Kenya Urban Support Program (KUSP2)

"Making Kenyan Towns Work!"

MINISTRY OF LANDS, PUBLIC WORKS, HOUSING AND URBAN DEVELOPMENT

State Department for Housing and Urban Development

Stakeholder Engagement Framework Guideline & Template for

Homa Bay Municipality Sub-Projects

December, 2025

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List of Abbreviations

Abbreviation Meaning

APA	Annual Performance Assessment
CGA	County Governments Act
CPCT	County Program Coordination Team
EIA	Environmental Impact Assessment
EMCA	Environmental Management and Coordination Act
ESCP	Environmental and Social Commitment Plan
ESF	Environment and Social Framework
ESS	Environment and Social Standard
KDSP	Kenya Devolution Support Program
KUSP2	Second Kenya Urban Support Program
MCs	Minimum Conditions
NGOs	Non-Governmental Organizations
NMT	Non-Motorized Transport
PSs	Performance Standards
SDHUD	State Department for Housing and Urban Development
SEA	Strategic Environmental Assessment
SEP	Stakeholder Engagement Plan
UDG	Urban Development Grants
UIG	Urban Institutional Grants
WHR	IDA Window for Host Communities and Refugees

1.0 Background and Introduction

Homa Bay Municipality is a participating urban area under the Second Kenya Urban Support Programme (KUSP II), a national urban development initiative aimed at strengthening municipal institutions and financing high impact infrastructure investments. The programme provides Urban Development Grant (UDG) funding to municipalities that meet governance, planning, financial management, and safeguards performance standards.

As part of the UDG requirements, municipalities are required to ensure that all proposed investments are identified and prioritized through structured stakeholder engagement and public participation processes. This requirement is anchored in both national legal provisions and programme operational guidelines. It ensures that selected projects respond to actual community needs, reflect sector priorities, and are socially acceptable.

This Stakeholder Engagement Framework and Implementation Report has been prepared to guide and document how Homa Bay Municipality undertook stakeholder engagement in the identification, prioritization, and validation of selected UDG projects namely:

1. Construction of a modern fully equipped fire station
2. Purchase of a skip loader

The report explains the engagement approach, stakeholder identification process, consultation methods used, prioritization procedures, communication strategies, grievance handling arrangements, and monitoring mechanisms that were applied. It serves both as a planning framework and as documentary evidence of compliance with KUSP II stakeholder engagement requirements.

1.1 The Second Kenya Urban Support Programme (KUSP II)

The Second Kenya Urban Support Programme is implemented by the Government of Kenya through the State Department responsible for Urban Development in collaboration with County Governments and Municipal Boards. The programme is designed to strengthen urban governance systems while financing critical infrastructure that improves urban functionality and service delivery.

Under KUSP II, municipalities access Urban Development Grants based on performance assessments. These grants finance infrastructure investments that fall within approved eligibility categories. Eligible investments typically include:

- Urban roads and associated drainage infrastructure, which improve mobility, accessibility, and stormwater management.
- Non-motorized transport facilities such as footpaths and walkways, which enhance pedestrian safety.

- Urban service facilities including markets and emergency response infrastructure.
- Traffic and mobility infrastructure such as organized parking facilities.
- Public lighting and safety-enhancing installations.

A mandatory requirement under KUSP II is that municipalities must demonstrate that selected projects are derived from participatory planning and stakeholder consultation processes. Evidence of stakeholder engagement must be documented through meeting notices, attendance registers, minutes, prioritization records, and validation forums. These records form part of the Annual Performance Assessment (APA) verification process.

1.2 Principles Guiding Stakeholder Engagement

Stakeholder engagement activities undertaken by Homa Bay Municipality was guided by a set of operational principles designed to ensure that the process was meaningful, inclusive, and credible. These principles included;

- **Inclusivity**
  The engagement process is designed to ensure representation from diverse stakeholder groups, including residents, traders, transport operators, women groups, youth representatives, persons with disabilities, professional bodies, and government sector departments. Special effort was made to ensure that groups that are often underrepresented in public forums were invited through structured channels.
- **Transparency:**
  project information is presented during stakeholder meetings including clear explanations of programme eligibility rules, funding limitations, technical feasibility considerations, and safeguards requirements. Participants were informed not only about what projects could be selected but also why certain proposals might not qualify.
- **Participation:**
  Stakeholders are not only invited to attend meetings but are given structured opportunities to propose projects, justify their priorities, ask technical questions, and participate in ranking exercises
- **Accountability and Traceability:**
  All stakeholder inputs are recorded through meeting minutes, ranking sheets, and validation records. The final prioritization outcomes should read back to participants and confirmed through plenary endorsement.
- **Continuity of Engagement:**
  The Municipality commits that stakeholder engagement would continue beyond project selection into design review, safeguards disclosure, implementation monitoring, and post-completion feedback.

