

ANNEX 7

SUMMARY OF CONSULTATIONS AND STAKEHOLDER ENGAGEMENT PLAN FOR ENHANCING COMMUNITY RESILIENCE AND WATER SECURITY IN THE UPPER ATHI RIVER CATCHMENT, KENYA

1.0 Introduction

NEMA Kenya, an Accredited Entity (AE) has submitted a project proposal entitled: “Enhancing Community Resilience and Water Security in the Upper Athi River Catchment, Kenya” to the Green Climate Fund (GCD) for grant financing. The project’s objective is to **enhance community resilience and water security in the Upper Athi River Catchment Area (ARCA) in Kenya**, particularly in the counties of Machakos, Kiambu, Nairobi, and Nyandarua. The target catchment is key to Kenya’s water management and host some of the most vulnerable groups of society.

The project will address the following challenges and barriers to improve adaptive capacity in ARCA:

- a) Weak technical basis of monitoring and information system on hydrology and meteorology constrains the adaptive capacity against flood and drought within the ARCA
- b) Limited technical and institutional capacity to cope with climate change in water sector
- c) Climate change is expected to exacerbate water quality problems in the area.
- d) Floods, droughts, and the reduced availability of water in the area have impacted the water infrastructure in the area, in particular the provision of drinking water and domestic use.

The project objective is expected to be achieved through three outputs:

- a) Output 1: enhance hydrological and meteorological monitoring system to support decision making, planning and policy development in water and climate change sector.
- b) Output 2: improve climate water resilience by building, enhancing and rehabilitating prioritized water infrastructure and implementing conservation activities in the catchment.
- c) Output 3: Strengthen water and adaptation planning, institutional and regulatory framework to respond to changing climatic conditions.

The project would directly benefit 192,770 people in the project area (Kiambu, Machakos, Nairobi, and Nyandarua), with indirect beneficiaries reaching 4,850,00 people within the catchment.

The Project supports the implementation and operationalization of several Kenya’s key national policies strategies and plans, including the National Climate Change Response Strategy (NCCRS), National Climate Change Action Plan (NCCAP), National Adaptation Plan (NAP), the Intended Nationally Determined Contribution (INDC) and the National Water Master Plan (NWMP) 2030.

2.0 Stakeholder Engagement

The design phase of the proposed project has involved all the relevant stakeholders in line with the GCF guidelines and provisions, and national policy and legal frameworks on stakeholder engagement on development and implementation of projects and programmes. The Constitution of Kenya (2010) Article 1(2), 10 (2), 33,35,174, 174 (d), 184, 232,37 refer to public participation. Other relevant Kenyan Legal framework are the County Government Act (2012), and the Environmental Management Coordination Act (EMCA), 1999, among others.

This document presents the initial stakeholder consultations during project design process, and a stakeholder engagement plan for the implementation, operation and maintenance phases. The project will maintain dialogue with Executing Entities, relevant government departments and agencies, beneficiaries and local communities, civil society organizations and other interest groups.

The broad objectives of the Stakeholder Engagement Plan (SEP) are to:

- a) Identify, analyze and prioritize key stakeholder groups;
- b) Provide an appropriate approach for consultations and disclosure of project information throughout the project cycle.
- c) Provide for roles, responsibilities in project consultation, communication and information disclosure; and
- d) Define monitoring and reporting procedures.

3.1 Stakeholder Identification and Analysis

During the project preparation, key stakeholders were identified and involved in the consultations. During inception period of the project, a further stakeholder identification and analysis will be undertaken, and continuously updated during the implementation period. A comprehensive list of stakeholders and database will be developed and maintained by the project. Table 1 shows stakeholder groups, their respective relevance to and interests in the project.

Table 1: Project Stakeholders

Stakeholder	Relevance	Interests
Executing Entities (NEMA, WRA, KMD, and UoN)	<ul style="list-style-type: none">▪ NEMA is both the Accredited Entity and an Executing Entity▪ WRA, KMD, and UoN are proposed Executing Entities	Successful implementation of all project activities to achieve the objective of the project in line with Country and GCF priorities.
The National Treasury	<ul style="list-style-type: none">▪ The National Designated Authority (NDA) for Kenya▪ The focal point for GCF and the core interface	<ul style="list-style-type: none">▪ Officially communicate and liaise with the Fund providing No-Objection Letter for the Programme as confirmation of the Programme conformity with the

