

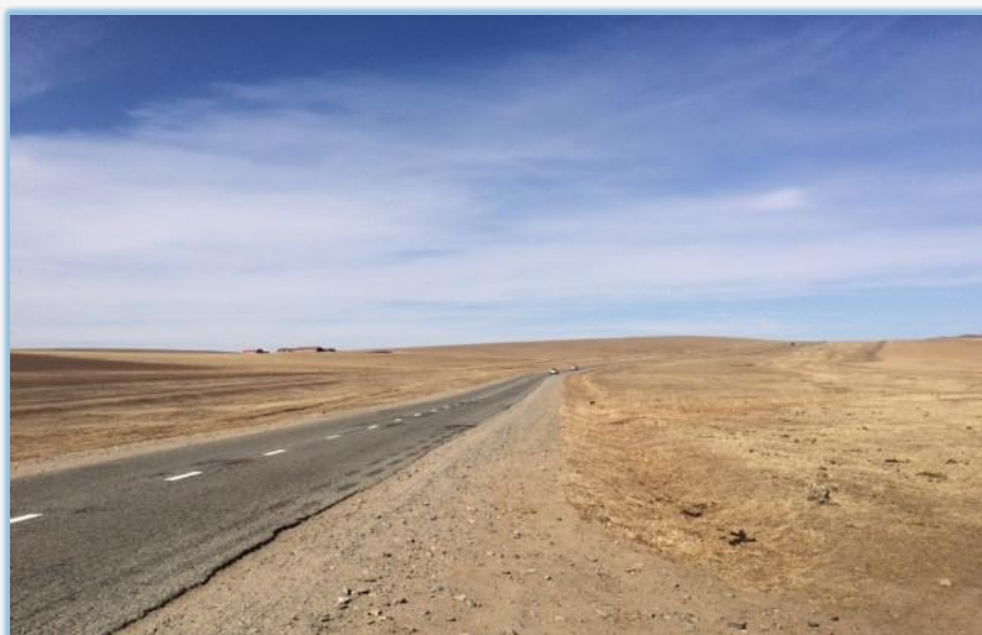


**SNC • LAVALIN**

# IPPF SIW - Mongolia: Ulaanbaatar to Darkhan Road Environmental and Social Assessment (ESA)

Supplementary Document: Stakeholder Engagement Plan

July 2019



# Notice

This document and its contents have been prepared and are intended solely as information for and use in relation to Stakeholder Engagement Plan

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This document has 70 pages including the cover.

## Document history

Revision	Purpose description	Originated	Checked	Reviewed	Authorised	Date
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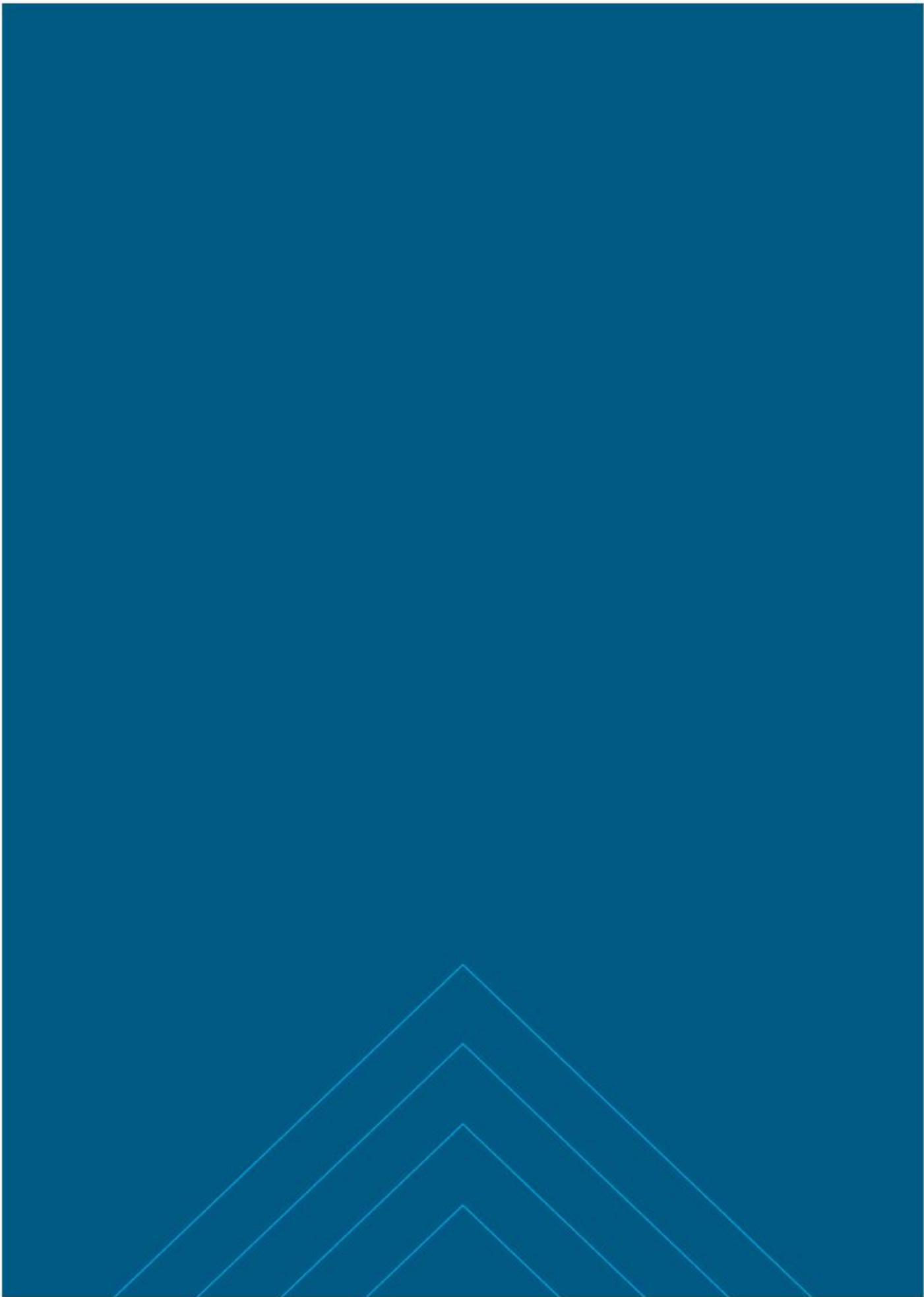
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# Acronyms and abbreviations

Acronym / Abbreviation	Description
<b>ADB</b>	Asian Development Bank
<b>AH</b>	Asian Highway
<b>COMO</b>	Community Outreach and Monitoring Officers
<b>EBRD</b>	European Bank for Reconstruction and Development
<b>EIA</b>	Environmental Impact Assessment
<b>DEIA</b>	Detailed Environmental Impact Assessment
<b>ESA</b>	Environmental and Social Assessment
<b>ESAP</b>	Environmental and Social Action Plan
<b>ESHS</b>	Environmental, Social, Health and Safety
<b>ESIA</b>	Environmental and Social Impact Assessment
<b>ESMMP</b>	Environmental and Social Management and Monitoring Plan
<b>GEIA</b>	General Environmental Impact Assessment
<b>GIP</b>	Good International Practice
<b>GRM</b>	Grievance redress mechanism
<b>LARF</b>	Land Acquisition and Resettlement Framework
<b>LARP</b>	Land Acquisition and Resettlement Plan
<b>MCPC</b>	Mongolian Construction Project Consultants Group LLC
<b>MNS</b>	Mongolian National Standard
<b>MRTD</b>	Ministry of Road and Transport Development
<b>O&amp;M</b>	Operation and Maintenance
<b>PIU</b>	Project Implementation Unit
<b>PR</b>	Performance Requirement
<b>SEP</b>	Stakeholder Engagement Plan
<b>Soum</b>	<i>Mongolian</i> Eng. District
<b>UNECE</b>	United Nations Economic Commission for Europe



# 1. Introduction

## 1.1. Background

The European Bank for Reconstruction and Development (EBRD) is considering providing finance to the Government of Mongolia, through the Ministry of Road and Transport Development (MRTD), for the widening of the Ulaanbaatar to Darkhan Road [Asian Highway 3 or “AH-3”]. The road currently exists as a 202.42 km, 2-lane, category IV road of improved surface from the capital city, Ulaanbaatar, to the second largest city, Darkhan.

The widening project forms Phase II of road reconstruction works and covers the expansion of the road to a category I, 2-way, 4-lane concrete road (referred to as the Phase I Project or the Project throughout). Phase I works are being funded by an Asian Development Bank (ADB) loan and comprise the reconstruction of the existing road (2-lane) (referred to as the Phase I works or ADB project throughout).

The EBRD has assigned the Phase II Project as a Category A project, which means that a comprehensive Environmental and Social Assessment (ESA) of the Project must be undertaken, including the preparation of a Stakeholder Engagement Plan (SEP). This document presents the SEP in accordance with EBRD’s Performance Requirement (PR)10 *Information Disclosure and Stakeholder Engagement*, as set in the EBRD’s Environmental and Social Policy (ESP) 2014<sup>1</sup>.

The SEP will be developed in more detail by the MRTD and a Project Implementation Unit (PIU) prior to the start of construction; and individual Construction contractors will be responsible for its implementation, as well as developing detailed construction SEPs/ Action Plans for their area of works for approval by the PIU. During operation, the SEP will be the responsibility of the MRTD.

## 1.2. SEP Objectives

The objectives of this SEP are to:

- Outline the applicable standards with regards to effective stakeholder engagement;
- Identify stakeholders and their interests and/or issues of concern;
- Identify the stakeholder engagement that has been undertaken to date and additional engagement undertaken to meet EBRD PR10;
- Ensure a systematic approach to future stakeholder engagement that will help build and maintain a constructive relationship with stakeholders;
- Ensure that appropriate environmental and social information is disclosed, and meaningful consultation is held with Project’s stakeholders and where appropriate, feedback provided through the consultation is taken into consideration;
- Define roles and responsibilities for stakeholder engagement activities and outline how engagement will be integrated across the Project;
- Define monitoring and reporting procedures; and
- Provide a grievance management mechanism through which stakeholder concerns are captured and responded to in a constructive and timely manner.

## 1.3. SEP Scope

In accordance with the objectives above, the SEP aims to document the stakeholder engagement activities and results to date, as part of a broader framework to guide and document stakeholder engagement during the Project’s subsequent phases. It covers the engagement undertaken as part of the local Detailed Environmental Impact Assessment (DEIA) requirements, engagement undertaken as part of the ESA to meet EBRD ESP 2014 and sets out the approach to the construction and operation phases of the Project.

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<sup>1</sup> The EBRD has launched 2019 Environmental and Social Policy, however as these will come into effect on 1 January 2020 the 2014 policy is referred to in relation to this Project.

## 1.4. SEP Contents

This SEP is set out as follows:

- Section 2- Project description: project location and characteristic, design and phases of the Project;
- Section 3- Stakeholder engagement and information disclosure requirements: EBRD and national requirements;
- Section 4- Stakeholder engagement to date: DEIA and other engagement activities, issues raised, future proposed activities;
- Section 5- Stakeholder identification: approach to and identification of stakeholders;
- Section 6- Supplementary stakeholder engagement: approach to and results of engagement undertaken as part of the ESA;
- Section 7- stakeholder engagement programme: future stakeholder disclosure and stakeholder engagement programme;
- Section 8- Grievance mechanism: grievance redress mechanism (GRM) and GRM procedure and timeframe;
- Section 9- Monitoring and reporting: KPIs and monitoring measures and reporting; and
- Section 10- Resources and responsibilities: roles and responsibilities for developing and implementing the SEP.

## 1.5. General Approach to Disclosure of Information

The EBRD considers information disclosure and stakeholder engagement as an on-going process which should be started at the earliest stage of Project preparation and should be continued during its implementation. Consequently, this document is a 'living' resource to be referenced and updated prior to construction and operation; as well as periodically to reflect the continuously evolving stakeholder engagement requirements, practices and outcomes of the Project and/or changes in Project design and activities throughout the Project lifecycle.

This SEP has been prepared by WS Atkins International Limited (Atkins) and Sustainable East Asia LLC (SEA) as part of the ESA, in accordance with the following EBRD policies:

- EBRD ESP (2014), particularly PR10; and
- EBRD Public Information Policy (2014).

It builds on the stakeholder engagement undertaken as part of the DEIA to meet Mongolian requirements. It will be disclosed by the EBRD as part of the ESA package of Supplementary Documents to meet the requirements for Category A projects.

## 2. Project Description

### 2.1. Introduction

The Government sponsored a feasibility study (the 'Feasibility Study') for rehabilitation of the existing 2-lane road prepared by Mongolian Construction Project Consultants Group LLC (MCPC) which was issued in 2017. The Feasibility Study argues in favour of rehabilitation and expansion of the existing 2-lane road to a 4-lane road based on a technical, socio-economic and environmental analysis. The project has been split into two phases:

- Phase I - rehabilitation of the existing road; and
- Phase II - capacity expansion via construction of a further 2-lane road.

Phase I is being financed by the ADB and covers reconstruction of the 2-lane road, including smoothing of dangerous sections of roads and an extension of around 3 m of the existing road where necessary to meet road class standards. A Project Implementation Unit (PIU) has been set up within the MRTD to deliver Phase I and II.

Phase II works comprises the expansion to the road to a 4-lane highway, which EBRD is considering funding.

### 2.2. Project Context

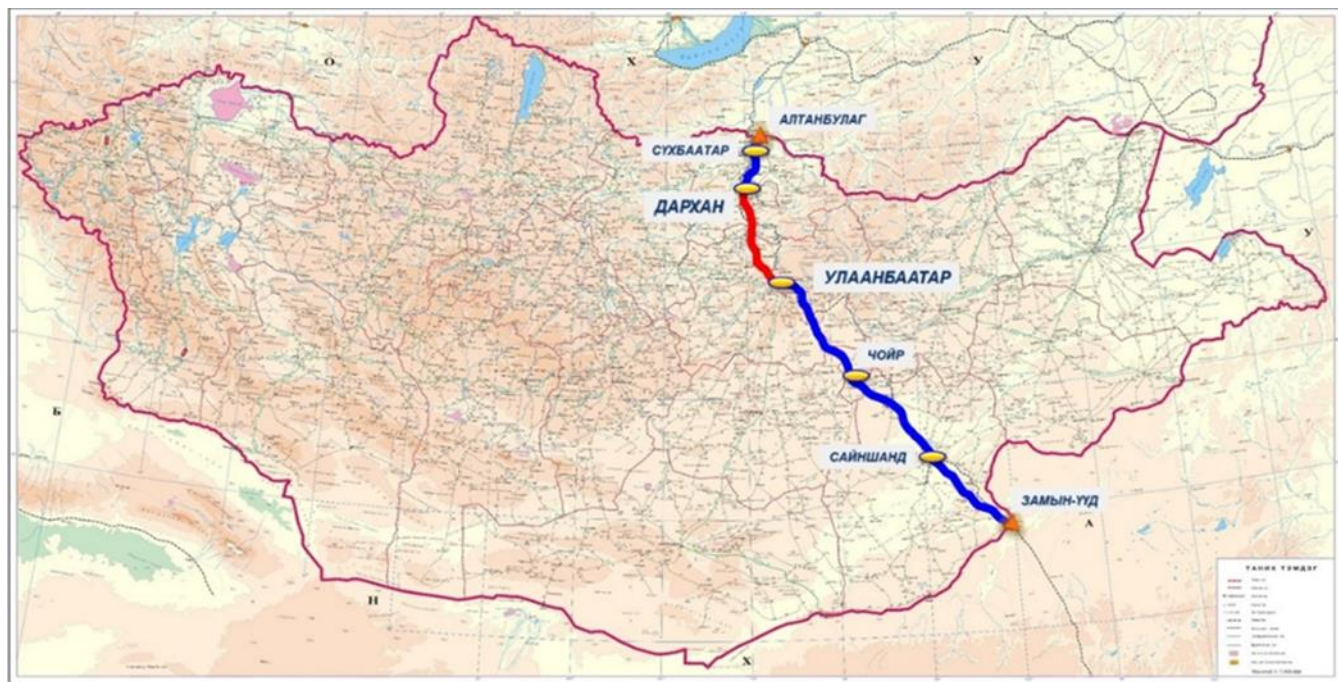
Mongolia is connected to the Asian Highway Network through three routes - the AH-3 (Altanbulag-Ulaanbaatar-Zamiin Uud), AH-4 (Yarant-Khovd-Ulgii-Ulaanbaishint) and AH-32 (Sumber-Undurkhaan-Ulaanbaatar-Tsetserleg-Uliastai-Khovd-Ulgii-Ulaanbaishint), as shown in Figure 2-1. The AH-3, of which the Project is a part, connects Russia, Mongolia and China and is a vital part of the 'Economic Corridor' of the three countries.

