



PEACE, PROSPERITY AND  
REGIONAL INTEGRATION

**Intergovernmental Authority on Development (IGAD)**

**Regional Policy Dialogue and Knowledge Exchange on  
Development Responses to Forced Displacement in the Horn  
of Africa (HoA)  
(P180799)**

**STAKEHOLDER ENGAGEMENT PLAN**

**November 2023**

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## 1. Introduction/Project description

### 1.1 IGAD region context

1. The Intergovernmental Authority on Development (IGAD) is one of the Regional Economic Communities (RECs) and a pillar of African Union (AU). IGAD encompasses eight (8) Member States, namely Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda. The IGAD region stretches over 5.2 million Km<sup>2</sup> with an estimated population of 270 million inhabitants. The region hosts over 4.5 million refugee population, 12 million IDPs and a significant population of pastoralists and cross border mobile population.

2. In 1996, the Intergovernmental Authority on Development (IGAD) was established to assist and complement member States' efforts to achieve peace, prosperity and regional integration and assist efforts of Member States to collectively combat drought and other natural and man-made disasters and their consequences through:

- Increased cooperation for food security and environmental protection.
- Promotion and maintenance of peace and security and addressing humanitarian affairs.
- Economic cooperation and integration as well as health social development.

3. The IGAD region is home to a variety of migrants from within and beyond the region. The population is estimated to reach **400 million by 2050**. There are currently **261.25 million** residents<sup>1</sup>. The population is spread across **5.2 million square km of land** where about 80 percent of the landmass is arid and semi-arid land (ASAL)<sup>2</sup>. Pastoralists account for approximately 20 percent of the IGAD's population (approximately 50 million people), which has the highest livestock concentrations in the world. Pastoralists are nomadic and seek greener pastures and markets across international borders. Pastoralists have engaged in transhumance for decades in the absence of a national or regional framework that ensures pastoral mobility is conducted in a humane manner. To adapt to ASAL conditions, border communities had adapted their livelihood systems to agro-pastoralism. The mobility of pastoralists has posed difficulties, particularly in neighboring countries with limited access to resources such as water.<sup>3</sup>

4. Migration within the IGAD region has historically been highly dynamic and sensitive to political, socioeconomic, and environmental factors. It encompasses complex migratory population movements, including irregular migrants, refugees, asylum-seekers, and economic migrants, so it is characterized by mixed flows.<sup>4</sup> The IGAD region hosts a total of **16.12 million asylum seekers, refugees, IDPs** as of 31 January 2023. The IGAD region hosts slightly over than 4.6 million refugees<sup>5</sup>. This population continues to rise as more people flee their homes to escape civil unrest, conflict, poverty and adverse effects of climate change including environmental degradation. Conflicts are the main drivers of displacement in the region. This displacement carries huge implications for the delivery of one of the commitments under the UN's 2030 Sustainable Development Goals towards "*leaving no one behind*".

5. The number of international migrants within the IGAD region increased over time from **3.1 million in 2010 to 6.5 million in 2019** representing an increase of 110.2 percent.<sup>6</sup> Migration within the region is highly male dominated with over 3.5 million migrating in 2019 compared to 3 million female migrants. The drivers of migration are the same as both men and women move primarily for economic purposes

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<sup>1</sup> IGAD (2021:11)

<sup>2</sup> IGAD (2020)

<sup>3</sup> Ibid

<sup>4</sup> IOM (2011a)

<sup>5</sup> UNHCR, May 2023

<sup>6</sup> IGAD (2021:20)

but also for trade and education among others. The regular pathways for migration in the IGAD region are more geared towards labour opportunities, training and education, trader, and tourism purposes within the region and beyond. The number of labour migrants in the IGAD region has increased between 2010 and 2019, from **1.59 million to 3.29 million** based on the changing political, economic, and environmental conditions in the countries. The characteristics of labour migrants show a vast majority of the skilled and low skilled migrants are destined for the Middle East and Gulf States.<sup>7</sup> There has been an increase in female migration outside the region especially for labour opportunities in the Middle East.

6. For developing countries in the IGAD region – that host large groups of refugees due to their proximity to conflict areas – caring for refugees implies a significant additional burden to already over-stretched and fragile economies.

7. Regions where refugees settle are often underdeveloped and remote. Access to basic social services is greatly strained, the natural environment is significantly degraded, and inadequate and unsustainable livelihood opportunities for both host communities and refugees. In most cases, local hosting communities share available resources and opportunities with the refugees who sometimes outnumber their hosts. This highlights the disproportionately large responsibility for hosting refugees that are shouldered by developing countries in the region.

8. Working with Member States and partners, such as The World Bank, IGAD continues to coordinate regional and national efforts towards delivering durable solutions for displacement-affected communities – including refugees. This is premised on the notion that refugees should not only be seen as a burden on host countries. Indeed, when allowed to integrate locally, refugees contribute actively to the host economy and society as workers and as consumers. Supported interventions recognize the need to respond to forced displacement in a way that not only addresses the underlying structural causes but also engages and empowers local communities.