	between Kenya and GCF.	<p>national priorities.</p> <ul style="list-style-type: none"> ▪ Ensure that PSC meets quarterly to review the progress and provide necessary guidance and direction to NEMA.
Project Steering Committee (PSC)	Project coordination and oversight- chaired by the Director General NEMA with representatives from the National Treasury, the Ministry of Water and Sanitation, and Ministry of Devolution and Planning, the Council of Governors and representatives of recipients' county governments and other ministries based on necessity.	<ul style="list-style-type: none"> ▪ To provide coordinated oversight to the project implementation.
Ministry of Environment and Forestry	The Ministry of Environment and Forestry (MoEF) is in charge of climate change policy frame work in the country including NCCAP, NAP among others and reports to the UNFCCC on the climate change initiatives and achievement of the NDC in the country	Ensure the project supports the implementation of national climate change policies and plans.
GCF	Providing project financing	Successful implementation of the project to support GCF's paradigm shift objectives, impacts and outcomes.
County Governments of Nairobi, Nyandarua, Machakos, and Kiambu.	<ul style="list-style-type: none"> ▪ Provide leadership / coordination and to implement activities / service delivery. ▪ Environmental conservation and management of natural resources ▪ Coordinating the participation of local communities 	<ul style="list-style-type: none"> ▪ Providing sustainable water supplies to the communities for domestic and agriculture. ▪ Improved resilience of communities to effects of climate change. ▪ Project beneficiary counties ▪ Operation and maintenance of the infrastructure
Communities in the Project areas	<ul style="list-style-type: none"> ▪ Project beneficiaries ▪ Project affected persons 	Project impacts / benefits, construction management /

		mitigation measures
WRUAs	<ul style="list-style-type: none"> ▪ Catchment protection and water resources management. ▪ Community mobilization 	<ul style="list-style-type: none"> ▪ Operation and maintenance of water infrastructure ▪ Catchment protection and management
Ministry of Water and Sanitation	Responsible for national water resources management policy	<ul style="list-style-type: none"> ▪ Project supports the implementation of the Country's water resources management policies and plans
Media	They are intermediaries for information sharing with stakeholders and the general public.	<ul style="list-style-type: none"> ▪ Information on milestones, impacts, project updates
Project partners e.g. Pan African Climate Justice Alliance and Transparency International	Technical/ capacity support during design and implementation	Accountable for delivery of services during construction, technical advice and requirements for project
Scientific/Research institutions	Scientific understanding of the range or problems associated with the proposed project(s). Possible specialists' provision for further activity in project implementation.	<ul style="list-style-type: none"> ▪ Technical advice ▪ Share project knowledge
Civil society groups	Mobilizing local stakeholder involvement	<ul style="list-style-type: none"> ▪ Participation, transparency
Local leadership	Represent community views	Participation, transparency

4.0 Stakeholder Engagement during Project Preparation

Consultations with key stakeholders during project preparation have already taken place. The process of developing this proposal began with a high level tripartite meeting with the Director General of Budget, Fiscal and Economic Affairs from the National Treasury, the National Climate Change Secretariat (NCCS) and the National Environment Management Authority (NEMA) which approved the project activities, work-plan, roles and responsibilities of different project structures. Thereafter agreements were reached with United Nations Environment Program (UNEP), CARE, World Resources Institute (WRI) and the United Nations Development Program (UNDP) on how to offer complementary capacity building activities as opposed to duplication as they are all involved in assisting the government in GCF proposal development. The first Project Steering Committee (PSC) meeting endorsed the roles and responsibilities of the different project structures and the inception meeting endorsed the project work-plan. A stakeholder analysis was conducted, and

various stakeholders were mapped against their power and influence and classified according to their level of interest in the project. In addition, a multi-stakeholder plan which includes negotiation, partnerships and participation procedure, grievance resolution mechanism and stakeholder involvement in project monitoring was developed.

4.1 Engagement with the NDA

The NDA has been widely consulted and engaged in the development of this proposal. The NDA was the chair of the Kenyan GCF Project Steering Committee whose membership comprised of, various government institutions, AE, and readiness service providers. The NDA also had representation in the Project Development Teams (PDT) that developed this proposal. The PDTs comprised of institutions with water related mandates and University of Nairobi Observers from Pan African Climate Justice Alliance and Transparency International also were part of the process. The NDA also convened some of the meetings and consultations that were held for this proposal.

