

# Social Stakeholder Engagement Report

Bethanie

**NamWater**

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**aurecon**

*Bringing ideas  
to life*

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## Abbreviations

ACHM	Ad Hoc Complaint Handling Mechanism
BID	Background Information Documents
CBO	Community Based Organisation
CDC	Community Development Committee
CEO	Chief Executive Officer
CMHC	Counselling and Mental Health Centre
DRFN	Desert Research Foundation of Namibia
EE	Executing Entity
ESIA	Environmental, social, and gender assessment
ESMP	Environmental and social management plans
ESMS	Environmental and Social Management System
HIV/ AIDS	Human immunodeficiency virus infection and acquired immune deficiency syndrome
HR	Human resources
IFC	International Finance Corporation
IPPR	Institute for Public Policy Research
NamWater	Namibia Water Corporation Ltd
NCPE	National Commission for the Promotion of Equality
NIE	National Implementing Entity
NGO	Non-governmental organisation
PFG	Project Formulation Grant
STI's	Sexually transmitted diseases
TB	Tuberculosis
UNDP	United Nations Development Programme

# 1 Introduction

The main objective of this project is to test the effectiveness of a system that will combine renewable energy with the needs of the water sector to improve resilience against climate change. The project will refine small-scale solar- and or wind-driven desalination plants to improve the quality of selected groundwater sources for human consumption, and will attempt to reduce the cost of water to communities served by these schemes. A successful demonstration of the methods will enable further roll-out to other sites in the country.

The Namibia Water Corporation Ltd as an Executing Entity (EE) in collaboration with the Desert Research Foundation of Namibia (DRFN) as an National Implementing Entity (NIE), applied for a Project Formulation Grant (PFG) at the Adaptation Fund. The grant was awarded for the formulation of a full project proposal on the Desalination of poor water quality of selected treatment plants using Renewable Power and Membrane Technology. In order to be able to apply for funding from the Adaptation Fund, the following steps as outlined in the Environmental and Social Management System (ESMS) manual needs to be completed. The steps are as follows:

- 1) Environmental, social, and gender risks identification through screening process
- 2) Environmental, social, and gender assessment (ESIA) – only risk identification at this stage
- 3) Environmental and social management plans (ESMP)
- 4) Environmental, social, and gender management monitoring, reporting, and evaluation – data gathering
- 5) Stakeholder disclosure and consultation (stakeholder engagement)
- 6) Grievance mechanism developed

This documents refers to the stakeholder engagement process related to the six (6) steps as outlined in the Environmental and Social Management System (ESMS) manual. The outcomes of the stakeholder engagement from this study will be used to inform the reports generated for the above-mentioned steps.

The baseline social conditions of a community are the existing conditions and past trends associated with the human environment and their area of influence in which the proposed activity is to take place. Assessing proposed developments in a socio-economic context will help both the developer and affected community to identify potential social equity issues, evaluate the adequacy of social services and determine whether the project may adversely affect overall social well-being. Focus group discussions assist in identifying these social conditions and the socio-economic context of the proposed project.

A focus group discussion is a guided discussion involving a small number of people (between 5 and 20) sharing a common characteristic (e.g. belonging to the same socio-professional group, etc.). These discussions will address socio-economic topics relating to socio-economic impacts based on projects and initiatives of common interest to stakeholders, and issues raised during discussion will be

recorded and subject to qualitative analysis. Data from these discussions will assist in updating socio-demographic information, as well as allowing a forum for community initiatives to be discussed with relation to socio-economic impacts.



**Figure 1: Focus group meeting at Bethanie Local Council Offices**

Through the focus groups relatively dependable data can be gathered within a short time frame. Effective consultation and engagement is a vehicle that will be used to build more resilient relationships with affected stakeholders and communities. It will lead to the identification of perceived social impacts that the proposed project may have on these communities as well as possible mitigation measures, which will inform the overall study.

## **2 Methodology**

### **1.1 Planning and preparation**

#### **1.1.1 Stakeholder identification**

The first step is to identify stakeholders i.e. determining who the project stakeholders are as well as their key groupings and sub-groupings. Careful identification of local peoples' representatives is an essential part of preparation for the consultation process. When selecting representatives, it may be useful to consider the following:

- Who are the elected officials of the territorial jurisdictions impacted by the project or measure? To what extent do these authorities adequately represent local peoples?
- Who are the traditional leaders of the local peoples?
- Given that local communities are not necessarily homogenous, are there groups, such as women, youth, and agricultural, who are not represented by either of the above?
- Are parallel communications needed for these groups?

The following council representatives have been identified and will participate in the focus group sessions: Bethanie Village Council, Grunau Village Council and Epukiro Post 3 Village Council.

### 1.1.2 Choosing dates and venues

It will be important to choose a venue where stakeholders feel more comfortable - most likely at a location within the community as this tend to have more productive engagement processes, for the following reasons:

- It lends **transparency** to the process. Community members can witness the process and stay informed about what is being discussed on their behalf, and what has been agreed at the close of consultation or negotiations.
- It increases **accountability** of local leaders. Community members will know what they are entitled to demand, and they will be able to monitor its delivery and avoid corruption.
- It sends the **message that the input of communities** are valued enough to travel there and spend time with them
- It contributes to community members' feeling of **ownership over the engagement process**. Community members say that the opportunity to have input into stakeholder meetings gives them a sense of having a role in the outcome of decisions.
- Finally, it allows community members to **identify their own representatives**, preventing illegitimate representatives from claiming that they speak for communities.

### 1.1.3 Stakeholder notification

Stakeholders identified and included in the stakeholder database were notified of the relevant meetings either by formal letters, email, posters and phone. Posters were placed at various conspicuous locations all over the local Village. A radio announcement was also sent over the local Radio regarding the meetings. Find email correspondence in Appendix A and poster in Appendix B.



**Figure 2: Poster at Bethanie School Hall**

The meetings were held as follow:

***Tuesday, 13 June 2017 at;***

- Bethanie Town Council Hall @ 15H00 – Authorities such as Councillors, Headmen, Traditional Leaders

***Wednesday, 14 June 2017 at;***

- Bethanie School Hall @ 09H00 – Local businesses, entrepreneurs, local community such as, families, men, woman, children, schools, hospitals, churches and any others.

**1.1.4 Focus group materials**

It is not only important to choose a venue where stakeholders feel comfortable at but also to use appropriate level and type of meeting materials that the participants will understand and feel comfortable with and that will allow for maximum participation.

When deciding on which materials to use during focus group meetings the following must be taken into account: audience, venue, equipment available, timeframe and desired outcomes.

To ensure the focus group sessions had maximum participation and provide best results, the following meeting materials were used: digital presentation (Appendix C) providing project information and mapping the site and surrounding areas as well as Background Information Documents (BID). See BID in Appendix D

## 1.2 Outline of focus group meetings

The focus group sessions were structured sessions facilitated by a social scientist. Aurecon prepared the attendance register, background information as well as facilitate the focus group meetings and record the meetings and issue meeting records.

The following draft agenda for meeting with Councillors etc. were used for the focus group meetings.

Topic	Speaker
Opening and welcome	Local representative
Purpose of the gathering	Aurecon
Introduction and project overview	NamWater
<u>Perception activity</u> Current water situation and attitude towards project	Aurecon
<u>Discussion session</u> Perceived positive and negative project impacts (construction and operational phase)	Aurecon
<u>Information gathering</u> Vulnerable and disadvantaged groups: Community structures and protocols	Aurecon
<u>Way forward</u>	Aurecon
Vote of thanks and closure	NamWater/ Local representative

Below is a breakdown of the workshop format, describing which facilitation method and materials were utilised as well as the envisaged outcome.

- **Project introduction**

Facilitation method: project overview and discussion session.

Materials: maps and handouts with information (background information) regarding the project.

Outcome: to inform stakeholders about the project.

- **Perception activity**

Facilitation method: initiating discussion over project perception

Meeting materials: cards

Outcome: to obtain general knowledge and attitude towards the project

- **Discussion session – current issues as well as perceived project impacts (construction & operational phase)**

Facilitation method: discussion session

Materials: flip chart and pens

Outcome: to identify perceived potential impacts (positive and negative) as well as recommended enhancement measures for perceived positive impacts and recommended mitigation measures for perceived negative impacts.

- **Discussion session – vulnerable and disadvantaged groups**

Facilitation method: discussion session

Materials: flipchart and pens

Outcome: to identify / name vulnerable and disadvantaged groups. To identify perceived impacts of project on groups as well as recommendations on how to include these groups as well as how these groups can benefit from project. For this project, it will be very useful to compile socio-economic information and to collect socio-economic data in advance to ensure that the stakeholder engagement activities are culturally appropriate from the outset, and that the groups most vulnerable or potentially disadvantaged by the proposed project are identified early on.

- **Community structures and protocol**

Facilitation method: information gathering

Meeting materials: flipchart and pens

Outcome: obtain names and contact details of current organisations and structures in communities (will assist with the next phases of the project). Identify protocol for dissemination of information as well as protocol to deal with grievances (current structure in communities as well as recommended for project).

- **Way forward**

Closing date: 20 June to provide any comments and information.

Meeting materials: BIDs to distribute.

The following draft agenda for meeting with other stakeholders. were used for the focus group meetings.

Topic	Speaker
Opening and welcome	Local representative
Purpose of the gathering	Aurecon
Introduction and project overview	NamWater
<u>Story telling</u>	Aurecon

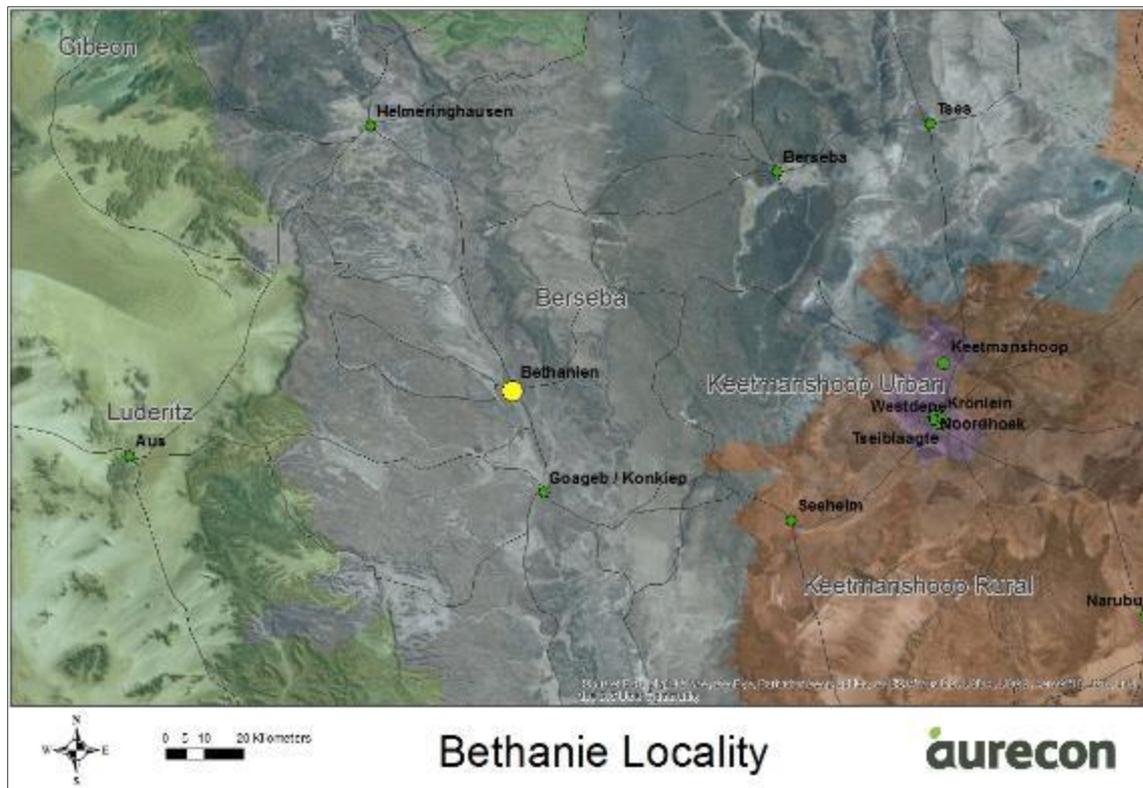
Current water situation: risks and impacts (positive and negative): gender, vulnerability etc.	
<u>Discussion session</u> Perceived positive and negative project impacts (construction and operational phase)	Aurecon
<u>Information gathering</u> Environmental and social survey	Aurecon
<u>Way forward</u>	Aurecon
Vote of thanks and closure	NamWater/ Local representative

Below is a breakdown of the workshop format, describing which facilitation method and materials were utilised as well as the envisaged outcome.

- **Project introduction**  
Facilitation method: project overview and discussion session.  
Materials: maps and handouts with information (background information) regarding the project.  
Outcome: to obtain general knowledge and attitude towards the project as well as any perceived risks or hazards.
- **Story telling**  
Facilitation method: discussion over current water situation - risks and impacts (positive and negative): gender, vulnerability etc.  
Meeting materials: flipchart and pens  
Outcome: To obtain information regarding the current water situation in the area: water availability, water quality, health risks, impacts etc.
- **Discussion session – perceived project impacts (construction & operational phase)**  
Facilitation method: discussion session  
Materials: flip chart, category cards, prestik and pens  
Outcome: to identify perceived potential impacts (positive and negative) as well as recommended enhancement measures for perceived positive impacts and recommended mitigation measures for perceived negative impacts.
- **Information gathering – environmental and social survey**  
Facilitation method: information gathering  
Meeting materials: survey, pens and clipboards  
Outcome: obtain current water situation as well as personal views, risks and issues regarding the proposed project.
- **Way forward**  
Closing date: 20 June provide any comments and information.

### 3 Setting the scene

Bethanie is in the far south of the country, in the //Karas Region and in the Berseba Constituency, as seen in Figure 3 below. Bethanie lies on the C14 Pad, which turns off the B4, approximately 110 kilometres west of Keetmanshoop and then leads to the North.



**Figure 3: Bethanie Locality**

The village has a strong spring and therefore as early as 1804 Orlam Nama people settled in this area. In 1814, the missionary Johann Hinrich Schmelen was sent to Bethanien by the London Mission Society to christianize the Nama. Schmelen built the first stonehouse in Namibia, now known as the "Schmelen House". It is surrounded by several beautiful palm trees and is a National Monument today. It houses the mission history museum of Bethanien. little village of Bethanien - with around 3000 residents - is now the logistic centre for the surrounding farms and Nama settlements. It boasts a couple of impressive churches, all in immediate vicinity to the Schmelen House.<sup>1</sup>

### 3.1 Social baseline

The aim of this section is to contextualise the study by developing a socio-demographic profile that captures the relevant characteristics of the affected region. It will also assist in setting the scene in regards with gender and vulnerable groups' risks.

#### 3.1.1 Key socio-economic statistics

**Table 1: Key socio-economic statistics**

Below is a summary of the population statistics for the //Karas Region in which Bethanie is situated..

<sup>1</sup> <http://www.namibia-travel.net/travelguide/southern-namibia/bethanien.html>

	2011	2001
<b>Population Size</b>		
Total	77 421	69 329
Females	38 014	32 346
Males	39 407	36 976
Annual growth rate (%)	1.1	1.1
<b>Percent in Urban/Rural areas</b>		
Urban	54	54
Rural	46	46
Sex ratio: Males per 100 females	104	114
<b>Population density</b>		
People per sq. km.	0.5	0.4
<b>Age composition, %</b>		
Under 5 years	11	11
5 – 14 years	19	20
15 – 59 years	63	63
60+ years	6	6
<b>Marital status: 15+ years, %</b>		
Never married	59	69
Married with certificate	27	20
Married traditionally	3	2
Married consensually	7	5
Divorced / Separated	1	1
Widowed	3	2
<b>Citizenship, %</b>		
Namibian	97	96
Non---Namibian	1	3
<b>Main language spoken at home, Percent of households</b>		
Afrikaans	36	40
Oshiwambo	27	23
Nama/Damara	23	26
<b>Head of households</b>		
Females	44	49
Males	56	51
<b>Literacy rate, 15+ years, %</b>	97	87
<b>Education, 15+ years, %</b>		
Never attended school	6	7
Currently at school	9	7
Left school	84	77
<b>Labour force, 15+ years, %</b>		
In labour force	75	67
Employed	68	71
Unemployed	32	29
Outside labour force	19	24
Student	39	28
Homemaker	15	40
Retired, too old, etc.	35	32
<b>Housing conditions, %.</b>		
Households with		
Safe water	92	94
No toilet facility	23	26

Electricity for lighting	67	50
Wood / charcoal for cooking	28	35
<b>Main source of income, %</b>		
Household main income		
Farming	5	7
Wages & salaries	72	69
Cash remittance	5	6
Business, non-farming	5	5
Pension	11	10
<b>Fertility</b>		
Average number of children per woman	3.1	3.1
<b>Disability</b>		
With disability	4	3

Source: Namibia 2011 Population and Housing Census Main Report

### 3.2 Current water situation

Water is life. For millions for years' life on earth has been dependant on water for survival. The amount of water on earth is constant and cannot be increased or decreased, but it is unevenly distributed across the earth.<sup>2</sup> According to the IPPR, Namibia is facing a creeping yet increasingly precarious situation of freshwater scarcity, and the UNDP states that Namibia is the driest country in sub-Saharan Africa receives a pitiful 270 millimetres of downpour per year on average. Of this 83 percent evaporates as soon as it hits the ground. Climatologists predict temperatures in the country will rise with 1 to 6 degree in the next several decades, while rainfall could drop another 200 millimetres. Already, in the past few years, rains have been erratic leading to alternating heavy floods and dry spells. The consequences are devastating for a country where 70 percent of the people to some extent depend on agriculture.