9. To this end, since 2017, IGAD has been coordinating the implementation of a regional development response project in four Member States. The **Development Response to Displacement Impacts Project (DRDIP) in the Horn of Africa** (P152822, P161067 and P178047) is implemented in Djibouti, Kenya, Ethiopia and Uganda. DRDIP is financed by the World Bank through credits and grants to the tune of USD 626 Million. The project includes an US\$8 M grant to the Inter-Governmental Authority on Development (IGAD) for regional coordination and learning, plus technical assistance to the Government of Somalia. The Project has provided the much-needed assistance to refugee-hosting countries towards improving access to basic social and economic services, expanding livelihood opportunities, and enhancing environmental management for refugees and their host communities. By June 2023, the project had achieved over 95 per cent of the targeted milestones and benefited close to nine million host and refugee populations in the Project Countries. More than half of the project beneficiaries are women.

10. Towards ensuring unhindered access to basic social services and infrastructure; the Project has constructed or rehabilitated over 840 education facilities out of which over 108,000 new learners have been enrolled. Further, the Project has upgraded and equipped 306 human health facilities; delivered 423 water storage investments; and upgraded 2,208 kilometers of all-weather roads. Over 48,000 hectares have been put under sustainable land management practices. The project has organized local communities - especially women and youth - into over 7,200 common interest groups, cooperatives and saving schemes to facilitate their engagement in various income-generating activities. To boost livelihood opportunities for displacement-affected communities, the project has supported agricultural projects, connected small and medium businesses to the national electricity grid, and procured goods and services from local enterprises domiciled within the areas where the project is being implemented. Through innovative livelihood interventions by Project Countries such as the Labour-Intensive Public Works (LIPW),

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<sup>7</sup> ILO (2020b)

Village Revolving Fund (VRF and other cash-based assistance, DRDIP has created over nine million short-term livelihood opportunities for vulnerable populations.

11. The Project is implemented through the Community-Driven Development (CDD) approach that places communities at the heart of determining and implementing their development priorities. Indeed, when given clear and transparent rules, access to information, and appropriate technical and financial support, poor communities can effectively organize to identify community priorities and address local problems by working in partnership with local governments and other institutions to bridge development gaps.

12. On the regional front, Development Response to Displacement Impacts Project in the Horn of Africa (P152822 and P161067) grants to IGAD, DRDIP has supported regional efforts to address displacement and mixed migration. The IGAD grants have been central to support policy harmonization in the HoA, translating global frameworks into regional policy. Through research, capacity support, knowledge management and coordination, IGAD has played a major role in promoting innovative responses to displacement and mixed migration in the region. Key achievements include: (a) established Regional Secretariat on Forced Displacement and Mixed Migration (RS) in IGAD, which has spearheaded the advancement of the development approach to displacement in the HOA;<sup>8</sup> (b) facilitated knowledge creation and exchange and capacity-building in the DRDIP project countries / HoA;<sup>9</sup> (c) contributed to better understanding of the nexus between socioeconomic development, forced displacement, and mixed migration in the HoA by commissioning studies and/or focused research. Technical assistance for the Government of Somalia has supported capacity for planning and coordination of displacement responses in places of return and on addressing displacement challenges. This has included the formulation of a national durable solutions strategy, a social cohesion policy and a strategic plan for the National Commission for Refugees and IDPs (NCR).

## 1.2 Project description

13. The proposed activity is expected to consolidate regional efforts to address displacement and mixed migration in the HoA. The grant would finance IGAD to do the following: (a) support regional policy dialogue and harmonization, including continued efforts to translate the GCR into regional and national laws, policies and action plans for IGAD member countries; (b) promote regional knowledge generation, learning and coordination for the DRDIP countries, with a particular focus on private sector engagement for jobs, livelihood and self-reliance for refugees and host communities; (c) provide technical assistance to the Government of South Sudan on development responses to forced displacement; and (d) contract a third-party monitoring agent (TPMA) for high risk of conflict areas for DRDIP II (P178047) in Ethiopia. Activities will be organized in five components:

**14. Component one: Regional policy dialogue, harmonization and implementation (US\$600,000).** Under this component, IGAD will continue support for the Nairobi Process to shape the policy environment in the HoA in line with the GCR. Assistance will also be provided to

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<sup>8</sup> Three thematic policy dialogues under the Nairobi Declaration and Plan of Action: Nairobi Declaration on Durable Solutions for Somalia Refugees and Reintegration of Returnees in Somalia (Regional application of GCR) have been accomplished. These include: (i) Regional Quality Education Standards and Inclusion into National Systems for Refugee Children, 2017; (ii) Health Ministerial Declaration: for Access to Quality Healthcare Services within their respective countries without discrimination; and (iii) Kampala Declaration on Jobs, Livelihood and Self-reliance, 2019. These regional dialogues have been followed by national consultative processes, including support to regional consultative processes, such as the Sudan-South Sudan Solutions initiative.

<sup>9</sup> IGAD documented evidence and promoted the DRDIP approach at the Global Refugee Forum, and DRDIP response to COVID-19 pandemic, documentation, and dissemination of the DRDIP innovative development approach: CDD and Education, renewable alternative energy and community procurement. IGAD with partners (UNHCR, IOM and government of Djibouti) has supported a study on the socio-economic impact of urban refugees and mixed migration in Djibouti Ville. IGAD has supported member countries to build an interactive TA on GIS/GEMS (<https://igad-dr dip.maps.arcgis.com/home/index.html>).

translate the international and regional policy frameworks into national level policies and laws. Given the impressive strides made on the formulation and harmonization of policies on forced displacement in the IGAD territory over the last five years, component one activities will mostly focus on preparing action plans to implement policies and laws and to support the realization of resilience and self-reliance for refugees and hosting communities. Activities under this component will include:

- Revise and update the IGAD Regional Secretariat Forced Displacement Strategy in line with global and regional frameworks to set the durable solutions outlook in the region.
- Engage parliamentarians in DRDIP countries on the promotion of durable solutions legislation and advocate on the implementation of existing laws.
- Establish and operationalize a National Displacement Coordination Platform convened annually or bi-annually to coordinate displacement actors in each participating country. In countries where such platforms already exist, IGAD will support the existing mechanisms.
- Help participating countries (Djibouti, Ethiopia, Kenya, and South Sudan) to prepare national action plans to turn policies and laws on forced displacement into concrete action or revise and update existing action plans. This will require support for broad engagement with a range of different line agencies under a whole-of-government approach.
- Organize policy dialogue forums on the development approach to forced displacement and local economic development (LED), informed by implementation experience from DRDIP and other initiatives in the region led by governments, private sector, development partners and other stakeholders.
- Convene a regional conference on LED, including sharing experiences from other continents on private sector engagement and sustainable livelihoods approaches in contexts of forced displacement.
- Regional and national dialogue on inclusion of refugees into national development plans.

**15. Component Two: Operational knowledge generation, learning and coordination (US\$650,000).**

This component will support knowledge exchange between DRDIP countries. Distinguishing it from the existing DRDIP IGAD support, this grant will feature a thematic focus on private sector engagement, livelihoods and LED for refugees and host communities, consistent with the GCR objective of self-reliance. Building on the success of the current DRDIP grants to IGAD, operational learning will also continue to support the roll out of monitoring and evaluation approaches in the target countries, including GEMS. Activities will encompass:

16. Sub-component 2.1 Operational knowledge exchange on private sector engagement, LED and livelihoods Bi-annual RPSC meetings for DRDIP countries for policy and operational knowledge sharing. The RPSCs will also involve key stakeholders from IGAD member states, including government and non-government partners implementing LED and livelihoods programs (e.g., IFC, EU, AfDB). RPSCs under the current DRDIP grants rotate between the DRDIP countries. Under this grant, RPSCs could also potentially be held in countries supporting refugee-host community projects besides DRDIP (e.g., in Burundi or Rwanda) in the interests of inter-regional knowledge exchange and to provide fresh perspectives for the DRDIP countries.

- Conduct country-specific “deep dives” to deepen knowledge-sharing on key operational issues of interest, focusing on livelihood, LED and self-reliance.
- Convene a regional experience sharing workshop on the linkages between livelihoods interventions and private sector engagement, including challenges and lessons learnt on the way forward for policy inputs. This will involve extensive private sector participation.
- Conduct research and analytical work to identify and document barriers, challenges and success stories on private sector engagement in forced displacement settings in the Horn of Africa.
- Document DRDIP implementation outcomes, lessons and case studies for dissemination at the national, regional and global levels.

17. Sub-component 2.2 Capacity-building on M&E and GIS: Continued training to enhance the technical capacities of DRDIP country teams in the use of digital technologies for geodata collection, M&E, supervision, and portfolio mapping. This will support the establishment of easy-to-use public platforms to ensure, transparency and citizen engagement for public development investments. Collect, harmonize and analyze displacement and migration data from various sources to build up-to-date spatially enabled databases for regional and country-specific information products, including dashboards, reports and maps.

18. **Component Three: Technical Assistance on Forced Displacement for South Sudan (US\$810,000).** Building on the experience with the FGS through the current DRDIP IGAD grant under P161067, component three activities will expand IGAD support to a new country by providing TA to the Government of South Sudan to strengthen the enabling environment for development responses to forced displacement. Activities will include:

- Support the establishment of a Durable Solutions Secretariat at the national and sub-national levels (covering refugees, internally displaced persons and returnees). This will be conducted in partnership with the existing ad hoc inter-ministerial National Technical Committee that prepared the National Durable Solutions Strategy.
- Support a review of the existing legal and policy framework for forced displacement and provide advice on how to ensure harmonization with relevant global and regional instruments.
- Technical assistance to strengthen information systems for durable solutions to forced displacement.
- Support the Government of South Sudan to map socio-economic services in areas of return and socio-economic integration.
- Establish an enhanced and effective M&E system for learning and knowledge management.

19. **Component Four: Third-party monitoring for high risk of conflict (HROC) areas in Ethiopia (US\$300,000).** This component will provide funding to the IGAD RSFDMM to engage a TPMA to monitor DRDIP-II implementation in HROC areas in Ethiopia (presently Tigray but could potentially include other regions). Project activities in Tigray region are currently being implemented by a third-party implementing agency, the United Nations Office for Project Services (UNOPS) while the regional government in Tigray regains full operating capacity after the war. The TPMA is expected to function until at least May 2024, in line with the duration of the UNOPS contract, but could be extended in duration and in scope to other conflict-affected areas, subject to the agreement of the Government of Ethiopia and World Bank management. The role of the TPMA will be to ensure quality control and compliance with fiduciary and environmental and social standards of the World Bank. The TPMA will report both to the Government of Ethiopia and the World Bank, through IGAD. Procurement will be based on a competitive tendering process.

20. **Component Five: Project Management and M&E (US\$540,000).** This component will support effective management of the grant activities by the IGAD RSFDMM. This will include funding for staff, the annual work plan and budget process, progress reporting and documentation of DRDIP best practices to be disseminated in regional and global events.

