

**Ministry of Energy
Republic of Uzbekistan**

**Improving energy efficiency in social
facilities
(P176o6o)**

Draft
STAKEHOLDER ENGAGEMENT PLAN
(SEP)

March 2022

ABBREVIATIONS AND GLOSSARY

d-RE	Distributed renewable energy
EE	Energy Efficiency
ESA	Energy service agreements
ESIA	Environmental and Social Impact Assessment
ESCP	Environmental and Social Commitment Plan
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standard
FGDs	Focus Group Discussions
The Fund	Intersectoral Energy Savings Fund
GM	Grievance Mechanism
GRS	Grievance Redress Service
IDA	International Development Association
IPF-PBC	Investment Project Finance with Performance-Based Conditions
NGO	Non-governmental organization
MoH	Ministry of Health
MoPE	Ministry of Public Education
MoPSE	Ministry of Pre-school Education
PAP	Project Affected Parties / Persons
PMC	Project Management Consultant
SEP	Stakeholder Engagement Plan
SES	Stakeholder Engagement Specialist
UBEEP	Uzbekistan National Building Energy Efficiency Program
WB	World Bank

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INTRODUCTION

The Ministry of Energy is proposing allocation of funds from the World Bank (WB) Loan for the implementation of the energy efficiency retrofitting activities for eligible facilities (such as kindergartens; day-care facilities, schools and hospitals)¹ across all of the regions of Uzbekistan; which is being called “Improving energy efficiency in social facilities” (The Project)². In accordance with the tasks set by the President of the Republic of Uzbekistan, the Ministry of Energy is implementing necessary measures aimed at saving energy resources and increasing energy efficiency at eligible facilities.

The Project has two components: (1) energy efficiency and clean energy investments in public buildings; and (2) technical assistance to enhance the enabling environment for the investments, support market development, and provide project implementation support. The Project will be implemented using the Investment Project Finance with Performance-Based Conditions (IPF-PBC) instrument financed by International Development Association (IDA) resources.

This Project is expected to be the first large-scale energy efficiency intervention in the building sector by the Government of Uzbekistan as this sector is responsible for the largest share of total final energy consumption most of which is for space heating.

This document is a Stakeholder Engagement Plan (SEP) describing the planned stakeholder consultation and engagement process being implemented within the framework of the Project. It has been planned in line with Uzbek legislation and the Environmental and Social Standards (ESSs), which form part of the World Bank’s 2016 Environmental and Social Framework.

1.1. Purpose of the SEP

Stakeholder engagement is an inclusive process conducted throughout the Project life cycle. Where properly designed and implemented, it supports the development of strong, constructive and responsive relationships that are important for successful management of the Project environmental and social risks and impacts. Communicating early, often, and clearly with stakeholders helps manage expectations and avoid risks, potential conflict, and Project delays. In addition, the SEP assists in managing stakeholder expectations which will have a bearing throughout the lifespan of the Project. Hence, this SEP provides a plan to interact effectively with stakeholders to support Project interests.

The objectives of the SEP are identification of the Project stakeholders at different stages of development and establishment of their rules for management of exchange of information, plans to communicate and to enhance stakeholder engagement between the MoE, its Project Management Consultant (PMC)³ and the stakeholders in line with the legislation of the Republic of Uzbekistan and the WB requirements. It also describes a grievance mechanism, which is a process that stakeholders may use to raise any concerns about the Project providing their opinions that may influence the Project implementation and its results.

Overall, SEP serves the following purposes: a) stakeholder identification and analysis; b) planning engagement modalities and effective communication tool for consultations and disclosure; and (c) enabling platforms for influencing decisions; (d) defining role and responsibilities of different actors in implementing the Plan and (g) grievance mechanism (GM).

¹ Eligible facilities can include; kindergartens; day-care facilities; public primary, secondary, and high schools; dormitories; student hostels; specialized schools (e.g., sports and cultural schools); central, regional, and municipal hospitals; rural clinics; and associated administrative buildings. Discussed further in section 2.

² World Bank’s name for this project P176060 is “Clean Energy for Buildings in Uzbekistan”.

³ At the time of writing this SEP the PMC has not yet been identified. The name of the PMC will be updated in future versions of this SEP.

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The SEP will be disclosed to Project stakeholders during the Project design phase, and before starting the Project activities at each of the eligible facilities.

1.2. Scope and Structure of the SEP

This document is a guidance on how to involve Project stakeholders in all phases of the Project, from its approval to implementation.

Scope of the SEP is outlined in the World Bank's ESS10. The engagement will be planned as an integral part of the Project's environmental and social assessment and Project design and implementation. The Stakeholder Engagement Plan consists of the following Chapters:

1. Introduction
2. Project Description
3. Regulatory Framework
4. Brief summary of previous stakeholder engagement activities
5. Stakeholder Identification and analysis
6. Stakeholder Engagement Program
7. Resources and Responsibilities for implementing stakeholder engagement activities
8. Grievance Mechanism
9. Monitoring and Reporting

This SEP will cover all the eligible facilities (or subprojects) and will be a live document throughout the lifetime of the Project. It will be updated at key Project stages, or if significant changes are identified within stakeholder populations and semi-annually.

2. PROJECT DESCRIPTION

The building's sector in Uzbekistan accounts for 60 percent of the total natural gas consumption, 56 percent of the coal consumption, and 34 percent of the electricity consumption. Overall, the buildings sector accounts for 50 percent of the total energy consumption, followed by the industry and transport sectors at 22 percent and 20 percent respectively. Through the Law of the Republic of Uzbekistan "On rational use of energy" dated July 14, 2020, the President of Uzbekistan and the Ministry of Energy are implementing necessary measures aimed at saving energy resources and increasing energy efficiency in the various sectors of economy.

There are approximately 46 thousand public buildings in Uzbekistan. In public buildings, heating is responsible for about 70 percent of the energy consumption in regional hospitals, 84 percent in pre-schools, 88 percent in rural clinics, and 97 percent in public schools. In addition, the buildings sector is directly responsible for the second highest portion of CO₂ emissions (at 25 percent), which is largely emitted during heating using fossil fuels, and an additional 8 percent for the electricity consumed in the buildings. Also, the combustion of fossil fuels may contribute to poor indoor air quality, which can lead to respiratory diseases.

On the basis of the Law of the Republic of Uzbekistan "On rational use of energy", an extra-budgetary Intersectoral Energy Savings Fund (the Fund) has been established under the Ministry of Energy of the Republic of Uzbekistan. The Cabinet of Ministers adopted Resolution No. 640 of 9.10.2020 "On Approval of the Regulation on the Extrabudgetary Intersectoral Energy Saving Fund under the Ministry of Energy of the Republic of Uzbekistan". The main purpose of the Fund is to attract and finance investments in the implementation of energy efficiency (EE) projects in the economy and social spheres, as well as in the households of Uzbekistan. The Fund is expected to use a wide range of financing mechanisms and provide technical assistance to scale up the implementation of EE projects.