The AH-3 route is 1,029.6 km in length within Mongolia, as shown on Figure 2-2, and passes through the major economic region of Mongolia, including industrial, agricultural and livestock farming regions. One of the main aims of upgrading the AH-3 road is to improve its ability to accommodate freight transportation through the vertical axis Altanbulag-Ulaanbaatar-Zamiin Uud.



Figure 2-1. Mongolia's road network

Source: MCPC, Engineering Explanatory Report – Part 1, May 2019



**Figure 2-2. AH-3 route of Asian Highway Network in Mongolia (Ulaanbaatar-Darkhan in red)**

Source: MCPC, Engineering Explanatory Report – Part 1, May 2019

## 2.3. The Project

The Project starts from the roundabout junction of Darkhan-Emeelt outside Ulaanbaatar and passes through three aimags (provinces)<sup>2</sup> and six soums<sup>3</sup> as follows: the soums of Bayanchandmani and, Bornuur in Tuv aimag, soums of Mandal and Bayangol in Selenge aimag, and Khongor soum in Darkhan-Uul aimag, finishing in the south of Darkhan City, also in Darkhan-Uul aimag. The route of the Project is shown in Figure 2-3.

The Project has been divided into five sections or “lots” as described in Table 2-1.

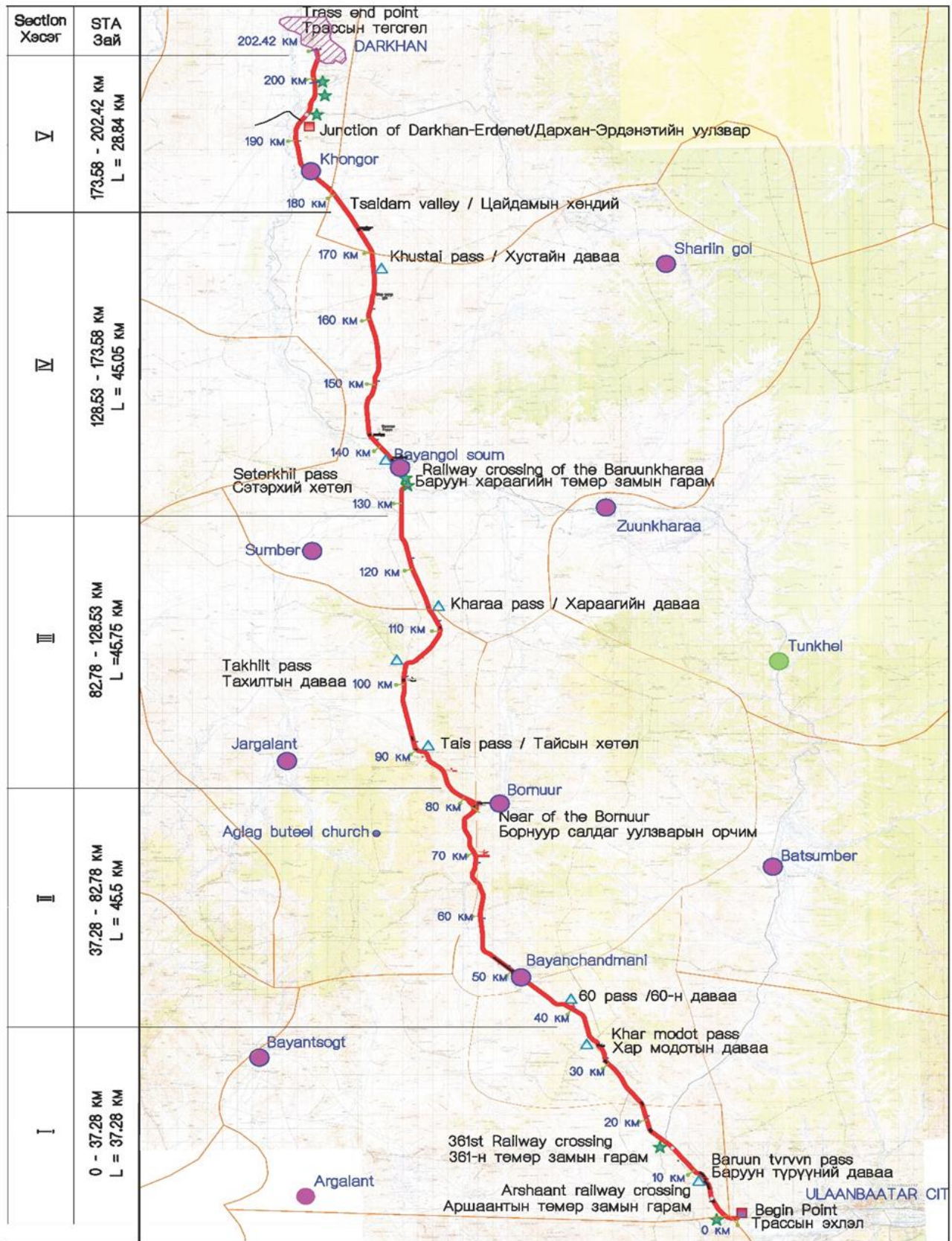
**Table 2-1. Project sections**

Section / Lot	Description	Length (m)	Project Chainage-From m	Project Chainage-To m	KM Post From	KM Post To
I	Starting at roundabout junction of Darkhan-Emeelt to north of Khar Modot Pass (52 <sup>nd</sup> pass)	37,281.77	0	37,281.77	18.9	56.18
II	North of Khar Modot Pass to south of Tais Pass	45,500.17	37,281.77	82,781.94	56.18	101.68
III	Vicinity of Urikhan diner to road junction of Sumber soum, Tuv aimag or Bor Tolgoi	45,753.06	82,781.94	128,535.00	101.68	147.44
IV	Bor Tolgoi or road junction of Sumber soum, Tuv aimag to Tsaidam Valley	45,050.56	128,535.00	173,585.56	147.44	192.49
V	Tsaidam Valley to roundabout junction in Darkhan	28,840.00	173,585.56	202,425.56	192.49	221.33

Source: MCPC (21 May 2019), Engineering Explanatory Report – Part 1.

<sup>2</sup> An aimag is the first-level administrative subdivision

<sup>3</sup> A soum is the second level administrative subdivision below the aimag (provinces)



**Figure 2-3. Project location**

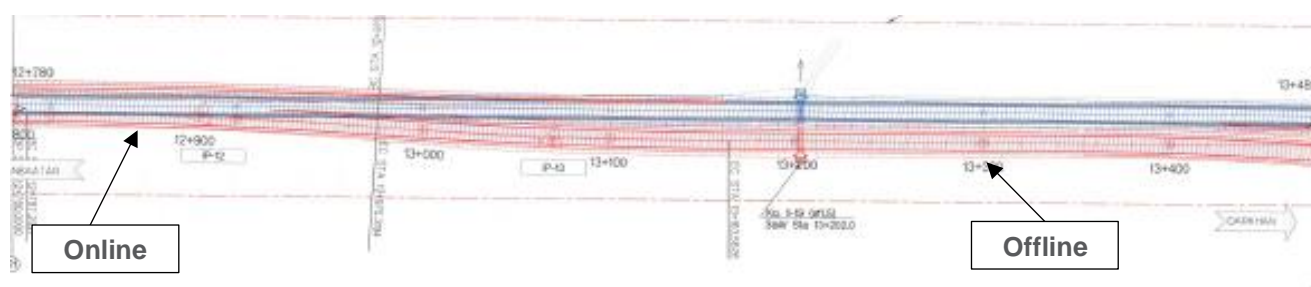
Source: MCPC, Engineering Explanatory Report – Part 1, May 2019

## 2.4. Proposed Works

The Project will comprise construction of a new road, including roundabouts, U-turns and stopping areas, road furniture (barriers, lights, etc.), construction of crossings over eight railways; construction and rehabilitation of bridges and culverts; and rehabilitation of toll booths.

The road will be widened both on-line and off-line, with approximately 68 km to be widened adjacent to the existing road and the remaining 134 km to be offline from the existing road by approximately 16-18 m from the centreline. Across the length of the route, the road changes from online, offline to the east and offline to the west, as shown in Figure 2-4. The road is designed based on the category I standards in accordance with Government of Mongolia regulations: *CNR 22-004-2016 Highway Design Standard*.

Traffic control measures will be put in place complying with the applicable Mongolian standards and international practice.



**Figure 2-4. Example road alignment (red is EBRD road)**

Source: MCPC, Design drawing - May 2019

A number of structures will be required as follows:

- Section I - 37.28 km, from roundabout junction for Darkhan and Western aimags to north of Khar Modot (52nd pass) Pass - 2 bridges, 50 culverts; 14 of which are for animal and typical sedan crossings.
- Section II - 45.49 km from north of Khar Modot Pass to south of Tais Pass - runoff capacity of bridges and culverts has been estimated in detail and existing dimensions of most have been modified (expanded). Works comprise 5 bridges, 66 culverts, of which 26 are for animal and typical sedan crossings. This section of the Project road traverses through centre of Bayanchandmani Soum of Tuv aimag and crosses the minor rivers of Darigant, Shariin Gol, Saikhan, Shivert and Shavart.
- Section III - 45.75 km from the vicinity of Urikhan diner to road junction of Sumber Soum, Tuv aimag or Bor Tolgoi - 64 box and pipe culverts are designed for this section, 8 of them for animal and typical sedan crossing. The section passes through parts of Tais, Takhilt and Kharaa Passes.
- Section IV – 45.06 km from Bor Tolgoi or road junction of Sumber soum, Tuv aimag to Tsaidam Valley. Works comprise 44 box and pipe culverts and 2 bridges. Animal and human crossings are proposed at 13 points. This section traverses the centre of Bayangol Soum, Selenge aimag, and crosses the Kharaa and Bayan Rivers.
- Section V - 28.84 km from Tsaidam Valley to roundabout junction in Darkhan. Works comprise a total of 34 drainage culverts. Animal and human crossings are proposed at 16 points.

### 2.4.1. Construction Phase

No specific details are available of the workforce or equipment required during the construction phase, as this will be determined by the construction contractors. However, typical site installation and preparatory work for road projects includes:

- Development of the lay down areas, work sites and construction camps;
- Mobilisation and installation of the crushing and concrete plant;
- Mobilisation of supplies and materials necessary for construction (vehicles, trucks, construction equipment);
- Temporary signage and the setting up of deviations where necessary;

- General cleaning, clearing and cutting of trees where necessary; and
- Installation of drainage.

Earthworks will include cutting and/or embankments, however, at this stage it is yet to be determined if all earthworks will be undertaken under the Phase I works to avoid two stages of earthworks.

The temporary road required during construction works on the existing road will be the responsibility of the Phase I project. It is currently considered that no additional temporary roads (or use of the Phase I temporary road) will be required for the Phase II Project. Haul roads may be required by Phase II contractors however it is likely that contractors will use the Phase II road footprint as their haul roads. This will be confirmed once contractors are commissioned.

The types of equipment that will be required includes:

- |  |                      |
|--|----------------------|
| • Bulldozers                               | • Loaders            |
| • Graders                                  | • Concrete mixer     |
| • Dump trucks                              | • Generators         |
| • Mechanical shovels on wheels or on track | • Mobile crane       |
| • Finisher                                 | • Mixer trucks       |
| • Sweeper                                  | • Pumps              |
| • Pneumatic compactors                     | • Vibrating plate    |
| • Cylinder compactors                      | • Compressors        |
| • Water tanks                              | • Circular saw       |
| • Fuel tanks                               | • Painting equipment |
| • Planers / milling machines               |                      |

During construction raw materials will be required for the road pavement, including sand, concrete, bitumen and aggregate and water, most of which will be sourced from Mongolia. There are 17 borrow pits along the road, as shown in Figure 2-5. The DEIA<sup>4</sup> identifies that up to 11 of these sites will be used by the contractors.

## 2.4.2. Operation Phase

### 2.4.2.1. Road design life

The road has been designed for a 20 year lifespan.

### 2.4.2.2. Toll booths

There will be two MRTD toll booths on the road, at the exit from Ulaanbaatar city (an existing operational toll) and at the Darkhan-Erdenet intersection. Tolls are not applicable under Mongolian Law for local travel.

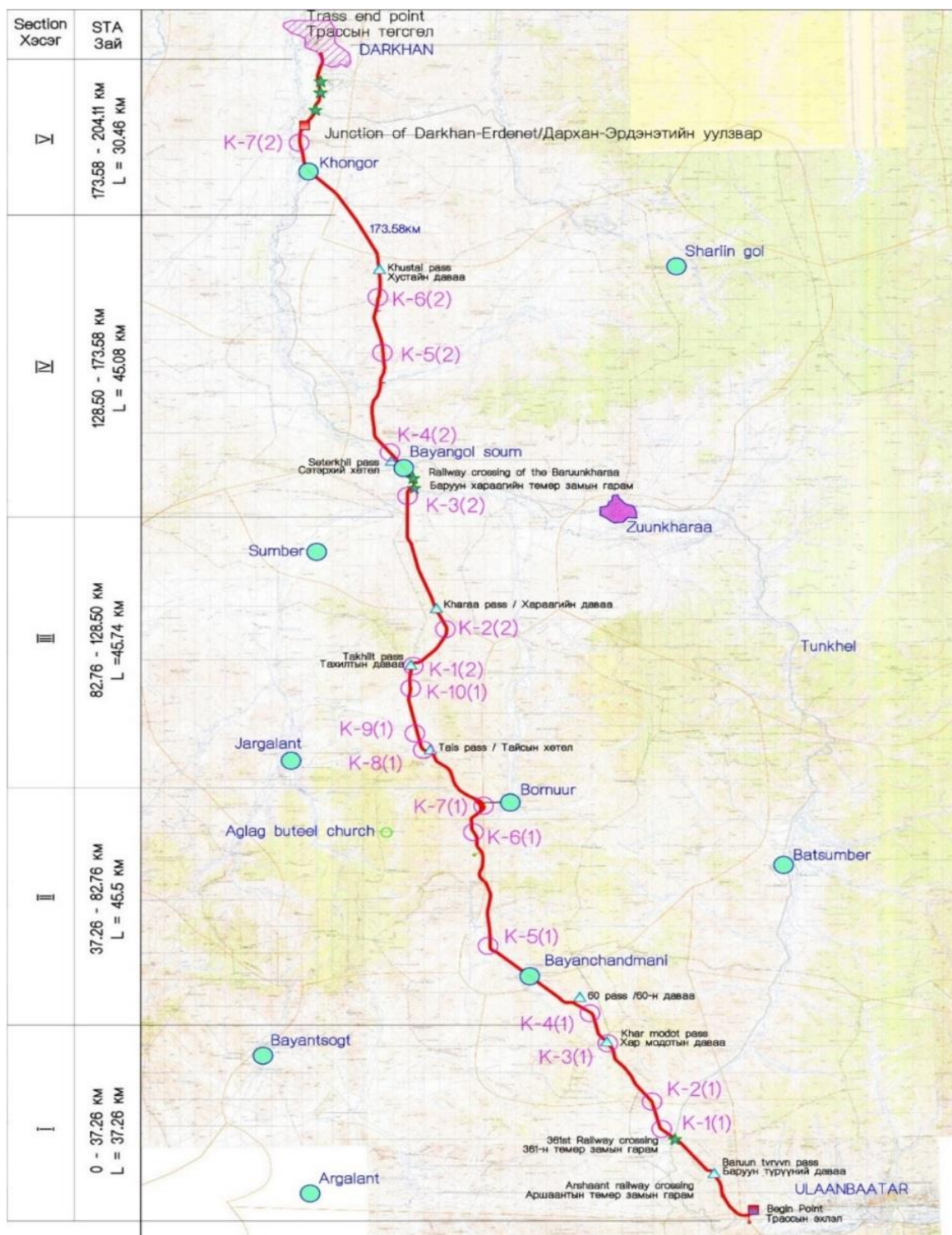
### 2.4.2.3. Road speeds

The design speed is 100 km/hour for almost 70% of the road, with 80 km/hour adopted for difficult sections of Baruunturuu, Khar modot and Takhilt passes. The current speed limit is 80 km/hour - though it is noted that this limit is not currently observed. Speed limits will be reduced to 60 km/hour in urban areas. Two speed cameras and five video surveillance cameras linked to traffic monitoring centres are currently proposed.

