## STAKEHOLDER ENGAGEMENT PLAN

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# Uzbekistan: "Electricity Sector Transformation and Resilient Transmission" Project (P171683)

Prepared by the Joint-Stock Company «National Electric Grid of the Republic of Uzbekistan» for the World Bank (WB).

This Stakeholder Engagement Plan is a document of the Receiver. The views expressed herein do not necessarily represent those of WB's Board of Directors, Management, or staff, and may be preliminary.

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## ACRONYMS AND ABBREVIATIONS

CLO COVID-19 CSO E&S EE EMRA EMS ESA ESIA ESIA ESMF ESMP ESS	Community Liaison Officer Coronavirus infection Civil Society Organizations Environment and Social Environmental Expertise Energy Market Regulatory Authority Energy Management System Environmental and Social Assessment Environment and Social Impact Assessment Environment and Social Management Framework Environment and Social Management Plan Environmental and Social Standards
ESTART	Electricity Sector Transformation and Resilient Transmission
GoU	Government of Uzbekistan
GRC	Grievance Resolution Committee
GM	Grievance Mechanism
LMP MES MIFT MoA	Labor Management Plan Magistral electrical networks Ministry of Investment and Foreign Trade Ministry of Agriculture
МоЕ	Ministry of Energy
MoF	Ministry of Finance
NEGU	National Electricity Grid of Uzbekistan
NGOs OHS OIPs	Non-governmental organizations Occupational Health Service Other Interested Parties
PAPs	Project-affected Parties
PIU	Project Implementation Unit
RF RPIU	Resettlement Framework Regional Project Implementation Unit
RTU SCADA SEE SEP TL	Remote Terminal Unit Supervisory Control And Data Acquisition State Environmental Expertise Stakeholder Engagement Plan Transmission Line

## 1. INTRODUCTION

#### 1.1. Project background

1. The World Bank is supporting the preparation of the Uzbekistan: Electricity Sector Transformation and Resilient Transmission (ESTART) Project in response to the Government of Uzbekistan's request to the World Bank's continued support to the energy sector, including policy dialogue, infrastructure strengthening, institutional development, financial and operational sustainability, corporate governance and market reforms.

2. The proposed project recognizes the importance of environmental and social issues and the same is being addressed through the Bank's new approach of Environmental and Social Framework and its ten Environmental and Social Standards (ESS). One of the Standards - ESS10 - relates to stakeholder engagement. This report details the stakeholders of the project and the project's arrangements to engage with them during the project preparation as well as during implementation. Before presenting the results of stakeholder engagement, the project development objective and components are presented in the following sections.

3. **Project Objective.** The Project development objective is to strengthen the performance of NEGU and improve the capacity and reliability of the power transmission system to integrate large scale renewable energy sources.

4. The Electricity Sector Transformation and Resilient Transmission Project of Uzbekistan will consist of the following components: (i) Digitalization of the electricity transmission sector; (ii) Power grid strengthening and renewable energy integration; (iii) NEGU institutional development and project implementation support; and (iv) Electricity market development.

- 5. Four components to achieve the development objective are as follows:
  - <u>CONPONENT 1: Digitalization of the electricity transmission sector.</u> The objectives of this component are to take advantage of modern digital technologies to support the enhanced monitoring, automation, and control of the power system in Uzbekistan. Digital technologies to be deployed under this component would comprise SCADA, EMS, and substation Remote Terminal Units (RTUs). The component will also support an upgrade of NEGU's digital telecommunication network to enable those systems to be fully functional. In addition, the intermittency of the solar and wind energy also requires additional sensitivity in management of operations with regards to efficient forecasting of supply and demand as well as faster response to voltage and frequency changes. Accordingly, this component better integration into the grid and management of large-scale variable renewable energy projects implemented through private sector participation.
  - <u>COMPONENT 2: Power grid strengthening and renewable energy integration.</u> This component will finance a portion of the NEGU priority investment program for 2021–2026, including upgrade and modernization of existing high-voltage substations and construction of new transmission substations and lines. This component will accordingly support: (a) modernization of 22 priority substations that were identified for rehabilitation across the country; (b) construction of 1 new substation: 500/220 kV "Koltsevaya" to release overloading on neighboring substations and to meet growing demand in the respective regions; (c) construction of 500 kV and 220 kV overhead transmission lines to connect the aforementioned substation to the national transmission network.
  - <u>COMPONENT 3: NEGU institutional development and project implementation support.</u> This component will support developing and improving the institutional capacity, financial substantiality and technical capabilities of NEGU to ensure it can effectively carry out its functions of reliable operation of the transmission system and electricity market in Uzbekistan. It will also support the preparation of feasibility studies, environmental and social assessments, preparation and implementation of priority investments, especially for integration of renewable energy resources.</u> The component will include the following 4 subcomponents: 3.1- Modernization of NEGU business process, 3.2- NEGU Financial Sustainability and Preparatory Work to Access Commercial Financing, 3.3- NEGU Institutional Capacity Building and Project Implementation Support, 3.4- Technical supervision consultancy.
  - <u>COMPONENT 4: Electricity Market Development.</u> This component will provide technical
    assistance for the design and implementation of the electricity sector's transition plan toward the
    establishment of a wholesale electricity market and will include preparation of secondary
    legislation, market rules, institutional capacity building as well as design and implementation of
    systems required for market operation and management. The specific activities will include: (i)

establishment of the Energy Market Regulatory Authority (EMRA); (ii) development of a Wholesale Electricity Market; (iii) establishment of a Central Buyer; (iv) establishment of a Balancing Market within NEGU; and (v) implementation support to Ministry of Energy and its Project Office.

### 1.2.SEP Purpose

6. The Government of Uzbekistan (GoU) recognizes that there are many stakeholders, both institutional and individual, in the energy sector and that their expectations and orientation as well as capacity to interface with the project vary. Such a diversified group of stakeholder necessitates systematic efforts to develop a Plan - Stakeholder Engagement Plan (SEP) - to identify all the different stakeholders and develop an approach for reaching each of these. To put it simply, the Stakeholder Engagement Plan provides an appropriate approach for consultations across all stakeholder groups and a plan for public disclosure of project information.

7. The SEP has the following objectives: to establish a systematic approach for identification of stakeholders and to build and maintain a constructive relationship with them, in particular project-affected parties; (ii) 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 performance; (iii) to promote and provide means of effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them, (iv) 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; and, (v) to provide project-affected parties with accessible and inclusive means to raise issues and grievance, and allow the project to respond to and manage such grievances

#### 1.3. Scope and Structure of the SEP

8. This document has 5 chapters. The first chapter serves as an Introduction. It provides a brief about the project and the context in which the SEP is being prepared. Chapter 2 lists the regulatory framework in Uzbekistan which provides the legal basis for SEP. Chapter 3 lays out the stakeholder identification and analysis as relevant to the Project. Chapter 4 presents project-related risks and impacts related to stakeholder engagement, includes the action plan for stakeholder engagement, presents details on the planned stakeholder engagement activities, implementation arrangements, and budget, the project GM is also presented in this Chapter 5. Monitoring, documentation, and reporting arrangements are presented in Chapter 5.

## 2. ADMINISTRATIVE, POLICY AND REGULATORY FRAMEWORK

#### 2.1. Relevant National Laws and Regulations

9. The key national legislation for consultations and stakeholder engagement is the regulations relating to access to information, any legal requirements related to public consultations plus existing channels for grievances.

10. **The Constitution of the Republic of Uzbekistan** (adopted on December 8, 1992) includes a chapter on Economic and Social rights of the citizens. According to it everyone is entitled to: "Have the right, both individually and collectively, to submit applications and proposals, and to lodge complaints with competent state bodies, institutions or public representatives. Applications, proposals and complaints shall be considered in the procedure and within the time-limit specified by law" (Chapter VIII, Article 35).

#### Environment, Community Health and Safety

11. The national ESA procedure is regulated by the Law "on Environmental Expertise "(2000), updated on 14.09.2017, and Cabinet of Ministers Resolution № 541 of 07.09.2020: "On Approval of the Regulation on State Environmental Expertise".

12. The Regulation includes information on the procedure for mandatory public discussions and hearings on draft environmental impact assessments for proposed activities belonging to Environmental Impact Categories I and II prior to the State Environmental Expertise.

