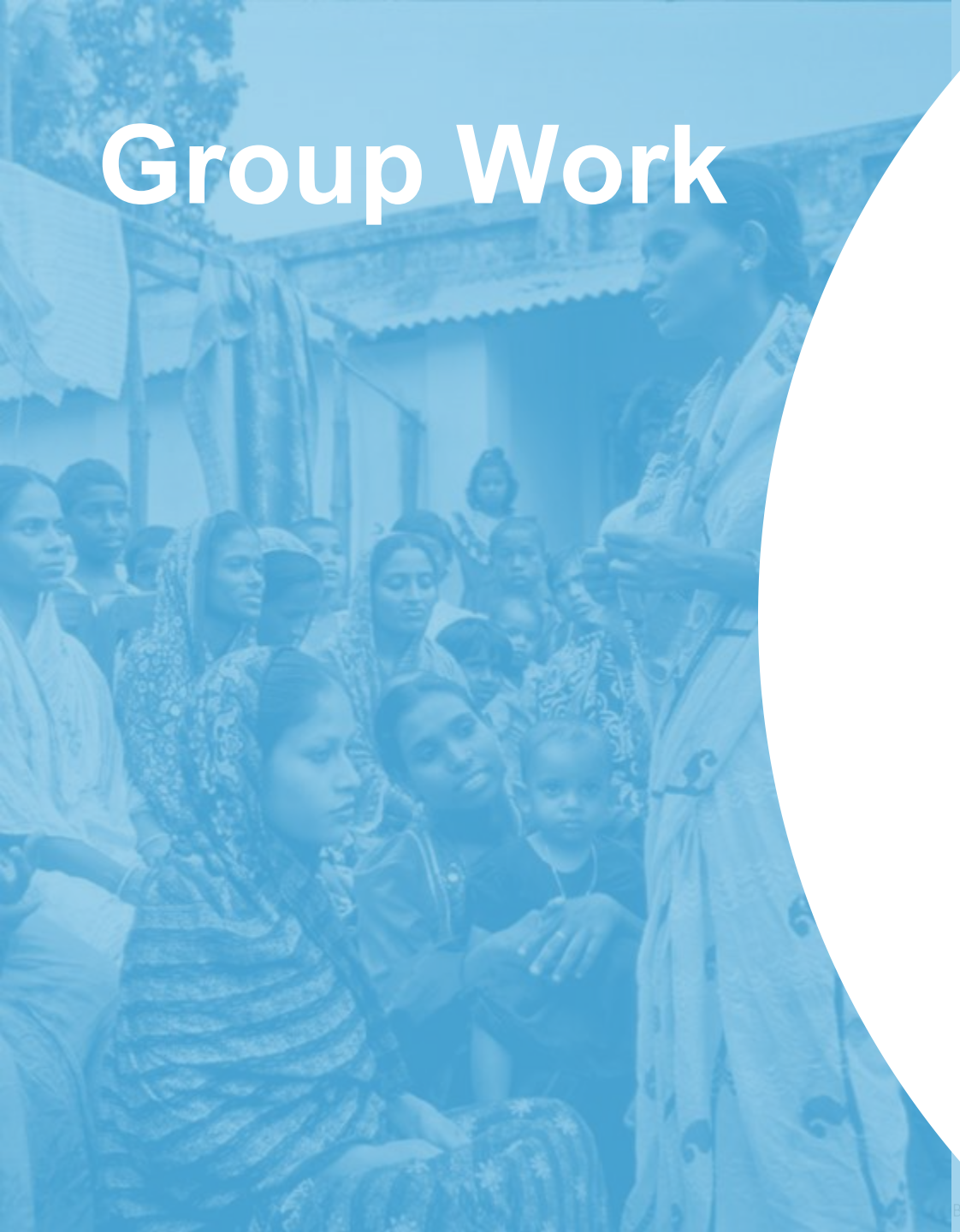


Group Work 1: Case Study Stakeholder Identification List



**Stakeholder Identification
and Analysis**

Group Work



Handout:
Kach Darya
Project
Description

- ❑ **Read Handout**
Hydropower Project
Description
- ❑ **At your table, make a list
of the stakeholders**
- ❑ **Categorize by:**
 - **Affected people**
 - **Interested parties**



STAKEHOLDER IDENTIFICATION + ANALYSIS

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The borrower identifies and document all relevant stakeholders.



Stakeholder analysis must consider:

- ✓ Characteristics
- ✓ Potential impacts
- ✓ Level of interest and concern
- ✓ Support or opposition to the project

Priority is given to project-affected persons, who:

- Are disadvantaged or vulnerable
- Face systematic barriers to participation

Legitimacy of community representatives must also be verified.



