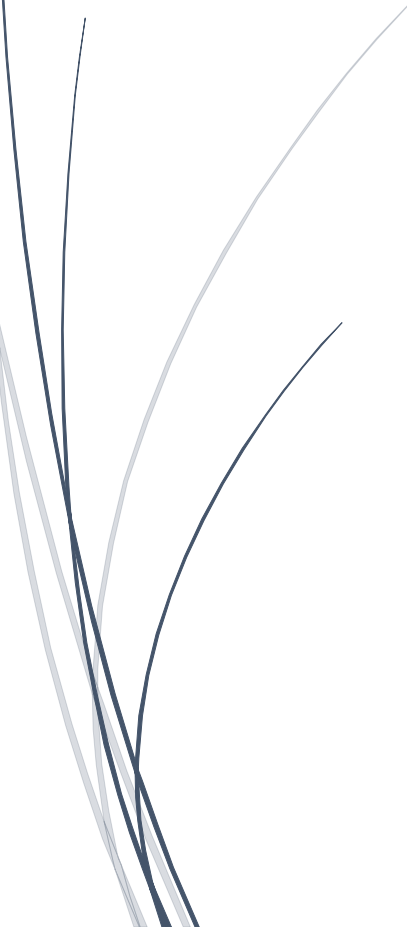


Stakeholder Engagement Plan
(DRAFT)
Sept 2023

Government of Nagaland

ENHANCING LANDSCAPE AND ECOSYSTEM
MANAGEMENT PROJECT
(P179935)



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Abbreviations and Acronyms

ATI	Administrative Training Institute
CBO	Community Based Organization
CI	Community Institution
E&S	Environment and Social
ESF	Environmental and Social Framework
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
FGDs	Focus Group Discussions
GBV	Gender-Based Violence
GRO	Grievance Redress Officer
GRM	Grievance Redressal Mechanism
ICAR	Indian Council of Agricultural Research for North Eastern Hill
IDAN	Investment & Development Authority of Nagaland
IEC	Information Education Communication
ITI	Industrial Training Institute
KVK	Krishi Vigyan Kendra
LMP	Landscape Management Plan
MSME	Ministry of Micro, Small & Medium Enterprises
NEPED	Nagaland Empowerment of People through Economic Development
NGOs	Non-government Organizations
NRE	New & Renewable Energy
NSRLM	Nagaland State Rural Livelihood Mission
NTFP	Non-Timber Forest Produce
PAD	Project Appraisal Document
PMU	Project Management Unit
POM	Project Operational Manual
SAS	School of Agricultural Sciences
SARS	State Agricultural Research Station
SAMETI	State Agricultural Management & Extension Training Institute
SEA/SH	Sexual Exploitation and Abuse/Sexual Harassment
SEP	Stakeholder Engagement Plan
SEFTI	State Environment and Forestry Training Institute
SIRD	State Institute of Rural Development
SWCTC	Soil & Water Conservation Training Centre
TNA	Training Need Analysis
VC	Village Council
VDB	Village Development Board
VEMC	Village ELEMENT Management Committee
WB	World Bank

1. Introduction and Project Overview

Traditional societies are an integral part of the ecosystems and their economy are driven by biodiversity. The land and the people are inextricably linked for their identity and the dependence upon forests and natural resources for their very existence. Over the generations, they have practiced and defined their own unique traditional agricultural and land use practices. However, the region is faced with challenges of a fragile topography, landslides, natural resources degradation, regional isolation, natural and man-made disasters, lack of access to income and market linkages particularly by the poor disadvantaged population, women in particular who are directly dependent on natural resources for their livelihood and food security.

The project aims to invest in enabling communities through voice, capacity development, strengthening institutions for integrated landscape management, protection and restoration of forests, technology and skills to improve community's ability to access information on climate smart agriculture, facilitate market linkages, promoting nature based tourism and sustainable forest based enterprise in the state.

The Stakeholders Engagement Plan is to ensure that communities participate in the planning, decision making and implementation of the project. The SEP describes the community engagement and participatory approach¹ of the project including the involvement of diverse groups, cohorts, women, youth, and backward tribes. In addition, GRM mechanism is put in place, which is accessible and responsive if any complaints (including on SEA/SH) should arise.

Owing to the sensitivity of the project area, this Plan will also guide the project team on the necessity and timing of holding discussions with the project communities and seeking endorsement both for the proposed project interventions (that will be part of their village working plans) as well as for the larger Community-led Landscape Management Plans (of which the individual project villages will be a part).

1.1. Project Background

ELEMENT has an overarching objective to increase the resilience of landscapes and forest-dependent communities in Nagaland. The project supports the State of Nagaland in its transition to environmentally sustainable and resilient management of landscapes and forests by addressing the root causes negatively affecting the vitality of these ecosystems. By using a "landscape approach", i.e., taking both a geographical and socio-economic approach to managing the land, water and forest resources that form the foundation (the natural capital), the project will support strengthening capacities of the participating State Government and local actors to restore degraded landscapes by introducing a landscape approach and helping utilize technological solutions. Degraded forest landscapes will be restored by implementing community-led integrated landscape and natural resource management plans to support improved ecosystem services, such as carbon sequestration, water availability, soil conservation, and wildlife habitat protection. ELEMENT will also support nature-based tourism and sustainable forest-based livelihoods by facilitating value chain improvement, market linkages and creating an enabling environment for community-based forest-

¹ This includes strengthening the capacities of the a) implementing agencies in facilitating the process of needs identification, articulation and as well as prioritization of activities that the community intends to undertake as part of the program, b) Community institutions to undertake a self-driven needs and situation assessment with respect to their resources, identify possible solutions in the form of management plans and develop agency to implement those plans.

linked enterprises. Project interventions aim at inclusion of tribal population and gender empowerment. Vocational development for women and youth will be prioritized during project preparation and implementation. The project will be implemented in rural areas of 15 districts of Nagaland.

This Project has the following components:

- I. Strengthening Capacities for Integrated Landscape Management. This component will finance consulting services, goods, small works adopting climate responsive design and materials, and equipment, training to support the participating states' institutional capacity, Information and Communications Technology (ICT) systems in support of decision making, and infrastructure to enable government partners to operate effectively.
- II. Restoring Landscapes for Improved Ecosystem Services. The objective is to restore and maintain the ecological functions and productivity of the targeted landscapes. Component 2 activities involve preparation and implementation of community-led climate-resilient landscape management plans.
- III. Enhancing Landscape-based Value Chains for Economic Transformation. This component will provide support for creating -income and entrepreneurship opportunities by promoting processing units, market, and forward linkages along value chains of high value forest products, bio-resources, agriculture, and allied activities, and by promoting nature-based tourism.
- IV. Project Management, Monitoring and Evaluation. Funding will be provided for Project management, PMU staff and operational costs to deliver on the project development objectives.
- V. Contingent Emergency Response Component (tbc) - Reallocation of credit proceeds from other components to provide immediate recovery and reconstruction support following an eligible crisis or emergency, as needed.

1.2. Purpose of the SEP

The Stakeholder Engagement Plan (SEP) is developed following the World Bank's (WB) Environmental and Social Framework (ESF). This framework includes Stakeholder Engagement and Information Disclosure requirements as an integral part of the Environment and Social Standard (ESS) 10. The ESS 10 recognizes the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice. Borrowers are required to develop an SEP proportionate to the nature and scale of the project and its potential risks and impacts. Stakeholders have to be identified and the SEP has to be disclosed for public review and comment as early as possible before the project is appraised by the World Bank. ESS10 also requires the development and implementation of a grievance redress mechanism that allows project-affected parties and others to raise concerns and provide feedback related to the environmental and social performance of the project and to have those concerns addressed in a timely manner.