The Project's main objectives are to reach energy saving in public buildings and enhance the enabling framework for energy efficiency & clean energy investments in the buildings sector of Uzbekistan. This Project is linked to the Uzbekistan National Building Energy Efficiency Program (UBEEP) to support transformational impact in the sector. The following table describes the summary of main objectives of the UBEEP activities:

Table 1: Summary of activities under the UBEEP program

Pillar	Main Objective of Program Activities
Policy and Regulations	Developing, adopting, and enforcing secondary regulations to facilitate energy efficiency & clean energy performance in the buildings sector (e.g., establishing building energy efficiency performance standards, and legal triggers for mandatory energy efficiency improvements during a building life cycle.)
Financing and Budgeting	Developing and implementing energy efficiency & clean energy financing approaches not solely reliant on Government financing, and mobilizing private sector financing (e.g., implementing revolving financing mechanisms, adding energy efficiency top-up financing to the Capital Repair Program under the Ministry of Health (MoH), establishing a soft loan program under a strong dedicated institution (the Fund), and creating a Capital Grant Allocation Program)
Institutional Development	Strengthening institutions, enhancing coordination, monitoring overall program implementation, and tracking progress towards policy goals (e.g., set up a one-stop-shop for all activities for energy efficiency & clean energy investments in buildings)
Technical Capacity	Providing capacity building, and developing a stakeholder experience with energy efficiency & clean energy investments in the buildings sector (e.g., by

	implementing the World Bank “Improving energy efficiency in social facilities in Uzbekistan” project)
Market Development	Facilitating market development through publicity and awareness, improving industry data, sharing case studies, demonstrating profitability of the investments etc.

The Project will be implemented using energy service agreements (ESAs), which are a revolving financing instrument that enables the capture of energy cost savings, resulting from energy efficiency & clean energy investments, to be used to make additional clean energy investments or payback the loan.

The Project consists of two components: (i) energy efficiency & clean energy investments in public buildings; (ii) technical assistance, capacity building, and Project implementation support. The following sections provide further detail on each of the components.

Component 1: Energy Efficiency and Clean energy investments in public buildings (US\$138 million): Component 1 will finance energy efficiency and distributed renewable energy investments in selected pre-school education, public education, and health sector facilities under the line ministries including, Ministry of Pre-school Education (MoPSE), Ministry of Public Education (MoPE), and Ministry of Health (MoH) respectively. Eligible facilities will include kindergartens; day-care facilities; public primary, secondary, and high schools; dormitories; student hostels; specialized schools (e.g., sports and cultural schools); central, regional, and municipal hospitals; rural clinics; and associated administrative buildings. Eligible facilities would need to meet the following criteria: (i) central public ownership; (ii) not had extensive clean energy renovations in the past 10 years; (iii) structurally and seismically safe; and (iv) have no plans for office moves, closure, building demolition or selling. The buildings would need to achieve at least 20 percent energy savings after renovation, and/or have a maximum simple payback period of 12 years.

Typical energy efficiency (EE) measures will include insulation and improvement of building structures, HVAC and lighting systems, and replacement of coal boilers with renewable energy options such as integrated solar PV with heat pumps and/or solar collectors where feasible.

Typical technical services directly related to investments to be supported under this component include: (i) subproject screening (including climate change considerations), detailed energy audits, technical designs, construction supervision, etc; (ii) gender and citizen engagement social monitoring before and after the EE investments; (iv) online monitoring system for energy performance to help implement the measurement and verification framework, and manage energy consumption post renovation; and (v) environmental and social management plans as per the Environmental and Social Framework.

Component 2: Technical assistance, capacity building, and project implementation support (US\$5 million): This component will provide technical assistance to enhance the enabling environment for energy efficiency and energy efficiency & clean energy investments in the building sector, and Project implementation support. It has following subcomponents:

- a) *Institutional strengthening and market capacity building* – Assist the MoE and other government agencies in the design and implementation of energy efficiency & clean energy subprojects, train beneficiaries in energy management and implement developed targeted training programmes for energy auditors, engineering companies, and other energy professionals. Women and youth will be encouraged to participate in training and to apply their knowledge in the clean energy market through the Project.
- b) *Project implementation support* - Support activities of the Fund and PMC related to implementation of the proposed Project. It will also support the implementation of gender, citizen engagement, environmental, and social protection action plans.

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- c) *Leveraging private sector participation and financing* – To encourage private sector participation in renewable energy developments. So, the technical assistance will first examine the needs for scaling up private sector investments, the constraints to private sector finance, and then give support within the development goals. These actions will help grow the market for renewable energy investments in buildings.
- d) *Studies* – This subcomponent will support the formulation of legislation and any additional studies and surveys required to broaden support for sustainable energy investments in the construction sector.

The Project beneficiaries are expected to include:

- a) Children, students, and staff in participating educational facilities (preschools and schools) - increased comfort levels for building occupants (improved temperature and lighting) and lower operating costs (electricity and fossil fuel) and increase in end-user satisfaction. Also, occupants of schools are expected to benefit from heightened student performance, increased average attendance, better occupant health and improved teacher satisfaction and retention.
- b) Patients, their visitors and employees in participating healthcare institutions (regional hospitals and rural clinics) - improved interior temperature and comfort while meeting sanitation standards (constant 20 degrees Celsius).
- c) Private EE service providers (e.g., energy auditors, design firms, construction companies, equipment suppliers) - will gain from increased demand for their services, as well as increased experience and capacity in the preparation and implementation of EE and distributed renewable energy (d-RE) investments. It will also improve the national market for EE services by increasing skills, capacity, and competitiveness in the energy efficiency & clean energy industry.
- d) The Ministry of Energy – achieving national energy efficiency targets for public buildings in Uzbekistan.
- e) The Intersectoral Energy Efficiency Fund - it will be better equipped to generate and implement sustainable EE financing, supporting its leadership role in Uzbekistan. The Fund will develop skills in energy audits, procurement, contract management, and environmental and social safeguards per WB criteria.
- f) The Ministry of Finance — lower energy use reduces funding requirements for public buildings after loan repayment.
- g) The line ministries (Ministry of Public Education, Ministry of Preschool Education and the Ministry of Health) – improved energy efficiency indicators of facilities, reduced expenditures on heating and lighting services and compliance with national sanitary and hygienic standards.

Furthermore, the Project has focused areas of intervention on citizen engagement and gender to ensure equal access to quality, reliable, and affordable energy services; skill development opportunities; and managerial and technical jobs.

The Project will also address universal access to public buildings for all categories of visitors such as people with disabilities, the elderly, and people with small children.

The primary focus, in terms of beneficiaries under the gender equality effort includes (a) females who will have equal access to managerial and technical roles; (b) energy efficiency enterprises that will be able to recruit female talent for their business operations; and (c) education and health institutions that have the ability to promote gender equality, provide employment and opportunities for women, and improve the quality and outcomes of essential social services.

3. REGULATORY FRAMEWORK

3.1. Relevant National Laws and Regulations

This section summarizes the key Uzbek legislation that applies to consultations and stakeholder engagement. The following regulations relate to access to information, legal requirements related to public consultations and existing channels for raising grievances.

Constitution - The Constitution of the Republic of Uzbekistan was adopted on December 8, 1992 and includes a chapter on the 'Economic and Social Rights of Citizens'. It states that 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 - The national ESIA procedure is regulated by the Law "on Environmental Expertise" (2000), and Cabinet of Ministers Resolution № 541 of 07.09.2020: "On Approval of the Regulation on State Environmental Expertise". This Regulation sets out the types of activities subject to State Ecological Expertise and their categories of environmental impact. There are four categories of environmental impacts of economic activities:

- Category I - "high risk of environmental impact"
- Category II - "medium risk of environmental impact"
- Category III - "low risk of environmental impact"
- Category IV - "local impact"

Public participation in the ESIA 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 "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 non-governmental organizations (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.

