



PEACE, PROSPERITY AND
REGIONAL INTEGRATION

STAKEHOLDER ENGAGEMENT PLAN

**Food Systems Resilience Program for Eastern and Southern Africa, (P178566)
Stakeholder Engagement Plan (SEP)**

April2022

1. Introduction/ProjectDescription

1.1 IGAD Region Context

There is a long trajectory of institutional efforts across the region to reduce vulnerability and build resilience. The Intergovernmental Authority on Development (IGAD) was established in 1986 and amended its establishment agreement in 1996 to coordinate the efforts of Member States (MS)¹, among others, achieve regional food security and encourage and assist efforts of Member States to collectively combat drought and other natural and man-made disasters and their consequences. The IGAD region covers an area of 5.2 million km² with a current population of just over 270 million people, projected to reach half a billion by 2050. Among the eight (8) IGAD Member States, three (3) are land-locked, namely: Ethiopia, South Sudan, and Uganda. Strong dependence by the populations of the IGAD region on natural resources such as rain-fed agriculture and livestock, which are highly vulnerable and most exposed to climatic hazards, implies that a large part of the population is vulnerable to food insecurity. The region is projected to have strong annual demographic growth ranging between 2.5% and 3.5%, and at present over 60% of the estimated 270 million people in the region being youth i.e., thirty years and below. The youth population brought with them both opportunity and challenge depending on how well it is managed.

IGAD has a longstanding partnership on resilience building with development partners such as EU, AfDB, World Bank, UN Agencies, FAO, IFAD, and many others. The engagement covers strengthening resilience against droughts; food security information and analysis; early warning and disaster risk management; implementation of cross border actions; conflict prevention; natural resource management; market access and trade; and capacity building, institutional strengthening and coordination through the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI). Today, IGAD is leading the coordination of the region's response to key challenges at the intersection of climate resilience, water resources and fragility. IGAD has been developing capacities within its institutional framework, for regional and country-scale coordination and implementation of programs on several important themes such as programs of resilience, food security, climate prediction and hydromet services, livestock/pastoral support, platforms for groundwater management and transboundary pest management, and an observatory of regional conflict. At the regional level, the activities undertaken by IGAD will complement national and local efforts by strengthening institutional capacity, as well as the enabling environment for food security at national and subnational scales.

1.2 Project Description

In line with the overall MPA Program, IGAD's interventions include activities designed to respond immediately to the food insecurity crisis as well as medium- and longer-term investments. To support the AFE FSRP, IGAD will ensure regional coordination and facilitation of specific interventions under Program components as follows:

Component 1: (Re-)Building Resilient Agricultural Production Capacity

IGAD will contribute through regional support to strengthening the resilience of food supply to shocks and stressors through following activities. IGAD will provide technical assistance, organize knowledge management and communication on innovations and technologies, and organize capacity building and training programs.

Subcomponent 1.1: Developing national or regional agricultural information systems

¹IGAD has 8 member states: Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan, and Uganda

IGAD will promote regional information systems and knowledge. Specifically, IGAD will: (i) establish a regional architecture of digital climate advisory services (DCAS) that includes climate-date monitoring and interpretation services on demand from countries. The DCAS will provide timely and site-specific recommendations on crop cultivars, soil preparation, optimal sowing, fertilization, and harvest time, and other information that will enable them to better manage agricultural risks and reduce uncertainties that often constrain decision-making. IGAD will also: (ii) strengthen capacity for agriculture and environment data and statistics; (iii) coordinate regional-scale input quality-control through strengthened standards and certification of seeds, fertilizer, pesticides, and other goods and services; (iii) support regional agricultural risk management mechanisms that include index based agricultural (Crops and livestock) insurance and credit solutions; and (iv) establish a food system monitoring mechanism for HoA that includes national food system technical working groups of public, private, CSOs and academia/research institutes etc., coordinated food systems data collection and analysis protocol, and develop the state-of-food systems report for HoA.

Subcomponent 1.2: Developing and delivering agricultural/farming technologies and services

Specifically, IGAD will (a) strengthen existing regional research centers and establish new national and regional research centers. For this IGAD will: (i) support the upgrading of existing national centers through institutional linkages with regional and international networks, academic and research institutions; (ii) coordinate specific knowledge and expert exchange programs among national and regional centers; (iii) facilitate the establishment of Regional Center of Leadership (RCoL) in participating countries partnership with CCARDESA;² (iv) facilitate establishment of Regional Monitoring Control and Surveillance (MCS) Center to combat Illegal, Unregulated and Unprotected (IUU) fishing; (v) support implementation of CAAPF 3rd biannual report recommendations, and update IGAD Regional agriculture Investment plan (RAIP) and link with National agriculture investment plan (NAIP); (vi) facilitate the adoption of a One Health approach in HoA by establishing a regional platform that will convene and coordinate animal, human, and environmental health services, through regional interagency coordination and knowledge products; and (vii) support IGAD Sheikh Technical Veterinary School and Reference Centre (ISTVS) to provide better veterinary, animal production, crop production and dryland livelihoods in ASAL region.

IGAD will also (b) promote regional agricultural R&D. It will specifically: (i) facilitate regional agricultural information systems that connect national systems to provide coordinated research and data on climate smart and resilient agriculture; (ii) establish a regional FFS, pastoralist field school (PFS), and Fish Field School (FiFS) curricula that follows an experiential learning model based on the demonstration, practice, and application of learning material on farmers' own plots; and (iii) facilitate regional research through IGAD Centre of excellence (ICEN) on broad range of topics e.g. cross-border livestock disease and pest-prevention; pest and pathology surveillance and response; cross-border knowledge exchange mechanisms for agricultural mechanization; seed production and quality monitoring; and livestock breed improvement; bio-risk management in HoA; nutrition, food chemistry and food microbiology, etc.

IGAD will also (c) support scaling up of up of climate smart agriculture initiatives in HoA through: (i) regional policy formulation on climate smart and resilient agriculture; (ii) develop and support community adaptation investment programs, national and subnational capacity strengthening for delivering extension

²There are 5 RCoLs currently operational in Southern Africa that provide regional-scale agricultural innovation and R&D institutional mechanism for conduction joint research and dissemination, cross-country exchange of knowledge, expertise, and climate-adapted varieties and technologies, thereby allowing regional specialization around priority farming systems and more strategic investment in agricultural research capacity. Under the Agricultural Productivity Program for Southern Africa (APPSA) (P164486), five (5) RCoLs are established. These include: Angola – Cassava RCoL, Lesotho – Horticulture RCoL, Malawi – Maize RCoL, Mozambique – Rice RCoL, and Zambia – Legumes RCoL.

and field schools; and (iii) facilitate evidenced-based agroclimatic information for regional dialogue and national and regional policy support.

Component 2: Supporting sustainable development of natural resources in agricultural landscapes

IGAD will support and coordinate transnational and regional technical assistance, analytical and advisory work, and training efforts, especially on topics related to sustainable management of transboundary natural resources.

Subcomponent 2.1: Identification and validation of interventions at the local or watershed level

IGAD will: (i) undertake a regional assessment of hydromet monitoring, weather advisory services, and spatial analysis tools to improve the timely availability and quality of data for decision-making; (ii) build a regional knowledge base for coordinated action, the prioritization of intervention areas and themes, and the development of specific territorial investment plans; (iii) support domestication and roll out of regional environmental policies and frameworks on pollution, invasive species management, etc.; (iv) promote pilots for transboundary management of biodiversity at selected cross-border national parks; and (v) strengthen HoA Wildlife Network (HAWEN) secretariat in its efforts to fight illegal cross-border wildlife trade by establishing centers at cross-border to care confiscated animals.