Objective of the SEP is to effectively identify relevant stakeholders and engage with all stakeholders who have an interest in or may be affected by the project. The involvement of the local population, as well as all other interested parties, is essential to the success of the project, to ensure smooth collaboration between project staff and local communities, minimize and mitigate environmental and social risks related to the project, as well as expand project benefits to all targeted beneficiaries including those who may be traditionally vulnerable, disadvantaged, disproportionately affected or

socially excluded from accessing benefits from the development projects. The purpose of the present SEP is to propose methods of stakeholder engagement and describe the responsibilities in the implementation of stakeholder engagement activities. The intention of the SEP primarily focuses on the engagement of stakeholders in a timely manner during project preparation and implementation. Specifically, SEP serves the following purposes:

- I. Stakeholder identification and analysis;
- II. Planning engagement modalities and effective communication tools for consultations and disclosure;
- III. Defining the role and responsibilities of different actors in implementing the SEP;
- IV. Defining the project's Grievance Redressal Mechanism (GRM);
- V. Providing feedback to stakeholders;
- VI. Monitoring and reporting on the SEP.

2. National Legislations and WB ESS10

The following section aims to review existing policies and regulatory frameworks related to stakeholder engagement, including information disclosure and grievance management. The first part of the section focuses on national/state legal and institutional framework, while the second part reviews the stakeholder engagement policy and practices of the World Bank.

Article 371A of the Indian Constitution is a special provision with respect to the State of Nagaland which states that no act of Parliament with respect of i) religious or social practices of the Nagas, ii) Naga customary law and procedure, iii) administration of civil and criminal justice involving decisions according to Naga customary law iv) ownership and transfer of land and its resources, shall apply to the State of Nagaland unless the Legislative Assembly of Nagaland by resolution so decides.

Under the **Environment Protection Act, 1986**, **Environment Protection Rules, 1986** and the **2006 EIA Notification**, citizens have the right to environmental information as well as to participate in developing, adopting and implementing decisions related to environmental impacts. The provisions of environmental law provide the assurances for public hearing during the process of project planning and also ensure the public discussion during implementations. Public representative bodies have an obligation to take into consideration citizens' comments and suggestions. The information and disclosure requirements provided in the EPA read with 2006 Notification are aligned with the ESF.

The **National Environment Policy 2006** is a response to India's National Commitment to a clean environment mandated in the Articles 48A and 51A of Indian Constitution. The objective of NEP is to protect and conserve critical ecological systems and resources, to ensure equitable access to environmental resources, to ensure that poor communities are assured secured access to these resources, to ensure judicious use of environmental resources to meet the need and aspirations of present and future generations, to integrate environmental concerns into policies, plans, programmes and projects undertaken for economic and social development and to apply the principles of good governance to the management and regulation of use of environmental resources. The principles followed in the policy are – 'Human beings are at the center of sustainable development concerns'. In order to achieve sustainable development, environmental protection shall constitute and integral part of the development process and cannot be considered in isolation.

Under the **Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013** (RFCTLARR) and the Nagaland Ownership and Transfer of Land and its Resources Act 1993 public hearing is mandated during the social impact assessment, wherein appropriate Government shall ensure that the views of the affected families are recorded and

included in the SIA Report. The Act comprehensively identifies the different types of stakeholders who may be 'affected' by the land acquisition. All provisions related to stakeholder engagement under the Act is aligned with the ESF. However, it is imperative to note that land acquisition and involuntary resettlement are not envisaged within the project interventions.

The strategies for stakeholder engagement in the ***Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (FRA)*** are mostly confined to consultation with the Gram Sabha(s)/Village Councils. The Act is only applicable at an initial stage of development projects, for diversion of forest land for such projects. The Act may not be applicable as the project does not envisage such risks and impacts, since most infrastructure works will be carried out in community owned land with no land acquisition is foreseen and consultations will be done and written Agreements will be documented before the implementation of any such works.

The ***Right to Information Act (RTI)*** is a progressive rights-based accountability and transparency enforcement mechanism available to citizens which allows them to seek information related to government programs in personal or larger public interest and mandates the provision of this information within a stipulated timeframe. The Act makes the public offices and duty-bearers liable to providing correct and detailed information demanded by the citizen within designated timeframes, with mechanisms for appeals and sanctions if information provided is inadequate or incorrect.

The Nagaland Village and Area Councils Act 1978 (renamed The Nagaland Village & Tribal Councils Act, 1978) legally recognizes the presence of customary local governance institutions and provides statutory backing to them (as Village Councils) in Nagaland. These institutions are responsible for local governance and are vested with the power and duties to assist in village development, enforcement of customary laws, rules and regulations as well as management of natural resources according to their respective customs and traditions. All local development interventions are required to take place in discussion with and after the concurrence of the respective Village Council/s.

2.1. World Bank's Environmental and Social Framework

The WB's ESF sets out the World Bank's commitment to sustainable development and mandatory requirement for the bank finance projects. Environmental and Social Standard (ESS10) on Stakeholder Engagement and Information Disclosure recognizes the importance of open and transparent engagement between the proponent and project stakeholders as an essential element of good international practices. 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. The main objectives of the ESS10 are:

- To establish a systematic approach to stakeholder engagements that will help Borrowers identify stakeholders, and build and maintain a constructive relationship with them, in particular project-affected parties.
- To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in project design and environmental and social performance.
- To promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them.
- To ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format.

- To provide project-affected parties with accessible and inclusive means to raise issues and grievances and allow Borrowers to respond to and manage such grievances.

2.2. Brief Summary of Preliminary Stakeholder Engagement

As a part of the project preparation, a stakeholder map was prepared and stakeholder consultation activities were carried out with the identified groups. This included community stakeholders, institutions and non-government stakeholders through group discussions and key informant interviews. These included affected persons who can be directly or indirectly affected by the project investments, other interested parties who may have an interest in the project and vulnerable groups who can be disproportionately impacted or further disadvantaged by the project if such risks are not adequately mitigated by the project.

A series of community consultations were organized to share the project components and the proposed interventions, where representatives from the key stakeholders participated, as part of this stakeholder engagement. During these consultations, the project information was disclosed, discussed, to ensure that the views, interests, and concerns of all relevant stakeholders are taken into account during the project planning and design.

A total of 9 community consultations were conducted, spread over 4 project districts and 12 villages in which about 185 community members, elected-religious-traditional leaders, women/ women farmers/ members & office bearers of women's groups, youth, farmers and their collectives, frontline workers, people with disabilities (PWD), elderly, village chiefs/ cheftains, members of faith based and community based organisations participated. About 30 percent of the participants in these consultations were women, including women farmers and office bearers- members of women SHGs.

Table1 below summarizes the stakeholder engagement activities undertaken. The Social Specialists and the Environment Specialist at the PMU shared the project components and WB ESF requirements with the stakeholders to appraise them on project objectives, understand their current practices, systems and procedures in order to be able to assess them vis-à-vis WB E&S Standards and seek their opinion and initiate a dialogue with the community. The community stakeholders, especially those representing Community Institutions (CIs) and Community Based Organisations (CBOs) were consulted to reiterate the importance of community participation, elicit their views and concerns and identify the capacity gaps that need to be bridged for strongly engaging with the community and ensuring their ownership of the project.

(See Annex: Stakeholder Consultations Conducted to Inform SEP Preparation)

Table 1: Summary of Stakeholder Consultations Conducted

I. Stakeholder Category: Traditional Institutions and Community Leaders- Village Council members, VDB members including Women VDB representatives, village elders, GB, Dobashis	
Discussion Key points	Project response to stake-holder concerns /suggestions
<ul style="list-style-type: none"> - Discussed project objectives with the community leaders - Land owned by communities, clan, family and individuals 	