The Resolution of Cabinet of Ministers of Uzbekistan № 541 of 07.09.2020: "On Approval of the Regulation on State Environmental Expertise" includes information on the procedure for mandatory public discussions and hearings on environmental impact assessments for proposed activities belonging to Environmental Impact Categories I and II prior to the State Environmental Expertise. However, based on the list of activities in the Regulation, the Project works (energy retrofitting of existing public buildings) are not categorised according to the national classification. This Regulation states that activities not included in the list are subject to State Ecological Expertise, whereby the category of a given activity is determined on the basis of materials submitted to the Expert Council under the State Committee on Ecology and Environmental Protection (SCEEP) or based on the field survey results conducted by specialist of SCEEP. Therefore, considering the above, it is necessary to contact SCEEP to identify the environmental impact category of the Project activities and further procedures on ESIA and public hearings.

Law of the Republic of Uzbekistan #ZRU-445 dated September 11, 2017 "About appeals of individuals and legal entities". The purpose of this Law is to regulate relations in the field of appeals of individuals and legal entities to state bodies and state institutions, as well as to their officials. This Law also applies to organizations with state participation and citizens' self-government bodies.

Law of the Republic of Uzbekistan on guarantees and freedom of information access as of April 24, 1997, #400-I governs the relations arising in the implementation process of the constitutional right of everyone freely and to unimpeded seek, receive, research, to transfer and distribute information.

Law of the Republic of Uzbekistan on principles and warranties of freedom of information as of December 12, 2002, #439-II. The main objectives of this Law are to ensure compliance with the principles and guarantees of freedom of information, the exercise of the right of everyone to seek, receive, research, disseminate, use and store information, as well as ensure the protection of information and information security of the individual, society and the state freely and unimpededly.

Law of the Republic of Uzbekistan on the appeals of individuals and legal entities as of December 03, 2014, #378 governs grievance redress procedure in Uzbekistan. This Law obliges state authorities to deal with appeals and provides a clear framework to handle the case. The appeals can be in the form of applications, proposals, and complaints and submitted in three ways: oral, written, and digital format. 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. No project-specific GM is warranted under the national legislation. However, it is allowed to apply to a) conciliation commission; b) Labor Inspection under the Ministry of Employment and Labor Relations; and c) court.

3.2. World Bank Environmental and Social Standard on Stakeholder Engagement

The World Bank Environmental and Social Framework (dated 2017) sets out the World Bank's commitment to sustainable development, through a set of Environmental and Social Standards (ESS) that are designed to support Borrowers' projects by defining a set of mandatory requirements that must be applied to projects by the Borrower. The main objective of the ESS is to foster efficient and effective identification and mitigation of potentially adverse environmental and social impacts that may occur in the development of projects funded by the WB. Stakeholder engagement is addressed in ESS10.

Stakeholder Engagement ESS10

Stakeholder engagement requirements for projects falls under ESS 10 which recognizes "the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice". The requirements set out by ESS10 are as follows:

- "Borrowers will engage 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.
- Borrowers will engage in meaningful consultations with all stakeholders. Borrowers will provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.
- The process of stakeholder engagement will involve the following, as set out in further detail in this ESS: (i) stakeholder identification and analysis; (ii) planning how the engagement with stakeholders will take place; (iii) disclosure of information; (iv) consultation with stakeholders; (v) addressing and responding to grievances; and (vi) reporting to stakeholders.
- The Borrower will maintain and disclose as part of the environmental and social assessment, 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 why it was not." (World Bank, 2017: 98).

A Stakeholder Engagement Plan proportionate to the nature and scale of the project and its potential risks and impacts needs to be developed for each project by the Borrower. It has to be disclosed as early as possible in project preparation, and before project appraisal, and the Borrower needs to seek the views of stakeholders on the SEP, including on the identification of stakeholders and the proposals for future engagement. If significant changes are made to the SEP, the Borrower must disclose the updated SEP to project stakeholders.

4. BRIEF SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES

Initial stakeholder engagement prior to writing this SEP was undertaken in 2019 with the main engagement to date undertaken from September 10 to October 4, by MoE specialists and WB technical consultants as part of energy audits at 45 institutions/buildings in 7 regions of Uzbekistan (discussed further in Table 2).

These selected 45 facilities were chosen from a total of 250 schools, 50 kindergartens and 44 medical facilities that had been proposed by line ministries country wide. These engagements were conducted with key informants, through public disclosure, a televised workshop and face-to-face meetings with directors, supply managers and other related staff (administrators, bookkeepers, teachers, doctors) of facilities during the energy audits. Photos from these engagements given in Annex 3.

The team assessed building characteristics, heating options, energy consumption, and recommended energy efficiency and distributed renewable energy interventions. Comments and recommendations made during the engagements were used to improve Project design by identifying different standardized renovation packages, which were developed for a typical public building.

The Ministry of Energy and line ministries including, Ministry of Preschool Education (MoPSE), Ministry of Public Education (MPE) and the Ministry of Healthcare (MoH) have been present in all decision-making activities, particularly through participating in working groups and steering committees.

Line ministries were involved in the decision on and submission to the MoE of the initial lists of eligible educational and medical facilities recommended to participate in the Project. According to the list provided by the line ministries, the project is expected to support energy efficiency & clean energy investments in approximately 824 public buildings (approx. 3% of the total number of public buildings in Uzbekistan) over 5 years of implementation. The planned investments will cover only existing public buildings (schools, medical facilities and pre-schools) that meet the criteria for selection of buildings for retrofitting. The following criteria were developed as a result of the discussion:

- central public ownership;
- not had extensive energy efficiency& clean energy renovations in the past 10 years;
- structurally and seismically safe; and
- have no plans for office moves, closure, building demolition or sale

Additional stakeholder consultation meetings will be conducted during the appraisal stage and current SEP will be updated and redisclosed when any significant updates are made.

Table 2 provides a summary of the stakeholder engagement undertaken to date.

