

APPENDIX D

Stakeholder Engagement Plan



May 2016

STAKEHOLDER ENGAGEMENT PLAN

ACWA POWER AFRICA HOLDINGS (PTY)
LTD

Environmental Impact Assessment (EIA) Process for the Proposed Bokpoort II Solar Power Development on the Remaining Extent of the Farm Bokpoort 390 near Groblershoop, !Kheis Local Municipality, Northern Cape - Stakeholders Engagement Plan

Submitted to:

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Executive Summary

“The purpose of a Stakeholder Engagement Plan is to describe a company’s strategy and program for engaging with stakeholders in a culturally appropriate manner. The goal is to ensure the timely provision of relevant and understandable information. It is also to create a process that provides opportunities for stakeholders to express their views and concerns, and allows the company to consider and respond to them” (IFC, 2012).

This Stakeholder Engagement Plan (SEP) sets the framework for ACWA Power Africa Holdings (Pty) Ltd (ACWA Power) to manage interactions with its neighbouring communities and other stakeholders interested in or affected by ACWA Power’s proposed Bokpoort II Project near Groblershoop in the Northern Cape Province.

The SEP follows the framework provided by the International Finance Corporation (IFC, 2012). The purpose of stakeholder engagement is to establish, maintain and preserve a beneficial relationship with various stakeholders over a certain period of time. The SEP deals with both public consultation for an Environmental and Social Impact Assessment (ESIA) which started in early 2015, and following the ESIA, ongoing engagement with stakeholders. Due to the early stage in which the project is, the focus of this SEP is on the former.

Applicable policies, legislation and guidelines relating to stakeholder engagement covered in this plan include ACWA Power’s Policies, e.g., Code of Conduct and Safety, Health and Environment Policy; South African regulatory requirements and international standards. ACWA Power is committed to complying with international standards, in particular the Equator Principles (5 & 6) and the International Finance Corporation (IFC) Performance Standards (1, 2, 4, 5, 7, and 8).

The applicant is proposing to bid (2) 75 Mega Watt (MW) Photovoltaic (PV) solar power plant technology application, and one (1) 150 MW CSP Towers. The combined power generation capacity of the entire Bokpoort II solar development applications is 300 MW (PV: 150 MW and CSP Tower: 150 MW). However, the final technology choice and MW capacity will be determined through the outcome of the REIPPP, based on successful bids awarded to ACWA Power.

The potential environmental and social issues which are likely to affect stakeholders are population in-flux; visual impacts due to the development of surface infrastructure, loss of agricultural land and soil resources; disruption due to increased traffic and noise, potential impacts on tangible and intangible cultural heritages; increased community health and safety risks; threats to birdlife and impacts of dust on health and the environment, particularly during construction.

The stakeholder engagement process for the ESIA will be conducted in English and Afrikaans, with selected materials, available in Afrikaans, e.g. executive summaries of the reports, The key objectives of stakeholder engagement during the Scoping Phase of the ESIA process are to provide sufficient and accessible information to enable stakeholders to understand the context of this ESIA in terms of local and international requirements; become informed and educated about the proposed project and its potential impacts.

During the Impact Assessment Phase the objectives of stakeholder engagement are to provide stakeholders with an opportunity to verify that their issues and suggestions have been evaluated and feedback has been provided on the issues raised; and for stakeholders to comment on the findings of the ESIA. During the last phase, Golder Associates Africa (Pty) Ltd (Golder) will provide stakeholders with feedback on whether or not the ESIA was delivered to IFC Performance Standards.

The Stakeholder Engagement Plan includes differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable. Importantly, all project-related meetings planned with interested and affected parties will be discussed with the competent authority to ensure they are informed of these activities.



Secondly, all meetings will be arranged in advance with the stakeholders; will take place in their local language; will be accompanied by visual materials and hand-outs; and will be photographed and documented. Meetings and contact with stakeholders will be conducted in a culturally appropriate manner as stipulated in the IFC guidelines.

As the Scoping Phase had been completed at the time of producing the Stakeholder Engagement Plan, the report will reflect the steps that were taken during this phase. During Stakeholder engagement during the Scoping Phase will the stakeholder engagement process included capacity building for affected communities and the announcement of the opportunity to participate in ESIA. Various methods will be used to announce the opportunity to participate, including media advertisements, information letters, site notices, posters and digital media.

Comments, issues of concern, suggestions for enhanced benefits and comments on project alternatives will be obtained in writing through comment sheets distributed with the Background Information Letter and verbally via meetings and personal contact with stakeholders.

The key deliverable of the stakeholder engagement process will be a record of all comments, issues and suggestions, in the form of a Comment and Response Report (CRR).

One public meeting/open house was conducted once upon completion of the Draft Scoping Report has been completed and people were invited to raise issues of concerns, comments and/or suggestions for enhanced benefits.

During the Impact Assessment Phase, stakeholders will have various opportunities to comment on the findings of the environmental studies. Methods of engagement will include the presentation of visual posters on the findings of the studies and a public meeting/open house.

The overall objective of the ongoing stakeholder engagement programme will be to maintain constructive and transparent relationships between local communities and ACWA Power, and thereby to create a collaborative framework through which ACWA Power can maximise its contributions to the well-being and prosperity of local communities, and can minimise potential negative impacts.

Golder, supported by ACWA Power, will be principally responsible for implementing the public consultation process for the ESIA. The Stakeholder Engagement Task Leader from Golder and ultimately the key person involved in the stakeholder engagement programme will be Antoinette Pietersen. Golder will collaborate with, inform and guide the ACWA Power Project Analyst, Ms Lusani Rathanya and the Community Relations and HSE Manager throughout the stakeholder engagement process.

This SEP also provides the approach towards Grievance Mechanism (GM) in line with the IFC guidelines. The objective of a GM is "to respond to communities' concerns related to the project and to receive and facilitate resolution of the Affected Communities' concerns and grievances about the project's environmental and social performance." The announcement of the GM will be done during the course of stakeholder engagement process. In order to assess the stakeholder engagement process to ensure that it is compliant with IFC standards the indicators and validation methods will be used. A number of the validation methods require integration with company systems such as management oversight, training and record-keeping.



LIST OF ABBREVIATIONS

Abbreviation	Explanation
CBO	Community Based Organisation
CRR	Comment and Response Report
EPFI	Equator Principles Financial Institution
EIA	Environmental Impact Assessment
GN	Guidance Note
GM	Grievance Mechanism
I&AP	Interested and Affected Party
IAP2	International Association for Public Participation
IFC PS	International Finance Corporation Performance Standard
NGO	Non-Governmental Organisation
PAP	Project Affected Person
PCD	Public Consultation and Disclosure
PS	Performance Standard
SDP	Sustainable Development Plan
SEA	Strategic Environmental Assessment
SEP	Stakeholder Engagement Plan
ToR	Terms of Reference



DEFINITIONS

BID	A Background Information Document provides information to assist stakeholders to participate in the environmental impact assessment for any project requiring environmental authorisation.
EP	The Equator Principles is a risk management framework, adopted by financial institutions, for determining, assessing and managing environmental and social risk in projects and is primarily intended to provide a minimum standard for due diligence to support responsible risk decision-making. http://www.equator-principles.com/index.php/about-ep/about-ep
EPFI	Equator Principles Financial Institutions commit to implementing the EP in their internal environmental and social policies, procedures and standards for financing projects and will not provide Project Finance or Project-Related Corporate Loans to projects where the client will not, or is unable to, comply with the Equator Principles. While the Equator Principles are not intended to be applied retroactively, EPFIs apply them to the expansion or upgrade of an existing project where changes in scale or scope may create significant environmental and social risks and impacts, or significantly change the nature or degree of an existing impact. http://en.wikipedia.org/wiki/Equator_Principles
IAP2	IAP2 – the International Association for Public Participation – is the preeminent international organization advancing the practice of public participation. IAP2’s mission is to advance and extend the practice of public participation. IAP2 advocates on behalf of members and is building an international reputation for the public participation practice and profession. It supports international research and offers professional development training and services. IAP2 members work in industry, civil society organisations, universities, government and more. They are involved in the public participation process by supporting clients, colleagues and citizens for improved decision-making. http://www.iap2.org/
IFC	IFC is a member of the World Bank Group and is the largest global development institution focused exclusively on the private sector in developing countries. Established in 1956, IFC is owned by 184 member countries, a group that collectively determines their policies. IFC’s vision is that people should have the opportunity to escape poverty and improve their lives. http://www.ifc.org/wps/wcm/connect/corp_ext_content/ifc_external_corporate_site/about+ifc
IFC PS	The Performance Standards are directed towards clients, providing guidance on how to identify risks and impacts, and are designed to help avoid, mitigate, and manage risks and impacts as a way of doing business in a sustainable way, including stakeholder engagement and disclosure obligations of the client in relation to project-level activities. Together, the eight Performance Standards establish standards that the client is to meet throughout the life of an investment by IFC. http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc-sustainability/publications/publications_handbook_pps
Stakeholder	<i>“Stakeholders may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organizations and groups with special interests, the academic community, or other businesses” (IFC , 2012).</i>
Stakeholder engagement	The term <i>“stakeholder engagement”</i> is emerging as a means of describing a broader, more inclusive, and continuous process between a company and those potentially impacted that encompasses a range of activities and approaches, and spans the entire life of a project (IFC , 2012).



STAKEHOLDER ENGAGEMENT PLAN - ACWA POWER

BID	A Background Information Document provides information to assist stakeholders to participate in the environmental impact assessment for any project requiring environmental authorisation.
Stakeholder engagement plan (SEP)	<i>“The purpose of a Stakeholder Engagement Plan is to describe a company’s strategy and program for engaging with stakeholders in a culturally appropriate manner. The goal is to ensure the timely provision of relevant and understandable information. It is also to create a process that provides opportunities for stakeholders to express their views and concerns, and allows the company to consider and respond to them” (IFC , 2012).</i>



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APPENDIX A

ACWA Power HIV/AIDS Awareness Guidelines

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ACWA Power External Grievance Mechanism

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Document Limitations



1.0 INTRODUCTION

This document represents a Stakeholder Engagement Plan for ACWA Power Africa Holdings' (Pty) Ltd (ACWA Power's) proposed solar development referred to as Bokpoort II, on the north-eastern portion of the Remaining Extent (RE) of the Farm Bokpoort 390, 20 km northwest of the town of Groblershoop within the !Kheis Local Municipality in the ZF Mgqawu District Municipality, Northern Cape Province.

ACWA Power is an Independent Power Producer (IPP) who intends to bid in the Department of Energy's (DoE) Renewable Energy Independent Power Producer Procurement Programme (REIPPP) for two different solar technologies which could be developed on the site. Each of the applications lodged to the DEA, if authorised, will be tendered in the DoE REIPPP. The project will only be developed once it has received the preferred bidder's status from DoE.

The applicant is proposing to bid for two (2) 75 Mega Watt (MW) Photovoltaic (PV) solar power plants technology application, and one (1) 150 MW CSP Towers. The combined power generation capacity of the entire Bokpoort II solar development applications is 300 MW (PV: 150 MW and CSP Tower: 150 MW). However, the final technology choice and MW capacity will be determined through the outcome of the REIPPP, based on successful bids awarded to ACWA Power.

ACWA Power has indicated that the development will be funded both locally and internationally and hence the EIA for the proposed development would need to comply with the International Finance Corporation Performance Standards (IFC) 2012 and the Equator Principles.

The company, in June 2011 had received authorisation from the Department of Environmental Affairs (DEA) following the submission of an Environmental Impact Assessment (EIA) for its 75 MW Concentrated Solar Power (CSP) parabolic trough development project. The CSP project, known as Bokpoort I, is located in the same farm as the proposed Bokpoort II project, on the south western portion of the Remaining Extent (RE) of the Farm Bokpoort 390. Construction for the project commenced in July 2013.

This Stakeholder Engagement Plan (SEP) sets the framework for ACWA Power to manage interactions with its neighbouring landowners, communities and other stakeholders interested in or affected by ACWA Power's proposed project.

The SEP follows the framework provided by the International Finance Corporation (IFC) in Guidance Note (GN) 1, Annex B, in terms of Performance Standard (PS) 1, Assessment and Management of Environmental and Social Risks and Impacts (www.ifc.org). The purpose of stakeholder engagement is to:

- *“Establish and maintain a constructive relationship with a variety of external stakeholders over the life of the project An effective engagement process allows the views, interests and concerns of different stakeholders, particularly of the local communities directly affected by the project (Affected Communities), to be heard, understood, and taken into account in project decisions and creation of development benefits (GN6). Stakeholder engagement is the basis for building strong, constructive, and responsive relationships that are essential for the successful management of a project's environmental and social impacts (GN 90).”*

The SEP deals with both stakeholder engagement for an Environmental Impact Assessment (EIA) that has started in January 2015, and following the EIA, ongoing engagement with stakeholders. Table 1 below provides an overview of the key differences between these two types of engagement processes. Due to the early stage in which the project is, the focus of this SEP is on the former. The SEP needs to be evaluated and updated bi-annually.



Table 1: Differences between stakeholder engagement for the EIA and on-going stakeholder engagement

	Stakeholder Engagement in ESIA	Ongoing Stakeholder Engagement
Who conducts the process?	Usually an independent consulting company.	The mining company, but potentially assisted by consultants.
Timeframe	Linked to EIA timeframe, usually 18 to 24 months.	Ongoing throughout the life of the operation.
Focus	Main focus is project-specific. Decision-orientated, i.e. to facilitate informed decision-making by regulators on project permitting, and informed decisions by company on project feasibility.	All aspects of entire operation.
Objective	To inform, obtain issues, comments and local knowledge, and to provide feedback on findings to stakeholders for comment.	Ongoing information provision, relationship building, resolving issues and grievances pertaining to all operations.

ACWA Power is committed to engaging with project stakeholders in line with South African regulatory requirements and the Equator Principles and as such, endeavours to:

- Engage early and proactively with stakeholders; and
- Disclose information in a transparent and appropriate way.

Stakeholders are people who have an interest in, could be affected by, or can influence the project.

This SEP is an appendix in the Scoping Report.

2.0 PROJECT OVERVIEW

The proposed project area is located on the north-eastern portion of the RE of the Farm Bokpoort 390, 20 km northwest of the town of Groblershoop within the !Kheis Local Municipality in the ZF Mgcawu District Municipality, Northern Cape Province (see Figure 1). It is assumed that a 20 km water pipeline will follow the existing water pipeline servitude being used for the Bokpoort I development, which extends across the Farms Sand Draai portions 0 and 5.