### 2.4.2.4. Operation and maintenance

No details are currently available on operational and maintenance activities however, these typically include routine maintenance and unplanned maintenance such as clearing the road and repairing potholes.

<sup>4</sup> SEC (May 2019), Detailed Environmental Impact Assessment.



**Figure 2-5. Existing borrow pits along the road**

Source: MCPC (21 May 2019). Engineering Explanatory Report – Part 1

## 3. Stakeholder Engagement and Information Disclosure Requirements

### 3.1. Introduction

Stakeholder engagement and information disclosure will comply with the requirements of the legislation of Mongolia and good international practice (GIP), as described in the requirements of EBRD's ESP 2014. These are described in turn below.

### 3.2. National Requirements

The key provisions for stakeholder engagement in Mongolia are contained within the following laws:

#### 3.2.1. Law of Mongolia on Environmental Impact Assessment (EIA) (1998, as amended 2001, 2006 and 2012)

This law stipulates that public involvement in the DEIA process is required. Article 18.4 requires that the opinion of the local population is addressed in undertaking and preparing the DEIA.

According to the law on Environmental Impact Assessment (2012) Chapter 4 Article 17 paragraph 1-5:

- The state central administrative organization in charge of nature and environment shall make public via its website information regarding the development programs and plans that are subject to a strategic assessment and the projects that have undergone an environmental impact assessment.
- Public comments may be invited during the process of strategic assessments of national and regional policies that the government plans to adopt and development programs and plans to be implemented.
- The members of public may comment in writing and verbally and shall do so within not more than 30 working days.
- It is the responsibility of the legal entity performing the detailed environmental impact assessment to organize, at the report preparation stage, consultations with and formally seek comments from the local authority, the community that is likely to be affected by the project and local residents living in the area where the proposed project is going to be implemented.
- Public participation may be regulated by a procedure which shall be approved by the Minister of Nature and Environment.

#### 3.2.2. Regional Development Management Law (2003, as amended 2006)

This law primarily aims to regulate regional development and balance social and economic objectives. Respect for the powers of local self-governing bodies in the regional development process is underwritten in the law. The law empowers local self-governing bodies with the responsibility of engaging citizens in the regional development process, by responding to appropriate queries and encouraging and directing engagement by *'citizens, enterprises and organization'*.

#### 3.2.3. Law of Environmental Protection (1995, as amended 2012)

The law seeks to guarantee the human right to living in a healthy and safe environment, through the protection of the environment for the present and future generations. Article 5 and 10 of the law are relevant to public consultation:

- There shall be public access to activities and decisions in respect of environmental protection and the use of natural resources; and
- Environmental monitoring will provide the public and interested business entities and organisations with information on the environment and natural resources.

### 3.2.4. Minister of Environment and Green Development, Ordinance A-117 (04 September 2014)

The Ordinance sets out requirements for disclosure of the DEIA results and consultation with the local community. It stipulates that the DEIA company/consultant should obtain feedback from local government, potentially affected persons and local residents. It also requires that the DEIA consultant should organise project specific engagement selecting appropriate measures to ensure participation and disclose project information. The following methods are identified as useful: sample surveys, questionnaires, interviews, community resource mapping, open discussions and Focus Group Discussions (FGDs).

The DEIA Report should include the following information:

- Meetings and consultations with the project's affected persons and project stakeholders, surveys conducted, when and how information was disclosed; participants attendance;
- Main themes discussed, information on major issues raised during consultation; and
- Reasonable suggestions raised during consultations which should be reflected in project planning, implementation and operation.

Where a project covers the territory of several *baghs* and *soums*, the DEIA consultant should feedback the DEIA results to each *bagh* public meeting and *soum's Hural* to get their feedback/suggestions.

### 3.2.5. Minister of Environment and Green Development, Ordinance A-03 (06 January 2014)

This Ordinance applies to Environmental Strategic impact assessment, Cumulative impact assessment and DEIAs. The following is required: Information disclosure and transparency of, and access to, information, ensuring exchange of information; consultation and negotiation between proponents of development policy, programs and plans and potentially affected people (directly and indirectly affected), local communities and other organisations; use of data and suggestions by project stakeholders in designing mitigation measures; respect for local peoples' traditional culture, traditions, values, traditional way of life and rights. Information on potential negative impacts on the environment and human health should be open and accessible with citizens and the public provided free access to this information.

The public participation required during the DEIA process is as follows:

- The DEIA should ensure public participation at assessment stages;
- People's feedback on predicted impacts should be obtained using a participatory approach;
- Direct and indirect impacts should be assessed using such tools like consultation, discussions, surveys and cover livelihoods and social issues;
- Information on the project and its positive and negative impacts, and mitigation measures, should be provided;
- The DEIA consultant and project proponent should, within 15 days after completion of developing the DEIA Report and Environmental Management Plan, disclose these documents to the *bagh/khoroo* Public meetings and seek feedback; this should cover all *baghs* and *soums* in the project area;
- Affected communities should provide their feedback/suggestions to *bagh/khoroo* Public meetings before a final decision is made on the proposed project;
- The project proponent, Governors of *soum*/districts, *bagh/khoroo* Public meetings and *aimag*/capital city Environmental agencies are responsible for providing access to the approved DEIA Report;
- The project proponent has to report to communities and the public at least once a year on project implementation;
- Grievances on gaps in the DEIA Report may be logged by people/communities with the project, local authority and/or the Ministry of Environment;
- The Ministry of Environment shall resolve grievances within laws; in case the person/community does not agree with resolution of such grievance, they may log complaint with the courts.

### 3.3. EBRD Requirements

The EBRD is committed to promoting environmentally sound and sustainable development and sets out stakeholder engagement requirements in the following documents:

- Environment and Social Policy (2014)
- Public Information Policy (2014).
- PR 10 Information Disclosure and Stakeholder Engagement (2014)

EBRD ESP also required compliance with relevant EU Directives.

#### 3.3.1. EBRD's Environmental and Social Policy (ESP) (2014)

The ESP identifies that the EBRD is committed to the principles of transparency, accountability and stakeholder engagement. The EBRD requires clients to identify stakeholders potentially affected by and/or interested in the project, disclose sufficient information about the impacts and issues arising from a project and consult with stakeholders in a meaningful and culturally appropriate manner. Stakeholder should be engaged in proportion to the potential impacts associated with a project.

#### 3.3.2. EBRD Performance Requirement 10 (2014)

The EBRD's PR10 on information disclosure and stakeholder engagement promotes stakeholder engagement as a focal point to achieve and build a constructive and responsible relationship, essential for the successful management of environmental and social issues. The following are the requirements of EBRD PR10 on information disclosure and stakeholder engagement:

##### **Stakeholder engagement requirements**

- Stakeholder engagement should involve the following elements: stakeholder identification and analysis, stakeholder engagement planning, disclosure of information, meaningful consultation, implementation of a grievance mechanism, and ongoing reporting to relevant stakeholders;
- The client should conduct stakeholder engagement on the basis of providing stakeholders with access to timely, relevant, understandable and accessible information, in a meaningful, effective, inclusive and culturally appropriate manner and free from manipulation, interference, coercion, intimidation and retaliation;
- The stakeholder engagement process should begin as early as possible in project development and will continue throughout the project life cycle. The nature and frequency of stakeholder engagement at all phases of the project development will be proportionate to the nature and scale of the project, its potential adverse environmental or social risks and impacts and the level of stakeholder interest. The client will comply with the applicable requirements of national law with respect to public information and consultation, including those laws implementing host country obligations under public international law; and
- The client should define clear roles, responsibilities, and authority as well as designate specific personnel for the implementation and monitoring of stakeholder engagement activities.

##### **Information disclosure requirements**

- Where the project has environmental and social impacts, the client will disclose relevant project information, as appropriate, to help stakeholders understand the risks, impacts and opportunities of the project. The client will provide stakeholders with access to the following information:
  - the purpose, nature, scale and duration of the project;
  - risks to, and potential impacts on, stakeholders and proposed mitigation plans highlighting potential risks and impacts that might disproportionately affect vulnerable and disadvantaged groups and differentiate measures to mitigate these;
  - the envisaged stakeholder engagement process, if any, and opportunities and ways in which stakeholders can participate; and
  - the time and venue of any envisaged public consultation meetings, and the process by which meetings are notified, summarised, and reported; and the process by which any grievances will be managed.

- This information will be disclosed in the local language(s) and in a manner that is accessible and culturally appropriate, taking into account any specific needs of groups that may be differentially or disproportionately affected by the project or groups of the population with specific information needs (including disability, literacy, gender, mobility, differences in language or accessibility). Where necessary and culturally appropriate, a third-party may be hired to disclose the information to avoid intimidation, coercion or any form of manipulation.

### 3.3.3. EBRD's Public Information Policy (2014)

The EBRD Public Information Policy (2014) elaborates how the EBRD discloses information and consults with its stakeholders in order to promote better awareness and understanding of its strategies, policies and operations. The following are the requirements of the EBRD Public Information Policy:

- identify people or communities that are or could be affected by the project (including vulnerable groups), as well as other interested parties;
- ensure that such stakeholders are appropriately engaged on environmental and social issues that could potentially affect them, through a process of information disclosure and meaningful consultation; and
- maintain a constructive relationship with stakeholders on an on-going basis through meaningful engagement during project implementation.

### 3.3.4. EU Directive 2011/92/EU on the assessment of the effects of certain public and private projects on the environment, as amended by 2014/52/EU (the EIA Directive)

The EIA Directive and its amendments emphasises the need for effective public participation in decision-making, as well as the participation of associations, organisations especially non-governmental organisations. It also requires that, with a view to strengthening public access to information and transparency, timely environmental information should also be accessible in electronic format. Disclosure of impact assessment documents for public comments is also a requirement under the Directive.

Reasonable timeframes should be provided for the public to prepare and participate in the consultation process. The results of consultation should be recorded and taken into account during the project development.

### 3.3.5. Aarhus Convention

The Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (the Aarhus Convention) was adopted by the United Nations Economic Commission for Europe (UNECE) in 1988. On 5 July 2011, the Meeting of the Parties to the Convention adopted a decision encouraging the accession by states outside the UNECE region and a simplified procedure for doing so.

Article 6 of the Convention relates to provision for reasonable timeframes for participation, opportunities for early participation and the obligation to ensure that "due account" is taken of the outcome of the participation. Article 7 requires Parties to make *"appropriate practical and/or the provisions for the public to participate during the preparation of plans and programs relating to the environment"*.

The Mongolian Government is not currently a signatory to this Convention, however has stated an interest in acceding to the Convention through communication with the UNECE. In principle, Mongolian law broadly aligns with the requirements of the Convention.

## 3.4. Gaps between National and EBRD Requirements

The national framework in Mongolia is broadly compatible with the EBRD requirements of public consultation and stakeholder engagement but there are several gaps that need to be addressed. The national requirements do not address a detailed identification of stakeholders or detailed, meaningful and empowered consultation. There is also no explicit requirement for a grievance mechanism.

Therefore, this SEP has taken into consideration all the requirements to supplement the engagement that has been undertaken to date and to set out a process for future consultation and managing grievances to comply with the more stringent EBRD standards and requirements of stakeholder engagement.

As a Category A project, the Project should engage with stakeholders at every phase of the Project and their feedback should be built into the relevant project documents.

The Supplementary ESA documents, including this SEP, will be publicly disclosed for comments on the EBRD website and locally.

This SEP will also be developed in detail for the construction and operation phases of the Project.

## 4. Summary of Previous Stakeholder Engagement Activities

### 4.1. Introduction

This section describes the stakeholder engagement activities that have taken place in support of the Project to date. As described in Sections 1 and 2, the Project forms Phase II of works proposed along the same road. Therefore, a summary of both Phase I and II engagement undertaken is provided, starting from the Feasibility Study for the overall project undertaken in 2017. A description of the key findings of the engagement activities is also provided below.

#### 4.1.1. Feasibility Study for Ulaanbaatar-Darkhan road (2017) – Social Study Report

As part of the Feasibility Study undertaken in 2017, a Social Study Report was prepared<sup>5</sup> for which, a baseline survey was conducted among a total of 384 randomly selected community members (proportional to the size of population, which was 130,267). Interviews were also conducted with representatives of service providers, public and private organizations; operating in the six main settlements (Bayanchandmani, Jargalant, Bornuur, Sumber, Bayangol and Khongor soums) along the road.

The survey respondents overwhelmingly supported the idea of renovating the Ulaanbaatar to Darkhan road (out of 384 survey respondents, 382 or 99.47% supported the idea). Representatives of the organizations (service providers, public and private organizations) interviewed, all supported the renovation of the road. Two thirds preferred the use of cement concrete, while one third preferred the use of asphalt concrete; as the material to be used for the renovation.

Key issues raised include:

- The importance of and need for the road for people's lives and livelihoods is very high;
- The Ulaanbaatar-Darkhan road users and passengers are not satisfied with the current state of the road and the need to upgrade is very important;
- The social significance and support of road development - 382 or 99.47% of 384 respondents support the renovation of the Ulaanbaatar-Darkhan road. Darkhan road upgrading is becoming a social necessity, and this renovation has high public support; and
- The social developments and changes as a result of the road development - overall, 51-86% of survey respondents agreed that all aspects of society will be positively affected; and 5.7-23.7% somewhat agree that the road development will have a positive impact.

Generally, the survey respondents believed that socio-economic impacts of the road renovation will be positive. They also believed significant positive changes that can impact social development will occur as a result of the road renovation.

#### 4.1.2. Phase I: Asian Development Bank (ADB) Initial Environmental Examination (IEE) – Mongolia Regional Road Development and Maintenance Project (2018)

##### Stakeholder consultation questionnaire

Stakeholder consultation was carried out by the consultant team who undertook the DEIA for the Phase I project, from 30<sup>th</sup> March 2017 to 2<sup>nd</sup> April 2017 and reported in the ADB's Initial Environmental Examination (IEE) Report<sup>6</sup>. It is noted that the Phase I road at the time of reporting on the IEE covered a longer route, from Ulaanbaatar-Darkhan-Altanbulag. Relevant to the Phase II Project, engagement included a questionnaire-based survey among roadside communities and residents of major settlement areas along the road corridor. A total of 85 local residents participated in the survey.

<sup>5</sup> MCPC (2017), Feasibility Study for Route Ulaanbaatar – Volume III, Social Study Report.

<sup>6</sup> ADB (2018), Initial Environmental Evaluation (IEE). Regional Road Development and Maintenance Project.

No details on the dates or number of meetings held are reported in the IEE; however, 59% of survey respondents were men and the remaining 41% were women. In terms of occupation, 65% of total respondents were from state entities, 12% were employed in private owned entities, 5% were in crop planting business (or farmers) while 18% had employment in other sectors or businesses.

The results of this questionnaire are summarised as follows (as reported in the ADB IEE):

- 50% of participants do not have a permanent living place or grazing lands;
- Approximately half the respondents reside within 10 km of the Ulaanbaatar-Darkhan-Altanbulag road;
- 95% of survey respondents are in support of the road project;
- The participants of the survey indicated the following environmental impacts that might arise from road rehabilitation:
  - Impacts on land use such as shrinkage of grazing land (10%);
  - Pollution of water resources (7%);
  - Land damage and soil erosion (20%);
  - Dust emission (36%);
  - Deterioration of plant cover (9%);
  - Disturbance on wildlife movement and habitat (10%); and
  - Impacts on forest resources (8%).
- The respondents named the following main positive and negative outcomes of the road rehabilitation work for the road:
  - *Positive outcomes:* 14% said increase of job opportunities; 6% said improvement of livelihood; 5% said increase of state budget income; 9% said increase of local budget income; 17% said improved infrastructure; 16% said it helps to the development of local economy and society.
  - *Negative impacts:* pasture degradation (4%); depletion of water resources (3%); pollution and erosion to soil cover (7%); air pollution (6%); and degradation of plant cover (3%).
  - 10% of survey respondents did not foresee any negative impacts.
- The participants of the survey suggested the following mitigation measures could be in place during the rehabilitation of the road:
  - Regular minor routine repairs;
  - Improvement of signs and livestock crossing points;
  - Install speed bumps at necessary points;
  - Widening of the road if possible;
  - When planting trees on two sides of the road, make sure a proper distance is kept between the trees and the embankment, otherwise trees will grow onto the road; and
  - Making sure planted trees are protected properly.
- The following suggestions were proposed regarding the usage and maintenance of the road:
  - The road shall be cleaned of snow cover and dust regularly;
  - The road maintenance entity needs to be provided with snow cleaning truck;
  - Prohibit heavy duty trucks with capacity of over 40 tons driving on the road;
  - Carry out a survey at d points where dangerous natural phenomenon occur; and
  - Pay special attention to STA.226 in Darkhan soum where there is no signage, thus accidents occur frequently.