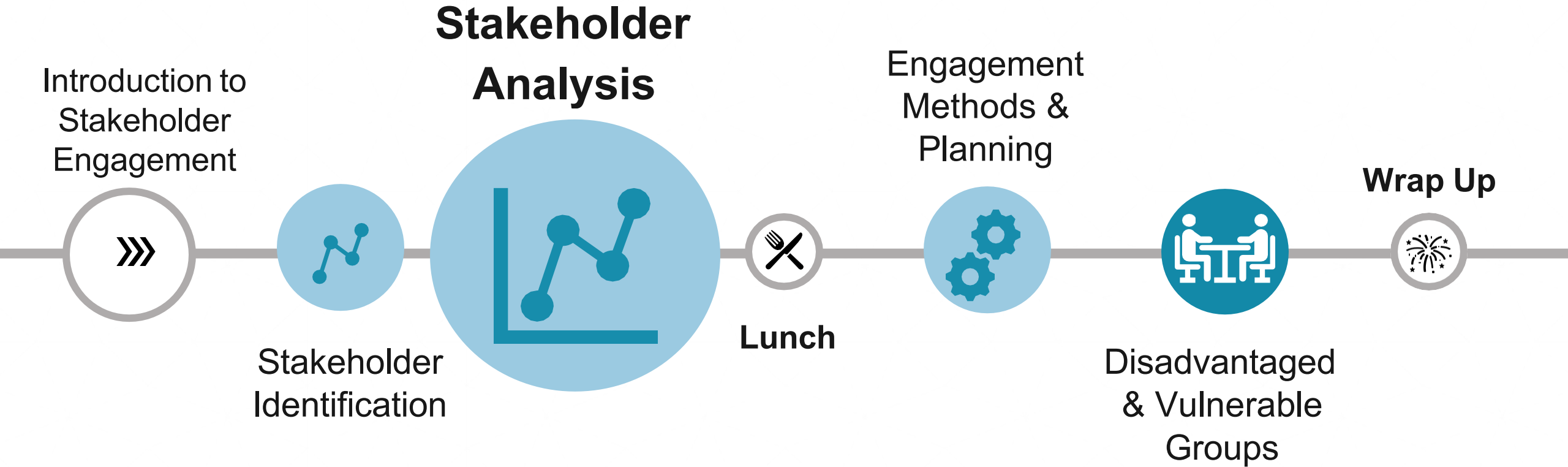
Identification & Analysis

There is no prescribed **methodology** for stakeholder identification and analysis.

Industry best practice methods include the following:

Methodology	Purpose / Use
Stakeholder Mapping	• Use Power/Interest/impact matrix or Venn diagrams.
Categorization	• Group by role, relationship to project, and vulnerability.
Social Network Analysis	• Understand informal influence, communication channels, and relationships.
Materiality Assessment	• Prioritize issues based on relevance to stakeholders and project decisions.
Risk-Based Prioritization	• Allocate engagement effort based on project risk and impact on stakeholder groups.