Subcomponent 2.2: Investments identified or validated in 2.1

IGAD will coordinate country and regional progress on CCBs through: (i) establishing a regional mechanism that consists of a simple and effective georeferenced monitoring system designed and implemented to assess the impacts of decisions taken and actions carried out at the landscape level; (ii) support implementation of IGAD rangeland management strategy; (iii) facilitating scale up of proven fodder interventions in some pilot areas along the wet and dry season grazing areas; (iv) facilitating integrated climatic risk and impact indicators to model scenarios on how key agricultural sectors will be impacted by climate change in IGAD region (how productivity will change under different emission scenarios); (v) conducting crop suitability mapping based on different future climatic scenarios to inform long term planning and policy; and (vi) establishing multistakeholder and multisectoral coordination mechanism on climate security that promote knowledge among pastoral and agro-pastoral communities on Rangelands Drought Early Warning.

Component 3: Getting to market

To support the development of competitive agrifood value chains and well-functioning marketing infrastructure, IGAD will support HoA member states in taking full advantage of the AfCFTA and other intraregional trade and value addition opportunities.

Subcomponent 3.1: Developing competitive value chains

IGAD will support this subcomponent through studies on risk assessments and value chain competitiveness. IGAD will: (i) conduct value chain analyses; (ii) support assessment of market intelligence systems, including their responsiveness to the needs of smallholder farmers and other value chain actors; (iii) coordinate regional studies on the costs of doing business; (iv) support assessment of market compliance and quality controls.

IGAD will also coordinate regional knowledge development and dissemination on value chain and market competitiveness through: (i) conducting a regional assessment of epidemio-surveillance, trade border controls, seed certification, pesticide quality controls, etc.; (ii) developing a HoA Regional Agricultural Trade

and Market Scorecard fashioned after the EATM-Scorecard³ in partnership with other regional organizations e.g., SADC, COMESA, as well as representatives from Member States in particular producers' groups, farmers unions, and private sector, etc.; (iii) support young agripreneurs in HoA region through training-of-trainers (ToT) on topics like value addition of selected products, business incubation through business startup planning or business upgrading, etc.

Subcomponent 3.2.: Upgrading marketing infrastructure

IGAD will conduct a cross-country assessment of the market and trade connectivity infrastructure that includes: (i) an assessment of border-crossing posts and economic priority zones for their ease-of-trade; (ii) new cross-country trade and economic corridors connected through road and rail infrastructure; (iii) the strength of current border procedures, as well as "single-window" and "multi-tier" operations that facilitate or hinder the cross-border movement of goods and services; (iv) the extent of digital connectivity in trade facilitation services and areas for improvement to inform country policy reforms; and (v) assessment of cross border livestock and fish markets and diagnostic capacity.

Component 4: Promoting food systems resilience in national and regional policymaking

IGAD will support national government agencies and regional organizations in ways that pertain to high-level policies, initiatives, institutional arrangements, and even budgeting decisions that have cross-cutting relevance to food systems resilience. IGAD will closely work with participating countries and other regional institutions to coordinate, collaborate, and to the extent feasible, jointly undertake preparation and implementation of regional policies and regulations to increase regional flows of agricultural goods and inputs, and to consolidate the regional food reserve system.

Subcomponent 4.1: Making food systems resilience a priority in public policies and spending

IGAD will (a) support country-level efforts to make food systems resilience a higher priority of public policies and spending in multiple ways. IGAD will support countries in integrate resilience-focus into existing and new policies by: (i) conducting policy review to assess resilience-focus within country-policy frameworks and technical assistance to strengthen it within existing and upcoming policies; (ii) developing a new-generation framework of agricultural Public Expenditure Review (PER) that supports alignment of public resources with resilience-informed policy priorities; (iii) advising on how to better align price and policy incentives in agriculture, natural resources management, trade, and other domains with food systems resilience objectives; (iv) reviewing and advising on the harmonization of key agricultural policies such as ones relating to seed production and the cross-border movement of germplasm and other genetic material, and agricultural expenditure tracking systems; and (v) facilitate development of a regional climate resilient livelihoods policy and action plan.

IGAD will (b) increase regional collaboration to build compliance on SPS, quality, and traceability systems. It will do this by (i) promoting innovative and digital mechanisms (potentially blockchain approaches) within country and regional value chains; (ii) providing technical assistance on harmonizing legislation and policy frameworks to support implementation of national SPS systems by countries; (iii) facilitating knowledge and experience exchanges among country stakeholders and experts from international networks and institutes;

³ The ECOWAS Agriculture Trade and Market Accountability Mechanism is being developed under the West Africa Food Systems Resilience Program MPA (P172769). The Scorecard aims to assess implementation of policy commitments on agricultural trade and market access in the region by identifying country-level policy gaps and areas for improvement related to intra-regional agricultural and food trade.

and (iv) strengthening of the East Africa Parliamentary Alliance on Food Security and Nutrition (EAPA-FSN).

IGAD will (c) review and modernize the architecture of existing food stock or food reserve systems. Its actions will include: (i) mapping existing food reserves in HoA and identifying areas of support needed to strengthen these; (ii) promote and coordinate commodity exchanges between reserve systems across member states where this is mutually beneficial; (iii) develop a digitized information and decision-making support component for food reserves; (iv) integrating advanced technologies for procuring, importing, storing, and monitoring food stocks and grain reserves; (v) facilitating interagency coordination; and (vi) updating and modernizing inventory and warehousing capacities at country level with attention to harmonizing systems across the region to facilitate the movement of food during crisis situations.

Subcomponent 4.2: Building the capacity to implement resilience-focused policies

IGAD will strengthen its own technical and program delivery capacities to: (i) conduct policy analysis and harmonization through analytical work, needs assessments, and policy dialogue or policy harmonization activities in key areas that affect R&D at national and regional levels; (ii) conduct and disseminate thematic analytical work such as seed production and regulatory systems, intellectual property rights, biosafety regulations, and similar topics; (iii) impart training and knowledge on resilience-themed technical subjects through existing and emerging multisectoral stakeholder platforms; (iv) facilitate regional consultations on trade protocols, biotechnology safety guidelines, regulatory and inspection mechanisms, and other topics.

Subcomponent 4.3: Supporting regional organizations to build food systems resilience transnationally

Under this subcomponent IGAD’s capacity to support implementation of the MPA will be strengthened. Specifically IGAD will **(a) strengthen its various technical and institutional capacities** including: (i) technical capacities relating to digital technologies, competitiveness, and marketing compliance strategies, and so forth; (ii) institutional capacity to design and implement regional information and management systems (MIS) and operationalize the regional M&E system; (iii) institutional capacity for knowledge generation and dissemination and use of advanced information and communication technologies (ICTs); (iv) technical capacity for conducting regional agricultural R&D coordination and integrated natural resource management analysis; (v) capacity to implement cross-border dissemination of improved varieties and technologies in partnership with other regional organizations; and (vi) capacity to promote regional cooperation for improved data exchange on agriculture, food security, vulnerability, One Health, agricultural risk financing and insurance, and related topics.

IGAD will (b) build its capacity to organize inclusive multistakeholder dialogue and consultation mechanisms, and negotiations related to continental free trade through: (i) strengthening IGAD’s organizational and communication capacity to organize high-level forum, meetings, and other events to deliberate, negotiate and collaborate among countries, international agencies, and development partners on import food-resilience topics; (ii) strengthening its ability to organize multi-country and regional trade dialogues in food and other agricultural goods and services to facilitate intraregional trade in raw and processed foods, agricultural inputs, and technologies, and more; and (iii) enabling IGAD to promote multi-country and regional memorandums of understanding and other bilateral and multilateral agreements on resilience-relevant trade and knowledge systems, while reducing the movement of pests, pathogens, and invasive species.