<ul style="list-style-type: none"> - Due to erratic rainfall and intense heat, crop production have reduced or failed - Communities conserve forests for community use and for future generations. These lands are contributed either by individual, clan or communities. Some villages to conserve forests particularly in and around the water source sites. - Scarcity of water in all the villages both for consumption and farming since sources have dried up including spring water. Need for irrigation - Suggested rainwater harvesting - Some village communities reported abandoned crop fields as elephants destroyed crops. - Any grievance, land or border disputes are settled by the Village Council with the GB, Dobashis and village elders. Some villages have Judicial courts that take up cases with VC according to customary law. - Land contributed for the development works in the village is negotiated by the Village Council with the land owner and compensation or benefit for the owner is negotiated as a beneficiary of the project - 3 villages had women as VDB Secretary and VDB members. - None of the Village Councils had women representatives 	<ul style="list-style-type: none"> - Better landscape planning is expected to improve climate resilience of the community - Community conserved areas will be further protected and conserved with project support without disturbing their ownership - Springshed & watershed management to contribute to improved water availability in identified landscapes - Landscape planning is expected to address issues of man- animal conflict - Project grievances will be handled through customary practices with the option of accessing the project GRM directly or through escalation available to the aggrieved - Project will not infringe with the customary land take practices recognized by the Indian Constitution and followed in the state - Project will promote inclusion and participation of women in project collectives & as beneficiaries
<p>II. Stakeholder Category: Land Owners and Land Users- Community, Clan and Individual land owners, land leased farmers, grazers</p>	
<p>Discussion Key points</p>	<p>Project response to stake-holder concerns /suggestions</p>
<ul style="list-style-type: none"> - Land owned by communities, clan/families and individuals. Landowners leased land for farming and extraction of forest produce to those people from the village who have less or no land for farming. There is no rent or fee for land leased except for a token of the produce for the land owner. Land leased for <i>jhum</i> farming. <i>Jhum</i> cycle is for an average of 5-10 years. Terrace farming reduced due to scarcity of water. Traditional farming still practiced. - Across consultations, communities shared on the scarcity of water in farm/fields. - If irrigation could be provided through the project, farmers are willing to extent farming areas with more crop varieties. - Majority of community prefer <i>jhum</i> farming due to water scarcity. Reported cases of pests, birds 	<ul style="list-style-type: none"> - Project will not infringe with the customary land take practices recognized by the Indian Constitution and followed in the state - Where willing and need felt, local farmers will be supported to graduate to terrace farming (<i>paani kheti</i>) - Springshed and watershed management is likely to improve water availability in the identified landscapes - Improved water availability will likely address this issue of pest/ rodent attacks - Value chain support will help farmers in creating linkages

<p>and rodents that ate and destroyed seeds sown in <i>jhum</i> fields.</p> <ul style="list-style-type: none"> - Marketing linkages required in all villages producing crops such as ginger, yam, maize, chilly, vegetables and fruits. - Variety of vegetables grown in <i>jhum</i> fields. - Capacity building for farmers on innovative and better farming practices including provide adaptable seeds varieties. - Village Councils imposed ban on use of chemical fertilizers and salt in the fields - Unemployment increasing among youth in the village and the need to explore possible opportunities for youth to engage in activities to earn income. - Mithun (<i>Bos Frontalis</i>) are reared by community and individuals and grazed in community forests demarcated for its fodder and habitat. They are good source of income as well as a status 	<ul style="list-style-type: none"> - Project will aid farmers through capacity and advisory support - Project support will follow local norms, some categories of chemicals are also in the project negative list - Project targets village youth for development of green enterprises - All customary practices and areas traditionally demarcated for cattle grazing will remain untouched
<p>III. Stakeholder Category: Commercial users- Forests dependent communities, SHG, women engaged in NTFP collection and sales, hunters</p>	
<p>Discussion Key points</p>	<p>Project response to stake-holder concerns /suggestions</p>
<ul style="list-style-type: none"> - Communities extract forest produces both for income and for households use such as wild foods, fodder, fuel - NTFP are collected by women vendors, households and SHG for earning an income including wild vegetables and fruits. All villages have women self-help groups with income generation activities and internal loan practices - Farmers also grow cash crops such as ginger, cardamom and coffee and sell in bulk to buyers even outside the state. - Livestock as a source of food and to earn some income - Lack of storage, transport of produce and market linkage for both perishable and non-perishable products that are available in the villages. Roads are better, need for direct transport of produce from village to the nearest market - Communities are directly or indirectly dependent on forest produce for fuel wood, timber and food both for household use and earn income - Hunting is banned in most villages, few are regulated with restrictions during breeding season. Bush meat is considered a delicacy among communities and thus prized. Some households even sell bush meat. 	<ul style="list-style-type: none"> - Landscape planning is likely to ensure improved conservation and availability of forest resources - Women's collectives supported by ELEMENT for value chain improvement is likely to raise incomes - Value chain support for select commodities is likely to create a more favourable eco-system and bring markets closer to community - Project support is likely to restore degraded landscape and ensure improved-equitable access and benefits - Project will not infringe on traditional practices and all interventions will need to have a buy-in of the community at large

IV. Stakeholder Category: Entrepreneurial Skill and Training Institutions- MSME, Entrepreneurs, NGOs	
Discussion Points	Project response to stake-holder concerns /suggestions
<ul style="list-style-type: none"> - Discussed collaborative opportunities under the ELEMENT project to facilitate quality products, better trade network and relevant skills for entrepreneurs including knowledge on import and export services - Capacity building on entrepreneurial skills for youth and women, particularly in the rural areas. - Financial management including book keeping and access to financial institutions and services. - Engage skill and entrepreneurial agencies to partner in providing capacity building and engage Experts from relevant agencies and institutions. 	<ul style="list-style-type: none"> - Project will support improved training facilities for the state based capacity building and skilling institutions. - Women and youth will be especially targeted for support to enterprise development, including their financial literacy. - Project will leverage knowledge and technical capacities of domain experts and institutions

3. Stakeholder Identification and Analysis

Project stakeholders are defined as individuals, groups or entities who :

- i) are impacted or likely to be impacted directly or indirectly, positively or adversely by the Project (also known as '**affected parties**')
- ii) may have an interest in the Project (known as '**other interested parties**'). They include individuals or groups whose interests may be affected by the Project and who have the potential to influence the Project outcomes in any way.
- iii) persons who may be disproportionately impacted or further disadvantaged by the Project as compared with any other groups due to their vulnerable status, and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project (categorized as '**disadvantaged or vulnerable groups**').

3.1. Affected Parties

There are several categories of affected parties in the project: **Village communities**– Village Councils, Village Development Board, Village level committees under other agencies directly or indirectly related ELEMENT project components and Village elders; **Land Owners and Land Users** - Community land owners, Clan/family land owners, Individual land owners, land users on lease for farming, landless farmers, women farmers, households dependent on extraction of forest produce such as timber, fuel wood and NTFP; **Commercial Users and Private Enterprises** – Commercial buyers, Traders, suppliers, women vendors, SHGs, Farmers groups, contractors, labourers and farm produce dependent households.

Table 2: Role and Influence of Affected Parties

Stakeholder	Brief Explanation	Role and Influence
Village Chieftains (<i>Anghs, Gaon Buras</i>)	Tribal Chieftains (Angh) are the titular heads of the Konyak and Phom tribes which are hereditary and are instituted in Mon and Longleng districts.	All major decisions related to the village community are governed by the Chieftains, Clan representatives, village elders

Village Councils/ Village Development Board	Gaon Buras are prominent Village Heads among some tribes in the State. Village Councils are the local administrative bodies in every village constituted under the Communitisation of Public Institutions and Services Act 2002 in the State. Members are either elected or nominated by the community for a term of 2-3 years.	Village Councils responsible to address all local administration and development activities including disputes and conflicts. Communities will take active part in planning, implementation and monitoring of project activities, and will be collective or individual beneficiaries
Land Owners (Community/ Clan/Individual)	Land use and all issues related to land, forests and water resources depends entirely on the decisions taken by the landowners. Land is own by individuals, clans/families and village. No land related works can be done without prior consultation and approval of land owners.	The decision to support or oppose by the landowners will be crucial for implementation of activities related to land and its resources, including land use for infrastructure development.
Land users (individuals or groups)	Households grow food, income from extraction of forests resources, NTFP, grazing, forests habitation, construction materials and development of infrastructure. Land is either owned, leased, rented or free to use. Land are not sold to or purchased by anyone outside the village community	Land users who own or lease lands are either individuals, families, clans and village community. Decisions on use of land and its resources require the consent of the landowners and land users. In case of any objections, no works can be carried out on that land.
Farmer Groups/ Collectives and SHGs	Engaged in agriculture production, NTFP collection and aggregation for sales and basic processing of agri and forestry products	Their engagement will be important to initiate any value chain improvement and restore degrading lands through expanded Jhum cycle.
Community Workers and labourers	To be engaged in forest regeneration, eco-restoration, watershed/springshed activities, nursery development and for small scale construction under the project.	Critical to undertake landscape restoration activities and construction, but vulnerable and low voice
Women farmers and Vendors	High participation of women in farming and vending of agri produce and collection and basic processing of NTFPs	Less significant role in the choice of crops for production and in the sales of NTFPs in the market.
Commercial users	Entities buying, trading or value adding the forest resources or products collected and sold by local communities. Most buyers are from outside and the quantity extracted depends on market demand, need for additional income and availability	Commercial users depend on produce extracted or sold by the growers, collectors, sellers, traders, contractors, suppliers. They have no responsibility for sustainable or regulated extraction