Today's Agenda





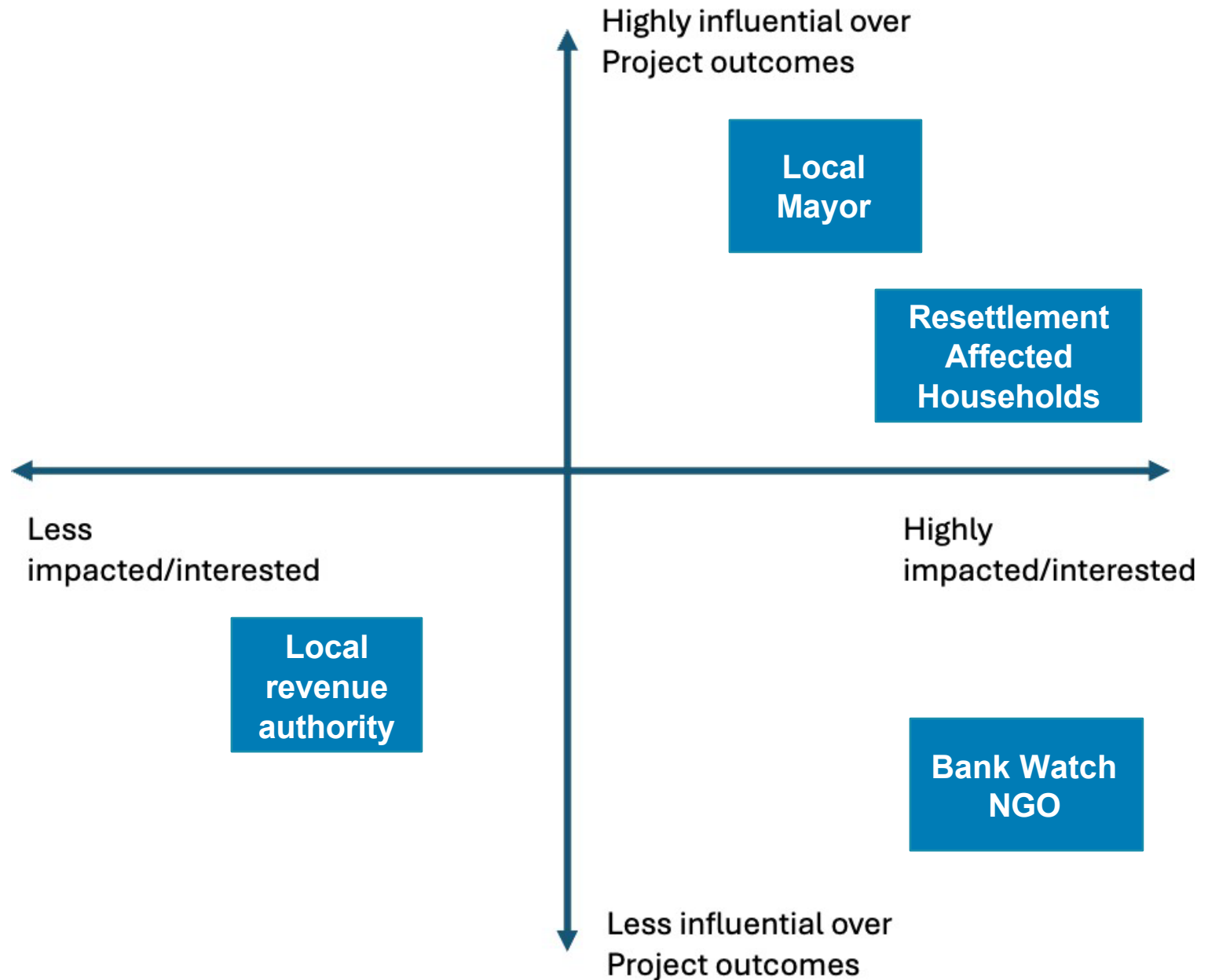
Group Work 2: Case Study Power & Interest Matrix Subset