## **2. Brief Summary of Previous Stakeholder Engagement Activities**

21. On bi-annual basis, IGAD convenes Regional Project Steering Committee (RPSC) meetings to share lessons, experiences and challenges encountered by Member States during the implementation of the DRDIP Project. These conventions bring together various Project stakeholders including PIU coordinators, heads of national refugee management agencies, heads of government agencies and institutions in Somalia, representatives from the World Bank, UNHCR and IOM as well as delegates from IGAD. During

policy meetings, such as the Steering Committee meetings, IGAD has been engaging stakeholders on the various elements of the new regional component of the Project including its scope and objectives. These meetings, and particularly the 12th RPSC held in June 2023 (Kakuma, Kenya), deliberated on the scope regional component, proposed additional intervention areas on durable solution for displacement-affected communities, and underscored full engagement and participation of all IGAD Member States irrespective of their status as hosting refugees or countries of origin.

22. The outputs of the above engagements have significantly informed the design and scope of the project in particular the components that offer direct support to the Member States/Project Countries. Further engagement of the Project Countries stakeholders will be planned during the implementation of the project.

**3. Stakeholder Identification and Analysis**

23. The identification of the key stakeholders, who will be informed and consulted about the project, including national implementation units, agencies and institutions within governments, regional and international development and humanitarian organizations, thinktanks, academia, actors in the private sector, project beneficiaries and local communities, will be determined by the previous historical stakeholder information related to the DRDIP I (P152822) and DRDIP II (P161067) implemented by IGAD Secretariat on Forced Displacement and Mixed Migration. Those key stakeholders are categorized into two:

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

**3.1. Project Affected Parties**

24. The main stakeholders likely to be directly affected by the project are the IGAD Member States through respective Project Implementation Units (PIUs), national refugee management agencies and other agencies and institutions of government.

**Table 1: Stakeholder group and assessment of engagement interest**

Stakeholder Group	Engagement of Interest
<p>Kenya: National Project Implementation Units (NPIU), Department of Refugee Services (DRS) will be fully engaged and primary group;</p> <p>Ethiopian: Federal Project Coordination Unit (FPCU), Refugees Returnees Service (RRS) will be fully engaged and primary group;</p> <p>Djibouti: Agence Djiboutienne de Développement Social (ADDS), L'Office National d'Assistance aux Refugies et Sinistres (ONARS) will be fully engaged and primary group;</p> <p>South Sudan: The Commission for Refugee Affairs (CRA), and Relief and Rehabilitation Commission (RRC) will be engaged on sectoral matter on migration and displacement;</p>	<p>Promote development approach to displacement impacts through policy dialogue, knowledge and experience sharing and technical assistance in finding solutions for refugees and host communities in the Horn of Africa</p>



Sudan, Somalia and Eritrea will be engaged among other Member States during the development and validation of regional policies and frameworks as well as promotion of the development approach to forced displacement;	
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### 3.2. Other Interested Parties

25. 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, private sector practitioners, civil society, international organizations, the media, etc. IGAD Secretariat and its different directorates and departments will play a pivotal role in the implementation of the project activities. The membership of the Regional Project Steering Committee will play a key role in the overall coordination and information sharing, scaling up of best practices, synergy with on-going similar projects.

**Table 2: Other interested parties and assessment of engagement interest**

Stakeholder Group	Engagement of Interest
IGAD Health and Social Development Division and Specialized Institutions	The executing units for the region-level activities will include Social Development (where mixed migration and forced displacement matters are domiciled), Education, and Health Units under the Health and Social Development Division, and IGAD specialized institutions (ICPAC, CEWARN, ICPALD) who will provide specialized knowledge and expertise on thematic areas such as climate-induced displacement, cross-border mobility of people and animals (transhumance) as well as early warning and action to conflicts and disasters.
IGAD / Regional Secretariat on Forced Displacement and Mixed Migration	IGAD (Regional Secretariat on Forced Displacement and Mixed Migration) will be overseen by and implement resolutions from the Regional Project Steering Committee (RPSC) – convened bi-annually (December and June). RPSC will also provide policy and technical guidance to the IGAD RSDMM on the implementation of the project.
International and regional development and humanitarian organizations including The World Bank, UNHCR, IOM, AfDB, GIZ, ReDSS, IFC, UNDP, EU among others	These organizations have invaluable experience including knowledge, skills, resources, and research capacities on various thematic issues pertaining to migration and displacement at global, continental, regional and national level. or the establishment of resilient health emergency preparedness and response systems in the region based on innovations. IGAD will work closely with these entities towards providing sustainable solutions for refugees and IDPs, especially those in protracted situations in the regions.
Academia	IGAD will also foster collaborations with existing networks of universities and academia towards acceleration of research and studies towards tackling identified bottlenecks on human mobility and displacement, identification of best practices and innovations to the forced displacement challenge, generation of new knowledge to safeguard gains and sustain the momentum, and enhance delivery of academic and policy discourses on migration and forced displacement in the IGAD region.

Private sector practitioners	IGAD will engage actors in the private sector with the view of highlighting their role as a key instrument for enhancing economic activities for refugees, IDPs and host communities. Their engagement is expected to identify refugee and IDP relevant livelihood opportunities in the private sector as well as understand best practices on incentivizing investments in displacement settings.
Media	Engagements and partnership with the media will afford the project local, regional and global coverage that can be utilized for awareness creation and visibility. This will also promote and popularize regional interventions on durable solutions and DRDIP project achievements to wide audiences. Engagement of media outlets will assist in creation of awareness to policy makers to enhance scale up of validated policies and frameworks and mobilize donors to increase allocations to development financing in refugee and IDPs hosting areas respectively.