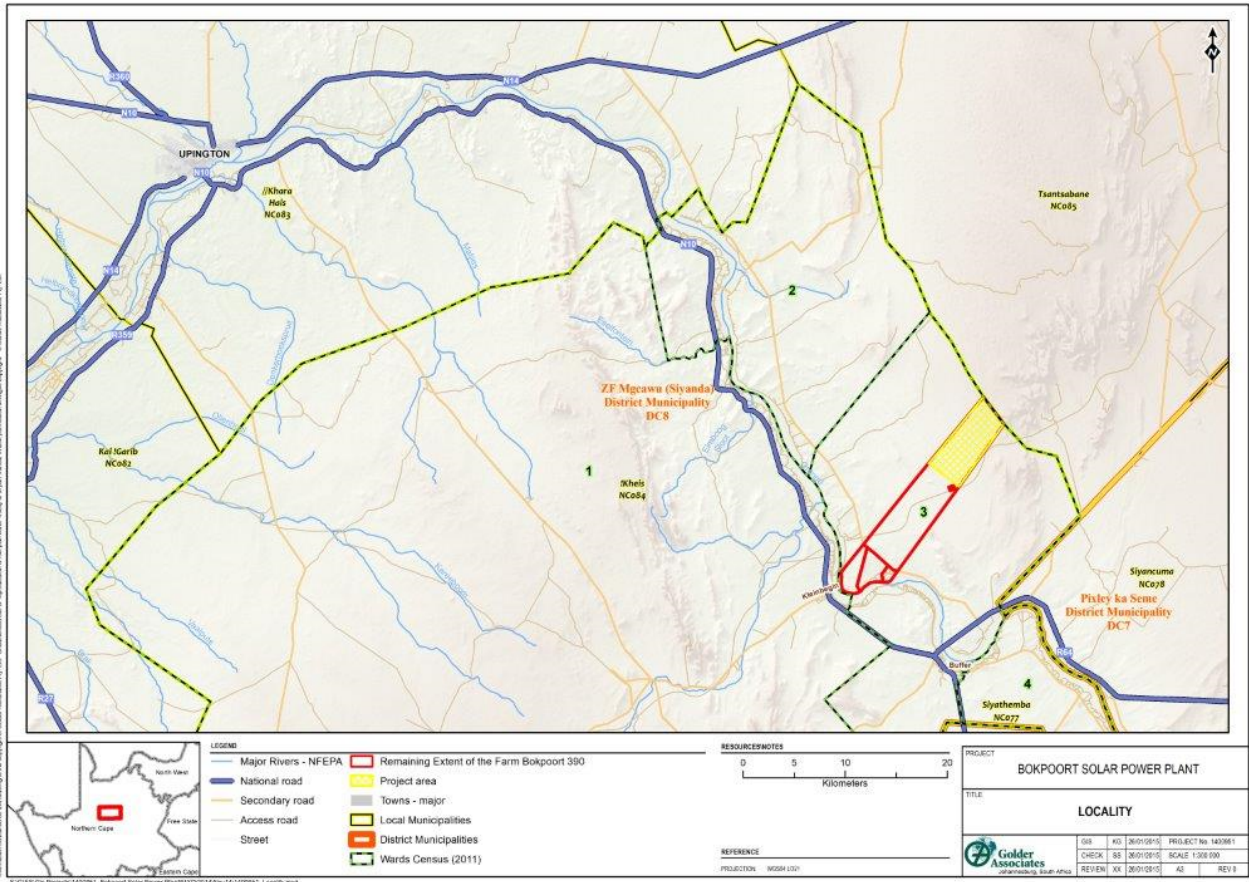


Figure 1: The map shows the location of the proposed Bokpoort II solar power development project

ACWA Power is proposing to bid for two different solar technologies on the site. The applicant is proposing to bid for two 75 Mega Watt (MW) Photovoltaic (PV) solar power plant technology application (see Figure 2), and one 150 MW Concentrated Solar Power (CSP) tower (see Figure 3). This is further outlined below:

- Two (2): 75 MW solar energy facility PV facilities, and
- One (1): 100 MW CSP Tower.

The combined power generation capacity of the entire Bokpoort II solar development will be 300 MW.¹

¹: More details about the respective technologies proposed can be found in the Scoping Reports.



Figure 2: Example of a Photo Voltaic Solar Power Facility.



Figure 3: Example of a Concentrated Solar Power (CSP) Tower.

2.1 Potential environmental and social issues

The continuous and sustainable supply of energy is vital to the future development of South Africa and its biophysical, economic and social environments. Through the operation of the solar development projects, electricity will be fed into the Eskom grid, which in turn will have a positive impact on meeting the nation's energy demands.

There are also other key environmental and social impacts which are likely to affect stakeholders, namely:

- The news of employment opportunities may result in an influx of workers to the area, thereby impacting existing community networks and perceptions of safety and crime levels. The number of jobs to be created by the development is to be determined and can be viewed as a positive impact:
 - Population in-flux due to the news of possible employment opportunities;
 - Visual impacts due to the development of surface infrastructure;
 - Loss of agricultural land and soil resources;
 - Disruption due to increased traffic and increased noise;



- Potential impacts on tangible and intangible cultural heritages;
- Increased community health and safety risks;
- Threats to birdlife; and
- Impacts of dust on health and the environment, particularly during construction.

3.0 LEGISLATION, COMPANY POLICIES AND INTERNATIONAL STANDARDS

Applicable legislation, policies and guidelines relating to stakeholder engagement are outlined below.

3.1 South African Legislation

The Department of Energy’s requirements, under the Renewable Energy Independent Power Producer Procurement Programme (REIPPP), necessitate that three separate environmental authorisation applications, draft/final Scoping Reports and draft/final EIA Reports be submitted to the competent authority Department of Environmental Affairs (DEA), for the Bokpoort II project as described in Table 2.

Table 2: Environmental applications included in the environmental authorisation process

Reference Number	Project Title	Abbreviated Project Title
1400951-303404-27	Proposed Bokpoort II 75 Megawatt (MW) Photovoltaic Solar Development (PV1) on the Remaining Extent of the Farm Bokpoort 390 near Groblershoop, !Kheis Local Municipality, Northern Cape Province.	PV1
1400951-303405-28	Proposed Bokpoort II 75 Megawatt (MW) Photovoltaic Solar Development (PV2) on the Remaining Extent of the Farm Bokpoort 390 near Groblershoop, !Kheis Local Municipality, Northern Cape Province.	PV2
1400951-303406-29	Proposed Bokpoort II 150 Megawatt (MW) Concentrating Solar Power (CSP) Tower Development (Tower 2) on the Remaining Extent of the Farm Bokpoort 390 near Groblershoop, !Kheis Local Municipality, Northern Cape Province.	Tower

The principles for the EIA that determine communication with society at large are included in the principles of the National Environmental Management Act (NEMA) (Act 107 of 1998, as amended) and are elaborated upon in General Notice 807, titled *Public Participation in the Environmental Impact Assessment Process (Guideline 7)*, (Department of Environmental Affairs, 10 October 2010), which states that: *“Public participation is one of the most important aspects of the environmental authorisation process. It is considered so important that it is the only requirement for which exemption cannot be given. This is because people have a right to be informed about potential decisions that may affect them and to be afforded an opportunity to influence those decisions. Effective public participation also facilitates informed decision-making by the competent authority and may result in better decisions as the views of all parties are considered.”*

ACWA Power commits to comply with the requirements stipulated in the following acts, of which more details are provided in the respective Scoping Reports:

- National Environmental Management Act, Act No. 107 of 1998;
- National Environmental Management: Waste Act, Act No. 59 of 2008;
- National Water Act, Act No. 36 of 1998; and
- National Heritage Resources Act, Act No. xx, 1999.



Other policies, municipal plans and guideline documents that are relevant to the project include the following:

- Guidelines published in terms of the NEMA EIA Regulations;
- National Environmental Management Biodiversity Act (NEMBA) (Act No. 10 of 2004);
- Electricity Act (Act No. 41 of 1987);
- Promotion of Administrative Justice Act (Act No. 2 of 2000);
- Civil Aviation Act (Act No. 13 of 2009) and Civil Aviation Regulations (CAR) of 1997;
- Civil Aviation Authority Act (Act No. 40 of 1998);
- White Paper on Renewable Energy (2003);
- Integrated Resource Plan for South Africa (2010);
- Conservation of Agricultural Resources Act (Act No. 43 of 1983);
- Astronomy Geographic Advantage (Act No. 21 of 2007);
- Land Use Planning Ordinance (Ordinance 15 of 1985); and
- National Road Traffic Act (Act No. 93 of 1996).

3.2 International Standards and Guidelines

ACWA Power is committed to complying with the Equator Principles (Equator Principles, 2012), IFC Performance Standards (IFC, 2012) and best practice guidelines for stakeholder engagement as prescribed by the International Association for Public Participation (IAP2). These requirements are summarised below.

3.2.1 World Bank Group

The World Bank Group (WBG), which includes the International Finance Corporation (IFC), has been instrumental in promoting stakeholder engagement.

ACWA Power is committed to following the WBG standards and principles for the stakeholder engagement process for the proposed Bokpoort II project and has been guided by the following:

- The IFC Performance Standards and Guideline Notes;
- IFC Good Practice Manual for Public Consultation and Disclosure; and
- The Equator Principles.

3.2.2 The Equator Principles

The Equator Principles are a set of principles that have been adopted by 67 international finance institutions (known as the Equator Principles Financial Institutions or EPFIs). The principles have been adopted to ensure that EPFIs only fund projects which are or will be developed in a socially responsible manner reflecting sound environmental management practices. The EPFIs commit not to provide loans to projects where the borrower will not or is unable to comply with the respective environmental policies and procedures that implement the Equator Principles (www.equator-principles.com).

The Equator Principles primarily include and directly reference the International Finance Corporation (IFC) environmental and social performance standards and World Bank general and industry specific environmental, health and safety (EHS) guidelines (see below).



The following Equator Principles are relevant:

■ **Principle 5: Consultation and Disclosure:**

Affected communities should be consulted in a structured and culturally appropriate manner. For projects with significant adverse impacts on affected communities, the process will ensure their free, prior and informed consultation and facilitate their informed participation as a means to ensure that all the concerns of the affected community have been incorporated.

In order to accomplish this, the Assessment documentation and Action Plan, or non-technical summaries thereof, will be made available to the public by the proponent for a reasonable minimum period in the relevant local language and in a culturally appropriate manner. The proponent will take account of and document the process and results of the consultation, including any actions agreed to resulting from the consultation. For projects with adverse social or environmental impacts, disclosure should occur early in the Assessment process and in any event before the project construction commences, and on an on-going basis.

■ **Principle 6: Grievance Mechanism:**

To ensure that consultation, disclosure and community engagement continues throughout construction and operation of the project, the proponent will, scaled to the risks and adverse impacts of the project, establish a grievance mechanism as part of the management system. This will allow the proponent to receive and facilitate resolution of concerns and grievances about the project's social and environmental performance raised by individuals or groups from among project-affected communities. The proponent will inform the affected communities about the mechanism in the course of its community engagement process and ensure that the mechanism addresses concerns promptly and transparently, in a culturally appropriate manner, and is readily accessible to all segments of the affected communities.

3.2.3 International Finance Corporation Performance Standards (IFC PS)

ACWA Power is committed to complying with the International Finance Corporation (IFC) Performance Standards (PS) on social and environmental sustainability. These were developed by the IFC and were last updated on 1st of January 2012. The overall objectives of the IFC PS are:

- To fight poverty;
- To do no harm to people or the environment;
- To fight climate change by promoting low carbon development;
- To respect human rights;
- To promote gender equity;
- To provide information prior to project development, free of charge and free of external manipulation;
- To collaborate with the project developer to achieve the PS;
- To provide advisory services; and
- To notify countries of any Trans-boundary impacts as a result of a project.

The PS comprise of eight performance standards namely:

- **Performance Standard 1:** Assessment and Management of Environmental and Social Risks and Impacts;
- **Performance Standard 2:** Labour and Working Conditions;
- **Performance Standard 3:** Resource Efficiency and Pollution Prevention;



- **Performance Standard 4:** Community Health, Safety and Security;
- **Performance Standard 5:** Land Acquisition and Involuntary Resettlement;
- **Performance Standard 6:** Biodiversity Conservation and Sustainable Management of Living Natural Resources;
- **Performance Standard 7:** Indigenous Peoples; and
- **Performance Standard 8:** Cultural Heritage.



The PS framework is presented in Figure 4.

PS 1 is the overarching standard to which all the other standards relate. Performance Standards 2 through 8 establish specific requirements to avoid, reduce, mitigate or compensate for impacts on people and the environment, and to improve conditions where appropriate. While all relevant environmental and social risks and potential impacts should be considered as part of the assessment, Performance Standards 2 through 8 describe potential environmental and social impacts that require particular attention in emerging markets. Where social or environmental impacts are anticipated, the developer is required to manage them through its Environmental and Social Management System consistent with Performance Standard 1.

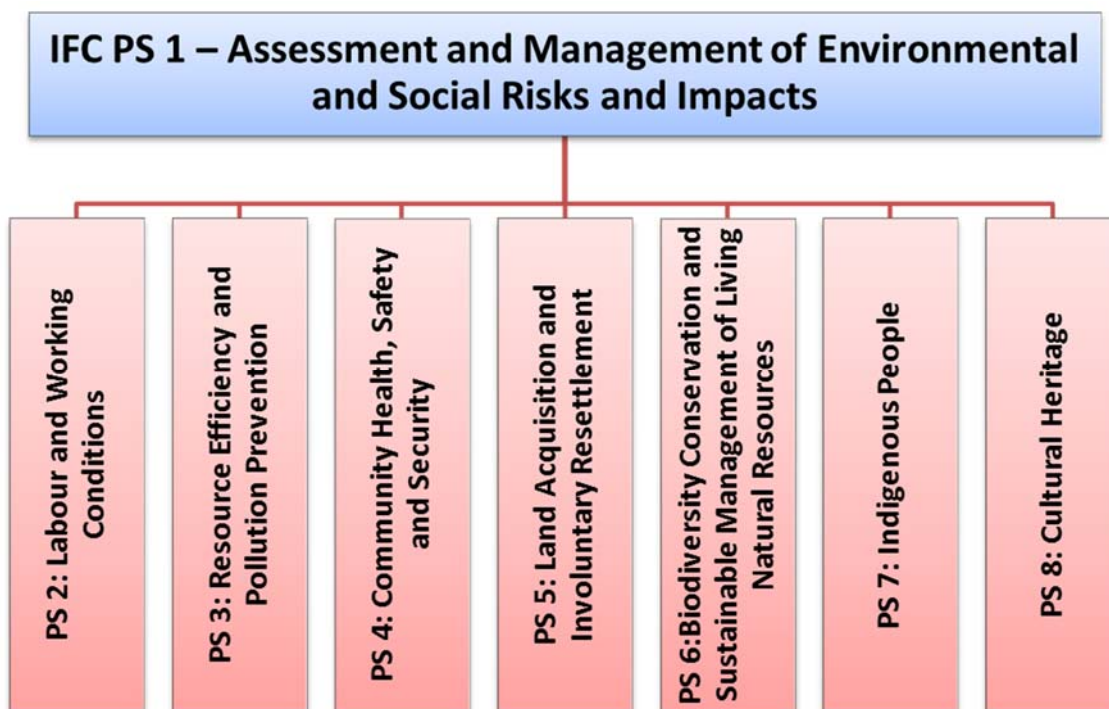


Figure 4: The IFC PS Framework

3.2.3.1 Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts

Performance Standard 1 establishes the importance of:

- i) integrated assessment to identify the social and environmental impacts, risks, and opportunities of projects;
- ii) effective community engagement through disclosure of project-related information and consultation with local communities on matters that directly affect them; and



iii) the management of social and environmental performance throughout the life of the project.