13. **Public participation in ESA process.** The Constitution of the Republic of Uzbekistan (arts. 50.55) lays the foundation for the participation of citizens and public associations in environmental management. Law of the Republic of Uzbekistan of 09.12.1992. (updated on 18.04.2018) "On nature protection" in Articles 12-13 regulates the right of citizens to unite in public organizations for nature protection, to request and receive information about the state of the environment and measures taken for its protection, as well as the authority of NGOs established. Legislation in the field of ecology and environmental protection provides for public participation as a) an individual citizen or a group of citizens; b) through citizens' self-governance bodies and c) through non-governmental non-profit organizations.

14. Direct participation of non-commercial environmental protection organizations is envisaged in the course of EE of documentation for construction of new and reconstruction of existing facilities for management purposes. In particular, Article 27 of the Law of the Republic of Uzbekistan "On Nature Protection", as well as Article 23 of the Law of the Republic of Uzbekistan of 2018. "The SEE law enables NGOs and citizens to carry out public EE in any area of activity that needs to be justified by independent groups of specialists at the initiative of the NGOs themselves and at their own expense or on a voluntary basis. The public expertise may be carried out independently of the state ecological expertise. It is prohibited to hinder the implementation of public EE. It is established that the conclusion of the public EE is of a recommendatory nature.

15. In addition, during the SEE, the organization-customers of its implementation are obliged to publish an announcement of the environmental impact assessment and information of its results in the media, in cases where the authorized bodies include the object of construction in the list of important objects.

#### 2.2. Consultations in the process of Land Acquisition and Resettlement

16. Decree of the President of the Republic of Uzbekistan №-5491 (August 5, 2019)

17. The Decree "On Additional Measures to Unconditionally Guarantee the Right of Ownership of Citizens and Business Entities" governs the procedures, mechanism of making decisions on the seizure of land for state and public needs which is (i) allowed only after an open discussion with interested parties whose land is planned to be withdrawn, as well as assessing the benefits and costs;

18. On November 16, 2019, the Cabinet of Ministers approved the "Regulation on the procedure for seizure of land plots and providing compensation to the owners of real estate objects located on the seized land plot". This Regulation determines the procedure for the seizure of a land plot for the State and public needs.

#### 19. According to this resolution:

- both local municipalities (khokimiyats) and investors may initiate land seizure following the procedures provided in the regulations;
- if there is a need to withdraw the land plot, an open discussion is to be held with the participation
  of the khokimiyat representatives and investors and owners;

#### 2.3. World Bank Environmental and Social Standard on Stakeholder Engagement

20. The main Bank's ESS for Stakeholder Engagement is ESS10: Stakeholder Engagement and Information Disclosure. ESS10 recognizes the importance of open and transparent engagement between the Receiver and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.

21. ESS 10 applies to all projects supported by the Bank through Investment Project Financing. For the purpose of this ESS, "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).

#### 2.4. Requirements

22. The Bank standard on Stakeholder Engagement and Information Disclosure requires that the project implementing agency engages with stakeholders throughout the project life cycle, commencing such engagement as early as possible in the project development process and in a timeframe that enables meaningful consultations with stakeholders on project design. The nature, scope and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts. The project will engage in meaningful consultations with all stakeholders. It will provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, free of manipulation, interference, coercion, discrimination and intimidation.

23. The NEGU will maintain and disclose as part of the Environmental and Social Framework (ESMF) for the project as well as the other Environmental and Social instruments of the project (LMP, ESMPs, RF and Social Audit), a documented record of stakeholder engagement, 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 if it was not. This SEP is prepared taking into account these requirements.

## 3. STAKEHOLDER MAPPING, SEGMENTIZATION AND ANALYSIS

#### 3.1. Key stakeholder meetings and consultations

24. ESS10 classifies stakeholders in two broad categories: "Project-affected parties" and "Other Interested parties". The former includes "those likely to be affected by the project because of actual impacts or potential risks to their physical environment, health, security, cultural practices, well-being, or livelihoods. These stakeholders may include individuals or groups, including local communities". They are the individuals or households most likely to observe changes from environmental and social impacts of the project. Project affected parties are also described in the table below.

#### 3.2. Stakeholder identification: project-affected parties

25. One of the primary goals of the SEP is to identify stakeholders on which the project can have negative impact such as households or businesses who may be impacted by land reallocation, employees who may lose employment, etc. However, the project may influence the activities of various stakeholders in positive or negative ways. Thus, a list of key stakeholder groups can be identified as potentially affected parties. These should be engaged with throughout the life of the project and impacts on them should be monitored and mitigated. The following groups can be identified as potential project-affected stakeholders:

#### People affected by land acquisition

26. In the framework of the current project, a key category of PAPs is going to be people losing assets and/or private land and/or access to common resources due to project's land requirements. They are:

- Farmers/Dekhan farms affected by land reallocation on the local level (Tashkent and Syrdarya region);
- Farm workers who have lost their source of income on the local level (Tashkent and Syrdarya region);
- Farmers owning or using land in the TL's corridor or at the place of new substation construction will thus be a high-priority stakeholder group which will require active and regular engagement as well as the provision of accurate information, in particular around compensation and livelihood restoration schemes.

#### People residing in the project areas;

• Residents living in project regions and districts on the local level

27. In the framework of the current project, a second key category of PAPs will be people living along the transmission line route, the access tracks and in the vicinity of the proposed substations. These PAPs are likely to be affected by disturbances caused by the Project's heavy vehicles traffic, construction impacts, etc., but may also benefit from project-related employment opportunities.

28. A third category of important PAPs will be makhallas and settlement representatives. Each makhalla has a chairman, a makhalla representation building, where 4-6 people are employed (funded from the state budget); these are: chairman, assistant to the chairman, agricultural specialist, family specialist and etc.

- Representatives of makhallas and settlements on the local level;
- Issues of complex socio-economic and cultural development of the territory are resolved in makhallas Here they can effectively mitigate the consequences of conflicts, provide assistance to less protected segments of the population, and improve general conditions and quality of life.
- Disadvantaged / Vulnerable individuals or groups;

Disadvantaged / vulnerable individuals or groups are potentially disproportionally affected and less able to benefit from opportunities offered by the project due to specific difficulties to access and/or understand information about the project and its environmental and social impacts and mitigation strategies or getting their concerns voiced and registered;

 Additional disadvantaged / vulnerable individuals or groups in the project area include "those registered as poor with the local social services; women-headed households; elder-headed households (≥ pension age) without any other household member bringing in income; and households headed by disabled people";

- Women, women workers/ (local and national level);
- Internal interested parties with stakes in the project include NEGU Staff; Supervision Consultants; Contractors; Sub- contractors; service providers, suppliers and their workers;
- MoE and NEGU, MES (local and national level).

29. Table 1 below lays down description of PAPs, the issues they face and significance level of those issues for the project.

Name of	Description	Issues	Significance
stakeholder			level
Farmers/Dekhan farms affected by land reallocation and farm workers	Households of Owners, households of tenants, sub- tenants of land plots growing agricultural crops.	The lack of adequate infrastructure, including power supply for farms, remains one of the biggest obstacles to the development of activities. These farmers are expected to be the beneficiaries of the project. However, they may also be directly and indirectly affected, for example by land redistribution, which may make them less competitive with other farmers, losing part of their source of income.	High
Residents living in project regions and districts	Households of the project area	The lack of adequate infrastructure, including power supply for households, affects living standards, education and access, new technologies and the internet.	High
		People living along the transmission line route, access roads and in the vicinity of the proposed substations are likely to be affected by impacts caused by heavy vehicle traffic, noise, construction dust, etc., but may also benefit from project-related employment opportunities.	
Makhalla and settlement leaders	Chairs of makhalla committees, heads of settlements	During the project activities, the project may reach out to the local communities through these representatives, who will be an entry- point for the project in carrying out consultation and awareness-raising campaigns for those affected by the project.	Medium to High
Women	Women Workers Single mothers/Female headed	Unstable electricity supply affects women's use of their time in traditional social roles, and creates barriers for working women. Since housewives and female members of households usually have the majority of household and family responsibilities, they are the main consumers of electricity in households. Women cannot use household appliances, such as washing machines or electric cookers if the electricity supply is not reliable.	Medium to High
	households	With stable electricity, it will be easier for women to manage their time and divide it between bathing the children, doing the	