2.0 Stakeholder Engagement Framework

This Stakeholder Engagement Framework provided a structured approach that the Municipality will use to plan, conduct, document, and follow up on stakeholder consultations. The framework ensured that engagement activities are not conducted on an ad hoc basis but instead follow a predictable, auditable, and repeatable process. The framework clearly defines:

- Who should be engaged at each project stage
- What type of engagement should be conducted
- Which communication tools should be used
- How feedback should be captured and addressed
- How grievances should be reported and resolved
- How engagement outcomes should be documented

2.1 Sub Project Overview

The stakeholder engagement process undertaken by Homa Bay Municipality focused on Urban Development Grant (UDG) eligible investments under the Second Kenya Urban Support Programme (KUSP II). Following structured technical screening, stakeholder consultations, and participatory prioritization exercises, the Municipality identified and validated two priority sub-projects for implementation.

These projects were selected based on demonstrated urgency, public safety needs, service delivery gaps, alignment with municipal development objectives, and compliance with KUSP II eligibility criteria.

1. Construction of a Modern Fully Equipped Fire Station

The Municipality identified the need for a purpose built, fully equipped fire station to strengthen urban emergency response capacity. Rapid urban growth, increased commercial activity, and expanding residential areas have heightened fire risk exposure within Homa Bay Municipality.

The proposed fire station will:

- Provide a permanent and strategically located base for fire and emergency response services
- Improve response times to fire outbreaks, road accidents, and other emergencies
- Enhance disaster preparedness and resilience within the Municipality
- Improve safety standards for public facilities, businesses, markets, and residential areas
- Support coordination with county disaster management units

Stakeholders emphasized that inadequate emergency infrastructure poses significant risk to life, property, and economic activity. The project was therefore prioritized as a public safety and resilience intervention essential for sustainable urban development.

2. Purchase of a Skip Loader for Solid Waste Management

The second prioritized sub-project is the acquisition of a skip loader to strengthen municipal solid waste collection and transportation systems.

Homa Bay Municipality currently faces operational challenges in waste handling due to limited equipment capacity. Inefficient waste collection contributes to environmental degradation, blocked drainage systems, public health risks, and reduced urban aesthetics.

The skip loader will:

- Improve efficiency of waste collection operations
- Enhance coverage of waste management services
- Reduce illegal dumping and accumulation of waste in public spaces
- Support environmental sanitation and public health objectives
- Strengthen municipal capacity to meet service delivery standards

Stakeholders highlighted solid waste management as a visible and high-impact urban service affecting markets, residential areas, transport corridors, and public institutions. The equipment investment was therefore prioritized as an operational capacity enhancement project critical to urban cleanliness and environmental compliance.

Sub-Project Summary

Sub-Project 1 Name: Construction of a Modern Fully Equipped Fire Station

Sub-Project 2 Name: Procurement of a Skip Loader for Solid Waste Management

Location: Homa Bay Municipality, Homa Bay County

Funding Source: Urban Development Grant (UDG) – KUSP II

Implementation Duration: To be confirmed upon approval and procurement scheduling

These selected projects collectively address urban safety, emergency preparedness, environmental management, and service delivery efficiency, aligning with municipal development priorities and stakeholder-identified needs.

2.2 Purpose of Stakeholder Engagement

The stakeholder engagement process for Homa Bay Municipality UDG projects was conducted with clearly defined objectives that go beyond simple consultation. The purpose was to ensure that project selection and validation were based on informed, inclusive, and participatory decision-making processes.

The engagement process was designed to achieve the following purposes:

1. **To Inform Stakeholders on KUSP II Programme Requirements and Opportunities**
   Stakeholders were sensitized on the objectives, funding structure, eligibility criteria, and safeguards requirements of the KUSP II programme. This ensured that participants understood the scope of what could be funded and the compliance conditions attached to UDG investments. Providing this foundation helped stakeholders make realistic and technically eligible project proposals.