<sup>2</sup> <http://www.waterwise.co.za/site/water/environment/situation.html>



**Figure 4: Water tank at Bethanie**

Currently Bethanie obtains its water from two boreholes in the Konkiep River, approximately 2 km away from the town. The Local Council indicated that 40% of the water is supplied by the borehole belonging to NamWater the other 60% is supplied by the Local Council. The NamWater water supply scheme is managed by NamWater and the Bethanie Village Council is responsible for the management of the water reticulation.

Past and current operation of the boreholes makes no major impact on the aquifer, and there is sufficient capacity to meet the present and future demand. The scheme currently runs at a maximum of 53% of its recommended abstraction rate, and even in a high-growth scenario this is expected to be about 60% in 2030. The borehole pumps are activated and de-activated automatically via ball valves in the reservoir, and the scheme has an operator that checks daily that the systems are functional.

Water is reticulated to the town where it is metered at its discharge points to the end consumers. The Council indicated that 90% of households have taps in their yard where the remaining 10% have access to water through communal stand pipes. There is waterborne sewage in the town, while a bucket system is used in the toilets in the informal settlement. The condition of the existing infrastructure is rated as sufficient until at least 2030.

The main problem with the water supply situation is the quality. The water situation at Bethanie is sub-standard because of the high level of fluoride in the groundwater. The fluoride level is high (in the order of 3.3 mg/l), which does not comply with the Namibia Water Quality Standards for human consumption which requires fluoride to be < 1.5 mg/l. Turbidity also sometimes exceeds the water quality standards and chlorination is occasionally inadequate, leading to the presence of

bacteriological contamination by coliforms. Options to rectify these problems have been found to be financially non-viable, and a solution still needs to be found.

Extensions that have been recommended to cater for future demand and water quality improvement include a treatment unit (filtration through activated alumina), and installation of a telemetry and monitoring system to reduce operational losses. Alternatively, at greater cost, a desalination plant could be established to improve the water quality. The elevated tower reservoir has a capacity for only 8 hours supply in the event of power outages, and additional storage capacity should be considered for emergencies. It has been suggested that water only for human consumption needs to be treated. This would reduce the cost of the treatment facilities. Small plants could be provided at strategic positions to supply drinking water for collection by residents.

### **3.3 Gender and community aspects**

In rural areas, such as Bethanie, women equally share involvement in the workforce. This is further promoted by the Namibian National Gender Policy 2010 – 2020. To address gender issues and empower women, during the lifespan of the project the project team must mutually share the decision-making with various levels of government, community groups, key stakeholders and members of the public, especially women. The discussion with the community at different stages would attempt to bring to the fore the role of women, specific challenges faced by them, requirement to develop their adaptive capacities, focus on women headed household and their challenges. The project aims to build on the inherent social characteristics of the region and address any gender equity issues during project implementation, if any.<sup>3</sup> The community would feel empowered and take ownership of the project's advantages and its risks. Empowerment is selected when the community and stakeholders are provided with the skills, information, authority and resources in order to make the final decision. Individuals and stakeholders must have capacity to understand risk and accept responsibility and implement initiatives.

## **4 Meeting outcomes**

### **4.1 Stakeholder profile**

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<sup>3</sup> Building Adaptive Capacities of Communities, Livelihoods and Ecological Security in the Kanha-Pench Corridor of Madhya Pradesh, India.

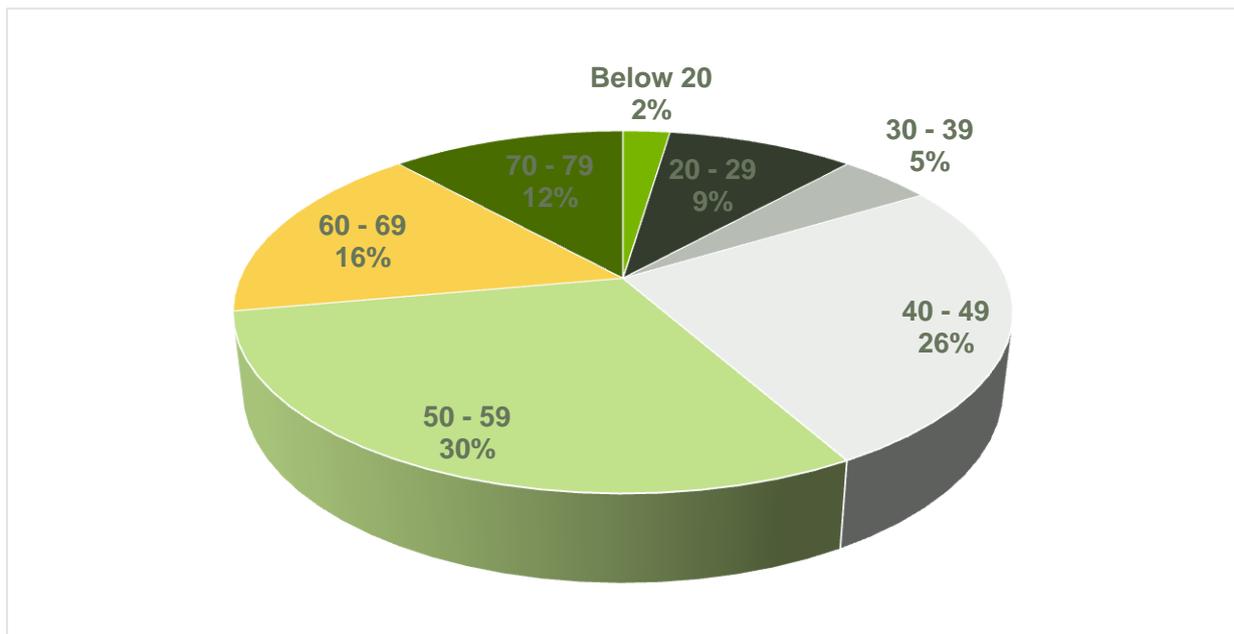


**Figure 5: Stakeholder engagement meeting delegates**

The profile of the delegates who attended the stakeholder engagement meetings is as follows (See also attendance registers and stakeholder database in Appendix E.):

Age: of the 43 delegates that attended the meeting 27 were female and 16 were male.

Age range: the majority of the delegates were between the age of 50 and 59 (30%) and 40 and 49 years (26%). See below Figure 6 below for age profile breakdown.



**Figure 6: Delegates age profile**

Table 2 below is a breakdown of the classification of the stakeholder engagement delegates.

**Table 2: Delegates classification**

<b>Position / interest / classification</b>
Acting CEO
Assistant Accountant
Business Woman
Community Member
Councillor
Farmer
House Wife
HR Officer
Office of the Judiciary - Chief Legal Clerk
Pensioner
Traditional Councillor
Unemployed

## **4.2 Impacts of current water situation on local community**

The current population in Bethanie is estimated at 2,978 persons. The substandard quality water has certain negative impacts on the local community. Some of the impacts mentioned by the Bethanie community includes:

- Health impacts;
  - Bad taste,
  - Brown teeth,
  - Gastrointestinal disturbance, and
  - Headaches.
- Economic impacts;
  - Medical and dental expenses, and
  - Expensive water and food.
- Impacts on development and investment opportunities.

### **4.2.1 Health impacts**

The community of Bethanie indicated that the water supplied to the people tastes bad and this has an impact on the amount of water people drank, which in turn has an impact on the general health of the community. One of the biggest impacts that the water has on the local people is that the fluoride in the water causes teeth to brown. It has a financial impact, as dental services are costly and the dentist is located in Keetmanshoop, approximately 110km from Bethanie. It not only has an economic impact but also a far-reaching impact on the self-esteem of people especially on the youth and women of the community. According to the Counselling and Mental Health Centre (CMHC), low self-

esteem can create anxiety, stress, loneliness, and increased likelihood of depression, and can have consequences such as:

- cause problems with friendships and romantic relationships;
- seriously impair academic and job performance; and
- can lead to increased vulnerability to drug and alcohol abuse

Worst of all, these negative consequences themselves reinforce the negative self-image and can take a person into a downward spiral of lower and lower self-esteem and increasingly unproductive or even actively self-destructive behaviour.

Other health impacts that the current water quality have on the local community and more so on visitors to Bethanie is gastrointestinal disturbances. The local community has built up a little bit of a resistance to the water quality, but prolonged exposure to the high fluoride content in the water does impact on the gastrointestinal health of the community. Visitors to the area are discouraged to drink water from the taps in order to prevent gastrointestinal disturbances. Headaches are also caused by the lack of water consumption and the consumption of water with a high fluoride content.

#### **4.2.2 Economic impacts**

Because of the health impacts associated with the substandard water quality, more money is spent on health services such as dental and medical services. The local community indicated that a lot of the people living in Bethanie are unemployed and do not have the necessary funds for such services as it is not only the appointment and medicinal fees but also transport fees that is part of such a health visit.

The meeting attendees indicated that the amount paid (N\$ 12.41/m<sup>3</sup>) for the substandard water is high for the community. This they feel puts more pressure on the already strained financial situation of the local community. Another economic impact stated is that the water is also not suitable for growing crops, especially vegetables, and the people of Bethanie must import their vegetables and fruit from other regions at a higher price.

Another financial burden placed on the community as a result of the high fluoride content in the water is the impact the water has on household appliances. The people indicated that their kettles and irons and other appliances that use water does not last very long and must be replaced regularly. This is very costly and increases the financial stress on households.

#### **4.2.3 Impacts on development and investment opportunities**

The substandard quality water is deterring development and investment to come to Bethanie and therefore hampering economic development and progress. The community feels that once investors realize that the water quality in Bethanie is bad they move to another area where the water quality is better.

### 4.3 Questions and other comments from community

This section lists the questions and comments received from the community during the stakeholder engagement sessions.

#### Questions:

- Will the price of water go up?
- Will the project also treat the water from the Council's borehole?
- What will happen with the brine?
- Can the brine be used for agriculture?
- Will the project provide employment for the local community?
- Will the project provide skills transfer, upliftment and training opportunities to the community?

#### Comments:

- The project must put in place measures to make sure the plant is secured and protected against vandalism, inner electrified fences suggested.
- The community is in favour of this project and welcome any project that will improve their lives.
- They hope that the project will open the door to other projects and investment opportunities in the town. For example; the upgrade of the road North of Bethanie to bitumen standard; providing of recreational facilities; tourism services and agricultural opportunities.

### 4.4 Survey results

The stakeholder engagement delegates completed a short survey in order to assist with the project proponent in assessing the current water situation in Bethanie, see Appendix F. However, it should be noted that the survey results illustrated below is not necessarily a true representation of the whole community of Bethanie, especially in the fields of gender, age and employment status.

31 delegates completed the short water survey, the below section illustrates the results.

#### Gender

Table 3: Gender breakdown

Gender	Number
Female	18
Male	12

#### Disability status

Only one delegate indicated that he is disabled.

## Age

Table 4: Age breakdown'

Age range	Number
Below 20	1
20 – 29	2
30 – 39	1
40 – 49	8
50 - 59	8
60 - 69	6
70 - 79	4

## Employment status

Table 5: Employment status

Employment status	Number
Unemployed	23
Employed	7

## Water source

Table 6: Water source

Water source	Number
Local Authority	21
NamWater	30

## Distance from water source

Table 7: Distance from water source

Distance from water source	Number
Tap in yard	25
+ - 100m	3
+ - 5km	3

## Water expense

All the delegates indicated that they pay for their water and all delegates except three indicated that they feel that water is expensive.

**Table 8: Water expense per month**

Water expense per month	Number
N\$ 50 - 99	2
N\$ 100 - 199	2
N\$ 200 - 299	14
N\$ 300 - 399	8
N\$ 400 – 499	1
N\$ 1000 - 1400	3

### **Water quality**

**Table 9: Water quality**

Classification	Number
Very poor	13
Poor	10
Acceptable	6
Very good	1

### **What impact / influence does the quality and availability of water have on your life? E.g. Health and safety impacts, financial, gender vulnerability, etc.**

The comments received from the delegates include the following:

- The water is very expensive;
- It causes a financial burden;
- The quality of the water is very poor;
- It has a negative impact on our health especially for kidneys, skin, eyes, legs and hair;
- The people in Bethanie's teeth becomes brown and brittle because of the water. It also has a financial implication as we must visit the dentist more regularly;
- The water is full of lime and is salty;
- People get Gastrointestinal disturbance and headaches;
- The water tastes bad;
- Low self-esteem because of the brown and brittle teeth and other health issues caused by the poor-quality water, this has an impact on the employment rate and demoralise the community;
- Cannot have a garden or participate in any agricultural practices;
- Struggle to get laundry clean;
- We need to travel long distances to get water;
- It has a negative financial impact. Because of the poor water we must replace our appliances and water pipes regularly;

## **4.5 Grievance procedure**

### **4.5.1 Local community**

The grievance procedure currently utilised by the Bethanie community is that the grievances go through the Local Village Council and the Community Development Committee (CDC). The CDC is made up of representatives from:

- The Local Council;
- Churches;
  - Churches include: C F Memorial Ame Church, Evangelical Lutheran Church, Rhenish Mission Society Church and the Dutch Reformed Church.
- Schools;
  - Schools include: DC Frederick Primary School, Schmelenville Junior Secondary School and St. Joseph's Primary School.
- Health structures:
  - Health structures including: Bethanie Health Centre.
- NamWater;
- NamPower;
- Elders;
- Women;
- Youth;
- Agriculture groups;
- Other groups; and
- Business owners.

The CDC is not as active as it could be and it is recommended that this committee be revived and revised to be able to be the contact point between the project and the local community, and handle all grievances. The community indicated that this is the way they would prefer grievances to be handled. They also stipulated that dates must be set for CDC meetings so that continuous communication between the project and the community can be a reality.

### **4.5.2 Grievance redress process**

Although a company generally differentiates between the actions of its own employees and those of contractors and subcontractors, local communities tend to see no difference and will attribute actions of contractors and subcontractors to the company. This is the case even if contractors are in the country only for a short period of time.

Companies need to anticipate grievances that may arise from the actions of suppliers or contractors, and implement a policy and management tools, such as regular monitoring to govern their behavior and actions, including provisions for coordinated management of grievances and key indicators that help evaluate the effectiveness of contractors' policies and tools. Where there are a small number of

contractors, it may be feasible for the contractors to establish and manage their own grievance mechanisms. Companies will need to make sure that these mechanisms do not conflict with the company mechanism or those of the other contractors by establishing clear guidelines and ensuring oversight. Where contractual relationships are more complex or numerous, companies may wish to have all grievances directed to the company's mechanism, regardless of whether they relate to the company or its contractors or subcontractors.

Handling grievances encompasses a step-by-step process as well as assigned responsibilities for their proper completion. Figure 7 below provides **procedure on how grievance** should be received, registered and tracked. Contractors establishing grievance mechanisms will follow the process steps discussed in this section.

Please also see Grievance Mechanism Report for further detail in Appendix G.

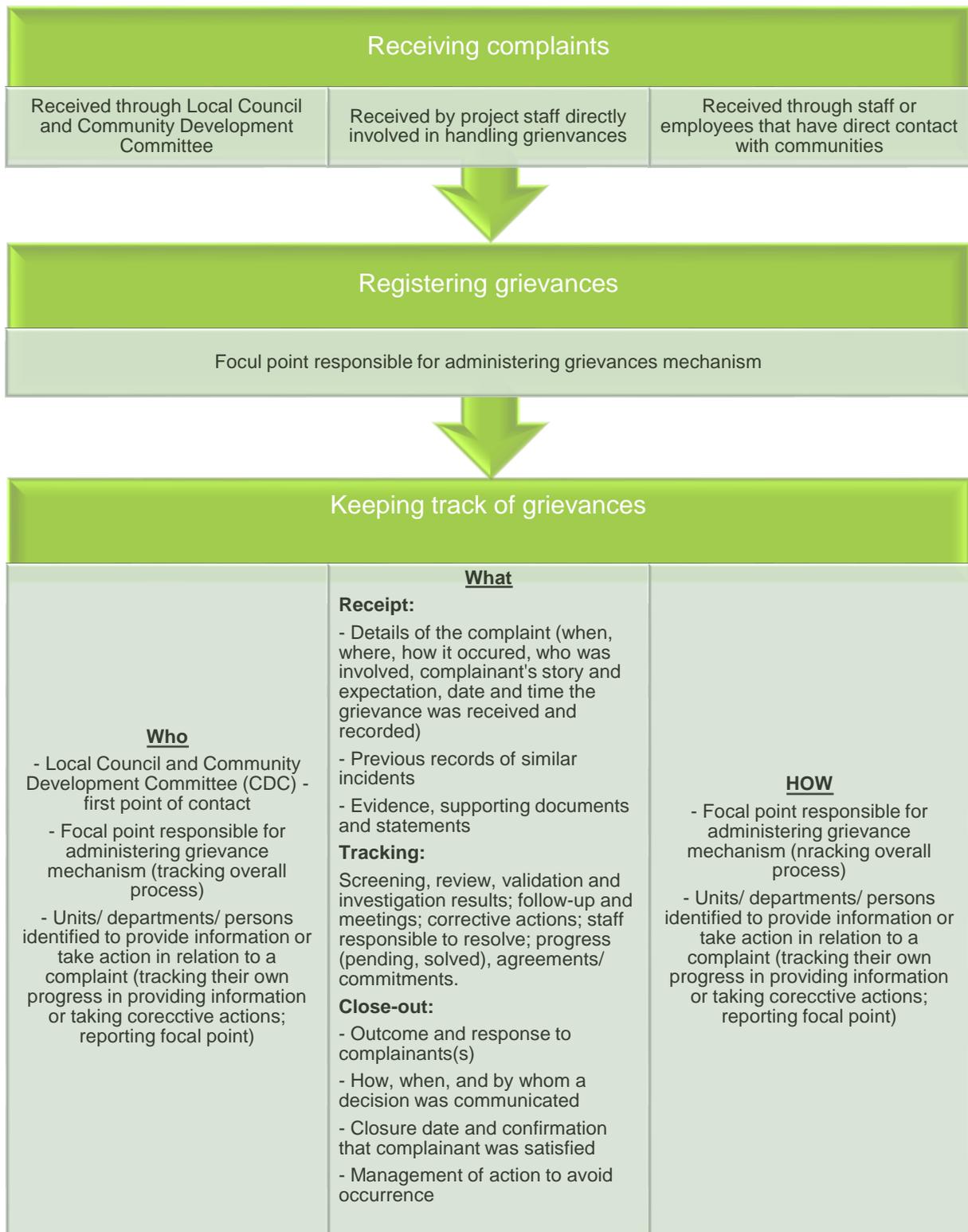


Figure 7: Grievance redress process

#### 4.5.3 National implementing entity (NIE) - DRFN

DRFN as part of structured / periodic monitoring would take-up the scrutiny of books of accounts as well as scrutiny of audit and accounting systems of the project fund at executing entity level. Release

of fund would be based on the scrutiny of accounts and utilization of funds, progress of implementation and action plan submitted by the EE.