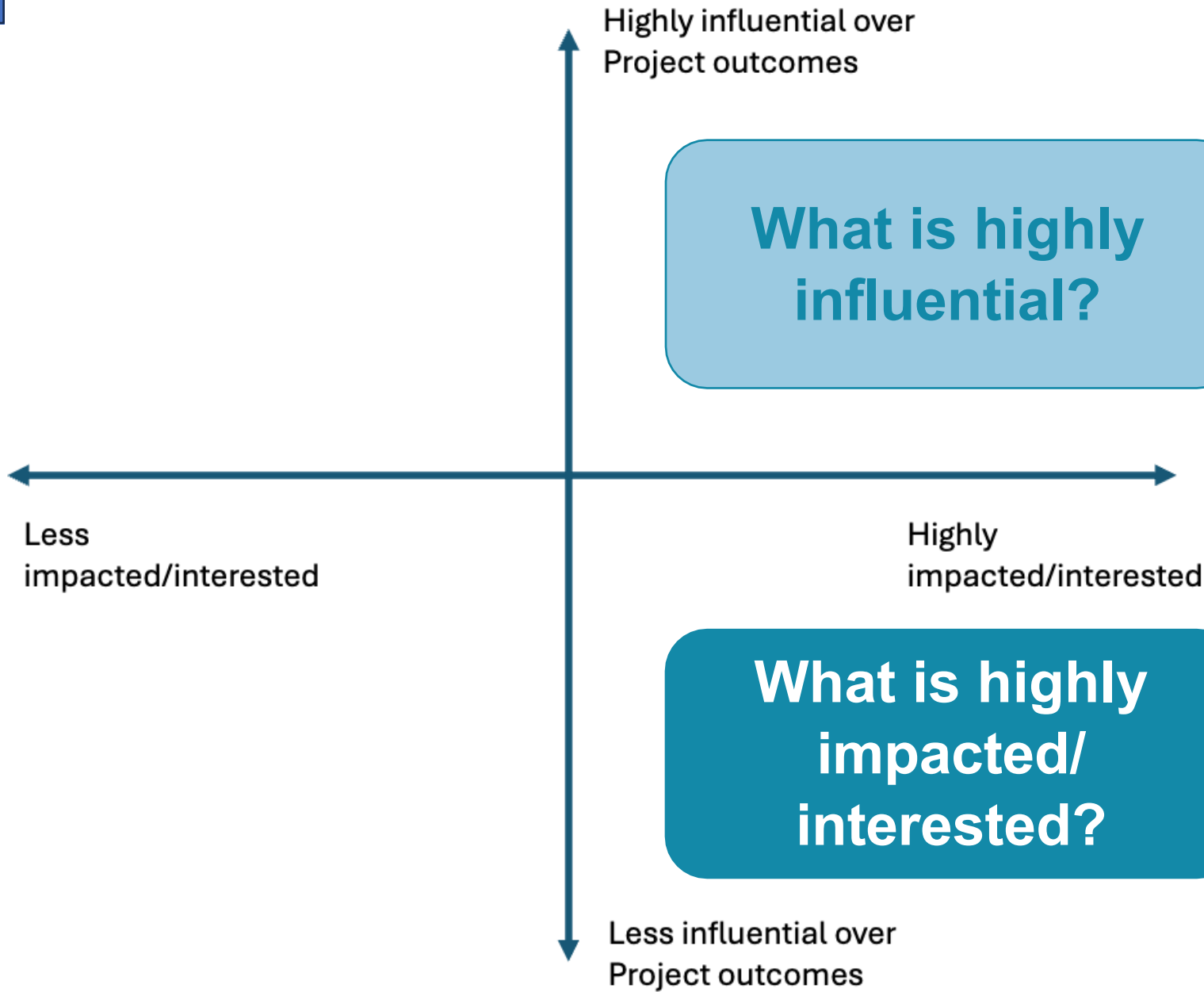


**Stakeholder Identification
and Analysis**



Power & Interest Matrix Example





- **High:** Can approve/stop/delay project, hold significant political or customary authority
- **Medium:** Can organize community support or opposition
- **Low:** Have little control over decisions

- **High:** Directly affected (land, income, access)
- **Medium:** Indirectly affected, some benefits/risks
- **Low:** Minimal or no change

Group Work

For your Stakeholder Group Subset:

- ❑ **Discuss & agree where they belong on the matrix handout and why** (use sticky notes for placement)
- ❑ **Prepare notes** on your subset characteristics, interest, impact by project and influence levels
- ❑ **Be prepared** to report in plenary

Power & Interest matrix template

Table	Cluster Theme	Example Stakeholders to Map
1	Affected people	Displaced HHs, women, landless labourers
2	Downstream & catchment	Downstream farmers, herders, other beneficiaries
3	Local leadership	Tribal leaders (Chiefs), religious figures, MPA
4	Local institutions & Gov agencies	DC, Union Council reps, EA/IA
5	Private	Business elites, contractor, workforce
6	Other	ADB, NGOs, media, BRP

Group Work 2: Plenary Power & Interest Matrix Development



LUNCH

Extra Resources

STAKEHOLDER ENGAGEMENT BASICS

- Stakeholder engagement must start as early as possible
- Engagement should be continuous throughout the project lifecycle
- Stakeholder identification and analysis forms the basis for engagement strategies
- Engagement must be proportional to project scale and risks.



Information Disclosure to Affected People

General Requirements

- Borrowers must disclose project information during project **preparation, implementation** and **monitoring**.
- **Minimum information** should be disclosed as early as possible to **enable meaningful consultation**, including project details, duration, analysis of alternatives, timeline for consultations, means to raise concerns.
- Information must be **understandable, accessible and culturally appropriate**.
- **Special measures** for groups with specific needs such as ethnicity, disability, literacy, gender, age, mobility, differences in language, or accessibility.
- If **project changes** result in additional E&S risks and impacts, affecting project-affected persons, **information on such will be provided** and meaningful consultation conducted.

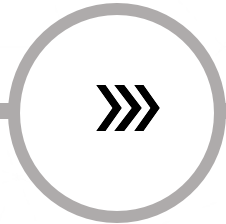
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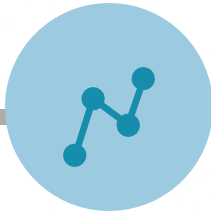
Engagement Methods and Planning