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Table 2 Previous Stakeholder Engagement

Date	Venue	Type of consultation	Participants	Information discussed	Feedback provided
November 2019	Offices of Ministry of Energy, WB and Juru	Mission workshop	World Bank, Line Ministries and Consultant	Financing mechanisms and preferred EE measures	Selected options to be assessed on cost as well as technical basis a technical report to be prepared
October 2021 onwards	Virtual	Official request	Ministry of Finance	Feasibility Study provided for review	Provided financial advice on the findings of the Feasibility Study
October 2021 onwards	Virtual	Official request	Ministry of Investments and Foreign Trade	Feasibility Study provided for review	Provided comments and recommendations on Feasibility Study
October 2021 onwards	Virtual	Technical Working Group (TWG)	Representatives of the line ministries (MoH, MoPSE, MoPE)	Advisory and consultation body set up to provide technical expertise, and operational guidance on day-to-day implementation challenges, facilitate access to facilities, discuss feasibility studies	On-going advice as necessary regarding the Project.
October 2021 onwards	Virtual	Project Steering Committee	High-level officials (deputy minister level) of MoE, MoF, MIFT, MoH, MoPE, MoPSE, Fund (observer) and chaired by MoE.	Provides strategic guidance specific to the Project	Decisions about the annual Project budget, workplan, assess overall progress
September 10 - October 4, 2021	45 public facilities consisting of 11 pre-schools, 20 public schools, 5 polyclinics and 7 hospitals within 7 regions (Tashkent, Namangan, Syrdarya, Andijan, Ferghana,	As part of an express energy audit	Directors, deputy directors, chief doctors, supply managers and other related staff (administrators, bookkeepers, teachers, nurses)	Presentation provided on the project and its benefits Walk through undertaken with participants to discuss concerns at the facility. Participants were asked about the temperature of the buildings, and their comfort levels. Also, the audit examined the	Request for solar panels to be incorporated Want energy efficiency & clean energy and removal of coal boilers Want to promote net-zero and autonomous systems Concerned about whether buildings can continue to function – were told that generally buildings remain

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	<p>Khorezm region and Karakalpakstan Republic</p> <p>A further 100 sites were then audited</p>			<p>building's characteristics, options for heating, and energy consumption bills.</p>	<p>open, and work is undertaken in the evenings and on weekends</p> <p>Based on the results of the walk-through energy audits, different standardized renovation packages were developed for a typical public building.</p>
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5. STAKEHOLDER IDENTIFICATION AND ANALYSIS

Stakeholder identification is used to identify and prioritize potential Project stakeholders. Stakeholder identification is a continuous process, thus key stakeholders will be identified throughout the Project implementation stages. For this Project, these may be identified as following:

- Project-affected parties (PAPs) - People, social groups and organization who are affected or are likely to be affected by the Project: This group mainly includes attendees of pre-schools and schools, patients and visitors of health facilities, their management boards and workers (teachers, health care personnel and other employees) who will benefit from the proposed investments. Also, the inhabitants of local residences and owners of businesses in close proximity to the construction planned site, including local roads, are included in this group as they will be directly affected by construction activities.
- Other interested parties (OIPs)- People, social groups and organizations who may have a possibility to influence and make decisions on the implementation of the Project and/or may have an interest in the Project. This group mainly includes governmental entities such as ministries, local authorities, public institutions and NGOs.

It is particularly important to understand project impacts and whether they may disproportionately fall on disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project. Details are given in section **Ошибка! Источник ссылки не найден...**

Project stakeholders have been identified through a desk-based review. Future updates will be made as a result of Project site visits, once eligible facilities have been identified.

5.1. Stakeholder Mapping

Stakeholders are defined as an individuals/ institutions (agency)/organizations that can impact upon or get impacted by the project. In order to define a communication process with the stakeholders, several groups that may be interested and/or affected by the project implementation have been identified and they are presented in Table 3.

Early understanding of the influences or connections of a stakeholder group to the project, assists in the identification of the key objectives in engagement. In this regard a stakeholder mapping exercise was undertaken to identify the importance of each stakeholder, assesses the influence that stakeholders have over a project and/or the way project activities will potentially affect stakeholders. As the project evolves, other stakeholder groups may be identified and engaged. Stakeholders have their responsibilities according to which they are divided into separate groups, different responsibilities are described for each group table 3.

5.1.1. Disadvantaged / Vulnerable Individuals or Groups

Disadvantaged and vulnerable groups are those who may be disproportionately impacted or further disadvantaged by the Project as compared to any other groups due to their vulnerable status, and who may require special engagement efforts to ensure their equal representation in the consultation and decision-making processes related with the Project.

During the preparation of this SEP, it was assessed whether there will be any groups who might be affected differently by the Project due to their gender, age, ethnicity, religion, physical or mental disability or other attributes. The assessment identified that there are at least five vulnerable groups affected by the Project who might require different channels of communication. During Project implementation, the Contractor may identify further vulnerable groups who shall then be added to the SEP and appropriate communication methods will be identified.

Ошибка! Источник ссылки не найден. provides the results of the stakeholder mapping. It includes a summary of all of the identified stakeholders (both PAPs and OIPs that are affected or likely to be affected by the Project, positively or negatively, and their responsibility for the project:

Table 3 Relevant stakeholders and their responsibilities for the Project

Stakeholder Group	Stakeholder Entities	Responsibilities to Project	Method of communication
Project Affected Parties			
National Government bodies	Ministry of Energy	<ul style="list-style-type: none"> - Daily Project implementation, including monitoring the implementation of Project plans and mechanisms. - Monitor Project compliance with local legislation - Participate in the implementation of some activities in the ESMP and SEP 	Face to face meetings/ phone calls/ written correspondence.
	Line ministries (MoPE, MoPSE and MoH).	<ul style="list-style-type: none"> - Participating in Project Steering Committee - Participating in Technical Working Group - Monitor Project compliance with local legislation - Participate in the implementation of some activities in the ESMP and SEP 	
	Ministry of Finance	<ul style="list-style-type: none"> - Approval of payments and financing. - Monitoring of management of flow of funds 	
	The Fund	<ul style="list-style-type: none"> - Set up energy service agreements (ESA) - Use revolving finance mechanism to fund the Project 	
	State Committee on Ecology and Environmental Protection	<ul style="list-style-type: none"> - National EIA, issue permits for tree cutting (if required), biodiversity. 	
	Ministry of Employment and Labour Relations	<ul style="list-style-type: none"> - Support Enforcing the Standards for Labor and Working Conditions 	
	Agency of Cultural Heritage under Ministry of Sport and Tourism of the Republic of Uzbekistan	<ul style="list-style-type: none"> - To confirm if the structures are protected cultural heritage buildings 	
Local and regional authorities	District and regional khokimiyats	<ul style="list-style-type: none"> - Support to implement the project - Providing necessary permits <ul style="list-style-type: none"> - Transfer all complaints to the Stakeholder Engagement Specialist - Make available the disclosed E&S 	Face to face meetings/ phone calls/ written correspondence.
	Mahalla offices		

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Stakeholder Group	Stakeholder Entities	Responsibilities to Project	Method of communication
		information and documents	
Directly affected community members	Children and students	<ul style="list-style-type: none"> - Invited to engage, ask questions and comment on the Project at Project Meetings and through discussions with the Stakeholder Engagement Specialist where it is of interest or of relevance to them - Lodge their grievances using the GM defined in the SEP - Help the implementing entities to define mitigation measures 	Face to face meetings / public meetings / public hearings / telegram channel / phone calls / written correspondence/ village walk-throughs / distribution of leaflets / social media.
	Patients of health facilities and their visitors		
	Staff/employees of educational and health facilities		
	Administration of educational and health facilities		
	Parents of attendees of educational facilities		
	The inhabitants of local residences and owners of businesses to close proximity to the planned construction site		
Vulnerable groups	Elderly or disabled hospital patients	<ul style="list-style-type: none"> - Expressing their opinions, suggestions and specific proposals during the preparation and implementation of sub-project activities - As users the technical designs and proposal of the activities will be shared with the group, Provide feedback. i.e. physical access issues 	Face to face meetings/ phone calls / telegram channel / written correspondence.
	Illiterate people or those that do not speak predominantly used languages (such as migrants)		Face to face meetings/ public meetings / TV and radio / village walk-throughs / public hearings / phone calls.
	Migrant workers		TV and radio / public meetings / posters and leaflets
	Attendees of schools or hospitals in remote or rural areas		Face to face meetings/ public meetings / social media / phone calls / posters and leaflets.
	Parents that do not have a say in school management		
Companies	Contractors and construction workers	<ul style="list-style-type: none"> - Following the implementation of the OH&S and environmental standards in all project phases, - Following labor requirements of the Project under ESS2 	Public meetings / written correspondence / phone calls / telegram channel / distribution of leaflets/ social media.
	Private EE service providers (e.g., energy auditors, design firms, construction companies, equipment suppliers)		