The indicators for successful engagement as per PS 1 can be viewed in Figure 5.

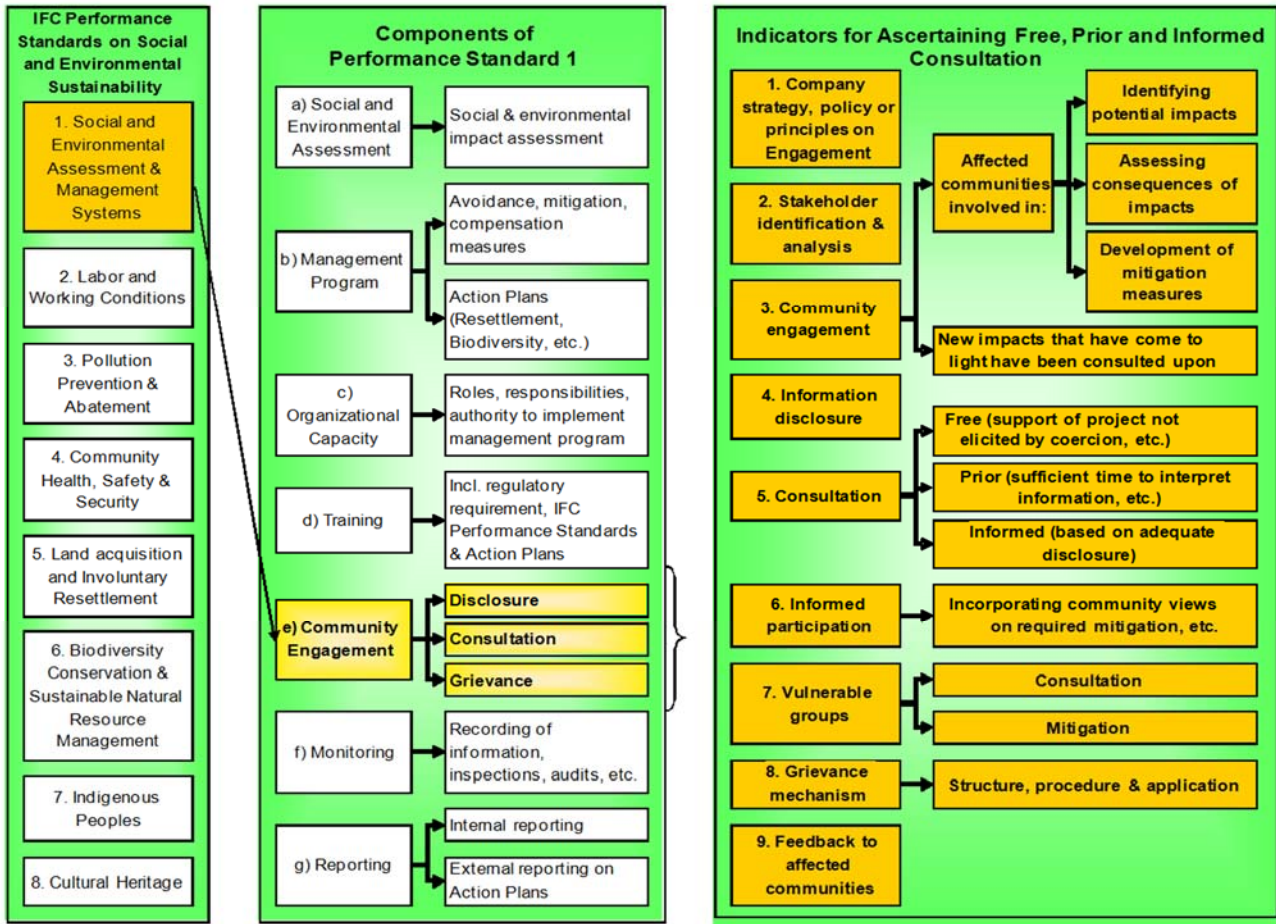


Figure 5: Indicators for successful engagement as per IFC Performance Standard 1

3.2.4 International Association for Public Participation (IAP2)

IAP2 is an international organisation that was founded in 1990. It aims to promote values and best practices associated with public participation. It developed a set of core values and principles that are relevant to stakeholder engagement:

- The public should have a say in decisions about actions that affect their lives;
- Public participation includes the promise that the public's contribution will influence the decision;
- The public participation process communicates the interests as well as meets the process needs of all participants;
- The public participation process seeks out and facilitates the involvement of those potentially affected;
- The public participation process involves participants in defining how they participate;
- The public participation process provides participants with the information they need to participate in a meaningful way; and





- The public participation process communicates to participants how their input affected the decision.

3.3 Health, Safety and Security

3.3.1 Health, Safety, Social and Environmental (HSSE) Management

ACWA Power's HSSE Policy is aligned with the IFC Environmental and Social Performance Standards and World Bank/IFC Environmental, Health and Safety Guidelines (attached as Appendix C to the Draft EIA Report). ACWA Power's HSSE Charter sets out the company's HSSE vision, mission and objectives, and provides an overview of the primary HSSE issues, the company's approach to HSSE including a management framework for HSSE.

3.3.2 HIV/AIDS Awareness Guidelines

This document was developed by ACWA Power in accordance with the Code of Good Practice on Key Aspects of HIV/AIDS and Employment, which is a code that is linked to the Employment Equity and Labour Relations Acts (see APPENDIX A attached to this document). The purpose of this guideline is to address factual health issues as well as behavioural change issues around the transmission and infection of HIV/AIDS. A comprehensive workplace Awareness Programme will be developed by ACWA Power and implemented for all operations with target groups, minimum content and characteristics.

The awareness programme is targeted to address the following topics:

- Non-Discrimination and Confidentiality;
- Promoting prevention; and
- Raising awareness.

Monitoring and evaluation of the programme components and external factors will be undertaken in order to maintain effectiveness of this awareness programme.

4.0 PROJECT STAKEHOLDERS

For the purposes of IFC Performance Standard 1, stakeholders are defined as persons, groups or communities who may be:

- Affected by the project:
 - positively or negatively;
 - directly or indirectly, particularly those directly and adversely affected by project activities;
 - those who are disadvantaged or vulnerable; and/or
 - broader stakeholders who may be able to influence the outcome of the project because of their knowledge about the affected communities or political influence over them.
- Have interest in the project:
 - Other stakeholders are those not directly affected by the project but that have interest in it. These could include national and local authorities, neighbouring projects, and/or non-governmental organisations (NGOs).

"Stakeholders may include locally affected communities or individuals and their formal and informal representatives, national or local government authorities, politicians, religious leaders, civil society organisations and groups with special interests, the academic community, or other businesses" (IFC, 2012).

A copy of the stakeholder matrix developed by ACWA Power is appended as attached in Appendix C to the Draft EIA Reports.

For the purposes of the Bokpoort II project, the stakeholder matrix developed for the Bokpoort CSP project is being taken into consideration.



All stakeholder information for the Bokpoort II project will be captured on an electronic database. This will include contact details, location, land portions, meetings attended, and documents received and participation in any other current ESIA activities. The database will also distinguish between directly affected people and interested people. As the ESIA proceeds and the impact assessments establish newly affected stakeholders, they will be added to the database and consulted.

A full list of stakeholders for the Bokpoort II project is attached as Appendix C attached to the Draft EIA Reports.

4.1 Stakeholder identification

The IFC Guidance Notes define stakeholder identification as the process of:

- Identifying individuals, groups, local communities and other stakeholders that may be affected by the project, positively or negatively, and directly or indirectly, particularly those directly and adversely affected by project activities, including those who are disadvantaged or vulnerable;
- Identifying broader stakeholders who may be able to influence the outcome of the project because of their knowledge about the affected communities or political influence over them; and
- Identifying legitimate stakeholder representatives, including elected officials, non-elected community leaders, leaders of informal or traditional community institutions, and elders within the affected community.

Stakeholders (including Project Affected Persons (PAPs) and other interested parties) have been identified by means of networking, referral and advertising the project in the local media. This process started with using Golder's existing database of stakeholders for projects in the surrounding areas. Particular emphasis was placed in early identification and the involvement of the marginalised in consultation with the local municipalities. Consideration was also given to gender considerations and potential project opponents.

Stakeholders' contact details are captured on an electronic stakeholder database developed and updated by Golder.

The database has the capacity for a data capturer to categorise, personalise letters and send e-mails to stakeholders, to capture notes linked to a person's name (e.g. comments raised, meetings attended, documentation received), thus providing an ongoing record of consultation activities.

The stakeholder database for the proposed Bokpoort II project was reviewed and updated during the Scoping Phase of the ESIA process by Golder. ACWA Power will also maintain, and review a stakeholder database annually during the subsequent phases of the ESIA throughout the life of the project, to ensure that the correct stakeholders are involved and that new stakeholder are continually identified and included.

The number of stakeholders currently on the database comprises approximately 135 individuals and is attached as APPENDIX B.

4.2 Categories of stakeholders being consulted

Broad categories of stakeholder sectors/interest groups consulted both within the project area and beyond its boundaries are listed below.

- **National Government:** Central government regulatory bodies directly involved in the project, such as the Department of Environmental Affairs in Pretoria, as well as other government bodies with potential indirect involvement in the project, such as the Departments of Water and Sanitation; Energy; Trade and Industry and Economic Development.
- **Provincial Government:**
 - Department of Environment and Nature Conservation;
 - Department of Social Development; and
 - Department Roads and Public Works.



- **Local Government:** Relevant District and Local Municipalities, namely the ZF Mgcawu District Municipality and the Kheis Local Municipality.
- **Project-Affected People:**
 - Any households identified that would be impacted by physical and /or economic displacement by the project development;
 - People living near the project and all of its facilities, including people who use project-affected areas for subsistence activities or use water or other ecosystem services that may be affected by the project; and
 - People whose livelihoods may be affected by the project development.
- Agricultural bodies, for example, Agri-SA Northern Cape, local farmer's unions, emerging farmer's unions and the African Farmer's Union;
- Business entities;
- Parastatal organisations: Eskom, South African National Roads Authority (SANRAL), Transnet and Transnet Freight Rail;
- Energy sector: National Energy Regulator of South Africa, Solar Energy Society of South Africa;
- Tourism sector;
- Water bodies (e.g. Water User Associations in the area);
- Aviation: South African Civil Aviation Authority, Airports Company of South Africa, and Air Traffic and Navigation Services;
- Science and research, e.g. SKA South Africa; and
- Non-governmental organisations: environmental and conservation NGOs.

4.2.1 Project affected people

A total of approximately 2 500 people live in the project affected area. The figure was obtained from the 2011 Census data for Ward 3 of the !Kheis Local Municipality.

People directly affected by the project thus include:

- Directly affected landowners; and
- Employees who reside and work on the farms of the directly affected landowners.

Refer to section 6.0 of this SEP for detailed approach to consultation of Project Affected People.

5.0 STAKEHOLDER ENGAGEMENT PLAN FOR THE ESIA

The stakeholder engagement process for the ESIA is shown in Figure 6.

5.1 Objectives

The objectives of an ESIA stakeholder engagement are as follows:

During the Scoping Phase:

- To provide sufficient and accessible information to enable stakeholders to:
 - Understand the context of this ESIA in terms of the previous EIA to South African regulatory standards and IFC Performance Standards;
 - Become informed and educated about the proposed project and its potential impacts;



- Identify potential issues of concern, suggestions for enhanced benefits and commenting on alternatives, contribute local knowledge and experience; and
- Verify that their comment, issues of concern and suggestions have been captured and considered in the Plan of Study for impact assessment.

During the Impact Assessment Phase:

- Verify that their issues and suggestions have been evaluated and feedback has been provided;
- Comment on the findings of the ESIA; and
- Identify further issues of concern from the findings of the ESIA.

During the Decision-Making Phase:

- Provide stakeholders with information on whether or not the proposed project has been authorised as well as the conditions associated with the authorisation; and
- Provide information on the appeals process.

5.2 Approach

The IFC Guidance Note states that, *where applicable, the Stakeholder Engagement Plan will include differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable.*

All meetings will be arranged in advance with the interested and affected parties; will take place in their local language; will be accompanied by visual materials and hand-outs; and will be documented (photos, completion of attendance registers and note-taking).

Meetings and contact with stakeholders will be conducted in a culturally appropriate manner as stipulated in the IFC guidelines.

Specific dates for meetings will be determined in consultation with stakeholder organisations and local stakeholders. Scheduling will take into consideration public holidays/religious festival days in the communities. Meetings will be held at venues easily accessible to stakeholders. All meetings will be facilitated by a stakeholder engagement specialist, with the project developer presenting the proposed project. Written and visual materials will be used to support discussions. Comments and issues raised will be captured and categorised in an electronic database.

IFC PS 1 further stipulates that stakeholder consultation should include elements of capacity building to ensure the process is considered “free, prior and informed”. This will be done by:

- Providing accessible and adequate information without creating undue fears (related to potential negative impacts) or expectations (regarding jobs);
- Including visual illustrations and verbal explanations for illiterate stakeholders; and
- Using local languages and small groups to ensure stakeholders do not feel intimidated.

Consultation will provide vulnerable groups equal opportunities to participate by giving special effort to identify disadvantaged or vulnerable groups.