2. **To Provide a Structured Platform for Stakeholder Input in Project Identification**
   The engagement forums allowed stakeholders to propose and discuss potential investment projects based on local needs and sector priorities. Rather than relying solely on internal municipal planning, the process incorporated ground-level perspectives from users, service providers, and community representatives.

3. **To Facilitate Participatory Project Prioritization**
   Because UDG resources are limited and cannot fund all proposed investments simultaneously, stakeholders were guided through a transparent prioritization process. Participants evaluated project proposals using agreed criteria such as urgency, population benefit, economic impact, feasibility, and alignment with municipal development plans.

4. **To Build Ownership and Social Acceptance of Selected Projects**
   When stakeholders participate directly in project selection and validation, they are more likely to support implementation and cooperate during execution. The engagement process therefore contributed to building trust, reducing resistance risk, and strengthening municipal accountability.

5. **To Capture Stakeholder Concerns, Risks, and Safeguards Issues Early**
   Stakeholder engagement provided an opportunity to identify potential environmental, social, land-use, access, and livelihood concerns at an early stage. This early identification supports proper safeguards planning and risk mitigation before project implementation begins.

2.3 Stakeholder Identification

Stakeholder identification was conducted systematically to ensure that all relevant interest groups connected to municipal infrastructure and urban service delivery were recognized and included. The identification process considered institutional actors, direct beneficiaries, potentially affected groups, and oversight agencies.

Stakeholders were categorized into three broad groups to guide engagement planning and communication approaches.

Primary Stakeholders

Primary stakeholders were those who are directly involved in project planning, approval, implementation, or direct use of the infrastructure investments. Their participation is critical because they influence decision-making and are directly affected by project outcomes.

Primary stakeholders included:

- **County Government Sector Departments**
  These departments included Lands, Physical Planning, Housing, Urban Development, Roads, Environment, Trade, Finance, and Public Works. Their role was to provide sector technical guidance, confirm alignment with county plans, and validate feasibility considerations.
- **Municipal Board and Municipal Administration**
  The Municipal Board provided governance oversight and policy direction. The Municipal Manager and technical staff coordinated the engagement process and provided project planning inputs.
- **Municipal Residents and Community Representatives**
  Representatives from residential areas, community-based organizations, and neighborhood associations participated to present local infrastructure needs and service delivery gaps.
- **Business and Trader Associations**
  Business operators, market representatives, and transport sector stakeholders were engaged because parking and road investments directly affect commercial activity and accessibility.
- **Transport Sector Representatives**
  Public transport operators, boda boda associations, and parking operators were included due to their operational dependence on road and parking infrastructure.

Secondary Stakeholders

Secondary stakeholders are groups that are not directly implementing projects but have influence, advocacy roles, or technical oversight responsibilities.

These included:

- Civil society organizations and community advocacy groups working in urban development and service delivery
- Professional and technical agencies involved in planning and environmental oversight
- Utility service providers whose infrastructure may interface with road and parking projects
- Special interest groups representing women, youth, and persons with disabilities

Their participation ensured that social inclusion, accessibility, and compliance perspectives were incorporated.

Tertiary Stakeholders

Tertiary stakeholders include broader information and oversight audiences who may not participate directly in technical selection but are important for transparency and public accountability.

These included:

- Local media institutions that support public awareness
- The general public who benefit indirectly from improved infrastructure
- Academic and research institutions with urban development interest

2.4 Stakeholder Mapping and Engagement Level

After identifying stakeholder groups, the Municipality conducted stakeholder mapping to determine the appropriate level and method of engagement for each category. Mapping considered the degree of interest, level of influence, and expected impact from the proposed projects. This mapping ensured that engagement intensity matched stakeholder relevance and influence.

Stakeholders were classified into engagement levels as follows:

- High Engagement Level Stakeholders
  These included municipal leadership, sector departments, and direct user groups such as transport operators and business associations. They were engaged through

structured workshops, technical meetings, and prioritization forums because their input directly shaped project selection.

- **Medium Engagement Level Stakeholders**
  These included civil society groups and special interest representatives. They were engaged through consultation forums and validation meetings where they could review proposals and provide targeted feedback.
- **General Engagement Level Stakeholders**
  These included the broader public, who were reached through public notices, barazas, and information dissemination channels. Their engagement focused on awareness and feedback opportunities.

3.0 Engagement Strategy

The engagement strategy adopted by Homa Bay Municipality was structured to move stakeholders progressively through information sharing, consultation, prioritization, and validation stages. The strategy ensured that engagement was not a one-time event but a staged process aligned with project development steps.