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Stakeholder Group	Stakeholder Entities	Responsibilities to Project	Method of communication
	Procurement firms	- Require information on construction packages and employment opportunities	
Financial institution	World Bank	- Providing financial support for realization of the project	Email / written correspondence / Phone calls
Other Interested Parties			
Indirectly affected communities (in a wider area)	Community members and general public that are not directly impacted by the project	- Providing information about delays on certain sub-projects during the execution of project activities	Public meetings / phone calls / telegram channel / distribution of leaflets/ social media.
Civil society, NGOs, research bodies	NGOs in the field of education, health and social inclusion	- Interested in monitoring and overseeing Project progress.	Face to face meetings/ phone calls/ written correspondence / social media.
Media	National and local television, radio stations, newspapers, social media and other online publications	- Will be involved in disseminating information about the Project.	Written correspondence / phone calls.

A variety of communication methods will be used as appropriate for each group of stakeholders. Table 4 provides an example of the specific needs of PAP and vulnerable Project stakeholders, their characteristics, languages used and preferred means of notification. It also provides restrictions some PAPs may have towards the timing of engagement activities. This information will continue to be updated in future versions of this SEP to reflect needs that are identified during Project implementation.

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Table 4: Techniques for each stakeholder group

Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs (accessibility, large print, childcare, daytime meetings)
Local officials (khokimiyats and mahalla offices)	Local government officials that will wish to stay informed of activities undertaken in their jurisdiction.	Uzbek/Russian	Face-to-face meetings, phone or email	N/A
Children and students	Children up to the age of 18, that will need to be informed of the danger of construction sites	Uzbek/Russian/ Karakalpak/Locally spoken languages	Face -to-face meetings	During school hours. Where possible construction works to be undertaken during vacations to avoid impacts.
Patients of health facilities and their visitors	Sick and injured people that are currently using, and people in the community that use the health facilities. Visitors that come to meet with patients in the facilities.	Uzbek/Russian/ Karakalpak/Locally spoken languages	Face-to-face meetings, public consultations, letters, emails.	Accessibility
Staff/employees of educational and health facilities	Teachers, nurses and doctors that will have their schedules disrupted by the Project and may need to be temporarily relocates.	Uzbek/Russian	Face-to-face meetings, public consultations, letters, emails.	Timed so it does not impact the functioning of the facility.
Administration of educational and health facilities	Management of the schools or health facilities. Will be concerned about disruptions to services.	Uzbek/ Russian	Face-to-face meetings, phone or email	Timed so it does not impact the functioning of the facility.

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Parents of attendees of educational facilities	Local community members, they will be concerned about impacts to their children, extra money and time costs as a result of the Project.	Uzbek/Russian/Karakalpak/Locally spoken languages	Public meetings, letters, emails	Childcare may be required
The inhabitants and owners of businesses or residential structures in close proximity to the planned construction site	Local community members, will likely be concerned about possible impacts to their businesses or construction nuisance at their residences.	Uzbek/Russian/Karakalpak/Locally spoken languages	Public meetings, letters, emails	After business hours
Elderly or disabled hospital patients	May have (physical or technological) difficulty accessing information on the project and providing feedback in some engagement formats.	Uzbek/Russian/Karakalpak/Locally spoken languages	Letter or face-to-face	Accessibility, large print documents
Illiterate people or those that do not speak predominantly used languages (such as migrants)	Will have difficulty accessing information on the project and providing feedback in some engagement formats.	Uzbek/Russian/Karakalpak/Locally spoken languages	Radio, TV, public consultations or face-to-face	Information provided verbally
Migrant workers	Will have difficulty accessing information on the project and providing feedback in some engagement formats. May not have an understanding of national legislation.	Russian/migrant language	Radio, TV, public consultations	Information in relevant languages / translation services
Attendees of schools or hospitals in remote or rural areas	May need to travel distances to attend meetings. Will likely have agricultural commitments that mean they cannot attend some consultations.	Uzbek/Russian/Karakalpak/Locally spoken languages	Email or phone	Accessibility, consultations undertaken around farming requirements

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Parents that do not have a say in school management	May not have a voice to raise concerns in a normal setting. Will be concerned about impacts to their children, extra money and time costs as a result of the Project.	Uzbek/Russian/Karakalpak/Locally spoken languages	Public consultations, emails, phone calls	Forum in which they feel comfortable raising concerns and questions.
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6. STAKEHOLDER ENGAGEMENT PROGRAM

Stakeholder engagement activities will be ongoing through the whole life cycle of the Project, (Project's preparation, pre-construction, construction and operation phases. The overall responsibility for stakeholder engagement will be held by the Stakeholder Engagement Specialist and specific timing for consultation at each location will be determined once the eligible facilities have been selected. At each of the eligible facilities the following types of engagement will be held:

- Identification of project energy requirements and initial surveys:
 - Design walk through with building user committees, particularly including vulnerable building users as part of the energy audit activities. Committee members and other interested end-users of the buildings will be invited to jointly walk through the building and provide their feedback on the needs,
 - Social monitoring surveys to supplement the walk-through consultations and collect data from students, patients and professionals working in the facilities selected on a sample basis. Questions will likely encompass subjective evaluations of comfort levels, quality of windows, joinery, heating systems, air, lighting, etc.
- Design phase consultations – Pre-commissioning roundtables to share and discuss project activities, building improvements and the results of the walk-through consultations and social monitoring surveys (any corrective action which was taken to address issues raised through the feedback process). In addition, the roundtables will serve as public information events - presenting short movies of case studies and publicly disseminating beneficiary feedback and actions taken.
- ESMP checklist and C-ESMP preparation consultations – meetings and consultations with key stakeholders to determine information requirements for the ESMP, and to determine specific information on the eligible facilities (including timing constraints for construction, language requirements for stakeholders, preliminary identification of vulnerable groups).
- Pre-construction consultations – disclosure to PAPs of key Project dates, as well as information on employment opportunities (and managing expectations of community members as to how many jobs the Project will create).
- During construction – providing information to PAPs and other interested stakeholders at key Project phases, as necessary (expected to be approximately monthly).
- Pre-operations consultation – disclosing to PAPs the timeframe for completion of the works
- Project handover – official hand-over of the facility to staff and local government entities including also a final design walk through and social monitoring surveys focused on the completion of the works.

The relevance of some of these types of engagements will depend upon the construction timeframe at each eligible facility. For example, should the construction last less than one month it is unlikely that the 'during construction' consultations will be necessary.