### 3.3. Disadvantaged or Vulnerable Individuals or Groups

26. Vulnerable Groups which include IDPs, refugees, migrants, people on the move and other vulnerable groups in relation to the cross-border activities of this project. The regional component was not consulted with those vulnerable groups and the consultation is planned in the launching phase.

Table Summary of project stakeholder needs.

Community	Stakeholder group	Key characteristics	Language needs	Preferred notification means	Specific needs (accessibility, large
IGAD Member States	PIUs, national refugee management agencies (RMAs) in Member States implementing the Project and relevant agencies and institutions of government in other Member States	Consists of management and high-level technical representatives within PIUs and RMAs	<i>Official Language : English and French (Djibouti)</i>	Translated letter, shared electronic documents (reports) via email and presented / discussed when needed at formal meeting	Public and virtual consultations meetings with translation
IGAD / Regional Secretariat on Forced Displacement and Mixed Migration	IGAD Health and Social Development programs	Formulate and implement regional interventions, policies and strategies as well as multisectoral coordination	<i>French and English</i>	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
	IGAD Climate Prediction and Application Centre, CEWARN, IGAD Centre for Pastoral Areas and Livestock Development				
International and regional development and humanitarian organizations	The World Bank, UNHCR, IOM, AfDB, GIZ, ReDSS, IFC, UNDP, EU among others	Knowledge generation and documentation	<i>English</i>	Email, telephone calls, meetings (in person or virtual)	Project progress, project preparation and implementation, other stakeholder engagements, joint control and
					experience sharing Regular formal and informal meetings

Academia	Network of Universities, scholars and academia	Acceleration of research and studies towards tackling identified bottlenecks on human mobility and displacement	<i>English, French</i>	Email, telephone calls, meetings (in person or virtual)	Research papers, studies, policy briefs, reports, analyses
Private sector practitioners	National Chambers of Commerce, and Private Sector Networks	Enhancing economic activities for refugees, IDPs and host communities	<i>English, French</i>	Email, telephone calls, meetings (in person or virtual)	Alerts, press releases, project reports and events Periodic meetings with media channels
Media	Radio and TV stations, international media, IGAD/Project websites and social media pages	Wide regional and global coverage that can be utilised for awareness creation and visibility	<i>English, French</i>	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

27. 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 utilized. 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 even during any restrictions due to epidemics or pandemics. Strategies to be employed include virtual and physical meetings, researches, phone calls, and emails. It is important to note that most of the planned activities in the regional component are activities that includes stakeholder engagement and consultations. The coordination and policy dialogue role of the IGAD in its regional component depends on participation and interaction of the stakeholders of the project. So the appraisal document of the regional component is contributing to the overall SEP.

### 4.2. Implementation Phase

28. 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:** Individual consultations with different stakeholders during the preparation phase will be sought. If deemed necessary, a virtual workshop will be co-hosted by IGAD, and World Bank team will take place during the preparation phase. The workshop will engage the select Members of the Regional Steering Committee Members (IGAD Secretariat and its entities, The World Bank, Djibouti, Kenya, and Ethiopia, UNHCR and IOM). Moreover, the WB and IGAD team will have frequent meetings and consultations on the project implementation to ensure that all stakeholder interests are addressed.
- b) **Implementation Phase:** At the official project launch meeting, the IGAD will invite RPSC members to a meeting to elucidate the scope and objectives of the regional component and also the proposed project workplan and implementation arrangements. The interest of those key stakeholders is to help to steer the project from start to completion, approving the Work Plans and Budget as well as providing inputs. During this meeting, the workplan will be validated. Participation in the launch meeting will be extended to IGAD representatives from other units and specialized institutions relevant to durable solutions to displacement-affected communities, human mobility, free movement of people and disaster and conflict/disaster early warning/action. The launch event will take place within 3 month of the project's effective date and after recruitment of the key staff in IGAD. Two Steering Committee meetings per year are foreseen for the project. In addition, to those planned meetings, any other meetings and workshops could be organized on need basis.

In case of any stakeholder consultations meeting/workshops, either virtual or face-face, the IGAD will strive to provide relevant information to stakeholders with enough advance notice (15-30 calendar days) so that the stakeholders have enough time to prepare and to provide meaningful feedback. IGAD 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 30 working days from the stakeholder consultation event. The timeframe for notice for a ministerial/high-level experts' event will be three months in advance with official letters sent via email through the Ministry of Foreign Affairs who are the IGAD Focal points.