3.1 Engagement Objectives

The engagement activities were designed to achieve three main operational objectives:

- To ensure that stakeholders were adequately informed about the programme framework and project eligibility conditions before proposing investments.
- To collect structured stakeholder input that would improve the quality, relevance, and feasibility of proposed projects.
- To build collaborative relationships between the Municipality, sector agencies, and community representatives to support smooth implementation.

3.2 Methods and Tools of Engagement

Multiple engagement tools were used to ensure broad participation and quality feedback.

- **Structured Stakeholder Workshops**
  These were organized as formal forums where programme guidelines were presented and project proposals discussed. Workshops included presentations, technical clarifications, and facilitated discussions.
- **Sector-Based Consultation Sessions**
  Breakout sessions were organized to allow sector departments and user groups to discuss technical needs and sector priorities in detail before presenting recommendations to plenary.
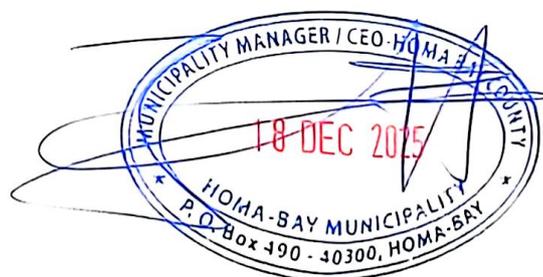
- **Public Consultation Forums and Barazas**
  Community-level forums were used to validate priorities and confirm that selected projects reflected public needs.
- **Project Ranking and Scoring Exercises**
  Participants were guided through scoring exercises where projects were evaluated using agreed criteria. This created transparency and fairness in prioritization.
- **Design Validation Meetings**
  Where preliminary designs were available, stakeholders reviewed and accepted designs subject to recommended adjustments.

3.3 Schedule of Engagement Activities

Engagement activities were conducted in phased stages rather than a single meeting.

- Initial sensitization and programme briefing meetings were held to introduce KUSP II requirements.
- Project identification workshops followed, where stakeholders proposed candidate projects.
- Prioritization forums were conducted to rank proposals.
- Validation meetings were held to confirm selected projects and design acceptance.
- Follow-up meetings are planned during design finalization and safeguards disclosure stages.

4.0 Communication Plan

A structured and well-documented communication plan is essential for ensuring that stakeholder engagement under the KUSP II Urban Development Grant (UDG) framework remains transparent, inclusive, traceable, and responsive throughout the project lifecycle. For Homa Bay Municipality, communication was not treated as a one-time disclosure event, but rather as a continuous and iterative process that supports stakeholder awareness, understanding, trust-building, and informed participation.

The communication approach adopted recognizes that stakeholders differ in literacy levels, technical knowledge, institutional roles, and access to communication channels. Therefore, communication methods were deliberately diversified to ensure accessibility, clarity, and inclusiveness. Communication materials were simplified where necessary and supported by verbal explanations during meetings and forums.

The Municipality ensured that all major project stages including project identification, prioritization, design validation, and safeguards screening were accompanied by formal stakeholder communication and disclosure.

4.1 Information Dissemination

Information dissemination was designed to ensure that stakeholders received accurate, adequate, and timely information necessary for informed participation and oversight. The information shared was structured around stakeholder needs at each stage of project preparation.

Information disseminated included:

• Explanation of KUSP II program objectives and funding structure
• Eligibility criteria for UDG-funded investments
• Roles of Municipality and CPCT in project preparation
• List of proposed stakeholder projects
• Technical feasibility considerations
• Prioritization methodology and scoring approach
• Final selected priority projects
• Next procedural steps (design, safeguards, approvals, implementation)
• Stakeholder rights including grievance redress access

To ensure broad reach and verifiability, the Municipality used multiple dissemination channels:

1. **Formal Written Notices**
   Official invitation letters and stakeholder notices were issued using Municipal reference numbers and official signatories. These notices provided meeting purpose, date, venue, and agenda.
2. **Public Display and Notice Boards**
   Meeting notices were displayed at Municipal offices and public administrative centers to allow walk-in participation by interested parties.
3. **Direct Institutional Invitations**
   Sector departments, agencies, organized groups, and associations received direct invitations to ensure sector representation.
4. **Administrative Structures**
   Ward administrators and chiefs supported local mobilization and message relay.
5. **Meeting-Based Disclosure**
   Technical presentations were delivered during stakeholder forums, with opportunities for clarification and questioning.
6. **Post-Meeting Documentation**
   Minutes and resolutions were recorded and made available for reference and audit trail.
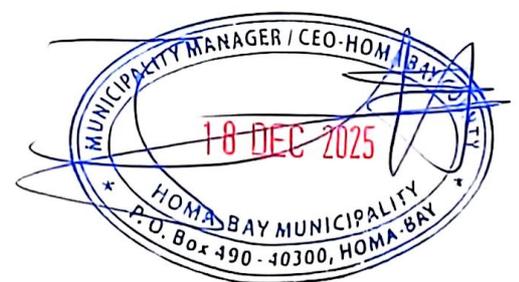
Communication frequency was aligned with project milestones rather than arbitrary timelines, ensuring relevance and timeliness of each disclosure.

4.2 Feedback Mechanisms

Stakeholder engagement under this framework emphasized two-way communication. Stakeholders were not only informed but also given structured opportunities to provide input, express concerns, challenge assumptions, and propose alternatives.

Feedback mechanisms were embedded within engagement sessions and through follow up channels.

Feedback collection methods included:

• Structured plenary discussions
• Moderated question and answer sessions
• Breakout group reports
• Written stakeholder submissions
• Technical clarification sessions
• Design validation commentary

All feedback received was formally documented by the Municipal Secretariat and categorized for action tracking. Categories included technical adjustments, site suitability concerns, traffic flow issues, safety risks, accessibility concerns, and social inclusion considerations. Feedback handling followed a documented process as follows:

1. Recording of feedback in minutes and logs
2. Technical review by relevant officers
3. Integration into design or safeguards adjustments where feasible
4. Reporting back to stakeholders during follow-up engagements

5.0 Roles and Responsibilities

Clear assignment of institutional and operational responsibilities is critical for credible stakeholder engagement. For Homa Bay Municipality, stakeholder engagement responsibilities were distributed across leadership, technical, safeguards, and coordination roles to ensure functional accountability and process integrity.
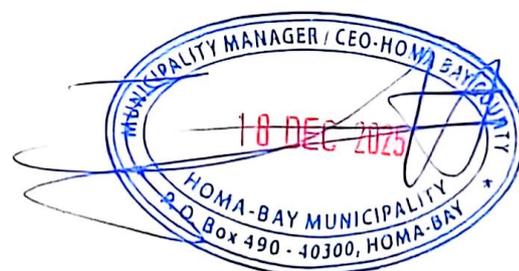
5.1 County Program Coordination Team (CPCT)

The CPCT and Municipal Project Implementation Team provided oversight, coordination, and technical leadership for stakeholder engagement activities.

Municipal Manager

- Provided formal authority and oversight for engagement processes.
- Authorized official stakeholder notices and invitations.
- Presided over or delegated stakeholder forums.
- Ensured compliance with KUSP II stakeholder engagement standards.

Municipal Engineer and Technical Team

- Presented technical project concepts and feasibility considerations.
- Clarified design scope, standards, and cost implications.
- Responded to technical stakeholder inquiries.
- Integrated stakeholder technical input into project refinement.

Environmental and Social Safeguards Officers

- Ensured compliance with ESS10 and national participation laws.
- Verified inclusion of vulnerable and special interest groups.
- Guided safeguards-related discussions.
- Oversaw grievance mechanism integration.

Stakeholder Coordination and Secretariat Team

- Managed invitations and mobilization.
- Maintained attendance registers.
- Recorded minutes and engagement records.
- Managed documentation and reporting.

5.2 Stakeholder Responsibilities

Stakeholders were expected to participate constructively and responsibly. Their roles included:

• Providing informed sector perspectives
• Validating community priorities
• Identifying risks and constraints
• Supporting transparency and accountability

• Representing group interests accurately
• Participating in prioritization and validation decisions

6.0 Monitoring and Evaluation (M&E)

6.1 Monitoring Plan

Monitoring of stakeholder engagement activities under the Homa Bay Municipality KUSP II sub-projects is designed as a continuous, structured, and evidence-based process that tracks whether engagement objectives are being achieved in practice and not merely in documentation. Monitoring goes beyond counting meetings held it evaluates inclusivity, effectiveness of communication, responsiveness to stakeholder concerns, and the extent to which stakeholder input influences project decisions.