This SEP covers the proposed engagement activities for these phases according to the anticipated needs of stakeholders. The nature and frequency of follow up consultations will be different depending on the subprojects. It is recognized that that being open, listening to stakeholders and ensuring that they understand proposed Project activities and timelines is the best approach to building effective relationships with them to assist minimize Project impacts. At all consultations the GM should be discussed and means to raise grievances should be disclosed to stakeholders.

6.1. Proposed Strategy for Information Disclosure

Before starting of the Project activities, all affected parties will be informed about the Project's scope and contact information which they can address for further information and a proactive stakeholder engagement campaign will be undertaken to raise public awareness about energy efficiency & clean energy among women and men. The main information and engagement tools and methods that will be used throughout the Project implementation of the Project will be:

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- Brochures, leaflets, posters
- Presentations and short movies
- Websites and social media pages of MoE and relevant line ministries
- Mass media (Newspapers, radio, television)
- Official correspondence (official letters and emails)
- Meetings (face-to-face meetings, roundtables, public consultations, virtual meeting spaces such as Zoom),
- Building walk-throughs and social monitoring surveys
- E-mails and mobile phone messaging services (including Telegram).

MoE intends to provide all relevant information for the Project to the public (via social media, national and local TV and radio stations). All interested and affected parties will be able to find the following documents on the MoF website (www.finance.gov.mk) and MoE website:

- Environmental and Social Management Framework (ESMF)
- Labour Management Procedure (LMP)
- Stakeholder Engagement Plan (SEP) including grievance mechanism
- Environmental and Social Due Diligence instruments that will be developed for each sub-project (Environmental and Social Management Plan Check Lists – ESMP Check Lists)
- Environmental and Social Commitment Plan (ESCP)

These documents will remain in the public domain for the duration of the Project. The SEP will be periodically updated.

6.2. Proposed Strategy to Incorporate the View of Vulnerable Groups

As vulnerable people may have difficulty attending public meetings, or understanding the content of the meetings, and therefore may not be able to provide their comments and inputs on the Project. For elderly and disabled people in smaller settlements, the Project will attempt to undertake face-to-face meetings. In larger settlements, where this is not possible, the Project will identify representatives of these vulnerable groups and consult with them in the first instance.

For people with poor literacy, information will be provided by radio and/or television and they will be able to provide their feedback verbally, either at a public consultation or via telephone. For people with language issues, the Project will identify languages spoken at each community during the preparation of the Project-specific ESMPs, and at that time determine which languages information needs to be provided in to include all relevant stakeholders.

The Project will organize several citizen engagement activities to consider feedback from project beneficiaries. Participatory approaches in planning and monitoring such as participatory design walk-through consultations and social monitoring surveys will empower building end-users and give voice to vulnerable beneficiaries.

6.3. Timelines

The Project construction is expected to start in the fourth quarter of 2022 and to last until 2027. It is expected that the Project will be constructed in regions, with a core team of workers travelling region-by-region where eligible facilities are identified. The exact timeframe and order that the Project will be undertaken will not be fully known until the list of eligible facilities has been finalized.

6.4. Review of Comments

Comments received during the participatory design walk-through consultations and the social monitoring surveys will be used to inform the Project design. The Project will request and receive comments from key

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stakeholders during all meetings and public consultations these will be collected and taken into account when related to project implementation.

The Project will implement an overarching grievance redress mechanism which will be disclosed to stakeholders at all public meetings, through which stakeholders can raise concerns and comments related to the Project.

6.5. Future Phases of Project

Stakeholders, particularly PAPs will be kept informed as the Project develops. The Project will be required to prepare environmental and social performance reporting, which will include the implementation of the SEP and the GM.

The Projects will prepare high-level monthly reporting on the whole Project monthly during construction, and then semiannually during operations.

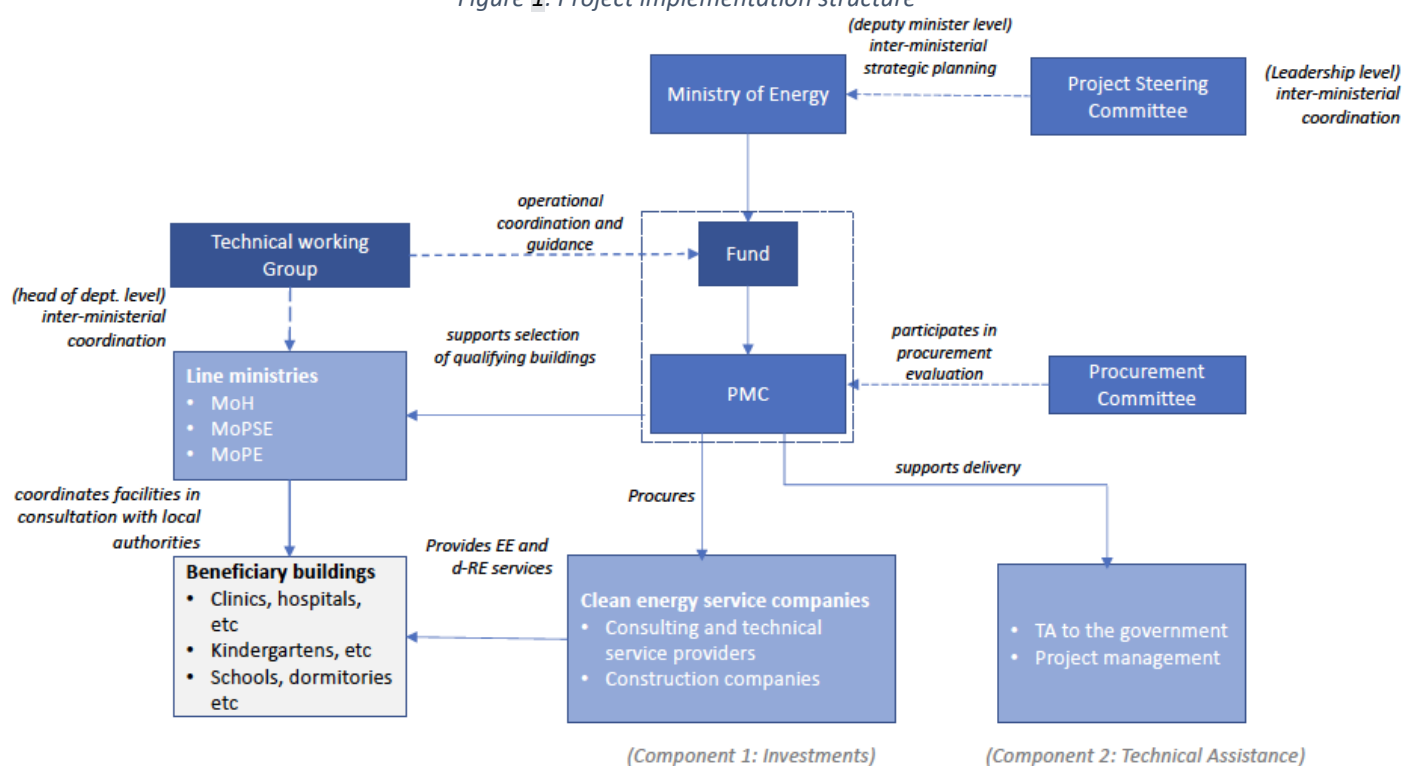
7. RESOURCES AND RESPONSIBILITIES FOR IMPLEMENTING STAKEHOLDER ENGAGEMENT ACTIVITIES

7.1. Implementation Arrangements

The MoE is the main responsible institution for the implementation of the SEP of the Project. In turn, the MoE will hire the PMC, which will recruit a Stakeholder Engagement Specialist who will be the responsible person for implementation of the SEP during the entire Project cycle, and in charge of communicating with the local communities. In addition, part-time and/or full-time consultants will be involved, if needed, to support the PMC and Stakeholder Engagement Specialist in implementing SEP activities and communicating with the stakeholders. The PMC Manager will be responsible for the grievance mechanism (GM) with the Stakeholder Engagement Specialist responsible for receipt and recording of grievances. In addition, the PMC will hire environmental and social specialists who will be responsible for the preparation of the environmental and social impact assessment for the Project.