2. Brief Summary of Previous Stakeholder Engagement Activities

The stakeholders in food system resilience engaged in overall food systems dialogue at regional and national level prior to the UN Food Systems Summit on April 29-30 2021. The AfDB and IFAD co-hosted, in collaboration African Union (AU) and Forum for Agricultural Research in Africa (FARA), a high-level dialogue to identify ways to expand activities, financing and partnerships to further leverage technology and innovation for transformation of agriculture in Africa. The dialogue was held over two days and assembled Heads of State, Ministers of Finance, Planning and Economy, Agriculture and Rural Development, and Research and Technology (Ethiopia, Sudan, Kenya, Uganda). They were joined by CEOs of Multilateral Development Banks, business leaders, private sector operators in agro-inputs (seed and fertilizer), investment agencies, academia and civil society organizations and experts across the continent and beyond.

Moreover, IGAD MS and other stakeholders are engaged through different regional platforms like IDDRSI (IGAD MS, UN agencies, AfDB, WB, GIZ, Embassies, Farmer Federations and other agencies) that meet once in a year for Steering Committee meeting to present the progress on resilience building and on food security. Food and Nutrition Working Group (IGAD, FAO, UNICEF, WFP, OCHA, WHO, WFP) conduct monthly meetings and update and predict the food security and climate alert.

IGAD has also developed a regional strategy for post-harvest loss and is also finalizing Sanitary and Phyto-Sanitary (SPS) strategy that served as platform for stakeholder engagement in the food and resilience agenda. IGAD MS agriculture directors, food production experts, FAO, WFP, Farmer Federations and others met during 3 workshops (Baseline report review, technical validation of the strategy and ministerial adoption meetings).

In 2020 IGAD developed a regional strategy on nutrition and food security in response to desert locust, flooding and COVID. This strategy was presented for development partners and brought different stakeholders together. All IGAD MS ministers of agriculture, agriculture experts, FAO, WFP, IFAD, WB attended two platforms (Technical review of the strategy and adoption by the ministers) that resulted adoption of the strategy as a joint regional strategy.

The participants of the above platforms provided strong feedback that IGAD region is the most food insecure and also vulnerable to climate related hazards that aggravate the food and nutrition insecurity. They have emphasized that the food production system needs an innovative approach by using improved agricultural technologies and providing regional framework for sharing of technologies. Moreover, the platform on desert locust management advised that locust is transnational/transboundary and there is a need to have regional framework on transboundary pests and diseases.

The outputs of the above engagements helped inform the design of the Project in particular the components that would be implemented by IGAD and early identification of potential environmental and social risks and impacts.

3. Stakeholder Identification and Analysis

The identification of the key stakeholders, who will be informed and consulted about the project, including individuals, groups, or communities, is informed by the previous historical stakeholder information related to the similar projects implemented by IGAD. Those key stakeholders are

categorized as those that:

- Are affected or likely to be affected by the project (project-affected parties);and
- May have an interest in the project (other interestedparties).

3.1. AffectedParties

The main stakeholders likely to be directly affected by the project are the IGAD Member States from the regional cross-border interventions.

Stakeholder Group	Engagement of Interest
<p>Ethiopian Ministry of Agriculture will be fully engaged and primary group</p> <p>Other IGAD Member States Ministry of Agriculture are also affected because they will be engaged with the development and validation of regional policies, frameworks and management of transboundary diseases, pests and management of natural resources</p>	<p>Food and nutrition insecurity is the biggest challenge in IGAD MS. IGAD region is agricultural region with low productivity and also affected by drought.</p> <p>The project intervention that will enhance agricultural productivity by using improved technology for dryland areas, management of cross-border pests, regional policies on facilitation of trade, enhancing value addition will attract them because it is at the heart of their policy.</p>
<p>Beneficiaries at national governments and communities level</p>	<p>Given the nature of the activities to be implemented by IGAD the beneficiaries will be the governments and peoples of participating countries and IGADmember states who will benefit from increased regional support to strengthen food systems resilience.</p>

3.2. Other InterestedParties

The Other Interested Parties (OIP) include individuals/groups/entities that may not experience direct impacts from the Project but who consider or perceive their interests as being affected by the Project and/or who could affect the project and the process of its implementation in some way. Other interested parties include, among others, government institutions that may be involved in various ways in the project, as well as academia, civil society, international organizations, the media, etc.

IGAD secretariat and its different entities that will play a big role in the implementation of the project activities. The Steering Committee Members of the project at regional level will play a key role in the overall coordination and information sharing, scaling up of best practices, synergy with on-going similar projects.

Stakeholder Group	Engagement of Interest
<p>IGAD Secretariat and specialized institutions</p>	<p>The executing units for the region-level activities will include the IGAD related entities, Agriculture and Environment</p>

	Division (AED), Economic Cooperation and Regional Integration Division (ECRI), HSD and IGAD specialized institutions (ICPAC, CEWARN, ICPALD, ICEN) who will support the implementation of the technical components of the Project.
Regional Steering Committee (RSC)	The FSRP-CU will be overseen by a Regional Steering Committee (RSC) who's primary function is to provide policy and technical guidance to the implementation of the project.
International and regional partners such as FAO, other UN Agencies, World Bank, AFD, USAID, EU, FSDO, NGOs, Research institutions among others	The partners have invaluable experience including knowledge, skills, and resources for the establishment of resilient food systems based on innovations. IGAD will work closely with them on identification of best practices that enhance agricultural production and productivities adapted to the regional climate.
Media	These have wide regional and global coverage that can be utilised for awareness creation and visibility. They will promote and popularize improved agricultural technologies for the farming community as well as they will create awareness to policy makers to increase investment on food systems.

3.3 Disadvantage or Vulnerable Individuals or Groups

Disadvantaged/vulnerable individuals and groups are also those who may not have a voice to express their concerns or understand the impacts of the Project and are sometimes excluded from engagement and /or project benefits. The project will consider engagement approaches to ensure participation of those who represent the interests of vulnerable individuals or groups activities, policy development, studies etc. Vulnerable groups include pastoralists, women (including female headed households), Internally Displaced Persons (IDPs), and indigenous communities. These groups may have distinct livelihoods activities and be more vulnerable to shocks within food systems.

3.4 Stakeholder Needs

The above stakeholders will play an important role in the management and implementation of the project activities. Implementing partners will play a key role in the overall institutional structure and arrangements of the platform, through either jointly implementing the activities with IGAD or acting as sources of information and technical capacity. The Table below describes the key characteristics, specific needs and communication means for major stakeholders.

