

Annex A

Stakeholder Engagement Plan

Table 1-A Acronyms

Abbreviation	Full Definition
BID	Background Information Document
CBO	Community Based Organizations
CLO	Community Liaison Officer
EIA	Environmental Impact Assessment
ESIA	Environmental and Social Impact Assessment
ERM	Environmental Resources Management
EP	Equator Principle
ESMP	Environmental and Social Management Plan
FGDs	Focus Group Discussions
IA&Ps	Interested and Affected Parties
IFC	International Finance Corporation
KII	Key Informant Interviews
NGOs	Non-Governmental Organizations
NTS	Non-technical Summary
SEP	Stakeholder Engagement Plan

A.2.1 INTRODUCTION

This Stakeholder Engagement Plan (SEP), has been developed to inform and guide the ESIA stakeholder engagement process. The SEP seeks to define a technically and culturally appropriate approach to consultation and disclosure. The goals are to ensure that adequate and timely information is provided to Project-affected people and other stakeholders, that these groups are given sufficient opportunity to voice their opinions and concerns, and that these concerns influence Project decisions.

The SEP for the Project is a “living document” that will be updated and adjusted as the ESIA progresses and Project planning evolves. It thus provides – and will continue to provide – a framework to manage effective and meaningful engagement with stakeholders. This SEP has been updated following the completion of the first round of Scoping engagement. It has been included as an annex to the Scoping Report.

A.2.2 PURPOSE OF THE STAKEHOLDER ENGAGEMENT PLAN

The overall aim of this plan is to ensure that a consistent, comprehensive, coordinated and culturally appropriate approach is taken to stakeholder engagement and Project disclosure. It is intended to demonstrate the commitment of ZRA to an ‘international best practice’ approach to engagement. ZRA is committed to full compliance with all Zambian and Zimbabwean Environmental Impact Assessment (EIA) Regulations. The applicable legislation on stakeholder engagement in Zimbabwe is the Statutory Instrument No. 7 of 2007 the Environmental Management (Environmental Impact Assessments and Ecosystems Protection) Regulations and in Zambia, the Environmental Management Act, 2011 and Statutory Instrument 28 of the 1997 EIA Regulations. In addition, ZRA will align itself to the World Bank Operational Safeguards and the International Finance Corporation (IFC) Performance Standards, and any other directly relevant policies of the IFC and World Bank.

In line with current international best practice, this SEP aims to ensure engagement that is free of manipulation, interference, coercion and intimidation.

To this end the SEP:

- outlines the approach to be adopted to engagement, showing how this will be integrated into the rest of the ESIA process;

- identifies stakeholders and mechanisms through which they will be included in the process;
- serves as a way to document the process; and
- identifies ZRA's responsibilities with respect to Zambian and Zimbabwean legislative requirements and international best practice.

This plan focuses on stakeholder engagement activities proposed for the ESIA and should be expanded upon for subsequent Project phases.

A.2.3

OBJECTIVES OF STAKEHOLDER ENGAGEMENT

The objectives of engaging stakeholders during the ESIA process include the following.

- **Ensuring understanding:** An open, inclusive and transparent process of culturally appropriate engagement and communication will be undertaken to ensure that stakeholders are well informed about the proposed Project. Information will be disclosed as early and as comprehensively as possible.
- **Involving stakeholders in the assessment:** Stakeholders will be included in the scoping of issues, the assessment of impacts, the generation of mitigation and management measures and the finalisation of the ESIA report. They will also play an important role in providing local knowledge and information for the baseline to inform the impact assessment.
- **Building relationships:** Through supporting open dialogue, engagement will help establish and maintain a productive relationship between the ESIA team and stakeholders.
- **Engaging vulnerable groups:** An open and inclusive approach to consultation increases the opportunity of stakeholders to provide comment on the proposed Project, and to voice their concerns. Some stakeholders however, need special attention in such a process due to their vulnerability. Special measures will be considered to ensure that the perspectives of vulnerable stakeholders are heard and considered.
- **Managing expectations:** It is important to ensure that the proposed Project does not create or allow unrealistic expectations to develop amongst stakeholders about proposed Project benefits. The engagement process will serve as a mechanism for understanding and managing stakeholder and community expectations, where the latter will be achieved by disseminating accurate information in an accessible way.

- **Ensuring compliance:** The process is designed to ensure compliance with both local regulatory requirements and international best practice.

One of the key outcomes of engagement should be free, prior and informed consultation of stakeholders, where this can be understood to be:

- **free:** engagement free of external manipulation or coercion and intimidation;
- **prior:** engagement undertaken in a timely way, for example the timely disclosure of information before a development is undertaken and or participation is sought with regard to the identification of issues of concern; and
- **informed:** engagement enabled by relevant, understandable and accessible information.

A.2.4

STRUCTURE OF THE PLAN

The SEP is organised in the following subsequent sections.

Section 2 outlines the national and international legislative context that will govern the manner in which stakeholder engagement is conducted for the ESIA engagement process.

Section 3 provides an overview of the likely stakeholder groups that will be interested in or affected by the proposed Project

Section 4 proposes an engagement process that will comply with the national and international standards.

Section 5 outlines the ESIA Scoping stakeholder engagement process that was undertaken and the proposed way forward.

Section 6 outlines the feedback mechanism that was developed through the stakeholder engagement process.

Section 7 presents an overview of how records of the process will be kept and monitored.

A3 **KEY STANDARDS AND LEGISLATION GUIDING STAKEHOLDER
ENGAGEMENT**

A.3.1 **INTRODUCTION**

The stakeholder engagement process has been designed to ensure compliance with both Zambian and Zimbabwean legislative requirements, as well international good practice standards defined in the IFC's Performance Standards for Environmental and Social Sustainability (2012).

This section presents the relevant standards and legislation identifying the key Zambian and Zimbabwean and international requirements for engagement. The following section will present the process that has been designed to meet these standards.

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A.4.1

ZIMBABWEAN LEGISLATION

Statutory Instrument No. 7 of 2007 the Environmental Management (Environmental Impact Assessments and Ecosystems Protection) Regulations provides the requirements for stakeholder engagement in respects of the development of EIAs. Developers are required to consult widely with all stakeholders: *“Before any environmental impact report is furnished to the Director-General, the developer shall carry out wide consultations with stakeholders”*. The use of print and electronic media is recognised.

The Director General of the EMA has a right to verify whether full stakeholder participation was undertaken; the Environmental Management Agency will not issue a licence to the developer if they are not satisfied that stakeholder engagement has been undertaken to the manner required: *“During a prospectus and environmental impact assessment report review period, the Director-General shall verify whether full stakeholder participation was undertaken when the environmental impact assessment report was prepared”*. Statutory Instrument No 7 also provides that *“the Director-General may advertise in the print and electronic media when a prospectus or environmental impacts assessment report is being reviewed”*.

A.4.2

ZAMBIAN LEGISLATION

In Zambia, the Environmental Management Act, 2011 and Statutory Instrument 28 of the 1997 EIA Regulations are the key legislation that provide the requirements for stakeholder engagement in respects of the development of EIAs.