### 4.3. Proposed strategy for information disclosure

29. The electronic copies of the disclosure materials will be placed on the Project webpage as well as IGAD and World Bank websites to allow easy access for all stakeholders. The IGAD will create its own link within IGAD website where also information can be shared. Also, IGAD will ensure the use of public information sharing methods and media engagement to relay knowledge and research products, innovative techniques/ideas, lessons learnt and best practices and other relevant information to a wide audience, and will pay particular attention to the special accessibility needs of members of vulnerable groups, including persons who are low literacy levels or with disabilities, where needed. The Project and 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, PAD), 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 3: Information disclosure plan

Project stage	List of information to be disclosed	Communication channels	Target stakeholders	Timetable: location/date	Responsibilities
Preparation Phase	<p>Project Concept note</p> <p>ESF documentation that is required for disclosure by the WB</p> <ul style="list-style-type: none"> <li>- SEP with GRM</li> <li>- SCP</li> </ul>	Email, intranet, website, meetings	IGAD RSFDMM and implementing entities/divisions of IGAD	In person or virtual up to one month after project effectiveness	IGAD RSFDMM
Project Launch	<ul style="list-style-type: none"> <li>-Project information/Appraisal document</li> <li>- key activities, work plan</li> <li>- Implementation modalities</li> <li>- Key elements of ESCP and SEP</li> </ul>	<p>Shared via Email with an official invitation letter</p> <p>Media coverage for the launch event</p>	IGAD RSFDMM and other entities within IGAD HSD division and other stakeholders listed above	20 working days before the meeting, all stakeholders will be informed and shared with them the key documents by email as 100% target.	IGAD RSFDMM
During implementation	<p>Progress Reports on:</p> <ul style="list-style-type: none"> <li>- Activities</li> <li>- M&amp;E framework</li> <li>- Knowledge pieces developed</li> </ul>	Via email and during the RPSC meetings	IGAD RSFDMM and other entities within IGAD HSD division and other stakeholders listed above	Throughout the implementation period	IGAD RSFDMM

#### 4.4. Proposed strategy for consultation

30. 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: 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, ESCP	Virtual consultations meetings, documents shared via emails	During the preparation and formulation phase	IGAD RSFDMM and IGAD entities	IGAD RSFDMM
Project Launch	Project 1 <sup>st</sup> year work plan with budget  -SEP and ESCP -Framework, M&E Plan	Virtual and / or Face-to-face consultations meetings, documents shared via emails	Within 3 months after the project's effective date	IGAD RSFDMM, other IGAD entities, RPSC and the World Bank	IGAD RSFDMM
During implementation	-Progress reports  -Policy issues at Higher level -SEP, ESCP, Results Framework, M&E Plan (if revisions are required)	Workshops/ meetings, email for dissemination of documents	-Bi-Annual RPSC meetings  -As need arise	-Member States, RPSC members, IGAD RSFDMM, IGAD entities	IGAD RSFDMM

#### 4.5. Proposed strategy to incorporate the views of vulnerable groups

31. The views of vulnerable or disadvantaged groups (VDG) will be sought during the project formulation process. In depth analysis is required in order to fully understand who are the VDG and what are their issues related to this project. Mapping of stakeholders will be carried out in the preparation phase before embarking on the implementation of the project which will be in first quarterly report and the views of VDG will be reflected in the Stakeholder Analysis Report. Also their interests will be reflected in any policy, framework and/or strategy document developed during the implementation of the project.

In conclusion, during implementation, IGAD RSFDMM will emphasise the above views in all Terms of Reference (ToRs) for consultancy services for policy assessments, policy and strategy development reports at the regional level.

#### 4.6. Timelines

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

c) **Preparation Phase:**

IGAD DRDIP SEP will be finalized before the 30<sup>th</sup> of November 2023. The stakeholders will each have ample time to provide comments and feedback. All the feedback and comments received from stakeholders have been consolidated, analysed by IGAD and then incorporated into the SEP document before sharing with stakeholders for reference.

d) **Implementation Phase:** The launch event, where all concerned stakeholders will be invited and made aware of the project details, will mark the commencement of the project implementation and will take place within 3 months after the project's effective date. By that time all staff of the IGAD RSFDMM will be in place.

During the implementation, there will be regular bi-annual Steering Committee meetings with key Project Stakeholders. In addition, key stakeholders will be consulted on a regular basis throughout the life cycle of the project. 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.

#### 4.7. Review of Comments

32. All written comments on reports will be sent by email to the concerned stakeholders either with track changes or in form of text message/note. After receiving all stakeholders' comments within 10 working days week after the shared date, the IGAD RSFDMM will review and send them back within 15 working days. The disclosure will be for the concerned stakeholders who are basically the member of RSPSC, including IGAD Member States not implementing the DRDIP Project and who benefit from the IGAD regional component. IGAD will ensure that feedback from the stakeholders is incorporated into the SEP, and IGAD will inform stakeholders regarding where and how in the SEP their feedback was taken into consideration.

All oral comments during consultation meetings will be taken into account as an action item. This will be documented by the IGAD RSFDMM during the last day of the specific organized event.

## 5. Resources and Responsibilities for implementing stakeholder engagement activities

### 5.1. Resources

33. During the preparation phase, IGAD Environment Safeguard Specialist – with the technical support from the World Bank – will develop the required documents with the main aim being to provide and review the SEP, and ESCP documents. The rest of consultations process between partners, member states and IGAD are only in form of virtual meetings and via email.

34. During project implementation the IGAD Environment Safeguard Specialist will continue supporting the IGAD RSFDMM and provide support to the Project towards smooth implementation of the SEP throughout project life cycle. The focal person will be supported by the staff of the IGAD RSFDMM and if need arise, a consultant will be hired to support the implementation of this plan. However, most of the IGAD regional component largely entails technical support, policy dialogues and consultations, technical support and knowledge generation/dissemination that will be supported by the grant.