Table 1: Summary of Project Stakeholder Needs

Community	Stakeholder group	Key characteristics	Language needs	Preferred notification means(e-mail, phone, radio, letter)	Specific needs (accessibility, large print, childcare, daytime meetings)
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IGAD Member States	Ministry of Agriculture and other ministries related to food and nutrition, climate	Consists of high-level technical representatives whose knowledge and skills in food systems	Official Language: French (Djibouti) and English	Translated letter, shared electronic documents (reports) via email and presented / discussed when needed at formal meeting	Public and virtual consultations meetings with translation
IGAD Secretariat and specialized institutions	AED, ECRI, HSD ICPAC, CEWARN, ICPALD, ICEN	Formulate and implement regional interventions, policies and strategies	French and English	Translated letter, shared electronic documents (reports) via mail, phone call for follow up, leaflets/ informative notes	Project roles and responsibilities, support in stakeholder engagements, information generation and dissemination. Regular formal and informal meetings
International and regional partners	UN Agencies, Bank, AFD, USAID, EU, FSDO, NGOs, Research institutions	Knowledge generation and documentation	English	Email, telephone calls, meetings (in person or virtual)	Project progress, project preparation and implementation, other stakeholder engagements, joint control and management efforts, experience sharing Regular formal and informal meetings
Regional Steering Committee (RSC)	IGAD, WB, MS, SADC, ASARECA, ILRI, etc	Organizations working regionally on food systems with similar projects and also cover the same geographical areas	English	Email, telephone calls, meetings (in person or virtual)	Project progress, project preparation and implementation, other stakeholder engagements, joint control and management efforts, experience sharing Regular formal and informal meetings
Media	Radio and TV stations, international media, IGAD websites and social media page	Wide regional and global coverage that can be utilised for awareness creation and visibility	English	Email, telephone calls, meetings (in person or virtual)	Alerts, press releases, project reports and events Periodic meetings with media channels

4. Stakeholder Engagement Program

4.1. Purpose and timing of stakeholder engagement program

The overall goal of this Stakeholder Engagement Plan is to ensure a systematic, consistent, comprehensive and coordinated approach to stakeholder participation and communication throughout the project cycle. The SEP outlines ways in which the project team will communicate with stakeholders and feedback mechanism to be utilised. The plan will guide timely engagement with key stakeholders as

well as dissemination and increased access to relevant project information. The project will innovate ways for consultations to be effective and meaningful to project and stakeholder needs while considering Covid-19 restrictions. Strategies to be employed include virtual and physical meetings, phone calls, and emails.

Implementation Phase

Stakeholder engagement is an inclusive process that must be conducted throughout the project cycle. The key stakeholder’s engagement activities to take place during the project preparation stage through implementation and closure are:

- a) **Preparation Phase:** One mini workshop will be co-hosted by IGAD and World Bank team will take place in May 2021. The workshops will engage the potential Steering Committee Members (IGAD and its entities, WB, Ethiopia, Madagascar, AU, EAC, SADC, ASARECA, COMESA). Moreover, the WB and IGAD team will have frequent meetings and consultation on the project implementation to ensure that all stakeholders interest is addressed.
- b) **Implementation Phase:** At the official project launch meeting, the PCU will invite the PSC to present the ToR of the Steering Committee and also the project plan and implementation arrangement. The interest of those key stakeholders is to help to steer the project through from start to completion, approving the Work Plans and Budget as well as providing inputs. Participation in the launch meeting will be extended to IGAD representatives from other divisions and specialized institutions, other stakeholders like CSO, DP etc. The launch event will take place within 3 month of the project’s effectiveness date.

Two Steering Committee meetings per year, either virtual or face-to-face, are foreseen for the project. In addition, to those planned meetings, any other meetings and workshops could be organized as needed.

In case of any stakeholder consultations meeting/workshops, either virtual or face-face, the PCU will strive to provide relevant information to stakeholders with enough advance notice (10-15 business days) so that the stakeholders have enough time to prepare and to provide meaningful feedback. The PCU will gather written and oral comments, review them and report back to stakeholders on how those comments were incorporated, and if not, provide the rationale for reasons for why they were not within 10-15 working days from the stakeholder consultation event. The timeframe for notice for a ministerial event will be 3 months in advance with official letters sent via email through the Ministry of Foreign Affairs IGAD Focal points.

4.2. Proposed strategy for information disclosure

The electronic copies of the disclosure materials will be placed on the IGAD and World Bank websites to allow easy access for all stakeholders. The IGAD websites have an on-line feedback feature that will enable readers to leave their comments in relation to the information shared. The disclosure materials will also be shared with the targeted stakeholders through email, and during project related meetings. In addition to disclosure of the various project materials (ESCP, SEP, PID), formal channels will be put in place to register and document comments and suggestions from the public. These grievance arrangements shall be made publicly available to receive and facilitate resolution of concerns in relation to the Project.

Table 2: Information disclosure plan

Project stage	List of information to be disclosed	Communication channels	Target stakeholders	Timetable: location/date	Responsibilities
Preparation Phase	Project Concept note ESF documentation that is required for disclosure by the WB -SEP with GRM -ESCP	Email, intranet, website, meetings	Project Coordination Unit and implementing entities/divisions of IGAD	In person or virtual up to onemonth after project effectiveness	IGAD/PCU
Project Launch	-Project information document -key activities, work plan -Implementation modalities -Key elements of ESCP and SEP	Shared via Email with an official invitation letter	Project Coordination Unit and implementing entities/divisions of IGAD and other stakeholders listed above	15 days before the meeting, all stakeholders will be informed and shared with them the key documents by email as 100% target.	IGAD/PCU
During implementation (after the launch)	Progress Reports on: -Activities -M&E framework -TDA studies -ESIA assessment	Via email	Project Coordination Unit and implementing entities/divisions of IGAD and other stakeholders listed above	Throughout the implementation period	IGAD/PIU

4.3. Proposed strategy for consultation

For the stakeholder consultation, as described in below table, the foreseen strategies will be through email, virtual and/or face-to-face workshops and meetings.

Once consultations have taken place, stakeholders will want to know which of their suggestions have been taken on board, what risk or impact mitigation measures will be put in place to address their concerns, and how, for example, project impacts are being monitored.

Table 3: Proposed strategy for stakeholder consultations

Project stage	Topic of consultation	Method used	Timetable: Location and dates	Target stakeholders	Responsibilities
Preparation Phase	Project design's activities, SEP including GM, ESCP	Virtual consultations meetings, documents shared via emails	During the preparation and formulation phase	PSC and IGAD entities	IGAD/PCU

Project Launch	Project 1 st year work plan with budget SEP including GM and ESCP Project Design	Virtual and / or Face-to-face consultations meetings, documents shared via emails	Within 3 months after the project's effectiveness date	PCU,IGAD entities and PSC	IGAD/PCU
During implementation (after the launch)	-Progress reports -Policy issues at Higher level -SEP including GM, ESCP etc..if revisions needed	Workshops/meetings, email for dissemination of documents	-Biannual meetings -As needed rise	-MS, SC, IGAD secretariat and entities	IGAD/PCU

4.4. Proposed strategy to incorporate the view of vulnerable groups

The views of vulnerable or disadvantaged groups (VDG) will be sought during the project implementation. In depth analysis is required in order to fully understand who are the VDG and what are their issues related to specific elements of the Project to be implemented / advanced by IGAD. Their interests will be reflected in any policy and/or strategy document developed during the implementation of the project, through engagement with these groups and or their representatives.

In conclusion, PCU will emphasise the need to engage with and consider the views of VDGs in all Terms of Reference either for individual or firm consultancy services for policy assessments at the national level, policy and strategy development reports at the regional level as well as any other studies or assessments.

4.5. Timelines

The information on timelines for project phases and key decisions that was described above are:

c) **Preparation Phase:**

IGAD SEP and ESCP finalized at the 30th March 2022. The concern stakeholders will have each time one week (7 days) to give comments and feedbacks. Then PCU will have to synthesise all received comments for one week and send them back. Final WB Board approval in May 2022. The expected effectiveness date of the project is June 2022.

d) **Implementation Phase:** The launch event will take place within 3 months after the project's effectiveness date.

During the implementation, it is foreseen to have a regular biannual meeting with the project steering committee. In addition, when needs rise, key stakeholders will be consulted in due time. All comments received during the consultation meetings/workshops will be finalised and shared to all participants at the events in a format of action items.

4.6 Review of Comments

All written comments on reports will be sent by email to the stakeholders either with track changes or in form of text message/note. After receiving all stakeholders' comments within one week after the shared date, the PCU will review and send them back within 7 working days.