3.2. Other Interested Parties

Civil Societies - CBO/Apex Tribal Bodies, Faith Based Organization, women and youth groups, NGOs; Government Departments – Agri and Allied, Land Resources, Forests and Climate Change, State

Biodiversity Board, Rural Development, Animal Husbandry, Tourism, District Administration, Soil and Water, MSMEs, Skill Training Institutes, Women Resource Development Centers; Education, Research and Training Institutes - ICAR, KVK, SARS, SEFTI, SIRD, SAMETI, SAS, SWCTC ATI, ITI, NTRTC (Nagaland Tool Room), Academia; Media Houses – Print media, Visual media, Radio, project related publications and magazines

Table 3: Role and Influence of Other Interested Parties

Stakeholder institutions	Brief Explanation	Role and Influence
Govt Department-Agriculture, Forests, Horticulture, Biodiversity Board, Rural Dev, Vet. & Animal Husbandry, Tourism, MSME, NSRLM, Women Res. Dev., NRE, State Missions-Honey, NEPED, Bamboo, Bio-Resource	Departments have infrastructure, resources and technical capacity which can be explored for collaboration opportunities in the project	Collaborate and explore convergence with related project components
Administration- State Administration, District Administrations, Block Level Officers and Officers	Include Administrators and local Officials that act as a link for project implementation.	Support consultation workshops for informed agreement and endorsement, collaboration in mobilizing community support & administrative support during the project. Constitute GRM committees with participation from administration
Education & Research and training Institutions- ICAR, KVK, SARS, SEFTI, SIRD, SAMETI, SASRD, ATI, ITI, Nagaland Tool Room & Training Centre,	Include state training and research institutions to provide E&S and technical trainings to State functionaries and agencies	Will provide necessary capacity building to beneficiaries, CBOs and other stakeholders and technical support to the project based on their expertise; collaborate with Subject experts, sharing of technology, infrastructure, information and data.
Private Enterprises- Individual & group entrepreneurs, Chain Investors, Tour agencies, Traders, suppliers, Contractors	Conduct stakeholders consultation workshops, share information about project components.	Individuals and groups to participate at village to achieve the project objectives.
Civil Societies- CBO/Apex Tribal Bodies, FBO, women and youth groups, NGO, Faith based organisations	These are advocacy or activist groups, NGOs operating in the state and project areas.	Support community mobilization, generate social consensus, facilitate participation, identification and inclusion of vulnerable and disadvantaged; Collaborate with training institutions to strengthen CIs for landscape and eco-systems management
Media-Print media, Visual media, Radio, IEC	Advocacy and sensitization about ELEMENT.	Invite and update the media during consultation workshop and documentation of project activities

3.3. Disadvantaged/Vulnerable Individuals and Groups

The project is aware that during the course of its implementation, communities or individuals could be impacted unfairly due to remoteness, social-economic-physical vulnerabilities, to access project benefits equitably or limited access to economic opportunities and services. To ensure that the

project does not disproportionately affect the disadvantaged and vulnerable, and includes them to access benefits and positive impacts, the project will identify such groups and individuals as a first step. Those traditionally and socially excluded from access to services and benefits and in the context of ELEMENT would be- landless farmers, daily wage earners, elderly, BPL households, Persons with Disability (PwD)/households who have PwD family members, migrant labourers, widows/single women, women headed households, women vendors/farmers, herders, school drop-outs and unemployed youth and members of backward tribes. Remote villages with no access or limited access to economic opportunities, communication and public- private services are also collectively identified as vulnerable from the project perspective. There have been growing trends of aggregate poverty in Nagaland from 1987-88 to 2016-17 i.e., 34.43 to 37.92% and multidimensional poverty index (MPI) of 30.8% during 2015-16 (NSSO, 2012; Jamir and Ezung, 2017b; Jamir, 2020). It was from the mid-1970s onwards that the Nagaland government added an additional local layer to the pan-Indian reservation system by classifying each Nagaland tribe as either 'forward' or 'backward', offering special quotas to the latter (Wouters, 2018). The tribes and its categorization as backward depend on their presence in a district.

4. Roll out strategy for Stakeholder Engagement

The ELEMENT project team will ensure that principles of meaningful engagement and dialogue with stakeholders are adopted and practiced through the project cycle. These include adopting a life-cycle approach through public consultations and concurrence, and disclosure of project-related information transparently, free of external manipulation, interference, coercion, or intimidation. In addition, it will provide regular and adequate opportunities to stakeholders for their feedback, comments and concerns. The project will ensure that the participation process would be inclusive, and all the stakeholders are encouraged to be involved in the process. Equal access to information will be provided to all stakeholders.

4.1 Focus on vulnerable

The project will conduct village level consultations as with those vulnerable and disadvantaged sections of the community (landless farmers, daily wage earners, elderly, BPL households, Persons with Disability (PwD)/households who have PwD family members, migrant labourers, widows/single women, women headed households, women vendors, herders, school drop-outs and unemployed youth and members of backward tribes) and include them in the project planning to ensure such groups and individuals' issues and concerns are addressed in culturally sensitive manner. Special efforts will be made to ensure their inclusion and participation at every stage of project and village level planning and in the identification of community and individual beneficiaries under ELEMENT. First, the needs of those most vulnerable or backward tribes or access challenged will be addressed by a thorough mapping of their presence in the specific villages where the landscape plans are being developed. Secondly, a) giving priority to vulnerable groups to access project benefits and skills development training, b) supporting them to access markets and income, c) ensure active participation in project-related decision-making consultation meetings, considering their special needs and vulnerabilities, especially those of the backward tribes. Thirdly, sufficient information and time for decision making, and allowing their effective participation in designing the project activities to access project benefits, resource sharing within the landscapes to avoid any resource conflicts, get updated information on project activities, their likely impacts, procedures for their participation in project activities and mitigation measures. Fourth, including a simple and accessible GRM as well as monitoring mechanisms through which their inclusion and participation will be tracked by the project. And finally, the satisfaction surveys (Biannual) will gauge the level of enagement, the opportunity and voice as well as the feedback from the beneficiaries (including the most vulnerable).

4.2 Collective Endorsement and Ownership of Project Interventions

Before the commencement of physical interventions in the identified landscapes and the villages falling within those landscapes, detailed discussions will be held with local communities and the village institutions and their participation will be sought in the preparation of community-led landscape management plans (C-LMPs). Based on the finalized landscape management plans, village-wise workplans detailing the interventions will be developed jointly with representative village institutions as well as diverse social groupings, vulnerable households, women, youth and, if present, any backward tribes in those villages. The village institutions will review, modify and will need to adopt these work plans in the form of Village Grant Agreements (VGAs) before project implementation is initiated. Since the project areas include forested areas and are home to predominantly tribal communities, collective consensus of the village in the form of endorsement of this VGA will be mandatory and a pre-condition to assess the ownership and participation of the community in the project.