## Engagement with government officials

In addition to this stakeholder consultation exercise, four meetings were held with five government officials on the 31<sup>st</sup> of March and 1<sup>st</sup> of April 2017. These government officials included:

- Governor of Sukhbaatar soum, Selenge aimag;
- Head of Environmental Department, Selenge aimag;
- Head of Forestry Department, Selenge aimag;
- Two Officers from the State Emergency department, Selenge aimag; and
- Deputy Governor, Altanbulag soum in Selenge aimag.

Local government officials indicated their support for the rehabilitation of the Ulaanbaatar-Darkhan road and shared concerns regarding that once the project is completed, local construction companies should conduct future road rehabilitation in a proper manner. In addition, consulted local government officials expressed a number of suggestions for the project including ensuring proper disposal of construction waste by road constructions companies, planting trees along the road however taking into account visibility for drivers.

## Additional Public Opinion Survey for UB-Darkhan-Altanbulag Road Corridor

In addition, a public opinion survey of herders was carried out in March 2018 by ADB consultants as part of the Phase I IEE works. 120 herder households residing along the road corridor participated in the survey. The herder households were visited by a project preparation consultant, who conducted face-to-face discussions and interviews as part of the survey. Baseline livelihood conditions and understanding concerns about livelihood and environmental conditions were the main focus of the survey.

109 herder households (90.8%) were from Darkhan and Khongor soums of Darkhan-Uul aimag, 3 herder households (2.5%) were from Bayanchandmani soum of Tuv aimag, and 8 herder households (7.6%) were from Bayangol soum of Selenge aimag<sup>7</sup>.

The following results were reported in the IEE:

- 15% of surveyed herders reside within 1 km of the road;
- 40% of herders surveyed identified lack of adequate pastureland and fodder preparation fields as the key issue in terms of livelihood;
- 25% responded that environmental pollution and increasing waste disposal is the key environmental issue in their place of living;
- Households rely on nearby rivers as their drinking water source. However, 30% of herder households are using river water for drinking purposes only sometimes. A total of 25% of the participants responded they have their own water well, while 75% responded they don't have their own water well; and
- No environmental impacts relevant to the project were raised by herders during the survey and the respondents were generally supportive of the project.

### 4.1.3. Phase II: Detailed Environmental Impact Assessment (DEIA) of the Phase II works (2019)

The DEIA<sup>8</sup> undertaken for the proposed road widening Phase II works provided information on community consultations conducted between February and April 2019, as well as suggestions given by local authorities in the six soums and settlements along the Ulaanbaatar-Darkhan road.

The official request to hold community consultations was sent to local governments by email on 15<sup>th</sup> February 2019 by the national DEIA consultant, SEC LLC, and meetings were held between 18<sup>th</sup> February 2019 and 13<sup>th</sup> March 2019, in two forms, namely 15 Bagh public meetings (i.e. using the existing meetings of all households who live in a Bagh, which are formal meetings normally held on a quarterly basis) and four community meetings. These consultations are required under the requirements of the Law on Environmental Impact

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<sup>7</sup> ADB PPTA consultant (2018), cited in ADB (2018), Initial Environmental Evaluation (IEE). Regional Road Development and Maintenance Project.

<sup>8</sup> SEC LLC (2019), Detailed Environmental Impact Assessment (DEIA).

Assessment and the public consultation procedure approved by Ordinance A-03 of the Minister for Environment and Green Development<sup>9</sup>.

At the meetings, the potential environmental impacts of the Project were presented, and feedback was sought from stakeholders in terms of their views/perceptions on the Project impacts and their proposals/suggestions to mitigate potential impacts.

During these meetings the Chair of the Citizens' Representatives Khural (*Hural*) of Darkhan soum, Darkhan-Uul aimag and Jargalant soum, Tuv aimag were requested to provide their comments or recommendations.

Based on the meeting notes of the DEIA consultants taken at Bagh public meetings and the resolutions of Bagh public meetings (official meeting notes of the Bagh), the suggestions and/or recommendations were discussed at the soum *Hurals* and meetings of the Presidium of the soum *Hurals* on 13<sup>th</sup>, 14<sup>th</sup>, 15<sup>th</sup>, 18<sup>th</sup> and 20<sup>th</sup> March and 2<sup>nd</sup> April 2019, respectively.

The Bagh public, community meetings and *Hural* meetings held are summarised in Table 4-1.

**Table 4-1. Meetings held during the preparation of the DEIA**

No	Location	Form of consultation	Date	Number of participants <sup>10</sup>	Attendance rate*
1	Bayanchandmani soum	Public consultation	2/18/2019	Not known	Quorum requirement met
2			3/11/2019		
3		Meeting of the Presidium of Soum <i>Hural</i>	4/4/2019	6	57.1
4		Public meeting of Bagh 1	3/20/2019	105	25.2
5		Public meeting of Bagh 2	3/26/2019	130	86
6		Public meeting of Bagh 3	3/20/2019	Not known	Quorum requirement met
7	Bornuur soum	Public consultation	2/25/2019		
8		Meeting of the Presidium of Soum <i>Hural</i>	3/20/2019	5	71.4
9		Public meeting of Bagh 1	2/25/2019	Not known	Quorum requirement met
10		Public meeting of Bagh 2			
11		Public meeting of Bagh 4			
12	Jargalant soum	Meeting of the Presidium of Soum <i>Hural</i>	3/18/2019	4	66.6
13		Public meeting <i>Bayanbulag</i> Bagh	3/13/2019	72	65
14	Bayangol soum	Meeting of the Presidium of Soum <i>Hural</i>	3/15/2019	8	85.7
15		Public meeting of Bagh 1	2/20/2019	72	55
16		Public meeting of Bagh 2 <i>Bayan</i>	2/20/2019	90	Quorum requirement met
17		Public meeting of Bagh 3 <i>Gonir</i>	2/20/2019	12	62
18	Darkhan soum	10 <sup>th</sup> Meeting of the Soum <i>Hural</i>	3/14/2019	26	84
19		Public meeting of Bagh <i>Malchin</i>	2/27/2019	1 citizen from 30 households	Quorum requirement met
20		Public meeting of Bagh 14	3/6/2019	58	Quorum requirement met
21		Public meeting of Bagh 13	3/6/2019	61	Quorum requirement met
22	Khongor soum	Public consultation	2/26/2019	Not known	Quorum requirement met

<sup>9</sup> Dated 6 January 2014.

<sup>10</sup> Data disaggregated by gender not available.

No	Location	Form of consultation	Date	Number of participants <sup>10</sup>	Attendance rate*
23		Meeting of the Presidium of Soum <i>Hural</i>	3/20/2019	7	100
24		Public meeting of Bagh 1	3/6/2019	77	Quorum requirement met
25		Public meeting of Bagh 2	3/6/2019	50	
	Total			783	55-100%

In order to gather proposals and recommendations by local government with the aim to include the results in the DEIA, official letters with recommendations were collected from the Governor and Deputy Governor of Bayanchandmani soum, Tuv aimag; the Governor of Bayangol soum, Selenge aimag; the Governor of Bornuur soum, Tuv aimag; and the Governor of Jargalant soum, Tuv aimag. Official recommendations were also received from five regular meetings of soum *Hurals* and Meetings of the Presidium of the soum *Hurals*. 1 regular meeting of the soum *Hural* and 4 Meetings of the Presidium of the soum *Hurals*.

Key issues raised by participants during the February to April 2019 community engagement included:

- Desire for green spaces along the road; speed bumps, pedestrian crossings in soum centres; and road signs to be added during construction phase;
- Jargalant soum requested that a junction be created where commuters cannot stop and leave garbage (which is the present situation);
- Other concerns included requests to reduce dust during construction, and measures to prevent road accidents; and
- A few soums noted a need for flood drainage pipes, along with water and sewage pipelines.

The Governor of Bayanchandmani soum in Tuv aimag submitted his official suggestions to the Road Policy Implementation and Coordination Department, MRTD. Suggestions included:

- Coordinate with the soum Development Plan;
- Ensure compliance with Road Safety Law and updated traffic rules (road signs/signages);
- Soum infrastructure (sewage pipeline, water pipeline, thermal pipeline);
- Storm water diverts;
- Rest stops along the road at each 100 km as per international road standards; and
- Ensure that income and business of some 50 shops, restaurants, cafes, repair shops etc. are maintained.

The Governor of Bayangol soum in Selenge aimag, submitted by official letter to SEC (the DEIA consultant) two suggestions on location of temporary roads through the territory of the soum (letter dated 28 February).

The Governor of Jargalant soum in Tuv aimag submitted a letter to SEC (dated 18 March 2019), wherein he requested them to not plan a stop area at the current junction to the soum. Currently waste is disposed at this junction and there is heavy pollution due to lack of public toilet.

The Presidium of the *Hural* of Khongor soum in Darkhan-Uul aimag in its official letter (#38, dated 21 March 2019) to The Natural Resources Management Department (NRMD) of the Ministry of Environment and Tourism (who regulate the approval of the DEIA) conveyed their suggestions regarding location of temporary stops along the road; locations of livestock culverts; locations of crossings for agricultural machine and equipment.

The Public Meetings of Bagh #1 and Bagh #2 of Khongor soum, Darkhan-Uul aimag, conveyed to the NRMD the community requests to plan livestock culverts and crossings, lighting and proper road signage, and undertaking dust suppression measures on temporary roads.

The Meeting of the Presidium of Bayangol soum *Hural* supported the DEIA report (Resolution #04, 15 March 2019); Gonir Bagh Public Meeting, Bayan Bagh Public Meeting (Resolution #02, 20 February 2019), and Bagh #1 Public Meeting (Resolution dated 20 February 2019) supported the DEIA.

The Meeting of the Presidium of Bayanchandmani soum (in Tuv aimag) *Hural* discussed and supported the DEIA and provided to SEC suggestions including maps with locations of road junctions. Suggestions included

*inter alia* speed bumps at soum centres; livestock culverts; lighting along some sections of the road; building water wells; watering temporary roads from mountain pass at 52 km till Khar Khoshuul; and providing support to suggestions made at Public Meetings of Chandmani, Zamt and Erdene *Baghs*.

The Meeting of the Presidium of the Hural of Bornuur soum, Tuv aimag, supported the DEIA report by its Resolution #36, dated 20 March 2019. Public Meetings of *Bagh* #1 (Resolution #6, 25 February 2019), *Bagh* #2 (Resolution #5, 25 February 2019), and *Bagh* #4 (Resolution #1, 25 February 2019) supported the DEIA report.

The Meeting of Darkhan soum *Hural* discussed the DEIA and supported the report by its Resolution # 10/06, dated 14 March 2019. In addition, Public Meeting of Malchin *Bagh* (Resolution #01, 27 February 2019), *Bagh* #14 (Resolution #19/03, 6 March 2019), *Bagh* #13 (Resolution #04, 6 March 2019) all supported the DEIA report.

The Meeting of the Presidium of *Hural* of Jargalant soum (Tuv aimag) by its Resolution #18 (dated 18 March 2019) suggested to conduct a survey on how dust generated on temporary earth roads might affect crop fields and vegetables and reflect the findings in the report, as well as to include in the report temporary roads rehabilitation (both and technical and biological) measures.

Bayanbulag *Bagh* (Jargalant soum in Tuv aimag) Public Meeting by its Resolution #1, dated 13 March 2019, supported the DEIA report and requested to reflect in the report a need for planning a livestock culvert at Takhiltyn Davaa Mountain pass given frequent cases of livestock collision with cars.

## 4.2. Summary of Issues Identified

In general, the issues identified to date as part of the above stakeholder engagement exercises can be summarised as:

- Influx of workers residing in labour camps;
- Livestock and farmer crossings;
- Impact on livelihoods (positive e.g. employment opportunities and negative e.g. disturbances during construction);
- Potential pollution e.g. water (in particular resources used by locals and herders), soils, dust emissions;
- Loss of and disturbance to flora and fauna;
- Impact on tourism; impact on infrastructure such as local health centres and hospitals;
- Impacts on herders and vulnerable groups;
- Improvements to signage and speed control and safety infrastructure along the road;
- Waste issues along the road due to poor planning and removal of wastes at stops;
- Regular maintenance of the road;
- Impacts on flooding and drainage; and
- Community health and safety during construction and operation.

## 4.3. Future Proposed Activities

The ADB IEE identified the following requirements for future stakeholder engagement:

- During implementation, the PIU will undertake consultation interviews a minimum of twice along the project corridor. It is proposed that this takes places within 6-8 weeks of construction starting and then again before the end of construction. This is set out in the ADB IEE Environmental Monitoring Plan.
- During implementation, informal interviews with affected people will focus on complaints about community disturbance from construction activities, such as construction noise, dust, solid waste and wastewater, as well as public concerns about ecological protection, soil / land concerns and access issues, including accessibility problems induced by heavy snow.

The future stakeholder engagement activities identified in the DEIA for the Phase II works include reporting on the Project Environmental and Social Management and Monitoring Plan (ESMMP) annually and a presentation on construction progress and grievances to the soums twice a year and to the local community and *Baghs* once a year.

## 5. Stakeholder Identification

### 5.1. Introduction

In order to develop effective stakeholder engagement, it is necessary to identify who the stakeholders are and understand their needs and expectations for engagement, and their priorities and objectives in relation to the Project. This section of the SEP identifies Project stakeholders, following the requirements of EBRD PR10 which takes into account individuals or groups who:

- (i) are affected or likely to be affected (directly or indirectly) by the project (affected parties); or
- (ii) may have an interest in the project (other interested parties).

### 5.2. Approach to Stakeholder Identification

Stakeholder identification is an on-going process, requiring regular review and updates. A gap analysis was conducted in May 2019 by Atkins and SEA which identified that, whilst engagement has met national standards, there were a number of gaps in the stakeholder engagement process to meet EBRD requirements.

Therefore, using the above definition of the two types of stakeholders, additional stakeholders were identified on the basis of the likely potential impacts of the Project and therefore who could be affected by the Project, so that engagement can be tailored to inform them and enable their views and concerns to be understood in an appropriate manner. This included the identification of individuals and groups that may be differentially or disproportionately affected by the Project because of their disadvantaged or vulnerable status, and/or whether these individuals or any other stakeholder groups are likely to be excluded from, or unable to participate in, the mainstream consultation process or would require specific measures and/or assistance to do so.

It is expected that other stakeholders may be identified during the Project phases and as such, the list included in this SEP will be updated as required. A stakeholder list has been prepared (see below) and should be reviewed regularly and updated throughout the project cycle. The risk associated to each stakeholder group can also be subject to changes and should be reassessed from time to time. The subsequent identification of Project stakeholders is mainly conducted through the application of a combination of procedures that are periodically repeated throughout project development:

- Consideration of the Project's activities and area of influence, insofar as it has been defined;
- Scoping of potential, or review of current, positive and negative Project impacts;
- Contact with Project relevant government bodies and civil society and business groups; and
- Contact made with organisations expressing, or likely to have, an interest in the Project.

As a minimum, the stakeholder list should be revised prior the start of the construction phase and at the start of the operation phase.

### 5.3. Stakeholder Identification and Analysis

The stakeholder list is set out in Table 5.1. An analysis of the stakeholders has been carried out, identifying whether they are affected by or have an interest and/or influence on the Project, in order to assess the best ways to engage with each stakeholder and understand what information is important to them, their interest and influences.

### 5.4. Vulnerable Groups

The stakeholder identification exercise, public consultation process conducted to date and the supplementary ESIA examined if there are any groups of affected people who might be more vulnerable to the potential impacts of the Project than others. During the preparation of this SEP, groups were examined and assessed to determine if they might be affected by the Project due to their gender, age, ethnicity, religion, physical or mental disability or other attributes. The assessment identified the following persons and groups as potentially vulnerable as a result of the Project:

- People with disabilities;
- The Elderly;

- Women;
- Children;
- Herders; and
- Business owners subject to physical and economic displacement (e.g. vegetable stalls which are mainly owned by women).