STAKEHOLDER ENGAGEMENT PLAN - ACWA POWER

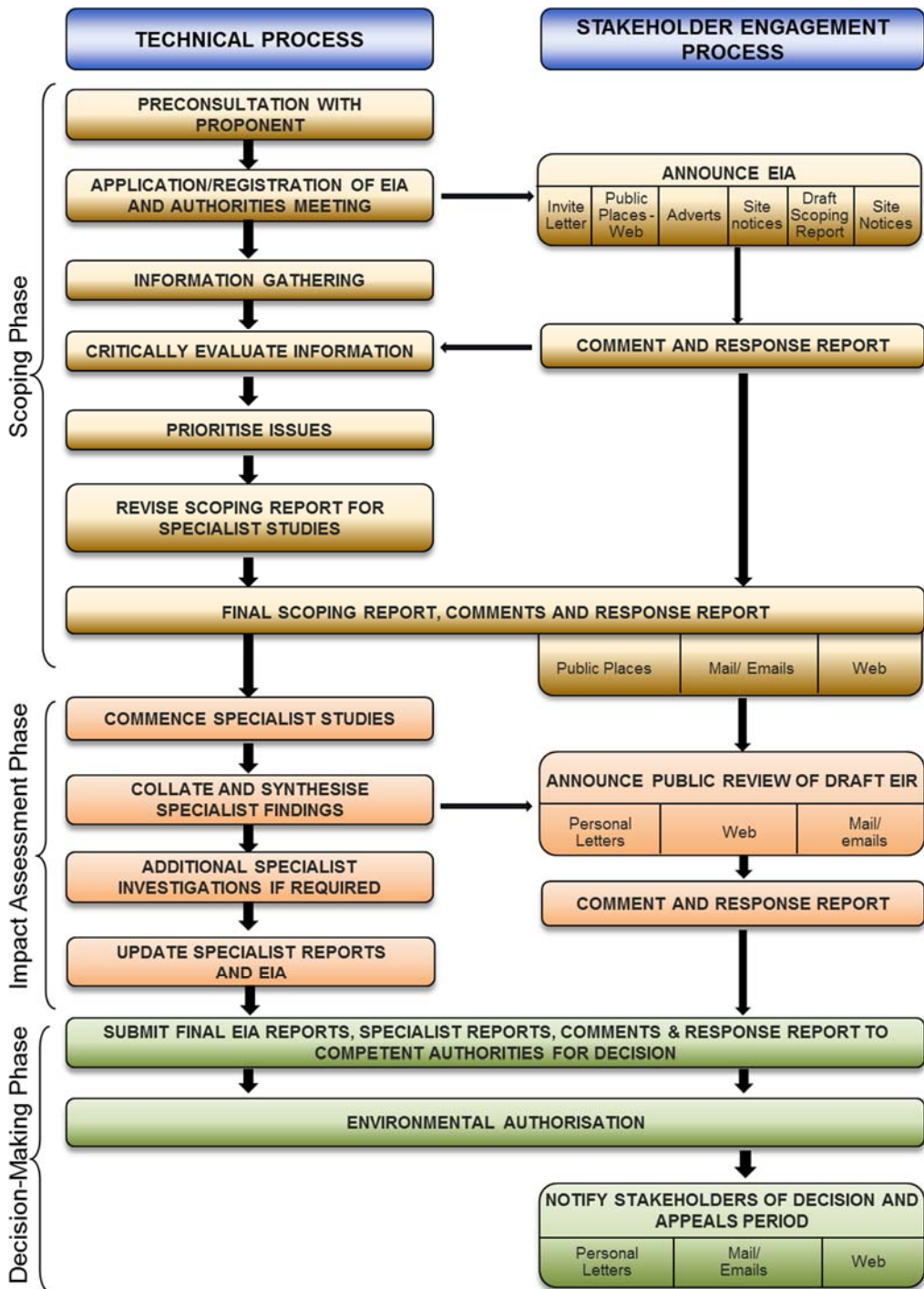


Figure 6: The flow diagram shows the various public consultation steps that will be followed during the different phases of the ESIA



5.3 Stakeholder Engagement during Scoping Phase

Stakeholder engagement has already taken place during the Scoping Phase. This section provides information on the stakeholder engagement process followed during the Scoping Phase.

5.3.1 Stakeholder database

A stakeholder database and matrix were developed containing a list of stakeholders, categorised according to representative sectors of society covering the project area and beyond (refer to section 5.0). The stakeholder matrix indicates the level of influence of key stakeholders on the proposed project and the level of public consultation that should be targeted. Golder will use database software, namely, ACT, to capture stakeholders' contact details and to keep a record of every interaction with stakeholders, e.g., mailings, meetings, correspondence received from stakeholders, etc. The foundation of a successful stakeholder engagement process is the database and ability to keep a record of all interactions with stakeholders during the ESIA process. In addition, the database will also be linked to the issues raised by the stakeholders during the course of the project and the follow-up actions.

5.3.2 Announce opportunity to participate in ESIA, availability of the Draft Scoping Report and capacity building

The opportunity to participate in the ESIA was widely announced together with the availability of the Draft Scoping Report in English as described below.

5.3.2.1 Media announcements

The proposed project was announced at the start of the Scoping Phase by publishing an advertisement in one local newspaper, namely the Gemsbok newspaper. The advertisement was published in English and Afrikaans. A copy of the advertisement is attached as Appendix C attached to the Draft EIA Reports.

5.3.2.2 Background Information Letter

A Background Information Letter (BIL) was compiled and distributed via mail and email to all stakeholders on the database as well as made available at the public places in the project area. Registered letters were sent to the directly affected landowners in the project area. The BIL contained the following information:

- An explanation of the purpose of the letter and invitation to comment;
- A description of the project proponent;
- A description of the proposed project and a motivation as to the upgrade of the ESIA to international IFC Performance Standards, project alternatives, the project rationale, together with a clear and simple map of the project area;
- Local laws and international requirements applicable to the project and the ESIA process;
- ESIA and stakeholder engagement process to be followed;
- Information on how and when stakeholders can contribute;
- The time schedule for the environmental and social investigations (ESIA process);
- The environmental studies to be conducted;
- Invitation to a public open house; and
- Name and contact details of public participation representatives.

A registration and comment sheet accompanied the BIL to be returned via mail, electronically or to local public places in the project area.



Registration and Comments sheets provided stakeholders with an option to indicate whether they wish to remain on the mailing list, to indicate their initial issues of concern and suggestions for enhanced benefits and to comment on the proposed public participation process and their preferred language for communication.

A copy of the BIL and Registration and Comment Sheet are attached as Appendix C to the Draft EIA Reports. The BIL and Draft Scoping Report were made available at the public places indicated in Table 3.

Table 3: Public places where the BIL and Draft Scoping Report were made available

Name of Public Place	Contact Person	Contact Number
!Kheis Local Municipal Clinic	Aletta Strauss	054 833 0231
!Kheis Public Library	Matilda Mathupi	054 833 9500
Golder Associates Africa	Sasha Slogrove-Saayman	011 254 4966

5.3.2.3 Site Notices

Site notices, in English and Afrikaans were displayed at the following places:

- !Kheis Clinic at Groblershoop in the Northern Cape;
- Across the service road of the railway line in the project area; and
- Eskom sub-station near Groblershoop.

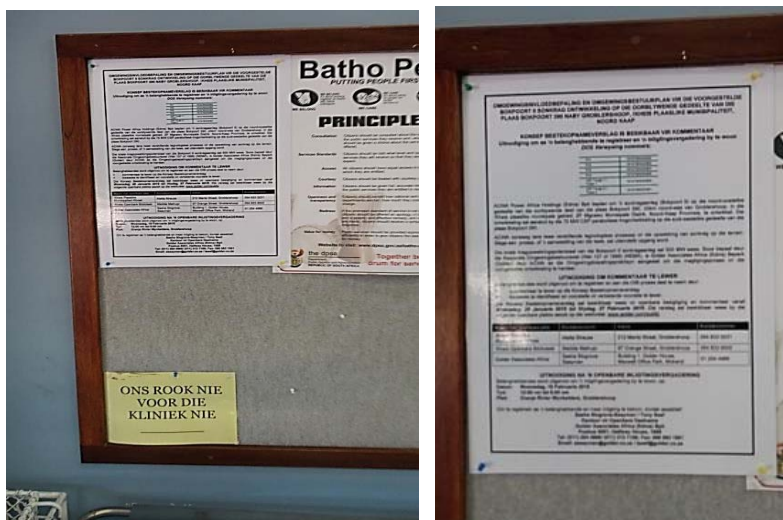


Figure 7: Site notices displayed at the !Kheis Clinic, Groblershoop



Figure 8: Site notices displayed at the Eskom sub-station near Groblershoop

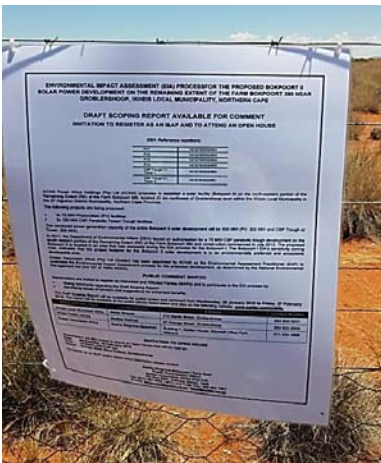


Figure 9: Site notices displayed at the service road across the railway

5.3.2.4 Web site

The above materials were posted to the Golder web site to access and comment. In addition, any posters and ESIA documents produced to date were, and to be produced will be, available on the Golder web site.

5.3.3 Draft Scoping Report

The Draft Scoping Report was compiled by the Environmental Assessment Practitioner (EAP), with the main purpose of defining the scope of the ESIA. The report included the most recent description of the proposed project, the Plan of Study for the ESIA specialist studies, and the Comments and Response Report. A period of four weeks (30 days) was available for public review of the report as per the legislation.

The availability of the Draft Scoping Report was widely communicated to enable stakeholders to verify that their contributions have been captured, understood and correctly interpreted, and to raise further issues. This was achieved through:

- Convening an open house with interested and affected parties on Thursday 18 February 2015 at the Orange River Wine Cellars, Groblershoop;
- Displaying of a set of posters (see Appendix C attached to the Draft EIA Reports) summarising the key aspects of the report in using photographs, drawings and maps to illustrate key points, focussing on the Draft Scoping Report and in particular aspects relating to issues raised;
- Distributing the full text of the Draft Scoping Report to government and upon request to stakeholders;
- Emailing the reports to all stakeholders with email access or registered on the mailing list; and
- Placing the reports on the consultants' Web site.

Obtain contributions to the Draft Scoping Report

Comments, issues of concern, suggestions for enhanced benefits and comments on project alternatives were obtained through the following:

- Returned comment sheets distributed with the BIL and Draft Scoping Report; and
- Open house meeting as well as personal contact with Birdlife SA.

5.3.3.1 Project posters

A set of posters was developed to explain the proposed project and to summarise the Draft Scoping Report. The 14-set posters comprised the following information:

- Poster providing information about the proponent (ACWA Power);



- The ESIA process;
- Applicable legislation;
- Introduction and background to the proposed project;
- A 2-D map of the proposed project area;
- A satellite image showing the proposed project layout;
- Description of the proposed project;
- Potential impacts of the proposed project;
- A map indicating the environmental sensitivity of the proposed project area;
- A map indicating the cultural and heritage, as well as biodiversity landscape in the area; and
- The way forward.

5.3.3.2 Open house

One open house meeting was conducted upon completion of the Draft Scoping Report. The objectives of the meeting were:

- To present to stakeholders the content of the Draft Scoping Report and Plan of Study for Impact Assessment, including the most recent project description, alternatives for the placement of infrastructure, baseline information collected during scoping, and responses to issues already raised, where available;
- To provide stakeholders the opportunity to verify that the issues, concerns and suggestions they have raised have been captured correctly and where required have been included in the Plan of Study for Impact Assessment; and
- To allow stakeholders to raise additional issues pertaining to the ESIA, and pertaining to relationships between the company and local communities.

IAP2 definition of an Open House meeting

The IAP2 defines an Open House meeting as an informal setting with multiple displays where participants rotate at leisure through stations and discuss specific topics with project staff. Information is presented cafeteria-style, with participants "shopping" for information of interest.

5.3.3.3 Other consultations

One informal meeting was convened with Birdlife South Africa to solicit their comments, obtain inputs regarding concerns and lessons learnt from other projects, in particular to apply these when mitigation measures are developed to manage and/or reduce impacts to avifauna.

Regular telephone consultations have also taken place with directly affected landowners who contributed issues of concern during the Scoping Phase.

5.3.4 Comments and Response Report

The key deliverable of the stakeholder engagement process will be a record of all comments, issues and suggestions, in the form of a Comments and Response Report (CRR). This report will be incorporated into both the draft and final Scoping and ESIA Reports. This will serve as an ongoing record of stakeholder issues raised throughout the consultation process. The report will be categorised into the disciplines required for conducting the impact assessment.

5.4 Stakeholder Engagement during the Impact Assessment Phase

Findings of the environmental investigations will be presented in a Draft ESIA Report.



The objective of public review in this phase will be for stakeholders to verify that their comments and issues were indeed considered in the investigations, and to comment on the findings and suggested mitigation measures for reducing negative impacts and enhancing positive impacts.

The Draft ESIA Report will be accompanied by the Stakeholder Engagement Report (this report), which is a separate report documenting the record of interactions with stakeholders during the Scoping and Impact Assessment Phases, and the Comment and Response Report (CRR), which will list every comment, issue or suggestion raised with an indication of where the issue was dealt with in the evaluations, and the relevant findings. The CRR will be categorised according to different disciplines of the ESIA and will reference the issue/question/comment/suggestion, commentator and the meeting during which the comment was raised and whether the comment was received verbally or in writing. A period of four weeks (30 days) will be available for comment.

Consultation during this phase will follow a similar process than during Scoping, including a public meeting, with activities as noted in Figure 1 earlier. The announcement materials for the Impact Assessment Phase are attached as Appendix C attached to the Draft EIA Reports of the Draft EIA Reports. Furthermore, it should be mentioned that advertisements were published in two newspapers, one local newspaper, namely Die Gemsbok (25 May 2016) and one regional newspaper, namely Die Volksblad (21 May 2016) at the start of the Impact Assessment Phase (see Appendix C attached to the Draft EIA Reports).

5.4.1 Final ESIA and Comments and Responses Report

Following the public comment period on the draft ESIA, the report will be updated with comments received, and the Final ESIA will be submitted to the competent authority for a decision. Comments and issues will also be reflected in the Comments and Responses Report (CRR) with responses by the ESIA team. This will accompany the Final ESIA as a record of consultation. A full record of all consultation activities and stakeholder comments will be lodged with the lender, accompanying the final ESIA Report.

5.5 Decision-making

Once the competent authority has issued the decision, Golder will notify via progress feedback letter all registered interested and affected parties of the decision and the appeals process.

6.0 ON-GOING ENGAGEMENT PROGRAMME

Once the ESIA and its public consultation have been completed, ACWA Power's engagement with stakeholders will continue for the life of the project including during construction, operations and eventually decommissioning.

6.1.1 Objectives of on-going engagement

The overall objectives of the on-going programme is to maintain constructive and transparent relationships between the local community and ACWA Power, and thereby to create a collaborative framework through which ACWA Power can maximise its contributions to the well-being and prosperity of local communities, and can minimise potential impacts. The IFC PS 1 requires the following:

- Provide on-going information and feedback to project-affected people and other stakeholders;
- Conduct safety training in communities during construction;
- Consult with project affected people and other relevant stakeholders on new impacts that come to light during construction and operation, incorporating community views on mitigation strategies;
- Maintain broad community support for the project;
- Consult with vulnerable groups and their views into the design of mitigation measures;
- Apply and maintain a grievance mechanism; and
- Provide a platform for civil society organisations, including NGO's, to participate in development projects.



6.1.2 Regular personal contact and meetings with stakeholders

ACWA Power's current regular personal contact with government and other stakeholders will continue through meetings, attending joint events, and contributing to development initiatives through its Social and Labour Plan (SLP) as required by the South African Department of Energy. In particular, contact will be maintained with local government and potential participants in community development initiatives that may be identified during the ESIA and captured in the SLP.

6.1.3 Community contact

Community contact will continue in the same manner as presently, with regular visits, information distribution and meetings with local government structures and traditional authorities for development projects.

7.0 RESOURCES AND RESPONSIBILITIES

Golder, supported by the ACWA Power, was principally responsible for implementing the public participation process for the ESIA (see section 6.0). The Public Participation Task Leader from Golder and ultimately the key person involved in the public participation process was Antoinette Pietersen. Golder collaborated with, informed and guided the ACWA Power Project Manager throughout the public participation process.