4.3 Appropriate means for Communication

In order to ensure that the stakeholder engagement is culturally appropriate and meaningful, all project supported trainings, meetings and orientation for the institutional stakeholders will be conducted in Nagamese and English. For all the community level consultations, group discussions, IEC/ awareness generation activities, especially those in the eastern part of the state which is less mainstreamed, use of tribe/sub-tribe specific Naga dialects will be used to ensure more dialogical and effective communication. The Zonal Management units will be responsible to ensure that the project teams, facilitators and faculty of State-based and external skilling and capacity building institutions use the most appropriate medium/dialect for their interaction with the local communities. Special care will be taken to ensure that any dormant or existing social conflicts among various ethnic sub-groups and sub-clans or *khels* is not exacerbated by the project interventions and all community consultations create a social consensus related to the project strategies and proposed local interventions. Special attention will be given to the disadvantaged communities, vulnerable groups especially women and children of both gender, women headed households, persons with disabilities and the elderly, backward tribes and to the cultural sensitivities of tribal communities. The Social and Tribal Specialist to be deployed at the SPMU who are well versed with Community Engagement and Participatory Planning.

Customary Practices

There may be temporary restriction or limitations in accessing forest resources, and negative impacts of customary traditional practices like jhum cultivation on local resources including the forests. Some of these ongoing traditional practices which may have long-term adverse impacts on the livelihoods of STs and are deemed unsustainable would be identified through extensive consultations with local tribal communities. The community-led integrated landscape management plans may suspend, prohibit or alter some such unsustainable activities. However, the landscape plans and the decision to promote or prohibit any activities will mainly be driven, designed, owned and implemented by local tribal communities themselves. Similarly, all customary practices that positively contribute to the improvement and greater resilience of landscapes and local forest resources will be incorporated in the C-LMPS, and supported -upscaled through the project

4.4 Key stakeholder engagement activities to be implemented through the project

(see table below)

Table 4: Roll out strategy for Stakeholder Engagement

Stakeholder	Engagement need and content	Method/ Tool	Responsibility	Periodicity
Village Council members, VDB, Village Elders, Traditional leaders and Village Chieftains (<i>Anghs, Gaon Buras</i>)	<ul style="list-style-type: none"> - Orientation on the Project activities, purpose and implementation strategies - Process of village planning and Village Grant Agreements - Conduct series of consultation workshops on community endorsement, conflict resolution, GRM, SEP, policies, relevant law and rights related to land management in the State, their endorsement of project activities and role in resolving conflicts. - Village Chieftains and VCs involvement in planning and agreements for an enabling environment for the ELEMENT - Support required from VC members during project -cycle and collective project review - Information on, SEP, GRM, and village gran agreement to project implementation - Orientation on relevant rules and regulations - Preparation of village level work-plans, local support required during plan preparation and its finalisation - Written agreements with relevant communities/ collectives at the beginning and, as & when required - Training of VEMC on the project components and activities to be implemented 	<p>Workshop, presentation, Group discussion.</p> <p>Community information using social media like website, WhatsApp groups, Awareness about project GRM through wall-paintings, pamphlets, IEC, posters etc. in relevant local dialect and socially relevant communication tools</p>	PMU and ZMU	<ul style="list-style-type: none"> - TNA and info dissemination in first six months of Project implementation and during implementation - Consultations and information dissemination prior to physical interventions with sufficient time to decide and arrive at consensus - Documentation of all interactions and feedback conducted at least twice a year - Project social Audit conducted once a year
Land Owners & Land users	<ul style="list-style-type: none"> - Training needs assessment,, mapping of land use systems, types of production systems. - Disclosure of policies and rules related to land, rights and ownership. Awareness on availability of culturally appropriate Grievance Redress 	Orientation and Consultation workshops in each cluster on implementation of village work plans	PMU, ZMU with VEMC	<ul style="list-style-type: none"> - Community consultation in first six months of project implementation - Documentation, monitoring and review of activities

	<p>Mechanism under the project.</p> <ul style="list-style-type: none"> - Information and sensitization on landscape management, rules and regulations, - Participation in development of village working plans - Capacity building and skill training of owners/ users on proposed interventions related to watershed/ forest landscape management - Written agreements with relevant communities as required by the project 	<p>Awareness about project GRM and its channels and helplines using wall- writings, posters, village meetings using culturally appropriate communication tools and language/ dialect spoken</p>		<p>implemented on monthly/quarterly basis</p> <ul style="list-style-type: none"> - Agreements documents as and when required in project timeline
<p>Commercial users, entrepreneurs, women vendors, youth, farmers groups, traditional healers</p>	<ul style="list-style-type: none"> - Consultation workshop on the current business practices, products, quantity, financial accessibility, income, market linkages challenges and gaps - Proposed project support and interventions and process for participation - Skills and capacity building to access project benefits - Technical advisories and market information to users, entrepreneurs, collectives - Work closely with CBOs, women/ youth enterprises around HYFP value-chains and sustainable practices - Awareness on GRM process, SEP, SH/SEA prevention - Seek community feedback during project review and seek suggestion on changes during implementation to ensure continued ownership. 	<p>Tools developed for training</p> <p>Relevant land and environment protection trainings, group exercises and group discussions</p> <p>Farmer markets and exposure/ exchange learning for farmers/ users</p>	<p>PMU and ZMU with VEMC</p>	<ul style="list-style-type: none"> - TNA conducted before the end of 1st project year - Review of consultation and trainings conducted in first 6 months - Documentation of practices and feedback from entrepreneur during project monitoring and supervision visits to project sites
<p>Vulnerable, disadvantaged Communities, women-headed</p>	<ul style="list-style-type: none"> - Sensitization of communities on project purpose, objectives and planned activities - Access to program benefits and inclusion in decision making bodies 	<p>Seminars, workshops, community meetings in accessible locations</p> <p>House visits for PwDs</p>	<p>PMU through support of local NGOs or local youth/ key</p>	<ul style="list-style-type: none"> - Information dissemination and interaction throughout the project cycle - Review and feedback

households, PwD, poor households, members of backward tribes	<ul style="list-style-type: none"> - TNA for skill development - Information on SEP, GRM, GBV SEA/SH management procedures - Participation and feedback on accessibility, benefit and challenges to access benefits & services 	<p>Pictorial posters at strategic points</p> <p>Local radio and newspaper, SMS campaign</p> <p>IEC considering local dialects</p>	stakeholders	quarterly and 6 months after availing project benefits
Govt. Departments & Admn.	<ul style="list-style-type: none"> - Sharing of information on project activities and explore collaborations opportunities with Experts, technology, data and infrastructure - Role of different agencies, scope for convergence for sustainability and to avoid duplication - Information on Village workplans & outcome of TNA - Regular update on project activities - Regular Interaction with Govt. departments to share E&S risk mitigation measures, support required, project GRM and social-gender inclusion planned 	<p>Consultation with relevant government departments</p> <p>Data and information sharing as required by the project</p> <p>Engagement of subject matter experts during implementation</p>	PMU and ZMU	<ul style="list-style-type: none"> - During planning and implementation throughout project life
Training and Skill Development Institutions	<ul style="list-style-type: none"> - Share project implementation plan - Collaborate for relevant project components for trainings and culture relevant specific communication needs - Identify training needs of potential participants - Identify experts & technical support from relevant institutions -from within and outside the State - Conduct Training of Trainers and direct trainings for project team and community stakeholders 	<p>Conduct interaction meeting with the relevant institutions</p> <p>Workshops and trainings with subject experts</p>	PMU and ZMU for ToT including orientation in case of staff turnover for new team members	<ul style="list-style-type: none"> - Project initiation and during implementation in project life cycle - Technical support in monitoring and evaluation of project as per project timeline/workplan
Media	<ul style="list-style-type: none"> - Engagement in events and activities - Outputs and outcomes of project - Role and support required from media - Document success stories 	<p>Press release, project documentation</p> <p>Print media, visual media and radio, Short films, reels,</p>	PMU, ZMU and VEMC	<ul style="list-style-type: none"> - Regular liaison and communication through the PMU project team and the relevant media houses during project life

		documentaries		
Civil Society Organisations	<ul style="list-style-type: none"> - Project Information, proposed activities, project areas, target beneficiaries, GRM, SEP and SEA/SH prevention measures - Process of community engagement, endorsement and their role in creating awareness and facilitating the process - Role in facilitating landscape management planning, preparation of village level work plans and generating awareness and consensus around VGA - Role in securing participation and inclusion of women, backward tribes, other vulnerable groups 	<p>Orientation workshops</p> <p>Participation in implementation and review meetings</p>	PMU and ZMU	<ul style="list-style-type: none"> - Orientation within 6 months of effectiveness - Continuous engagement and review meetings throughout project effectiveness

4.5 Proposed Strategy for Information Disclosure

Stakeholder workshop will seek feedback and disclose on the proposed Project, the draft Environmental and Social Management Framework (ESMF) and the Stakeholder Engagement Plan (SEP), following which their feedback and suggestions will be incorporated in the ESF documents, finalized and disclosed on the ELEMENT website. All relevant documents will be made accessible to stakeholders on the website and also will be physically available at the ZMU offices during the implementation phase. The information will be disclosed through various communication medium ranging from face-to-face consultations with the project stakeholders, distribution of posters, leaflets, brochures and ELEMENT website and through local media so that the project information is accessible to all, including those in residing in the remote areas.