Today's Agenda

Introduction to
Stakeholder
Engagement



Stakeholder
Identification



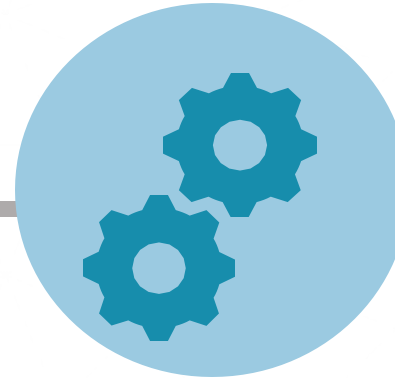
Stakeholder
Analysis



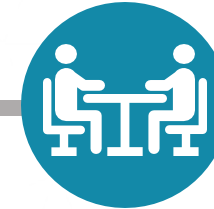
Lunch



**Engagement
Methods & Planning**



Disadvantaged
& Vulnerable
Groups



Wrap Up





CORE CONCEPTS



**Stakeholder identification
and analysis**



Meaningful consultation



**Stakeholder engagement
planning and implementation**



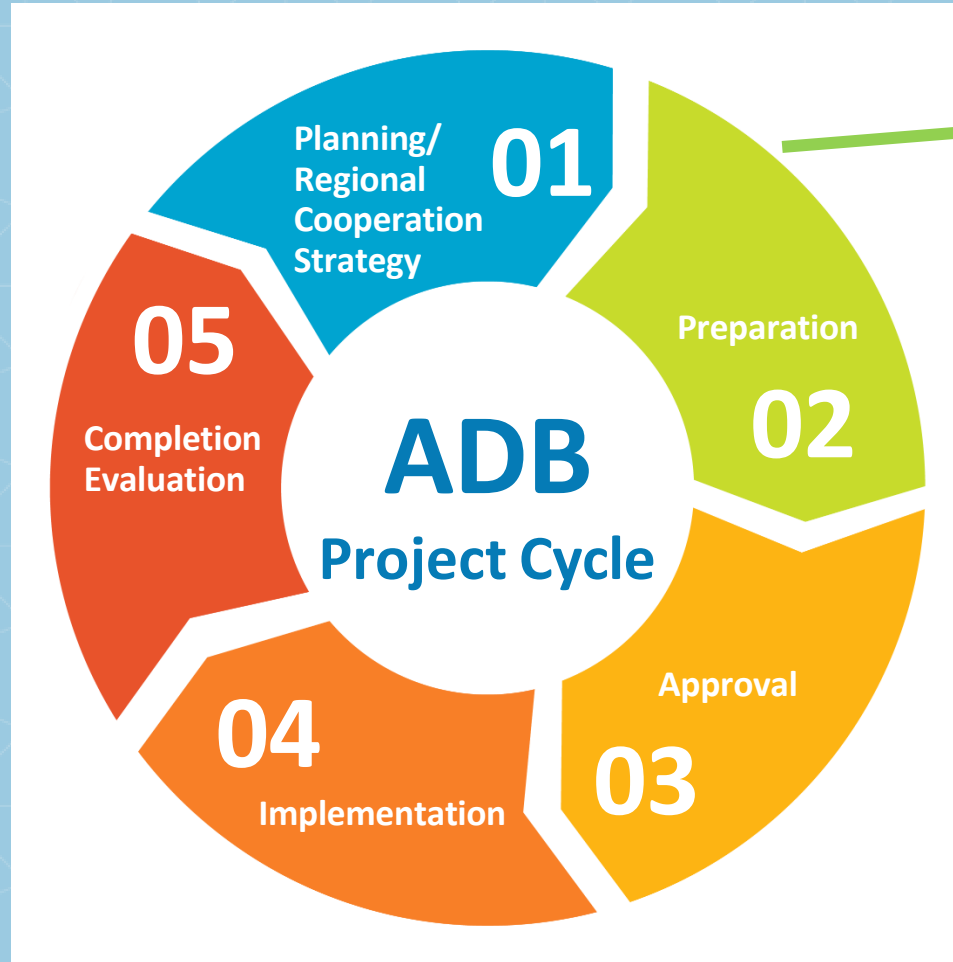
**Implementation,
Monitoring and reporting**