The Environmental Management Act 2011 provides that the public have the right to be informed of the intention of public authorities to make decisions affecting the environment and of available opportunities to participate in such decisions. The legislation obliges the developer to consult with the public: *“the Agency and the appropriate authorities shall establish mechanisms to collect and respond to public comments, concerns and questions relating to the environment including public debates and hearing”*.

The 1997 EIA Regulations states that stakeholder engagement needs to involve government agencies, local authorities, non-governmental and community based organisations and interested and affected parties.

“The developer shall, prior to the submission of the EIS to the Council, take all measures necessary to seek the views of the people in the communities which will be affected by the Project. In seeking the views of the community in accordance with sub-regulation, the developer shall:

(a) publicise the intended Project, its effects and benefits, in the mass media, in a language understood by the community, for a period not less than fifteen days and subsequently at regular intervals throughout the process; and
(b) after the expiration of the period of fifteen days, referred to in paragraph (a), hold meetings with the affected communities to present information on the Project and to obtain the views of those consulted”.

The Government is responsible for distributing the ESIA for public comment. The public are notified via the media including radio. Public meetings may be called, as advertised in the media. Media notices shall be published three times a week for two consecutive weeks in the national papers at least fifteen days prior to the public hearing. Comments can be received 20 days from the date of the last media notice however, the Government may extend this period up to a period of 15 days. Such hearings can only be scheduled twenty-five days after the last public notification

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In addition to aligning to Zambian and Zimbabwean requirements and standards, the SEP is designed to ensure alignment with international good practice standards, in particular the IFC Performance Standards for Environmental and Social Sustainability (2012) and the Equator Principles.

The following section sets out the engagement-specific requirements aligning to international good practice standards.

A.5.1

THE IFC PERFORMANCE STANDARDS

The following section sets out the engagement-specific requirements aligning to international good practice standards.

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Aims:

To ensure that affected communities are appropriately engaged on issues that could potentially affect them; to build and maintain a constructive relationship with communities; and to establish a grievance mechanism.

Who to Consult:

Specifically with:

- Directly and indirectly affected communities;
- Positively and negatively affected communities/individuals;
- Those with influence due to local knowledge or political influence;
- Elected representatives;
- Non-elected community officials and leaders;
- Informal/traditional community institutions and/or elders;
- Indigenous peoples, where the Project is identified to have adverse impacts on them;
- Non-Governmental Organisations (NGOs) and community based organisations;
- Key interest groups; and
- Communities in the wider area of influence (AoI).

When to Consult:

As early as possible, or at the latest consultation should begin prior to construction. Consultation should be an on-going process throughout the life of the Project, i.e. iterative. Consultation should also allow for a feedback mechanism where affected people are able to present their concerns and grievances for consideration and redress.

What to Consult on:

Specifically:

- Disclosure of Project information (purpose, nature, scale);
- Disclosure on the Action Plan as a result of consultation, with periodic reports to demonstrate implementation;
- Risks and impacts of the Project; and
- Updates actions and proposed mitigation measures to address negative impacts and areas of concern for affected communities.

How to Consult:

Consultation should:

- Be inclusive and culturally appropriate;
- Allow for free, prior and informed participation of affected communities;
- Be in the language preferred by the affected communities;
- Consider the needs of disadvantaged and vulnerable groups;
- Be fed into the decision making process including proposed mitigation, sharing of benefits and opportunities;
- Be iterative;
- Be documented;
- Be responsive to community concerns and grievances;
- Be easily understood and transparent; and
- Allow for differentiated means of engagement particularly for disadvantaged or vulnerable groups.

** Where engagement relies substantially upon a community representative the client will aim to ensure that the views of affected communities are communicated, and that the results of consultation are communicated back to the community.*

Source: IFC Performance Standard 1, (paragraphs 25-35), (2012)

Consultation with Sensitive or Vulnerable Groups

Vulnerable stakeholders require special attention according to the IFC. The proposed Project may have impacts on vulnerable / marginalised or sensitive groups. Vulnerable people include those who, by virtue of their gender, ethnicity, age, physical or mental disability, economic disadvantage or social status may be more adversely affected by a Project than others, and who may be limited in their ability to take advantage of a Project's development benefits.

The IFC Performance Standards outline requirements for engagement with vulnerable people which should include differentiated measures to allow for the effective participation of these people. Thus the stakeholder engagement process needs to be designed to address the needs of these vulnerable groups.

Identification and analysis of potentially vulnerable groups will be further defined during baseline data collection and as the ESIA progresses.

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For the purposes of this plan, a stakeholder is defined as any individual or group who is potentially affected by the proposed Project, or who has an interest in the proposed Project and its potential impacts. It is therefore important to establish which organisations, groups and individuals may be directly or indirectly affected (positively and negatively) by the proposed Project and which might have an interest in the proposed Project. It should be noted that stakeholder identification is an on-going process, requiring regular review and updating as the ESIA progresses.

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In order to develop an effective SEP it is necessary to determine exactly who the stakeholders are and understand their priorities and objectives in relation to the proposed Project. By classifying and analysing the stance, influence, capacity and interests of stakeholders it will be possible to develop a plan that is tailored to the needs of different stakeholder groups.

It is likely that a diverse range of stakeholders will be identified that could be involved in the SEP process. Different issues are likely to concern different stakeholders, and so different types of stakeholders will be grouped based on their connections to the proposed Project. Having an understanding of the connections of a stakeholder group to the proposed Project helps identify the key objectives of engagement.

As part of this, it is important to identify individuals and groups who may find it more difficult to participate and those who may be differentially or disproportionately affected by the Project because of their marginalised or vulnerable status. It is also important to understand how each stakeholder may be affected - or perceives they may be affected - so that engagement can be tailored to inform them and address their views and concerns in an appropriate manner.

Details of individual stakeholders will be compiled in a stakeholder register which will be periodically updated throughout the ESIA engagement process. Such information may be kept on a database for ease of use, but will not be shared with any third party. The stakeholder records are 'living documents' that can be updated as engagement progresses.

Table A2-A sets out the stakeholder groups that were identified following the inception phase. These stakeholder groups were expanded on during the scoping phase according to the individuals and groups who were consulted and / or who registered as stakeholders, also referred to as Interested and Affected Parties (I&APs). The full list of stakeholders are presented in a stakeholder database (please refer to *Annex D* of the Scoping Report).

Table A2-A Stakeholder Groups

Stakeholder Categories	Stakeholder Groups	Connection to the proposed Project
Government	<ul style="list-style-type: none"> National regulatory bodies 	National government are of primary importance in terms of establishing policy, granting permits or other approvals for the Project, and monitoring and enforcing compliance with Zimbabwean and Zambian law throughout all stages of the Project life-cycle.