Table 1. De	escription of Project-affected parties

Name of stakeholder	Description	Issues	Significance level
		laundry, cooking and other household chores, and engaging in productive activities.	
		Women workers are doubly affected by unstable electricity supplies:	
		<ul> <li>They have to take care of their work duties as long as there is electricity.</li> </ul>	
		<ul> <li>At the same time, they have to take care of the needs of the household and family.</li> </ul>	
		In smaller towns and rural areas, there are problems related to inadequate lighting of public places, streets and bus stops, which pose safety risks and discomfort, especially for girls and young women.	
Vulnerable groups	Across all project regions-10 regions of the Republic of Uzbekistan, (Andijan, Fergana, Tashkent,	Disadvantaged / vulnerable individuals or groups potentially affected and less able to take advantage of opportunities offered by the project due to particular difficulties in accessing and/or understanding information and voicing their concerns about the project, its environmental and social impacts and mitigation strategies.	Medium to High
	Syrdarya, Samarkand, Bukhara, Navoi, Kashkadarya, Surkhandarya, Khorezm) and in Tashkent city.	Disadvantaged/vulnerable persons or groups in the project regions include "persons registered as poor with local social services; female-headed households; households headed by elderly people (≥ retirement age) without any other income-generating member of the household; and households headed by disabled persons".	
		The project will undertake stakeholder engagement activities to ensure that these groups are not disproportionately affected and have equal opportunity in partaking in project benefits. Such activities will include awareness and information campaigns including targeting women and mahalla-level meetings in which community members of all backgrounds can join, distributing information materials through multiple channels such as media, social media, and mahalla leaders, emphasizing the rules and principles of equity and non-discrimination for example in relation to employment opportunities in all training and consultation activities	

#### 3.3. Stakeholder identification: other interested parties

30. "Other interested parties" (OIPs) refers to individuals, groups, or organizations with an interest in the project, which may be because of the project location, its characteristics, its impacts, or matters related to public interest.

31. In identifying these groups special consideration should be given to stakeholders that may be disadvantaged or vulnerable.

32. "Other interested parties" involve individuals or organizations that have an interest in the project due to the project's impacts related to public interests. These parties may incude:

- Central Government (Ministry of Energy and Ministry of Investment and Foreign Trade);
- Local governments (khokimiyats, Council of farmers) in all ten project regions;
- Makhalla committees in all project areas;
- Civil society organizations at national and local level, such as environmental NGOs national level (Ecological movement of Uzbekistan, Ecosan, Suvchi - republican NGO, registered with the Ministry of Justice of Uzbekistan) and local level (Ecoforum - registration in the Department of Justice of the city of Tashkent, Zarafshan - registration with the Justice Department of Samarakand. "For environmentally friendly Fergana" - registration with the Department of Justice of Fergana.) and Civil Society Organizations (CSO) national level ("ISTIQBOLLI AVLOD" Republican Social and information center, "TADBIRKOR AYOL" Association of Business women of the Uzbekistan), local level ("MURUVWAT" Non-State non-profit organization, Karshi, Association of specialists and supporters of Labor protection, Namagan);
- Businesses Farms, manufacturing enterprises, equipment suppliers, construction and design companies both at the national and local level;
- Relevant Labor Unions- Republican Council of the Trade Union of Energy Workers;
- Republican Council of the Trade Union of Workers of State Institutions and Public Services, Trade Union of Entrepreneurship, Business and Service Workers of Uzbekistan;
- Media- both at national and local level (National TV and Radio Company of Uzbekistan- it includes 12 regional TV and radio companies, newspapers- Voice of Uzbekistan, Erkin Karakalpakstan Folk word Ovozi Samarkand and etc., news websites -gazeta.uz, spot. uz, uzdaily, podrobno.uz);
- Vulnerable groups of population.

Name of stakeholder	Level	Description	Key role in energy management	Significance level
Central Government (Ministry of Energy and Ministry of Investment and Foreign Trade (MIFT))	National	The MoE is responsible for creating a modern scheme for the organization of electricity generation, transportation, distribution and sales in order to attract private investment, in the development of companies involved in electricity generation and distribution. The Ministry of Investments and Foreign Trade is an agency responsible for implementation of the unified state	energy policy aimed at ensuring the country's energy security and	High

#### Table 2. Description of the other interested parties

Name of stakeholder	Level	Description	Key role in energy management	Significance level
		investment and foreign trade policies and international economic cooperation.	program reporting related to progress and use of Bank funds, and may bring any important issues to the attention of Bank management at a higher level.	
Local governments (khokimiyats, Council of farmers)	Regional	Khokimiyat is a local branch of executive power at district/town/city/re gional levels. It is headed by khokim – an appointed state official responsible for running khokimiyat.	Khokimiyats are key actors in the provision of local services such as electricity, water, maintenance of road network, issuance of relevant permits and tax benefits. Responsible for socio-economic development of territories and development of business entities.	High
Makhalla Committee	Local community	Makhalla is a neighborhood level self-governance body of people, which governs through assembly of people decisions. Makhalla is headed by an elected makhalla leader. The makhalla system in Uzbekistan plays a significant socioeconomic development role. The makhalla is a community-driven organization responsible for helping members of the community and other social work (conflict resolution, overall community upkeep, etc.)	Makhalla is a place to where ordinary people address their issues related to employment, social allowances, grievances and other issues. While fulfilling its functions, makhalla closely interacts with local khokimiyats, farmers and employees, as well as vulnerable groups of population. Makhallas will thus be representing their communities as such vis-à-vis the project	High
NGO's and Civil society organizations	Countrywide	Civil society in Uzbekistan can be in various forms – government- organized NGOs	Civil society in Uzbekistan has been primarily associated with mahallas, but today is broader than the traditional mahalla	Medium

Name of stakeholder	Level	Description	Key role in energy management	Significance level
		(Women's Committee and its local branches, Chamber of Commerce), professional associations (Tadbirkor Ayol – Business women association), and other NGOs, pursuing specific goals such as protecting women from domestic violence and others.	system. It covers businesses, grassroots initiatives, government initiatives, and political parties, among others.	
Relevant Labor Unions	Countrywide	Republican Council of the Trade Union of Energy Workers Republican Council of the Trade Union of Workers of State Institutions and Public Services, Trade Union of Entrepreneurship, Business and Service Workers of Uzbekistan.	Labor unions formally represent the power sector workers and provide linkage to the government.	Medium
Businesses	Regional	Affected Farms, equipment suppliers for modernization and construction, construction and design companies	Interest in procurement and supply chain, potential environmental and social impacts as well as community health and safety	High
Media	Countrywide	National TV and Radio Company of Uzbekistan- it includes 12 regional TV and radio companies, regional newspapers, websites - gazeta.uz, spot.uz,uzdaily,po drobno.uz). The country's mass media are broadcast and published in seven languages of the	Important source of information for the population in general and for local communities. Can be used to inform residents in the project area and the wider public about the Project implementation and planned activities	Medium

Name of stakeholder	Level	Description	Key role in energy management	Significance level
		nations and nationalities living in Uzbekistan.		

#### 3.4. Disadvantaged and Vulnerable Groups

33. In the context of SEP, the following groups may be particularly at risk or considered as disadvantaged and vulnerable: women, especially women engaged in seasonal agricultural work, female-headed households and women farmers who by virtue of the prevailing, limiting social norms and social networks may find it harder to obtain information about the benefits of the project and to voice any concerns or issues they may want to raise; poor households; households involving persons with disability or ethnic/language minority groups; as well as landless households may have similar constraints.

34. The project will undertake stakeholder engagement activities to ensure that these groups are not disproportionately affected and have equal opportunity in partaking in project consultations and benefits. Such activities will include awareness and information campaigns including targeting women and makhalla-level meetings which community members of all backgrounds can join, distributing information materials through multiple channels such as media, social media, and makhalla leaders, emphasizing the rules and principles of equity and non-discrimination for example in relation to employment opportunities in all training and consultation activities.

#### 3.4.1. Proposed strategy to incorporate the view of vulnerable groups

35. The project will take special measures to ensure that disadvantaged and vulnerable groups have equal opportunity to access information, provide feedback, or submit grievances. The Community Liaison Officer will help to ensure proactive outreach to all population groups. Training and awareness raising sessions will be conducted in villages rather than municipal centers to ensure higher participation of targeted population. Focus groups dedicated specifically to vulnerable groups may also be envisaged as appropriate.