Information disclosure



**Addressing and responding
to concerns and grievances**



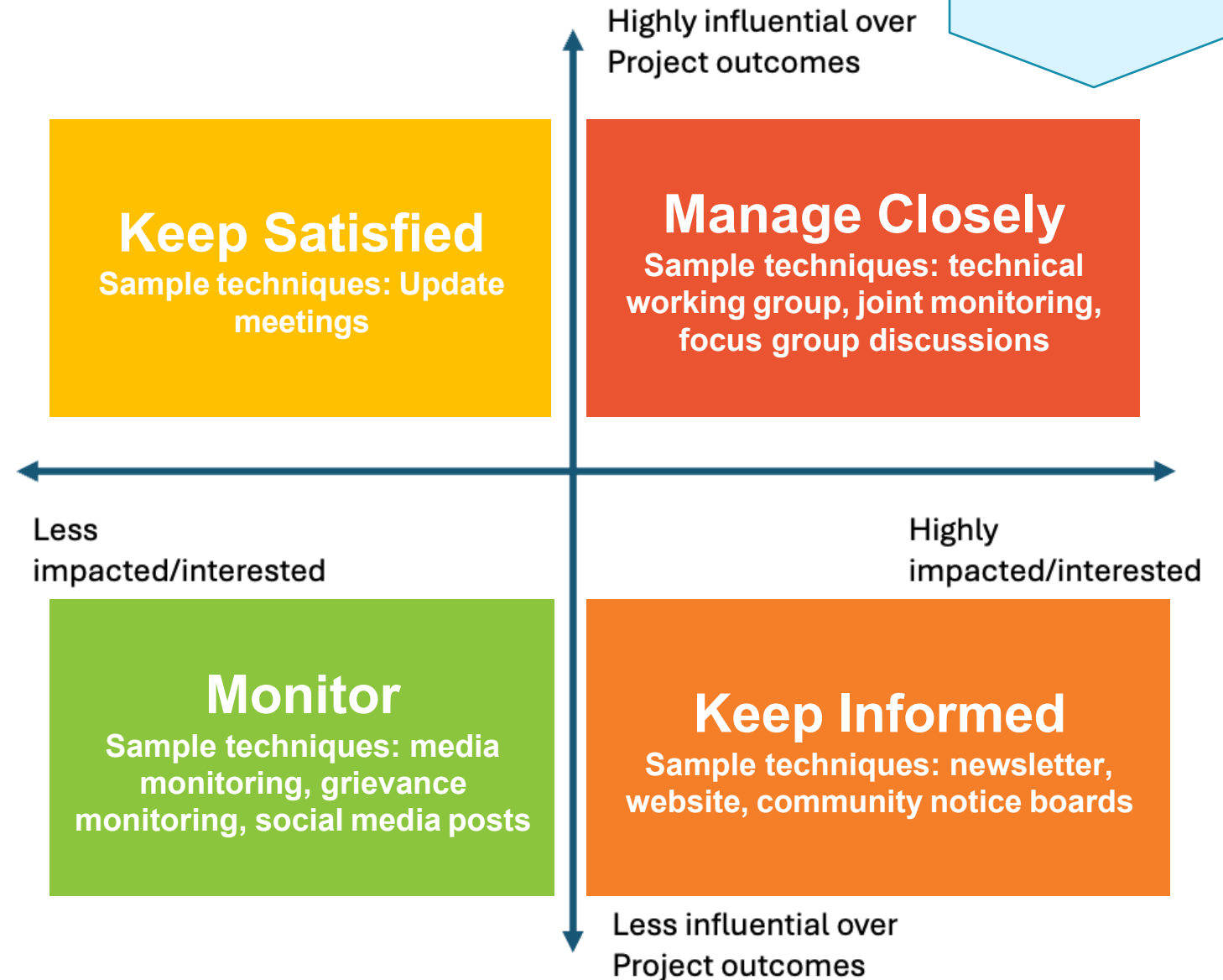
**Stakeholder Engagement
Plan Drafting**



ENGAGING WITH DIFFERENT GROUPS

Handout:
Engagement
Methods

Engagement methods vary based on groups' interest and influence.



Example: Engagement Strategy



Stakeholder Group Example	Engagement Objective / Strategy	Engagement Methods / Techniques	Frequency / Timing	Responsible Party	Resources Required	Monitoring / Follow-up
Local community	Keep Informed – provide accessible project updates and respond to concerns	Community notice boards, local meetings, project website, hotline	Quarterly, or as issues arise	PMO Social Team / SEP Consultant	Printing materials, venue hire, translation, staff time	Meeting notes, feedback summary
NGO	Keep Satisfied – maintain constructive collaboration	Coordination meetings, progress updates, joint field visits	Bi-annually or during key project milestones	PMO Environmental and Social Team	Meeting logistics, transportation	Record of issues <u>raised</u> and actions taken
LOCAL GOV	Manage Closely – ensure coordination on permits and resettlement	Technical working group, joint monitoring, regular coordination calls	Monthly or as required	PMO Project Manager / LARP Consultant	Staff time, meeting facilities	Meeting records and action list

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Group Work 3: Case Study Designing Engagement Methods

Group Work

Stakeholder Engagement Strategy Template						
This has been developed for the Project. It captures all stakeholder groups identified to date and allowing for future amendments as additional stakeholders emerge. The table outlines tailored engagement methods designed for the project context.						
Stakeholder Group	Engagement Objective / Strategy	Engagement Methods / Techniques	Frequency / Timing	Responsible Party	Resources Required	Monitoring / Follow-up

- ❑ **Complete the engagement template** for your groups assigned stakeholders
 - ✓ Consider quadrant
 - ✓ Special Measures
 - ✓ Resources needed (\$\$)
- ❑ Be prepared to report back



COFFEE BREAK

Group Work 3: Plenary Report back on Stakeholder Engagement Approach

Report Back

Stakeholder Engagement Strategy Template
This has been developed for the Project. It captures all stakeholder groups identified to date and allowing for future amendments as additional stakeholders emerge. The table outlines tailored engagement methods designed for the project context.