Table 2: NDA Engagement during project proposal development

Date	Activity
February 2016	Establishment of the GCF Steering Committee (SC) by the NDA. Composition includes NIE, MENR, UNEP and CDKN. Terms of reference for the SC approved by the NDA. NDA convened an inception workshop to begin the process of writing GCF proposals. Over 50 stakeholders from ministries, agencies, departments, civil society, observers and private sector attended. Work-plan to develop GCF proposals developed and approved by stakeholders.
March 2016	NIE convened a GCF training on prioritization of adaptation actions. The training was attended by: the NDA, members of the SC, and representatives from government entities, including Ministry of water, Ministries of Devolution and Planning; Agriculture, Livestock and Fisheries; Industry, Communications, Technology and Innovation; Environment and natural resources; Industrialization and Enterprise; Kenya Association of Manufacturing; civil society actors.
April 2016	The NDA convened a training workshop on GCF proposal development and cost benefit analysis. Workshop was attended by over 20 people. Representation was from Ministries of Devolution and Planning; Agriculture, Livestock and Fisheries; Environment and natural resources; Industrialization and Enterprise and civil society actors
April 2016	NDA convened a meeting Technical Working Group meeting to prioritize potential GCF concepts. Prioritization is based on NCCAP, INDC and NAP priorities. NDA and NIE appoint 25 individuals (Project Development Teams) from various ministries, civil society and private sector to assist in the development of 3 GCF proposals
May 2016	NDA and the NIE conducted the induction of PDTs GCF proposal writing begun
June 2016	NDA convened planning meetings for the PSC
September 2016	NDA issued a Letter of no objection

4.2 Engagement during feasibility studies

During feasibility study, County and community stakeholders were engaged as tabulated in Table 3 below.

Table 3: Stakeholder Engagement During Feasibility Studies

Date	Stakeholder Engagement
5 th December 2017	Initial meeting with representatives of UNEP's Africa Office and NEMA
6 th December 2017	Round table discussion on GCF project cooperation with Ministry of Environment and NEMA
7-11 th December 2017	Technical working group discussions involving NEMA, WRA, KMD, UoN, County governments, Ministry of water and sanitation,
13 th -18 th March 2018	Data collection and stakeholder consultation in Nyandarua with County government, Regional WRA offices, NEMA, KALRO, KMD, KFS, WRUA, Dam management committee, NGOs.
3 th July 2018	Consultation on training programme and capacity building, and development of DSS for water resources management with UoN.
4 th July 2018	Data collection on water related national plans, policy and DB for water resources monitoring with WRA
6 th July 2018	Data collection on DB for weather monitoring, cooperation between KMD and WRA
3 th -13 th July 2018	Field survey on potential stations for surface and ground water monitoring stations
August-October 2018	Consultative meetings with key stakeholders (NEMA, WRA, KMD, WRAs, WRUAs, water companies, County governments) on GCF proposal design, and development of methodology to identify water infrastructure for rehabilitation.
15 th -16 th October 2018	Workshop and stakeholders meeting on the feasibility study report

4.3 Engagement During the Preparation of the ESMF

Consultations with key stakeholders at the County and community level took place during the process of developing the ESMF for the Project. Table 4 below provides a summary of the consultation and participation process during the ESMF development phase.

Table4: Summary of Public Consultation Meetings Held as part of the ESMF

Date	Meeting description and objectives	Participants summary
6 July 2018-11 July 2018	<p>Scoping Mission</p> <p>Objective: Introduction of consultants and the ESMF; Understanding of the key issues and concerns; and identification of key stakeholders.</p> <p>Where: Nyandarua, Kiambu, Machakos</p>	County Government of Nyandarua, Kiambu, Machakos; WRA; NEMA; WRUAs; Tree is Life, world Vision
16 October 2018 – 29 th October 2018	<p>ESMF Stakeholder Validation Workshop</p> <p>Objective: Share key findings and recommendations of the ESMF; Provide a platform for provision of concrete areas for improvement and exchange experiences and knowledge; To identify and propose focused strategic and feasible interventions to strengthen the ESMF and project implementation in Nairobi.</p> <p>Where: Nairobi, Nyandarua, Kiambu, Machakos</p>	NEMA; WRA; County Governments of Nyandarua, Nairobi, Machakos, and Kiambu; Dam Committees; WRUAs; PIU; KEITI; KRC ASAL Envirotech consult; TUNAY, Water Companies and Local administration

Two hundred and thirty-one (231) people were engaged throughout this process with 82% being those that live within and around the proposed water infrastructure or are directly involved in water development and water resources management.

The following are some of the key issues (benefits, fears and concerns) identified by the stakeholders during the consultative workshops.