36. Where ethnic and linguistic minorities are present, the project will ensure that information materials and consultations are accessible in the widely-used language of the local groups (Uzbek, Tajik and Turkmen languages). Where gender balanced consultations cannot be ensured, the project will undertake separate consultations with women in order to record and consider their feedback, questions, and concerns. Community liaison officers will identify, map, and ensure tailored outreach to women, disabled, socially or spatially isolated communities to ensure that they are aware and able to participate in project-related activities. This may include, for instance, tailored information meetings for small farmers, female farmers on benefitting from project-financed services (such as extension and advisory services), support to farmer cooperatives to link to export value chains, makhalla-level meetings on project benefits for farmers as well as the broader community, among others. Such meetings and consultations will highlight project commitments with regard to good environmental, social, labor/OHS, and stakeholder engagement practices, as well as explain the project Grievance Mechanism to raise awareness on the above among vulnerable groups and their communities.

## 4. STAKEHOLDER ENGAGEMENT PLAN

#### 4.1. Planned stakeholder engagement activities

37. The project interventions are countrywide; therefore, the project team needs to be strategic in designing the SEP. The project stakeholder engagement activities need to be streamed horizontally and vertically (Figure 1). The horizontal stream implies an engagement with stakeholders at national level. Activities at the horizontal level are assumed to improve awareness and coordination of efforts in the energy sector of the country. Whereas vertical stream implies the application of cascading mode which will allow the project to establish communications with project-affected parties. Furthermore, the cascading approach will be applicable for capacity building at each project engagement level (regional, district and makhalla). Stakeholder engagement activities need to provide specific stakeholder groups with relevant information and opportunities to voice their views on topics that matter to them. The table below presents the stakeholder engagement activities envisaged under the project.

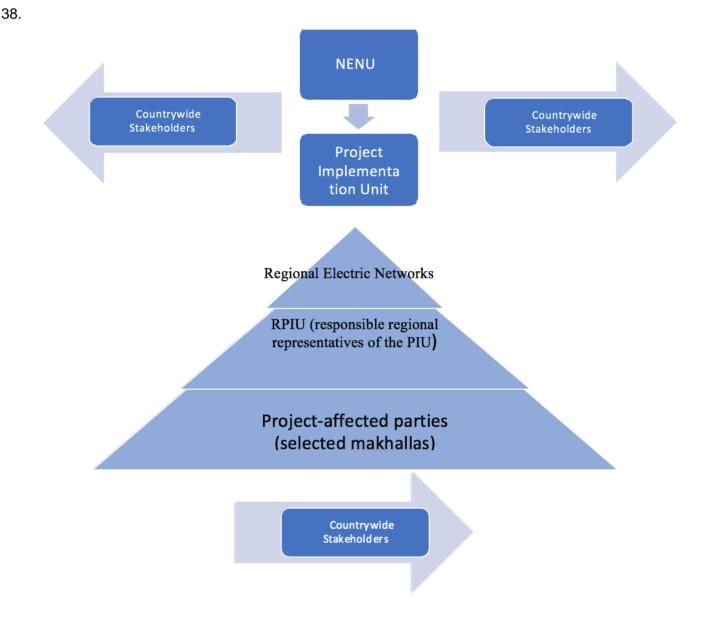


Figure 1. Schematic visualization of stakeholder engagement process

#### Figure1. Schematic visualization of stakeholder engagement process

39. Stakeholder engagement activities need to provide specific stakeholder groups with relevant information and opportunities to voice their views on topics that matter to them. The table below presents the stakeholder engagement activities envisaged under the project.

Project stage	Target stakeholders	Topic(s) of engagement	Location/frequency	Method(s) used	Responsibilities
RAP preparation and implementation; Detailed Design	Project Affected Parties - People affected by land acquisition; People residing in project area; Vulnerable households	Disclosure of the project documents (ESMF, RFP, SEP, LMP, ), Disclosure of the site specific ESMP's Consultations relating to E&S issues and Land acquisition process, ;Compensation rates and methodology; Resettlement and livelihood restoration options; Project scope and rationale; Project E&S principles; Grievance mechanism process	Project launch meetings in municipalities for disclosure (11 regions before project starts); Consultation during implementation and before work starts on those specific sites. Quarterly meetings in affected municipalities and villages; Survey of PAPs in affected villages; Communication through mass/social media (as needed); Information desks with brochures/posters in affected municipalities (continuous)	Public meetings, trainings/workshops, separate meetings specifically for women and vulnerable groups; Mass/Social Media Communication - Facebook, Telegram, other social media; email, etc. Disclosure of written information - Brochures, posters, flyers, website Information desks - In Khokimiyats and regional offices; Grievance mechanism PAP survey	NEGU (Environment & Social Team), PIU, RENU (Regional Electricity Networks)/RPIU (Regional PIUs); RAP consultant; Main Construction Departments of Khokimiyats (Regional and district level), NEGU grievance committee.

## Table 3: Planned stakeholder engagement activities by project phase

Project stage	Target stakeholders	Topic(s) of engagement	Location/frequency	Method(s) used	Responsibilities
	Other Interested Parties (External) State Research and Design Institute "UzDavYerLoyiha"; Municipalities (including chairman of makhallas and representatives in villages)	Land acquisition process; Registration of land plots; Resettlement and livelihood restoration options; Project scope, rationale and E&Sprinciples Grievance mechanism process	Quarterly	Face-to-face meetings; in case COVID-19 continues, reach stakeholders through telephone, telegram, what's up and conduct meaningful consultations virtually. Joint public/community meetings withPAPs	NEGU (Environment & Social Team), PIU, RENU (Regional Electricity Networks)/RPIU (Regional PIUs); RAP consultant; NEGU grievance committee.
	Other Interested Parties (External) Press and media; NGOs; Businesses and business organizations; Workers' organizations; National Government Ministries; Local Government Departments; General public , jobseekers	Disclosure of the project documents (ESMF, RFP, SEP, LMP), consultations relating to E&S issues. Land acquisition process; Grievance mechanism process;	Quarterly meetings in affected municipalities and villages; Communication through mass/social media (as needed); Information desks with brochures/posters in affected municipalities (continuous)	Publicmeetings, trainings/workshops, separatemeetings specifically for women and vulnerable;Mass/SocialMedia CommunicationCommunication- Facebook, Telegram;Disclosureof written informationDisclosureof written informationInformation- Brochures, posters, flyers, website Information desks - In Khokimiyats and regional offices;Grievancemechanism Project media tours	NEGU (Environment & Social Team), PIU, RENU (Regional Electricity Networks)/RPIU (Regional PIUs); RAP consultant; NEGU grievance committee.

Project stage	Target stakeholders	Topic(s) of engagement	Location/frequency	Method(s) used	Responsibilities
	Other Interested Parties (External)OtherGovernment Departments from which permissions/clearances are 	Project information - scope and rationale and E&S principles; Coordination activities; Land acquisition process; Grievance mechanism process	As needed	Face-to-face meetings; VCC, Invitations to public/communitymeetings	NEGU (E&S team, CLOs,land acquisition consultant)
	<b>Project Affected Parties -</b> People affected by land acquisition; People residing in project area; Vulnerable households	Land acquisition process (land registration; compensation rates and methodology; livelihood restoration) Grievance mechanism process; Health and safety impacts (EMF, Construction-related safety measures); Employment opportunities; Environmental concerns; GBV awareness-raising	Quarterly meetings in all affected regions and villages with ongoing construction; Communication through mass/social media (as needed); Information desks with brochures/posters in affected municipalities (continuous)	Public meetings, trainings/workshops, separate meetings specifically for women and vulnerable; individual outreach to PAPs Mass/Social Media Communication - Facebook, Telegram,other social media, emails, etc.Disclosure of written information – ESMP's, Brochures, posters, flyers, website Information desks - In Khokimiats and makhallas Grievance mechanism Citizen/PAP survey - Upon completion of resettlement and/or construction	NEGU (E&S team, CLOs,land acquisition consultant); Supervision and RAP consultants; Contractor/sub- contractors; NGOs/trainers; Municipal grievance committee

Project stage	Target stakeholders	Topic(s) of engagement	Location/frequency	Method(s) used	Responsibilities
	Other Interested Parties (External) State Research and Design Institute "UzDavYerLoyiha"; Municipalities (including chairman of makhallas and representatives in villages)	Land acquisition process; Registration of land plots; Resettlement and livelihood restoration options; Project scope, rationale and E&Sprinciples Grievance mechanism process	Quarterly	Face-to-face meetings; Joint public/community meetings withPAPs	NEGU (E&S team, CLOs,land acquisition consultant); Supervision and RAP consultants; Contractor/sub- contractors;
	Other Interested Parties (External) Press and media; NGOs; Businesses and business organizations; Workers' organizations; National Government Ministries; Local Government Departments;	Project information - scope and rationale and E&S principles; Coordination activities; Land acquisition process; Health and safety impacts; Employment opportunities; Environmental concerns; Grievance mechanism process	Quarterly meetings in all affected municipalities with ongoing construction Communication through mass/social media (as needed); Information desks with brochures/posters in affected municipalities (continuous)	Public meetings, trainings/workshops; Mass/Social Media Communication - Facebook, Telegram, other social media, emails, etc.ESMP's, Brochures, posters, flyers, website Information desks - In Khokimiats and makhallas Grievance mechanism; Project tours for media, localrepresentatives	NEGU (E&S team, CLOs,land acquisition department)