Risk parameters identified would be specifically monitored during the field visits as well through reporting mechanism by NamWater to DRFN. Monitoring objectives will also include identification of project bottlenecks and risks as early as possible to address them.

DRFN has a Regional Office at the state capital, Windhoek. DRFN has trained manpower at Regional Office level for implementation of AF projects. DRFN officials/teams at local and regional level would be involved in project guidance, steering, monitoring, auditing, co-ordination with local and regional officials for resolving any bottlenecks in project implementation.

The Ad Hoc Complaint Handling Mechanism (ACHM) is complementary to the Adaptation Fund's risk management framework, including the grievance mechanism required for accreditation of Implementing Entities. Please see the Ad Hoc Complaint Handling Mechanism (ACHM) as approved in October 2016 in Appendix G.

#### **4.5.4 Executing entity (EE) - NamWater**

NamWater as the Executing Entity will be responsible for execution of the project as per the approved proposal at the field level ensuring social inclusion including participation of vulnerable groups and women, gender mainstreaming, partnership with local agencies including district level government departments, local self-government, NGOs and CBOs and local communities, their livelihoods and the ecological security of the Area.

NamWater will also undertake key administrative and operational functions, including:

- Development of annual work plans in consultation with the DRFN and implementing partners;
- Financial management (sending out fund requests and receipt of funds from NIE and disbursement to implementing partners)
- Management, supervision, monitoring and evaluation of project activities in close coordination of the implementing partners;
- Reporting to the NIE (e.g., preparation of periodic technical and audited financial reports and annual implementation reports; half yearly ESI and ESMP compliance and impact monitoring report)
- Assigning external consultants wherever necessary to undertake planned project activities/assessments.
- Ensuring compliance with NIE procedures for governance and program implementation.
- Provide training and skills transfer to local community, in various sectors to stimulate development.
- Employ local community members, especially vulnerable and marginalised groups.

All employees have a right to lodge grievances in order to redress their feelings of dissatisfaction. The Grievance Procedure is aimed at resolving grievances in the fairest, fastest manner possible. Grievances are feelings of injustice or dissatisfaction affecting employees which may arise out of the work situation. Please see the NamWater Grievance Handling in Appendix H.

## 5 Social risks to project

Social risks arise from the dissatisfaction and grievances of external community and non-governmental stakeholders. Failure to manage these issues can have enormous economic costs, significantly damage the reputations of organisations involved and even put entire investments at risk. Some of the common social risks that can impact on project outcomes are summarised in the list below:

- Risk of sudden population growth and an increased demand for water because of new development such as for e.g. new mine, industry, road route etc.
- Poor community participation.
- Safety and security risks.
- Risk of plant failures, down times and project delays or abandonment.
- Risk of change in law.
- Risk of women being excluded from decision making and project sustainability due to culture or project management structure.
- Reputational damage.
- Lack of user acceptance.
- Decreased operational revenues.
- Consumer boycotts.
- Major modifications due to stakeholder pressure.
- Exposure to legal action.

It is critical however that project stakeholders are not just seen as a source of negative risk to projects. Establishing good relationships with stakeholders and focusing on their concerns can generate significant positive opportunities for the project and proponent.<sup>4</sup>

## 6 Potential positive and negative project impacts

Potential negative socio-economic impacts include the following:

- A **temporary loss of land and assets** to the road servitude or areas to be occupied by project-related surface infrastructure;

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<sup>4</sup> <http://www.engineersagainstopoverty.org/documentdownload.axd?documentresourceid=21>

- A **population influx** (due to the presence of a construction workforce, as well as an influx of job-seekers into the area), with a possible concomitant increase in social pathologies and increased pressure on existing infrastructure and services;
- **Disruption of access routes and daily movement patterns** by the construction. Blocking of traditional travel paths (people/animals).
- **Displacement.** Permanent loss of life-long social and emotional investment as well as livelihood resources for the households that need to be relocated.
- **Impacts on sense of place.** Such impacts may arise as a result of the visual intrusion of project-related infrastructure, as well as noise and traffic impacts during construction
- **Dust** caused by the construction works and from movement of heavy equipment. During the construction phase, the local community and construction workers would be inconvenienced by the dust generated by the construction works.
- **Noise and vibration** due to the construction works and from movement of heavy equipment. Movement of heavy machinery on existing local roads may be one of the core problems for the local community during the construction phase.
- **Socio-cultural differences and conflicts** between migrant workers and the local community. Single men predominately occupy the construction camps which could create social conflicts, usually as a result of cultural differences, alcohol abuse or being away from their wives or partners for extended periods of time. A possible reason for conflict would be the perception among locals that the outsiders are taking up jobs that could have gone to unemployed members of the local community. An influx of unemployed job seekers could also add to the potential for conflict.
- Various **social pathologies**, such as drug/ alcohol misuse, abuse of woman and 2children and incidences of sexually transmitted diseases (STI's) may increase with the influx of job-seekers into the area. Crime is another social pathology that may increase. An inflow of construction workers and job seekers may also be accompanied by an increase in crime. Even if specific instances of crime are not as a result of the newcomers, they may still be ascribed to them by local communities.
- **Informal settlements.** Once construction is concluded and the camp is vacated, it may be illegally occupied.
- The need to **secure accommodation for construction** staff.
- **Gender impacts.** Structural gender inequalities embedded in our society - unequal access to and control over material and non-material resources, assets and opportunities.

Positive socio-economic impacts include the following:

- **Local employment and job opportunities.** The construction phase of the project will have a positive impact on the local labour market. A positive impact on continued permanent employment will be probable due to the proposed project as the long-term economic viability of the mine will be possible, following the mine expansion.

- **Local economy opportunities and economic empowerment.** The construction phase of the project will have temporary positive impacts on the local economy, creating opportunities for formal and informal businesses to benefit from the proposed project.
- **Local economic growth.** The project will stimulate local economic growth with provision of better quality water.
- **Improved health.** The project will provide the local community with better quality water and this will have a positive impact on the health of the people.
- **Training and skills transfer.** The project will provide the opportunity for the local community to participate in training and skills transfer activities.

## 7 Proposed mitigation measures

The following preliminary mitigation and enhancement measure have been identified:

### Population influx:

- The recruitment policy used to employ people on the project must be fair and transparent.
- The intention of giving preferential employment to locals is clearly communicated, to discourage an influx of job-seekers from other areas.
- Inform local businesses about the expected influx of construction workers so that they could plan for extra demand.
- Ensure that employment procedures/ policy of the contractor is communicated to local stakeholders, local farmers and Local Ward Councillor.
- Have clear rules and regulations for access to the construction site to control loitering.
- Consult with the local private security companies and Police to establish standard operating procedures for the control and removal of loiterers at the construction site.
- Construction workers should be clearly identifiable by wearing proper construction uniforms displaying the logo of the construction company.
- Construction workers must also be provided with identification tags.

### Creation of informal settlements:

- Facilitate the establishment of a “Community Safety Committee” to monitor and control illegal squatting. Committee to consist of:
  - The community relations Department of NamWater;
  - The Local Council;
  - Local landowners;
  - Representatives of local community structures; and
  - Local police and the Community Policing Forum
- Align social investment strategies with municipal development.
- NamWater employees who receive living-out allowances should be required to provide proof that this allowance is used for formal accommodation.

- Include a requirement in the Conditions of Service of construction contractors that construction workers must be vacated from the area once construction is completed.

**Local employment and job opportunities:**

- Unskilled job opportunities should be afforded to the local communities, as far as possible.
- Equal opportunities for employment should be created to ensure that the local female population also has access to these opportunities.
- Individuals with the potential to develop their skills should be afforded training opportunities.
- Payment should comply with applicable labour legislation in terms of minimum wages.
- Where local labourers are employed on a permanent basis, these labourers should be registered with the official bodies as required by law. This would enable the workers to claim unemployment.

**Local economy opportunities and economic empowerment:**

- The developer to encourage, in consultation with key stakeholders, construction companies to use local services.
- Local procurement opportunities.
- Implement community contracting and training.
- Create a platform where development of micro, small and medium enterprises is developed.

**Various social pathologies:**

- Implement HIV/ AIDS, alcohol abuse, drug abuse, and domestic violence prevention and awareness campaigns in the communities.
- The contractors should ensure the health of its employees and their dependants by adopting rigorous health programmes, which should, at a minimum, include programmes to combat HIV/ AIDS and TB.
- The contractor should make HIV/ AIDS and STI awareness and prevention programmes a condition of contract for all suppliers and sub-contractors.

**Crime:**

- Regarding safety and security, construction workers should be clearly identifiable.
- Overalls should have the logo of the construction company on it and construction workers should wear identification cards.
- The construction site to be fenced and access should be controlled. Loitering of outsiders at either the construction site or at the construction village should not be allowed. Local security companies and Police should be requested to assist in this regard.
- Liaison structures are to be established with local security companies and police to monitor social changes during the construction phase. Liaison should also be established with existing crime control organisations

**Noise:**

- Construction activities should be restricted to daytime hours between 07:00 to 18:00.
- Adjacent households should be consulted and notified of any construction activities that could lead to excessive noise levels in advance.
- The households should also be consulted if any night time construction activities are to take place.

**Disruption of access:**

- Unauthorised access to the construction site must be prevented through appropriate fencing and security.
- When the construction period has ended the implementation of adequate rehabilitation measures to return the landscape and other changes to at least its original state.

**Displacement:**

- Inform affected people of their options and rights concerning resettlement.
- Provide technically and economically feasible options for resettlement based on consultation with affected people and assessment of resettlement alternatives.
- Whether physical relocation is required or not, provide affected people with prompt and effective compensation at full replacement value for loss of assets due to project activities.
- Where physical relocation is necessary, provide assistance with relocation expenses (moving allowances, transportation, special assistance and health care for vulnerable groups).
- Where physical relocation is necessary, provide temporary housing, permanent housing sites, and resources (in cash or in kind) for the construction of permanent housing—inclusive of all fees, taxes, customary tributes, and utility hook-up charges—or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors are at least equivalent to the advantages of the old site.
- Provide affected people with transitional financial support (such as short-term employment, subsistence support, or salary maintenance).
- Where necessary, provide affected people with development assistance in addition to compensation for lost assets described above such as land preparation, agricultural inputs, and credit facilities and for training and employment opportunities.

**Informal settlements:**

- Once construction is completed and the construction camp vacated, the camp must be demolished to avoid settling of informal residents. Alternatively, if the camp is to be made available for use by other contractors on other projects, it should be “mothballed” until the new occupants take up residence.

### **Secure accommodation for construction**

- One option would be to house them in a construction village. The other option will be to house them in nearby settlements. This may require that the Local Council or NamWater invest in the construction of additional housing units.
- It is recommended that one construction village be used to house construction workers of the project components to minimise the extent of pressure the additional housing will exert on social and council infrastructure.
- Maximisation of the proportion of job opportunities allocated to locals, thus reducing the need for outsiders
- Provision of sufficient entertainment facilities (e.g. lounge with TV, pool table, etc.)
- Demolishing construction village after construction activities have finished, or donating the construction camp to the local municipality for formal housing, or alternatively convert the construction camp to permanent housing for labourers during the operational phase.

### **Gender impacts:**

- Detailed and specialised gender awareness must be provided. This can be set up in different forms, such as training courses, activities and promotion to enable individuals to implement gender mainstreaming in their everyday work.
- Participation of both genders in decision-making. An equal participation of both genders is important not only in decision-making but also for gender mainstreaming, in general.
- The division of labour by gender. The structures which organise the division of labour must ensure that no discrimination occur because of gender.
- Training and skills transfer. No discrimination must occur because of gender.
- Receive comparable social and economic benefits.

## **8 Conclusion**

The study has identified the following potential negative impacts associated with the construction phase of the proposed project, they include amongst others:

- Influx of construction workers employed on the project and who are housed in the construction village used for other constructions in the area;
- Influx of job seekers looking for work but who are unsuccessful;
- Increased risk to personal safety of farmers;
- Potential noise and dust impacts during the construction phase;
- Access problems during construction phase;
- Gender impacts.

Of the negative impacts, the influx of construction workers housed on the construction village and influx of job seekers from neighbouring communities were identified as the key social concerns.

While the presence of construction workers and job seekers do not in themselves constitute a social impact, the way the construction workers and job seekers conduct themselves can affect the local community.

The main area of concern identified during the study was the potential impact on existing family structures and social networks. The potential impact on family structures and social networks are linked to the potential behaviour of male construction workers and the implications that this may have in terms of:

- A potential increase in alcohol and drug use;
- A potential increase in crime levels;
- A potential increase in teenage and or unwanted pregnancies;
- Potential increase in prostitution and increase in transmission of STI's and specifically HIV/AIDS;
- Loss of partners and/ or wives to construction workers with associated (and potentially violent) conflict.

These aspects, specifically the links between alcohol, drugs, prostitution and crime, are all interrelated.

Furthermore, it can also be concluded that many of the significant socio-economic impacts of the proposed development will occur during the construction phase. Positive impacts during this phase will include temporary creation of employment opportunities, as well as concomitant economic benefits and possible creation of opportunities for establishment of small businesses.

Finally, socio-economic environment in general poses no significant adverse socio-economic impacts for the construction of the proposed project. However, this is dependent on the mitigation measures identified in this document being implemented and adhered to. This is particularly relevant where construction activities could affect the quality of life of adjacent households in terms of access, noise, dust, safety and security

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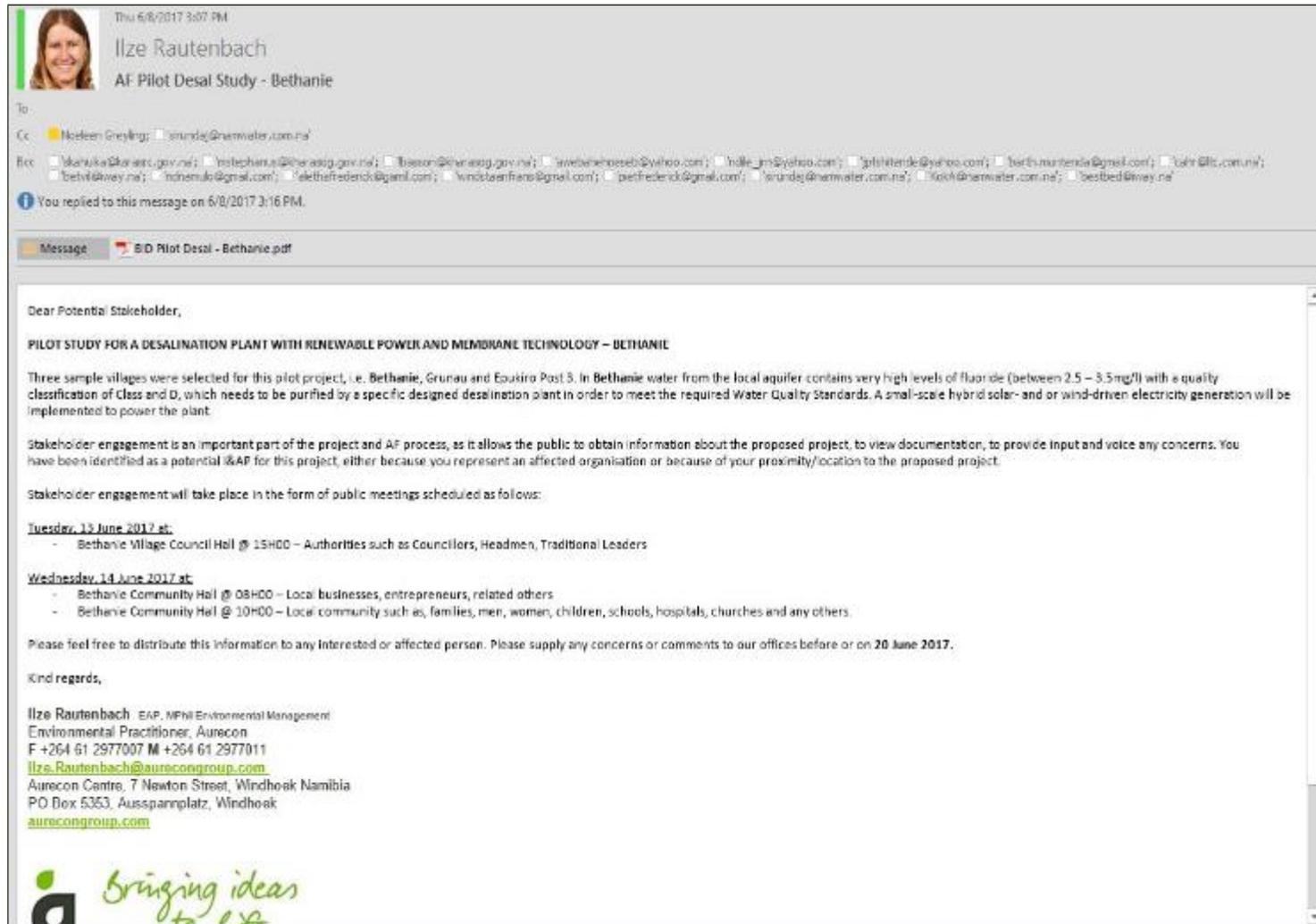
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# Appendix A – Emails



Thu 6/8/2017 3:07 PM

**Ilze Rautenbach**  
AF Pilot Desal Study - Bethanie

To:

Cc: [Haeleen Greyling](mailto:hrundj@namwater.com.na); [hrundj@namwater.com.na](mailto:hrundj@namwater.com.na)

Bcc: [ikahuka@kara.na](mailto:ikahuka@kara.na); [instephania@era.na](mailto:instephania@era.na); [ibasson@era.na](mailto:ibasson@era.na); [irwebenepeselo@yahoo.com](mailto:irwebenepeselo@yahoo.com); [indke\\_jms@yahoo.com](mailto:indke_jms@yahoo.com); [jrshierde@yahoo.com](mailto:jrshierde@yahoo.com); [berthmontende@gmail.com](mailto:berthmontende@gmail.com); [john@lt.com.na](mailto:john@lt.com.na); [bethv@wvay.na](mailto:bethv@wvay.na); [ndhemulo@gmail.com](mailto:ndhemulo@gmail.com); [alethafredrick@gmail.com](mailto:alethafredrick@gmail.com); [windsteenfrans@gmail.com](mailto:windsteenfrans@gmail.com); [pietfredrick@gmail.com](mailto:pietfredrick@gmail.com); [hrundj@namwater.com.na](mailto:hrundj@namwater.com.na); [kikh@namwater.com.na](mailto:kikh@namwater.com.na); [bestbed@wvay.na](mailto:bestbed@wvay.na)

You replied to this message on 6/8/2017 3:16 PM.