Table 5: Summary of Issues from Consultation

Perceived Benefits	Fears and Concerns
<ul style="list-style-type: none"> ▪ Improved water supply (provision of reliable sources) for domestic and commercial use including irrigation, fishing and livestock; ▪ Improved access to water for residents (achievement of mandate by water companies); ▪ Enhanced opportunities for employment (especially during the construction phase) and for others, during the operation phase 	<ul style="list-style-type: none"> ▪ Increase in reservoir-related epidemics – water reservoirs and their networks are seen as ideal breeding grounds for mosquitoes, snails and flies (disease carrying vectors); ▪ Lack of adequate involvement of the local communities by the county governments and water companies in operation and maintenance of the water infrastructure; ▪ Resistance from those currently benefiting from the water infrastructure (albeit

<p>and monitors and security guards;</p> <ul style="list-style-type: none"> ▪ Increase in land prices (hedonic value) – appreciation of the value of land following the availability of water; ▪ Improvement of amenities such as transport infrastructure (access to the water reservoirs); ▪ Improvement in catchment protection measures through growing of water friendly trees around the water infrastructure; ▪ Flood protection – Increased magnitude of flooding event captured by water reservoirs; and ▪ Improved recognition especially of WRUAs by County Governments on their role in water resources management at the sub-catchment level. 	<p>through illegal water off-takes). An example is the large-scale carrot vendors washing carrots in preparation for sale at the Mutonyora C water pan in Nyandarua;</p> <ul style="list-style-type: none"> ▪ With improved water supply, there is fear that there may be increased population to some of the project areas. This may have an impact on the land use (types of crops grown and commercialization), diversity in the settlement patterns and in turn, security; and ▪ Shift in priorities and delays in completion of the project – an example was given on the plans for rehabilitation of Rugita Borehole in Kiambu County under the then Kabete Constituency Development Fund, where funds were reallocated to the construction of Kingeero police post.
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4.4 Engagement with GCF

The AE has engaged the GCF since November 2018 through cycles of reviews and feedback on the proposal submitted on the following issues:

- a) Climate rationale of the proposed project
- b) Proposed budget and financial arrangements
- c) Procurement plan
- d) Environmental and social safeguards
- e) The theory of change
- f) Institutional arrangements
- g) The log frame and the proposed indicators
- h) Monitoring and evaluation framework
- i) Project beneficiaries
- j) Required annexes

5.0 Planned Stakeholder Engagement during Project Implementation

This stakeholder engagement will be undertaken during the implementation of the project. The project will conduct further stakeholder identification and analysis during the inception period and continuously update its register of the stakeholders during implementation.

The Stakeholder Engagement Plan will be periodically revised and updated as necessary in the course project implementations in order to ensure that the information presented herein is consistent and is the most recent, and that the identified methods of engagement remain appropriate and effective in relation to the project context and specific phases of the development. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP.

Table 6: Stakeholder Engagement Plan

Target stakeholders	Topic(s) of engagement	Method(s) used	Location/frequency	Responsibilities
Project Steering Committee	<ul style="list-style-type: none"> Project progress Challenges requiring policy interventions 	<ul style="list-style-type: none"> Quarterly meetings Review workshops Shared Progress/status reports Scheduled site tours 	Quarterly and when required	NEMA
Project Executing entities	<ul style="list-style-type: none"> Project Progress Challenges Work planning/budgets M&E 	<ul style="list-style-type: none"> Face to face meetings Regular Correspondences- emails and letters Telephone calls Field visits Planning workshops Training workshops 	<ul style="list-style-type: none"> Monthly meetings Continuous during the project 	NEMA WRA KMD UoN
NDA	<ul style="list-style-type: none"> Project progress Challenges requiring policy interventions 	<ul style="list-style-type: none"> Face to face meetings Correspondences Shared status reports 	Quarterly and when required	NEMA
GCF	<ul style="list-style-type: none"> Project progress Safeguard performance Financial performance 	<ul style="list-style-type: none"> Annual reports Correspondences Video call conferences Face to face meetings 	Annual Regular	NEMA
Ministries of Environment and Forestry & Water and Sanitation	<ul style="list-style-type: none"> Project progress Challenges requiring policy interventions 	<ul style="list-style-type: none"> Quarterly meetings Review workshops Shared Progress/status reports Newsletter 	Quarterly	NEMA WRA KMD