Project stage	Target stakeholders	Topic(s) of engagement	Location/frequency	Method(s) used	Responsibilities
Post-construction and Operation phase(within life of the Project and defect liability period)	<b>Project Affected Parties -</b> People affected by land acquisition; People residing in project area; Vulnerable households	Satisfaction with engagement activities and GM; Grievance mechanism process; Electro-magnetic fields; Community health and safety measures during TL and substation operation; Accessing resettlement compensation and completing land transfer (for PAPs who have not yet received it, if any)	Public meetings, trainings/workshops, individual outreach to PAPs Mass/Social Media Communication - Facebook, Telegram; Grievance mechanism	Meetings in affected municipalities and villages (six-monthly); Survey of citizens/PAPs in affected villages; Communication through mass/social media (as needed); Information desks with brochures/posters in affected municipalities (continuous)	NEGU (E&S team, CLOs,land acquisition specialists)
	Other Interested Parties (External) Press and media; NGOs; Businesses and business organizations; Workers' organizations; National Government Ministries; Local Government Departments;	Grievance mechanism process; Electro-magnetic fields; Community health and safety measures during TL and substation operation;	Publicmeetings, trainings/workshops;Mass/SocialMediaCommunication - Facebook, Telegram,other social media, emails, etc.Disclosureof written information - Brochures, posters, flyers, public relations kits, website;Informationdesks - In Municipalities;Grievancemechanism; Project tours for media, local representatives	Meetings in affected municipalities (six- monthly); Communication through mass/social media (as needed); Information desks with brochures/posters in affected municipalities (continuous)	NEGU (E&S team, CLOs,land acquisition department)

#### 4.2. Detail on engagement methods to be used

40. Due to possible travel and public assembly restrictions as a result of COVID-19, stakeholders will primarily be informed about the on-going stakeholder engagement process via virtual methods and consultations:

- Phone calls and email Suitable to engage interest-based stakeholders and to notify them of the engagement and disclosure mechanisms.
- Posters or Notices Signboards and Illustrative posters (info graphics) will be placed at the Project entrance gate, including direct access to the grievance mechanism and;
- Social Media This may include use of messaging platforms such as Telegram, Zoom etc. to communicate general information about the Project.

Data privacy must be ensured and protected if a stakeholder database is established.

Following the lifting of travel and public assembly restrictions, the following methods in addition to those stated above will be used to inform stakeholders about the on-going stakeholder engagement process during construction and operations of the Project:

#### 4.2.1. Public/community consultations

41. At the start of the project, NEGU will organize project public consultations for community of each of the 10 regions for the general project overview and disclosure of the project documents (ESMF, RFP, SEP, LMP, ESMPs) via video conference call. From then on, meetings in each of the 10 regions will also be organized on a constant basis (virtually or by region meetings, depends on Covid-19 situation) to provide information about site-specific ESMPs & RAPs, land acquisition process, compensation rates and methodology, GM and etc.

#### 4.2.2. Mass/social media communication

42. A social media expert (from NEGU's Public Relations Department or an external consultant) will be engaged on the Project in order to post information on documents disclosure, GM, project progress on the NEGU website , and to communicate with the local population via social media campaigns or tools like Telegram throughout the project's lifecycle. Social media channels will be used as much as possible to disseminate information as rates of social media use (especially Facebook, What's up and Telegram) appear to be high across users of different age and background in project affected communities.

#### 4.2.3. Communication materials

43. Written information will be disclosed to the public via a variety of communication materials including brochures, flyers, posters, etc. A public relations kit will be designed specifically and distributed both in print and online form. NEGU will also update its website regularly (at least on a quarterly basis) with key project updates and reports on the project's environmental and social performance both in English, Russian and Uzbek. The website will also provide information about the grievance mechanism for the project.

#### 4.2.4. Project tours for media, local representatives

44. At appropriate points during the construction phase, site visits or demonstration tours will be organized for selected stakeholders from media organizations or local government. On average, it is planned that 1 such tour will be planned per year.

#### 4.2.5. Information Desks

45. Information Desks in each makhalla/settlement municipality will provide local residents with information on stakeholder engagement activities, construction updates, contact details of the NEGU Community Liaison Officer etc. Specialists in the affected municipalities will help regional NEGU representative set up these information desks, either in their offices or other easily accessible places where they can meet and share information about the project with PAPs and other stakeholders. Brochures and fliers on various project related social and environmental issues will be made available at these information desks.

#### 4.2.6. Trainings, workshops

46. Finally, trainings on a variety of social and environmental issues will be provided to NEGU and contractor staff and possibly relevant government or non-government service providers. Issues covered will include a sensitization to gender-based violence, social and environment risks.

#### 4.3. Information disclosure

47. The current NEGU website (http://www.uzbekistonmet.uz/) is being used to disclose project documents, including those on environmental and social performance in Uzbek, Russian and English. The whole package of ESMF instruments including ESMP, SEP, LMP were disclosed on the NEGU website on March 31st, 2021 and consulted on April 7, 2021 with stakeholders (please refer to ESMF's Annex No12 for minutes of Public consultations). Project updates (including news on construction activities and relevant environmental and social data) will also be posted on the homepage of NEGU's website. An easy-to-understand guide to the terminology used in the environmental and social reports or documents will also be provided on the website. All information brochures/fliers will be posted on the website. Details about the Project Grievance Resolution Mechanism will be posted on the website. An electronic grievance submission form will also be made available on NEGU's website. Contact details of the Community Liaison Team and regional departments and all Community Liaison Officers at the Municipality level will also be made available on the website. NEGU will update and maintain the website regularly (at least once a quarterly basis). Further, NEGU will create a dedicated project Facebook page and a Telegram group for PAPs and other stakeholders.

## 5. GRIEVANCE MECHANISM

48. In compliance with the World Bank's ESS10 requirement, a specific Grievance Mechanism (GM) will be set-up for the project. Dedicated communication materials (GM pamphlets, posters) will be created to help local residents familiarize themselves with the grievance redress channels and procedures. A GM guidebook/manual will also be developed and suggestion boxes installed in each affected settlement/village. In order to capture and track grievances received under the project, a dedicated GM Management Information System/database is planned. For GM committees at the municipal level, alternative entry point for complaints will be composed of specialists from khokimiyats and makhallas due to their obligations defined by national legislation. The specialists will benefit from training on how to receive, respond to, address and close grievances in line with best international practices. Internal GM training will also take place for NEGU and contractor staff. NEGU's website will include clear information on how feedback, questions, comments, concerns and grievances can be submitted by any stakeholder and will include the possibility to submit grievances electronically. It will also provide information on the way the GM committee works, both in terms of process and deadlines.

49. PAPs will be fully informed of their rights and of the procedures for addressing complaints whether verbally or in writing during consultation, survey, training and time of compensation. The grievance mechanism shall not impede access to the country's judicial or administrative remedies. Affected persons can approach a court of law at any time and independent of the project level grievance redress process.

50. Along with the WB requirements on development and approval of Grievance Mechanism by implementation of investment projects, grievance redress procedure in Uzbekistan is also regulated by the national legislation of Republic of Uzbekistan, in particular by the law "On Citizens' Applications" and the "Law on the order of submission of appeals of physical and legal entities" (№ ZRU-378, 03 December 2014). According to the "Law on the order of submission of appeals of physical and legal entities" the application or complaint shall be considered within fifteen days from the date of receipt in the state authority, which is obliged to resolve the issue on the merits, as well as require additional study and (or) check, a request for additional documents - up to one month. The submission procedure for grievances and citizens' applications has been discussed during the public consultations in the project districts and was also agreed with PIU representatives.