Message  **AF Pilot Desal - Bethanie.pdf**

Dear Potential Stakeholder,

**PILOT STUDY FOR A DESALINATION PLANT WITH RENEWABLE POWER AND MEMBRANE TECHNOLOGY – BETHANIE**

Three sample villages were selected for this pilot project, i.e. Bethanie, Grunau and Eoukuro Post 5. In Bethanie water from the local aquifer contains very high levels of fluoride (between 2.5 – 3.5mg/l) with a quality classification of Class and D, which needs to be purified by a specific designed desalination plant in order to meet the required Water Quality Standards. A small-scale hybrid solar- and or wind-driven electricity generation will be implemented to power the plant.

Stakeholder engagement is an important part of the project and AF process, as it allows the public to obtain information about the proposed project, to view documentation, to provide input and voice any concerns. You have been identified as a potential I&AP for this project, either because you represent an affected organisation or because of your proximity/location to the proposed project.

Stakeholder engagement will take place in the form of public meetings scheduled as follows:

**Tuesday, 13 June 2017 at:**

- Bethanie Village Council Hall @ 15H00 – Authorities such as Councilors, Headmen, Traditional Leaders

**Wednesday, 14 June 2017 at:**

- Bethanie Community Hall @ 08H00 – Local businesses, entrepreneurs, related others
- Bethanie Community Hall @ 10H00 – Local community such as, families, men, women, children, schools, hospitals, churches and any others.

Please feel free to distribute this information to any interested or affected person. Please supply any concerns or comments to our offices before or on **20 June 2017**.

Kind regards,

**Ilze Rautenbach** EAP, MPhil Environmental Management  
Environmental Practitioner, Aurecon  
F +264 61 2977007 M +264 61 2977011  
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PO Box 5363, Ausspannplatz, Windhoek  
[aurecongroup.com](http://aurecongroup.com)



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## Ilze Rautenbach

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**From:** Susan Mentor  
**Sent:** Friday, June 9, 2017 8:57 AM  
**To:** schmelenvillecs@gmail.com  
**Cc:** Ilze Rautenbach  
**Subject:** FW: Message from "RNP0026739C96CA"  
**Attachments:** 20170609104121255.pdf

Hi All

Please find documents.

Regards.

Susan Mentor  
Receptionist, Aurecon  
F +264 61 2977007 M +264 61 2977000  
Susan.Mentor@aurecongroup.com

-----Original Message-----

From: scans@aurecongroup.com [mailto:scans@aurecongroup.com]  
Sent: Friday, June 09, 2017 8:41 AM  
To: Susan Mentor <Susan.Mentor@aurecongroup.com>  
Subject: Message from "RNP0026739C96CA"

This E-mail was sent from "RNP0026739C96CA" (MP C5503).

Scan Date: 06.09.2017 10:41:21 (+0300)  
Queries to: scans@aurecongroup.com

# Appendix B – Poster



**PILOT STUDY FOR A DESALINATION PLANT WITH  
RENEWABLE POWER AND MEMBRANE TECHNOLOGY –  
BETHANIE**

**Applicant:** Namibia Water Corporation Ltd in collaboration with the Desert Research Foundation of Namibia (DRFN) with a Project Formulation Grant (PFG) from the Adaptation Fund

**Environmental consultants:** Aurecon Namibia

**Project:** This proposed project aims to test a method for improving the assured supply of good quality groundwater to small towns and villages in Namibia. It will further improve the resilience of such communities against the increased variability in rainfall that is expected with climate change.

**AF Funding Process:** To be able to apply for funding from the Adaptation Fund, the following steps as outlined in the Environmental and Social Management System (ESMS) manual needs to be completed. The steps are as follows:

- 1) Environmental, social, and gender risks identification through screening process
- 2) Environmental, social, and gender assessment (ESIA) – only risk identification at this stage
- 3) Environmental and social management plans (ESMP)
- 4) Environmental, social, and gender management monitoring, reporting, and evaluation – data gathering
- 5) Public disclosure and consultation (stakeholder engagement)
- 6) Grievance mechanism developed.

**How to Get Involved:** Stakeholder engagement is an important part of the project and AF process, as it allows the public to obtain information about the proposed project, to view documentation, to provide input and voice any concerns.

Stakeholder engagement will take place in the form of public meetings scheduled as follows:

**Tuesday, 13 June 2017 at;**  
Bethanie Village Council Hall @ 15H00 – Authorities such as Councillors, Headmen, Traditional Leaders

**Wednesday, 14 June 2017 at;**  
Bethanie Community Hall @ 08H00 – Local businesses, entrepreneurs, related others

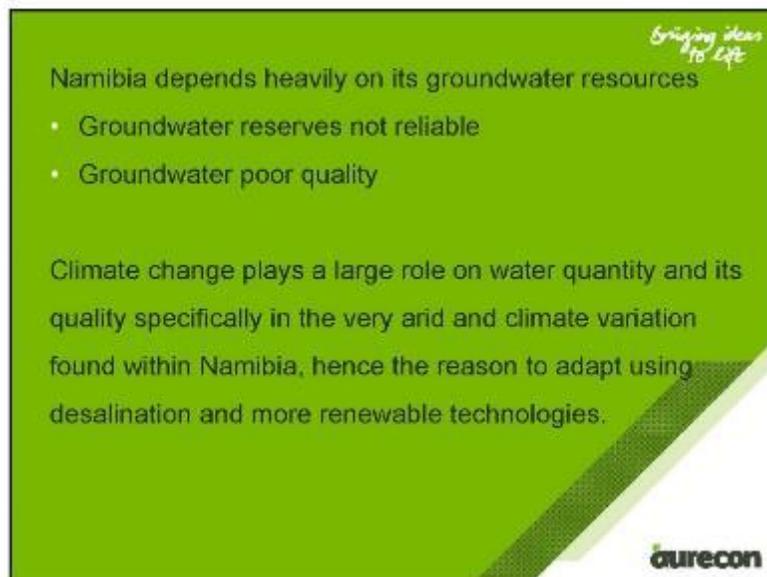
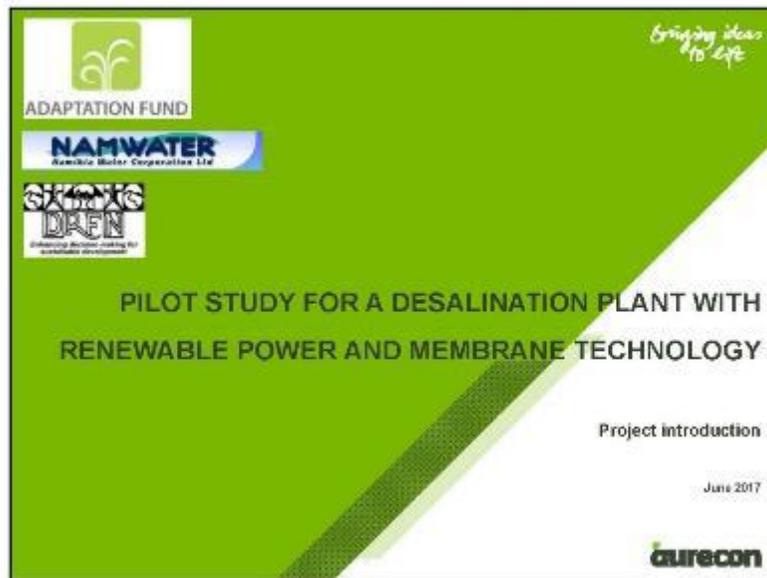
Bethanie Community Hall @ 10H00 – Local community such as, families, men, woman, children, schools, hospitals, churches and any others.

**ENVIRONMENTAL & SOCIAL CONSULTANT CONTACT**  
Mrs Ilze Rautenbach & Mrs Noeleen Greyling  
Tel: +264 61 297 7000 / 11  
Fax: +264 61 297 7007  
Email: [ilze.rautenbach@aurecongroup.com](mailto:ilze.rautenbach@aurecongroup.com)



Bethanie - Locality

# Appendix C – Presentation





## Project Goals

This proposed project aims to test a method for improving the assured supply of good quality groundwater to small towns and villages in Namibia. It will further improve the resilience of such communities against the increased variability in rainfall that is expected with climate change.

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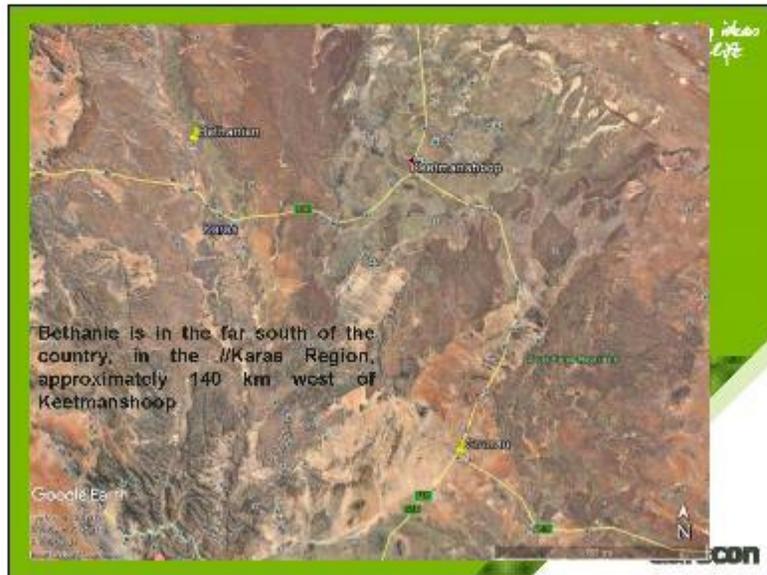
Namibia Water Corporation Ltd as an executing entity in collaboration with the Desert Research Foundation of Namibia (DRFN) as an implementing entity, applied for a Project Formulation Grant (PFG) at the Adaptation Fund. The grant was awarded for the formulation of a full project proposal on the Desalination of poor water quality of selected treatment plants using Renewable Power and Membrane Technology.



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Three sample villages were selected for this pilot project, i.e. Bethanie, Grunau and Epukiro Post 3.





In Bethanie water from the local aquifer contains very high levels of fluoride (between 2.5 – 3.5mg/l) with a quality classification of Class C and D, which needs to be purified by a specific designed desalination plant in order to meet the required Water Quality Standards.

A small-scale hybrid solar- and or wind-driven electricity generation will be implemented to power the plant.

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ourecon

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to life*

The water source for Bethanie is not stressed but has a high fluoride content, which does not meet Namibia's Water Quality Standards, and impacts on the health of the local population, especially children. The plant will improve the product water to be used by the community.

**aurecon**

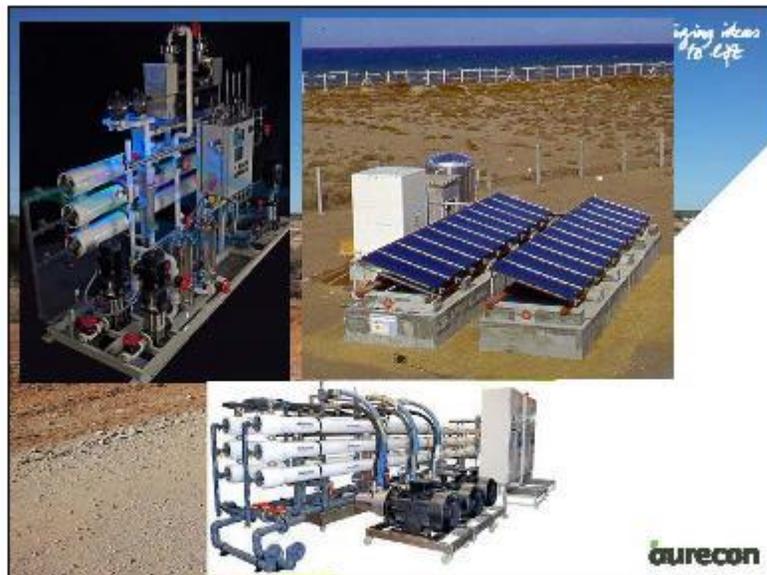


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## Project components

- Desalination plant and distribution of water
- Hybrid solar + wind power plant
- Training
- Sensitisation
- Pilot phase operation (2 years)
- Replication within Namibia

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## AF Funding Process

In order to be able to apply for funding from the Adaptation Fund, the following steps as outlined in the Environmental and Social Management System (ESMS) manual needs to be completed. The steps are as follows:

- 1) Environmental, social, and gender risks identification through **screening process**
- 2) Environmental, social, and gender assessment (ESIA) – **only risk identification at this stage**
- 3) Environmental and social management plans (ESMP)
- 4) Environmental, social, and gender management monitoring, reporting, and evaluation – **data gathering**
- 5) Public disclosure and consultation (**stakeholders**)
- 6) **Grievance mechanism** developed

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## How to Get Involved

Tuesday, 13 June 2017 at:

- Bethanie Village Council Hall @ **15H00** – Authorities such as Councilors, Headmen, Traditional Leaders

Wednesday, 14 June 2017 at:

- Bethanie Community Hall @ **08H00** – Local businesses, entrepreneurs, related others
- Bethanie Community Hall @ **10H00** – Local community such as, families, men, woman, children, schools, hospitals, churches and any others.

**aurecon**

26/06/2017

**ENVIRONMENTAL & SOCIAL CONSULTANT  
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# Appendix D – BIDs



ADAPTATION FUND

1

## LOODSSTUDIE VIR 'N ONTSOUTINGSAAANLEG MET HERNUBARE KRAG EN MEMBRAANTEGNOLOGIE - BETHANIE

JUNIE 2016

### AGTERGROND INLIGTINGSDOKUMENT

#### Inleiding

Die voorgestelde projek beoog om 'n metode te toets vir die verbetering van 'n versekerde voorraad van goeie kwaliteit grondwater aan klein dorpie in Namibië. Dit sal verder die veerkragtigheid van sulke gemeenskappe verbeter teen die verhoogde variasie in reënval wat met klimaatsverandering verwag word.

As 'n droë land maak Namibië baie staat op sy ondergrondse waterbronne. Dit bring twee uitdagings: veroorsaak hoë reënval variasie, wisseling van die herlaai van waterbronne dus is grondwaterreserwes in baie plekke nie betroubaar nie. Tweedens is die kwaliteit van grondwater in baie plekke swak en onder die drempels vir sekere chemikalieë (bv. floried, en totale opgeloste vastestowwe en soutgehalte) vir veilige menslike gebruik. Dit vereis water behandelingstegnieke soos filtrasie en ontsouting wat weer energie in die vorm van elektrisiteit benodig.

As sulks het die Namibië Water Korporasie Edms as 'n uitvoerende entiteit in samewerking met die Woestyn Navorsingstigting van Namibië (WNSN) as 'n implementeringsentiteit, aansoek gedoen vir 'n Projek Formuleringsstoelaag (PFT) by die Aanpassingsfonds. Die toelaag is toegeken vir die formulering van 'n volledige projekvoorlegging op die Ontsouting van swak waterkwaliteit van die gekose behandelingsaanlegte wat Hernubare Krag en Membraantegnologie gebruik.

Drie voorbeeld dorpie is gekies vir hierdie loodsludie, m.a.w **Bethanie**, Grunau en Epukiro Pos 3. In Bethanie bevat die water van die plaaslike waterbronne baie hoë vlakke *floried* (tussen 2.5 – 3.5mg/l) met 'n kwaliteit kwalifikasie van Klas C en D wat gesuiver moet word deur 'n spesifieke ontwerpde ontsoutingsaanleg om te voldoen aan die vereiste van die Water Kwaliteitsstandaard. 'n Klein skaalse hibriede son- en of windgedrewe elektrisiteit genererende toestel sal geïmplementeer word om die aanleg voort te dryf.

Indien suksesvol sal die projek 'n nuttige metode demonstreer wat uitgerol kan word om soortgelyke behoeftes in afgeleë gemeenskappe in Namibië by te kom en elders om die watersituasie vir afgeleë dorpe en nedersettings te verbeter in die gesig van klimaatsverandering.