Stakeholder Categories	Stakeholder Groups	Connection to the proposed Project
	<ul style="list-style-type: none"> Provincial regulatory bodies Key local authorities (rural and urban district councils / municipalities/ District Commissioners (Zambia)/ District Administrator (Zimbabwe)/ Councillors) 	Several provincial, district and local authorities are impacted by the proposed Project and will be informed of progress and plans in their areas, to consider the proposed Project activities in their policy-making, regulatory and other duties and activities.
Traditional Authorities	<ul style="list-style-type: none"> Chiefs Village heads 	Local community leaders and educational leaders, acting as representatives of their local community. Meetings with traditional authorities will follow local practices and be held prior to any wider communication in local communities in order to respect the political and social structures.
Communities	<p>Project affected communities including:</p> <ul style="list-style-type: none"> Registered and customary land owners Residents and occupiers of land People who use and/ or access land and resources People who use the Zambezi River 	Households and communities that will be directly or indirectly affected by the proposed Project and its activities. This includes people who use the Zambezi River, people living on land affected by the Project, either through direct land take or by social and environmental impacts, and other people who visit or use land or resources that may be affected.
Vulnerable groups	<ul style="list-style-type: none"> Women headed households Children headed households Elderly, physically, mentally disabled Youth Low-income households (dependent on subsistence activities) Ethnic minorities eg Tonga. (The Tonga people were forcibly evicted to make way for the Kariba Dam in the 1950s. They are reported to suffer from political marginalisation and extreme poverty ⁽¹⁾). 	Vulnerable groups may be affected by the proposed Project by virtue of their physical disability, social or economic standing, limited education, lack of access to land etc. They may also have difficulty in engaging with the stakeholder consultation process and thus may not be able fully express their concerns regarding the proposed Project. Specific vulnerable groups will be identified during ESIA baseline data collection and strategies for effective engagement will be developed.
Civil Society	<ul style="list-style-type: none"> Cooperatives Community Based Organisations (CBOs) Associations Cultural groups 	Organisations with direct interest in the proposed Project, and its social and environmental aspects and that are able to influence the Project directly or through public opinion. Such organisations may also have useful data and insight and may be able to become partners to the proposed Project in areas of common interest.

(1)<http://www.minorityrights.org/4504/zimbabwe/zimbabwe-overview.html>,

http://www.mulonga.net/index.php?option=com_content&view=article&id=236:spotlight-on-basilwizi&catid=43:tonga-culture&Itemid=93

Stakeholder Categories	Stakeholder Groups	Connection to the proposed Project
Non-governmental Organisations (NGOs) / Institutions / Academic	<ul style="list-style-type: none"> • International • National • Local 	NGOs and academic institutions with direct interest in the proposed Project, and its social and environmental aspects and that are able to influence the Project directly or through public opinion.
Commerce and Industry	<ul style="list-style-type: none"> • Local businesses, (most notably in the tourism industry) and entrepreneurs affected by potential social and / or environmental impacts • Businesses from elsewhere in Zimbabwe and Zambia who may benefit by providing goods and services to the Project • Potential suppliers and contractors 	<p>Individuals or organisations with direct economic interest in the Project. This may be through gaining contracts with the proposed Project or due to economic impacts caused by the proposed Project (eg reduction of white water rafting opportunities on the Zambezi River). They may also be potential business partners.</p> <p>As the proposed Project develops and new contractors and service providers are identified, it is likely that these businesses will become important stakeholders as they establish contractual relationships with the proposed Project.</p>
Bilateral and Multilateral Organisations	<ul style="list-style-type: none"> • Development Agencies • Financial Institutions 	A range of different international organisations may have an interest in the proposed Project and may have useful data or insight into local and national issues of relevance to the proposed Project.

ESIA engagement activities provide an opportunity for affected and interested stakeholders to express views and concerns about the proposed Project. It also enables the ESIA team to consider and respond to stakeholder comments, and incorporate these into the identification of impacts and development of appropriate and relevant mitigation.

A.8.1 *ENGAGEMENT UNDERTAKEN FOR THE PREVIOUS ESIAS*

It is evident that stakeholder engagement has been undertaken as part of the previous studies however, it is believed that the degree of engagement is insufficient compared to international standards and that further engagement will be required as part of ERM's forthcoming ESIA studies. For the 1993 Feasibility Study on the Batoka Gorge Hydro Electric Scheme, BJVC consulted with ministers and executives in Zambia, Zimbabwe and other countries in Southern Africa. These included the Zambezi River Authority, relevant government authorities including relevant departments under the Ministry of Environment and Natural Resources and the Ministry of Local Government and Housing in Zambia and the Ministry of Energy and Water Resources and Development, and Ministry of Natural Resources and Tourism and Ministry of Finance, Economic Planning and Development in Zimbabwe, as well as lender organisations such as the IFC, African Development bank and the World Bank. Representatives from the Southern African Development Community were also consulted. Nevertheless, little evidence is provided in the report on the outcome of the consultations, nor how frequently people were consulted. In addition, there is little mention of consultation that was undertaken with the general public, most notably, the directly affected communities (BJVC 1993). This is further substantiated by the findings of the 1998 EIA Report. The authors of the report note that as a result of limited public consultation that was undertaken for previous studies, in general there was a low level of understanding of the Project. They found that many of the opinions of people they spoke to during data collection activities had been shaped by rumours. This was reported to have served to hamper some of their studies, eg tourism. Whilst PVT did undertake some consultation, eg discussions were held with traditional leadership and local administration staff and some communities, this was more weighted to Zimbabwean stakeholders. They also noted that they were not tasked to hold public meetings and, that this activity was not been provided for in the budget. As a result, the 1998 report recommends that public consultation should be undertaken for the Project to ensure that people are adequately informed of it and, are able to voice concerns and give recommendations. Suggested outlets included workshops and open house meetings, with media including broad casts, press releases, feature articles and radio programmes being utilised to reach mass audiences (PVT 1998).

Prior to the 1993 EIA, a workshop was convened by The World Conservation Union in Victoria Falls, Zimbabwe in 1992 to discuss the scope of the forthcoming EIA. More than thirty participants attended who represented the ZRA, the consultants who were due to undertake the study, local community representatives, NGOs and government agencies. One of the objectives of the workshop was to inform interested parties about the nature of the Project, and to receive views on the potential impacts and the scope of the EIA. This therefore formed in part a public consultation exercise. However, some invitees were critical of the process undertaken and complained that inadequate notice had been given to participants to facilitate their attendance (1992 World Conservation Union Scoping Workshop, 1992).

The Karangona Master Thesis notes that meetings were undertaken with traditional chiefs in both countries which oversee the villages likely to be affected by the Project. This was related to the development of the construction roads. However, little information is provided on the nature of these meetings. It also reports that the Energy Ministers in both Zambia and Zimbabwe wrote a letter to the other six riparian countries (Angola, Botswana, Malawi, Mozambique, Namibia and Tanzania) that share the Zambezi River Basin informing them of the proposed Project. The Karangona Master Thesis, published in May 2014, implies that public consultation to date has been limited. It notes that at the time of writing, the ZRA website had been dysfunctional for several months and that the organisation has not embraced social media as a communication tool (The Karangona Mater Thesis, 2014). The ZRA website was accessed on 16th June 2014 and now includes some information, albeit limited, on the Project.