8.0 GRIEVANCE MECHANISM

8.1 Overview

IFC PS 1 and Equator Principles No 6 state that *where there are Affected Communities, the client will establish a grievance mechanism to receive and facilitate resolution of Affected Communities' concerns and grievances about the client's environmental and social performance. The grievance mechanism should be scaled to the risks and adverse impacts of the project and have Affected Communities as its primary user. It should seek to resolve concerns promptly, using an understandable and transparent consultative process that is culturally appropriate and readily accessible, and at no cost and without retribution to the party that originated the issue or concern. The mechanism should not impede access to judicial or administrative remedies. The client will inform the Affected Communities about the mechanism in the course of the stakeholder engagement process.*

The objective of a grievance mechanism (GM) in terms of IFC PS 1 is to: *"respond to communities' concerns related to the project to receive and facilitate resolution of the Affected Communities' concerns and grievances about the project's environmental and social performance"*.

The usefulness of a GM is dependent on how swiftly issues can be resolved. Therefore, at the first tier Project Affected Persons (PAPs) must be informed of the existence of the grievance mechanisms and the procedures for lodging, discussing and resolving project related complaints. A GM must be designed in accordance with local social and cultural norms to comply with the requirement that such a procedure must be readily accessible to all segments of the affected communities and at no cost to them and without concerns about retribution. In a resettlement context it is particularly important to note that the GM should not impede access to judicial or administrative recourse.

A detailed grievance mechanism will be developed for implementation during the construction phase of the project, should the project be authorised. The grievance mechanism will be developed using ACWA Power's External Grievance Mechanism (see APPENDIX B attached to this document).

8.2 Grievance Mechanism Reporting

ACWA Power proposes to establish a number of channels through which community members can log a grievance. The Grievance Mechanism will be monitored and evaluated annually. ACWA Power will monitor internally at least once a quarter on all grievances received (both open and closed), and how they were resolved.

A Commitments Register will also be developed and maintained for each project/operation. This will be a publicly available record of all commitments made in response to addressing issues or grievances, or made as part of management or mitigation measures. This Commitments Register should include information on commitments made, activities they relate to, responsible personnel and timeframes for delivery.



The commitments register will therefore draw on the Issues and Grievance logs, in particular the responses generated for issues and grievances raised and any commitments contained therein. This register should be publically available through electronic media and at site level.

9.0 MONITORING AND REPORTING

How and when the results of stakeholder engagement activities will be reported back to Affected Communities as well as broader stakeholder groups have been described in earlier sections.

Day-to-day records will be contained in a dedicated Isometrix database. Stakeholder Engagement Reporting in the form of updated comments and responses will be at least annually and will be made publicly available.

10.0 MANAGEMENT FUNCTIONS

In order to assess the public participation process and to ensure that it is compliant with IFC standards the indicators and validation methods in Table 4 will be used. A number of the validation methods require integration with company systems.

Table 4: Indicators and validation methods for informed consultation and publication process (IFC, 2012)

Material Consideration	Validation Methods
<p>1) Company strategy, policy or principles of engagement: Strategy, policy, or principles for on-going stakeholder engagement with explicit mention of Affected Communities and relevant standards.</p>	Proponent’s strategy, policy or principles or other supporting documents.
<p>2) Stakeholder identification and analysis: As part of the environmental and social assessment process, identification of all Affected Communities, their disaggregation (numbers, locations) in terms of different levels of vulnerability to adverse project impacts and risks, and an analysis of the effects of adverse project impacts and risks on each group. As part of the environmental and social assessment process, this analysis should also look at communities and individuals that will benefit from the project.</p>	Stakeholder analysis document as part of ESIA or ESA. Proponent’s planning documentation for stakeholder engagement, e.g., communications strategy, consultation plan, Public Consultation and Disclosure Plans, and stakeholder engagement plan.
<p>3) Stakeholders engagement: A process of consultation that is on-going during the project planning process (including the process of environmental and social assessment), such that: (i) Affected Communities have been engaged in: (a) identifying potential impacts and risks; (b) assessing the consequences of these impacts and risks for their lives; and (c) providing input into the proposed mitigation measures, the sharing of development benefits and opportunities and implementation issues; and that (ii) new impacts and risks that have come to light during the planning and assessment process have also been consulted upon.</p>	Proponent’s schedule and record of stakeholder engagement. Proponent’s record of discussions with recognized stakeholder representatives, respected key informants, and legitimate representatives of sub-groups (e.g., women, minorities).
<p>4) Information disclosure: Timely disclosure by the Proponent of project information. Proponent to inform Affected Communities about (i) the purpose, nature, and scale of the project; (ii) the duration of proposed project activities; (iii) any risks to and potential impacts on such communities and relevant mitigation measures; (iv) the envisaged stakeholder engagement process; and (v) the grievance mechanism. Disclosure should be in a form that is understandable and meaningful.</p>	Proponent’s materials prepared for disclosure and consultation. Proponent’s record of discussions with recognized stakeholder representatives; respected key informants; and legitimate representatives of sub-groups.



Material Consideration	Validation Methods
<p>5) Consultation:</p> <p>Free- Evidence from the Affected Communities that the Proponent or its representatives have not coerced, intimidated or unduly incentivized the affected population to be supportive of the project.</p> <p>Prior- Consultation with Affected Communities must be sufficiently early in the project planning process (i) to allow time for project information to be interpreted and comments and recommendations formulated and discussed; (ii) for the consultation to have a meaningful influence on the broad project design options (e.g., siting, location, routing, sequencing, and scheduling); (iii) for the consultation to have a meaningful influence on the choice and design of mitigation measures, the sharing of development benefits and opportunities, and project implementation.</p> <p>Informed- Consultation with Affected Communities on project operations and potential adverse impacts and risks, based on adequate and relevant disclosure of project information, and using methods of communication that are inclusive (i.e., accommodating various levels of vulnerability), culturally appropriate, and adaptable to the communities' language needs and decision-making, such that members of these communities fully understand how the project will affect their lives.</p>	<p>Proponent's record of discussions with recognized stakeholder representatives, respected key informants, and legitimate representatives of subgroups.</p>
<p>6) Informed participation:</p> <p>Evidence of the Proponent's organized and iterative consultation, leading to the Proponent's specific decisions to incorporate the views of the Affected Communities on matters that affect them directly, such as the avoidance or minimization of project impacts, proposed mitigation measures, the sharing of project benefits and opportunities, and implementation issues.</p>	<p>Proponent's schedule and record of stakeholder engagement.</p> <p>The Proponent's documentation of measures taken to avoid or minimize risks to and adverse impacts on Affected Communities in response to stakeholders' feedback received during consultation.</p> <p>Drafts of relevant Action Plans.</p>

10.1 Management oversight

The Community Relations and HSE Manager will be confirmed during the construction phase and the Stakeholder Engagement Plan updated accordingly.

10.2 Training

Training will be provided to all ACWA Power personnel involved in contact with communities. This took the form of dry runs before meetings with stakeholders and practicing to present the content of posters.

10.3 Record-keeping

To achieve the above, an important requirement is to keep meticulous records of public participation and on-going stakeholder engagement activities, comments received and responses to these throughout the life cycle of the project. Record-keeping of the public participation process undertaken and the future on-going stakeholder engagement process will take the following form:

- Developing an electronic and hard copy filing system for all external relations activities;
- Recording issues raised at meetings on a stakeholder database, production of a Comments and Responses Report and distribution of the report to attendees for verification at regular intervals (an IFC requirement as well as a good-practice principle);
- Having attendance registers completed at all meetings, and as far as possible taking digital photographs and/or video recordings at all meetings; and



- Keeping a comprehensive record for reporting purposes of:
 - All meetings (dates, venues, attendees, objectives, etc.);
 - All events such as launches, open days etc. (dates, venues, attendees, objectives, outcomes);
 - All comments, compliments, grievances and responses to these; and
 - Recording the times and content of media advertisements and the issues raised during these processes.

11.0 REFERENCES

- 1) Department of Environmental Affairs and Tourism, 2003. *Integrated Environmental Management Series 3. Stakeholder Engagement*.
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APPENDIX A

ACWA Power HIV/AIDS Awareness Guidelines



HIV/AIDs Awareness Guidelines

Version 1

06/05/2016

TERMS AND DEFINITIONS

AIDS	Acquired Immune Deficiency Syndrome
EHS	Environmental Health and Safety
HIV	Human Immunodeficiency Virus
IFC	International Finance Corporation
NGOs	Non-Governmental Organisations
STDs	Sexually Transmitted Diseases
TAG	Technical Assistance Guidelines
VCT	Voluntary Counselling and Testing

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1 INTRODUCTION

HIV/AIDS awareness is the first step to empower and increase the cognizance of HIV/AIDS, its impact, management and the availability of support systems. Encouraging early testing and lifestyle changes reduce and prevent further infection. A workplace HIV/AIDS Awareness Programme promotes a variety of interventions and should be supported by strong management commitment and involvement of employees, contractors, unions and where possible, the wider community.

This Guideline provides current and future ACWA Power asset operations with the framework to develop and implement site specific HIV/AIDS Awareness Programmes in South Africa. Such a programme ensures employees, whether they are affected by or infected with HIV/AIDS, receive appropriate information to support the prevention of HIV/AIDS and are treated fairly without discrimination at the workplace.

1.1 PURPOSE AND OBJECTIVES

The purpose of this Guideline is to address factual health issues as well as behaviour change issues around the transmission and infection of HIV/AIDS.

A comprehensive workplace Awareness Programme will be developed and implemented for all operations with target groups, minimum content and characteristics as listed in this Guideline.

The Guideline will be to guide operations towards:

- creating an environment that is conducive to openness, disclosure and acceptance amongst all staff;
- increasing access to voluntary HIV testing and counselling;
- promoting increased condom use to reduce the spread of sexually transmitted diseases (STDs) and HIV infections; and
- improving the treatment of people living with AIDS.

1.2 SCOPE

This Guideline applies to all activities associated with construction, operation and decommissioning of ACWA's Power assets such as solar PV, CSP, wind, gas and coal fired power plants, and includes all work sites established during construction, operations and decommissioning.

This Guideline promotes non-discrimination between employees, their right to confidentiality and equal opportunities to all regardless of an employee's HIV status. It covers actions on prevention, elimination of stigma and discrimination, health care and support, treatment and mitigation of HIV/AIDS impact on employees and community.

This Guideline will be reviewed on a regular basis to take into account the progression of the epidemic, developments in medical care and experience in managing HIV/AIDS in the workplace.

2 *LEGAL AND REGULATORY REQUIREMENTS*

2.1 *SOUTH AFRICAN REGULATORY REQUIREMENTS*

Employees living with HIV are protected by the Constitution of South Africa Act 108 of 1996 and all relevant legislation which includes the following:

- The Labour Relations Act No.66 of 1995
- The Basic Conditions of Employment Act No.75 of 1997
- Employment Equity Act No.55 of 1998
- Occupational Health and Safety Act No.85 of 1993
- Compensation for Occupational Injuries and Diseases Act No.130 of 1993
- Medical Schemes Act 131 of 1998
- Promotion of Equality and Prevention of Unfair Discrimination Act No.4 of 2000

2.2 *SOUTH AFRICAN GUIDELINES*

The Code of Good Practice on Key Aspects of HIV/AIDS and Employment is a code that is linked to the Employment Equity and Labour Relations Acts. It sets out the content and scope of an appropriate response to HIV/AIDS in the workplace. The Code is supported by a Technical Assistance Guidelines (TAG) document that aims to equip employers and other role players with practical tools to eliminate unfair discrimination based on HIV in the workplace.

2.3 *INTERNATIONAL REQUIREMENTS*

This HIV/AIDS Awareness Guideline meets the requirements of the IFC Performance Standards, in particular the International Finance Corporation (IFC) Good Practice Note: HIV/AIDS in the Workplace and the IFC EHS Guidelines. These requirements are summarised as follows:

- **Performance Standard 1** – Assessment and Management of Social and Environmental Risks and Impacts. This involves identifying and

evaluating social risks and impacts of the project, and in response adopting a mitigation hierarchy to anticipate and avoid, or where avoidance is not possible, minimise or compensate for risks and impacts to workers and affected communities, in this case, the risk and impact of HIV/AIDS.

- **IFC EHS Guidelines** - the EHS Guidelines contain the performance levels and measures that are normally acceptable and applicable to projects or operations. ACWA Power operations will refer to these Guidelines (or other internationally recognised sources, as appropriate). Section 3.6 on disease prevention describes how communicable diseases and specifically STDs including HIV/AIDS pose a significant public health threat, particularly in construction phases due to factors such as influx and high mobility of labour. The EHS Guidelines recognise the need to combine behavioural and environmental modifications including, at a project level, providing surveillance and active screening and treatment of workers, prevention through awareness and education, counselling, influencing behaviour and encouraging condom use. In addition, the Guidelines focus on improving access to medical support through collaboration with local authorities, training of health workers, provision of health services and ensuring access to medical treatment, confidentiality and appropriate care, particularly with respect to migrant labour.

3 HIV AWARENESS GUIDELINE

3.1 NON-DISCRIMINATION AND CONFIDENTIALITY

High standards of non-discrimination and confidentiality are essential if an effective HIV/AIDS Awareness Programme is to be maintained.

ACWA Power will ensure the following:

- Discrimination of HIV/AIDS infected or affected employees will not be tolerated, including treating those affected differently or applying non-professional judgement due to an individual's HIV/AIDS status. ACWA Power operations will ensure that objective judgement is applied in personnel decisions.
- Employee rights, development opportunities, benefits or sick leave will not be affected by HIV/AIDS status.
- No employee will be isolated or segregated as a result of their HIV/AIDS status.
- Job applicants will never be asked to disclose their HIV/AIDS status. ACWA Power will ensure that job candidates who are known to have HIV/AIDS are treated no differently from those who have any other life-threatening and non-contagious disease. Fitness to perform the job will be the only criterion that shall apply.
- Any form of discrimination or harassment, either directly or indirectly due to a person's HIV/AIDS status shall be considered misconduct warranting disciplinary action.
- All persons living with HIV/AIDS have the right to privacy and confidentiality. Employees are not obliged to inform management or any other person of their HIV/AIDS status unless disclosure is required under the following circumstances:
 - The information is legally required;
 - The employee's health is affecting their ability to perform work safely;
 - Fitness for work issues necessitates long absence or a change to work patterns or duties.
- In all of the above instances, disclosure of HIV/AIDS status remains voluntary and should only be made with written approval of the HR

Manager and only after obtaining a written authorisation from the individual concerned. ACWA Power will ensure absolute confidentiality of this information.

- To ensure confidentiality requirements, this HIV/AIDS Awareness Guideline will be communicated to internal employees who handle personnel information and any ACWA Power medical providers.
- If an employee voluntarily discloses their HIV/AIDS status to anyone within the organisation, this will be maintained in strictest confidence in line with other medical information and will not be shared without the individual's express and written consent.
- Approved third party providers for Voluntary Counselling will maintain test results in the strictest confidence and will never be asked to disclose information on employee HIV/AIDS status to ACWA Power.
- If information is provided to aid monitoring and evaluation of the HIV/AIDS programme, such as counselling and testing rates, behaviour surveys and risks, statistics will be scientific, confidential, ethically prepared and will never disclose information about individuals and their HIV/AIDS status.

3.2 *PROMOTING PREVENTION*

The prevention measures below are intended to support behaviour change among ACWA Power employees and reduce the risk of transmission.

3.2.1 *Review Occupational Health and Safety Procedures*

Workplace accidents or injuries that cause bleeding remain a risk for HIV/AIDS transmission. Hence every operation will review its existing occupational health and safety procedures related to treatment of blood borne infectious diseases.