The Project implementation arrangements are summarized in Figure 1 below⁴.

Figure 1: Project implementation structure



7.2. Implementation of SEP

Implementation of the SEP will be conducted through the PMC. The PMC is headed by the Project Director who is the responsible person for the overall Project implementation. The PMC Stakeholder Engagement Specialist is the responsible persons for implementation of the SEP during the entire Project cycle, and in charge of communicating with the communities. The management, coordination and implementation of the SEP and its integral tasks will be the responsibility of the Stakeholder Engagement Specialist.

All contractors in charge of carrying out specific Project activities will also be required to implement the relevant provisions of SEP. The grievance mechanism requirements will be laid out in the tender documentation and contracts signed with the contractors.

⁴ The draft Project Appraisal Document, the Word Document, 2022

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Twice a year, the World Bank team will visit to assess compliance with agreed actions, verify reported performance-based conditions, review additional relevant documentation, and identify enhancements for the monitoring and evaluation systems.

7.3. Roles and Responsibilities

The Stakeholder Engagement Specialist will take responsibility and lead all aspects of stakeholder engagement. However, in order to implement the various activities envisaged in the SEP, the Stakeholder Engagement Specialist will need to coordinate closely with others, in particular the environmental and social specialists and other national and local government departments/agencies, the contractor and subcontractors, the affected municipalities and PAPs. The roles and responsibilities of these actors/stakeholders are summarised in **Ошибка!** **Источник ссылки не найден.** below.

Table 5: Responsibilities of key actors/stakeholders in SEP Implementation

Actor/Stakeholder	Responsibilities
PMC (including the Stakeholder Engagement Specialist)	<ul style="list-style-type: none"> ▪ Planning and implementation of the SEP ▪ Coordinating stakeholder engagement activities ▪ Managing GM at Project level ▪ Monitoring of contractors SEP activities ▪ Reporting to MoE and the World Bank on environmental and social performance
Contractors (sub-contractors)	<ul style="list-style-type: none"> ▪ Inform PMC/MoE of any issues related to their engagement with stakeholders ▪ Transmit and resolve complaints caused by the construction activities in close collaboration with and as directed by PMC ▪ Prepare, disclose and implement various plans (e.g., C-ESMP, Labour Management Plan, etc.) ▪ Inform local communities of any environmental monitoring e.g., noise, vibration, dust ▪ Inform the workers of GM for workers ▪ Inform local communities of GM at subproject level ▪ Announce important construction activities (such as road closures and available alternatives) ▪ Announce important construction activities (such as restriction of access and available alternatives)
National Government Authorities: <ul style="list-style-type: none"> ▪ Ministry of Investment and Foreign Trade ▪ Ministry of Construction ▪ Ministry of Energy ▪ Ministry of Finance ▪ Ministry of Health ▪ Ministry of Housing and Communal Services ▪ Ministry of Public Education ▪ Ministry of Pre-school Education 	<ul style="list-style-type: none"> ▪ Monitor Project compliance with local legislation ▪ Participate in the implementation of some activities in the ESMP and SEP ▪ Line ministries to be involved in: <ul style="list-style-type: none"> ○ Technical Working Group ○ Project Steering Committee
The Fund	<ul style="list-style-type: none"> ▪ Set up energy service agreements (ESA)

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	<ul style="list-style-type: none"> Use revolving finance mechanism to fund the Project
Project Steering Committee	<ul style="list-style-type: none"> Interagency committee at the deputy minister level comprising of MoE, MoF, MIFT, MoH, MoPE, MoPSE, Fund (as an observer) and chaired by MoE Oversee the activities of the Project, provide strategic guidance specific to the Project, and enable high level coordination among the ministries
Technical Working Group	<ul style="list-style-type: none"> A head of department-level working group which will provide technical/operational guidance to the Fund and PMC.

7.4. Estimated Budget

MoE will be responsible for carrying out stakeholder engagement activities for the project. The stakeholder engagement activities will be documented as part of the project progress reporting requirements, and as indicated in the Environmental and Social Commitment Plan (ESCP). The costs are covered under MoE budget lines. A tentative budget for the implementation of the five-year stakeholder engagement plan is reflected in Table 9. The table below summarises all stakeholder engagement activities in one place for better coordination and monitoring.

Table 6: Estimated budget required for implementation of SEP

Stakeholder Engagement Activities	Unit	Quantity	Unit cost, USD	Total cost, USD
Recruitment of one Stakeholder Engagement Specialist during the project implementation period	months	60	600	36,000
Travel expenses of Stakeholder Engagement Specialist to conduct public consultations during the project implementation period	years	5	6,000	30,000
Stakeholder engagement and community awareness materials and campaign (posters, flyers, brochures, videos)	years	5	4,000	20,000
Capacity building on ESHS monitoring and reporting, ESF, LMP, Waste Management Plan, SEP, GM, SEA/SH, ESF for the MoE, Fund, PMC, Contractors	Pcs	10	5,000	50,000
Public awareness activities through media (TV, newspapers, social platforms)	years	5	2,000	10,000
Intermediate total:				146,000
Contingency expenses				4000
Grand total				150,000

PMC, in coordination with the MoE, will review this plan every six months in order to determine whether any changes in stakeholder classification or involvement are required. If so, the plan will be updated, and a new version will be circulated. The budget will be revised accordingly.

8. GRIEVANCE MECHANISM

8.1. Statutory Grievance Mechanism in Uzbekistan

In Uzbekistan, any citizen has several channels to submit his or her complaints regarding the actions or activities undertaken by local government bodies. Grievances can be raised:

In general:

- Telephone the President's virtual reception line (tel number is 1000 or 0-800-210-00-00) or send message to the President's Virtual reception online (www.pm.gov.uz);
- Telephone hotlines established at each district or regional Khokimiyat;
- Attend meetings with district/regional Heads of Sectors on integrated socio-economic development of the 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;
- Write a complaint letter to regional Khokim/ line Ministry/President;
- Visit public reception offices under the President's virtual reception, established in each regional center nationwide.

At the village (makhalla) level:

- Visit the Mahalla Citizens' Assembly Office to meet with the Chair;
- If a citizen is not satisfied with reply provided by the Makhalla Chair, or s/he has received an incomplete response, the citizen can address their concern to the District Khokimiyat.

At the District level:

- Visit the Khokimiyat on 'citizens reception days' to meet with the district Khokim or deputy Khokims;
- Visit the Public reception offices under the President's Virtual reception, established in each district nationwide;
- If a citizen is not satisfied with the reply provided at the district level, or he has received an incomplete response, the citizen can apply to the Regional Khokimiyat.