The key issues raised during various stakeholder meetings as part of previous studies include:

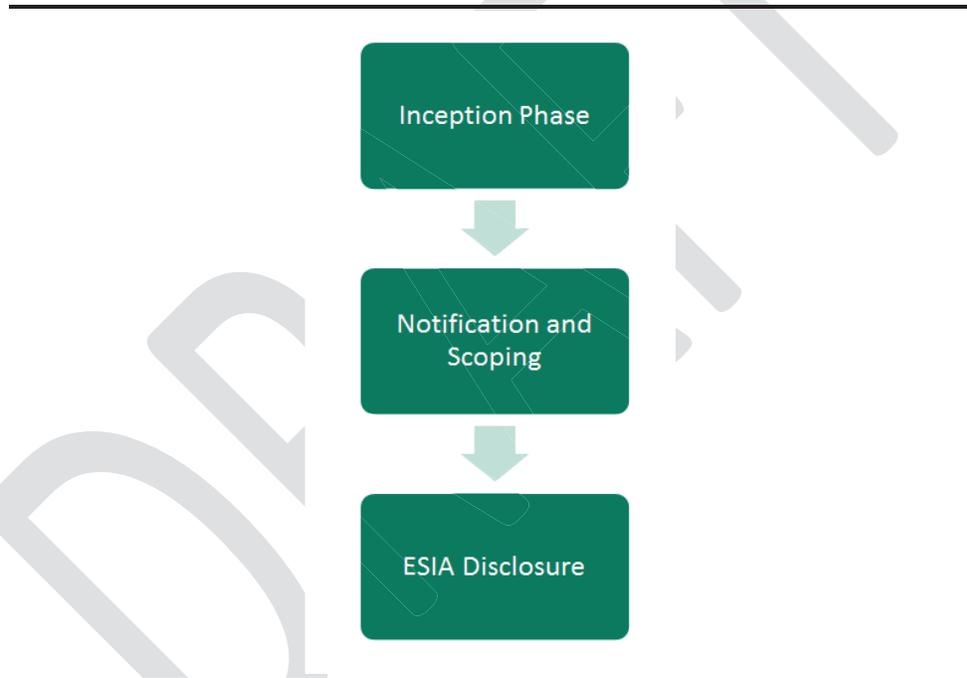
- **Environmental issues:** negative impacts on biodiversity, including endangered species; potential to induce high seismic activity; rock erosion.
- **Resettlement:** potential for economic and physical displacement as a result of land take, especially land required for township developments.
- **Health:** likely effects to human health.
- **Tourism:** detrimental effect on white water rafting industry.
- **Visual impact:** loss of aesthetic beauty of the gorge areas and its surrounds.
- **Cultural heritage, archaeology and palaeontology:** potential to cause damage to archaeological remains and fossils during construction, impact on World Heritage site.
- **Project awareness:** inadequate provision of Project information; insufficient notice given to attend stakeholder meetings.
- **Impact assessment methodology:** scope of impact assessment and its input on Project authorisation.

This section tables an approach to engagement which has been designed to comply with the national and international standards described in *Section A3*.

The stakeholder engagement process will involve five key stages as shown in *Figure A2.A*, and include:

- Inception Phase;
- Notification and Scoping; and
- ESIA Disclosure.
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Figure A2.A ESIA Stakeholder Engagement Stages



The stages of stakeholder engagement are described in more detail below in *Table A2-B* that includes a summary of the objectives and activities for each stage.

All stakeholder engagement activities will be informed by, and regularly updated according to an iterative process of stakeholder identification, analysis and mapping and on the basis of comments received on the stakeholder engagement process. The final SEP will then be carried forward into Project execution, ie construction and operation.

The ESIA is currently in the Scoping phase.

Table A2-B Stages of Engagement

Stage	Objective	Key Activities	Key Outputs
Inception Engagement	<ul style="list-style-type: none"> To gain a preliminary understanding of the scope of the proposed Project, appropriate and legislated engagement requirements and relevant stakeholders. 	<ul style="list-style-type: none"> Inception meeting with ZRA and personnel involved in the stakeholder engagement activities; Field visit; and Stakeholder identification process. 	<ul style="list-style-type: none"> SEP for the ESIA; Potential list of stakeholder groups;
Scoping Engagement	<ul style="list-style-type: none"> To meet key stakeholders and introduce them to the proposed Project and ESIA Process; To disclose the Project in the public domain to all interested and affected stakeholders; To gather issues of concern and through this identify a list of potential impacts; To refine the terms of reference of specialist work on the basis of stakeholder comment received; To consult key stakeholders on the next steps in the ESIA process; To generate feedback on the Draft Scoping Report, including the scope, approach and key issues to be investigated further for the ESIA. 	<ul style="list-style-type: none"> Meetings with key stakeholders to facilitate the broader stakeholder engagement process Dissemination of engagement materials (background information document, posters, media notices etc.) Consultation on the proposed Project and associated ESIA through meetings and workshops with identified stakeholders. Details may include: <ul style="list-style-type: none"> Contextualisation of the Project with respect to other neighbouring Projects and any previous consultation undertaken Nature, purpose and scale of the proposed Project ESIA & stakeholder engagement process Distribution of draft Scoping Report or non-technical summaries to stakeholders to confirm issue identification and receive comment on the revised terms of reference; Formal submission of Scoping Report to Authorities; 	<ul style="list-style-type: none"> Stakeholder database; Engagement tools and proof of their dissemination; Meeting minutes/issues and response report; Updated SEP; Feedback material for the Draft Scoping Report.
ESIA Disclosure	<ul style="list-style-type: none"> To discuss the identified impacts and proposed mitigation measures with stakeholders allowing for their input; and To provide stakeholders with the opportunity to comment on the Draft ESIA report. 	<ul style="list-style-type: none"> Submission of the draft ESIA Report to relevant environmental authorities and dissemination to other key authorities and stakeholders. In Zambia, ZEMA is responsible for public dissemination of the report. They will be responsible for distributing copies of an environmental impact assessment statement to relevant ministries, local government units, parastatals, nongovernmental and community- 	<ul style="list-style-type: none"> Draft ESIA Report; Non-technical summary of identified impacts and mitigation measures; Notification material; Meeting minutes and/or issues and response report; Updated SEP.

Stage**Objective****Key Activities****Key Outputs**

based organisations, interested and affected parties. They also need to place copies of an environmental impact statement in public buildings in the vicinity of the site of the proposed Project. In Zimbabwe, the public can request a copy of the report from the EMA however, there may be a cost incurred for this. In accordance with best practise, ERM will make the Draft ESIA Report available in public places for comment.