Project Beneficiaries / Project Affected Persons	<ul style="list-style-type: none"> • Disclosures of environmental and social impacts during ESIA studies • Project scope and rationale • Project progress • Grievance mechanism process • Operation and maintenance • Participation/roles 	<ul style="list-style-type: none"> • Public meetings e.g. project launch, disclosure meetings, progress meetings • Face-to-face meetings • Mass/social media communication (as needed) • Written information: brochures, posters, flyers, website, Information boards or desks • Newsletter • Radio and TV and print media • Notice Boards • Focus Group Discussions • Households visits/surveys and interviews • Information repositories at Project sites – with feedback mechanism (suggestion/complaint boxes) 	<ul style="list-style-type: none"> • Project sites at beginning of the project and throughout the project period. • Continuous communication 	<ul style="list-style-type: none"> • NEMA/WRA/KMD • Consultants • Contractors • County government
County governments. Local political leadership, other government agencies	<ul style="list-style-type: none"> • Project scope and progress • ESIA studies and implementation of ESMPs • Grievance mechanism process • Operation and maintenance • Project beneficiaries 	<ul style="list-style-type: none"> • Face-to-face meetings • Joint site visits to assess progress • Written information: brochures, posters, flyers, website, Information boards or desks • Telephone calls • Newsletter 	<ul style="list-style-type: none"> • Throughout the project • 	<ul style="list-style-type: none"> • NEMA/WRA/KMD • Consultants • Contractors

Press and media	<ul style="list-style-type: none"> • Project visibility • Sharing project progress, benefits, and impacts • ESIA disclosures 	<ul style="list-style-type: none"> • Invitation to public meetings • Mass/social media communication • Disclosure of written information: Brochures, posters, flyers, website, fact sheets • Media briefing meetings • Media conducted tours 	<ul style="list-style-type: none"> • Project launch • Frequently 	<ul style="list-style-type: none"> • NEMA
Civil Society (NGOs and CBOs)	<ul style="list-style-type: none"> • Disclosures of environmental and social impacts during ESIA studies • Project scope and rationale • Project progress • Grievance mechanism process • Participation/roles 	<ul style="list-style-type: none"> • Public meetings e.g. project launch, disclosure meetings, progress meetings • Face-to-face meetings • Mass/social media communication (as needed) • Written information: brochures, posters, flyers, website Information boards or desks • Newsletter 	<ul style="list-style-type: none"> • Regular and continuous 	<ul style="list-style-type: none"> • NEMA/WRA/KMD
WRUAs	<ul style="list-style-type: none"> • Catchment protection and conservation measures • Operation and maintenance • Community participation 	<ul style="list-style-type: none"> • Public meetings • Face to face meetings • Workshops • Mass/social media communication (as needed) • Written information: brochures, posters, flyers, website Information boards or desks • Newsletter 	<ul style="list-style-type: none"> • Regular and continuous 	<ul style="list-style-type: none"> • NEMA/WRA/KMD • County governments

Academic/research institutions/other project partners	<ul style="list-style-type: none"> • Project progress • Data sharing • Technology transfer • Experience sharing 	<ul style="list-style-type: none"> • Workshops • Trainings • Project website/databases • Fact sheets • Policy briefs 	Regularly	<ul style="list-style-type: none"> • NEMA/WRA/KMD
Project staff	<ul style="list-style-type: none"> • Project information: scope and rationale and E&S principles • Work plans and budgets • Operational policies • Project progress • Fiduciary responsibilities • Environmental and social safeguards • M&E and reporting 	<ul style="list-style-type: none"> • Project meetings • Correspondence: Emails, memos, letters • Trainings/workshops 	Continuous	<ul style="list-style-type: none"> • NEMA • KMD • WRA • UoN

6.0 Monitoring, Evaluation and Reporting

The Stakeholder Engagement Plan will be periodically revised and updated as necessary in the course project implementations in order to ensure that the information presented herein is consistent and is the most recent, and that the identified methods of engagement remain appropriate and effective in relation to the project context and specific phases of the development. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP.

Monthly summaries and internal reports on public grievances, enquiries and related incidents, together with the status of implementation of associated corrective/preventative actions will be collated by responsible staff and referred to the senior management of the project(s). The monthly summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those in a timely and effective manner.

Information on public engagement activities undertaken by the Project during the year may be conveyed to the stakeholders in a standalone annual report on project's interaction with the stakeholders.

A number of Key Performance Indicators (KPIs) will also be monitored by the project on a regular basis, including the following parameters:

- a) Number of public hearings, consultation meetings and other public discussions/forums conducted within a reporting period (e.g. monthly, quarterly, or annually);
- b) Number of participants attending consultation meetings and other forums disaggregated to show women, and vulnerable and marginalized persons;
- c) Frequency of public engagement activities;
- d) Number of public grievances received within a reporting period (e.g. monthly, quarterly, or annually) and number of those resolved within the prescribed timeline;
- e) Number of press materials published/broadcasted in the local, regional, and national media;
- f) Number of meetings and workshops held