#### 5.1. Existing Grievance Mechanism in Uzbekistan

- 51. Any citizen of Uzbekistan has several channels to submit his or her complaints.
  - > On village (makhalla) level):
    - Physical visit to Makhalla Citizens' Assembly Office to meet with Chair;
    - Call to President's Virtual reception (tel number is 1000 or 0-800-210-00-00) or send message toPresident's Virtual reception online (<u>www.pm.gov.uz</u>);
    - Call to hotlines established at each district or regional Khokimiyat;
    - Send written complaint (letter) to district/regional Khokim/ line Ministry/President;
    - Attend meetings with district/regional Heads of Sectors on integrated socio-economic development of regions (4 sectors established in each district);
    - Attend meetings with leadership of line ministries and agencies that have to regularly meet withcitizens in rural areas.
    - Response to complainant sent by Makhalla Chair no more than 15 days after the complaint.

52. If a citizen is not satisfied with reply provided by Makhalla Chair, or s/he has received incomplete response, the citizen can apply to upper level, specifically to District Khokimiyat.

#### > District level:

- Physical visit to Khokimiyat on citizens reception days to meet with district Khokim or deputy Khokims
- Call to hotlines established in each Khokimiyat
- Physical visit to Public reception offices under President's Virtual reception and established in each district nationwide

- Call to President's Virtual reception (tel. number is 1000 or 0-800-210-00-00) or send message to President's Virtual reception online (www.pm.gov.uz)
- Send written complaint (letter) to district Khokim/ line Ministry/President
- Attend meetings with district/regional Heads of Sectors on integrated socio-economic development of regions (4 sectors established in each district)
- Attend meetings with leadership of line ministries and agencies that have to regularly meet with citizens in rural areas.

53. Response to complainant sent by senior official of the district Khokimiyat no more than 15 days after the complaint was received] *If a citizen is not satisfied with reply provided on district level, or he has received incomplete response, citizen can apply to upper level, specifically to Regional Khokimiyat.* 

#### Regional level:

- Physical visit to Khokimiyat on citizens reception days to meet with regional Khokim or deputy Khokims
- Call to hotlines established in each Khokimiyat
- Physical visit to Public reception offices under President's Virtual reception and established in each regional center nation wide
- Call to President's Virtual reception (tel. number is 1000 or 0-800-210-00-00) or send message to President's Virtual reception online (www.pm.gov.uz )
- Send written complaint (letter) to regional Khokim/ line Ministry/President
- Attend meetings with regional Heads of Sectors on integrated socio-economic development of regions (4 sectors established in each district)
- Attend meetings with leadership of line ministries and agencies that have to regularly meet with citizens in rural areas.
- Response to complainant sent by senior official of the regional Khokimiyat no more than 15 days after the complaint was received.

While the project will establish a GM, it is possible that some complaints about the project may be received via the above existing channels for complaints.

#### 5.2. Project Grievance Mechanism

54. The proposed GM for the current project takes into account national legislation, project site specificities and consultation with NES PIU staff. The PAPs will have the right to submit complaints and queries on any aspect of the project, especially environmental and social issues, and the PIU (NES) will be responsible for establishing the GM once the project comes into force and will act as an oversight body of the GM to ensure that the GM actually works and is able to effectively address the environmental and social concerns of the PAPs. The proposed GM has been discussed with the PIU representatives and will be further presented and discussed with the PAPs during project implementation.

#### 5.3. Records and Documentation

55. Most of grievances on land acquisition and resettlement issues are redressed at 1-2 levels (see Figure 2 below). All grievances received from the population will be registered in a logbook<sup>1</sup>, which should be available at all levels: at the site office of Contractor, makhalla committee of project area district. Besides, there are also logbooks in project district khokimiyat where the grievances from the population are usually registered. All the grievances submitted through the various channels and any measures undertaken to address such grievances should be submitted to the representatives of PIU on the project site for the accounting all grievances. Thereafter the information on all received grievances will be collected and sent to the PIU NEGU.

#### 5.4. Proposed Grievance Mechanism

<sup>&</sup>lt;sup>1</sup> The logbook should sequentially numbered and pages have been bound securely.

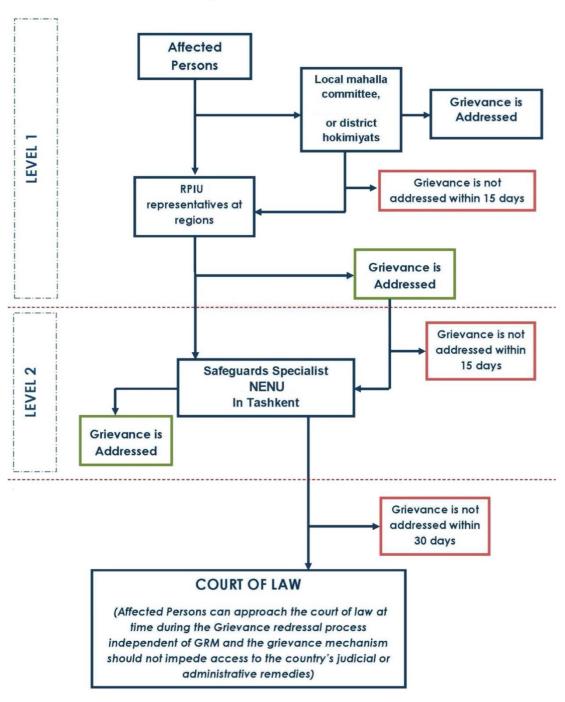


Figure 2: Grievance Redress Mechanism

56. A two-level GM is proposed for this project, as presented in Table 4.

#### Table 4: Grievance Mechanism and its Levels

Level/Steps	Process
Level 1-	The aggrieved person applies directly to local Makhalla committee or working office of Contractor or Site Engineer of NES <sup>2</sup> . PIU Safeguards specialist will be in charge of collecting/receiving and registration complaints from makhalla committee, Contractor offices, site engineer(s) and from khokimiyat on a weekly

<sup>&</sup>lt;sup>2</sup> During the consultations on GM issues the representatives of NES ensured that it is the common practice for the organization to have a supervising engineer in each construction site.

Level/Steps	Process
Site engineer of NEGU, the working office of Contractor, makhalla committee, and district khokimiyats	base. The alternative entry point for complaints will also be khokimiyats due to their obligations defined by national legislation. After registration of received complaints, the PIU Social Development specialist will review the nature/specificity of the complaint and will forward it to the relevant party for resolving. In parallel, the PIU Resettlement specialist will inform the PIU in Tashkent about the received complaint and further actions undertaken for its resolution. Depending on the nature of a complaint, it may go to the Contractor, Land Cadaster bodies, Makhalla committees, district branches of Nature Protection Committee or newly created "Centralized Fund for the Compensation of Losses of people and legal entities after land acquisition for the needs of the state and society." At this level, the complaint should be resolved in two weeks.
Level 2 – PIU in Tashkent	In case the grievance was not redressed at the first stage or the applicant is not satisfied with the decision made/solution, s/he can submit the grievance directly to the PIU secretariat in Tashkent. By established procedure, the secretariat of the PIU will review the complaint and will forward complaints to the respective department to a made decision on its redress. In case the grievance is not related directly to the project, any further instance will be recommended to the applicant where s/he should apply for the decision making.
and a Grievance Redressal Committee headed by the PIU/NEGU	If the complaint requires more time and resources for resolution, the PIU may establish a Grievance Redressal Committee with following members such as representatives from secretariat PIU and NEGU high-level management staff, district Khokimiyat, PAP's makhalla chairman/representative cadastral and Nature protect departments etc. All complaints will be resolved in 15 days, and in case additional details are required, a maximum of 30 days will be used to resolve and close the complaint with prior notification of complainant.

57. If the issue was not solved or the applicant is dissatisfied with the decision/resolution, an aggrieved person at any stage of the GM process may submit the grievance to Economic Court (Court of Law) where a decision will be made by relevant national legislation.

58. The project GM deals with the issues of land and other assets acquisition (e.g. amount of compensation, suitability of residual land plots, loss of access roads, etc.) as well as the losses and damages caused by construction works, and any other direct or indirect environmental and social impacts. Therefore, the Grievance Mechanism has to be in place by the time NEGU starts preparation of RAP, ESIA/ESMPs and shall function until the completion of all construction activities and beyond until the defect liability period ends. PAPs and other potential complainants should be fully informed of the GM, its functions, procedures, timelines and contact persons both verbally and through booklets and information brochures during consultations meetings and other stakeholder engagement activities.

59. Typical grievances for transmission line substations constriction/modernization projects include those related to:

- Land acquisition and physical displacement;
- Construction damages;
- Environmental impacts; and
- Direct and/or indirect social impacts.