The following facts (as per the IFC Guidance Note) will be posted at emergency First Aid Stations as fact sheets to help reduce the risk of HIV infection in the event of a workplace accident:

- Careful handling and disposal of sharp objects such as needles;
- Use of single-use or auto-disable syringes; and
- Hand washing before and after accidents/procedures.

The following practices will be enforced at each operation:

- Use of protective barriers such as gloves, gowns and masks for direct contact with blood or other body fluids;
- Ensuring that adequate supplies are available;
- Reporting of any incidents of exposure;
- Safe disposal and proper handling of waste contaminated with body fluids or blood; and
- Proper disinfecting of instruments and contaminated equipment.

3.2.2 *Condom Distribution*

A reliable supply of free, high-quality condoms should be provided as part of the HIV/AIDS prevention programme.

Condoms, both male and female, will be made readily available at the First Aid Stations and through self-service dispensers in bathrooms.

When ACWA Power's operations make use of peer education as part of its Awareness Programme (refer to *section 3.3* below), the peer educators will be given condoms for distribution to their co-workers.

3.2.3 *Voluntary HIV Counselling and Testing (VCT)*

People infected with HIV/AIDS may be unaware of their HIV status and may only be aware of secondary infections. The key aim of the HIV/AIDS Awareness Programme should be for employees and their families to 'know their status', and thus avoid infection of other individuals.

Voluntary Counselling and Testing (VCT) has proven effective in promoting prevention for those who test negative and behaviour change for those who test positive.

ACWA Power will encourage VCT amongst employees. Voluntary counselling will be included both before and after testing. The pre-test counselling will be designed to fully inform the patient of the meanings of

both a positive and a negative result, while post-test counselling will serve to reinforce the need for behaviour change.

Each operation will make available contacts and resourcing for employees and their families to use an approved Counselling and Testing facility (with trained counsellors, which can provide information on appropriate providers for all segments of an HIV/AIDS programme).

Box 3.1 Prevention and Treatment of STDs

There is a strong positive correlation between STDs and HIV transmission. STDs are a very common health problem among workers and pose a significant public health risk that should be addressed at an operation's medical facility or in collaboration with government health posts, Non-Governmental Organisations (NGOs), and mobile clinics.

Treatment of STDs offers an opportunity to be addressed during an HIV/AIDS Awareness Programme. Prevention of STDs calls for the same measures: abstinence; sex with only one non-infected partner; or condom use. STD treatment kits should be stocked at the medical facility on site.

3.2.4

Training

Safety or technical briefings and induction programs present a good opportunity to provide HIV/AIDS education for staff.

Separating male and female employees — at least at the beginning of the training — can often result in more open and productive discussions.

The company will adapt training materials to their audience in terms of format, culture, gender and language. Training will be provided by qualified and experienced personnel, medical staff or trained counsellors or trainers.

Training will include, but not be limited to the following content:

- What is HIV/ AIDS?
- How HIV is spread?
- Myths about HIV/ AIDS
- Symptoms and debilitating effects of HIV/ AIDS including associated and secondary diseases

- The importance and process for voluntary counselling and testing
- Links to gender and social equality
- Links to other Sexually Transmitted Infections (STIs)
- Safe and non-safe behaviours
- Prevention methods and precautions
- Anti-retroviral treatment
- The impact of AIDS on individuals and families
- Global and local impact of HIV/AIDS
- Non-discriminatory and confidentiality requirements for the company and employees.

3.3

RAISING AWARENESS

An HIV/AIDS Awareness Programme at operational level must include information, education and communication interventions that address the facts and myths of HIV transmission and promote preventive measures. Communicating to employees that there is no personal risk from casual contact with colleagues living with HIV/AIDS forms a key part of the Programme. Awareness activities should inform employees about the risks and educate them about ways to minimize their exposure.

ACWA Power will identify and train voluntary employees in various departments to become peer educators, who will ensure permanent dissemination of information and consciousness.

The company will establish partnerships with other institutions, organizations or external individuals, specialized in issues regarding to HIV/AIDS in order to support their programme implementation, whenever considered necessary.

3.3.1 Effective Communication

Understanding preferred languages of employees is a first step and operations must ensure that demographic information of employees are captured and maintained.

Information will be communicated in local languages to be most effective. Information will take cognisance of educational levels of employees. In cases where an operation recruits an individual that may be illiterate, special consideration will be given to non-written forms of communication.

ACWA Power will make use of the following communication methods to increase HIV/ AIDS awareness:

- Educational posters and billboards will be placed in high-traffic areas throughout company facilities;
- Distribute free condoms in strategic locations throughout company facilities;
- The Company HIV/ AIDS policy will be posted in public places in the local languages;
- A 'Health Questions Box' will be placed in a convenient locations so that employees can anonymously submit questions on health and HIV/ AIDS; and
- Invite counsellors from local clinics and participating in government and NGO initiatives, including World AIDS Day on December 1st.

3.3.2 *Beyond the Workforce*

It is both useful and necessary to extend education and awareness efforts beyond the workforce to effectively manage HIV/ AIDS. This includes working with suppliers and contractors as well as the local communities in their area of operations. Particularly vulnerable groups such as women and youth can be targeted through local schools, employees' wives, and local women's organizations whereas high risk groups such as temporary construction workers, migrant labourers, truck drivers, or sex workers may require specifically adapted awareness messages.

At an operational level ACWA Power will, in partnership with local NGOs or schools, develop an awareness campaign which goes beyond the workforce to educate the broader community.

3.3.3 *De-stigmatizing the Disease*

ACWA Power's operations offer a unique opportunity to confront societal discrimination and stigma by dispelling myths and

communicating that there is no need to fear people living with HIV/AIDS. In addition it offers an opportunity to communicate to employees that those who practice discriminating and/or stigmatizing attitudes in the company shall be sanctioned in terms of the company's disciplinary procedures. Such messages are reinforced by the anti-discrimination and de-stigmatization clause in ACWA Power's HIV/AIDS Policy, which discourages discriminating and stigmatizing attitudes of its employees with HIV/AIDS from their colleagues, superiors or their subordinates.

Company awareness activities will include HIV/AIDS support groups for employees, or the involvement of people living with HIV/AIDS. These can be a powerful means of breaking down misconceptions and fostering understanding and acceptance.

Through increased understanding and de-stigmatisation of the disease, individuals will be able to access information about the real risks of HIV/AIDS, allowing them to make informed decisions and to minimise their exposure.

3.3.4 *Peer Education*

Peer education involves training and supporting members of a given group to affect change among their peers, it is one of the most widely-used strategies for raising awareness on HIV/AIDS.

ACWA Power will develop components that will impact quality and effectiveness of a peer education programme. These include:

- Providing training for peer educators;
- Compensating them in some way;
- Involving them in the design of training, curriculum and materials; and
- Linking the education program to other services such as access to condoms, medical care and voluntary HIV counselling and testing.

Trained Peer Educators shall be provided with opportunities to discuss HIV/AIDS risks and impacts with their peer group in order to influence attitudes and behaviours.

4 ROLES AND RESPONSIBILITIES

ACWA Power, subsidiaries, businesses, operations and sites will ensure that roles and responsibilities for implementing and complying with this Standard are allocated. Key responsibilities will be included in job descriptions, procedures and/or other appropriate documentation.

ACWA Power will make provision for the necessary financial and human resources to execute the contents of this Guideline. The resource requirements have been outlined below.

4.1 FINANCIAL RESOURCES

ACWA Power will ensure that there are sufficient funds available for on-going HIV training and awareness, such as provision of necessary staff and associated training activities, distribution of documents and posters, translation of documentation where appropriate and provision for hosting of training.

4.2 HUMAN RESOURCES

4.2.1 Roles and Responsibilities

ACWA Power will ensure that roles and responsibilities for implementing and complying with this Guideline are defined at both corporate and operational levels. Key responsibilities shall be included in job descriptions, procedures and/or other appropriate documentation. The following provides a general description of the key roles and responsibilities that ACWA Power will establish:

- **Strategic Direction and Accountability:** Overall accountability for the implementation of the HIV Awareness Guideline will rest with the Human Resources Manager who will act as the champion for the guideline. The champion will not be responsible for implementation, but rather will be accountable for all engagement with stakeholders with implementation being undertaken through a range of plans and responsibilities at the corporate and operational levels. The champion will have oversight and will ensure alignment between, and monitor consistency of delivery across plans.

- **Overall Responsibility for Implementation:** Overall responsibility for implementation of the full range HIV/AIDS Awareness actions will rest with the SED Manager. The SED Manager will perform both a coordinating and quality control function to ensure both alignment on HIV Awareness across the business.
- **Responsibility for Aspects of HIV/AIDS Awareness:** This would fall under the responsibility of an array of functional managers at the operations level. These will each hold a responsibility for the implementation of HIV/AIDS Awareness Programmes with internal employees and external stakeholders.
- **Employee Training:** Training will be provided by qualified and experienced personnel, medical staff or trained counsellors or trainers. ACWA Power will contract external personal to provide training if there is not a suitably qualified member of staff.

5

MONITORING AND EVALUATION

In order to maintain the effectiveness of the HIV/AIDS Awareness programme, monitoring and evaluation of programme elements and external factors will be undertaken, as follows:

- ACWA Power will monitor and evaluate the evolving HIV/AIDS epidemic in order to develop and improve its response strategies and to effectively manage the impact of the epidemic on employees, communities and the business. Information derived from HIV management will be used to plan appropriately and to periodically review the effectiveness of prevention, care, support and treatment efforts.
- ACWA Power will collect information on existing local health facilities and services available including testing centres, counselling and care centres, support groups, major hospitals and clinics so that this information can be used to support and inform ACWA's programmes for the ongoing provision of effective HIV/AIDS treatment and care.
- ACWA Power will monitor and evaluate the indicators provided below. ACWA Power will ensure that the EPC and O&M contractors are aware of the HIV Awareness Plan, and the monitoring and evaluation requirements below will form part the contracts with ACWA Power. All contractors will be required to report on the same set of indicators and provide feedback to ACWA Power on an annual basis. :
 - Prevention
 - HIV Policy in place
 - Financial resources committed and spent on HIV/AIDS programme
 - Provision of HIV/AIDS training for employees and their families
 - Number of Peer Educators trained, and active as Peer Educators
 - Number of operational controls in place
 - HIV/AIDS prevention infrastructure in place (e.g. trained medical staff, clinics, testing facilities, training materials)
 - Improved knowledge, attitudes and behaviour practices (through focus group discussions, interviews and/or surveys covering prevention, treatment and care)

- Voluntary Counselling & Testing
 - Percentage of workforce attending VCT counselling
 - Percent of those people who attended counselling who took an HIV test
 - Number of people who took an HIV test under an 'opt-out' scheme

- Treatment and Care
 - Percent of workforce absent from work
 - Average duration of absenteeism
 - Percent of those who used VCT programme who have registered for care and treatment programme
 - Percent of those who enrolled in treatment and care programme who are receiving treatment.

- Community Partnerships
 - Number of community members trained in HIV/AIDS
 - Percent of community who underwent HIV/AIDS training who enrolled in VCT counselling
 - Percent of community who enrolled in VCT counselling who took an HIV/AIDS test
 - Number of collaborative partnerships with different community or government organisations regarding increasing the capacity of HIV/AIDS programme (e.g. training, awareness campaigns, VCT facilities, provision of treatment and care).

APPENDIX A

Table A.1 Summary of HIV Awareness Actions

Issue (description of the issue/ obligation)	Responsible Person	Actions and activities	Frequency/duration	Records/Evidence of compliance
Non-Discrimination and Confidentiality	HR Manager HSEQ Manager	<p>Discrimination of HIV/ AIDS infected or affected employees will not be tolerated.</p> <p>Job applicants will never be asked to disclose their HIV/ AIDS status.</p> <p>Any form of discrimination or harassment, either directly or indirectly due to a person's HIV/ AIDS status shall be considered misconduct warranting disciplinary action.</p>	Throughout duration of construction and operation activities	Through review of application documents
Promoting Prevention				
Review Occupational Health and Safety Procedures	HR Manager HSEQ Manager	<p>Post the following information/ fact sheets at emergency First Aid Stations:</p> <ul style="list-style-type: none"> • Careful handling and disposal of sharp objects such as needles; • Use of single-use or auto-disable syringes; and • Hand washing before and after accidents/procedures. 	Throughout duration of construction and operation activities	Visible evidence of fact sheets

Issue (description of the issue/ obligation)	Responsible Person	Actions and activities	Frequency/duration	Records/Evidence of compliance
Condom Distribution	HR Manager HSEQ Manager	Condoms, both male and female, will be available at the First Aid Stations and through self-service dispensers in bathrooms. Peer educators will be given condoms for distribution to their co-workers.	Throughout duration of construction and operation activities	Visible evidence of condom dispensers. Record of condom distribution to peer educators.
Voluntary HIV Counselling and Testing (VCT)	HR Manager HSEQ Manager	Make available contacts and resourcing for employees and their families to use an approved Counselling and Testing facility.	Throughout duration of construction and operation activities	
Training	HR Manager HSEQ Manager	Training to be provided by qualified and experienced personnel, medical staff or trained counsellors or trainers. Adapt training materials to audience in terms of format, culture, gender and language.	Throughout duration of construction and operation activities	Training records.

Raising awareness

Issue (description of the issue/ obligation)	Responsible Person	Actions and activities	Frequency/duration	Records/Evidence of compliance
	HR Manager HSEQ Manager	<p>ACWA Power will make use of the following communication methods to increase HIV/ AIDS awareness:</p> <ul style="list-style-type: none"> • Educational posters and billboards will be placed in high-traffic areas throughout company facilities; • The Company HIV/ AIDS policy will be posted in public places in the local languages; • A 'Health Questions Box' will be placed in a convenient locations so that employees can anonymously submit questions on health and HIV/ AIDS; and • Invite counsellors from local clinics and participating in government and NGO initiatives, including World AIDS Day on December 1st. 	Throughout duration of construction and operation activities	<p>Visible evidence of HIV / AIDS awareness material, policy and health questions box.</p> <p>Record of invitation to counsellors to participate in awareness initiatives.</p>
Beyond the Workforce	HR Manager HSEQ Manager CLO	Develop an awareness campaign at an operational level which goes beyond the workforce to educate the broader community.	Throughout duration of construction and operation activities	Community HIV / AIDS Awareness campaign.

Issue (description of the issue/ obligation)	Responsible Person	Actions and activities	Frequency/duration	Records/Evidence of compliance
Peer Education	HR Manager HSEQ Manager	Develop a peer educator programme which will include: <ul style="list-style-type: none"> • Providing training for peer educators; • Compensating them in some way; • Involving them in the design of training, curriculum and materials; and • Linking the education program to other services such as access to condoms, medical care and voluntary HIV counselling and testing. 		Development and roll out of peer educator programme.