Stakeholder Group	Engagement Objective / Strategy	Engagement Methods / Techniques	Frequency / Timing	Responsible Party	Resources Required	Monitoring / Follow-up

Option 1 Sherades, act for one stakeholder group from your table list and the Audience must guess:

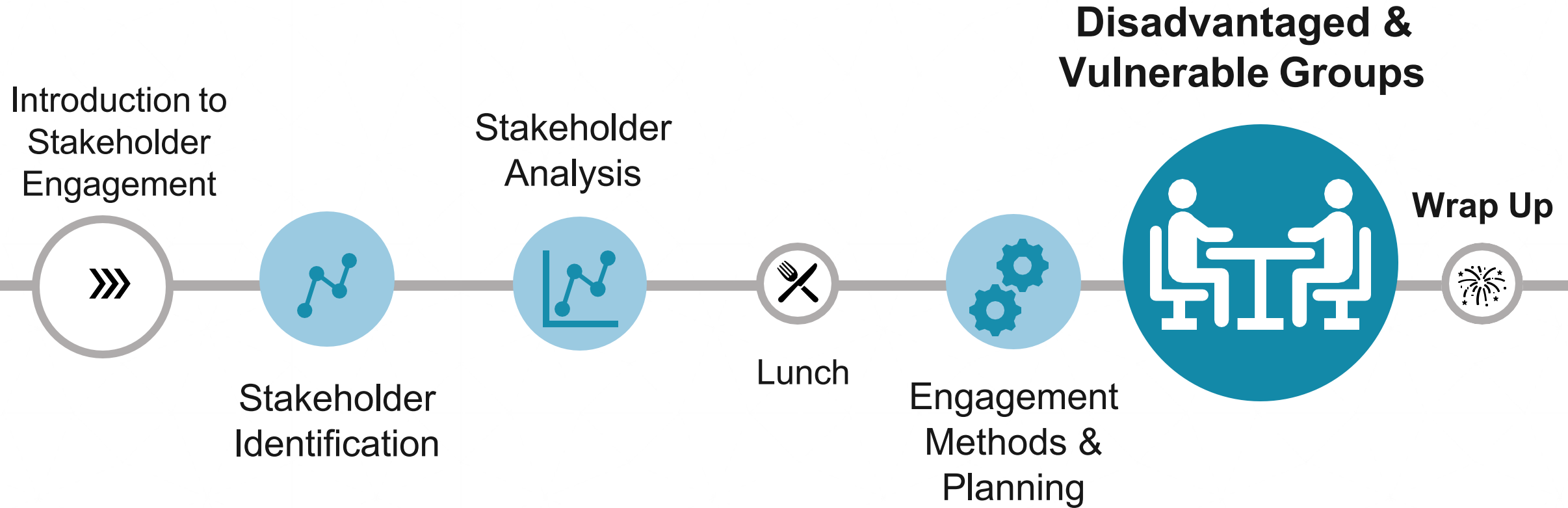


- ☐ Who the stakeholder group is
- ☐ What engagement method you chose
- ☐ What special measures you used



Option 2 Drawing you have 5 minutes to draw your engagement strategy for one stakeholder without writing words. Then the audience will try to guess who the stakeholder is, engagement method and special measures.

Today's Agenda



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Experiential Learning: Vulnerable Groups Focus Group

Activity Instructions

Handout:
Prompt
Cards

- ❑ Each group represents a different vulnerable group from the Kach Darya project.
- ❑ Each participant receives a role card, read it quietly and stay in character.
- ❑ Facilitators lead a 10-minute focus group discussion, using the prompt card.
- ❑ Note-takers record: What concerns were raised and what made engagement unsafe or difficult

Group	Vulnerable Group	Pax	Breakdown
1	Women from Band-e-Kach (Pre-Resettlement)	8	1 facilitator, 1 note-taker, 6 participants (*3 with role cards + 3 supporting)
2	Downstream Farmers	8	1 facilitator, 1 note-taker, 6 participants*
3	Elderly Residents (Facing Relocation)	8	1 facilitator, 1 note-taker, 6 participants*
4	Youth (In Difficult Circumstances)	8	1 facilitator, 1 note-taker, 6 participants*
5	Low-Income Caregivers / Households	8	1 facilitator, 1 note-taker, 6 participants*



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Wrap-Up



Take Aways



- Turn to the person next to you.
- Discuss what you learned today that you will take back to your project
- Write down your 2 takeaways from today

THANK YOU

Extra Resources:



Meaningful Consultation

Begins early to
inform project
design

Is transparent and
accessible

Is based on early
disclosure

Is tailored to different
stakeholder needs

Supports inclusive
engagement with
PAPs

May involve separate discussions for different
PAPs, considering the local languages of
project-affected persons and educational
differences as well as potential social bias

Considers and
responds to
feedback

DISADVANTAGED & VULNERABLE GROUPS

ESF's Definition of Disadvantaged or Vulnerable Individuals and Groups

ADB's ESF Definitions (p. xiii)

“those individuals or groups who, by virtue of, **FOR EXAMPLE**, their age, gender, ethnicity, religion, disability, social, civic or health status, sexual orientation, gender identity, economic disadvantages or indigenous status, and/or dependence on unique natural resources, may be **more likely to be at risk of being adversely affected** by project impacts, and/or **more limited than others** in their ability to take advantage of a project's **benefits, excluded from/unable to participate fully** in consultation processes and benefit sharing.”