**Table 5-1. Identified stakeholders, impacts, interest and influence**

Stakeholders	Persons and groups	Impact / Interest / Influence
<b>Affected parties</b>		
<b>Affected people / communities</b>	People and asset owners affected by land acquisition.	<b>Impact.</b> Asset owners whose property rights or assets are temporarily or permanently affected as a result of the Project. Low level of asset relocation.  People or businesses who are economically displaced (temporarily or permanently) by the Project. Low level economic displacement of herders and retailers during construction. Permanent changes to access across the road for herders during operation.
	Local community members within Project area of influence: <ul style="list-style-type: none"> <li>▪ Herders</li> <li>▪ Crop owners</li> <li>▪ Urban residents</li> </ul>	<b>Impact.</b> Environmental quality (general nuisance, loss of access, noise, dust, emissions), personal and livestock safety during construction and operation; jobs and other economic benefits.
	Local business owners within the Project area of influence: <ul style="list-style-type: none"> <li>▪ Petrol stations</li> <li>▪ Restaurants / Canteens</li> <li>▪ Hotels</li> <li>▪ Shops</li> <li>▪ Car repair shops</li> <li>▪ Sanatorium</li> <li>▪ Vegetable stalls</li> </ul>	<b>Impact.</b> Environmental quality (general nuisance, loss of access, noise, dust, emissions) during construction. Could result in potential loss of revenue and jobs however may also provide opportunities for increased revenue from construction workforce. Increased revenues during operation.
	Vulnerable individuals and groups	<b>Impact.</b> Vulnerable people may be disproportionately affected by the Project. Impacts include environmental quality, land/asset acquisition and compensation, personal and livestock safety during construction and operation; jobs and other economic benefits.
	Road users (individuals, businesses)	<b>Impact.</b> Potential access restrictions at tie in locations to the existing road during construction. Improved road conditions during operation.
<b>Citizens Representative hural (Hural) (aimag and soum)</b>	Local community-elected representatives: <ul style="list-style-type: none"> <li>▪ Soum level</li> <li>▪ Aimag level</li> </ul>	<b>Impact.</b> Local community-elected representatives are accountable to their constituents and are therefore indirectly impacted by, and have an interest in, the project and its impacts on their constituents.  <b>Interest.</b> Permitting and statistical reporting, establishing various kinds of protection zones. Implementation of EIA-related

Stakeholders	Persons and groups	Impact / Interest / Influence
		management actions is supervised by the Aimag, Soum and Bagh governors and CRK's.
<b>Aimag and Soum Government Agencies</b>	Aimag or Soum Governor's Offices: <ul style="list-style-type: none"> <li>▪ Governor</li> <li>▪ Social officer</li> <li>▪ Environmental officer</li> </ul> Emergency Office: <ul style="list-style-type: none"> <li>▪ Police Officers and Stations</li> </ul>	<b>Interest.</b> Responsible for ensuring safety and good traffic control.  <b>Influence.</b> Implementation of the relocation process on behalf of the MRTD. Potential to influence labour opportunities for the local communities.
<b>Interested parties</b>		
<b>Project beneficiary</b>	<ul style="list-style-type: none"> <li>▪ MRTD</li> <li>▪ Project Implementation Unit</li> </ul>	<b>Influence.</b> Responsible for the identification and Project implementation, including contractor management.
<b>Financial Institutions</b>	<ul style="list-style-type: none"> <li>▪ EBRD</li> <li>▪ ADB</li> </ul>	<b>Influence.</b> Interest and influence in minimising risk to their investment by ensuring the Project's ongoing compliance with environmental and social performance requirements, tied to financial disbursements.
▪ <b>Contractors</b>	<ul style="list-style-type: none"> <li>▪ Design company</li> <li>▪ Road building and maintenance contractors</li> </ul>	<b>Interest.</b> Interested in providing goods and services to the Project.  <b>Impact.</b> Employment opportunities, training, health and safety.
<b>Employees</b>	<ul style="list-style-type: none"> <li>▪ Workers</li> <li>▪ Employee representatives</li> </ul>	<b>Interest.</b> There will be a direct demand for employees and supplier goods during construction.  <b>Impact.</b> Employment opportunities, training, health and safety.
<b>National Government Agencies</b>	<ul style="list-style-type: none"> <li>▪ Ministries and Departments</li> </ul>	<b>Interest.</b> Main source of information for local governments about the project.  <b>Influence.</b> Power to regulate or influence the Project in terms of establishing policy, granting permits or other approvals or guidance for the Project, and monitoring and enforcing compliance with national Law throughout the project lifecycle.
<b>Local services</b>	<ul style="list-style-type: none"> <li>▪ Health centre staffs</li> <li>▪ Social workers</li> </ul>	<b>Interest.</b> Interests include safety - high occurrence of traffic accidents, and the frequency of children as victims in these accidents. They are also concerned about difficulty crossing the road for children, the elderly, and people with disabilities; and management of accidents associated with livestock. Availability of health facilities for the construction and operation phases.

Stakeholders	Persons and groups	Impact / Interest / Influence
<b>Educational Institutions</b>	Local schools: <ul style="list-style-type: none"> <li>▪ Elementary</li> <li>▪ Secondary</li> </ul> Education and training institutions: <ul style="list-style-type: none"> <li>▪ Universities or colleges</li> </ul>	<b>Interest.</b> The most important issues for these stakeholders are the high occurrence of traffic accidents, and the frequency of children as victims in these accidents. They are also concerned about difficulty crossing the road for children, the elderly, and people with disabilities. Livestock are also often hit by vehicles.
<b>General Public</b>	Population of Mongolia	<b>Interest.</b> Development of the country and improved road conditions.
<b>Businesses / suppliers</b>	<ul style="list-style-type: none"> <li>▪ Local road maintenance companies</li> <li>▪ Agricultural companies</li> <li>▪ Toll stations</li> </ul>	<b>Impact.</b> Demand for supplier goods during construction. Increased traffic in operation may result in improved revenues.
<b>Non-Governmental Organisations / Community Based Organisations</b>	<ul style="list-style-type: none"> <li>▪ Local NGOs and CBOS</li> <li>▪ National NGOs and CBOs</li> </ul>	<b>Interest.</b> NGOs with environmental and social concern - potential partners of the Project. <b>Influence.</b> Lobbying and advocacy.
<b>Utilities</b>	<ul style="list-style-type: none"> <li>▪ Water</li> <li>▪ Electricity</li> <li>▪ Information and technology</li> </ul>	<b>Impact.</b> Demand for water, electricity during construction. Potential need to relocate services along road. <b>Influence.</b> Permits for works/supplies.
<b>Media</b>	<ul style="list-style-type: none"> <li>▪ Interested media organisations</li> </ul>	<b>Interest.</b> Interested in Project-related activities in the area, including management of impacts. Media are also potential local partners in providing forums for the Project to communicate with stakeholders <b>Influence.</b> Accountability to readership in the reporting of project developments and activities and influencing public opinion about the project.
<b>Industrial Sector Bodies</b>	<ul style="list-style-type: none"> <li>▪ Construction and infrastructure trade bodies</li> <li>▪ Trade Unions</li> </ul>	<b>Impact.</b> Potential impacts on their operations (including: cumulative). Retrenchment, training, health and safety, migrant workers etc., issues and compensation. <b>Interest.</b> Business opportunities.

## 6. Supplementary Engagement

### 6.1. Introduction

As part of the ESA to meet EBRD requirements, SEA conducted further stakeholder engagement from the 5<sup>th</sup> to 8<sup>th</sup> May 2019. The purpose of the engagement was to obtain an updated understanding of the social conditions in Darkhan-Uul aimag and detailed information on Bayangol soum of Selenge aimag, Bayanchandmani, Bornuur, and Jargalant soums of Tuv aimag and Khongor soum of Darkhan-Uul aimag.

The need for additional consultation, in particular with vulnerable groups, was a key objective based on the gap analysis conducted in May 2019 and therefore the May 2019 stakeholder engagement focused on vulnerable individuals and groups, including herders, people with disabilities, women and children, the elderly, health centres and business owners.

Focus Group Discussions (FGDs) and Key Informant Interviews (KIIs) were conducted along the proposed road alignment, including the verification and identification of vulnerable groups.

### 6.2. Focus Group Discussions

FGDs were held with women and elderly stakeholders, as summarised in Table 6-1. A total of four FGDs were held, two in Bayangol soum, Selenge aimag (on 6<sup>th</sup> May 2019) and two in Bayanchandmani soum, Tuv aimag (8<sup>th</sup> May 2019). 12 women attended the FGD in Bayangol soum, and 12 women also attended the FGD in Bayanchandmani soum. 10 elderly people participated in the FGD organized in Bayangol soum while 6 elderly people attended the FGD in Bayanchandmani soum. The questions posed to these stakeholders is provided in Appendix A.

### 6.3. Key Informant Interviews

KIIs were held with aimag and soum officials, health centre staff, toll station and railroad officers, police and emergency officers, business owners and workers identified as affected by land acquisition and resettlement, herders, and people with disabilities. A summary of the KIIs is provided in Table 6-1. The questions posed to these stakeholders is provided in Appendix A.

**Table 6-1. Summary of stakeholder and engagement method**

#	Stakeholder Groups	Location/Number of people						Engagement method
		Bayanchandmani soum, Tuv aimag	Bornuur soum, Tuv aimag	Jargalant soum, Tuv aimag	Bayangol soum, Selenge aimag	Khongor soum, Darkhan-Uul aimag	Darkhan-Uul aimag	
1.	Aimag or Soum Governor's Offices: - Social officer - Environmental officer	1			5	2		KII
2.	Local schools' social workers and health centre staffs				4	2	3	KII
3.	Police offices/stations along the project road				2		4	KII
4.	Fire brigade				3			KII
5.	Local road maintenance companies							KII
6.	Toll stations	1					3	KII
7.	Railroad offices (workers)	2			1		1	KII
8.	Agricultural companies		1		2	1		KII
9.	Road side business owners and	4	3		4		4	KII

#	Stakeholder Groups	Location/Number of people						Engagement method
		Bayanchandmani suum, Tuv aimag	Bornuur suum, Tuv aimag	Jargalant suum, Tuv aimag	Bayangol suum, Selenge aimag	Khongor suum, Darkhan-Uul aimag	Darkhan-Uul aimag	
	operators (petrol stations, restaurants, canteens, hotels, shops, car repair shops, sanatorium, zoo, etc...)							
10.	People with disabilities				2	3		Interview
11.	Elderly	6			10			FGD
12.	Women/Children	12			13			FGD/Interview
13.	Herders		2	4	1			Interview
	<b>TOTAL</b>	26	6	4	47	8	15	

## 6.4. Summary of Results

The participants of the stakeholder engagements shared very similar concerns as summarised in Table 6-2. The primary concerns were related to road safety during construction and operation of the new road. Common themes included the current high level of road accidents, as a result of vehicles travelling faster than posted speed limits and ignoring regulations. Animals and children are often the victims of vehicle accidents, and many participants shared the desire for better pedestrian safety on the new road. This includes measures such as sidewalks, pedestrian crossings with lights, underpasses for pedestrians and animals, speed bumps, and the need for additional streetlights and signage.

Concerns related to the construction phase include dust, relocation of buildings, damage to pasture or agricultural land, potential loss of revenue as travellers may not go through soums, influx of workers who may threaten the safety of children, and an increased difficulty for people with disabilities, the elderly or women.

All participants agreed that the road in its current state is in disrepair and is not safe for travel. They hope the new road will meet international standards, provide better safety for residents and pedestrians, and ensure traffic can travel safely in opposite directions through the separation and improvement of the road lanes to help reduce accidents.

**Table 6-2. Summary of stakeholder issues identified**

Stakeholder Engaged	Stakeholder Issues and Concerns
<b>Aimag and Soum Officials</b>	<ul style="list-style-type: none"> <li>Current level of road accidents is high;</li> <li>There are no pedestrian road and signs in settlement areas, and lighting is poor;</li> <li>Many families have livestock that cross the road every morning and night. Many incidences of vehicles hitting and injuring these animals;</li> <li>Cost of relocating buildings/relocation process;</li> <li>Ensure temporary road has measures in place to reduce dust, and prevents unauthorized roads;</li> <li>Desire for new road to meet international standards and provide better safety for pedestrians.</li> </ul>
<b>Health Centre Staff</b>	<ul style="list-style-type: none"> <li>Many road and traffic accidents;</li> <li>Most of soum health budget spent on non-resident traffic accidents;</li> <li>Need to implement measures to reduce speed of drivers, which should reduce accidents;</li> <li>Traffic accidents increase during autumn harvest period and in winter;</li> <li>Elderly, children and disabled people have great difficulty crossing the road;</li> <li>Ask that settlement areas have pedestrian roads, lights and signs to ease local resident travel;</li> <li>Livestock/animal road passes should be built to prevent animal/vehicle collisions.</li> </ul>
<b>Toll Stations and Railroad Officers</b>	<ul style="list-style-type: none"> <li>Some drivers do not pay toll, others complain road is bad and shouldn't have to pay toll;</li> <li>Vehicles hit railway crossing blocks and cause damage;</li> <li>Road is narrow, causing issues such as long lines and vehicles driving in opposite lanes;</li> </ul>

Stakeholder Engaged	Stakeholder Issues and Concerns
	<ul style="list-style-type: none"> <li>When railway crossing is closed, some vehicles drive in and almost hit incoming train cars;</li> <li>To meet international standards, would be better for road and railway not to cross;</li> <li>Please provide animal crossings and proper signs, along with rest area beside the road.</li> </ul>
<b>Police and Emergency Officers</b>	<ul style="list-style-type: none"> <li>High speed driving, violation of road rules leads to traffic accidents;</li> <li>Road signs insufficient;</li> <li>Standard speed bumps and pedestrian exits not present;</li> <li>Not enough personnel to meet increases in transportation volumes;</li> <li>Animal/vehicle incidents count for 10% of traffic accidents;</li> <li>Please provide rest areas every 20 km of road;</li> <li>Build road to international standards, with less bends.</li> </ul>
<b>Business Owners and Workers affected</b>	<ul style="list-style-type: none"> <li>Many accidents happen because of current road, with many breakdowns;</li> <li>Livestock animals often hit by vehicles;</li> <li>No road crossing sign exits or traffic light signals for residents and children to cross the road;</li> <li>Fear construction will decrease revenue and jobs may be lost;</li> <li>Worry for dust and accidents on temporary road, and collisions in evenings.</li> </ul>
<b>Herders</b>	<ul style="list-style-type: none"> <li>Many livestock animals hit by vehicles crossing the road for pasture and water;</li> <li>Vehicles travel very fast;</li> <li>There is currently no underground tunnel for livestock;</li> <li>Consider building fence along road to prevent animal crossing on the road; along with underground tunnel for livestock;</li> <li>Temporary road through pasture may degrade pastureland.</li> </ul>
<b>People with Disabilities</b>	<ul style="list-style-type: none"> <li>Drivers do not yield to pedestrians, so it is difficult to go near or cross the road;</li> <li>Temporary dirt road will be very difficult to navigate, and increase dust;</li> <li>Please include good traffic lights, paved pedestrian roads and crossings.</li> </ul>
<b>School Staff</b>	<ul style="list-style-type: none"> <li>Police help regulate pedestrian crossing, but are not always present;</li> <li>Speed bumps not built properly and cause traffic accidents, rather than reducing them;</li> <li>Improved road will need traffic lights, streetlights, road signs and pedestrian crossings with speed bumps built to code;</li> <li>Keep construction site separate from residential area to protect children.</li> </ul>
<b>FGD with Women (Bayangol soum)</b>	<ul style="list-style-type: none"> <li>Women often walk instead of drive;</li> <li>Residential areas are on south side of road, while most services are on the north side. Road is crossed frequently to reach services;</li> <li>Many vehicles travelling at high speed on road;</li> <li>There are no traffic lights, streetlights, or sidewalk for pedestrians. Not enough pedestrian crossings or road signs;</li> <li>Children and animals often victims of traffic accidents;</li> <li>Concerned about dust and agriculture during construction, and from temporary road;</li> <li>People in soums have not been well informed about planned road construction;</li> <li>From past experience, concerned about road workers luring girls;</li> <li>Roadside stalls where women sell vegetables will be displaced.</li> </ul>
<b>FGD with Elderly (Bayanchandmani and Bayangol soums)</b>	<ul style="list-style-type: none"> <li>Usually walk to cross the road, and take taxis or public transport to travel to UB;</li> <li>Pedestrian crossings are not good enough, and elderly often help school children cross;</li> <li>People with disabilities have difficulty crossing road;</li> <li>Children and animals at danger from vehicles;</li> <li>No public transportation from railroad station to soum center so people walk along road, which has no pedestrian sidewalk (Bayangol);</li> <li>Underpass might be suitable for elderly and children to cross the road, as well as underpass or crossing for animals;</li> <li>Need to increase traffic lights, streetlights and road signs, and build speed bumps;</li> <li>Have not been well informed about road construction;</li> <li>Worry temporary road will damage pastureland, and create a lot of dust;</li> <li>Suggest that local representatives join monitoring team.</li> </ul>

## 7. Stakeholder Engagement Programme

### 7.1. Introduction

The objectives of external communications are to provide continuous engagement with targeted audiences to inform them about Project activities and performance. This section therefore sets out the framework for the stakeholder engagement programme for on-going future engagement and disclosure, as part of the development and implementation of the Project. It covers the goals of stakeholder engagement, methods of engagement, an outline engagement programme for future engagement and the key steps that should be taken to develop the detailed construction and operation SEP.