All oral comments during consultation meetings will be taken into account as an action item. This will

be cleared by the PCU at the last day of the mentioned organized event.

5. Resources and Responsibilities for implementing stakeholder engagement activities

5.1. Resources

During the preparation phase, IGAD Environment specialists with the Technical Support from the World Bank will develop. The main deliverables are to provide and review the SEP, and ESCP documents. The rest of consultations process between partners, member states and IGAD are only in a form of virtual meetings and via email.

During project implementation one safeguard specialist will be recruited to join PCU. IGAD staffs will also provide support to the Project and that they will be responsible for ensuring implementation of the SEP and GM throughout project implementation.

For more information about the implementation of the SEP, please contact the below persons (individual names may change):

Eshete Dejen (PhD)

Program Manager for Environment Protection

Eshete.Dejen@igad.int

5.2. Management functions and responsibilities

At the regional level, the proper implementation of the SEP will be under the direct responsibility of the IGAD task team leader.

The PCU will be assisted by the Program Manager of Agriculture and Food Security and the entire IGAD Communication team. In addition, as needed due to the urgency of a situation, as for the current SEP draft, IGAD has the capacity to mobilize and undertake the task. The IGAD Communication team is composed of 5 professional staff with complementary background communication skills. They will mainly support project information production and dissemination (preparation of webinars/video and GRM PR-materials).

The PCU will be in charge of communication and engagement with key stakeholders. The project formulating team from IGAD will be in charge of the document records, facilitation of logistical support to all consultation events, technical support (Google teams, WEBEX, Zoom...) for conducting online public consultations, meetings with communities, and other interested parties, assisting consultant(s) access to field trips in the IGAD Member States and any other duties related to stakeholder engagement.

6. Grievance Mechanism

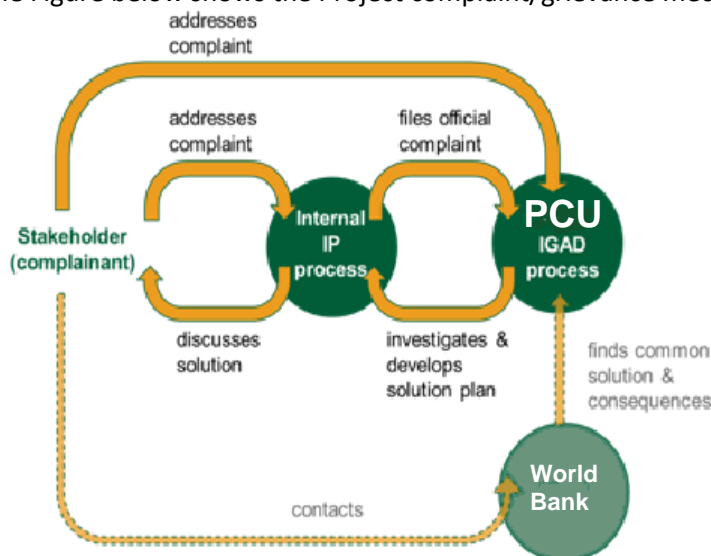
The purpose of the feedback, complaint and grievance redress mechanism (GRM) is to allow all project users and stakeholders to communicate on adverse impacts of the projects, potential damages, injuries or routine project activities and to effectively address any complaints, concerns or suggestions related to the project implementation, especially with regard to the environmental and social safeguards. Therefore, the mechanism will ensure the continuous improvement of the programme.

The project-level grievance redress mechanism (GRM) will be central to risks mitigation efforts and will help manage grievances from communities or by parties who feel that are or will be adversely affected by the program. The project-level GRM should serve as an avenue for communities to channel their

concerns. Each participated countries will establish an accessible, effective and efficient GRM with the capacity to receive and respond timely to grievances in the local languages.

For the IGAD GM, the PCU manages the Project GRM process and facilitates the resolution of any complaints that may arise as described and designed in the below Figure. The PCU, in particular its Project Task team leader, ensures that it can be reached for complaints (e.g., hotline, mobile number, electronic address). When no local solution can be found, the PCU is informed and investigates complaints in more detail and develops a solution proposal. In exceptional cases, when the complainant deems it necessary, the WB can be contacted directly. Please refer to the following website to make a complaint directly to WB: <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>

The Figure below shows the Project complaint/grievance mechanism.



The grievance mechanisms at all levels needs to be:

- scaled to address the risks and impacts on affected communities,
- culturally appropriate,
- clear and accessible for any individual or group at no cost (vulnerable groups),
- transparent and including regular reporting, and
- prevent retribution and not impede access to other remedies.

Important design principles include:

- **Accessibility:** the grievance mechanism should be directed to and disclosed to all people affected as well as other interested parties. The Human Resource Unit (hrunit@igad.int) is responsible to address grievances.
- **Acknowledgement:** the receipt of a complaint should be acknowledged within a short time frame (e.g., 5 days) after submission.
- **Timely and appropriate response:** the response should be proportionate to the risk.
- **Record: the complaint should be recorded including information on:** 1) name and contact details (unless requesting anonymity), 2) date of contact, 3) issue(s) raised, 4) proposed response, and 5) status (recorded, active closed).

- **Confidentiality:** If a complainant wishes to remain anonymous this will be accepted. No personal data will be made public. Details of the grievance will only be provided to those directly involved in the examination process.
- **Data management:** Personal data contained in the Complaints Register will be kept only as long as necessary to investigate the Complaint and implement a resolution. Personal data will then be either deleted or modified and transferred to an archive for a reasonable period.

For the Project workers(project implementation staff, consultants and firms hired under the Project), in addition to the above grievance mechanism, will sign the IGAD Code of Conduct 2018 (see Annex 1), and the IGAD Sexual Harassment Policy 2018 (Annex 2).The IGAD Whistleblower Policy (Annex 3)will be available to the workers to report grievances relating to accountability and integrity. Project workers are invited to report concerns relating to fraud, theft, use of inside information, bribes, gifts (etc.), inappropriate disclosure of confidential information, conflicts of interest and illegal acts.

7. Monitoring and Reporting

7.1. Involvement of stakeholders in monitoring activities

The IGAD project's theory of change developed during the preparation stage is useful for monitoring and evaluation. It helps identify better Key Evaluation Questions, key indicators for monitoring, gaps in available data, priorities for additional data collection, and a structure for data analysis and reporting.

With the clearly identified key indicators in the logframe of the project, the collection of the data for monitoring them will not require significant additional resources. Monitoring will be the responsibility of the paid project staff with the strong support of the IGAD Secretariat Monitoring & Evaluation team. In addition, MEL expert will develop M&E system within 90 days of the start of his duty.

The stakeholders will be involved monitoring the activities during the biannual meetings through presenting the progress report.

7.2. Reporting back to stakeholder groups

The results of stakeholder engagement activities will be reported back to both affected stakeholders and broader stakeholders as described below:

- At the biannual meetings with the PSC, discussions on the comments and recommendations will be presented as action items and shared on the last day of the event;
- For the comments on the consultant(s) report, PIU will send the report to the main stakeholders' via email. It will request them to provide their comments within one week. PIU will then submit the revised report within 7 working days;
- Training, communication and knowledge materials will be sent electronically to the participants by the PIU within 7 days after completion of the event;

These reports will rely on the same sources of communication that were used earlier in the current SEP document.

Stakeholders will be reminded of the availability of the grievance mechanism during meetings.