DISADVANTAGED OR VULNERABLE GROUPS

INTERSECTIONALITY

Vulnerability or disadvantage can be the result of factors such as:

- Gender, age, ethnicity, poverty, physical or mental disability, social or economic status, caste, religion, education status, geography, other factors
- Some of these identities may overlap ("intersectionality")
- Multiple frameworks (see below) exist to support analysis



DISADVANTAGED & VULNERABLE GROUPS



Areas of Disadvantage or Vulnerability	Examples of disadvantage or vulnerability
Age	Older people, children, and youth in difficult circumstances (e.g. orphaned, homeless, migrants)
Gender	Women, girls
Ethnicity/indigenous status	Minority ethnic groups and indigenous people located in remote areas
Religion	People belonging to a minority religion
Disability	People with disability (physical, visual, hearing, mental, and/or emotional)
Social Status	People lacking social capital and in insecure situations (migrants, homeless, refugees, internally displaced, and intersex individuals)
Civic Status	People not represented in governance bodies
Health status	People with chronic illnesses
Sexual orientation	Lesbians, gays, bisexual individuals
Gender identity	Transgender and other individuals who do not identify with their assigned sex at birth
Economic disadvantages	People with no or unstable source of income
Dependence on unique natural resources	Fishing communities, forest-dependent indigenous groups, mountain communities, pastoralist communities, farmers tied to certain crops

ENGAGEMENT WITH DISADVANTAGED & VULNERABLE GROUPS



Examples of Individuals Facing Intersecting Disadvantages	Examples of factors that may cause project risks to fall on them disproportionately	Examples of Differentiated Measures to Engage them and/or Avoid or Mitigate Project's Adverse Impacts
1. Older people and people with physical, visual, hearing, mental, and/or emotional disability	• Dependence on other people • Inability to communicate because of their weak bodies and impairments	• Adopt communication techniques appropriate for older people with disability • Involve and train their caregivers • Create community-based mechanisms for engaging and protecting them, esp. during crisis
2. Income-poor	Lack of time to participate in community activities because of the need to care for family (no household help) and/or focus on their livelihood.	• Changing the time of key meetings to accommodate their availability • Provide daycare services for children or older people needing care • Raise the awareness of adult male members of the family on the importance of the participation of women and men, as well as girls and boys, in project activities and community development initiatives.
3. Sexual and Gender Minorities	• Inability to participate due to the stigma attached to their identity. • Resources and services are often not responsive to their needs	• If exposing their gender identity will create more harm, focus the mitigating measures on their income poverty. • If the legal environment allows, raise public awareness of the benefits of their participation. • Provide services (e.g., shelter, education, livelihood) to ensure their situation will not worsen after the project.



Safe Engagement and Risk of Reprisals

ADB does **not tolerate any form of reprisals** in ADB-financed projects; will seek to **take all steps** within the **limits of its ability** to work with appropriate parties **to address them**, including **requiring its borrowers/clients** to provide protection to project-affected persons who raise concerns or grievances in or about such projects.

Stakeholder engagement to be undertaken in a manner that is safe, accessible and inclusive for stakeholders, without **THREATS OF**, or **ACTUAL** coercion, intimidation, manipulation, force, or any form of reprisal.

Consultations to be **UNDERTAKEN** and **DESIGNED** in an atmosphere free of external manipulation, discrimination, coercion, intimidation, and threat of reprisal.

Confidentiality and data privacy protocols

The grievance mechanism to be implemented without external manipulation, discrimination, coercion, intimidation, and threat of reprisal.

Anonymous complaints to be raised and addressed.

Review and address allegations and take appropriate measures



STAKEHOLDER ENGAGEMENT PLANS

INCLUDE:

- ❑ **Legal and regulatory framework analysis**
- ❑ **Identification and analysis** of project stakeholders
- ❑ **Meaningful consultation:** description of the consultation and mechanisms for different types of stakeholders at different phases of a project cycle
- ❑ **How stakeholder feedback was integrated** into project design.
- ❑ **Engagement methods and Timeline:** Format, frequency, and approach (e.g., public meetings, focus groups) across project phases
- ❑ **Grievance Mechanism:** structure, procedures, methods and responsibilities
- ❑ **Information disclosure methods:** What info will be shared, in what form, how often
- ❑ **Monitoring and reporting:** includes arrangements, frequency, methodology and responsibilities
- ❑ **Organizational requirements:** including roles and responsibilities, necessary resources, including budget



Confidentiality and Privacy

- ✓ Borrowers/clients **must consider** how and when confidential or personal information, especially about project-affected people, will be disclosed.
- ✓ The **SEP outlines procedures to protect sensitive data** collected through ESS related activities.
- ✓ Grievance mechanism **records must exclude or redact confidential content** before sharing publicly.