### 7.2. Engagement Goals and Objectives

The overarching goals of on-going stakeholder engagement are to:

- Comply with national regulations and EBRD PRs;
- Build and maintain mutually beneficial and lasting relationships between the Project developer, contractors and stakeholders; and
- Ensure that stakeholders are fully aware of the Project, impacts and benefits, providing informed access to redress where necessary and the opportunity to discuss and negotiate sustainable development solutions.

The stakeholder engagement programme set out below therefore aims to:

- Ensure regular, timely, accessible and appropriate dissemination of information in culturally appropriate formats, to facilitate an accurate and realistic understanding of potential impacts and benefits generated by the Project;
- Ensure planned and transparent engagement where necessary, with appropriate notification, clear disclosure of objectives and an agreed process of interaction, recording and follow-up;
- Build on communication programmes and mechanisms already in place and take into account local sensitivities that have been identified to date on the Project;
- Provide stakeholders and especially communities with the means to address concerns and grievances, in a structured, reliable and responsive manner;
- Include vulnerable people and their representatives in stakeholder engagement initiatives;
- Report regularly and in a structured manner to all stakeholders, with special attention to appropriate forms of reporting among the participating communities; and
- Establish and maintain the management capacity, responsibilities and systems to ensure the effective implementation of the detailed SEP.

### 7.3. Methods of Communication

Building upon the engagement methods utilised to date, and feedback gathered through previous consultation activities, the following are the key methods (other methods may also be identified / used, as appropriate) that are planned to be employed moving forward for effective stakeholder engagement and information disclosure:

#### Public Meetings

Public meetings typically involve a range of activities such as slideshow presentations, poster displays, a question and answer period or roundtable discussions and dissemination of printed materials. Questionnaires may also be provided to attendees. The intention of public meetings is to facilitate opportunities for dialogue and a meaningful two-way exchange of information.

#### Focus Group Discussions

Small group meetings or FGDs will continue to be used in future engagement for specific groups e.g., women.

### **Information boards**

Information boards will provide the public access to leaflets and information materials. They will allow the public to obtain information the Project, as well as to lodge complaints or concerns. These may be established in each affected soum (at community centres / Government offices).

### **Key Informant Interviews**

KII will continue to be conducted to obtain detailed understanding / information from people with first-hand/specialised knowledge of particular issues, or interest in an issue. KIIs resemble a conversation among acquaintances and also provide the opportunity to verify data collected in FGDs.

### **Targeted meetings**

Will be used with individual project affected persons and displaced persons to discuss individual issues.

### **Formal Correspondence**

Formal written correspondence will continue to be used for communications with Mongolian authorities and other stakeholders.

### **Awareness Materials**

Road construction/operation awareness materials in appropriate and targeted formats will be used to create awareness and inform communities of project activities and plans (including safety). These types of materials include posters and/or brochures.

### **Grievance Mechanism**

A Grievance Mechanism has been developed to foster the effective resolution of grievances and community concerns. The Grievance Mechanism is central component of the Project's stakeholder engagement toolkit for the life cycle of the project.

### **Local Media, Radio, and Newspaper Articles**

The Project may use media such as TV, radio and newspaper to disseminate information and create awareness.

### **Road signage**

Road signage of key Project information (safety awareness, dates, etc.).

## **7.4. Stakeholder Engagement Programme**

The stakeholder engagement programme comprises several phases which have been designed to correspond with the overall development phases of the Project:

- ESIA disclosure; and
- Future stakeholder engagement activities (pre-construction, construction and operation).

Future activities will be identified and planned as the Project progresses (see section 7.4.3). This SEP will be continually reviewed and updated as greater understanding of the Project and stakeholder needs are gained. Subsequent versions of the SEP document will address the results that come from the engagement process and describe action plans in more detail for later steps in the stakeholder engagement programme.

### **7.4.1. ESIA Disclosure**

The Project ESIA Disclosure Package consists of documents developed for the purposes of local environmental permitting as well as supplementary documents that go beyond national legislation developed to meet the requirements of the EBRD. These supplementary reports together form the ESIA Disclosure Package as follows:

- Statutory approved DEIA report;
- Supplementary ESIA;
- Supplementary Non-Technical Summary (NTS);
- Supplementary Environmental and Social Management and Monitoring Plan (ESMMP);
- Land Acquisition and Resettlement Framework (LARF);

- Environmental and Social Action Plan (ESAP); and
- This Supplementary SEP.

The ESA Disclosure Package will be available both in English and in Mongolian via the EBRD website ([www.ebrd.com](http://www.ebrd.com)). As this is a Category A project, documents will be available for a minimum consultation period of 60 days.

Hard copies of these documents will also be available at EBRD offices and MRTD offices in Ulaanbaatar, Mongolia. Hard copies of the NTS will be shared with the local administrations at the aimag, soum and Bagh level in Project-affected soums and Bagh's for perusal by interested parties.

### 7.4.2. Future Stakeholder Engagement Programme

Table 7-1 summarises the stakeholders, engagement methods and information to be disclosed during the Project pre-construction, construction and operation phases. The engagement programme will build on the already existing system and structure of engaging stakeholders with the active participation of relevant local authorities.

#### 7.4.2.1. General

Advance warning will be provided to local communities regarding construction activities and schedule; including soum level activities and timings. Community health and safety awareness raising will be undertaken by Construction contractors and overseen by the PIU for consistency across the Project sites. Engagement will focus on general messages as well as a focus on high risk areas such as near population centres, schools, etc.) and high risk groups (e.g. herders, for example, encourage herders not to leave small livestock unattended).

Local communities will be informed in advance of any access restrictions and temporary alternatives to be used. Details of temporary crossings will be publicised locally and be maintained up to date.

Local communities will also be fully informed of the grievance mechanism and how they can use it.

All contractors/workforce employees and subcontractors will also be issued with a Code of Conduct addressing expectations and punitive measures concerning their engagement with the local community, including expected discipline and behaviour (for example, covering inappropriate sexual fraternisation) in project-affected communities.

The Construction contractor, with support from the PIU, will update aimags and soums on a monthly basis; or at frequency agreed as appropriate for the stage of construction works with each aimag/soum Bagh.

As identified in previous engagement activities, during construction the PIU will undertake interviews a minimum of twice along the project corridor. It is proposed that this takes places within 6-8 weeks of construction starting and again before the end of construction. Interviews with affected people will focus on complaints about community disturbance from construction activities, such as construction noise, dust, solid waste and wastewater, as well as public concerns about ecological protection, soil/land concerns and access issues.

Stakeholder engagement activities and grievances will be reported on a monthly basis and key issues fed back to aimags/soums/Baghs. A presentation on construction progress and grievances will be given to the soums twice a year and to the local community and Baghs once a year.

#### 7.4.2.2. Consultation with physically and economically displaced persons

In accordance with the LARF, and subsequent Land Acquisition and Resettlement Plan (LARP), meetings have been and will continue to be conducted with displaced persons related to land acquisition (temporary and permanent), compensation measures and livelihood restoration. The meetings will be undertaken through the PIU and the local aimags.

#### 7.4.2.3. Consultation with affected individuals and vulnerable groups

All affected people and vulnerable groups within the Project Area will be consulted regularly throughout the project lifetime. The PIU together with the Construction contractors will be responsible for conducting these meetings. FGDs will be conducted with women, the disabled, elderly and other vulnerable people such as herders to ensure that their needs and concerns are addressed in relation to the Project impacts. Local government and communities will also be consulted on the location of construction workers' accommodation camps.

Prior to the start of construction, an information dissemination exercise will take place in the Project area. This exercise will comprise key members of the MRTD/PIU and involve the presentation of the information contained within the disclosure package at appropriate community fora (*Hural* meetings, local Government meetings) in Ulaanbaatar, and the soums and Bagh's located in the Project Area. It will also communicate the availability of the community grievance mechanism to the local community.

**Table 7-1. Future stakeholder engagement programme**

Stakeholders	Engagement method	Information to be disclosed / Activity	Responsible party	Schedule of implementation
<b>Pre-Construction Phase</b>				
<b>All stakeholders</b>	EBRD website Hard copies in MRTD and EBRD offices in Ulaanbaatar NTS in local aimag/soum offices Local Media, Radio and Newspaper Articles Bagh meetings	Disclosure of all Supplementary ESA documents: ESIA, NTS, SEP, LARF and ESAP. Announcement of the availability of the Supplementary information e.g. through local print media and radio / bagh meetings	EBRD/MRTD	Upon completion of the ESA.
<b>Affected people</b>	One public meeting prior to the start of construction to include community health and safety awareness raising presentation FGDs for vulnerable and high risk people to discuss community health and safety issues Awareness materials Information boards and road signs in each settlement Local Media, Radio and Newspaper Articles Grievance mechanism	General pre-construction planning and site preparation prior to construction, including location of construction camps Overall schedule of site preparation and construction, including sub-activities, key stages and potential stages of stakeholder interest Information on safety measures, access and traffic management during construction Targeted safety measures for vulnerable and high risk groups Collect opinions and concerns Disclosure Community grievance mechanism	MRTD / PIU	Prior to construction
<b>Project Displaced Persons</b>	Targeted meetings as required	Economic and physical displacement procedures and compensation agreements Timing of works Community Grievance mechanism	MRTD / PIU	Prior to construction
<b>Hurals (aimag and soum) Aimag and soum</b>	Attendance at formal Bagh meetings Targeted meetings, as requested	Approvals and permits General pre-construction planning and site preparation prior to construction, including	MRTD / PIU	Prior to construction

Stakeholders	Engagement method	Information to be disclosed / Activity	Responsible party	Schedule of implementation
<b>Government agencies</b>	Awareness materials	location of construction camps and use of quarries/borrow pits  Overall schedule of site preparation and construction, including sub-activities, key stages and potential stages of stakeholder interest, access requirements / constraints  Discuss any grievances		
<b>Vulnerable groups</b>	Targeted meetings and FGDs with identified vulnerable groups in each area prior to construction Provision of information materials Grievance mechanism	Specific consultation, including information on project components, in particular the use of a construction workforce, safety issues / management, and also potential employment opportunities, including skills required and training opportunities, traffic management and access routes.	MRTD / PIU	Prior to construction
<b>Affected people</b> <b>Vulnerable groups</b> <b>Businesses / suppliers</b> <b>Industrial sector bodies</b> <b>Educational institutions</b> <b>General public</b>	Notices on information boards, shops, local offices etc in each settlement  Publication via local Hurals (aimag and soum)  Awareness materials  Local media / newspapers / radio	Upcoming construction phase employment opportunities, application processes	MRTD / PIU	Prior to construction
<b>Traffic police</b>	Targeted meetings	Road safety	MRTD / PIU	Prior to construction
<b>Health centres</b> <b>Police</b> <b>Fire brigade</b>	Targeted meetings	Development of Emergency Preparedness and Response Plan – availability of local resources for emergencies	MRTD / PIU / Contractors	Prior to construction
<b>Contractors</b>	Tender documents	Contract information / Calls for Tender timing	MRTD / PIU	During planning stage
<b>Utilities</b>	Targeted meetings as required Formal correspondence	Utilities planning  Grievance mechanism	MRTD / PIU	During planning stage

Stakeholders	Engagement method	Information to be disclosed / Activity	Responsible party	Schedule of implementation
<b>EBRD</b>	Formal meetings / correspondence	Formal correspondence in relation to environmental and social action plan (ESAP) compliance	MRTD / PIU	As required.
<b>All stakeholders</b>	Local media / newspapers Road signage Grievance mechanism	Key Project construction information (dates/schedule, safety notifications, activities)	MRTD / PIU	Immediately prior to construction at any one site
<b>Construction Phase</b>				
<b>Affected people Vulnerable groups</b>	FGDs/KIIs for vulnerable and high risk people – at least twice during construction works or at a frequency agreed with local aimag/soum/Bagh or directly with the vulnerable groups  Interviews with affected persons at least twice during the construction period, or following a specific grievance  Code of Conduct Newsletters Grievance mechanism	Inform on project implementation schedule / progress  Provide information on employment and applications  Regular engagement and notification of activities on and around site with community health and safety impacts (where applicable)  Consult the local communities about their views/opinion on project implementation and impacts  Ensure awareness / availability of grievance mechanism	MRTD / PIU / Contractors	Ad hoc meetings as required  Annually
<b>Employees</b>	Training e.g. Code of Conduct Information boards at construction camps and work sites Meetings in construction camp Awareness materials Grievance mechanism	Code of Conduct Inform of Project policy / plans in relation to stakeholder engagement and communities. Inform on external grievance mechanism Inform on internal HR grievance mechanism Labour grievances	Contractors	Induction of employees, prior to work on site of individual  Regularly during construction
<b>All stakeholders</b>	Notices on information boards, in shops, local offices etc in all settlements and other sites e.g.	Schedule of construction works Construction activities	MRTD / PIU / Contractors	Ad hoc / As required

Stakeholders	Engagement method	Information to be disclosed / Activity	Responsible party	Schedule of implementation
	restaurants along the route Bagh meetings Awareness materials delivered to local businesses / residents through leaflets, brochures Use of road signage Local media, radio, newspapers Grievance mechanism	Progress of construction Construction impacts and mitigation measures (with opportunities for feedback) Ensure awareness / availability of grievance mechanism		
<b>National government agencies</b>	Formal correspondence / meetings	Inform on Project progress / provide detailed information. Submit reports and ask for feedback	MRTD / PIU	Bi-annually; and as required
<b>Hurals (aimag and soum)</b>  <b>Aimag and soum</b>  <b>Government agencies</b>	Report feedback once a month Formal correspondence / attend meetings KIIs Awareness materials Grievance mechanism	Inform on Project progress / provide detailed information Regular engagement and notification of activities on and around site with community health and safety impacts (where applicable) Permits as required Material use requirements (water, aggregates, energy, etc) Discuss grievances Submit reports and ask for feedback	MRTD / PIU / Contractors	Bi-annually; and as required
<b>Media</b>	Formal correspondence	Detailed project information on request	MRTD / PIU	Ad hoc / As required
<b>NGOs</b>  <b>Community groups</b>  <b>Educational institutions</b>	Formal correspondence / meetings Local media, newspapers, radio Awareness materials Grievance mechanism	Provision of project information and awareness materials Meetings on specific matters	MRTD / PIU	Ad hoc / As required
<b>Affected people</b>	Notices on information boards, shops, local offices etc. in all	Ongoing and upcoming employment opportunities, application processes	MRTD / PIU / Contractors	Bi-annual; and as required

Stakeholders	Engagement method	Information to be disclosed / Activity	Responsible party	Schedule of implementation
<b>Vulnerable groups</b> <b>Businesses / suppliers</b> <b>Industrial sector bodies</b> <b>Educational institutions</b> <b>General public</b>	local settlements Awareness materials Local media / newspapers / radio			
<b>EBRD</b>	Formal meetings / correspondence	Formal correspondence in relation to environmental and social action plan (ESAP) compliance	MRTD / PIU	As required.
<b>Health centres</b> <b>Police</b> <b>Fire brigade</b>	Targeted meetings	Communicate Emergency Preparedness and Response Plan and availability of services locally	MRTD / PIU / Contractors	Regular basis, as agreed with organisations
<b>Operation Phase</b>				
<b>Employees</b>	Training Grievance mechanism	Code of Conduct Inform on internal HR grievance mechanism	MRTD	Regularly during operation
<b>Contractors</b> <b>Affected people</b> <b>Vulnerable groups</b> <b>Businesses / suppliers</b> <b>Industrial sector bodies</b> <b>Educational institutions</b> <b>General public</b>	Advertisements within regional employment publications Information boards	Information on employment opportunities and skills required / sub-contracting opportunities during operation	MRTD	During operation, as required
<b>All stakeholders</b>	Local media / newspapers / radio	Disseminate information about tolling stations and tolling cost, emergency procedures, driver	MRTD	End of construction / beginning of operation

Stakeholders	Engagement method	Information to be disclosed / Activity	Responsible party	Schedule of implementation
	Road signs	safety and speed limits		
<b>EBRD</b>	Formal meetings / correspondence	Formal correspondence in relation to environmental and social action plan (ESAP) compliance	MRTD	As required.
<b>Health centres</b> <b>Police</b> <b>Fire brigade</b>	Targeted meetings	Communicate Emergency Preparedness and Response Plan and availability of services locally	MRTD	Regular basis, as agreed with organisations

### 7.4.3. Preparation of Detailed Stakeholder Engagement Programme

This SEP provides the objectives and principles to be adhered to in the development of a detailed SEP for the construction and operation phases. Roles and responsibilities are set out in section 10.