APPENDIX B

ACWA Power External Grievance Mechanism



External Grievance Mechanism

Version 1

06/05/2016

TERMS AND DEFINITIONS

CLO	Community Liaison Officer
GM	Grievance Mechanism
HSEQ	Health, Safety, Environment and Quality Manager
IFC PS	International Finance Corporation's Performance Standards
IPPP	Independent Power Producer Procurement
KPIs	Key Performance Indicators
NGOs	non-governmental organisations
SED	Socio-economic Development Manager
MANAGER	
UNGPs	UN Guiding Principles on Business and Human Rights

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1 INTRODUCTION

The management of grievances is a vital component of stakeholder management and an important aspect of risk management for a project. Grievances can be an indication of growing stakeholder concerns (real and perceived).

The ACWA Power Grievance Mechanism (GM) will actively keep track and manage external grievances, and the feedback associated with the grievance to ensure that appropriate actions are taken and resolutions achieved.

1.1 PURPOSE AND OBJECTIVES

Local concerns over the impact of a project can be expressed in the form of a formal or informal complaint. This could encompass relatively minor concerns as well as more entrenched, serious or long-term issues which may be described as grievances. In both cases it is important to have robust and credible local mechanisms to systematically handle and resolve any complaints that might arise from both real and perceived impacts so that they do not escalate and present a risk to operations. An effective grievance mechanism should foster positive relationships and trust with employees and external stakeholders.

The objective of this GM is to provide stakeholders who have a grievance the opportunity to have it examined effectively and within an appropriate timeframe. This document provides a systematic approach to addressing grievances that is consistent, transparent and accessible to stakeholders.

The UN Guiding Principles on Business and Human Rights (Foundational Principle 31, "Access to Remedy") provides a list of key principles that should underpin a non-judicial grievance mechanism. The principles outlined in *Box 1.1* provide guidance for designing, revising or assessing a grievance mechanism to help ensure that it is effective in practice.

Box 1.1 UN Guiding Principles on Business and Human Rights

In order to ensure its effectiveness, a non-judicial grievance mechanism should be:

- **Legitimate:** the mechanism must be “trust-worthy”, if it is not stakeholders are unlikely to choose to use it.
 - **Accessible:** Barriers to access may include a lack of awareness of the mechanism, language, literacy, costs, physical location and fears of reprisal.
Predictable: Stakeholders’ trust for and use of the grievance mechanism is enhanced through the public provision of information about the procedure it offers.
 - **Equitable:** Affected stakeholders usually have less access to information and expert resources than business enterprises, and often lack the financial resources to pay for them.
 - **Transparent:** Regular communication with affected parties about the progress of individual grievances is essential to retaining confidence in the process, and the provision of statistics, case studies and more detailed information about the handling of certain cases, can be important to demonstrate its legitimacy and retain broad trust. Simultaneously, the mechanism should ensure confidentiality of the dialogue between parties and of individuals’ identities.
 - **Rights-compatible:** Grievances are frequently not framed in terms of human rights, nor do they initially raise human rights concerns; where outcomes have implications for human rights, care should be taken to ensure that they are in line with internationally recognized standards.
 - **Continuous learning:** Regular analysis of the frequency, patterns and causes of grievances, should be conducted in order to ascertain how policies, procedures or practices may be altered to prevent future harm.
- Engagement and dialogue:** engaging with affected stakeholder groups (potentially through a third party) about the design and performance of the grievance mechanism can help to ensure that it meets their needs, that they will use it in practice, and that there is a shared interest in ensuring its success.

This grievance procedure does not replace existing South African legal processes, and nor does it impede access to other judicial or administrative remedies that might be available under domestic law or through existing arbitration procedures.

1.2 SCOPE

This GM applies to all activities associated with construction and operation of ACWA Power’s assets such as solar PV, CSP, wind, gas and coal fired power plants, and includes all work sites established during construction and operations.

ACWA Power will proactively inform affected communities and wider stakeholders of the details of the Grievance Mechanism in the course of its community and stakeholder engagement activities associated with asset development, operations and retirement as described in the *ACWA Power Stakeholder Engagement Plan (ACWA - SEP - 01)*.

2 LEGAL AND REGULATORY REQUIREMENTS

2.1 INTERNATIONAL REQUIREMENTS

ACWA Power uses a variety of funding models for different projects including limited recourse debt markets, capital markets or bank loans from organizations like the International Financial Corporation (IFC) and commercial banks.

When seeking financing for projects, ACWA Power expects and will work to the relevant IFC Performance Standards (PSs) and the Equator Principles (EPs). Although these do not directly constitute law they are applied to loans as a condition of the loan.

IFC PS 1 and Equator Principles No 6 state that where there are Affected Communities, the client (i.e. bank's client - the company seeking finance) will establish a grievance mechanism to receive and facilitate resolution of Affected Communities' concerns and grievances about the client's environmental and social performance. This grievance mechanism should be scaled to the risks and adverse impacts of the project and have Affected Communities as its primary user. It should seek to resolve concerns promptly, using an understandable and transparent consultative process that is culturally appropriate and readily accessible, and at no cost and without retribution to the party that originated the issue or concern. The mechanism should not impede access to judicial or administrative remedies. The client will inform the Affected Communities about the mechanism in the course of the stakeholder engagement process.

The objective of a grievance mechanism in terms of IFC PS 1 is to: *"respond to communities' concerns related to the project, to receive and facilitate resolution of the Affected Communities' concerns and grievances about the project's environmental and social performance"*.

2.2 SOUTH AFRICAN REGULATORY REQUIREMENTS

There are no specific South African legal obligations or guidelines governing the development and implementation of a GM. However the Government's Independent Power Producer Procurement (IPPP) Programme obliges private sector energy projects to engage in local community development around project sites. ACWA Power will thus engage with local communities to accurately assess the needs and expectations of these communities and for the purposes of maintaining both formal and social licence to operate.

3 ROLES AND RESPONSIBILITIES

ACWA Power will make provision for the necessary financial and human resources to execute the contents of this GM. The resource requirements have been outlined below.

3.1 FINANCIAL RESOURCES

ACWA Power will ensure that there are sufficient funds available for on-going engagement activities, such as provision of necessary staff and associated training activities, distribution of documents and posters, translation of documentation where appropriate and provision for hosting of public meetings.

3.2 HUMAN RESOURCES

The Socio-economic Development (SED) Manager will be responsible for the implementation of this Grievance Mechanism. Should the need arise, ACWA Power will appoint a Community Liaison Officer (CLO) who will assist the SED Manager in the implementation of the GM. Clear lines of responsibility, accountability, information and consultation within the organisation will be established.

SED Manager

The SED Manager will be responsible for continued community engagement, facilitation of meetings, distribution of information to stakeholders and eliciting comments, translation of material into the local languages and record keeping. The SED Manager should be a local person, who is fluent in the local languages and familiar with the local customs. The SED Manager will be responsible for:

- Interfacing with National, Provincial and District Authorities, Traditional Authorities and Project Affected Villages;
- Responding to low priority grievances and initiating and coordinating responses from the appropriate managers to mid and high priority grievances;

- Reporting to the Project Company Site Manager on a weekly or monthly basis regarding engagement activities and community issues and concerns including the management of grievances;
- Being present in, and accessible to, the communities and overseeing the Grievance Mechanism function; and
- Directing communication with stakeholders around the resolution of grievances.

Community Liaison Officer

Should the need arise; ACWA Power must appoint a CLO to assist the SED Manager. The CLO will be responsible for:

- Collecting, logging and prioritizing grievances;
- Coordinating and tracking timely responses;
- Monitoring corrective actions;
- Communicating with stakeholders around the resolution of grievances;
- Interfacing directly with the community at regular intervals in appropriate forums;
- Being based on site and available to the community at well publicized times and at accessible locations; and
- Reporting to the SED Manager on a weekly basis.

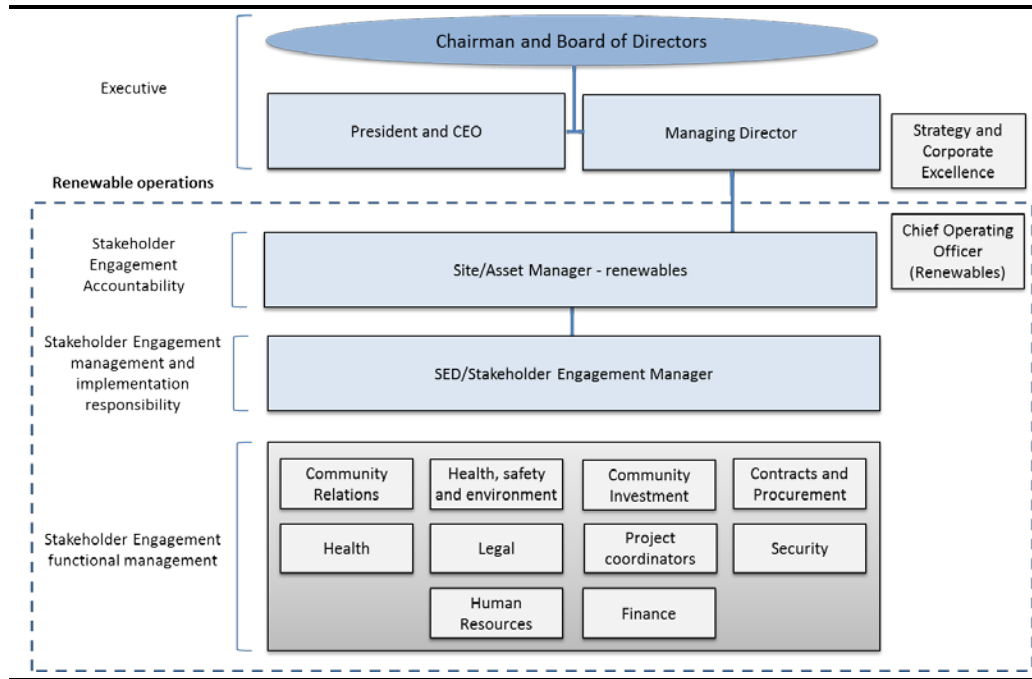
The SED Manager and CLOs will receive appropriate training in stakeholder engagement as detailed in the ACWA Power Stakeholder Engagement Guideline.

3.2.2

Organisational structure

ACWA Power will define an organisational structure which sets out the tiers of responsibility relating to stakeholder management and engagement, under which the GM will fall, including the internal reporting lines between the executive and operations (refer to *Figure 4.1* for an indicative structure derived from ACWA Power's current corporate organogram).

Figure 3.1 ACWA Power – Indicative Stakeholder Management Organogram



4

GRIEVANCE MACHINISM

A Grievance Mechanism must be a simple process whereby stakeholders can submit their complaints free of charge and, if necessary, anonymously or via third parties. It should allow for complaints to be submitted in more than one format.

ACWA Power will establish a number of channels through which a grievance can be lodged, it will allow for complaints to be submitted in more than one format including:

- Submission of complaints in writing or in person to identified staff member/s;
- Submission of complaints via email;
- Allowing an elected community members and / or non-governmental organisations (NGOs) to gather and forward stakeholder concerns / complaints to the operation;
- Allowing for informal identification of complaints (e.g. through employees, on behalf of a community in which they live).

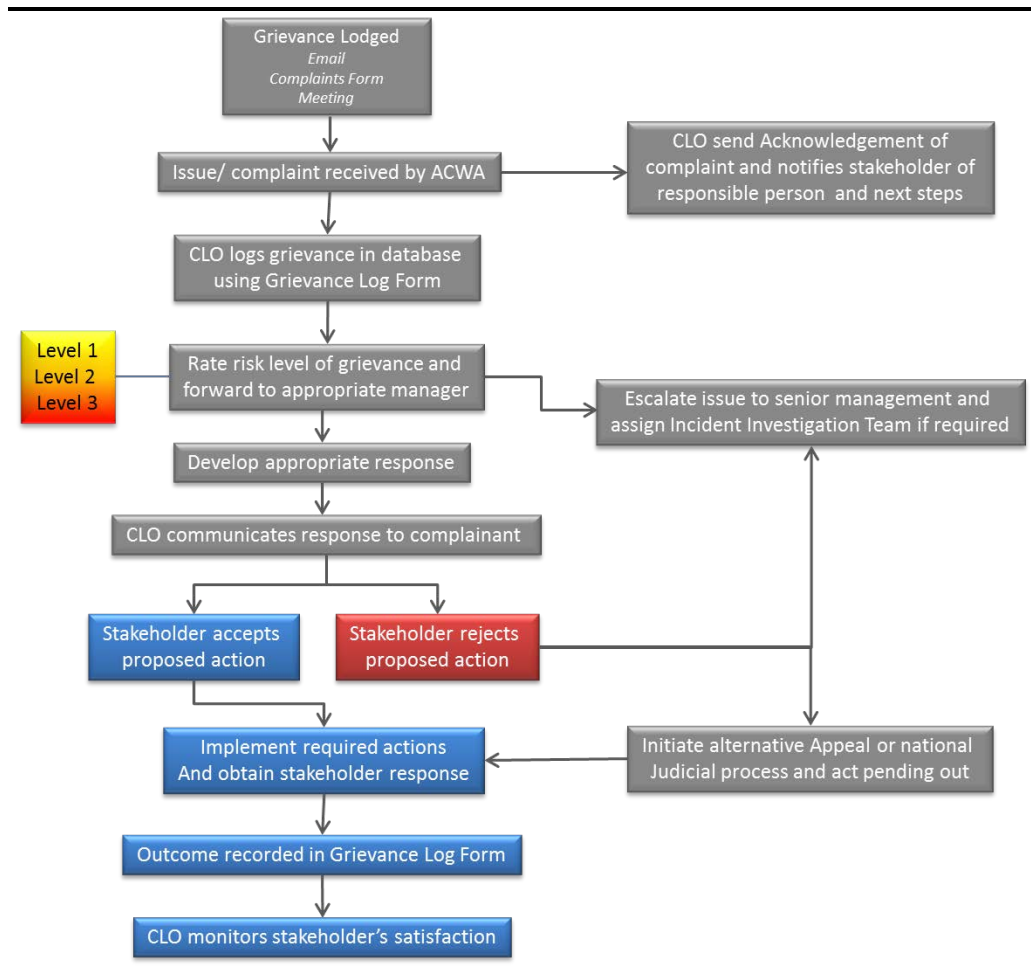
The process of reporting a grievance should be easily accessible and un-intimidating to any stakeholder. The preferable channels for reporting grievances can be discussed with the community as part of community engagement.

Following the establishment of the channels above, the method for addressing grievances is systematic and is divided into six key steps. These are as follows:

- Step 1: Receive and Log Grievance;
- Step 2: Acknowledge Grievance;
- Step 3: Assess and Prioritise Grievance and Forward to Relevant Department;
- Step 4: Investigate and Resolve Grievance;
- Step 5: Sign-off on Grievance; and
- Step 6: Monitor.

The six steps are described in more detail below and illustrated in *Figure 4.1*.

Figure 4.1 Grievance Procedure Flow Chart



Step 1: Receive and Log Grievance

- The grievance is received by ACWA Power or a Contractor representative.
- The SED Manager or Community Liaison Officer (CLO) logs the grievance using an official Grievance Log Form (see *Box 3.1* for the typical content of a Grievance Log Form and *Annex A* for an example of the form) and ensures that it is captured in the grievance tracker (refer to *Annex C* for the grievance tracker) in order to monitor actions taken against the grievance. Tips for receiving a grievance can be found in *Box 3.2*.