ANNEX 1: IGAD Code of conduct 2018

Statement by the Executive Secretary

Recognizing that local laws and cultures differ considerably from one country to another this code of conduct is based on International/Regional Intergovernmental Organizations legal standards. This code of Conduct is applicable to all employees as defined in the IGAD Service Regulation, and provides guidance in terms of behavior and conduct in all circumstances. In accepting appointment; you undertake to discharge your duties and to regulate your conduct in line with the requirements of this Code. This Code is, of course, broadly stated and therefore, is not intended to be a complete listing of detailed instructions for every conceivable situation. Rather, it is intended to help you develop a working knowledge of the Rules and Regulations that affect your job as well as maintaining a conducive work environment.

1. Purpose

This code of conduct seeks to capture and encompass the spirit of cooperation and collegial respect under which a working environment will be sustained.

Employees will be expected to:

- a) Treat all people fairly and with respect and dignity.
- b) Observe all local and international laws and be sensitive to local customs.
- c) Ensure that my professional conduct and behavior does not bring IGAD into disrepute.
- d) IGAD engages with governments, public interest groups, Regional Economic Communities and a broad range of other similar bodies around the world. In doing so, we must ensure we comply with all laid down guidelines.
- e) The Authority recognizes each employee's right to participate as an individual in social and political activities. However, these activities must be kept separate from the workplace.
- f) IGAD disassociates itself from any political or religious activity that incites extremism or undermines our commitment to cultural diversity and equal opportunity.

2. Conflict of Interest

This involves a conflict between the public duty and private interests of an employee in which the employee's private interests would improperly influence the performance of their official duties and responsibilities.

2.1 Gifts, Meals and Entertainment

An employee will not accept gifts, meals, entertainment or any remuneration from governments, beneficiaries, donors, suppliers and other persons, which have been offered with the intention to influence an outcome.

3. Health, Safety and Security

The Authority shall provide a safe, secure and healthy working environment for all employees. As far as possible, it shall safeguard health and safety in all its premises. Employees shall make good use of IGAD facilities.

All employees are expected to adopt a proactive, co-operative attitude towards the health, safety and security of all IGAD staff and suppliers, and others working at or visiting IGAD premises. All our operations must be conducted in compliance with applicable health and safety laws and regulations, Authority standards and best practice in workplace health, safety and security.

- a) Each employee should be aware of applicable IGAD safety and health programmes, as well as, regulations. IGAD staff should be appropriately trained for their respective roles, in order to conduct their activities in a safe, healthy and responsible manner.
- b) We will act to mitigate risks which arise from deliberate or accidental breaches in our physical security or threats to our people.
- c) Promptly report accidents, incidents, near misses, non-compliance with regulations or anything else posing a risk to health, safety and security, as may be applicable.

- d) Understand the hazards associated with our own job and those associated with our colleagues' jobs.
- e) Manage the risks responsibly and ensure any required health and safety training has been completed.
- f) Integrate health, safety and security consideration into our day-to-day working activities.
- g) Make sure we know what to do in case an emergency occurs at our place of work.
- h) Challenge unsafe behavior by others in a timely manner to demonstrate that unsafe behavior is unacceptable.

4. Substance Abuse

IGAD is committed to promoting the wellbeing of its staff by creating a safe and healthy work environment. Additionally, the authority recognises the negative impact that alcohol and drugs may have on the individual's ability to work safely and correctly. IGAD aims to ensure a working environment free from inappropriate use of substances where employees are unable to carry out their duties in a safe and efficient manner.

Any misbehavior witnessed as a result of intoxication shall be deemed unacceptable and will be handled as a disciplinary issue.

5. Physical Violence

In keeping with the laws of the land and staff regulations, physical violence of any nature by one member of staff against another is strictly prohibited. Differences between staff are expected to be resolved amicably with the respect that each deserves.

6. Use of Authority Resources

IGAD employees are expected to make responsible use of the information and resources to which they have. For the purposes of this section, resource & assets, shall be defined by the Financial Rules and Regulations.

Employees:

- a) Should not use Authority assets for their personal benefit or the benefit of anyone other than the Authority, unless allowed contractually.
- b) Are expected to make sensible use of facilities including the occasional personal phone call or e-mail from your workplace. Excessive personal calls or e-mail is a misuse of assets.
- c) Should use responsibly any digital communication channels that allow individuals to create and share content and post comments
- d) Should not use the Organization's resources to visit third party websites and gambling websites. This is strictly prohibited.
- e) Should not operate the Authority's assets unless authorized.

Misuse or theft of Authority assets whether by:

- a) Unauthorized removal or;
- b) Unauthorized information sharing or;
- c) Embezzlement or intentional misreporting of time or expenses may result in disciplinary measures being taken.

The Authority treats workplace theft of assets belonging to other employees the same way it treats theft of Authority assets.

7. Authority Information

7.1 Use of Information

For the purposes of this section, non-public information is any information which may not yet be disclosed to the public. Safeguard the Authority's non-public information is a responsibility of every IGAD employee.

7.2 Confidential Information

- a) Do not disclose non-public information to anyone outside the Authority, including to family and friends, except when disclosure is required by law. Even then, take appropriate steps, such as execution of a confidentiality agreement, to prevent misuse of the information.
- b) Do not disclose non-public information to others inside the Authority unless they have authority from the

Executive Secretary.

- c) Only authorized employee’s can issue external communications on behalf of the Authority.
- d) Employees are obligated to protect the Authority’s non-public information at all times, including outside of the workplace and working hours, and even after employment ends.
- e) Refer to IGAD Service Regulation, Financial Rules and Regulation, IT Policy and any other additional regulations for guidance and tips on safeguarding information.

7.3 Information Security

All employees using the IGAD digital systems must ensure that these resources are used appropriately and used in line with the IGAD IT Policy.

7.4 Record Management & Data Privacy

Accurate and complete record keeping is everyone’s responsibility. Employees who handle the records must:

- a) Act in accordance with applicable law;
- b) Act in accordance with any relevant contractual obligations;
- c) Exercise confidentiality and prevent unauthorized disclosure.

8 Non-Discrimination, Intimidation & Undue Influence

8.1 Non-Discrimination

All persons working or affiliated to IGAD, shall not practice any form of discrimination, instead, they shall be entitled to equal treatment irrespective of political inclination, gender, color of skin, religion, culture, education, social status, ethnic affiliation or nationality.

- a) In all aspects of employment, IGAD will treat individuals justly, solely according to their abilities to meet the requirements and standards of their job.
- b) IGAD recognizes the diverse skills and contributions of the workforce and will ensure that individuals are equitably remunerated for their contributions to the Authority.
- c) Physical, sexual, racial, psychological, verbal, or any other form of harassment or abuse will not be tolerated, any staff who engages in such conduct will be liable to disciplinary action.

8.2 Intimidation & Undue Influence

IGAD staff members either by their position or any other factor of influence shall not coerce, induce, intimidate or unduly influence any member staff or third parties with an intention of influencing their decision.

9. Sexual Harassment

IGAD will operate a zero-tolerance policy for any form of sexual harassment in the workplace, treat all incidents seriously and promptly investigate all allegations of sexual harassment. (Refer to Sexual Harassment policy)

10. Implementation of this policy

IGAD will ensure that this policy is widely disseminated to all relevant persons.

All new employees must be sensitized on the content of this policy as part of their induction into the company. It is the responsibility of every employee to comply and ensure that they are aware of the policy.

11. Staff commitment

I have read carefully and understand the IGAD Code of Conduct and hereby agree to abide by its requirements and commit to upholding the standards of conduct required to support IGAD’s aims, values and beliefs.

Name

Signature.....

Date.....