4.6 Reporting and Feedback

Besides the feedback received during the community review, stakeholder's feedback and comments will be documented/recorded and responded.

- The project will ensure that feedback and comments received through project communications and contact links are acknowledged by registering them in a logbook and will be addressed in an appropriate and timely manner.
- A periodic review of the implementation of the SEP will continue to incorporate new reported issues, concerns and queries raised by the stakeholders during the project implementation. It will also provide information on how the feedback has been considered and addressed by the project.
- In addition, to the project activities review, a community based 'social audit' will be conducted once a year. In addition, external consultant will be engaged to assess the beneficiary SEP feedback after two years of implementation, and the second survey in the last year of implementation which will be conducted as an impact assessment of the community.

V. Roles and Responsibilities

The ELEMENT Team will be responsible for the overall coordination of the Project, and the implementation will be done through its project implementation team in coordination with the State Project Management Unit (SPMU), Zonal Management Unit (ZMU) and Village ELEMENT Management Committee (VEMC). The SPMU will be responsible for the effective implementation of the SEP. The SPMU will also be responsible for the implementation of fiduciary and environment and social framework requirements as well as monitoring and reporting on project implementation and progress. The Social Development Expert, Community Engagement/ Participatory Planning Expert and Environmental Expert will support implementation and monitoring of project activities outlined in the SEP, ESMF and ESCP. However, the primary responsibility for supporting and monitoring the implementation of the SEP will lie with the Community Engagement/ Participatory Planning Expert, who will have significant knowledge and experience with tribal issues. The ZMU will report to the Environment Specialist and Social Development Specialists based at the SPMU.

Table 5: Roles and Responsibility of Related Units/Agencies

Responsible Agency	Responsible Task
Project Director & COO at SPMU	<ul style="list-style-type: none"> • Project Director will be responsible for the overall project management at the State Level, Liaison with State Govt. and WB • Dy. PD will be responsible for day-to-day monitoring and supervising the overall implementation of the SEP, POM, PAD including monitoring and evaluation, liaison with Experts, Institutions and WB.
Nodal Officers	<ul style="list-style-type: none"> • Coordinate with communities leaders/key stakeholders, departments,

Responsible Agency	Responsible Task
from Departments at ELEMENT	<p>institutions, academic institutions and Consultants in technical support and subject experts related to the project.</p> <ul style="list-style-type: none"> • Provide overall guidance and coordinate activities across nodal departments and agencies to ensure smooth implementation of the project activities.
Social Specialist and Tribal Specialist at SPMU	<ul style="list-style-type: none"> • Prepare annual work plans and budgets for activities related to SEP and ensure they are planned, financed and implemented accordingly. • Ensure SEP and other E&S plans are being implemented at the state, district and village level. • Ensure that all interventions and engagement activities are cognizant of tribal sensitivities and are culturally appropriate. • Organize periodic consultations with the project stakeholders including strategic engagement with community leaders, women, youth and other vulnerable groups. • Ensure regular dissemination of project-related information at the state, district and village level. • Ensure smooth functioning and documentation of the grievances registered under the project. • Coordinate and monitor SEP activities undertaken by SPMU, Consultants, NGOs/CBOs at the state, district and village levels. • Organize capacity building and training for all staff, consultants and contractors on SEP implementation. • Communicate with the World Bank on environmental and social concerns received from PMU and reflected during the field visit • Undertaking periodic monitoring of SEP, and preparation and dissemination of half yearly SEP implementation reports. • Update the SEP to accommodate any changes and take corrective actions immediately as and when required
Social Development Expert And Tribal Expert at ZMU	<ul style="list-style-type: none"> • Support SPMU in implementing SEP: • Regular dissemination of project-related information at the local level • Organize periodic consultations with the project stakeholders including strategic engagement with the women/ women’s collectives, identify special measures to engage with IPs, persons with disabilities, and other vulnerable groups • Ensure inclusion of women and vulnerable groups in landscape planning and its monitoring as well as their participation in skilling and capacity building initiatives • Ensure effective reporting of project-related complaints and grievances as per the project GRM. • Assist in organizing capacity building and training for the staff, consultants and contractors • Submit progress reports on SEP related activities along with their performances and outcomes to the SPMU on a regular basis.
GROs at SPMU and ZMU	<ul style="list-style-type: none"> • GRM management and reporting: complaints received, resolved, time taken to resolve • Documentation and filing of all cases reported and outcome of the resolution
VEMC	<ul style="list-style-type: none"> • Involve stakeholders at the village level in planning project activities • Identification and selection of beneficiaries in consultation with the Village

Responsible Agency	Responsible Task
	Council and build capacities for effective implementation <ul style="list-style-type: none"> Mobilise communities in project villages and facilitate for SEP and GRM

VI. Estimated Budget

A tentative budget for implementing activities related to the Stakeholder Engagement Plan (SEP) over five years that covers the planning and preparation, and project implementation phases is provided in the table given below. The SPMU will review this plan every six months to determine if any changes to stakeholder classification or engagement are required. If required, the plan will be updated, and the budget items and budget will also be revised accordingly.

Table 6: Estimated Budget for Implementation of SEP

Items	Quantity	Unit cost (Rs.)	Total Coat (Rs)	Remarks
Stakeholder Consultations	225	10,000	45,000,000	Once a quarter for 5 years (4times in a year)
Trainings and Workshops	60	50,000	3,000,000	2 per district per year for 2 years
Setting up GRM (collecting & maintaining grievances database)	-	-	5,00,000	Lumpsum for 5 years
Awareness & IEC materials	-	-	10,00,000	Lumpsum for 5 years
Beneficiary Satisfaction Survey	2	7,50,000	15,00,000	Twice during project year (3 year and 5 year)
Total			51,000,000	

VII. Grievance Redressal Mechanism (GRM)

The Grievance Redressal Mechanism is a tool to get to know about the problems in the project and potential complaints of community members and other stakeholders to register, respond and solve the underlying problems, conflicts etc. The project will ensure that there is sufficient community consultation before the implementation of any project activities.

Conflicts may appear first at community level and be solved by the traditional arbitration and mediation process in each village which involves the Village Council and the Village Judicial Committee. In case a permanent Judicial Committee is absent, the Village Council and representatives from the village will nominate members to address any grievances or complaints arising out from individual or groups from the village and will comprise of individuals suggested/nominated from the village community. Where the Village Judicial Committee is in place in the village that addresses disputes/complaints arising from the members, this body which has representatives from Village Council, Elders, Traditional Judiciary members and nominated members from the village community will hear and adjudicate on any dispute or grievance in the course of project intervention. In case the complainant or the aggrieved is not satisfied with the decision of the decision of the customary body, they will have the freedom to access the project GRM that will be established before effectiveness.

7.5 Objectives of the GRM

The State does not have an effective state-wide GRM and some of the agency-specific GRMs created in the past have become dysfunctional or were not found to be effective enough to be access or used for ELEMENT. As a result a fresh, dedicated project specific GRM is being proposed.