#### DOEL VAN HIERDIE DOKUMENT

Die doel van hierdie AID is om vir alle aandeelhouers 'n agtergrond te gee oor die voorgestelde loodsstudies en om hulle uit te nooi om te registreer as Belangstellende en Geaffekteerde Partye (B&GPs). Deur te registreer as B&GPs kan aandeelhouers kommentaar gee en insette lewer op die voorgestelde studies terwyl hulle ingelig sal bly tydens die projekproses.

Hersien asseblief hierdie AID en stuur u geskrewe kommentaar op skrif op of voor:

Dinsdag 20 Junie 2017



## Voorgestelde Projek en Ligging

Bethanie is in die verre suide van die land, in die //Karasstreek, ongeveer 140km wes van Keetmanshoop – verwys na Figuur 1 hieronder. Bethanie verkry sy water van twee boorgate in die Konkiepriver, ongeveer 2 km weg van die dorp. Die watervoorraadskema word bestuur deur NamWater en die Bethanie Dorpsraad is verantwoordelik vir die bestuur van die waterdreinerings. Die huidige bevolking word geskat op 3 000 mense.



Figuur 1: Die projek liggingskaart

Die hoofdoel van hierdie projek is om die effektiwiteit van 'n stelsel te toets wat hernubare energie kombineer met die behoeftes van die watersektor om die veerkragtigheid teen klimaatsverandering te verbeter. Die projek sal kleinskaalse son- en of wind gedrewe ontsoutingsaanlegte verfyn om die kwaliteit van gekose ondergrondse waterbronne vir menslike gebruik te verbeter en sal poog om die koste van water aan gemeenskappe wat deur hierdie skemas bedien word te verminder. 'n Suksesvolle demonstrasie van die metodes sal lei tot verdere uitrol aan ander plekke in die land.

Die waterbron vir Bethanie is nie onder druk nie maar het 'n hoë floriedinhoud wat nie aan Namibiese Water Kwaliteitsstandaarde voldoen nie en wat 'n impak op veral die gesondheid van kinders in die plaaslike gemeenskap het. Die aanleg sal help om die produkwater wat deur die gemeenskap gebruik sal word te verbeter.

### AF Bevondsingsproses

Om vir befondsing aansoek te doen by die Aanpassingsfonds moet die volgende stappe in die Omgewings-en Maatskaplike Bestuurstelsel (OMBS) handleiding voltooi word. Hierdie stappe is as volg:

- 1) Identifisering van Omgewings, maatskaplike en geslagsrisiko's deur 'n **siftingsproses**
- 2) Omgewings, maatskaplike en geslagsassessering (OMGA) – **slegs risiko identifisering op hierdie stadium**
- 3) Omgewings en maatskaplike bestuursplanne (**OMBP**)
- 4) Omgewings, maatskaplike en geslagsbestuur monitoring, rapportering en evaluering – **data-insameling**
- 5) Publieke bekendmaking en konsultering (**aandeelhouer betrokkenheid**)
- 6) **Griefmeganisme** ontwikkel

### Hoe om Betrokke te Raak

Aandeelhouer betrokkenheid is 'n belangrike deel van die projek en AF proses, omdat dit die publiek toelaat om inligting oor die voorgestelde projek te bekom, om na dokumentasie te kyk, om insette te lewer en enige bekommernisse te lig. U is as potensiele B&GP vir hierdie projek identifiseer, of omdat u 'n geaffekteerde organisasie verteenwoordig of weens u nabyheid/licging van die voorgestelde projek.

Aandeelhouer betrokkenheid sal plaasvind in die vorm van openbare vergaderings wat as volg geskeduleer is:

**Dinsdag, 13 Junie 2017 by;**

- Bethanie Dorp Stadsaal @ 15H00 – Owerhede soos Raadslede, Hoofmanne en Tradisionele Leiers

**Woensdag, 14 Junie 2017 by;**

- Bethanie Gemeenskapsaal @ 08H00 – Plaaslike besighede, entrepreneurs en ander wat verband hou
- Bethanie Gemeenskapsaal @ 10H00 – Plaaslike gemeenskap soos families, mans, vrouens, kinders, hospitale, kerke en enige ander.

#### OMGEWINGS- EN MAATSKAPLIKEKONSULTANT KONTAK

Mev. Ilze Rautenbach & Mev. Noleen Greyling

Tel: +264 61 297 7000 / 11

Faks: +264 61 297 7007

E-pos: ilze.rautenbach@arecongroup.com

**arecon**

Posbus 5353 Ausspanplatz, Windhoek



ADAPTATION FUND

1

## PILOT STUDY FOR A DESALINATION PLANT WITH RENEWABLE POWER AND MEMBRANE TECHNOLOGY – BETHANIE

JUNE 2016

### BACKGROUND INFORMATION DOCUMENT

#### Introduction

This proposed project aims to test a method for improving the assured supply of good quality groundwater to small towns and villages in Namibia. It will further improve the resilience of such communities against the increased variability in rainfall that is expected with climate change.

As an arid country, Namibia depends heavily on its groundwater resources. This brings two challenges: high rainfall variability makes recharge into aquifers also variable, so groundwater reserves in many places are not reliable. Secondly, groundwater quality is poor in many places, below the thresholds for certain chemicals (e.g. fluoride, total dissolved solids and salinity) for safe human consumption. This requires water treatment techniques, such as filtration or desalination. These in turn demand energy in the form of electricity.

As such the Namibia Water Corporation Ltd as an executing entity in collaboration with the Desert Research Foundation of Namibia (DRFN) as an implementing entity, applied for a Project Formulation Grant (PFG) at the Adaptation Fund. The grant was awarded for the formulation of a full project proposal on the Desalination of poor water quality of selected treatment plants using Renewable Power and Membrane Technology.

Three sample villages were selected for this pilot project, i.e. **Bethanie**, Grunau and Epukiro Post 3. In Bethanie water from the local aquifer contains very high levels of *fluoride* (between 2.5 – 3.5mg/l) with a quality classification of Class and D, which needs to be purified by a specific designed desalination plant in order to meet the required Water Quality Standards. A small-scale hybrid solar- and/or wind-driven electricity generation will be implemented to power the plant.

If successful, this project will demonstrate a useful method that can be rolled out to meet similar needs in off-grid communities in Namibia and elsewhere to improve the water situation for remote villages and settlements in the face of climate change.

#### PURPOSE OF THIS DOCUMENT

The purpose of this BID is to provide all stakeholders with a background to the proposed pilot studies and to invite them to register as Interested and Affected Parties (I&APs). By registering as I&APs, stakeholders can submit comments and provide inputs on the proposed studies and will be kept informed throughout the project process.

Please review this BID and submit your comments in writing on or before:

**Tuesday 20 June 2017**



### Proposed Project and Location

Bethanie is in the far south of the country, in the //Karas Region, approximately 140 km west of Keetmanshoop – refer to Figure 1 below. Bethanie obtains its water from two boreholes in the Konkiep River, approximately 2 km away from the town. The water supply scheme is managed by NamWater and the Bethanie Village Council is responsible for the management of the water reticulation. The current population is estimated at 3 000 persons.



Figure 1: The project locality map

The main objective of this project is to test the effectiveness of a system that will combine renewable energy with the needs of the water sector to improve resilience against climate change. The project will refine small-scale solar- and or wind-driven desalination plants to improve the quality of selected groundwater sources for human consumption, and will attempt to reduce the cost of water to communities served by these schemes. A successful demonstration of the methods will enable further roll-out to other sites in the country.

The water source for Bethanie is not stressed but has a high fluoride content, which does not meet Namibia's Water Quality Standards, and impacts on the health of the local population, especially children. The plant will improve the product water to be used by the community.

### AF Funding Process

In order to be able to apply for funding from the Adaptation Fund, the following steps as outlined in the Environmental and Social Management System (ESMS) manual needs to be completed. The steps are as follows:

- 1) Environmental, social, and gender risks identification through **screening process**
- 2) Environmental, social, and gender assessment (ESIA) – **only risk identification at this stage**
- 3) Environmental and social management plans (**ESMP**)
- 4) Environmental, social, and gender management monitoring, reporting, and evaluation – **data gathering**
- 5) Public disclosure and consultation (**stakeholder engagement**)
- 6) **Grievance mechanism** developed

### How to Get Involved

Stakeholder engagement is an important part of the project and AF process, as it allows the public to obtain information about the proposed project, to view documentation, to provide input and voice any concerns. You have been identified as a potential I&AP for this project, either because you represent an affected organisation or because of your proximity/location to the proposed project.

Stakeholder engagement will take place in the form of public meetings scheduled as follows:

**Tuesday, 13 June 2017 at:**

- Bethanie Village Council Hall @ 15H00 – Authorities such as Councillors, Headmen, Traditional Leaders

**Wednesday, 14 June 2017 at:**

- Bethanie Community Hall @ 08H00 – Local businesses, entrepreneurs, related others
- Bethanie Community Hall @ 10H00 – Local community such as, families, men, woman, children, schools, hospitals, churches and any others.

#### ENVIRONMENTAL & SOCIAL CONSULTANT CONTACT

Mrs Ilze Rautenbach & Mrs Noeleen Greyling

Tel: +264 61 297 7000 / 11

Fax: +264 61 297 7007

Email: [ilze.rautenbach@arecongroup.com](mailto:ilze.rautenbach@arecongroup.com)

**arecon**

P.O Box 5353 Ausspannplatz, Windhoek



# Appendix E – Attendance Register and Stakeholder Database

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**ATTENDANCE REGISTER**

MEETING: Community / Business / Other VENUE: Bethanie Community Hall DATE & TIME: 24/06/14 @ 07:00

Name & Surname	Gender	Age	Position / Interest	Phone	Contact Number / Email
37 David Isaack	M	F	42 Community Member		0813571264
38 Sonia Mungunda	M	F	Community Member		
39 Louisa Boois	M	F	61 Community Member		0816951660
40 Eliza Kayunga	M	F	52 " "		0816951660 0816951660
41	M	F			
42	M	F			
43	M	F			
44	M	F			
45	M	F			
46	M	F			
47	M	F			
48	M	F			

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**ATTENDANCE REGISTER**

MEETING: Community / Business / Other VENUE: Bethanie Community Hall DATE & TIME: 24/06/14 @ 07:00

Name & Surname	Gender	Age	Position / Interest	Phone	Contact Number / Email
1 Marcelle Penner	M	F	42 Director of Legal Services / Lawyer	marcellepenner@gmail.com	0812036609
2 Anna M. Anderson	M	F	60 Housewife		0812036609
3 Francina Tashler	M	F	60 Housewife		0812036609
4 L. Evans	M	F	21 James Penner's Mother	jpenner@namwater.com	0812036609
5 M. Van Kerk	M	F	46 Personal		0812036609
6 John Stroudin	M	F	32 Head R&D	stroudin@namwater.com	081425052
7 Rebekka Lewis	M	F			
8 Hilda Keefek	M	F			
9 Nandi Keefek	M	F			
10 L. Penner	M	F			
11 David Boois	M	F	61		081425052
12 D. Mchirwa	M	F	43 Housewife		081425052

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ATTENDANCE REGISTER

MEETING: Community/Business/Other VENUE: Bethane Community Hall DATE & TIME: 2017/06/14 @ 09:00

Name & Surname	Gender	Age	Position / Interest	Email	Contact Number / Postal
25 Esmien Mdingo	M	25		dionasimien0@gmail.com	0817824592
26 Lucy Boon	M	56			0810591162
27 Dorcas Inyang	M	56	Councillor		0813993166
28 IRENE MIA/POS	M	46	business woman & Pickackillia way, wa		0812879506
29 Honore FREDERIC	X	56	TRANSITIONAL - COUNCILOR		0810383276
30 Miriam Nail	M	57	Unemployed		0814529289
31 Samantha Pasi	M	21	unemployed		-
32 Diobaketa Boon	M	50	Unemployed		-
33 Johannes E Cloete	X	19	Unemployed	ernstcloete8@gmail.com	0818154583
34 ERASI EDWIN UTH	M	42	UNEMPLOYED		0816176717
35 Fredrika Haidula	M	42	Unemployed		0821283098
36 ISAAC BOON	M		UNEMPLOYED		081745178

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ATTENDANCE REGISTER

MEETING: Community/Business/Other VENUE: Bethane Community Hall DATE & TIME: 2017/06/14 @ 09:00

Name & Surname	Gender	Age	Position / Interest	Email	Contact Number / Postal
37 JIMINE BEUCAS-BETH V.C.	M	27	teacher accountant	jinnebeucas@yahoo.com	0814705514 083-283006
38 H.A. ENGELBERT	M	64	community member	hansengelsent137@gmail.com	0812709727
39 Isaac van Kent	M	67	"		
40 Maria Magdalena Gidath	M	34	"		0819169646
41 Christine Kisting	M	59	Community member		0817602669
42 S. Fredericks	M	49	community member		0818475688
43 E. Boon	M	57			
44 S. Fredericks	M	57			0818320338
45 SARCA FREDERICK	M	63	Community member		
46 SAMUKA BOON	M	53	Community member		0813896153
47 Isaac Boon	M	58	Councillor		0812070820 08140200
48 Anne S. Boon	M	42	Community member		

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**ATTENDANCE REGISTER**

MEETING: Councillors / Headsmen & TRADITIONAL LEADERS VENUE: BETHANIE TOWN COUNCIL HALL DATE & TIME: 13 June 17 15:00

	Name & Surname	Gender	Age	Job title / Role	Email	Contact number / Phone
1	Michael Manabende	M	F	Acting CEO	manabende@m.com	081 2749799
2	Kamma Bentez	M	F	37 Councillor	kcbentez@gmail.com	0812064485
3	Tola Kabil	M	F	25 HR Officer	tolakabil@gmail.com	081 122 3037
4		M	F			
5		M	F			
6		M	F			
7		M	F			
8		M	F			
9		M	F			
10		M	F			
11		M	F			
12		M	F			

Bethanie Stakeholders

Name of Institution	Job Titles	Name of CEO/MD/Contact	Tel Number	Fax Number	e-mail Address	Postal Address
Karas Regional Council	Chief Reg Officer	Saul Kahuika	063-221900	063-223538	<a href="mailto:skahuika@karasrc.gov.na">skahuika@karasrc.gov.na</a>	P/Bag 2184, Keetmanshoop
Karas	Governor	Hon. Lucia Basson	063-225627/ 0811284067	063-222714 / 223538	<a href="mailto:mstephanus@kharasog.gov.na">mstephanus@kharasog.gov.na</a> <a href="mailto:lbasson@kharasog.gov.na">lbasson@kharasog.gov.na</a>	P/Bag 22189, Keetmanshoop
/Karas Region	Director	Mr /Awebahe J //Hoeseb	063-227001	063-223800	<a href="mailto:awebahehoeseb@yahoo.com">awebahehoeseb@yahoo.com</a>	P/Bag 2160, Keetmanshoop
Chief Medical Officer Karas Region	Director	J. Ndile	063-220900	063-222590	<a href="mailto:ndile_jrn@yahoo.com">ndile_jrn@yahoo.com</a>	P/Bag 2101, Keetmanshoop
Director of Health Hardap	Director(Acting)	Mr J.P Tshitende	063-245500	063-242727	<a href="mailto:iptshitende@yahoo.com">iptshitende@yahoo.com</a>	P/Bag 2014, Mariental
Karas Regional Health Directorate	Director	Mr. Barth Muntenda	063-2209187/8 0812294441		<a href="mailto:barth.muntenda@gmail.com">barth.muntenda@gmail.com</a>	
Bethanie Village Council	Acting	Otto Shipanga	063-283006	063-283107	<a href="mailto:cahr@ltc.com.na">cahr@ltc.com.na</a> <a href="mailto:betvil@iway.na">betvil@iway.na</a>	P.O. Box 74, Bethanie
<b>Bethanie Village Council</b>	<b>Acting CEO at Bethanie Village Council</b>	<b>Ndamonoghenda Namulo</b>	<b>0813634917</b>		<b><a href="mailto:ndnamulo@gmail.com">ndnamulo@gmail.com</a></b>	
Bethanie Health Centre and Bethanie Village Council	Chairperson of Bethanie Village Council and Superintendent at Bethanie Health centre	Aletha Frederick	0816847802		<a href="mailto:alethafrederick@gamil.com">alethafrederick@gamil.com</a>	
Bethanie Village Council	Town Foreman	Frans Windstaan	081273537		<a href="mailto:windstaanfrans@gmail.com">windstaanfrans@gmail.com</a>	
Bethanie Village Council	Fireman	Piet Frederick	0817438900		<a href="mailto:pietfrederick@gmail.com">pietfrederick@gmail.com</a>	
Bethanie Village Council	Artisan	Abraham Eixab	0815579572			
NamWater	Research and Development	Johannes J Sirunda	0811450613		<a href="mailto:sirundaj@namwater.com.na">sirundaj@namwater.com.na</a>	
<b>NamWater</b>	<b>Chief Water Supply South</b>	<b>Kok Andries</b>	<b>0811272715</b>		<b><a href="mailto:KokA@namwater.com.na">KokA@namwater.com.na</a></b>	
Bethanie Guesthouse	Host	Carin Bester	+264 (0)63 283013	+264 (0)63 283071	<a href="mailto:bestbed@iway.na">bestbed@iway.na</a>	
D C Frederick Primary School			+264 63 283 016	+264 63 283 085		PO Box 99, Bethanie,

						Namibia
Schmelenville Junior Secondary School			+264 63 283 103 / +264 063 28 3015	+264 63 283 103		PO Box 107, Bethanie, Namibia
St. Joseph's Primary School			+264 (063) 283024			
Health Centre			063-283026			
Standard Bank Namibia			+ 264 63 283003	+ 264 63 283122		Box 28 Bethanie
Namibia Post			063 283 161			
Telecom Namibia			063 284 900	063 284 911		
Bethanie Uistrusters & Motor			063 283 007			PO Box 60 Bethanie