ANNEX 2: IGAD Sexual harassment policy 2018

1. The Policy Statement

The Intergovernmental Authority on Development (IGAD) is committed to providing a safe environment for all its employees free from any form of discrimination. IGAD will operate a zero tolerance policy to any form of sexual harassment in the workplace, treat all incidents seriously and undertake prompt investigation of all allegations of sexual harassment. Any person found to have sexually harassed another will face disciplinary action. This could culminate in dismissal from employment. All complaints of sexual harassment will be treated with respect and confidence. Furthermore, all employees who bring forward legitimate sexual harassment cases will be free of any and all reprisal or retaliation.

2. Purpose of the Policy

To define and institutionalise IGAD's response to sexual harassment and document the process, which is to be followed, should any grievances arise.

3. Sexual Harassment

Sexual harassment under this policy constitutes any unwelcome verbal, non-verbal or physical conduct of a sexual nature which makes a person feel offended, humiliated and/or intimidated; and interferes with work, productivity or wellbeing of others. It includes situations where a person is asked to engage in sexual activity as a condition for employment, promotion or benefit from a service or opportunity. Sexual harassment can involve one or more incidents.

Examples of conduct or behaviour which constitute sexual harassment include, but are not limited to:

3.1 Physical conduct

- a) Unwelcome physical contact including patting, pinching, stroking, kissing, hugging, fondling, or inappropriate touching;
- b) Physical violence, including sexual assault;
- c) The use of job-related threats or rewards to solicit sexual favours.

3.2 Verbal conduct

- a) Comments on a worker's appearance, age, private life, etc.
- b) Sexual comments, stories and jokes
- c) Sexual advances
- d) Repeated and unwanted social invitations for dates or physical intimacy
- e) Insults based on the sex of the worker
- f) Condescending or paternalistic remarks, sending sexually explicit messages (by phone or by email or any other means)

3.3 Non-verbal conduct

- a) Display of sexually explicit or suggestive material
- b) Sexually-suggestive gestures
- c) Whistling
- d) Leering

Both female and male employees, service providers, applicants, partners and clients of IGAD may be exposed to sexual harassment.

4. Scope of application of the Policy

IGAD recognises that sexual harassment is a manifestation of power relationships and often occurs within

unequal relationships in the workplace, for example between manager or supervisor and subordinate. Anyone, including employees of IGAD, suppliers, casual workers, contractors or visitors engaging in any acts of sexual harassment shall be reprimanded in accordance with this Policy. All forms of sexual harassment are prohibited under this Policy whether occurring within IGAD's premises or outside, including but not limited to: social events, official mission trips, training and other stakeholder workshops, meetings or conferences convened by IGAD.

5. Complaints procedures

Anyone who is subject to sexual harassment should, as soon as possible, inform the alleged harasser that the conduct is unwanted and unwelcome. He/she should then file a complaint with the human resources officer or any director or other senior member of management that he/she is most comfortable with. Where the victim is unable to directly inform the alleged harasser due to any reasonable cause, he/she may file a complaint with the Human Resources Office or any director or other senior member of Management that he/she is most comfortable with.

When a complaint is received the following action should be taken:

- i) Statement of fact recording the dates, times and facts of the incident(s)
- ii) Ascertain the views of the Complainant as to what outcome he/she wants.
- iii) Ensure that the Complainant understands the Organization's procedures for dealing with the complaint.
- iv) Discuss and agree on the next steps: either informal or formal complaint, on the understanding that choosing to resolve the matter informally does not preclude the Complainant from pursuing a formal complaint if he/she is not satisfied with the outcome.
- v) Keep a confidential record of all discussions.
- vi) Respect the choice of the Complainant.
- vii) Ensure that the Complainant knows that they can lodge the complaint outside IGAD through the relevant processes and applicable national law(s).

Throughout the complaints procedure, a Complainant is entitled to be helped by a skilled counsellor. IGAD will identify and train a number of counsellors to enable them assist victims of sexual harassment.

5.1 Informal complaints mechanism

If the Complainant wishes to deal with the matter informally, particularly for offenses that are not classified as serious or criminal, the designated/appropriate manager shall:

- i) Give an opportunity to the alleged harasser to respond to the complaint;
- ii) Ensure that the alleged harasser understands the complaints mechanism;
- iii) Facilitate discussion between both parties to achieve an informal resolution which is acceptable to the complainant; or if an amicable settlement cannot be reached refer the matter to another party (senior manager within IGAD), with the consent of both complainant and accused;
- iv) Ensure that a confidential record of proceedings is kept. All officials involved in the investigations/ case management must be bound by the duty to maintain confidentiality and impartiality during the hearing or after conclusion of the case;
- v) Follow up after the outcome of the complaints mechanism to ensure that the behaviour has stopped;
- vi) Ensure that the above measures are taken expeditiously and within a period not exceeding 14 days from the date of filing the complaint.

5.2 Formal complaints mechanism

If the Complainant wants to make a formal complaint or if the informal complaint mechanism has not led to a satisfactory outcome for the Complainant, the formal complaint mechanism should be used to resolve the matter.

The designated/appropriate person who initially received the complaint will refer the matter to the Executive Secretary to instigate a formal investigation. The Executive Secretary may deal with the matter, refer the matter to an internal or external investigator or refer it to a committee.

The person carrying out the investigation will:

- i) Interview the Complainant and the alleged harasser separately;
- ii) Interview other relevant third parties separately;
- iii) Ascertain whether or not the incident(s) of sexual harassment took place;
- iv) Produce a report detailing the investigations, findings and any recommendations;
- v) If the harassment took place, decide what the appropriate remedy the Complainant is, in consultation with the Complainant (i.e.- an apology, a change of working arrangements, a promotion if the Complainant was demoted as a result of the harassment, training the harasser, discipline, suspension, dismissal or possible prosecution under applicable national penal laws for offences such as rape;
- vi) Follow up to ensure that the recommendations are implemented, that the behaviour has stopped and that the Complainant is satisfied with the outcome;
- vii) Keep a record of all actions taken;
- viii) Ensure that all records concerning the matter are kept in trust and strict confidence. Such information shall be used only for the purposes required in fulfilling the purpose of this policy and as such shall not be used for any other purpose, or disclosed to any third party without approval;
- ix) Ensure that the process is done as quickly as possible and in any event within 21 working days of the complaint being made.

6. Sanctions and disciplinary measures

Anyone who has been found to have sexually harassed another person made false and malicious allegations thereof, under the terms of this policy liable to any, but not limited to, the following sanctions:

- a) Verbal or written warning;
- b) Transfer;
- c) Demotion;
- d) Suspension;
- e) Dismissal;
- f) Prosecution under national penal laws for serious offences such as rape.

The nature of the sanctions will depend on the gravity and extent of the harassment. Suitable deterrent sanctions will be applied to ensure that incidents of sexual harassment are not treated as trivial. Where, after proper investigations, there is evidence to support allegations of severe sexual assaults such as rape or attempted rape, such offences shall upon consultation with IGAD Legal Counsel, be referred to national authorities for criminal prosecution.

7. Appeals Process

Both the complainant and the accused may seek a review of any alleged failure to implement the procedures and principles of this policy fairly and reasonably. The subject may request a review of disciplinary action taken pursuant to this policy; the appeal must be in writing and submitted to the Human Resource Office within a reasonable time frame, not exceeding 30 days after the date of the disciplinary action, with clearly outlined grounds for the appeal.

8. Freedom from Reprisal

A person who brings a complaint in good faith should not be subjected to retaliation, and adverse action taken against a complainant that appears to stem from the registering of a complaint will be thoroughly investigated in accordance to the IGAD Whistle-blowing Policy Section 7 (Prevention of recriminations, victimization or harassment).

9. Implementation of this policy

IGAD will ensure that this policy is widely disseminated to all relevant persons.