- Availability of the draft ESIA Report will be advertised through newspaper announcements (and also radio announcements in Zambia) and made available for public review. In Zambia, comments can be received 20 days from the date of the last media notice. The Government may extend this period by a further 15 days. In Zimbabwe, no time period is specified as there is no obligation to disclose the report however, the timeframe will be aligned with that required for Zambia
- Dissemination of engagement materials (NTS, posters etc.) disclosing findings of the draft Impact Assessment Report;
- Consultation on the draft Impact Assessment Report. This will include:
 - Identification of impacts in the draft ESIA and proposed mitigation;
 - Identification of stakeholder concerns and opinions on the impacts identified;
 - Involvement of stakeholders in assessing the efficacy and appropriateness of the proposed mitigation measures; and
 - Identification of revisions or additions to the draft ESIA report where necessary.

Stage	Objective	Key Activities	Key Outputs
Formal Submission of Final ESIA	<ul style="list-style-type: none"> To formally submit the final ESIA to the authorities with comments incorporated from the ESIA engagement and disclosure stage. 	<ul style="list-style-type: none"> Submission of the Final ESIA to the Zimbabwean authorities. There is no requirement for this in Zambia as Draft ESIA circulated by Zambian authorities in any case. 	<ul style="list-style-type: none"> Final ESIA Report; and Final SEP.

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A variety of communication methods will be used during ESIA engagement. This will be determined by the level and objective of engagement, as well as the target stakeholder group.

English is the official language of both Zambia and Zimbabwe; however the communities affected by the Project speak a variety of languages, including in Shona, Ndebele, Nambya and Tonga in Zimbabwe and Tonga or Leya in Zambia. Oral communication will be undertaken in the local languages in the communities but English will be used for high level stakeholder meetings.

Table A2-C outlines the various communication channels that will be utilised during the ESIA stakeholder engagement process, with the relevant target audience also identified. Approaches to engagement and communication channels used will also be verified and updated where necessary during the stakeholder engagement process.

All engagement materials in Zimbabwe and Zambia will be produced in English including at the local level. ERM's Zimbabwean consultants advised against the use of translation into local languages as the vocabulary of these languages is reported to be limited and would not be able to describe the terms necessary. For both countries however, given that lower literacy levels are anticipated at the local level, the primary focus of engagement will be on verbal communication via public meetings and other socio-economic engagement tools using the local languages noted above.

During face-to-face meetings, particularly with customary authorities and communities, local facilitators will be used. The use of facilitators will be according to cultural norms and local languages and will include both men and women facilitators that speak the required languages of the communities

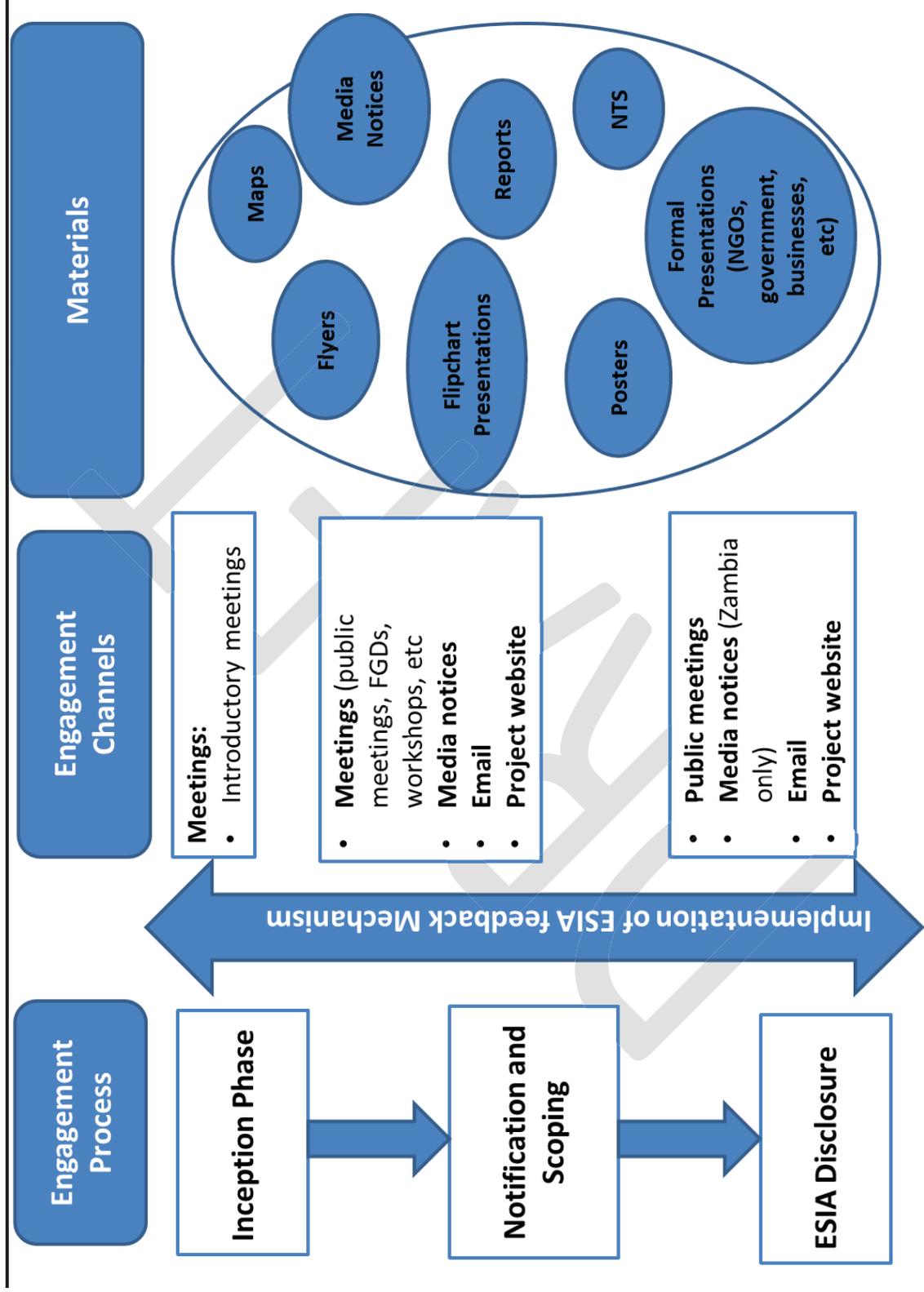
Table A2-C Communication Channels for Engagement