At the Regional level:

- Visit the Khokimiyat on 'citizens reception days' to meet with the regional Khokim or deputy Khokims.

8.2. Project Grievance Mechanism

An overarching Project grievance mechanism will be set-up in compliance with the World Bank's ESS10 requirements to ensure that all comments, suggestions and objections received from the Project stakeholders especially from the nearby surrounding communities and facilities are dealt with appropriately and in a timely manner. The grievance mechanism serves as an important feedback mechanism that can improve Project impact and mitigate the risks. This mechanism will be available to all Project stakeholders and other affected parties, enabling them to submit questions, comments, suggestions and/or complaints and provide any form of feedback on all Project related activities.

It is important to note that there will also be a separate grievance mechanism for workers/employees during construction and operation phases, it is included in the Labor Management Plan (March 2022).

The primary grievance focal point to raise grievances will be the Site Manager appointed by Contractor and the Stakeholder Engagement Specialist will be responsible for overall management and monitoring of the GM. The contact information of both of these people will be provided at all locations where the works are being

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performed and during information disclosure activities. The Stakeholder Engagement Specialist will keep a grievance log of all grievances received by the Project and will monitor the resolution of the grievance and be responsible for ensuring the grievances are closed out in a timely manner. The Ministry of Energy, the Fund and PMC will all be involved, as relevant, in providing a resolution to the grievances, which will then be noted in the grievance log by the Stakeholder Engagement Specialist.

Grievances can be raised to the Fund or the PMC, during the construction and operations phases, through the following methods:

- Via mail or e-mail
- On the website (<https://minenergy.uz/>)
- Via telephone
- Directly to the site manager, Stakeholder Engagement Specialist or any other worker on site, who will take the grievance and pass it to the Stakeholder Engagement Specialist
- During public meetings and consultations
- Submission on site of a Grievance Registration Form, (which is provided in Annex 1)

The Project stakeholders will be informed about the grievance mechanism and the methods for raising grievances during the consultation and disclosure activities and in Project information disclosure documents.

The Project Site Manager will be primarily responsible for receiving grievances on the individual sites and the Stakeholder Engagement Specialist will be the person responsible for receiving all grievances (everyone who receives a grievance, whether written or verbally will pass on the information to the Stakeholder Engagement Specialist). The Stakeholder Engagement Specialist will log all grievances in a grievance log and manage the completion of the tasks required to close out each grievance.

The GM will keep strict confidentiality of data, including the personal information of all complainants. At the stage of grievance receipt/registration the complainant will be informed that they can submit a grievance anonymously. Complainants will be informed that some grievances may not be able to be responded to if they are made anonymously. Where responses can be made the responses to anonymous grievances will be disclosed to the MOE website (<https://minenergy.uz/>).

Within three days of receipt and registration of a grievance, a complainant will receive written notification of receipt of their grievance, that includes a proposed timeline for the necessary investigation (depending on the request) and a preliminary timeframe for the response. If the grievance is not considered appropriate to pursue, this information will be provided to the complainant with an explanation why.

Within two weeks of receipt of the grievance a response will be provided. It will be provided in a language that is suitable for the complainant, i.e., Uzbek, Russian or Kazakh. Resolution of the grievance will be communicated to the applicant in writing. In the case that a complainant is not able to receive a written response, the complainant will be contacted via telephone and informed of the results of their grievance.

Should extra time be required to investigate a complex grievance, the complainant will be informed of the new timeframe in which they should expect their response.

Should the complainant not be satisfied with their response, the Project will re-investigate. If the complainant remains unhappy with the response, they have the right to start other legal action under the Uzbek judicial process in order to resolve the grievance to their satisfaction.

The Project will disclose a summary of the implementation of the GM, and grievances received in an annual report to stakeholders. The information will be made anonymous and no identifying information on specific individuals will be included in the reporting.

8.3. Grievance Log

All grievances will be compiled in a grievance log that will be maintained by the Stakeholder Engagement Specialist. Grievances will be given an individual reference number so that it can be tracked and recorded and a close out date provided when the grievance is satisfactorily resolved.

An example of a grievance log has been included as Annex 2.

8.4. World Bank Grievance Redress System

Project stakeholders who believe that they are adversely impacted by a World Bank (WB) supported project may submit complaints to the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project stakeholders may submit their complaint to the WB's independent Inspection Panel which determines whether harm has occurred, or could occur, as a result of a WB project's non-compliance with its policies and procedures.

Grievances can be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the WB GRS, please visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

9. MONITORING AND REPORTING

The MoE shall maintain, throughout the implementation of the Project, a steering committee with responsibilities and composition, including, inter alia, representatives from the MoE, MoH, MoPSE, MoPE, MIFT, and MoF. The MoE, in collaboration with the Fund, will consolidate progress reports on Project activities implemented by the PMC, Fund, and MoE; updates from the line ministries, and progress reports provided by the PMC on completed procurement, disbursements, physical progress of renovation works and Project indicators to report on overall Project implementation progress. The MoE will submit the overall implementation progress reports to the Bank and other stakeholders on a semi-annual basis.

PMC will maintain a database and activity file detailing all public consultation, disclosure information and grievances collected throughout the Project, which will be available for public review on request. PMC will also closely monitor the effective implementation of all safeguards' instruments (Environmental and Social Management Plan (ESMP), SEP and the Grievance Mechanism designed under the Project. The PMC will prepare and submit reports on stakeholder engagement activities for the World Bank on a semi-annual basis. These reports will provide a summary of all public consultation issues, grievances and resolutions.

ANNEX 1 – GRIEVANCE REGISTRATION FORM

Reference No: _____

Note: You have a right to remain anonymous if you prefer or request not to disclose your identity to the third parties without your consent. In case of anonymous grievances, the decision will be disclosed at the MoE website <https://minenergy.uz/>

First name _____

Last name _____

- ☐ I wish to raise my grievance anonymously
☐ I request not to disclose my identity without my consent

Contact Information:

(Please mark how you wish to be contacted (mail, phone, e-mail)).

- ☐ by mail (please provide your mailing address):

- ☐ by phone: _____

- ☐ by e-mail _____

Preferred Language for communication: ☐ Uzbek ☐ Russian ☐ Other (indicate) _____

Description of Incident or Grievance

(What happened? Where did it happen? Who did it happen to? What is the result of the problem? Date of Incident/ Grievance)

Date of Incident/ Grievance

- ☐ One-time incident/grievance (date _____)
☐ Happened more than once (how many times? _____)
☐ Ongoing ((currently experiencing problem _____)

What would you like to see happen to resolve the problem?

Signature: _____ Date: _____

Please return this form to:

(Contact information of Project Site Manager)

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ANNEX 2 – GRIEVANCE LOG

Application ID	Received Date	Name of applicant, if applicable	Contact Details if applicable	Preferred Language	Requested Anonymity	Summary of application	Responsible Person for responding	Actions to be undertaken	Due date	Results of the Actions	Closing date	Evidence (if applicable)

ANNEX 3 – PHOTOS FROM PREVIOUS ENGAGEMENTS DURING THE ENERGY AUDIT CONDUCTED IN SEPTEMBER-OCTOBER 2022



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