All new employees must be sensitized on the content of this policy as part of their induction into the Organization. It is the responsibility of every employee to be aware of the policy and comply.

Every IGAD Employee shall be required to read this Policy and sign a declaration affirming to have understood his/her rights, duties and responsibilities therein. The signed declaration shall form part of the employee's personal file.

10. Declaration

I _____ do hereby affirm that I have read and fully understood my rights, duties and responsibilities under the IGAD Sexual Harassment Policy.

Position: _____

Duty Station/Section: _____

Signed _____

Date _____

Annex 3: The IGAD Whistleblower Policy

1. INTRODUCTION

Employees of organizations are often the first to realize that there may be something wrong with their organization, or that an employee or member of management or another affiliated person or organization has been involved with wrongdoing detrimental to IGAD's interests. However, they may decide not to express their concerns because they feel that speaking up would be disloyal to their colleagues or to the organization. They may also fear harassment or victimization. In these circumstances, they may feel it would be easier to ignore the concern rather than report what may just be a suspicion of malpractice.

IGAD's Whistle-Blowing Policy is intended to encourage and enable staff members to raise serious concerns within IGAD, rather than overlooking a problem or seeking a resolution for the problem outside IGAD, and to make it clear that IGAD will take necessary steps to protect them from victimization, subsequent discrimination or disadvantage.

This Policy is also intended as a clear statement that if any wrongdoing within IGAD or by any of its management or staff or by any of its projects or grant recipients is identified and reported to IGAD, this wrongdoing will be dealt with expeditiously and will be thoroughly investigated and remedied. IGAD will also examine how to prevent such wrongdoing in the future.

This Policy applies to all of the Secretariat's and project staff, including staff at Specialized Offices. It is also intended to provide a method for other stakeholders (suppliers, grant or aid recipients, project affiliates, etc.) to voice their concerns. The Internal Auditor is responsible for recommending any changes to this Policy.

2. DEFINITIONS FOR THIS POLICY

2.1. Whistle-Blowing

Whistle-blowing can be described as giving information about potential illegal and/or unethical practices, i.e. wrongdoing.

2.2. Wrongdoing

Wrongdoing involves behaviour that can result in financial harm or bring discredit to IGAD. It includes but is not limited to:

- An unlawful act, whether civil or criminal in the applicable Member State or country where the act occurred;
- Acceptance or offering of bribes or favours related to their association with IGAD;
- Undue favouritism or discrimination with respect to national, religious, tribal, or other ethnic groups in hiring, procurement, provision of service or any other form;
- Conflict of interest;
- Breach of or failure to implement or comply with any published IGAD policy;
- Knowingly breaching IGAD's regulations;
- Serious unprofessional conduct;
- Questionable or fraudulent accounting or other practices;
- Misuse of assets;
- Knowingly making a misstatement;
- Dangerous practice likely to cause physical harm/damage to any person/property;
- Failure to rectify or take reasonable steps to report a matter likely to give rise to a significant and avoidable cost or loss to IGAD or a project;

- Abuse of power or authority for any unauthorized or ulterior purpose;
- Sexual harassment;
- Providing false information on official documents or reports;
- Risking the organisation's resources;
- Consistently overriding controls

3. BASIC POLICY

Any IGAD or project staff/supplier/conference attendee/consultant/recipient/affiliated person or organization that makes a disclosure or raises a concern under this Policy will be protected if he/she:

- a) Discloses the information in good faith;
- b) Believes it to be substantially true;
- c) Does not act maliciously or make false allegations; and
- d) Does not seek any personal or financial gain.

4. PROCEDURE

Anyone with a complaint or concern about IGAD should try to contact Internal Audit, their own supervisor or director or the Human Resources Officer. This depends, however, on the seriousness and sensitivity of the issues involved and who is suspected of malpractice. Therefore contact directly with the Executive Secretary, Audit Committee Member or any member of the Council or of the Committee of Ambassadors may also be warranted. Contact details for the Heads of Internal Audit, Human Resources and designated Audit Committee member are listed at the end of this Policy.

5. IGAD'S RESPONSE

IGAD will respond positively to any concerns, although whistle-blowers must remember that checking the concerns is not the same as either accepting or rejecting them. Where appropriate, the matters raised may:

- a) Be investigated by management, the Internal Auditor, or through a disciplinary process;
- b) Be referred to forensic accountants, the police or other authorities or investigators.

In order to protect individuals and those accused of misdeeds or possible malpractice, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. Some concerns may be resolved by agreed action without the need for investigation. If urgent action is required, this will be taken before any investigation is conducted.

6. TIME SCALE

Within 15 calendar days of a concern being raised, the person contacted or a representative thereof will write to the whistle-blower:

- (i) acknowledging that the concern has been received;
- (ii) indicating how IGAD proposes to deal with the matter;
- (iii) explaining whether any initial enquiries have been made;
- (iv) explaining whether further investigations will take place and if not, why not; and
- (v) giving an estimate of how long it will take to provide a final response.

Concerns will be investigated as quickly as possible. The seriousness and complexity of any complaint may have an impact on the time taken to investigate a matter.

The amount of contact between the persons considering the issues and the whistle-blower will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information

provided. If necessary, IGAD will seek further information from the whistle-blower.

IGAD will take steps to minimise any difficulties which the whistle-blower may experience as a result of raising a concern. IGAD accepts that the whistle-blower needs to be assured that the matter has been properly addressed. Thus, subject to legal constraints, IGAD will inform the whistle-blower of the outcomes of any investigation.

7. PREVENTION OF RECRIMINATIONS, VICTIMISATION OR HARASSMENT

IGAD will not tolerate an attempt on the part of anyone to apply any sanction, detriment or punishment to any persons who have reported to IGAD a genuine concern that they may have concerning an apparent wrongdoing. Retaliation against staff who report concerns in good faith is against IGAD's policy and IGAD will take all reasonable measures to protect all legitimate whistleblowers from any retaliation, ostracising, discrimination or subsequent disadvantage.

If, having made a report of suspicious conduct, the whistle-blower subsequently believes that he/she has been subjected to retaliation or mistreatment of any kind, he/she should immediately report it to his/her Director, Internal Audit, the Human Resources Officer, or Committee of Ambassadors or Audit Committee member. Reports of retaliation will be investigated promptly, in a manner intended to protect confidentiality, consistent with a full and fair investigation. The party conducting the investigation will notify the whistle-blower of the results of such investigation. Any staff member who is found to have engaged in retaliation to or mistreatment of a whistle-blower will be subject to discipline.

8. CONFIDENTIALITY AND ANONYMITY

IGAD will respect the confidentiality of any whistle-blowing complaint received by IGAD when the complainant requests confidentiality. However, it must be appreciated that it will be easier to follow up and to verify complaints if the complainant is prepared to give his or her name. In addition, confidentiality cannot be maintained if such confidentiality is incompatible with a fair investigation or if disclosure of the identity of the complainant is required by law. If anonymity is requested, the person may request anonymity of the Internal Auditor, Executive Secretary or Council Member, or he/she may send an anonymous message to the Internal Auditor.

9. FALSE AND MALICIOUS ALLEGATIONS

IGAD will regard the making of any deliberately false or malicious allegations by any employee of IGAD as a serious disciplinary offence, which may result in disciplinary action.

10. STATUS OF THIS POLICY

This Policy should be in accordance with all other Policies and the Service Regulations. In the event of a conflict, this Whistle-Blowing Policy shall prevail. Under the direction of the Audit Committee, the Internal Auditor is responsible for preparing updates as needed of this Policy to be submitted to the Council of Ministers for approval.

11. CONTACTS

Position Name Email/Telephone

Internal Auditor

Human Resources Officer

Designated member of Audit Committee