Communication Channel	Objective	Target Stakeholders
Project website	<ul style="list-style-type: none"> • Dedicated ESIA webpage on the website designed to engage all affected and interested stakeholders who have access to the internet. • The webpage provides links to available documents including the Draft Scoping and ESIA Reports and materials. • It also provides contact details for stakeholders to provide comments and ask questions. 	<ul style="list-style-type: none"> • National, provincial, district and local government • Non-Governmental Organisations (NGOs) • Media • Academics and research institutes • Commerce and industry • Bilateral and multilateral organisations
Media (newspaper) Posters	<ul style="list-style-type: none"> • Used to make announcements regarding the proposed Project and ESIA process; • Encourage stakeholders to register as stakeholders for the ESIA Process; and to • Inform stakeholders of meetings or the availability of Project information . 	<ul style="list-style-type: none"> • National and state stakeholders • Traditional authorities • Communities • Community Based Organisations (CBOs) • Associations • Cultural groups
Email	<ul style="list-style-type: none"> • To distribute all Project notification material to those parties with access to this facility; • To inform stakeholders of availability of Project information including tabling of ESIA reports (Scoping report, draft ESIA report etc.). 	<ul style="list-style-type: none"> • National, provincial, district and local government • NGOs • Academics and research institutes • Commerce and industry • Bilateral and multilateral organisations
Face to face meetings: • Workshops • Formal meetings • Community meetings • FGDs (socio-economic engagement tool)	<ul style="list-style-type: none"> • To transmit information about the proposed Project and ESIA process and reinforce two-way dialogue. Some of these methods will be employed as part of the socio-economic studies (FGDs). 	<p>All stakeholder groups to be targeted through one of these engagement needs.</p>

A variety of materials will be used during stakeholder engagement, in particular during face-to-face engagement. *Figure A2.B* outlines the stakeholder engagement tools that will be used throughout the various stages of the ESIA process.

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Figure A2.B Stakeholder Engagement Materials



Focused efforts will be made to engage with directly impacted stakeholders, including vulnerable groups at the local level. Affected individuals will be consulted directly and via their representatives including elected and traditional leaders, and other influential people within communities. In addition special efforts will be made to meet with representatives of potentially vulnerable groups who may not be reached through traditional leadership structures.

ERM will also ensure that meetings are culturally appropriate allowing stakeholders to openly voice their opinions and / or concerns. Identification of vulnerable groups was confirmed during the Scoping and Baseline Data Collection stages and subsequent data analysis.

All meetings will follow local practices and norms. Meetings with the local administration and with traditional leaders will be held prior to any wider communication in the villages in order to respect traditional structures.

All affected communities and groups will be made aware of the Project feedback and grievance mechanism (see Section A14). Please note, the Grievance Mechanism remains to be developed and communicated to all stakeholders.

A.12.1 SCOPING ENGAGEMENT

A.12.1.1 *Objectives of Scoping Engagement*

Formal Scoping engagement aims to integrate stakeholder issues within the ESIA process from an early stage. It enables stakeholders to raise issues of concern and make suggestions for enhancing benefits from the proposed Project. It also provides stakeholders with an opportunity to evaluate alternatives and to contribute relevant local knowledge to the process. Scoping engagement provides an opportunity to refine the on-going stakeholder mapping and analysis process.

Subsequent to desk based stakeholder mapping, analysis and planning, the ESIA consultants undertook scoping engagement in order to:

- Engage with key stakeholders so as to introduce the Project, the ESIA process and obtain clarification with regard to community engagement;
- Notify stakeholders of the proposed Project and the ESIA process;
- Identify stakeholder issues of concern;
- Formally initiate the engagement process and introduce the engagement team;
- Provide stakeholders with an opportunity to ask questions and give input on the proposed Project;
- Table and elicit comment on the findings from the draft Scoping Report.

Engagement methods were tested during the Scoping Phase and a proposed way forwarded for future engagement for the rest of the ESIA is presented in *Section A13*. Further detail is given in the Draft Scoping Report.

A.12.1.2 *Stakeholder Engagement undertaken during the Scoping Phase*

Prior to the commencement of stakeholder engagement activities, meetings were scheduled with all relevant traditional authorities and the relevant District Commissioners/ Administrators. The purpose of these meetings was to refine the stakeholder engagement strategy so as to meet the requirements of the leadership and ensure that future communication is effective and sensitive to cultural sensitivities. Support for the broader community engagement process was also sought.

A.12.1.3 *Preparation and Distribution of Notification Material*

The formal Scoping engagement stage involved various activities leading up to and during the in-country engagement trip. The preparatory activities undertaken are outlined in *Figure A12.A* below.

Figure A12.A Preparatory Engagement Activities

Review of existing stakeholder mapping and analysis
Preparation and review of the Scoping stakeholder engagement programme
Planning and confirmation of logistics
Development of stakeholder engagement tools, including translation where necessary.
Publication of media announcements

A stakeholder database was compiled and updated during the Project Registration period as per comments and registrations received.

Stakeholder engagement tools included the following:

- A Background Information Document (BID);
- Media announcements;
- Letters of invitation;
- Response sheets;
- Posters; and
- Flyers.

During the key stakeholder discussions, stakeholders reported on the best media to be utilised.

Advertisements were placed in newspapers in English and were accompanied by the local consultants and the ZRA's logo to facilitate legitimacy. In Zimbabwe the notices were placed in *the Herald* and the *Chronicle*. In Zambia, it was placed in *The Times of Zambia* and *The Post*.

In addition, ERM created a web portal (<http://www.erm.com/batokaHESESIA>) for the dissemination of Project information, and collection of input from stakeholders, such as the Scoping Report. This web portal will be maintained throughout the ESIA process.

Materials were distributed 21 days in advance of the stakeholder engagements that were held. Stakeholders were afforded 35 days to register as Interested and Affected Parties for the Project.

A.12.1.4 *Engagement Activities*

Public participation for the Scoping phase was held between September and October 2014 and in January 2015. Scoping phase engagement involved engaging with stakeholders at the provincial, regional and local level, including with the groups highlighted in *Table A2-A*. Differentiated approaches to engagement were utilised depending upon the degree to which groups are likely to be impacted, as well as type and level of interest in the proposed Project. In addition, the design of the stakeholder engagement programme took into account whether stakeholder groups had been engaged previously.

Meetings were scheduled as follows in each country (Zambia and Zimbabwe):

- Meetings with regulators and government officials at the national, provincial, district and local level.
- Public meetings / Open days in Livingstone and Lusaka in Zambia and Victoria Falls and Harare in Zimbabwe. These meetings were advertised in the media announcements and all interested parties were invited to attend, including members of the public and Key Interest Groups such as NGOs, CBOs, Business and Industry (most notably the tourism industry) and Environmental Groups.
- Meetings with affected communities. In Zambia these took place at the chiefdom level. In Zimbabwe, due to the geographical extent of the Project area and hence the distance between villages, these meetings took place at the ward level.

Comments raised by I&APs were recorded in a Comments and Response Register which can be found in *Annex B* of the Draft Scoping Report.

A summary of the meetings is presented in *Table A12-A*. The total number of participants given has been obtained from attendance registers that meeting participants were asked to sign. However, at the majority of meetings more attendees were present than that highlighted by the attendance sheets. This is largely due to the perception of some stakeholders that signing the register equated to giving permission / agreement for the Project.

Interested and Affected Parties (I&APs) who were unable to attend the meetings were asked to submit their comments in writing on a Comments and Response Form to a member of the Project team, either in person, via email or By post.