Box 3.1 *Content of a Grievance Log*

The grievance log will contain a record of the complainant and will record implementation dates for the following actions:

- Date the complaint was made;
- Information on proposed corrective action sent to complainant (if appropriate);
- Date response sent to complainant; and
- The date the complaint was closed out.

Each complaint will be assigned an individual number, to ensure that it is appropriately tracked and closed out. *Annex A* provides an example of a Grievance Log Form.

Box 3.2 *Tips for Receiving a Grievance*

- Regardless of who receives the grievance, it needs to be forwarded to the SED Manager for attention.
- The Grievance Mechanism should make it possible to lodge a grievance in any appropriate format (written, verbal, telephonic, email, post etc.). Consideration should be given to capturing concerns raised informally or indirectly (e.g., through perception studies, media reports, social media, etc.).
- It is important that the process is easily accessible and not intimidating to stakeholders.
- Regardless of the form of the complaints, all need to be addressed with the same sincerity and seriousness.
- The SED Manager will be required to be in touch with the complainant at least once per month to provide feedback on the grievance.

Step 2: Acknowledge Grievance

- The SED Manager will acknowledge receipt of the grievance in writing and provide information on the proposed steps and the anticipated timeframes to resolving the grievance (see *Box 3.3* for tips on acknowledging a grievance).
- This acknowledgement should be provided to the complainant within five (5) days of receiving the grievance.
- If the grievance is not well understood or if additional information is required, clarification will be sought from the complainant.

Box 3.3 *Tips for Acknowledging a Grievance*

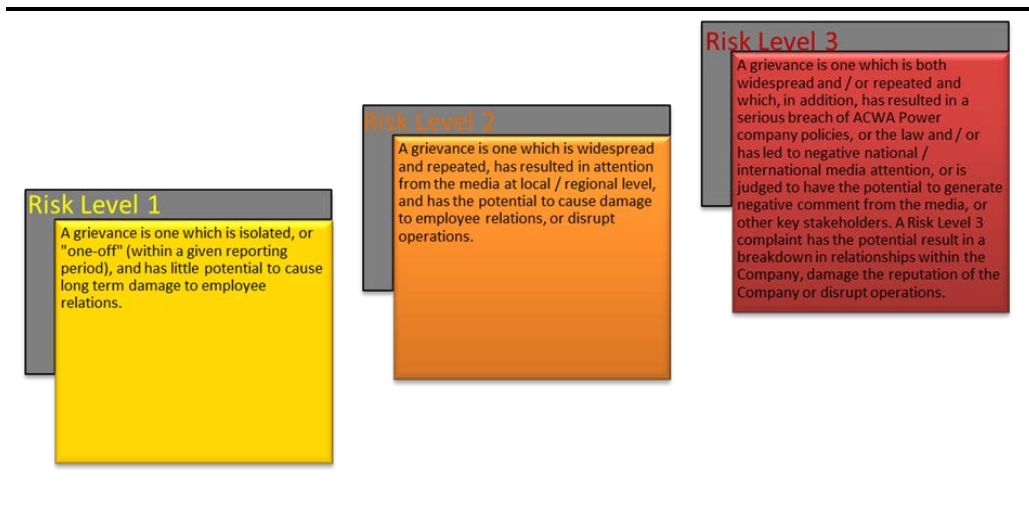
- Literacy levels should be taken into consideration when providing the complainant with the acknowledgment of receipt.
- Where appropriate acknowledgement should be provided through the CLO.

Step 3: Assess and Prioritise Grievance, and Forward to Relevant Department

- The SED Manager will assess the grievance, and assign it a risk rating (refer to Box 3.4 for how determine risk rating). The outcome of the risk rating has implications for the level within ACWA Power to which the complaint is reported, and the seniority of management oversight required.
- Once the grievance has been rated, the grievance will be forwarded to the relevant department Manager to be addressed (e.g. Human Resources, Production, Procurement, HSEQ etc.).
- The grievance will be escalated to senior management if necessary and an Incident Investigation Team (overseen by the SED Manager) will be assigned within 10 days of receipt of the grievance, if deemed necessary. The Incident Investigation Team should be comprised of staff from the relevant department to which the grievance applies.

The following criteria will be used as a basis for the prioritisation of different levels of complaints received.

Figure 4.2 Criteria for Prioritising Grievances/Complaints



Repeated or continuous Level 1 or 2 complaints must be escalated to the next level up if the cause is not rectified within an acceptable period of time. This categorisation provides an indication of the severity of the complaint, and has implications to what level within the Company the complaint is reported, and the seniority of management oversight required.

Step 4: Investigate and Resolve Grievance

- The Incident Investigation Team will be tasked with seeking resolution to the grievance. This may entail a dialog or series of dialogs between affected parties to find a solution to the grievance. Alternatively, it may entail investigating the underlying cause of the grievance and action any changes required to internal systems to prevent a recurrence of a similar grievance.
- An Incident Investigation Report will be completed within 28 days (considered good practice).
- During the 28 days of dialog or investigation, the SED Manager will coordinate conflict resolution activities necessary to contain and resolve any actual or potential conflicts arising from the reported grievance, refer to *Box 3.5* and *Annex B* for tips for resolving grievances. If the case is complex and the stated resolution timeframe cannot be met, an interim response will be provided (oral or written) that informs the stakeholder of the delay, explains the reasons, and offers a revised date for next steps.

Box 3.4 Tips for Resolving Grievances

- Grievance verification is especially important when the grievance is about another stakeholder or group of stakeholders. For example the community may make claims against a contractor that need to be investigated before acted upon.
- A regular forum to discuss grievances could be in the form of a monthly meeting where general and Risk Level 1 grievances are discussed. This forum can be constituted more frequently or as is needed especially in the case of Risk Level 2 and 3 grievances. This is particularly relevant to phases of the project that are likely to result in the highest degree of impact (e.g., construction).
- It is important to be transparent about the mechanism to resolve the issue. The appropriate level of action may require further consultation. Also the issue may be symptomatic of a bigger issue. When this arises, both the symptom and the cause need to be addressed and resolved. For example, a complaint about job seekers setting up informal housing near the site may be raised as an issue related to informal housing but may also be symptomatic of an issue around influx of people and associated negative impacts.
- There are instances where grievances cannot be resolved in 28 days. In these cases, monthly updates must be given to the stakeholders who raised the grievance to provide them a report on progress

Step 5: Sign-off on Grievance

- The SED Manager will seek sign-off from the complainant(s) that the grievance has been resolved.
- In instances where the stakeholder is not satisfied with actions taken, the grievance will either:

1. Be escalated through the SED Manager to senior management and a decision will be taken either to implement supplementary actions or to consider initiating an appeal process;
- OR**
2. The SED Manager will approach the host country's judiciary to further address the grievance.
- Following this process, the SED Manager will again approach the stakeholder to obtain sign-off on actions implemented.
 - All grievances to be signed off at an appropriate level of seniority of staff. In this regard, it may be suitable that:
 - all grievances with a Level 1 risk rating be signed off by the SED Manager;
 - all grievances with a Level 2 risk rating be forwarded to senior management for sign-off (i.e. HSEQ Manager); and
 - all grievances with a Level 3 risk rating are forwarded to the HSEQ Manager for his / her attention and sign-off. Whilst it may not be necessary to involve the HSEQ Manager in signing off complaints of low significance (e.g. Level 1), they should be involved in periodic reviews of actions taken for such grievances, to ensure their correct handling and classification.
 - The staff member who signs off the complaint should have sufficient knowledge about the topic to provide assurance.
 - Once sign-off has occurred, this should be recorded in the Grievance Log.

Step 6: Monitor

- The SED Manager will monitor the satisfaction of the stakeholder and project personnel following sign-off (this will take place in the 28 days after sign-off).
- Any grievances not signed-off as resolved will be further investigated and the SED Manager will seek agreement from the stakeholder to maintaining contact in order to determine what further action is required to resolve the grievance.

5 *MONITORING, EVALUATION AND REPORTING*

5.1 *MONITORING AND EVALUATION*

The Grievance Mechanism will be monitored and evaluated annually. Suggested monitoring and evaluation activities are outlined below:

- Monitor the grievance log in terms of response times to address complaints lodged as well as the recurrence of complaints over time;
- Monitor media coverage of ACWA Power;
- Keep records of all engagement activities including meetings attended, open-house events, focus group discussions, road shows, etc.;
- Keep a library (electronic or hard copy) of all communication material;
- Develop a stakeholder satisfaction survey format and conduct stakeholder interviews to gauge level of satisfaction;
- Develop and assess performance in terms of Key Performance Indicators (KPIs); and
- Revise plans and activities.

5.2 *REPORTING*

ACWA Power will report internally at least once a quarter on all grievances received (both open and closed), and how they were resolved. All grievances received will be captured in the Grievance Tracker (*Annex C*). A log of actions and progress toward implementing these commitments will be monitored regularly by the ACWA Power HSEQ Manager.

A Commitments Register will also be developed and maintained for each project/operation. This will be a publicly available record of all commitments made in response to addressing issues or grievances, or made as part of management or mitigation measures. This Commitments Register should include information on commitments made, activities they relate to, responsible personnel and timeframes for delivery. The commitments register will therefore draw on the Issues and Grievance logs, in particular the responses generated for issues and grievances raised and any commitments

contained therein. This register should be publically available through electronic media and at site level.

APPENDIX A

A Grievance Log Form

SECTION 1: COMPLAINANT DETAILS			
Complaint Reference Number	Date Received	Recipient of Complaint	Manner in which Complaint was Identified / Submitted by Complainant
Name of Complainant / Organisation Registering Complaint (if not anonymous)			
Contact Details		Telephone Number	Physical and/or Postal Address
SECTION 2: DETAILS OF COMPLAINT			
Company Manager Responsible for Addressing the Complaint			
Time and Date Complaint Refers to (i.e. when did the event happen)			
Description of Complaint and / or Evidence of the Issue			
SECTION 3: GRIEVANCE RATING			
Provide the grievance risk rating for this grievance	Risk Level 1	Risk Level 2	Risk Level 3
Provide a brief reason for the assignment of the risk rating:			
SECTION 4: ACTION TAKEN / REQUIRED			
Acknowledgement of Complaint Sent to Complainant? (Y / N)	Date When Acknowledgment Provided	Date Set for Resolution of Complaint	

Description of Subsequent Action Taken (divide into Immediate Action and Subsequent Investigation, if applicable)		
Action Carried Out By Whom	Date of Completion	Method of feedback to Complainant
Stakeholder Response to Action		
SECTION 5: EFFECTIVENESS REVIEW		
How was the Actions Verified to be Effective at Resolving the Complaint?		
Approved By		Date

APPENDIX B

5.3

GRIEVANCE SETTLEMENT AND RESOLUTION APPROACH

It is important to note that all grievances shall be dealt with on a case by case basis. Face-to-face discussions with complainants, that seek to jointly identify and select measures for grievance settlement, will increase ownership of solutions and help to mitigate perceptions that resolutions unfairly benefit ACWA Power.

Compensation rates will be set by ACWA Power with involvement from the SED Manager and Legal functions. Compensation payments can often cause conflict or disputes thus it is important that compensation rates are applied consistently and fairly across ACWA Power operations.

Below are four basic resolution approaches that can be offered. Complainants shall have influence over the approach selected. The following grievance responses might be presented during these discussions.

Approach	When to Use	Benefits
Company proposes a solution	<ol style="list-style-type: none"> 1. Complaint is straight forward, issue is clear and solution is obvious. 2. Company can resolve issue alone, to the satisfaction of the complainant, based on their knowledge and authority. 3. Company proposal is more likely to be acceptable to the complainant. 	<ol style="list-style-type: none"> 1. Rapid response 2. Use of fewer company personnel and material resources 3. Control of resolution procedures and outcomes 4. High level of satisfaction among community about expeditious resolution
Company and community decides together	<ol style="list-style-type: none"> 1. Case is complex and several diverse stakeholders involved. 2. Community level of distrust with company is high. 3. Response from company proposes is not accepted. 4. Substantive interest exists for both parties. 5. Talking together is required to promote more effective communication, share information or develop mutually acceptable solutions. 	<ol style="list-style-type: none"> 1. Complaint can be addressed early, rapidly and informally 2. Solution does not feel like a compromise 3. Improve relationship and address concern in principled creative way 4. Approach is less adversarial, faster, flexible and less costly
Company and community refer to third party	<ol style="list-style-type: none"> 1. Decide together approach is not acceptable 2. Dispute of facts or conflicts about data 3. Unable to reach voluntary settlement through other procedures 	<ol style="list-style-type: none"> 1. Simple and less legalistic procedure 3. Expedited decisions 4. Choice regarding who hears and decide a case 5. More predictability, accessibility, impartiality, and transparency than legal institutions
Use of traditional and	<ol style="list-style-type: none"> 1. Imported procedures are unfamiliar, inaccessible or culturally incompatible with 	<ol style="list-style-type: none"> 1. Simple and cost effective

Approach	When to Use	Benefits
customary practices	local customary practices of a community 2. Alternative traditional means are available that can be adapted in mutually acceptable to both the parties	2. Use of customary practices is easily acceptable to local community 3. Builds up mutual trust and respect

APPENDIX C

Grievance Tracker

Grievance	Description of the Grievance	Stakeholder that raised the Grievance	Date of Issue	Date of Conclusion	Person(s) Responsible for Resolution	Outcome	Action Items
1.							
2							
3							
4							

APPENDIX D

Table D.1 Summary of External Grievance Mechanism Actions

Issue (description of the issue/ obligation)	Responsible Person	Actions and activities	Frequency/duration	Records/Evidence of compliance
Step 1: Receive and Log Grievance	SED Manager CLO	The grievance is received by ACWA Power or a Contractor representative. The SED Manager or Community Liaison Officer (CLO) logs the grievance using an official Grievance Log Form and captures it in the grievance tracker.	Throughout duration of construction and operation activities	Grievance Log Form Grievance tracker
Step 2: Acknowledge Grievance	SED Manager CLO	Acknowledge receipt of the grievance in writing (within 5 days), and provide information on the proposed steps and the anticipated timeframes to resolving the grievance.	Throughout duration of construction and operation activities	Record of acknowledgement of receipt Updated grievance tracker
Step 3: Assess and Prioritise Grievance, and Forward to Relevant Department	SED Manager CLO	Assess the grievance, and assign it a risk rating. Forward to the relevant department Manager to be addressed (e.g. Human Resources, Production, Procurement, HSEQ etc.). Escalated to senior management if necessary and form Incident Investigation Team (overseen by the SED Manager) if deemed necessary.	Throughout duration of construction and operation activities	Updated grievance tracker Record of meetings with appropriate department managers Establishment of Incident Investigation Team

Step 6: Monitor	SED Manager CLO	<p>Monitor the satisfaction of the stakeholder and project personnel following sign-off (this will take place in the 28 days after sign-off).</p> <p>Any grievances not signed-off as resolved will be further investigated.</p>	Throughout duration of construction and operation activities	Updated grievance tracker, showing all logged grievances and the resolution thereof.
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APPENDIX C

Document Limitations



DOCUMENT LIMITATIONS

DOCUMENT LIMITATIONS

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