For more information about the implementation of the SEP, please contact the below expert who will be **responsible for management and oversight of the SEP.**

**Dr Mohamed Elduma**  
**Head of Social Development Unit**  
**Health and Social Development Division,**  
Email: [mohamed.elduma@igad.int](mailto:mohamed.elduma@igad.int)  
IGAD Secretariat, Avenue Georges Clemenceau, Djibouti City  
Republic of Djibouti

### 5.2. Management functions and responsibilities

35. At the regional level, the proper implementation of the SEP will be under the direct responsibility of the IGAD RSFDMM within the Social Development Unit (HSD Division) and subsequently the Project IGAD DRDIP Project Coordinator. The IGAD RSFDMM will be embedded in Health and Social Development Division, and specifically within the Social Development Unit and assisted by the Project's GIS and Knowledge Management & Learning Expert. The expert will work closely with the IGAD Communication team that is composed of 5 professional staff with complementary background.



## 6. Grievance Redress Mechanism (GRM)

### 6.1. IGAD GRM

36. The purpose of the feedback, complaint and grievance redress mechanism (GRM) is to allow all project users and other stakeholders to communicate on adverse impacts of the project, 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 GRM will ensure the continuous improvement of the programme.

37. The IGAD DRDIP PIU will manage the Project GRM process and facilitates the resolution of any complaints that may arise during the Project life cycle. To do this, IGAD will manage and respond to complaints through existing mechanisms as substantiated by the IGAD Grievance Handling Procedures. The IGAD RSFDMM, in particular its Project Coordinator, will ensure that the PIU can be reached for complaints (*e.g., direct mobile number, email address*). When no local and amicable solution can be found through the coordinator, the matter is referred for full investigations by relevant department within IGAD Secretariat who will develop a solution or next steps. Another layer of handling the grievances is to be communicated with the senior management of IGAD Secretariat in the Health and Social Development Division or even directly to the Office of the IGAD Executive Secretary. IGAD is public international intergovernmental organization and can easily be reached through its website ([www.igad.int](http://www.igad.int)), emails, telephones and the social media platforms.

#### The grievance mechanisms at all levels will be:

- Scaled to address the risks and impacts on affected activities, individuals and/or 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:

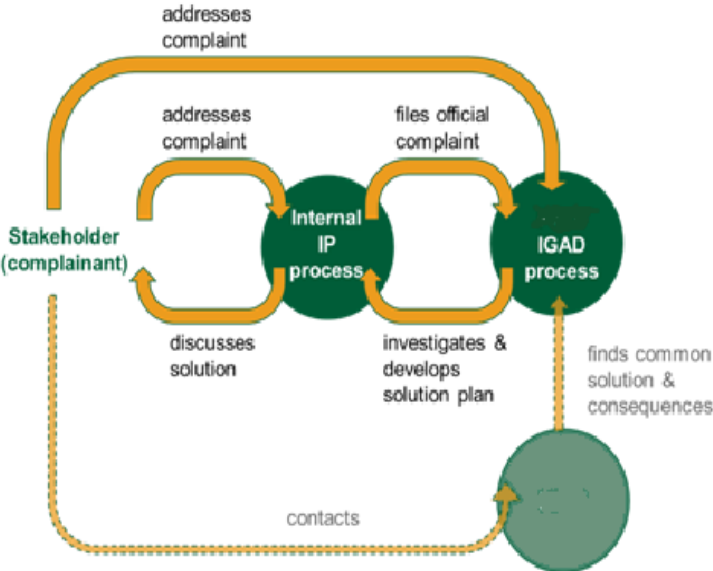
- **Accessibility:** the grievance mechanism should be directed to and disclosed to all people affected as well as other interested parties. The Human Resource Unit ([hrunit@igad.int](mailto:hrunit@igad.int)) is responsible to address grievances involving IGAD staff;
- **Acknowledgement:** the receipt 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.

38. For IGAD DRDIP PIU 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.

### 6.2. World Bank Grievance Redress Services

39. In exceptional cases, when the complainant deems it necessary, the World Bank can be contacted directly. Communities and individuals who believe that they are adversely affected by a World Bank-supported project may submit complaints to existing project-level GRMs or the World Bank’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project-affected communities and individuals may submit their complaint to the World Bank’s independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may 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 World Bank’s corporate 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](http://www.inspectionpanel.org).



## **7. Monitoring and Reporting**

### **7.1. Involvement of stakeholders in monitoring activities**

40. 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 log frame 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, the Project's KM&L expert will develop the M&E system/plan within 90 days of the start of his duty.

41. The stakeholders will be involved monitoring the activities during the bi-annual RPSC meetings where the IGAD RSFDMM will presenting the half-year progress reports.

### **7.2. Reporting back to stakeholder groups**

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

- At the bi-annual RPSC meetings, 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, IGAD DRDIP PIU will send the report to the main stakeholders via email. It will request them to provide their comments within 10 working days. PIU will then submit the revised report within 15 working days;
- Training, communication and knowledge materials will be sent electronically to the participants by the IGAD RSFDMM within 10 days after completion of the event;

43. These reports will rely on the same sources of communication that were used earlier in 4.2 section. Stakeholders will be provided with updates on the availability of the grievance mechanism during RPSC 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 recognizes 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 employees 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 ensures 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 in 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 institutionalize 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 behavior 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 favors.