Table A12-A Summary of Scoping Meetings

	No of Meetings Held	Total Number of Participants
Zambia		
Open Days	2	73
Open Day - Meeting Format	1	80
Regulatory meetings	3	32
Community meetings	2	130
Zimbabwe		
Open Days	2	34
Open Day - Meeting Format	1	55
Regulatory meetings	2	25
Community meetings - Zimbabwe	9	1,071
TOTAL	20	1,500

At all of the meetings, details of the Project were presented and stakeholders were invited to ask questions and raise concerns. Stakeholders were also invited to comment on potential impacts and appropriate mitigation measures. Contact details were also presented to allow stakeholders to submit any additional comments after the meetings.

Table A12-B shows the engagements undertaken with I&APs during the scoping phase. At the Livingstone Open Day a specific request was made for a rerun of the engagement in a meeting format with the provision of technical expertise to be able to respond to technical and engineering questions. It was requested that this be undertaken during the Scoping Phase of the Project. Accordingly, additional information sharing meetings were held in Victoria Falls and Livingstone in January 2015.

Table A12-B I&AP Engagements Undertaken During the Scoping Phase of the Study

Meeting	Venue	Date
Public Open Day, Harare	Harare Royal Golf Club	30 th Sep 2014
Authorities Meeting, Bulawayo	Bulawayo Club	1 st Oct 2014
Community meeting, Jambezi	Chief Shana's homestead	2 nd Oct 2014
Hwange Rural District Council Meeting	Hwange Rural District Council Offices	3 rd Oct 2014
Community meeting, Nemangana	Sacred Heart Mission	4 th Oct 2014
Victoria Falls Open Day	Victoria Falls Municipal Offices	4 th Oct 2014
Community meeting, Kattchecheti	Ndhlovu Business	5 th Oct 2014

	Centre	
Community meeting, Chidobe	Chisuma Primary School	6 th Oct 2014
Community meeting, Chikandukubi	Mashake Secondary School	6 th Oct 2014
Livingstone Open day	Livingstone Municipal Offices	6 th Oct 2014
Community meeting, Matetsi	Matetsi Police Station	7 th Oct 2014
Community meeting, Mbhizi	Milonga Clinic	7 th Oct 2014
Lusaka Open Day	Long Acres Lodge	7 th Oct 2014
Regulatory authority meeting, Lusaka	Long Acres Lodge	8 th Oct 2014
Community meeting, Sidinda	Lumbora Primary School	8 th Oct 2014
Community meeting, Mashala	Mashala Secondary School	8 th Oct 2014
Livingstone Council Meeting	Provincial Conference Room, Livingstone	9 th Oct 2014
Kazangulu District Council Meeting	Kazungula Council Chambers	10 th Oct 2014
Community meeting for Chief Musokotwane villages	Musokotwane Primary School	11 th Oct 2014
Community meeting for Chief Mukuni villages	Njando Primary School	13 th Oct 2014
Victoria Falls Information Sharing Meeting	Victoria Falls Municipal Offices	22 nd Jan 2015
Livingstone Information Sharing Meeting	Livingstone Lodge	23 rd Jan 2015

A.12.1.5 *Summary of Outcomes of Scoping Phases Engagement*

Most stakeholders generally knew about the proposed Project and expressed their appreciation for the meetings. Many participants stated that they were happy to have the opportunity to express their opinions about the Project and requested that further stakeholder meetings should be held.

Although the perceptions of the Project varied by stakeholder group, common themes during the meetings. These have been broadly categorised and are detailed below:

Biodiversity: The threat to biodiversity (including aquatic, terrestrial and avifaunal) was a key concern raised. There is a perception that livelihoods may also be disrupted as a result of increased human-wildlife conflict.

Physical and Economic Displacement/Loss of Livelihoods: Stakeholders were concerned about issues related to resettlement and compensation. Further information on who would be affected, as well as the timing of resettlement activities, was requested. The location, availability and suitability of replacement land were raised as key concern, in addition to potential disruption of traditional governance and community networks.

Community development: Demands for local communities to benefit from the Project were made. This included economic benefits, such as the use of local companies for the supply of goods and services to the Project, as well as other social benefits including improvements to the road network and development of social infrastructure (eg water and sanitation and recreational facilities).

Cultural Heritage: Due to prospective resettlement and the importance of cultural heritage to local communities, there was concern that sacred sites and graves would be impacted. Further information was requested about how or if these would be relocated.

Water impacts: Upstream and downstream water impacts, such as the impact on Victoria Falls and Zambezi rapids and downstream water users were raised as concerns. Further information on water quality and flow was requested.

EIA Process: Further details about the EIA process were requested. This included information pertaining to the duration of the ESIA, the validity of the environmental authorisation decision and change to baseline conditions during this period and the independence of the ESIA consultant. In addition, requests for copies of the ESIA were made.

Employment: There are high expectations and demands for employment, especially among the youth. Communities called for employment opportunities to be shared equally amongst Zambia and Zimbabwe.

Impacts on Livelihoods: Disturbance to fishing activities, agriculture and the impacts on the white water rafting industry were raised as concerns.

Project details: Clarity was requested regarding the exact positioning of Project infrastructure, including the rationale for the locations selected. Frustration was expressed that the consultants were unable to give detailed information in this regard. The issue of Project alternatives was also raised.

Health and Safety: Fear of the spread of Ebola and the increase of HIV/AIDs prevalence if the Project results in in-migration, the safety of employees during construction, as well as compensation for work related injuries were raised by stakeholders.

Stakeholder Engagement: Further information about stakeholder engagement activities undertaken was called for, as well as a request for further meetings to be undertaken to disclose findings of the ESIA. Some stakeholders noted that the notice period for the Livingstone open day was poor and a request for a further meeting was made.

Other issues included the sustainability of the dam, the need to include climate change in the dam design, funding arrangements and the potential of the Project to create an odour due to the presence of stagnant water.

This section provides detail on the plan for engagement to be undertaken in the next stage of the engagement process, namely the Impact Assessment stage. Prior to the commencement of Impact Assessment engagement however, the results of the Scoping Phase will be feedback to I&APs.

A.13.1.1 Scoping – Feedback

Comments, issues of concern and suggestions received from I&APs will be captured in the Comment and Response Report. A Draft Scoping Report (DSR) will be compiled on the basis of comments received. This will include a component detailing the public participation activities that have been undertaken to date. A letter will be sent to all I&APs on the stakeholder databases along with a copy of the comments and response report and non-technical summary of the DSR.

Stakeholders will be encouraged to review these documents to ensure that all relevant issues have been identified and that the terms of reference for the ESIA has been appropriately scoped.

A Non-Technical Summary of the Scoping Report will be released which will present in a non-technical language:

- the background and description of the proposed Project;
- the environment in which the proposed Project will be developed;
- information on the client;
- information on the ESIA process and timelines;
- typical impacts associated with similar Projects; and
- information on ESIA consultants and their independence.