The project will develop grievance redressal procedures and systems that are responsive, understandable and adopt a robust and transparent process that is culturally appropriate and accessible to all the identified and affected stakeholders in the project. The GRM will be free to access and will ensure that there will be no retribution for people who lodge complaints related to project activities. The GRM will further, not impede access to judicial and administrative remedies, in case the complainant so wants. The present GRM will ensure that:

- It is culturally appropriate and mutually acceptable redress actions are identified and implemented to the satisfaction of complaints
- It provides affected people with avenues for lodging complaints or resolving any dispute that may arise during the project lifecycle
- It avoids the need to resort to judicial proceedings as a first measure to grievance redress
- It adopts a fair transparent and accessible grievance settlement mechanism

ESS10 also requires the development and implementation of a GRM that allows project-affected parties and others to raise concerns and provide feedback related to the environmental and social performance of the project and to have those concerns addressed in a timely manner. The Environmental and Social Framework (ESF) ensures that the community, with their unique tribal customs and practices are involved in the project from decision making, planning and implementation of the project and ensure that the project activities are designed and planned to avoid or reduced incidents of negative social and environmental impacts.

7.6 Grievance Redressal Mechanism (GRM) under the Project

Aligned with the framework and requirements of the ESF, the main purpose of this GRM is to ensure swift readdress of complaints. A subsequent level of escalation is triggered if the complainant remains unsatisfied with the resolution made by the lower level or if it remains unable to provide a resolution within a given time.

- A. First level Grievance Redressal Officer (FL-GRO) for the project will be the Zonal Manager at the Zonal Management Unit (ZMU). The official's name and address, telephone no., email ID will be displayed in the office including website, and the information will be disseminated during stakeholder consultations and IEC activities. These details will also be available in the project villages and other interventions areas. The GRO will be the focal person to redress any complaints related to service delivery or lack of it under the project. Within five days of receiving the complaint, the GRO shall acknowledge the complaint either by writing a letter or email specifying the date, time, place, unique complaint number and particulars of complaint along with the stipulated timeframe for redressal. Once the grievance is resolved, the FL-GRO shall ensure that the complainant is informed and the grievance closed. The FL-GRO will have 15 working days within which to act upon and close the complaint. Once closed, feedback will be sought to ensure that the complainant is satisfied with the quality and time of the resolution.
- B. In case the complainant is not satisfied with the response, the complaint can be escalated to the Second level GRO (SL-GRO), which will be the Project Director or any senior official at the SPMU designated by the Project Director. The SL-GRO will

have 30 working days within which the complaint is to be redressed. In case of failure to do so the appellate authority designated by the ELEMENT project for escalation will be the Mission Director or the Agriculture Production Commissioner (APC) or any senior official designated by the latter.

- C. The complainant can also file a complaint at the *Centralized Public Grievance Redress and Monitoring Systems (CPGRAMS)* <https://pgportal.gov.in>, the national grievance redress portal which takes up and acknowledges receipt of people's complaints, then forwards it to the relevant public sector entities/ state governments which are mandated to address the specific issues raised. The complaints can be sent through letters, email, and telephone call /WhatsApp for public grievances. The GRO, upon receiving the submission from the complainant procedures will work on adequate follow-ups, investigations, and actions, with a view to propose a resolution that will be agreeable to the complainant. The GROs and PMU Social Specialist will be responsible for ensuring that all complaints are addressed in a timely manner.
- D. **Telephonic HELPLINE:** During project preparation, a responsibility matrix and modalities of setting up an independent helpline will be designed and by three months of project effectiveness, it will be piloted. Following which the system will be rolled out, advertised in project sites and to stakeholders, complaints will be tracked and response rate will be monitored.

7.7 Grievance Implementation Procedure

The project will develop written *grievance procedures* as a part of the Project Operations Manual (POM), that will incorporate the following procedures and formats to be applied by the ELEMENT once they receive complaints directly through the GROs:

- Inform and educate stakeholders about GM procedures
- Receive, register and acknowledge the grievance complaints.
- Timelines for resolution of grievances
- Review and investigate the grievance
- Develop resolution or settlement of the grievance complaint
- Report back on the grievance, and
- Implement, monitor, and evaluate the functioning of the GM.

Step 1: Receive, register and acknowledge the grievance

The project will ensure the availability of a variety of methods for stakeholders to lodge grievances. For instance, affected people and other stakeholders can lodge a grievance through:

- Submit complaints through the GRO written in person, email or phone and record the complaint.
- Complainants can also reach out to the Village project team/ZMU for assistance in filing complaints, particularly those vulnerable groups (elderly, persons with disabilities, illiterate, etc.) who are unable to read or write and/or are unfamiliar with the grievance process.
- Through emails and phone numbers of GRO and E&S management focal persons

Upon receipt of complaints, the GRO at SPMU will provide a unique grievance number to each grievance for easy tracking. The GRO will then acknowledge the receipt of the complaint within 3working days through a phone call, text message, or a meeting with the complainant. The acknowledgment will include the grievance registration numbers of the complainant can use this as

a reference to track the status of the complaint. If the grievance is not well understood or if additional information is required, the GRO will contact the complainant during this step for further clarification.

Step 2: Develop resolution and respond to the complainant

Upon investigation, the GRO will propose a resolution as soon as possible, and in consultation with the complainant and others concerned. The resolution is communicated to the complainant through proper channel. The GRO will ask the complainant for a written acceptance of the resolution, and close the grievance if he/she is satisfied with the resolution.

Step 4: Scaleup the grievance if the complainant remains dissatisfied

If the complainant rejects the proposed resolution, the GRO will refer the case to the Appellate Authority within 30 days of GRO's decision. The Appellate Authority will facilitate to reach an agreeable resolution and will produce a resolution within 15 working days. If the resolution is accepted by the complainant, it will be implemented, and the grievance will be closed once the implementation is completed.

Step 5: Recourse to legal and other formal recourse

If the complainant rejects the proposed resolution, the complainant is free to approach the court of law/any other formal mechanisms in place at the local/state level.

7.8 Assessment of Existing Grievance Mechanism

It is proposed that for Year 1 of the project, the following approach be applied wherein (a) GRO and Appellate Authority designated at the PMU and district used as the main gateway for citizens' grievance submissions.

In Year 2, an assessment to be carried out to determine if the current systems are functional and meet the requirements of the below-mentioned guiding principles on GRM:

- **Accessibility and Social Inclusion:** The process has to be accessible to everybody that feels aggrieved and affected by the project regardless of age, gender, health condition of economic status in the communities. Vulnerable groups including women, aged, children and the persons with disabilities should have the same equal opportunities and access to present their complaints without complications as with other people.
- **Simplicity:** The filing and registering of complaints and grievances will be kept simple and the process of redress will be easily understandable by all stakeholders and the public.
- **Transparency:** The system will encourage both positive and negative feedbacks. These feedbacks will be made available to all stakeholders to ensure they are adequately informed on issues that might hinder or enhance the sustenance of the project. The GRM will view and analyse all issues with transparent objectivity.
- **Anonymity of the aggrieved:** Details of aggrieved will not be disclosed or made public. This will especially be ensure in case of SEA/SH related complaints or in cases where the complainant does not want their identity disclosed and due anonymity will be ensured.
- **Inclusivity:** It is important that representatives of the community and stakeholders are involved in the GRM and everybody kept informed on any progress made in them.
- **Due Process and Impartiality:** Every grievant will have the right to be present and be heard before a duly constituted body saddled with the responsibility of hearing and managing their grievances. The mechanism will be independent so that it will be perceived as fair by all.
- **Quick Action:** Response to grievance and feedbacks will be prompt and direct to the grievant or the feedback provider.
- **Qualification:** Personnel that would be involved in grievance redress will have basic

communications skills as well as mediation, reconciliation and negotiation training and will be senior staff in the project.

- **Grievance Uptake Points:** There will be specified grievance uptake points where grievances/complaints will be lodged. The time frame for a response will be known to the grievant.
- **Analysis:** In grievance redress, it is important for handlers to be clear on all the issues. The first step is an honest appraisal of whether the feedback is proactive or reactive. Facts have to be established against the interest and goal of grievant. Fact-finding is essential for meaningful and sustainable grievance/conflict redress. The handlers of grievance redress also need to appraise the complaints against relevance to the project and the project policies. Grievance handlers also need to know the category of grievance involved and treat accordingly. Grievances need to be characterized both for the sake of proper redress and for evaluation purpose.