#### 5.5. Receipt of Grievances

60. Anyone from the affected communities or anyone believing they are affected by the Project can submit a grievance:

- By completing a written grievance registration form that will be available (i) in the makhallas of the local municipalities and in the affected villages and by local CLOs (i.e. those within proximity of construction activities); (ii) at the entrance of each construction site; (iii) on the Project's website; and (iv) at the Project's PIU in Tashkent, or using GM hotline. An example of a grievance registration form is provided in Annex 1. The Project's CLO's at the district will review the received grievances and record them in a Grievance Register.
- By contacting the NEGU Community Liaison Officer at the regional level, NEGU PIU at the national level, or the environmental coordinator and community relationships managers of the Contractor, either by phone, or in person. Grievances received verbally will be registered by the Community Liaison Officer on the grievance registration form and logged into the Grievance Registe/database. A copy of the logged grievance will be forwarded to the complainant, giving them the opportunity to alert NES/PIU if the grievance has not been noted down correctly.

61. The Community Liaison Specialist will explain the possibilities and ways to raise a grievance to local communities or NEGU PIU manager during meetings organized in each affected area at the time of disclosure. The GM procedures will be disclosed through the Project's website and will also be advertised on billboards/posters in each community and at the construction territory. Information material on the GM will also be made available at the information desks in the Khokimiats.

62. All grievances will be registered, reported and tracked by NEGU/PIU in the Grievance Register/database by a Grievance Coordinator who is responsible for receiving, logging, referring and following up on grievances. Once a grievance is logged, the related event(s) that caused the grievance will be tracked to prevent similar grievances. The status number and trends of grievances will be discussed between NEGU/PIU, the Contractor and the Implementation Consultant during E&S meetings in the construction phase.

## 5.6. Closure of Grievances

63. A grievance will be considered "resolved" or "closed" when a resolution satisfactory to both parties has been reached, and after corrective measures has been successfully implemented. When a proposed solution is agreed between the Project and the complainant, the time needed to implement it will depend on the nature of the solution. Once the solution is being implemented or is implemented to the satisfaction of the complainant, a complaint close-out form will be signed by both parties stating that the complainant considers that his/her grievance is closed. The grievance will then be archived in the Project Grievance database.

64. In certain situations, however, the Project may "close" a grievance even if the complainant is not satisfied with the outcome. This could be the case, for example, if the complainant is unable to substantiate a grievance, or it is deemed by the Project or appropriate government authorities to be speculative or fraudulent. In such situations, the Project's efforts to investigate the grievance and to arrive at a conclusion will be well documented and the complainant advised of the situation. NEGU will not dismiss grievances based on a cursory review and close them unless the complainant has been notified and had the opportunity to provide supplementary information or evidence.

#### 5.7. Grievance Records and Documentation

65. NEGU/PIU will nominate a GM Coordinator to manage a grievance database to keep a record of all grievances received. The database will contain the name of the individual or organization lodging a grievance; the date and nature of the grievance; any follow-up actions taken; the solutions and corrective actions implemented by the Contractor or other relevant party; the final result; and how and when this decision was communicated to the complainant. Supervisor and construction companies in their monthly monitoring reports shall provide information on their grievance management. Grievance monitoring and reporting will be included in NEGU's **six-monthly and annual public** reports.

## 5.8. NEGU Contact Information

66. The point of contact regarding grievance management and the local stakeholder engagement activities is the PIU E&S specialist:

Description	Contact details		
Company:	National Electrical Gridsof Uzbekistan		
То:	PIU E&S specialist		
Address:	100084, Osiyo 42, Yunusabad district, Tashkent, Uzbekistan		
E-mail:	uzbekiston_met@exat.uz		
Website:	http://uzbekistonmet.uz/		
Telephone:	+998 71 -236-6864		

**67.** Information on the Project and future stakeholder engagement programs will available on the Project's website and will be posted on information boards in affected regions in the Project area. Information can also be obtained from the Community Liaison Officers.

## 5.9. Roles and Responsibilities

68. NEGU will mobilize human and material resources to implement the SEP and manage the Grievance Resolution Mechanism (GM). SEP activities will be led by PIU with relevant responsibilities being taken on by the Public Relations Department. A core Community Liaison Team, comprised of staff from this department and PIU will take responsibility for and lead all aspects of the stakeholder engagement. The team will be supported by part- time and full-time consultants, as needed. In addition to this staff, Regional NEGU representatives will be recruited in each of the ten Project-Affected regions. The PIU Manager will be in charge overall of the grievance resolution mechanism. Furthermore, a number of land acquisition and resettlement experts will be engaged in case of any RAP(s) need to be prepared and implemented. Environmental and Social experts will be responsible for the environmental and social impact assessment and performance of the Project. Specific named personnel will be nominated for these roles before the project starts.

69. The material resources that NEGU will mobilize are – (i) a Project specific area on the NEGU website; (ii) an electronic grievance database; (iii) a stakeholder engagement register; (iv) a Facebook page and a Telegram group for the project; (v) printed documents (manuals, brochures, posters, etc.) that will be used, based on the needs of the SEP.

70. A core Community Liaison Team comprised of NEGU staff from the Public Relations Department and PIU will take responsibility for and lead all aspects of the stakeholder engagement. However, to implement the various activities envisaged in the SEP, the Community Liaison Team will need to closely coordinate with other key stakeholders – notably the Environmental and Social Specialists and other national and local government departments/agencies, NEGU departments, the Supervision and ESIA/ESMP/RAP consultants, the contractor along with sub-contractors, affected municipalities and PAPs. The roles and responsibilities of these actors/stakeholders are summarized in the Table below.

#### Table 5. Responsibilities of key actors/stakeholders in SEP Implementation

Actor/Stakeholder	Responsibilities		
NEGU, PIU (Community Liaison	Planning and implementation of the SEP;		
Team, Regional representative)	Leading stakeholder engagement activities;		
	Management and resolution of grievances;		
	Coordination/supervision of contractors on SEP activities;		
	Supervision/monitoring of RAP and Implementation Consultants;		
	Monitoring of and reporting on environmental and social		

Actor/Stakeholder	Responsibilities
	performance to NEGU management and the World Bank
Implementation and Supervision Consultants	<ul> <li>Supervision/monitoring of Contractor;</li> <li>Management of engagement activities during the construction phase</li> </ul>
Contractors/sub-contractors	<ul> <li>Inform NEGU/PIU of any issues related to their engagement withstakeholders;</li> <li>Transmit and resolve complaints caused by the construction activities in close collaboration with and as directed by PIU/Implementation Consultant and by participating in the local Grievance Resolution Committee;</li> <li>Prepare, disclose and implement various plans (e.g. C-ESMP, LaborManagement Plan, etc.);</li> <li>Inform local communities of any environmental monitoring e.g. noise, vibration, water quality monitoring;</li> <li>Announce important construction activities (such as road</li> </ul>
National       Government         Departments –       Ministry of Energy         Ministry of Investment and       Foreign Trade         State Committee for Ecology and Environmental Protection         Ministry of Agriculture         Ministry of Water Resources         State Research and Design Institute "UzDavYerLoyiha	<ul> <li>closures and available alternatives);</li> <li>Monitor Project compliance with Uzbek legislation;</li> <li>Participate in the implementation of some activities in the ESMP/RF and SEP;</li> <li>Participate in the implementation of the Land Acquisition process;</li> <li>Make available and engage with the public on the Scoping and EIA Reports.</li> </ul>
Affected municipalities and local communities	<ul> <li>Transfer all complaints to the NEGU GM Coordinator;</li> <li>Participate in the local Grievance Resolution Committee (see Grievance Mechanism);</li> <li>Make available the disclosed E&amp;S information and documents;</li> </ul>
Project affected people	<ul> <li>Invited to engage and ask questions about the Project at Project Meetings and through discussions with Community LiaisonOfficers where it is of interest or of relevance to them;</li> <li>Lodge their grievances using the Grievance Resolution Mechanismdefined in the SEP;</li> </ul>

Actor/Stakeholder	Responsibilities			
	Help the Project to define mitigation measures			
Other Project developers	<ul> <li>Engage with NEGU/PIU regarding project design;</li> <li>Share E&amp;S information and documentation with NEGU/PIU to enable the assessment of cumulative impacts</li> </ul>			

### 5.10. Estimated Budget

71. A tentative budget for implementing the stakeholder engagement plan over five years is reflected in Table 6. The stakeholder engagement activities featured above cover a variety of issues, which may be part of other project documents, so it is possible that they have also been budgeted in other plans. However, the table below summarizes all the stakeholder engagement activities in one place for better coordination and monitoring. NEGU 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.