NAME & SURNAME	GENDER	AGE	POSITION / INTEREST	EMAIL ADDRESS	CONTACT DETAILS	Postal Address
Marcelle Pienaar	F	42	Office of the Judiciary - Chief Legal Clerk	<a href="mailto:mashbooiso49@gmail.com">mashbooiso49@gmail.com</a>	(81) 488-0428	
Anna M. Anderson	F	60	House Wife	-	(81) 203-4609	
Franzina Syster	F	59	House Wife	-	(81) 273-5598	
L. Boois	M	41	Farmer	<a href="mailto:jackielboois@gmail.com">jackielboois@gmail.com</a>	(81) 439-4341	Box 84 Bethanie
M. Van Koni	F	76	Pensioner	-		
John Sirunda	M	32	Head - R & D Namwater	<a href="mailto:sirundaj@namwater.co.na">sirundaj@namwater.co.na</a>	(81) 142-9082	
Rebekka Boois	F	78	Community Member	-		
Hilda Kooper	F	69	Community Member	-		
Klaas Kooper	M	74	Community Member	-		
R. Rooi	M		Community Member	-		
Dawid Boois	M	61	Community Member	-	(81) 792-5390	
D. Motinga	F	48	House Wife	-	(81) 484-2220	
Esmien Motinga	F	25	Community Member	<a href="mailto:dianaesmien@gmail.com">dianaesmien@gmail.com</a>	(81) 782-4592	
Lucy Bok	F	56	Community Member	-	(81) 259-1162	
Dorua Frederik	F	56	Councillor	-	(81) 399-3166	
Irene Meintjies	F	46	Business Woman	<a href="mailto:rickadilly@iway.na">rickadilly@iway.na</a>	(81) 287-9506	
Hendrik Frededik	M	56	Traditional Councillor	-	(81) 038-3270	
Miriam Nail	F	57	Unemployed	-	(81) 452-9209	

Jannietjie Rooi	F	41	Unemployed	-		
Rebekka Boois	F	44	Unemployed	-		
Johannes E. Cloete	M	19	Unemployed	<a href="mailto:erntcloete8@gmail.com">erntcloete8@gmail.com</a>	(81) 815-4583	
Ernst Edwin Uth	M	42	Unemployed		(81) 617-6717	
Fredrika Haidula	F	42	Unemployed		(63) 128-3098	
Isak Boois	M	56	Unemployed		(81) 741-5178	
Janine Beukes-Beth VC	F	27	Assistant Accountant	<a href="mailto:janinebeukes@yahoo.com">janinebeukes@yahoo.com</a>	(81) 420-5544	(6) 328-3006
A. Engelbrecht	M	64	Community Member	<a href="mailto:hansengelbrecht137@gmail.com">hansengelbrecht137@gmail.com</a>	(81) 270-9777	
Isak Van Kent	M	67	Community Member			
Maria Magdalena Goliath	F	34	Community Member		(81) 596-9644	
Christina Kisting	F	55	Community Member		(81) 760-2669	
S. Fredericks	F	49	Community Member		(81) 347-5688	
F. Boois	F	57	Community Member			
S. Fredericks	M	57	Community Member		(81) 832-0338	
Sara Frederick	F	63	Community Member			
Sanna Boois	F	53	Community Member		(81) 389-6153	
Isac Rooi	M	58	Councillor		(81) 309-0220	
Anna S. Booi	F	42	Community Member	-		
Dawid Isaacks	M	42	Community Member		(81) 357-1269	
Sanna Mungunda	F	53	Community Member	-	(81) 357-1269	
Louda Boois	F	61	Community Member	-	(81) 695-1660	
Linda Kayngos	F	58	Community Member		(81) 685-1113	
Michael Menatzide	M		Acting CEO	<a href="mailto:menatzide@fa.org.na">menatzide@fa.org.na</a>	(81) 274-9799	
Konrad Beukes	M	25	Councillor	<a href="mailto:koenbeukes@gmail.com">koenbeukes@gmail.com</a>	(81) 206-4480	
Talia Kalili	F	25	HR Officer	<a href="mailto:toliakalili@gmail.com">toliakalili@gmail.com</a>	(81) 128-3037	

# Appendix F – Survey data

Name and Surname	Village / Dorpnaam	Gender / Geslag	Disabled / Gestremd	Age / Ouderdom	Employment status / Werkstatus	Where do you get your drinking water from / Waar kry jy jou drinkwater vandaan?	How far do you travel to get water? / Hoe ver moet jy reis om water te kry?	Do you pay for your drink water? / Betaal jy vir jou drinkwater?	How much do you pay per month? / Hoeveel betaal jy per maand?	Is the water expensive? / Is die water duur?	Is the water supply reliable? / Is die waterbron betroubaar?	What is the quality of your drinking water? / Wat is die kwaliteit van jou drinkwater?	What impact / influence does the quality and availability of water have on your life? E.g. Health and safety impacts, financial, gender vulnerability, etc. / Watse impak / invloed het die kwaliteit en beskikbaarheid van water op jou lewe? Bv. Gesondheids- en veiligheidsimpak, finansiële, geslags, kwesbaarheid, ens.
Dawid Isaacks	Bethanie	Male	No	42	Unemployed	NamWater	In the Yard	Yes	200	Yes	Yes	Acceptable	Baie duur, het nie werk en man oorlede
Miriam Nail	Bethanie	Female	No	57	Unemployed	NamWater	In the Yard	Yes	200	Yes	Yes	Acceptable	Finansiële, kwaliteit van water, gesondheid-tand probleme
Hulda Kooper	Bethanie	Female	No	69	Employed	Local Authority	In the Yard	Yes	250	Yes	Yes	Acceptable	1). Health 2). Yellow Teeth - Even when using Toothpaste
Janine Beukes	Bethanie	Female	No	27	Employed	Local Authority	In the Yard	Yes	300	Yes	Yes	Acceptable	Gesondheid-tande raak geel, almal wat hier bly se tande geel en gebruik tandepaste
Esmien Motinga	Bethanie	Female	No	25	Unemployed	Local Authority	In the Yard	Yes	340	Yes	Yes	Acceptable	goed wees vir ons
Sanna Boois	Bethanie	Female	No	53	Employed	Local Authority	In the Yard	Yes	1400	Yes	Yes	Acceptable	Water baie vol kalk
Bak van Keit	Bethanie	Male	No	67	Unemployed	Local Authority	In the Yard	Yes	150	Yes	No	Poor	Souterige water met baie kalk en gee tand probleme
Dina Metinga	Bethanie	Female	No	48	Unemployed	Local Authority	In the Yard	Yes	200	Yes	No	Poor	Dis D class water en veroorsaak dat die tande bruin en bross raak, sommige mense kry maag probleme
Dawid Boois	Bethanie	Male	No	61	Unemployed	Local Authority	In the Yard	Yes	200	Yes	No	Poor	Bene, Maag,Niere,Vel,Selfbeeld,Hare en baie kalk
Hendrik Dorina Frederik	Bethanie	Male	No	56	Unemployed	NamWater	In the Yard	Yes	200	Yes	No	Poor	Baie kalk in die water
Isak Boois	Bethanie	Male	No	56	Unemployed	Local Authority	5 m	Yes	250	Yes	Yes	Poor	Salty, brown teeth, maagkramp
Sarrafiën Frederik	Bethanie	Female	No	63	Employed	Local Authority	In the Yard	Yes	250	Yes	No	Poor	Baie kalk in die water
Erwe Rooi	Bethanie	Male	No	74	Unemployed	Local Authority	5 km	Yes	300	Yes	Yes	Poor	1). Bad Taste 2). Brown teeth
Jannietjie Rooi	Bethanie	Female	No	41	Unemployed	Local Authority	In the Yard	Yes	300	Yes	No	Poor	Health and safety- aanpaksels van kalk in ketels en toilet, water is duur, swak vir plante en groente gebruik.
Ernst Edwin Lith	Bethanie	Male	Yes	42	Unemployed	NamWater	In the Yard	Yes	300	Yes	No	Poor	Tande, niere,Bene,Maag,Selfbeeld,Hare en vel
Anna M. Anderson	Bethanie	Female	No	60	Unemployed	Local Authority	In the Yard	Yes	400	Yes	Yes	Poor	Oë en liggaam , biae duur
Margrieta van Kemp	Bethanie	Female	No	76	Unemployed	NamWater	5 km	Yes	50	Yes	Yes	Very good	
Maria Mqagdelena Goliah	Bethanie	Female	No	34	Employed	Local Authority	In the Yard	Yes	41	Yes	Yes	Very poor	Baie min wat Nam water doen om water te suiwer en dan verkoop teen duurste, verswak ons tande, dit lui tot ons wat nie kan kompeteer vir werk in ander dorpe nie, lui tot werkloosheid en gemeenskap word gedemoraliseer.
Johannes E Cloete	Bethanie	Male	No	19	Unemployed	Local Authority	In the Yard	Yes	100	No	No	Very poor	Gesondheid-sleg vir ons liggaam, kan nie tuin nat maak met water nie, sukkel om wasgoed skoon te kry agv water,hare breek agv water
Marcelle Pienaar	Bethanie	Female	No	42	Unemployed	Local Authority	100 m	Yes	200	Yes	Yes	Very poor	Baie duur, kort asem, been pyn
Fredrika maidula	Bethanie	Female	No	42	Unemployed	Local Authority	100 m	Yes	200	Yes	Yes	Very poor	Op pensioen, water baie duur
Isak Rooi	Bethanie	Male	No	58	Unemployed	NamWater	130 m	Yes	200	No	Yes	Very poor	Moet ry om water te koop
Francia Saster	Bethanie	Female	No	59	Unemployed	Local Authority	In the Yard	Yes	200	Yes	Yes	Very poor	Liggaam bene en bors pyn, hoofpyn
Klaas kooper	Bethanie	Male	No	74	Self Employed	Local Authority	In the Yard	Yes	200	Yes	Yes	Very poor	1). Health 2). Teeth Canses. Low Self esteem 3). Impacts kettines in the house and water pipes. 4). Bad taste. Not good for vegetable gardens due to heavy salt content.
Hans A. Engelbrecht	Bethanie	Male	No	64	Unemployed		In the Yard	Yes	200	Yes	No	Very poor	Gesondheid, verbruin tande en maagwerkings, water baie duur
Irene Melatjies	Bethanie	Female	No	46	Unemployed	NamWater	In the Yard	Yes	300	Yes	No	Very poor	Bene, Maag,Niere,Vel,Selfbeeld,Hare en baie kalk
Levie Boois (Jackie)	Bethanie	Male	No	41	Employed	NamWater	In the Yard	Yes	350	Yes	Yes	Very poor	Health of tande,duur, smaak sleg,costly to visit dentist and far
Rebecca Boois	Bethanie	Female	No	78	Unemployed	Local Authority	In the Yard	Yes	370	No	No	Very poor	
Christina Kisting	Bethanie	Female	No	55	Unemployed	Local Authority	In the Yard	Yes	1000	Yes	No	Very poor	Bruin tande, Smaak sleg, Selfbeeld
Lucy Boio	Bethanie	Female	No	56	Unemployed	Local Authority	In the Yard	Yes	1000	Yes	No	Very poor	Bruin tande, Smaak sleg, duur

# Appendix G – Grievance Mechanism



# Document control record

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# Appendices

**Appendix A – AF Ad Hoc Complaint Handling Mechanism (ACHM)**

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#### Abbreviations

ACHM	Ad Hoc Complaint Handling Mechanism
BID	Background Information Documents
CBO	Community Based Organisation
CDC	Community Development Committee
CEO	Chief Executive Officer
CMHC	Counselling and Mental Health Centre
DRFN	Desert Research Foundation of Namibia
EE	Executing entity
ESIA	Environmental, social, and gender assessment
ESMP	Environmental and social management plans
ESMS	Environmental and Social Management System
HIV/AIDS	Human immunodeficiency virus infection and acquired immune deficiency syndrome
HR	Human resources
IFC	International Finance Corporation
IPPR	Institute for Public Policy Research
NamWater	Namibia Water Corporation Ltd
NCPE	National Commission for the Promotion of Equality
NIE	National implementing entity
NGO	Non-governmental organisation
PFG	Project Formulation Grant
PS	Performance standard
STI's	Sexually transmitted diseases
TB	Tuberculosis
UNDP	United Nations Development Programme

# 1 Provisions for redress of grievances

*The Ad Hoc Complaint Handling Mechanism (ACHM) is complementary to the Adaptation Fund's risk management framework, including the grievance mechanism required for accreditation of Implementing Entities.*

*The Adaptation Fund (Fund) makes the ACHM available to Implementing Entities and members of the communities that are adversely affected by the implementation of project / programmes funded by the Fund. The purpose of the ACHM is to assist in responding to complaints raised against project / programmes funded by the Fund through a participatory approach.*

*Complainants and implementing entities should use the implementing entity's grievance mechanism as a first step. However, the ACHM can be used in cases where the Parties have failed to reach a mutually satisfactory solution through the implementing entities' grievance mechanism within a year. The ACHM requires a written submission of a complaint by at least one of the Parties.*

*The Adaptation Fund Board secretariat (secretariat) will independently manage all aspects related to complaint handling, under the oversight of the Ethics and Finance Committee (EFC) of the Adaptation Fund Board (Board).*

*The ACHM builds on alternative dispute resolution techniques. Main features of the ACHM are to effectively facilitate dialogue among stakeholders, mediate/assist in resolving issues raised, and develop and share lessons to improve future operations.*

## **Adaptation Fund Ad Hoc Complaint Handling Mechanism (ACHM)**

Grievance mechanisms are an important part of IFC's approach to requirements related to community engagement by clients under the Policy and Performance Standards on Social and Environmental Sustainability. Where it is anticipated that a new project or existing company operations will involve ongoing risk and adverse impacts on surrounding communities, the client will be required to establish a grievance mechanism to receive and facilitate resolution of the affected communities' concerns and complaints about the client's environmental and social performance. The grievance mechanism should be scaled to risks and adverse impacts of the project, address concerns promptly, use an understandable and transparent process that is culturally appropriate and readily accessible to all segments of the affected communities, and do so at no cost to communities and without retribution. The mechanism should not impede access to judicial and administrative remedies. The client will inform the affected communities about the mechanism in the course of its community engagement process (PS 1, Paragraph 23).

A grievance mechanism should be able to deal with most of the community issues that are covered by IFC's Performance Standards. Grievance mechanism requirements in relation to affected communities are explicitly stated with regard to security personnel (PS 4, Paragraph 13); land acquisition (PS 5, Paragraph 10), and adverse impacts on indigenous peoples (PS 7, Paragraph 9). The contractor will be asked to design the mechanism according to the extent of risks and adverse impacts of the project. Impacts on communities are evaluated within the Social and Environmental Assessment for a project.

Grievance mechanisms inform and complement but do not replace other forms of stakeholder engagement. Stakeholder engagement also includes stakeholder identification and analysis, information disclosure, stakeholder consultation, negotiations and partnerships, stakeholder involvement in project monitoring, and reporting to stakeholders. If strategically applied throughout the project life, an integrated range of stakeholder-engagement approaches can help build trust, contribute to maintaining broad community support for the project, and ultimately help companies promote the long-term viability of their investments.

## 1.1 What is grievance

The Good Practice Note<sup>1</sup> defines a grievance as a concern or complaint raised by an individual or a group within communities affected by project construction and company operations. Both concerns and complaints can result from either real or perceived impacts, and may be filed in the same manner and handled with the same procedure. The difference between responses to a concern or to a complaint may be in the specific approaches and the amount of time needed to resolve it. The term 'grievance' implies that there may be a problem. In practice, however, the nature of feedback that communities may want to bring to a contractor's attention will vary, since communities often find it appropriate to use the same channels to communicate not only grievances but also questions, requests for information, and suggestions. Communities may even use these channels to convey what they think the company/contractor is doing well.

The client should keep in mind that unanswered questions or ignored requests for information have the potential to become problems and should, therefore, be addressed promptly. It is good practice to respond to community feedback through the relevant pillars of community engagement, such as disclosure, consultation, and participation in project monitoring. For example, a question about specific benefits the project provides or intends to provide to women in the community can be forwarded to a community liaison or a staff member who specifically deals with gender matters, if such person has been appointed by the project. The person(s) who asked this question are then notified as to who will respond and by when.

## 1.2 Project-level grievance mechanism

A project-level grievance mechanism for affected communities is a process for receiving, evaluating, and addressing project-related grievances from affected communities at the level of the company, or project. In the context of this projects, this mechanism may also address grievances against contractors and subcontractors. Project-level grievance mechanisms offer companies/contractors and affected communities an alternative to external dispute resolution processes (legal or administrative systems or other public or civic mechanisms). These grievance mechanisms differ from other forms of dispute resolution in that they offer the advantage of a locally based, simplified, and mutually beneficial way to settle issues within the framework of the contractor–

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<sup>1</sup> IFC Good Practice Note: Addressing Grievances from Project Affected Communities, 2008. Available from available at [http://www.ifc.org/sectors/sustainability.nsf/Content/Publications\\_GoodPractice](http://www.ifc.org/sectors/sustainability.nsf/Content/Publications_GoodPractice). Accessed on 18<sup>th</sup> August 2014.

community relationship, while recognising the right of complainants to take their grievances to a formal dispute body or other external dispute-resolution mechanisms.

It should be noted, however, that complex issues that arise from high environmental and social impacts are seldom resolved in a relatively simple way. In such cases, projects should anticipate involvement of various third parties in the resolution process to achieve solutions with affected communities. These include, but are not limited to, various national and international mediation bodies, independent mediators and facilitators with sector- and country-specific expertise, and independent accountability mechanisms of public sector financiers.