7.9 Redress for SEA/ SH Related Grievances

The ELEMENT will setup an Internal Complaints Committee (ICC) for addressing any SEA/SH-related complaints at the workplace. The committee will be constituted as per the requirements of the *Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013*. The SPMU will put in place necessary mechanisms and procedures for confidential reporting with safe and ethical documentation of SEA/SH issues at the project level². The SEA/SH referral pathways to GBV service providers will be established and communicated to all ELEMENT staff at the state and local levels. The GBV service provider linked to the GRM will be identified based on mapping of such service providers. A survivor-centered approach will be followed when responding to a SEA/SH complaint. Further, the PMU in support of the World Bank will prepare and implement the employees/workers code of conduct to be adhered to at all times. Finally, increased IT and digital access may expose women to on-line GBV related threats, stalking and cyber bullying that they are unfamiliar with and have no awareness on how to report. These forms of violence will be addressed through digital literacy trainings plus adequate safety/mitigation measures within the project, including making women aware of the available caution and legal recourse. The project will finance establishment of state level cyber incident response team (CIRT) which will be responsible for managing cyberthreats including cyber bullying and other forms of online sexual harassment.

7.10 Building Awareness about the Grievance Redress Mechanism

The SPMU Social Development Specialist will initially brief all staff, PMU, consultants, and contractors on the grievance mechanism and GBV/SEA/SH complaints mechanism of the project and explain to them the procedures for filing, reporting and documentation of public grievances. Awareness campaigns will be conducted targeting project stakeholders to inform them of the availability of the mechanism through various mediums (radio, TV, social media, newspapers, etc.). The GM will also be published on the ELEMENT website. Construction sites under the project will also display the phone number, email, and address for filing public grievances.

VIII. Monitoring and Reporting on Stakeholders Engagement Activities

8.5 Monitoring

The Stakeholder Engagement Plan will be periodically revised and updated as necessary during implementations to ensure that the information presented herein is consistent and relevant. The project will also ensure that the identified methods of engagement remain appropriate and effective

²<https://thedocs.worldbank.org/en/doc/0e0825d39c28f61080380c6be9c40811-0290032022/original/SEA-SH-GPN-for-HD-Operations-CESSO-Issue-Version-September-26-2022.pdf>

in line with the project context and specific phases of the project-cycle. Any major changes to the project-related activities and their schedule will be duly reflected in the SEP. To implement the SEP, annual plans and budgets will be allocated for stakeholder engagement related activities.

Monthly summaries and internal reports on public grievances, inquiries, and related incidents, together with the status of implementation of associated corrective/preventative actions will be collated by the GRO, SPMU and ZMU social staff. The monthly summaries will provide a mechanism for tracking the status of complaints so that they are addressed in a timely and effective manner. Information on public engagement activities undertaken by the Project during the year will also be monitored and reported in a quarterly and six monthly bases. SEP monitoring will build on the project monitoring and evaluation (M&E) arrangement will focus on the overall implementation quality of the stakeholder engagement. In addition, a beneficiary satisfaction survey will be carried out under the project, for which an independent consultant will be contracted. The first survey will be conducted after two years of implementation, and the second survey in the last year of implementation.

Table 7: Indicators and data for measurement

Indicators for M&E:	Data source to measure these indicators:
<ul style="list-style-type: none"> • Annual grievances received and resolved within a stipulated time; • Persons participated in training and sensitization on SEP, GBV, SEA, SH and other E&S trainings • No. and types of consultations undertaken • No. Of users of services covered under the Project and portion of which are satisfied. 	<ul style="list-style-type: none"> • Monthly/quarterly/bi-annual reports • Beneficiary satisfaction survey from primary stakeholder groups • Grievance registers and GRM management database

8.6 Reporting

Reports will be prepared on a monthly, quarterly and on a half-yearly basis and submission will be in line with the project implementation report.

Table 8: Description of Reporting

Monthly Reports	Quarterly and Half-Yearly Reports
<p>For internal monitoring and to map activities and achievement, the SPMU Social Specialist along with the ZMU and FL-GRO will prepare brief monthly reports on stakeholder activities that include:</p> <ul style="list-style-type: none"> • Activities conducted during each month, allocation and expenditure under SEP • Entries to the grievance register – received, closed and open grievances 	<p>ZMU will compile reports summarizing stakeholder activities for the PMU on a quarterly basis. Project level half-yearly reports will be prepared and sent to the World Bank. This report will provide a summary of all public consultation issues, grievances, and resolutions. The report will provide a summary of relevant public consultation findings from formal and informal meetings held at the community level. When applicable, results of the beneficiary satisfaction survey will also be part of these reports.</p>

Annex: Stakeholder Consultations Conducted to Inform SEP Preparation

	Date & Location	No. of Participants	Participant's Profile	Key Discussions (issues/concerns/suggestions)
1	15/5/2023 Phensunyu (PKR), Tseminyu District	17	VC, VDB, Agri. Officer, Anganwadi worker, women vendors, farmers, Pastor	Village Council's roles in village community such as restrictions on use of chemicals, hunting & community conserved forests, land ownership systems, scarcity of water for irrigation and consumption, marketing of farm produce by women vendors, need for irrigation to increase crop production
2	19/5/2023 Gariphema Village, Kohima District	6	GB, VC, VDB Secy., VDB member, SHG members, President Women Association	Collection of NTFP by women vendors and SHG group farming to earn income, land ownership systems in the village by communities, clan and individuals, erratic rainfall effect on crop production, scarcity of water, development activities in the village through the VDB, conflict resolution through the customary judiciary court in the village, livestock as a source of income and food.
3	24/5/2023 Nerhema Village, Kohima District	15	GB, VC, VDB Secy., Women Association members, SHG members, PwD village coordinator, women farmers	Village Council as the main governing body in the village, depletion of water sources in the village, SHG promoted through NSRLM actively involved in income generation, inter- group loan, PwD are able to access benefits but needs to be available in within the village, variety of crops produced in jhum fields
4	25/5/2023 Rotomi Village, Zunheboto District	8	GB, VC, SHG members, Dobashi, women farmers	Ginger a major cash crop produced in the village, good marketing of crops including sale to other states, scarcity of water, jhum fields very production for a variety of crops, fertile soil, SHG active in the village
5	25/5/2023 Khrimtomi Village, Zunheboto District	11	SHG members, VDB, VC, progressive farmer, farmers	Village has active SHG require technology for processing locally available products. Good coffee production in the village, cash crops such as turmeric and ginger
6	25/5/23 Philimi Village, Zunheboto District	11	GB, VC, VDB, SHG members, youth	High production of ginger from the village, crops in jhum destroyed by elephants, water scarcity, irrigation a challenge. Need market linkages for 7ginger and initiate farmers group.
7	12/6/23	25	VC, GB, Dobashi,	Good water source for terrace

	Yangching Village, Longleng District		women farmers, SHG, VDB, youth, students, Church Board	farming. River along the district boundary for irrigation. Less paddy production in the last 5-10 years though good source of water. Variety of fruits and vegetables grown in the jhum fields. Need marketing linkages. To initiate CCA. Funds should be transparent and invest in activities
8	13/6/23 Pongo & Hongnyu Village, Longleng District	62	VC, VDB Secy., , women farmers, SHG members, youth, Faith Based organization members (Pastor, Women Pastor), President Citizen group, GB, Women Secy.	Grow ginger, yam & chilly and sell to buyers from outside the village. Practice both jhum and terrace cultivation. Need training on pest management. Marketing linkage to be provided from the project. Rain water harvesting to be initiated. Need to mobilize for coffee and piggery
9	13/6/23 Yongphang Village, Longleng District	30	GB, VC, VDB, SHG, women, youth, village elders,	Village community interested to understand and support the project. Good production of crops such as yam, ginger, cardamom, paddy. Jhum cycle is for 10years. SHG could not sell produce due to lack of market linkage. Paddy produce less so food is not sufficient for the year and for which they buy or borrow. Need for training on pest management. Piggery reared by almost all households in the village. Support for irrigation work