The following steps will need to be undertaken by the MRTD/PIU, to develop an overarching Project SEP. The Project SEP should be developed by the Construction contractors to provide action plans for each relevant Lot or section of the road they are working on.

#### **Development of a detailed list of stakeholders**

The Stakeholder List in Table 4.1 should be developed into a Stakeholder Register which provides a detailed list and contact database of stakeholders. This list will be developed through liaison with the MRTD and local government. Further relevant stakeholders will be identified through referrals from other stakeholders and contact made by organisations expressing an interest in the Project. The Stakeholder Register should be updated thereafter at least annually.

#### **Communication Plan**

An internal Communications Plan should be developed to cover guidance on internal and external communications. The Plan should enable the effective communication between the PIU, MRTD, ADB, EBRD and Construction contractors on general Project related issues and ensure these partners are regularly updated on the status and activities of the Project.

#### **Development of detailed Stakeholder Engagement Programme**

An outline Stakeholder engagement programme is provided in Table 7-1. This will need to be developed into a detailed engagement programme, with responsibilities attributed to the MRTD/PIU and Construction contractors. It should cover planned engagement activities, such as meetings or consultation events. Dates and locations for these events will be developed by the PIU and the Construction contractor, as appropriate. The schedule will include dates when key project information, such as construction commencement and annual reports, will be made publicly available.

The following will need to be taken into account in the development of the detailed Stakeholder engagement programme:

- Development of key messages tailored for each defined type of stakeholders.
- Design and production of communication material and awareness tools (e.g., brochures, hand-outs, leaflets, and press releases for media campaigns and media coverage).
- Any engagement activities that will be undertaken with other organisations or partnerships e.g. NGOs should be identified.
- Development of a detailed schedule outlining dates and locations when various stakeholder engagement activities will take place.
- Development of a Grievance Mechanism and Complaints Database/Log (see section 8).

## 8. Grievance Mechanism

### 8.1. Introduction

A formal community grievance mechanism will be implemented to ensure that the relevant parties (MRTD/PIU/Construction contractors) are responsive to any concerns and complaints, particularly from affected people and communities; and to ensure that there is a central approach and record of grievances.

Special attention will be paid to the training of designated staff involved in the management of the grievance mechanism. This grievance mechanism covers non-employees (i.e. affected people and other relevant stakeholders such as local communities). A separate HR labour grievance mechanism will be provided for employee grievances, which will be reported in a Labour Management Plan.

### 8.2. Grievance Redress Mechanism

The proposed Grievance Redress Mechanism (GRM) follows the existing approach taken by the ADB for the Phase I works and builds on existing community structures in place for managing complaints about local issues by members of the public in Mongolia. It is recommended that the existing Phase I GRM is maintained and built upon to minimise the potential for confusion among stakeholders due to multiple similar mechanisms.

The existing GRM is consistent with the requirements of EBRDs PR10 and GIP. In addition to serving as a platform to resolve grievances, the GRM has been designed to help achieve the following objectives:

- Open channels for effective communication, including the identification of new environmental issues of concern arising from the project;
- Demonstrate concerns about community members and their environmental well-being; and
- Prevent and mitigate any adverse environmental impacts on communities caused by project implementation and operations.

The GRM will be accessible to all members of the community. In a situation an affected person is not satisfied with the GRM decision, the Mongolian legal system can be approached for redress.

Currently, residents' complaints or concerns (related to the community) are generally taken to the bagh or soum representatives for resolution. The GRM proposes to adopt this approach as the community members are familiar with it. The Phase I GRM has been presented to the aimag government and they offered their support for the approach, therefore it is anticipated that a similar approach for Phase II will be supported at local government level.

The MRTD in its capacity as the implementing agency, will in consultation with the PIU and conjunction with the local government, establish a soum based Public Complaints Unit (PCU). The PCU will be established with the assistance of the PIU prior to the start of the construction phase to deal with complaints from affected persons throughout the implementation of the Project.

Soum based Community Outreach and Monitoring Officers (COMO) will be identified who will be responsible for ensuring the implementation of the GRM at a local level. They will be the key contact point for residents who want information about the project or who have an issue they would like to discuss. The Construction contractors will identify a Community Liaison Officer within their organisation who will be responsible for liaising on a weekly basis with the COMO and PCU at the local level.

The PIU and the Construction contractor CLO, via the soum based COMO, will issue public notices to inform the public within the Project area of the GRM. This will be followed up by public consultations and targeted meetings in the local communities by the Construction contractor CLO, overseen by the PIU.

The phone number, fax, address, email address of the relevant people to contact will be disseminated through displays at the respective offices of the bagh, soum and aimag government administrations and public places.

The soum based COMO will have facilities to maintain a grievance database locally and communicate with the PIU and Construction contractor Site Managers, Governors of aimags, soums, and baghs.

A central database of all grievances and their resolution (in a grievance database) will be maintained by the PIU during construction and the MRTD during operation. The nominated responsible person in the PIU for stakeholder engagement and grievances will liaise regularly with all soum PCUs to ensure that the central database is up to date.

Whilst the central database will be used to oversee and track all grievances across the Project road, each Construction contractor will also be expected to maintain a site specific grievance database that is consistent with grievances received by the PCU relevant to their Lot; it will be expected that this database is up to date and consistent with the PIU's central database. If a grievance is raised directly to the contractor, this will be recorded and both the relevant soum COMO and the PIU will be advised.

The PCU will be responsible for managing the response to grievances however, to ensure that the most appropriate body is identified for a response, the PCU will liaise with the nominated PIU representative and the Construction contractor CLO to agree the way forward, where the issue cannot be resolved directly by the PCU. Regular meetings will be set up between these entities however, with the provision for liaison on a "needs" basis as well.

The PIU will liaise with the Construction contractor CLO on at least a monthly basis to review site specific issues and ensure consistency and accuracy of the central database.

### 8.3. GRM Procedure and Timeframe

Any comments or concerns can be brought to the attention of the soum level PCU verbally or in writing (by post or e-mail) or by filling in a grievance form (example included in Appendix B). Individuals can request the right to have their name kept confidential and this mechanism does not preclude the right for stakeholders to process grievances through other judicial means.

All grievances will be:

- Acknowledged within 5 working days of receipt.
- Responded to no later than 10 days of Complaint Date Implement solution within 7 days of redress solution being agreed.

Specifically nominated and trained members of staff will record grievance information in a grievance database. This will include:

- Stakeholder name and contact details.
- Details of the grievance and how and when it was submitted, acknowledged, responded to and closed out.

The procedure and timeframe for implementing the GRM is presented in Figure 8-1 and covers the following stages during construction:

#### Stage 1

Access to GRM. If a concern arises, the aggrieved person(s) (AP) may resolve the issue of concern directly with the Contractor in construction / Operator in operation<sup>11</sup>, however if the issue is not successfully resolved, the AP will make his/her complaint known to either the bagh or soum, whichever level of authority he/she is most comfortable with. For all complaints, these will be recorded at the point of contact and then advised to the PCU/PIU so that the Central database is maintained up to date of all grievances, and the soum COMO are aware of the issue.

#### Stage 2

Official Complaint to soum PCU (construction) or MRTD (operation). The bagh/soum or COMO representative will submit an oral or written complaint to the PCU within 3 days. For an oral complaint the PCU must make a written record. The grievance will be recorded in the local grievance database. For each complaint, the PCU must assess its eligibility. If the complaint is not eligible, e.g. related to an issue outside the scope of the project, PCU will provide a clear reply within five working days to the AP. Where necessary, the PCU will discuss the response with the PIU and, as relevant, the Construction contractor CLO.

#### Stage 3

PCU Complaint Resolution. The PCU grievance management nominated person will take steps to investigate and resolve the issue. This may involve instructing the contractor to take corrective actions. Within seven days of the redress solution being agreed upon, and no later than 30 days from the original date of the grievance, the

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<sup>11</sup> Such resolution should be formally captured / recorded in minutes of the conversation, to allow for tracking of low level and informal feedback / grievances.

relevant party responsible (e.g. contractor, PIU, operator, other nominated party) should implement the redress solution and convey this to the grievance management nominated person. The PCU will discuss the response with the PIU and, as relevant, the Construction contractor CLO.

#### **Stage 4**

Aimag Resolution. If the PIU/Contractor (construction) or MRTD (operation) cannot resolve the problem, and the AP is unsatisfied, the PCU will set up a meeting with the relevant aimag. If a solution from the aimag is found, it will be implemented.

#### **Stage 5**

Local judiciary process. If the APs are still not satisfied with the outcome in Stage 4, they can go through local judicial proceedings.

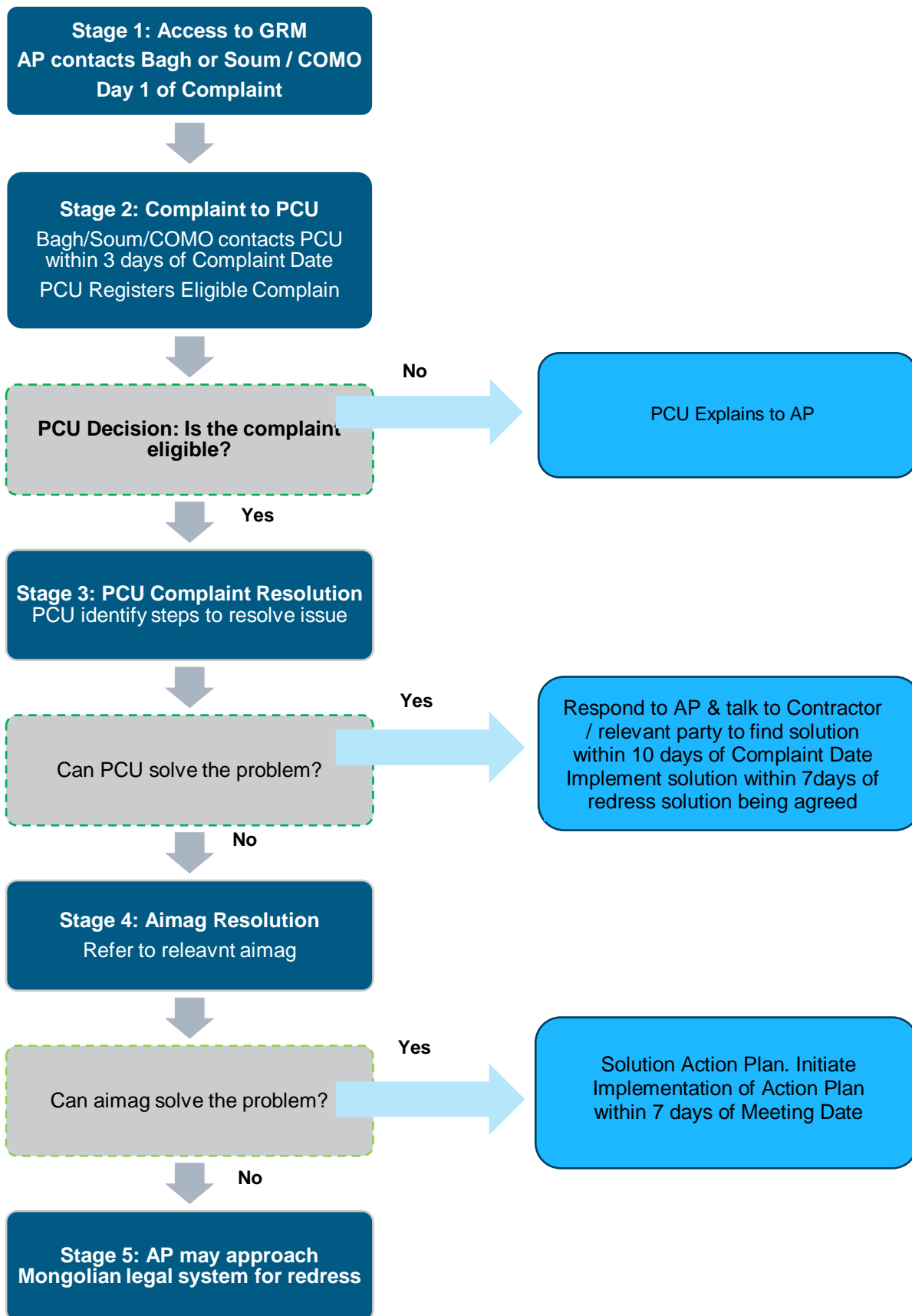


Figure 8-1. GRM Procedure and timeframe

## 9. Monitoring and Reporting

### 9.1. Introduction

Once commitments have been clearly stated in a SEP, the monitoring of and reporting on their implementation become crucial. Monitoring the results of stakeholder engagement activities and evaluating the effectiveness of the programme to bring to light potential areas for improvement are important aspects of the engagement process. In brief the process of monitoring and evaluation provides information such as whether:

- The activity is achieving the desired goals;
- The implementation conforms to the initial wider and specific goals;
- The implementation is progressing towards the expected results; and
- The timeframe is respected.

### 9.2. Key Performance Indicators and Monitoring Measures

The Project is committed to the continuing evaluation of the stakeholder engagement as related to the Project. Key Performance Indicators (KPIs) for stakeholder engagement are presented in Table 9-1.

**Table 9-1. Key Performance Indicators**

ID	KPI	Target	Monitoring / Measure
SEPKPI01	Number of community complaints / grievances	Total number reducing year on year	Grievance Database
SEPKPI02	Number of complaints resolved within 1 month	Target 90%	Grievance Database
SEPKPI03	Number of positive feedbacks from communities / stakeholders	Total number increasing year on year	Community / feedback
SEPKPI04	Number of community members in attendance at engagement activities	100% completion of planned engagement activities (as per the Stakeholder Engagement Action Plan)	Stakeholder Engagement Database
SEPKPI05	Number of engagements with vulnerable households	100% completion of planned engagement activities	Stakeholder Engagement Database
SEPKPI05	Number of engagement records completed	Target 100% of all engagement activities recorded	Stakeholder Engagement Database / Action Plan
SEPKPI06	Reporting back to communities on the implementation of the Grievance Mechanism	Delivery of regular reports to the community on the outcomes of the Grievance Mechanism	Reporting
SEPKPI07	Auditing SEP and Grievance Mechanism to ensure that both are being implemented and grievances are being adequately addressed.	Bi-annual audit complete	Audit report

The monitoring measures that are to be implemented for stakeholder engagement to ensure compliance with this SEP are described in Table 9-2.

**Table 9-2. Monitoring measures**

ID	Topic/ Aspect	Method	Responsible Party	Period/ Frequency
<b>SEPa</b>	Community Grievances	Review Grievances Database, including those closed and those unresolved per period (at a minimum monthly) to include: <ul style="list-style-type: none"> <li>▪ Number of outstanding grievances and requests opened in the month;</li> <li>▪ Number of opened in the month and</li> <li>▪ Evolution since tracking started (graphic presentation); and</li> <li>▪ Type of grievances.</li> </ul>	MRTD / PIU / Contractors	Monthly
<b>SEPa</b>	Community Grievances	Provide regular reporting back to the community on the treatment of community grievances (including the type of grievance, how they have been addressed and the outcomes arising).  An annual audit will be conducted of the Grievance Mechanism.	MRTD / PIU / Contractors	Annually
<b>SEPB</b>	Stakeholder Engagement Activities	Record formal and informal engagement with local communities in Stakeholder Database. This includes all interactions with committees etc. Summarise in weekly reports / monthly reports.	MRTD / PIU / Contractors	Weekly / monthly
<b>SEPC</b>	Disclosure materials disseminated	Keep records of all types of leaflets / brochures, etc. prepared and distributed, by location and report in weekly reports to be included in monthly reports.	MRTD / PIU / Contractors	Weekly

## Internal Auditing

Conformance with the SEP will be subject to internal inspection regularly, and audit on an annual basis. Conformance will be monitored via an annual internal audit programme. This internal auditing will apply to the PIU in relation to their overview of the overall Project SEP process; and internally to Construction contractors who will be expected to monitor their compliance to the required actions.