***Keep your grievance mechanism operational.***

*Once the construction period is over, the project is likely to experience a decrease in the number of complaints. This may be because the issues previously raised have now been resolved, or because the "moment of maximum impact" has passed. While this might mean that a company can scale down the level of resources it was devoting to the day-to-day management of grievances, there should always be a well-functioning procedure for receiving and addressing public concerns whenever they may arise throughout the life of the project.*

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## 2 Approach to grievance redress

### 2.1 Local community grievance procedure structure

The grievance procedure currently utilised by the Bethanie, Grörau and Epukiro communities are that the grievances go through the Local Village Council and the Community Development Committee (CDC). The CDC is made up of representatives from:

- The Local Council;
- Churches;
- Schools;
- NamWater;
- NamPower;
- Elders;
- Youth; and
- Business owners.

The CDC is not as active as it could be and it is recommended that this committee be revived and revised to be able to be the contact point between the project and the local community, and handle all grievances. The community indicated that this is the way they would prefer grievances to be handled. They also stipulated that dates must be set for CDC meetings so that continuous communication between the project and the community can be a reality.

## 2.2 National implementing entity (NIE) - DRFN

DRFN as part of structured / periodic monitoring would take-up the scrutiny of books of accounts as well as scrutiny of audit and accounting systems of the project fund at executing entity level. Release of fund would be based on the scrutiny of accounts and utilization of funds, progress of implementation and action plan submitted by the EE.

Risk parameters identified would be specifically monitored during the field visits as well through reporting mechanism by NamWater to DRFN. Monitoring objectives will also include identification of project bottlenecks and risks as early as possible to address them.

DRFN has a Regional Office at the state capital, Windhoek. DRFN has trained manpower at Regional Office level for implementation of AF projects. DRFN officials/teams at local and regional level would be involved in project guidance, steering, monitoring, auditing, co-ordination with local and regional officials for resolving any bottlenecks in project implementation.

The Ad Hoc Complaint Handling Mechanism (ACHM) is complementary to the Adaptation Fund's risk management framework, including the grievance mechanism required for accreditation of Implementing Entities. Please see the Ad Hoc Complaint Handling Mechanism (ACHM) as approved in October 2016 in Appendix A.

## 2.3 Executing entity (EE) - NamWater

NamWater as the Executing Entity will be responsible for execution of the project as per the approved proposal at the field level ensuring social inclusion including participation of vulnerable groups and women, gender mainstreaming, partnership with local agencies including district level government departments, local self-government, NGOs and CBOs and local communities, their livelihoods and the ecological security of the Area.

NamWater will also undertake key administrative and operational functions, including:

- Development of annual work plans in consultation with the DRFN and implementing partners;
- Financial management (sending out fund requests and receipt of funds from NIE and disbursement to implementing partners)
- Management, supervision, monitoring and evaluation of project activities in close coordination of the implementing partners;
- Reporting to the NIE (e.g., preparation of periodic technical and audited financial reports and annual implementation reports; half yearly ESI and ESMP compliance and impact monitoring report)
- Assigning external consultants wherever necessary to undertake planned project activities/assessments
- Ensuring compliance with NIE procedures for governance and program implementation.
- Provide training and skills transfer to local community, in various sectors to stimulate development.
- Employ local community members, especially vulnerable and marginalised groups.

All employees have a right to lodge grievances in order to redress their feelings of dissatisfaction. The Grievance Procedure is aimed at resolving grievances in the fairest, fastest manner possible. Grievances are feelings of injustice or dissatisfaction affecting employees which may arise out of the work situation. Please see the NamWater Grievance Handling in Appendix B.

## 2.4 Grievance mechanisms needed for projects implemented

Although a company generally differentiates between the actions of its own employees and those of contractors and subcontractors, local communities tend to see no difference and will attribute actions of contractors and subcontractors to the company. This is the case even if contractors are in the country only for a short period of time.

Companies need to anticipate grievances that may arise from the actions of suppliers or contractors, and implement a policy and management tools, such as regular monitoring to govern their behavior and actions, including provisions for coordinated management of grievances and key indicators that help evaluate the effectiveness of contractors' policies and tools. Where there are a small number of contractors, it may be feasible for the contractors to establish and manage their own grievance mechanisms. Companies will need to make sure that these mechanisms do not conflict with the company mechanism or those of the other contractors by establishing clear guidelines and ensuring oversight. Where contractual relationships are more complex or numerous, companies may wish to have all grievances directed to the company's mechanism, regardless of whether they relate to the company or its contractors or subcontractors.

Handling grievances encompasses a step-by-step process as well as assigned responsibilities for their proper completion. Figure 1 below provides **procedure on how grievance** should be received, registered and tracked. Contractors establishing grievance mechanisms will follow the process steps discussed in this section.

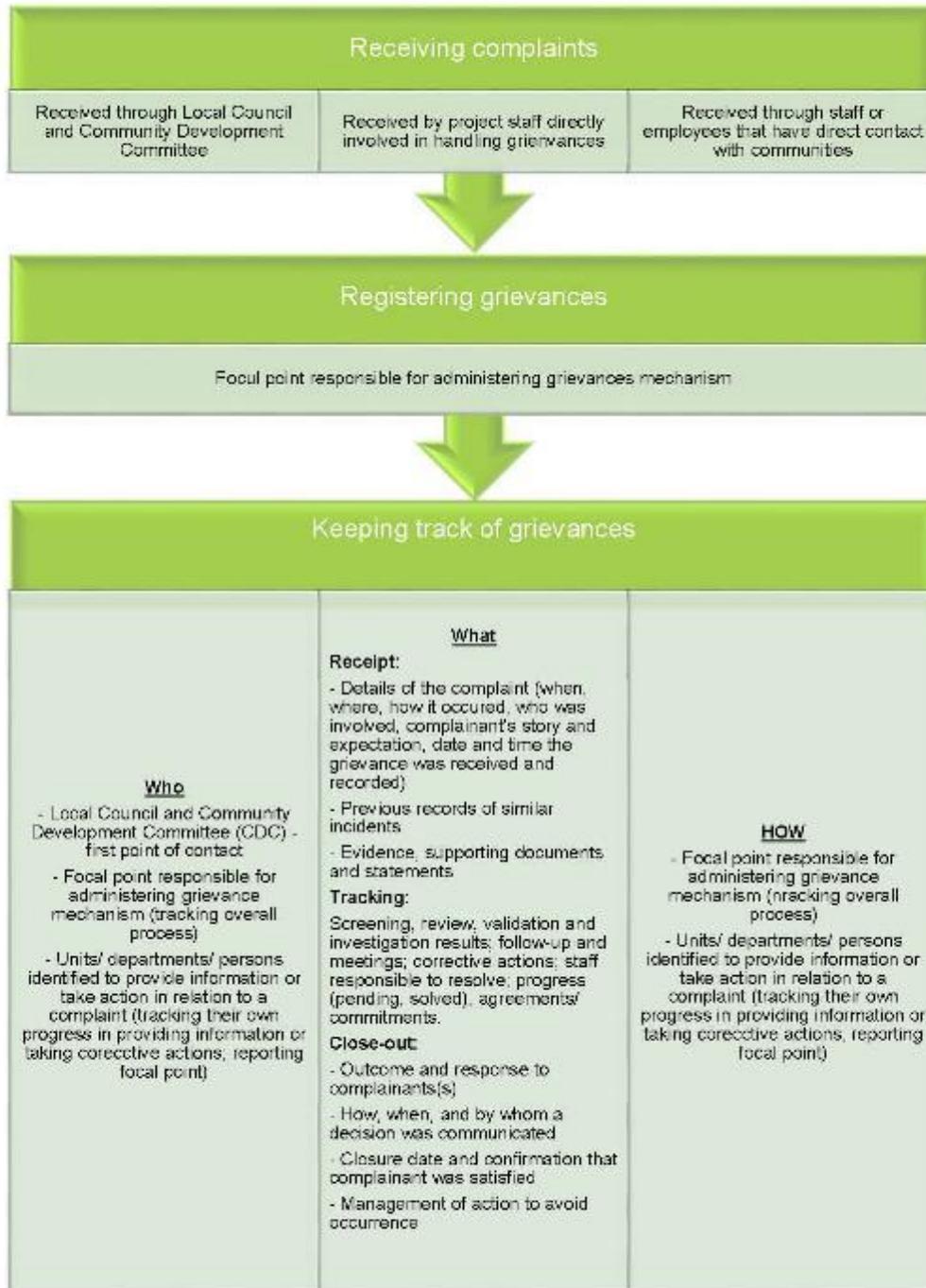


Figure 1: Receipt, registration and tracking of grievances

## 2.5 Step 1: Publicising grievance management procedures

When and how the grievance mechanism is introduced to affected communities can have significant implications for its effectiveness over time. Guiding principles for publicising a grievance mechanism should be in line with cultural characteristics and accessibility factors of affected communities. The information should include at least the following:

- What project-level mechanisms are (and are not) capable of delivering and what benefits complainants can receive from using the contractor's grievance mechanism, as opposed to other resolution mechanisms;
- Who can raise complaints (affected communities);
- Where, when, and how community members can file complaints;
- Who is responsible for receiving and responding to complaints, and any external parties that can take complaints from communities;
- What sort of response complainants can expect from the contractor, including timing of response; and
- What other rights and protection are guaranteed. Ideally, as part of their first interactions with company representatives, communities should be informed of a contractor's intention to establish a grievance mechanism, and continue to be reminded of this mechanism on a regular basis during project implementation. Contractors should emphasize the objectives of the grievance system and the issues it is designed to address. A contractor's community liaison officers, grievance officers, or individuals working in analogous positions, should be responsible for publicising the procedure through appropriate methods.

## 2.6 Step 2: Receiving and keeping track of grievances

Once communities are aware of the mechanism and access it to raise grievances, the contractor needs to process them. Processing includes:

- Collecting grievances;
- Recording grievances as they come in;
- Registering them in a central place; and
- Tracking them throughout the processing cycle to reflect their status and important details.

### 2.6.1 Receiving concerns and complaints

Below are simple rules that any receipt procedure for grievances should follow:

- All incoming grievances should be acknowledged as soon as possible. A formal confirmation with a complaint number, or other identifier, and a timeline for response assures the complainant that the organisation is responding properly, and it gives the project a record of the allegation. If a complaint is received in person, a good practice is to acknowledge it on the spot.

- If a more complex investigation is required, the complainant should receive an update explaining the actions required to resolve the complaint, and the likely timeline.
- The contractor should explain up front what claims clearly are outside the scope of the mechanism and what alternative avenues communities can use to address these potential issues.

### **2.6.2 Step 3: Reviewing and investigating grievances**

For a grievance mechanism to work, all complaints should be handled as promptly as possible, depending on the nature and complexity of the matter. The central unit or person responsible for grievance handling should organise the process to validate the complaint's legitimacy and arrange for investigation of details. Depending on the circumstances of the complaint, various units or departments may need to get involved, including senior management if their direction and decision is required by the established procedures and division of responsibilities. To begin this process, establish the nature of the grievance to determine the measures needed for review and investigation. All grievances will need to undergo some degree of review and investigation, depending on the type of grievance and clarity of circumstances. For example: Minor, straightforward issues may only need screening before proceeding to the next step (resolution options and response). Review of minor issues, especially those related to a complainant's request for information, can generally be handled easily by providing information on the spot, or referring the person to community liaison personnel. If there is any possibility that deeper underlying issues may exist, always take time to look into the complaint further.

Less clear, more problematic, or repetitive issues, or group complaints may need a more detailed review prior to action. Staff involved in handling grievances may need to seek advice internally, and in some cases turn to outside parties to help in the validation process, especially in cases of damage claims. One option to help determine legitimacy is an internal committee comprising staff who will be involved in the operation, staff involved in supervision of the grievance mechanism, and managers from the project departments whose activities are likely to result in claims. For example, the committee might consist a community liaison officer and an operations manager. This committee can also provide initial recommendations on resolution options.

### **2.6.3 Where an extensive investigation is required**

An extensive investigation may be required when grievances are complex or widespread and cannot be resolved quickly. As a way to conform to the principle of "no cost to communities," the contractor should take full responsibility for investigating the details of grievances coming through its grievance mechanism. However, in cases of sensitive grievances such as those involving multiple interests and a large number of affected people, it may help to engage outside organisations in a joint investigation, or allow for participation by Community Development Committee, civil society organizations or NGOs, or local authorities, if the complainants agree to this approach.

***For controversial projects, consider establishing an independent monitoring panel.***

*In some cases, where a project is particularly complex or controversial for instance, an independent monitoring panel may be useful for maximum objectivity and transparency. This panel, which might include stakeholder representatives, internationally recognized experts, and eminent persons, can oversee and report on the project's environmental and social performance.*

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## **2.6.4 Step 4: Developing resolution options and preparing a response**

Once the grievance is well understood, resolution options can be developed taking into consideration community preferences, project policy, past experience, current issues, and potential outcomes. The following approach is proposed:

- A risk-based assessment of potential grievances, disputes or conflicts that may arise during project preparation and implementation;
- Identification of the client's existing capacity for grievance redress; and
- An action plan that identifies priority areas for strengthening grievance capacity, or if necessary, establishing new mechanisms at the project level. Where applicable, dedicated resources should be allocated for realisation of the action plan.

### **Developing resolutions options commensurate with the nature of the grievance**

General approaches to grievance resolution may include proposing a solution:

- Unilaterally (the contractor proposes a solution);
- Bilaterally (the contractor and the complainant reach a resolution through discussion or negotiation);
- Through a third party (either informally or formally through mediation); or
- Through traditional and customary practices.

One of the potential advantages of a grievance mechanism is its flexibility. Rather than prescribe a specific procedure for each particular type of complaint, it may be helpful to establish a 'menu' of possible options appropriate for different types of grievances, so that contractor personnel and community members have models for action when a dispute arises. Options include altering or halting harmful activities or restricting their timing and scope, providing monetary compensation, providing an apology, replacing lost property, revising community engagement strategy, and renegotiating existing commitments.

## **Preparing and communicating clear response**

Regardless of the outcome, a response should be provided to all complainants. Responses can be either oral or written, depending on whether the grievance was received orally or in writing. At the time of first interaction between the contractor representative and complainant(s), there are two possible scenarios:

The claim is rejected and no further action will be taken. If a claim is rejected upfront, it is either ineligible or clearly does not have a basis. If the response is that the grievance does not require action by the contractor to resolve it, all considerations should be documented and included in both the response and the contractor systems for grievance tracking for further reference. Contractors should be diplomatic when telling community members that no further action will be taken, since they are likely to be disappointed. But including a detailed and respectful explanation, together with compelling evidence of why it cannot be accepted, usually keeps a conflict from escalating. The claim is accepted. The response procedure would include two general steps:

1. A preliminary response should be provided within a stipulated period of time and should propose the next steps and actions to be taken for resolution. Let complainants know the results of the assessment and the status of their claims, and encourage and invite further discussion with complainants (to obtain additional arguments, collect more evidence, conduct further investigation, and launch a dialogue). If complainants are not likely to be satisfied with the outcome the contractor is considering, schedule group or individual meetings, as needed, to discuss the findings and further clarify the position of the contractor and of the complainants; and, in more complex cases, have management participate in such meetings, since they are perceived to be the legitimate decision makers.

2. A final response should be given to document the final proposed resolution. Communicate the proposal, stipulate mutual commitments, and ask for the complainants' agreement. If the complainants are not satisfied with the proposed resolution, or the outcome of the agreed corrective actions, they should be free to take their grievances to a dispute resolution mechanism outside of the contractor grievance mechanism.

## **Close out cases only when an agreement with complainants is reached**

Following completion of the agreed-upon corrective actions, it is a good practice to collect proof that those actions have taken place. For example:

- Take photos or collect other documentary evidence to form a comprehensive record of the grievance and how it was resolved;
- Create a record of resolution internally, with the date and time it took place, and have responsible staff sign off;
- Have a meeting with the complainants to get a collective agreement to close out the claim; and
- If the issue was resolved to the satisfaction of the complainants, get a confirmation and file it along with the case documentation.

### **2.6.5 Step 5: Monitoring, reporting, and evaluating a grievance mechanism**

Monitoring and reporting can be tools for measuring the effectiveness of the grievance mechanism and the efficient use of resources, and for determining broad trends and recurring problems so they can be resolved proactively before they become points of contention. Monitoring helps identify common or recurrent claims that may require structural solutions or a policy change, and it enables the contractor to capture any lessons learned in addressing grievances. Monitoring and reporting also create a base level of information that can be used by the contractor to report back to communities. Although internal monitoring is usually sufficient for smaller projects, in the case of projects with significant impacts, or where the facts surrounding the grievance are contentious, monitoring by a neutral third party can enhance the credibility of the grievance mechanism.

#### **Tracking grievance statistics to ascertain effectiveness**

Depending on the extent of project impacts and the volume of grievances, monitoring measures can be as simple as tracking the number of grievances received and resolved, or as complex as involving independent third-party evaluations. Apart from reviewing each grievance and analysing effectiveness and efficiency, companies also can use complaints to analyse systemic deficiencies. Grievance records should provide the background information for regular monitoring, both informal and formal. Therefore, even a simple tracking system should provide an opportunity to aggregate information and recognise patterns in the grievances the contractor receives, and how they are being resolved.

#### **Adapting the mechanism to correct effectiveness**

The final objective of monitoring is to ensure that the design and implementation of the grievance mechanism adequately respond to the stakeholders' needs in a cost-effective manner.