## Table 6. Stakeholder Engagement Plan – Estimated Budget (5 years)

Stakeholder Engagement Activities	Quantity	Unit Cost (USD)	Times/Years	Total Cost (USD)	Remarks
Information Desk (one in each municipality)	10	\$ 200	1	\$ 2,000	
Project Launch Meetings (in 11 Municipalities)	11	\$ 300	1	\$ 3 300	Printed materials
Community Meetings/Sensitization (with 22 substation and Koltcevaya, quarterly)	92	\$ 200	5	\$ 92,000	
Municipality Meetings/Sensitization (in 10 Regions and Tashkent, quarterly)	44	\$ 200	5	\$ 44,000	
Communications materials (pamphlets, posters, PR kits- including design)				\$ 30,000	10 different topics – GBV/SEA/SH, EMF, community health/safety, environment, land acquisition, contractor damages, etc.
Project tours for media, local representatives (1 per year)	1	\$ 3,000	5	\$ 15,000	20 representatives per tour
Engaging service providers, govt or non-govt (e.g. GBV, env issues)		\$ 10,000	5	\$ 50,000	
Training on environment/social issues for NEGU and contractor/consultant staff	1	\$ 3,000	5	\$ 15,000	
GBV training for relevant NEGU and contractor/consultant staff	1	\$ 3000	5	\$ 15,000	

Contingency (10%)				\$ 26,630	
Sub-Total - Stakeholder Engagement				\$ 292,930	
Grievance Redress Activities	Quantity	Unit Cost (USD)	Times/Years	Total Cost (USD)	Remarks
Communications materials (GM pamphlets, posters )	5000	\$ 0.5	3	\$ 7,500	
GM guidebook/manual	500	\$ 10	1	\$ 5,000	
Suggestion boxes (in each substation/makhalla)	30	\$ 50	1	\$ 1,500	
GM Database	1	\$10,000	1	\$ 10,000	
GM Hotline (1 operator for region)	11	\$ 500	5	\$ 27,500	
Training of GM committees at municipality-level	11	\$ 500	5	\$ 27,500	One training/year in each municipality
Internal GM Training for NEGU and contractor staff	1	\$ 500	5	\$ 2,500	One training for NES staff per year
Contingency (10%)				\$ 8,150	
Sub-Total - Grievance Redress				\$ 89,650	
Total				\$ 382,580	

## 6. MONITORING AND REPORTING

## 6.1. Monitoring reports during construction

72. Monitoring reports documenting the environmental and social performance of the Project during construction will be prepared by the Community Liaison Team for submission to NEGU management and to the World Bank. These reports will include a section regarding stakeholder engagement and grievance management. Table 7 proposes a comprehensive set of indicators related to SEP performance at this stage.

#### Table 7. Monitoring reports during construction stage

Engagement with PAPs
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Number and location of formal meetings with PAPs

Number and location of informal meetings with PAPs

Number and location of community awareness raising or training meetings

Number of men and women that attended each of the meetings above

Number, location, attendance and documentation of the meetings held with the municipalities and communities or other stakeholders

For each meeting, number and nature of comments received, actions agreed during these meetings, status of those actions, and how the comments were included in the Project ESMP.

Minutes of meetings of formal meetings and summary note of informal meetings will be annexed to the report. They will summarize the view of attendees and distinguish between comments raised by men and women.

Engagement with other stakeholders

Number and nature of engagement activities with other stakeholders, disaggregated by category of stakeholder (Governmental departments, municipalities, NGOs)

Issues raised by NGOs and other stakeholders, actions agreed with them and status of those actions

Minutes of meetings will be annexed to the six-monthly report

Number and nature of Project documents publicly disclosed

Number and nature of updates of the Project website

Number and categories of comments received on the website

Grievance Resolution Mechanism

Number of grievances received, in total and at the local level, at Tashkent PIU office, on the website, disaggregated by complainant's gender and means of receipt (telephone, email, discussion)

Number of grievances received from affected people, external stakeholders

Number of grievances which have been (i) opened, (ii) opened for more than 30 days, (iii) those which have been resolved, (iv) closed, and (v) number of responses that satisfied the complainants, during the reportingperiod disaggregated by category of grievance, gender, age and location of complainant.

Average time of complaint's resolution process, disaggregated by gender of complainants and categories of complaints

Number of local GM meetings, and outputs of these meetings (minutes of meetings signed by the the tendees, including the complainants to be annexed to the report)

Trends in time and comparison of number, categories, and location of complaints with previous reportingperiods

#### Workers' Grievances

Number of grievances raised by workers, disaggregated by gender of workers and worksite

Number of workers' grievances (i) opened, (ii) open during more than 30 days, (iii) resolved, (iv) closed, and

(v) number of responses that satisfied the workers, during the reporting period disaggregated by category of grievance, gender, age of workers and worksite.

Profile of those who lodge a grievance (gender, age, worksite), by category of grievances.

Average time of complaint's resolution process, disaggregated by gender of complainants and categories of complaints

Trend in time and comparison of number, categories, and location of complaints with previous reportingperiods

73. The reporting on Environmental and Social activities conducted by NEGU and the Supervision and ESIA/ESMP/RAP Monitoring Consultants during the construction phase will be undertaken in accordance with the requirements of the ESMP.

#### **Quarterly and Annual Reports by NEGU**

74. During the Project development and construction phase, the Community Liaison Team will prepare brief monthly reports on E&S performance for NEGU Management which will include an update on implementation of the stakeholder engagement plan and include indicators in Table 6. Monthly reports will be used to develop quarterly and annual reports reviewed by senior NEGU/PIU managers. The quarterly and annual reports will be disclosed on the Project website and made available in the project affected Municipalities.

#### Six Monthly E&S Compliance Reports to the World Bank

75. Six-monthly E&S reports will be prepared and submitted to the World Bank during the construction period. A section on stakeholder engagement will be included in these reports which will include an update on implementation of the stakeholder engagement plan and include indicators in Table 6.

#### Involvement of stakeholders in monitoring activities

76. The Project provides several opportunities to stakeholders, especially Project Affected Parties to monitor certain aspects of Project performance and provide feedback. Grievance Resolution Committees in each of the ten affected regions will allow PAPs to submit grievances and other types of feedback. Citizen/PAP surveys at the project mid-point and end stages will also allow PAPs to provide feedback on project performance. Furthermore, frequent and regular community meetings and interactions with NEGU staff, especially local CLOs, will allow PAPs and other local stakeholders to be heard and engaged.

#### Reporting back to stakeholder groups

77. NEGU's Community Liaison Team and its regional representatives, will report back to PAPs and other stakeholder groups, primarily through public meetings in project affected Municipalities and/or Villages. Minutes of meetings will be shared during subsequent public meetings. Feedback received through the GM will be responded to in writing and verbally, to the extent possible. Sms' and phone calls will be used to respond to stakeholders whose telephone numbers are available. Key Project updates will be posted on NEGU's website. Social media (primarily through the Project Facebook page and a Telegram group for PAPs and other stakeholders) will also be used to report back to different stakeholders.

Grievance Form								
Grievance reference number (to be completed by GM Focal Point):								
Contact details	Name (s):							
(may be submitted anonymously)	Address:							
	Telephone:							
	Email:							
How would you prefer to becontacted (check one)	By mail/post: By phone:			By email □				
Preferred language	🗆 Uzbek		🗆 Russi	an	□ other			
Provide details of your grievance. Please describe the problem, who it happened to, when and where ithappened, how many times, etc. Describe in as much detail as possible. What is your suggested resolution for the grievance, if you have one? Is there something you would like khokimiyat or another party/person to do to solve the problem?								
How have you submitted thisform to the project?	Website     email     By hand       □     □     □							
	In person     By telephone     Other (specify)       □     □							
Who filled out this form (If not the person named above)?	Name and contact details:							
Signature								
Name of Focal Point person assigned responsibility								
Resolved or referred to GRC1?	□ Resolved □ Referred If referred, date:							

Resolved referred to GRC2?	□ Resolved		If referred, date:	
Completion				
Final resolution (briefly describe)			_	
	Short description	Short description		Acknowledgment signature
1 <sup>st</sup> proposed solution				
2 <sup>nd</sup> proposed solution				
3 <sup>rd</sup> proposed solution				