#### **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 recognizes 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 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

Whistleblowing 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 favors related to their association with IGAD;
- Undue favoritism 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 organization'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 minimize 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, ostracizing, 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

## Annex 4: Minutes of Stakeholder Consultations

### Background

With respect to the preparation of additional financing to IGAD Secretariat to continue the support to IGAD Regional Secretariat on Forced Displacement and Mixed Migration (IGAD RSFDMM). IGAD RS engaged in several discussions with countries benefiting from the regional components. Among those interactions two formal discussions were made with DRDIP participating countries. One consultation was virtual on 30th January 2023. The second was physical during the 12th Regional Steering Committee meeting held in Kakuma in the period from 20 to 23rd of June 2023.

### Participants of the consultations:

- Representatives from project Implementation Units (PIUs) from Djibouti, Ethiopia, and Kenya
- Representatives from the World Bank

### Summary of the discussion

The World Bank is in the process of securing additional funds to continue IGAD's activities in support of policy and operational learning on development responses to forced displacement in the Horn of Africa/for the DRDIP countries. In light of this, the IGAD RSFDMM and the World Bank convened a consultative meeting with Project Implementation Units (PIUs) to deliberate on the shape of a new regional component that seeks to enhance policy, coordination and learning support to Member States implementing the Development Response to Displacement Impacts Project (DRDIP). The meeting was guided by the following questions:

- a) What has been the main value of the IGAD support? What would you like to keep and/or do more of?*
- b) What has been least useful/should be dropped or changed?*
- c) Are there any new activities or approaches you think IGAD should take to better help your respective countries and PIUs with respect to development responses to forced displacement?*
- d) Any other general advice or guidance on how to enhance IGAD's support*

Project Coordinators from Djibouti, Ethiopia, Kenya and Uganda, noted, with gratitude, the critical role played by IGAD to support implementation of the DRDIP project for the last six years and especially during the COVID-19 pandemic. The current support that was highlighted having added value to the Project includes:

- Convening of the bi-annual Regional Project Steering Committee (RPSC) meetings that have provided a key platform for coordination, knowledge exchange and learning for all project stakeholders.
- The field visits that for their role in providing PIUs and other stakeholders an opportunity to experience firsthand the different project implementation approaches, best practices and direct interaction with project beneficiaries.
- Delivery of various policy dialogues under the Nairobi Declaration (the Nairobi Process), the Sudan/South Sudan Initiative and the national dialogues that have immensely contributed towards showcasing the successes and impact of the DRDIP Project, widely promoted the development approach as a sustainable solution for FD challenges, and incorporated PIUs into dialogues on FD and migration at the national level.
- Technical support and capacity building to national and sub-national project clients on the GIS/GEMS, knowledge and information management through the re-established Technical Working Group on GIS and Monitoring and Evaluation.
- Support towards documentation of selected sub-topics of the development approach such as the study on the implementation of Community Driven Development (CDD) and its contribution

towards improving access to education for learners in forced displacement contexts in the IGAD region.

- Conduct of comprehensive comparative analyses on challenges faced by PIUs during the implementation of the Project. This includes the two studies on alternative renewable energy solutions that sought to prescribe actionable recommendations and best practices on scaling up adoption of renewable energy solutions for cooking and lighting as well as reduce dependency on firewood and charcoal as sources of fuel (and hence reduce environmental degradation and cases of gender-based violence to women and girls).

Additionally, towards enhancing the support of IGAD to respective Project Countries, PIUs delivered the following proposals for consideration in the new regional project:

- Expand the breadth of the technical support provided under the regional component to Project Countries to include expertise on social protection, resilience, natural resource management and safeguards.
- To the extent possible, and to enhance the effectiveness of the field learning visits, the scope of the experience sharing visits to be expanded to cover public CDD projects and other related development responses in FD contexts outside the Horn of Africa. This will foster cross-learning and help to broaden the experiences, best practices, and development approaches available to Project Countries for adoption, scaling up in local contexts or even for learning purposes.
- Initiate the development of unique and standardized visibility materials to be utilized to represent and brand the DRDIP Project across the region. Similar efforts to be done towards realizing harmonized programming tools for the Project such as standard tools on CDD.
- Strengthen partnerships around issues of forced displacement and migration at national and regional level as well as creating momentum on the increased private sector engagements in FD settings in the Horn.
- Continued support to regional durable solution processes such as the Nairobi Process and the Sudan/South Sudan Initiative that facilitate high level (*HoS/Ministerial/Experts*) regional dialogues towards durable solutions for displaced populations as well as solutions that addresses root causes for displacements in the Horn of Africa.
- Broaden the mandate of the Technical Working Group on GIS and Monitoring and Evaluation to include participation of ICT and communication experts at the PIU level.
- Improved development of relevant communication products such as evidence-based policy briefs and documentation of DRDIP best practices on the development approach to displacement impacts in the HoA;
- IGAD to prepare and circulate amongst PIUs and other stakeholders a detailed quarterly/annual schedule/calendar of proposed activities and timelines to allow for their effective participation;

### **Outcomes of the consultations**

Through the various discussions held, the proposed activity would finance IGAD to do the following: (i) support regional policy dialogue and harmonization, including continued efforts to translate the GCR into regional and national policies for IGAD member countries; (ii) promote regional knowledge generation, learning and coordination for the DRDIP countries, with a particular focus on private sector engagement for jobs, livelihood and self-reliance for refugees and host communities; (iii) provide technical assistance to the Government of South Sudan on development responses to forced displacement.