To maintain the mechanism's effectiveness, the contractor must design the mechanism and assign responsibilities to allow for policies and practices to improve efficiencies in the receipt and resolution of grievances. These objectives can be met only through ongoing adjustments to the mechanism, facilitated by support from the management. For example:

- If communities strongly prefer one of several channels offered to submit grievances, focus contractor resources on that channel to lower the costs of methods that communities do not use;
- If only one subgroup in the community raises complaints (for example, women, elderly), determine whether this phenomenon is the result of a particularly high impact of operations on that specific group or an accessibility issue;
- If a large number of grievances do not get resolved through the mechanism, a major change may be required in how the contractor approaches resolution, rather than focusing efforts on resolving individual issues; and

- If the grievances allege that the mechanism lacks transparency, adjust the policy and methods used to publicise it, put more emphasis on inviting the community to participate in decision making through the grievance mechanism, and consider involving third parties.

### **Using monitoring results to report back**

Lessons learned throughout the process of handling grievances can help ensure continual improvement of the contractor's operations. The contractor can also use monitoring to report back to the community on its implementation of the mechanism. In addition, the contractor can designate personnel responsible for translating lessons learned from its monitoring into concrete policy and practice changes for the contractor. A community meeting to explain the results of such reports is also effective, and may lead to a mutually respectful relationship between the contractor and the community.

## **3 Resources needed to manage a grievance mechanism**

### **3.1 Resources for grievance mechanisms**

Grievance mechanisms will be effective if adequate resources, people, systems and processes, and associated financial resources are assigned to implementation, and if responsibilities are clearly defined. Grievance management should be recognised as a business function with clearly defined objectives, assigned responsibilities, timelines, budget, senior management oversight, and regular reporting. For these reasons, grievance mechanisms should be placed within a larger context of a social and environmental management system and should serve as one of the indicators of whether the system is functioning properly. The ultimate responsibility for designing, implementing, and monitoring project-level grievance mechanisms should lie with senior management.

### **3.2 Who should be responsible for implementation?**

For a grievance mechanism to function effectively, it is important to determine a governance structure and assign responsibilities for the mechanism's implementation. The following basic preparations should be taken into account when evaluating resources and allocating responsibilities for grievance mechanism implementation:

- Make sure that the role of senior management is clear, i.e. in what cases and at what stage in the handling of a complaint their decision will be required, and who will be responsible for strategic oversight of grievance management. Senior management has final authority to ensure that commitments to affected communities are met, and clear reporting lines must be established between senior management and those implementing the grievance mechanism.

- Identify personnel or a unit responsible for administering the grievance mechanism (recording complaints, arranging for collection of additional information, consulting relevant departments or persons within the organization, tracking progress, aggregating and forwarding feedback to complainants, reporting). It may be a new or existing unit or person within an organization. Who is best suited to handle these tasks is sometimes determined by the nature of community grievances. Community liaison or an administrative assistant should serve as an entry point to receive and log complaints. Frequent turnover of staff assigned to grievance handling and community liaison can adversely impact the perception of the mechanism.
- It should be noted that other community engagement tasks do not take the place of handling grievances, particularly if a community liaison officer is also assigned to handle the grievance process.
- Where possible, functions of grievances handling should be separated from project management, and assign clear accountability for each, so as to avoid decisions that favour the interest of the contractor only. Safeguards can include clearly defining the authority and decision-making responsibilities of people involved in administering the grievance mechanism, as well as making sure that senior management is ready to intervene. These would include responsibilities for managing the overall process, as well as separate steps (receipt, recording and tracking, investigating, and responding).

### 3.3 Involving third parties

Third parties such as non-governmental organisations, community-based organisations, local governments, local community and religious organisations and traditional councils can sometimes be involved in companies' grievance mechanisms. They can serve as process organisers, places to bring a complaint to be passed on to the contractor, or as facilitators, witnesses, advisors, or mediators. In some cases, it may be beneficial to place part of the responsibility for the process on external entities, formed within the communities themselves or acceptable to them while the contractor maintains ultimate responsibility and accountability for the process. Third parties can help increase the level of trust from communities as well as overcome certain limitations of project-level mechanisms, such as lack of transparency, insufficient contractor resources, possible conflict of interest, and biases, provided that they themselves are perceived to be unbiased and impartial relative to both the contractor and the communities. It is recommended that the Local councils and Community Development Committees be the first point of contact.

### 3.4 Options for third party engagement

To have an effective project-level grievance mechanism, companies need to understand the roles of third parties before engaging them. For example:

Community self-governance structures (such as village councils, tribal councils). These should be taken into account when developing a grievance mechanism to ensure cultural appropriateness, community involvement in decision making, and efficient and effective use of existing community resources.

Local NGOs, CBOs - Identify those that are active in the area of project or company operations, learn about their interactions with the affected communities, determine what contribution they can make to effective resolution, and discuss options for an NGO to administer the project's grievance mechanism or a part thereof. Sometimes NGOs can also represent local communities and help them build their capacity to understand the process and its benefits, participate in decision making, and articulate grievances and bring them to the attention of companies. Such organizations can be viewed as a voice of communities, and companies should be prepared to deal with grievances brought by NGOs on behalf of communities.

Local government authorities. Communities sometimes bring their project-related complaints to local governments. It would be advisable for the contractor to consider partnering with local authorities to facilitate receipt of grievances from communities. Local governments can also be a resource to help companies resolve complaints, since local authorities may have an established relationship with the communities. They can participate as third parties and advisors in contractor-initiated resolution processes.

## References

### **Reports:**

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# Appendix H – AF Ad Hoc Complaint Handling Mechanism (ACHM)



ADAPTATION FUND

7 October 2016

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Adaptation Fund Board

**AD HOC COMPLAINT HANDLING MECHANISM (ACHM)**

**(APPROVED IN OCTOBER 2016)**

## **Ad Hoc Complaint Handling Mechanism (ACHM)**

### What is the ACHM?

1. The Ad Hoc Complaint Handling Mechanism (ACHM) is complementary to the Adaptation Fund's risk management framework, including the grievance mechanism required for accreditation of Implementing Entities.
2. The Adaptation Fund (Fund) makes the ACHM available to Implementing Entities and members of the communities that are adversely affected by the implementation of project/programmes funded by the Fund. The purpose of the ACHM is to assist in responding to complaints raised against project/programmes funded by the Fund through a participatory approach.
3. Complainants and implementing entities should use the implementing entity's grievance mechanism as a first step. However, the ACHM can be used in cases where the Parties have failed to reach a mutually satisfactory solution through the implementing entities' grievance mechanism within a year. The ACHM requires a written submission of a complaint by at least one of the Parties.
4. The Adaptation Fund Board secretariat (secretariat) will independently manage all aspects related to complaint handling, under the oversight of the Ethics and Finance Committee (EFC) of the Adaptation Fund Board (Board).<sup>1</sup>
5. The ACHM builds on alternative dispute resolution techniques.<sup>2</sup> Main features of the ACHM are to effectively facilitate dialogue among stakeholders, mediate/assist in resolving issues raised, and develop and share lessons to improve future operations.

### How does it function?

6. **Receipt:** Within **5 business-days** of receiving a complaint, after determining whether the complaint is not excluded from the process as per below, the Manager of the secretariat informs the Parties of the receipt of the complaint.
7. In the course of information sharing between the Parties, the secretariat ensures that names and other identifiers are redacted if confidentiality is requested.

**Assessment and Agreement:** The secretariat, based on consultations with the Parties prepares a draft assessment report laying out the concerns and expectations of the Parties within **20 business-days**. The Parties can provide comments to this report within **10 business-days**.

8. The secretariat incorporates relevant comments into a public Final Assessment Report, annexing the Parties' comments and the complaint. The secretariat will design and include, in consultation with the Parties and based on their good faith, an agreed upon strategy towards the mutual understanding of the issues (confirming or dispelling complaints) and potential acceptable ways forward in order to reach solutions. The strategy will be based on alternative dispute resolution techniques. The Final Assessment Report is submitted to the EFC, which will make a recommendation for approval by the Board, as per the Fund's risk management framework.

<sup>1</sup> See Adaptation Fund risk management framework, available at <https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/>.

<sup>2</sup> These include facilitation, mediation, cooperative or interest-based problem-solving, neutral evaluation, joint fact-finding, negotiation, conciliation, arbitration etc.

9. **Non-objection by EFC on the Final Assessment Report:** The secretariat confirms that the agreement of the Parties is included in the Report. The secretariat then promptly circulates this report to the EFC by email and seeks their absence of objection within 14 business-days. If the objection is raised, the secretariat informs the Parties that the secretariat will cease all dispute resolution activities with regard to such complaint.

10. In case the non-objection is provided, the secretariat in consultation with the Parties and their participation implements the strategy. Relevant trust building measures or dispute resolution activities can be based on specific issues raised, or grouping of issues, addressing them independently one from the other, or holistically covering all aspects of the complaint.

11. **Implementation and Monitoring:** The ACHM requires trust building measures, and continued good faith engagement. Hence, it cannot be time bound. The secretariat will prepare and submit the update reports on the implementation of the agreed-upon dispute resolution strategy proposed in the Final Assessment Report. The Update Reports are submitted to the EFC. The cost for ACHM activities is covered by the Fund.

12. The ACHM is not a guarantee to achieving resolution. If within two Update Reports the ACHM was not able to implement any activity part of the dispute resolution strategy, the Manager of the Fund's secretariat in consultation with the EFC Chair may decide to suspend or terminate the dispute resolution activities.

13. In case the dispute resolution activities are suspended, the secretariat informs the Parties that the ACHM will temporarily cease with regard to such complaint and the reasons behind the suspension.

14. The Manager of the secretariat in consultation with the Parties revisits the decision to suspend dispute resolution activities on a bi-monthly basis. In doing so, the secretariat seeks the Parties' good faith agreement to reengage. The ACHM resumes such activities if the Manager of the secretariat in consultations with the Parties deems that conditions are met to do so.

15. **Remedy and Incentive:** In case such activities are to be terminated because of the lack of cooperation by any of the Parties, the secretariat may refer the complaint to the EFC, who may recommend to the Board the measures included in the Risk Management Framework.

16. **Resolution:** Once all matters are deemed resolved or dispute resolution activities are terminated, the secretariat issues a Final Resolution Report, making mention of any interim solutions reached in the process.

17. The secretariat will include in the Final Resolution Report a succinct analysis of systemic policy-related aspects that may have led to the complaint or its lack of resolution. Such aspects may include Policy compliance, institutional capacity, environmental and social risk management framework, weakness in supervision, technical expertise, disclosure and consultations, or other relevant aspects.

18. This report is shared with the Parties to provide their comments within 14 business-days. The secretariat incorporates any relevant comments in the Final Resolution Report, annexes the Parties' comments, and submits the report to the Board.

Who can complain, can it be confidential?

19. Any individual, or their representative(s), living in an area where impacts of a Fund-supported project may occur, can bring a written complaint forward to the secretariat.

20. If complainants believe that there may be a risk of retaliation for raising their concerns, they can request confidentiality. Confidentiality includes names, addresses, pictures and any other identifying information. This provision also applies to complainants' representatives or any other individual believed to be, at present time or in the future, at risk of retaliation.

21. Confidentiality can be requested at any time and is provided throughout the process. Except the secretariat, no one will have access to confidential information.

#### How and when to complain?

22. Complaints will be submitted in writing in any UN language.<sup>3</sup> However, when a complaint is not submitted in English and for the purposes of translation, additional time may be required to prepare the draft assessment report referenced in paragraph 8.

23. Contact information to submit a complaint are as follows: 1- by electronic email to [afcomplaints@adaptation-fund.org](mailto:afcomplaints@adaptation-fund.org); or 2- by hard copy to Adaptation Fund Board secretariat, 1818 H Street NW, N7-700, Washington, DC 20433, USA.

24. Complaints will indicate names and addresses of the complainants. They will also indicate whether representative(s) are appointed, listing the representative(s) names and addresses.

25. Complaints will include any information relevant to the project (i.e., title, location, sector, description...) including the project activities believed to be the actual or potential source of the harm, the nature of the harm attributed to those activities.

26. Complaints can be sent up to the date of the submission of the final evaluation report of the project concerned.

#### Exclusions

27. Complaints with any of the following characteristics are excluded from the ACHM:
- a) Anonymous complaints (confidential complaints are different and provided for as per above);
  - b) Frivolous, malicious, or vexatious complaints<sup>4</sup>;
  - c) Complaints from executing entities or their staff against the implementing entity with which they are contracting related to a contract between the executing entity and the implementing entity;
  - d) Complaints related to activities that have no relevance to the Fund-supported project; or
  - e) Complaints related to matters already addressed in the context of an earlier complaint and for which a solution was agreed upon, unless this complaint is based on new facts not known at the time of the initial complaint.

<sup>3</sup> The official languages of the UN are Arabic, Chinese, English, French, Russian and Spanish.

<sup>4</sup> The generally accepted meanings of the terms "frivolous, malicious and vexatious" are as follows: (i) frivolous-trivial, trifling or futile, not serious; (ii) malicious-bearing active ill-will or spite, or having wrongful intention toward any other; and (iii) vexatious-causing or tending to cause irritation, frustration or distress, or not having sufficient grounds for action and seeking only to cause annoyance. The factors which may indicate that a complaint is frivolous, malicious or vexatious include the complaint: fails to identify clearly the substance or precise issues which require to be addressed; complains solely about trivial matters to an extent out of proportion to their significance; is part of a "tit for tat" complaint; continually changes, apparently to prolong the engagement with the ACHM; adds no new information from a complaint which has already been addressed by the ACHM; is made by a person who makes excessive contact or unreasonable demands, including abusive behavior and threats.

## Disclosure

28. In accordance with Implementing Entities' fiduciary duties to comply with the standard on transparency, anti-corruption measures, and self-investigative authority, the Adaptation Fund will maintain a page on its website, the Accountability Register, relevant to the grievance mechanisms of the Implementing Entities. This page will list each Implementing Entities' grievance mechanisms as well as this ACHM.

29. In the interest of transparency, the Adaptation Fund also dedicates on its Accountability Register a page for each complaint received where all relevant documents are disclosed, including final assessment reports, public notices, update reports, and final resolution reports. This page is cross-linked to the project's page.

30. Implementing Entities are encouraged to link the Adaptation Fund's Accountability Register to their website.

# Appendix I – NamWater Grievance Handling

## CHAPTER 31

### GRIEVANCE HANDLING

#### 1. GENERAL

- 1.1 All employees have a right to lodge grievances in order to redress their feelings of dissatisfaction. The Grievance Procedure is aimed at resolving grievances in the fairest, fastest manner possible. Grievances are feelings of injustice or dissatisfaction affecting employees which may arise out of the work situation.
- 1.2 Appeals against disciplinary actions will not be dealt with through grievances.
- 1.3 Employees may lodge grievances without fear of victimisation or harassment.
- 1.4 Grievances should be resolved as quickly and fairly as possible and at the lowest level possible.
- 1.5 Aggrieved employees have the right to be assisted by an employee representative who may be a shop steward or a fellow employee.
- 1.6 Records of grievance hearings will be kept.

#### 1. STEPS IN HANDLING GRIEVANCES

##### **Step 1: Immediate Superior**

- (i) The employee must in the first instance discuss his/her grievance with the immediate superior, or the latter's superior in the event of a grievance against the immediate superior.
- (ii) The superior must try to resolve the grievance within five (5) working days and inform the aggrieved employee accordingly.
- (iii) The aggrieved employee, if not satisfied with the outcome, may appeal to the next higher level.

##### **Step 2: Hearing**

- (i) The matter is referred to the relevant Manager.
- (ii) The employee completes a grievance form with all relevant details. The employee may be assisted by the Industrial Relations Officer. The form is handed to the Divisional Manager.
- (iii) The Manager shall hold an inquiry into the grievance which will be attended by the employee concerned, the respondent, the employee's representative, the Industrial Relations Officer and any other person(s) co-opted by the Manager.
- (iv) The Manager must pronounce a decision within five (5) working days.
- (v) If the aggrieved employee is still not satisfied, he/she may appeal to the General Manager concerned and the Chief Executive Officer whose decision will be final.

#### 3. PROCEDURE FOR A GRIEVANCE THAT INVOLVES MORE THAN ONE EMPLOYEE

If the grievance lodged involves more than one employee, it is recommended that the employees (if more than ten) should select a spokesperson and at least two or three employees to represent the group.

#### 4. ROLE OF AN EMPLOYEE REPRESENTATIVE

4.1 With a view to ensuring that grievances are dealt with efficiently, an employee representative is encouraged to be familiar with the relevant information (which will vary depending on the nature of the dispute) pertaining to the employee and the grievance, such as:

4.1.1 Conditions of employment and NamWater rules;

4.1.2 Knowledge of the work performed by the employee ;

4.1.3 Labour/employment legislation;

4.2 The representative is encouraged to -

4.2.1 Ensure that the employee expresses his/her grievance freely and openly;

4.2.2 investigate and clarify the grievance;

4.2.3 be able to distinguish fact(s) from opinion(s);

4.2.4 note the relevant facts;

4.2.5 establish what outcome is desired;

4.2.6 verify facts (third parties, knowledge, work performed, NamWater rules, regulations, conditions, line of authority, etc.)

4.2.7 decide whether the grievance is valid and advise the employee accordingly.

#### ROLE OF THE SUPERVISOR / MANAGER

The supervisor and/or Manager of a grievance meeting should –

4.3 listen and encourage the employee to express his / her grievance freely and openly;

4.4 clarify and investigate the grievance;

4.5 focus on the grievance not the employee's personality;

4.6 distinguish fact from opinion;

4.7 note the relevant facts;

4.8 establish what settlement is desired;

4.9 verify facts (third parties, knowledge, work performed, NamWater rules, regulations, conditions, line of authority, etc.);

4.10 obtain assistance from senior or human resources management if necessary.

#### 5. DISPUTES/UNRESOLVED GRIEVANCES <sup>8</sup>

If the grievance is not resolved internally then the employee(s) who lodged the grievance may pursue any remedies which may be available to them in terms of the Labour Act or any other applicable legislation.