The DSR and/or accompanying documents and summaries will also be placed in public places within the Project area. The proposed places are:

Zimbabwe

- Hwange Rural District Council Office
- District Administrators Office in Hwange
- Jambezi Clinic
- Chisuma Clinic
- Harare Black Crystal Office
- Provincial Administrators Office
- Victoria Falls Municipal Office
- Victoria Falls Environment Africa Office

Zambia

- Livingstone City Council
- Livingstone District Office
- Kazungula District Council
- Kazungula District Office
- Lusaka Kaizen Consulting Office
- District Commissioners offices in Zimba, Kalomo and Choma
- District Council Offices in Zimba, Kalomo and Choma
- National Assembly Offices Zimba, Kalomo and Choma
- Chiefs Palaces (Sipatunyana, Simwatachela & Chikanta)

The reports will be made available for a 30 day comment period, after which comments received will be included into the Final Scoping Report which will be submitted to EMA and ZEMA. In addition the Comments and Response Report will be updated with any further comments received.

A.13.1.2 Impact Assessment

During the impact assessment phase of the Project, the primary aim of the PPP will be to engage I&APs with regard to the results of the studies and the proposed management measures. A public comments period of 30 days for comment on the Draft ESIA and ESMP is currently proposed. Stakeholders will be notified via email, sms, mail, hand delivery and/or fax of the availability of the Draft ESIA and ESMP and engagements that are proposed during this phase. These documents will be finalised on the basis of stakeholder comment.

Table A12-B below provides details of the public participation activities proposed for the impact assessment phase of the ESIA.

Table A13-A Public Participation Activities Proposed During the ESIA Phase of the Project

Activity	Details
Notification of the ESIA Feedback Phase and availability of the Draft ESIA and ESMP	Registered I&APs will be notified by mail/email/hand delivery/fax/sms of the availability of the Draft ESIA and ESMP for public comment and further I&AP engagements. The Draft ESIA and ESMP and/or summaries and accompanying documents will be placed at the following venues for a 30 day period: Zimbabwe Hwange Rural District Council Office District Administrators Office in Hwange Jambezi Clinic Chisuma Clinic Harare Black Crystal Office Provincial Administrators Office Victoria Falls Municipal Office Victoria Falls Environment Africa Office

Activity	Details
	<p>Zambia Livingstone City Council Livingstone District Office Kazungula District Council Kazungula District Office Lusaka Kaizen Consulting Office District Commissioners offices in Zimba, Kalomo and Choma District Council Offices in Zimba, Kalomo and Choma National Assembly Offices Zimba, Kalomo and Choma Chiefs Palaces (Sipatunyana, Simwatachela & Chikanta)</p> <p>Additional notification measures will include:</p> <ul style="list-style-type: none"> • Flyers and site notices for community meetings • Telephonic follow up for meeting attendance.
I&AP meetings	<p>The following I&AP engagements are proposed for feedback on the results of the EIA:</p> <ul style="list-style-type: none"> • Information sharing meeting in Victoria Falls; • Information sharing meeting in Livingstone; • Community meeting for Chief Shana’s villages; • Community meeting for Chief Mvutu’s villages; • Community meeting for Chief Hwange’s villages; • Community meeting for Chief Musokotwane villages; • Community meeting for Chief Mukuni villages; • Community meeting for Chief Sipatunyana chiefdom; • Community meeting for Chief Simwatchela chiefdom; • Community meeting for Chief Chikanta chiefdom.
Obtained comments from I&APs	<p>Comments, issues of concern and suggestions received from I&APs will be captured in the updated Comment and Response Report. Responses have been provided by EAP, Project engineers and ZRA.</p>
Preparation of the Final ESMP	<p>The Draft ESIA and ESMP will be modified on the basis of issues raised during the comments period. This will be submitted to the regulatory authorities to inform the environmental authorisation decision.</p>

Stakeholder engagement is a two way process. It is therefore important to ensure that there is a feedback mechanism to ensure stakeholders affected by or interested in the proposed Project can present their input (eg opinions, requests, suggestions and grievances) for consideration and, if required, seek redress. It should be noted that, even where not all feedback or grievances are deemed 'valid' or applicable to the context of the proposed Project, the feedback mechanism needs to function in a non-judgemental manner and record all feedback received.

In the case of this proposed Project, there is a need for both a grievance and feedback mechanism. The grievance mechanism is the responsibility of the proposed Project, and should be designed to identify and manage issues across the entire Project lifecycle. A grievance mechanism has been developed and stakeholders were informed of it during the Scoping Phase engagement meetings. The grievance mechanism has been included as an annex to the Scoping Report (see *Annex G*).

A.15.1 *MONITORING STAKEHOLDER ENGAGEMENT ACTIVITIES*

It is important to monitor the on-going stakeholder engagement process to ensure that consultation and disclosure efforts are effective, and in particular that stakeholders have been meaningfully consulted throughout the process.

There are two key ways in which the stakeholder engagement process will be monitored:

A.15.1.1 *Review of engagement activities in the field:*

During engagement with stakeholders the ESIA team will:

- Assess meetings using a feedback evaluation form or asking questions to participations, depending on the stakeholder group, to ensure that messages are being conveyed clearly.
- Conduct debriefing sessions with the engagement team while in the field. This assess whether the required outcomes of the stakeholder engagement process are being achieved, and provide the opportunity to amend the process where necessary.
- Use engagement tools developed through the ESIA engagement including:
 - stakeholder database;
 - issue Log or Issues and Response table; and
 - keep meeting records of all consultations.

Moreover the tool can be used to manage on-going Project issues, and for stakeholder identification and analysis processes.

Performance will be reviewed following the engagement sessions conducted in the field. In addition there will be opportunity for the ESIA engagement team to review and assess performance in between the engagement sessions depending on the level of feedback received from stakeholders during these periods.

Evaluation of performance will assess the extent to which the engagement activities and outputs meet those outlined in the SEP. In assessing performance the following will be considered:

- materials disseminated: types, frequency, and location;
- place and time of formal engagement events and level of participation including by specific stakeholder groups (eg women, youth, cultural leaders);
- number of comments received assessing the topic, type of stakeholder and details of feedback provided;
- numbers and type of stakeholders who come into contact with the Project team by mail, webpage and any other means of communication;
- meeting minutes, attendance registers and photographic evidence;
- comments received by government authorities, village leaders and other parties and passed to the Project;
- numbers and types of feedback and / or grievances and the nature and timing of their resolution; and
- the extent to which feedback and comments have been addressed and have led to corrective actions being implemented.

A.16.1.1 Review of Scoping Engagement

At the national, regional and community level, most stakeholder engagement meetings were well received. However, as previously discussed, a call for a rerun of the Livingstone Open Day was requested. At all of the Open Days, I&APs were invited to attend at any time during a three or four hour time period. The format employed allowed attendees to peruse the Project material, attend at their convenience and ask the Project team questions. At the Livingstone Open Day however, attendees were not comfortable with the approach and a formal presentation format with a formal Question and Answer session. In order to provide further details to the technical questions

that were posed during this Open Day, (which were unable to be given at the time due to the early stage at which the engineering studies were at), additional meetings were held in January 2015. These meetings were well received and were commended by attendees for being more informative.

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