## External Auditing

Construction contractors will be subject to inspection and audit prior to a contractor's initial appointment and then on a monthly basis to ensure their compliance with EP implementation and management and reporting of grievances that are directly raised with the contractor.

The PCU will also be audited by the PIU to ensure that grievances are being recorded and raised in accordance with the GRM; and that the PCU is communicating these grievances with the Construction contractors and the PIU.

Conformance with the SEP and GRM will be subject to periodic assessment by external auditors (e.g. the EBRD).

## 9.3. Reporting

All feedback from stakeholder engagement activities will be documented. Records of engagement activities will include:

- Meeting minutes;

- Attendance registers (respecting where people may not wish to give their name);
- Record gender and, if applicable, vulnerability of attendees;
- Engagement tools; and
- Updated comment and response report.

### 9.3.1. Schedule

A schedule outlining planned engagement activities, such as meetings or consultation events, and dates and locations for these events will be developed by the PIU and Construction Contractors. The schedule will include dates when key project information, such as construction commencement and annual reports, will be made publicly available.

### 9.3.2. Stakeholder Engagement and Grievance Database

All stakeholder contact details, engagement activities and all stakeholder grievances will be maintained within a Stakeholder Engagement and Grievance Database to allow tracking and monitoring of the engagement process and all complaints received. A Central database will be held by the PIU and should, as a minimum, include the following information:

- Name and contact details (in cases where anonymity is requested a reference code or number will be used);
- Date of contact;
- Method;
- Complaints received;
- Cause of complaint (comment, suggestion, complaint ...);
- Proposed response and actions to be taken; and
- Status (registered, active, closed).

All grievances should be recorded using the template in Appendix B.

All meetings should be recorded using the Minutes of Meeting Template in Appendix C.

The central database will be updated to include new stakeholders, issues raised, as well as the progress of the issues reported. The central database will be maintained by the PIU nominated grievance management person. An example Database (register) is provided in Appendix D.

Construction contractors will be expected to hold their Lot-specific database; which should be fully aligned with the central database.

The PCU will also hold a record of all local grievances relevant to the soum, which will be reported back into the central database via the PIU.

### 9.3.3. Weekly / Monthly Reports

The Construction contractors will prepare weekly and monthly reports to be submitted to the PIU, which include the key monitoring measures outlined above, including:

- Engagement activities conducted during each week/month;
- Grievances addressed by the contractor; and
- Plans for the next month and longer-term plans.

The PCU will provide monthly reports on the soum held grievance database which will be submitted to the PIU and copied to the Construction contractor.

The PIU will review this information and prepare monthly summary reports of all stakeholder engagement and grievances across the Project.

#### 9.3.4. Annual Reports

The PIU will compile a report summarising stakeholder engagement and grievance management results on an annual basis during construction. This will be prepared by the MRTD during operation. This report will provide a summary of all public consultation and engagement, grievances, resolution and outcomes.

## 10. Resources and Responsibilities

### 10.1. Pre-construction and Construction Phase

A PIU has been set up in the MRTD to manage Phase I and Phase II project implementation.

The MRTD with the assistance of the PIU will have overall responsibility of the monitoring and supervision of the proposed investment and the Loan Agreement. The PIU will monitor all stakeholder engagement activities, including those of contractors and the PCU, and ensure the consistency of information provided to stakeholders by the various contractors, soums/aimags and COMO.

Soum based COMO will be identified by the POU; the COMO who will be responsible for ensuring the implementation of the GRM at a local level. They will be the key contact point for residents who want information about the project or who have an issue they would like to discuss.

**The Construction contractors will identify a Community Liaison Officer within their organisation who will be responsible for stakeholder engagement and grievance for their Lot.** During the pre-construction phase, a dedicated Environmental, Social, Health and Safety (ESHS) Lead will be established in the PIU. This lead will be responsible for identifying the role(s) for the management of stakeholder engagement and grievances within the PIU. This nominated person will develop the Project SEP and outline Engagement Programme that the Construction contractors will be expected to follow. Other responsibilities will include supporting the PIU in the oversight of the stakeholder engagement process and auditing of any contractor stakeholder engagement activities; managing project interfaces with the soums and aimags, COMO and contractors. This person will maintain a central database to reduce inefficiency, confusion, and contradictory messages or conflicting commitments (the stakeholder engagement and grievance database).

The PCU will lead the implementation of stakeholder engagement on the ground, together with the individual Lot Construction contractors and COMO, as necessary.

The PIU will be responsible for ensuring that the Construction contractors are aware and have a copy of the Project SEP. They will also review lot-specific SEPs/Action Plans to be prepared by the contractors.

During construction, the Construction contractors will be employed via existing MTRD structures. Lot-specific stakeholder engagement activities will become the responsibility of the contractors. To ensure harmonization, the PIU should be informed beforehand of all proposed consultations or structured engagement with stakeholders. The PIU will coordinate all procedures and ensure that messages are harmonized, and that PIU participation is facilitated in the engagement procedures by contractors, where required.

Contractors will be regularly audited to ensure that they are adhering to the Project stakeholder engagement requirements; and contractors and the PCU audited to ensure the function and effectiveness of the GRM.

### 10.2. Operation and Maintenance Phase

During operation, the MRTD will be responsible for developing and implementation of the Operation and Maintenance (O&M) SEP. Where necessary, engagement activities will be undertaken by O&M contractors, under the review of the MRTD.

# Appendices



# Appendix A. Interview Questions

## **Interview Questions for Aimag or Soum Governor's Offices**

Name of the Interviewee:

Position:

Gender:

Soum:

Date:

### **1. Traffic and road safety**

#### **1.1 What kind of difficulties do residents of this area face in relation to traffic and road safety?**

*Probing questions, if not addressed:*

- What are the needs and demands of the residents of this area?
- How much traffic accidents occur on the UB-DA road close to this area?

#### **1.2 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?

### **2. Community health & safety**

#### **2.1 What do you think, how will the road construction affect residents of this area?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of residents of this area?

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

*Probing questions, if not addressed:*

- What kind measures should be taken by whom in order to improve community health and safety?

## **Interview Questions for Staffs of School and Health Centre**

Name of the Interviewee:

Position:

Gender:

Soum:

Date:

### **1. Traffic and road safety**

#### **1.1 What kind of difficulties do residents of this area face in relation to traffic and road safety?**

*Probing questions, if not addressed:*

- How much traffic accidents occur on the UB-DA road close to this area?
- What are the needs and demands of the residents of this area?
- What kind of difficulties do children of this area face?

#### **1.2 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?

### **2. Community health & safety**

#### **2.1 What do you think, how will the road construction affect residents of this area?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of residents (including children) of this area?

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

*Probing questions, if not addressed:*

- What kind measures should be taken by whom in order to improve community health and safety?

## **Interview Questions for Staffs of Police and Emergency Offices**

Name of the Interviewee:

Position:

Gender:

Soum:

Date:

### **1. Traffic and road safety**

#### **1.1 What kind of difficulties do residents of this area face in relation to traffic and road safety?**

*Probing questions, if not addressed:*

- How much traffic accidents occur on the UB-DA road close to this area?
- What are the needs and demands of the residents of this area?

#### **1.2 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?

### **2. Community health & safety**

#### **2.1 What do you think how will the road construction affect residents of this area?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of residents (including children) of this area?

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

*Probing questions, if not addressed:*

- What kind measures should be taken by whom in order to improve community health and safety?

## **Interview Questions for Business Owners**

Name of the Interviewee:

Type of business:

Gender:

Soum:

### **1. How are you or is your business affected by the road construction? What is your concern?**

*Probing questions, if not addressed:*

- What kind of difficulties do you face when the road construction project starts?
- Will the road project displace your business?
- Will displacement affect women and men differently?
- Have you been informed about the displacement officially? When?
- How do social characteristics such as age, gender, disability and income affect business owners' mobility and use of the road?

### **2. How these difficulties can be solved?**

- What are the needs and demands of you (business owners)?

### **3. What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

### **4. What needs to be included in the planning of the road?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?
- What suggestions do you have for improving traffic and road safety?

## **Interview Questions for Staffs of Toll Stations and Railroad**

Name of the Interviewee:

Position:

Gender:

Soum:

Date:

### **1. Traffic and road safety**

#### **1.1 What kind of difficulties do you face in relation to traffic and road safety?**

*Probing questions, if not addressed:*

- How much traffic accidents occur on the UB-DA road close to this area?
- What are the needs and demands of the residents of this area?

#### **1.2 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?

### **2. Community health & safety**

#### **2.1 What do you think how will the road construction affect residents of this area?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of residents (including children) of this area?

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

*Probing questions, if not addressed:*

- What kind measures should be taken by whom in order to improve community health and safety?

## **Interview Questions for People with Disabilities (PWD)**

Name of the Interviewee:

Age:

Gender:

Type of disability:

Place of residence:

### **1. Tell us please how do you participate in traffic?**

*Probing questions, if not addressed:*

- a. Do you travel on UB-DA road? How often do you travel?
- b. Do you drive? How often do you drive?
- c. Do you travel by public transport (taxis,...)? How often?
- d. Do you use non-motorized transport modes (NMT modes); wheel-chair, walking, cycling, motorcycling and animal cart? How often do you use NMT modes?
- e. What are the primary means of transport among PWDs?

### **2. What kind of difficulties do you face when you participate in traffic?**

- a. Do you travel on your own or does someone usually go with you?
- b. What are the needs and demands for PWDs?
- c. How much voice and influence do PWDs have?
- d. To what extent will they be affected by the proposed road project?

### **3. How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- a. What would improve the traffic and road safety?
- b. Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?
- c. What needs to be included in the planning of the road?

## **Focus Group Discussion Questions for the Elderly People**

### **1. Traffic and road safety**

#### **1.1 Tell us how do you participate in traffic?**

*Probing questions, if not addressed:*

- Do you travel on the Ulaanbaatar-Darkhan road? How often do you travel?
- Do you drive? How often do you drive?
- Do you travel by public transport (taxis,...)? How often?
- Do you use non-motorized transport modes (NMT modes); walking, cycling, motorcycling and animal transport? How often do you use NMT modes?
- What are the primary means of transport among elderly people?

#### **1.2 What kind of difficulties do you face when you participate in traffic?**

*Probing questions, if not addressed:*

- Do you travel on your own or does someone usually go with you?
- What are the needs and demands of the elderly people?
- How much voice and influence do elderly people have on the road project?
- To what extent will they be affected by the proposed road project?

#### **1.3 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?

### **2. Community health & safety**

#### **2.1 What do you think how will the road construction affect you and your family?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of the elderly?
- 

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

### **3. Social risks**

#### **3.1 Will the road project displace elderly people?**

#### **3.2 Will displacement affect women and men differently?**

#### **3.3 How do social characteristics such as age, disability and income affect mobility and use of the road?**

## **Focus Group Discussion Questions for Women**

### **1. Traffic and road safety**

#### **1.1 Tell us how do you participate in traffic?**

*Probing questions, if not addressed:*

- Do you travel on this road? How often do you travel?
- Do you drive? How often do you drive?
- Do you travel by public transport (taxis,...)? How often?
- Do you use non-motorized transport modes (NMT modes); walking, cycling, motorcycling and animal transport? How often do you use NMT modes?
- What are the primary means of transport among women of this area?

#### **1.2 What kind of difficulties do you face when you participate in traffic?**

*Probing questions, if not addressed:*

- What are the needs and demands of the women?
- Do men and women have different needs and demands for the road project?

#### **1.3 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?

### **2. Community health & safety**

#### **2.1 What do you think how will the road construction affect you and your family?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of the women and children?

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

*Probing questions, if not addressed:*

- What kind measures should be taken by whom in order to improve community health and safety?

### **3. Social risks**

#### **3.1 Will the road project displace women?**

#### **3.2 Will displacement affect women and men differently?**

#### **3.3 How do social characteristics such as age, gender, disability and income (maybe other issues as well such as ethnicity and religion) affect mobility and use of the road?**

## **Interview Questions for Herders**

Name of the Interviewee:

Gender:

Soum:

How long has your family lived in the area?

Type of livestock:

Number of livestock (approximately):

### **1. Traffic and road safety**

#### **1.1 What are the primary means of transport among herders of this area?**

*Probing questions, if not addressed:*

- Do you drive? How often do you drive?
- Do you use non-motorized transport modes (NMT modes); walking, cycling, motorcycling and animal transport? How often do you use NMT modes?

#### **1.2 What kinds of difficulties do you and your livestock face living near the road?**

*Probing questions, if not addressed:*

- What are the needs and demands of the herders?
- Do your livestock need to cross the road in order to reach a water point or pasture?
- Do your livestock have any trouble crossing the road?
- How do you feel about the frequency/usability of the current crossing options?

#### **1.3 How these difficulties can be solved? What suggestions do you have for improving traffic and road safety?**

- What would improve the traffic and road safety?
- Any suggestions on pedestrian crossing, animal crossing, traffic lights, speed humps, road signs, underpass, overpass, etc...?
- How much voice and influence do herders have on the road project?
- To what extent will herders be affected by the proposed road project?

### **2. Community health & safety**

#### **2.1 What do you think how will the road construction affect your family and livestock?**

*Probing questions, if not addressed:*

- Will the road construction increase the vulnerability and/or safety of the herders?
- Will the construction affect grazing land?
- Will the construction affect your well or source of drinking water?

#### **2.2 What would you suggest in order to minimize the negative impacts during the construction?**

*Probing questions, if not addressed:*

- What needs to be aware of during the road construction?
- Any suggestions to minimize land degradation?
- Any suggestions to reduce noise and dust?
- Any suggestions to waste management?
- Any suggestions with regards to construction workers?

#### **2.3 What would you suggest to road planning in order to improve community health and safety?**

*Probing questions, if not addressed:*

- What kind measures should be taken by whom in order to improve community health and safety?

### **3. Social risks**

#### **3.1 Will the road project displace herders?**

#### **3.2 Will displacement affect women and men differently?**

#### **3.3 How do social characteristics such as age, gender, disability and income affect mobility and use of the road?**

## Appendix B. Project Grievance Form

Reference Number (Protocol Number)	
Name/Surname <i>Note: you can remain anonymous if you prefer or request not to disclose your identity to the third parties without your consent</i>	
Date of complaint:	
Contact information  Please check how you want to be contacted	<input type="radio"/> by postal mail <input type="radio"/> by telephone <input type="radio"/> by e-mail
Please indicate the language you want to be contacted in	
Description of incident or grievance:      What happened? Where did this happen? who did it happen to? what is the result of the issue?	
Date of incident or grievance:	
	<input type="radio"/> Once <input type="radio"/> More than one time <input type="radio"/> On going
What would you like to see happen to settle the issue?	

## Appendix C. Minutes of Meeting Template

Minutes of Meeting	
Date of consultation	
Type of consultation	<input type="radio"/> Face to face <input type="radio"/> Discussion groups <input type="radio"/> Public meeting <input type="radio"/> Press Conference <input type="radio"/> Other
Location address	
Town/Village Address	
Stakeholder Contact Person	
Stakeholder Individuals or Groups	
Representatives	
Other Attendants	
Confidential	<input type="radio"/> yes <input type="radio"/> no
Discussion zone	
Issue	
Grievance, nuisance or complaint	
Annexes	

# Appendix D. Grievance Database Template

## Appendix D. Grievance Database Template

Name/Contact details	Method of Complaint (Direct to PIU/PMU, via Contractor, via Bagh, or Soum):	Reference Number	PIU Staff Responsible (name and role)	Date received	Date of complaint	Details of grievance (issues, actions taken so far, when did it start – all details needed)	Actions (Next steps for PIU to resolve the issue or to move complaint to next level)	Responsibility for action	Date Resolution Required by	Date resolved	Follow Up Actions Needed and Date

<ENTITY>

<contact info>