The monitoring plan therefore combines **quantitative indicators (numbers and frequencies)** and **qualitative indicators (quality, inclusiveness, responsiveness, and transparency)** to ensure that engagement remains meaningful and compliant with both national participation laws and World Bank ESS10 requirements.

Monitoring is undertaken throughout the entire sub-project lifecycle from project identification and prioritization, through design validation, safeguards screening, and into implementation stages.

6.1.1 Purpose of Monitoring Stakeholder Engagement

The monitoring function serves several practical and compliance purposes:

1. To verify that stakeholder engagement activities are actually implemented as planned in the Stakeholder Engagement Framework and sub-project engagement schedule.
2. To confirm that engagement activities reach the intended stakeholder categories, including primary affected parties, special interest groups, and vulnerable populations.
3. To ensure that engagement methods used are appropriate, understandable, and accessible to participants based on local context and literacy levels.
4. To track whether stakeholder concerns, recommendations, and objections are formally recorded, analyzed, and responded to by the Municipality and CPCT.
5. To provide documented evidence required for:
   o KUSP II Annual Performance Assessment (APA)
   o Safeguards compliance review

- o Internal and external audits
- o Program reporting to NPCT and financiers.

6.1.2 Monitoring Indicators

a. Participation Coverage Indicators

These indicators measure whether engagement reached a sufficiently broad and representative group of stakeholders. They include:

• Number of stakeholder engagement meetings conducted per project stage
• Total number of participants attending each engagement forum
• Representation by stakeholder category (government, traders, residents, transport sector, civil society, special groups)
• Gender distribution of participants (adult men, adult women)
• Number of youth participants involved
• Number of Persons with Disabilities (PWD) represented
• Number of sector institutions represented

b. Engagement Quality Indicators

These indicators assess whether engagement was meaningful and not merely procedural. They include:

• Whether agenda and project information were shared in advance
• Whether technical presentations were explained in non-technical language
• Whether stakeholders were given adequate time to ask questions and give views
• Whether breakout discussions or sector group consultations were conducted
• Whether stakeholder proposals were formally captured
• Whether prioritization methods were transparent and participatory

c. Information Disclosure Indicators

These indicators confirm whether stakeholders received timely and sufficient information. They include:

• Number of official notices issued and displayed
• Timeliness of invitation notices before meetings
• Availability of project concept notes and design summaries during consultations

• Use of multiple communication channels (letters, notices, administrative mobilization)
• Availability of minutes and resolutions after meetings

d. Feedback and Responsiveness Indicators

These indicators measure whether stakeholder input is acted upon rather than ignored. They include:

• Number of stakeholder comments recorded
• Number of issues requiring technical review
• Number of design or planning adjustments made due to stakeholder input
• Number of feedback responses communicated back to stakeholders
• Time taken to respond to stakeholder concerns
• Number of grievances received and resolved

e. Safeguards and Inclusion Indicators

These indicators ensure compliance with environmental and social safeguards engagement requirements. They include:

• Inclusion of vulnerable groups in consultations
• Separate or targeted consultations where necessary
• Safeguards screening consultations conducted
• GRM awareness explained during meetings
• GRM access channels disclosed to participants

1.3 Monitoring Methods and Tools

Monitoring is carried out using multiple tools to ensure reliability and traceability.

These tools include:

1. **Attendance Registers**
   Signed registers used to verify participation numbers and stakeholder categories.
2. **Participation Profiles**
   Gender and social group summaries prepared after meetings.
3. **Meeting Minutes and Proceedings Records**
   Detailed minutes capturing discussions, concerns, and resolutions.
4. **Stakeholder Feedback Logs**
   Structured records of stakeholder inputs and responses.
5. **Observation Checklists**
   Used by safeguards officers to assess engagement quality and inclusiveness.
6. **Photographic Records**
   Visual documentation of meetings to support verification.

7. **Issue Tracking Tables**
   Used to track stakeholder concerns through to resolution.

6.1.4 Monitoring Responsibility

Monitoring responsibility is assigned to specific officers to ensure accountability:

• Environmental and Social Safeguards Officers -lead engagement monitoring and inclusion verification
• Municipal Planner - monitors technical disclosure adequacy
• CPCT Representatives - verify compliance with program requirements
• Secretariat Team - maintains records and documentation
• Municipal Manager -provides oversight and accountability

6.1.5 Monitoring Frequency

Monitoring is conducted at defined stages rather than randomly. These stages include:

• After each stakeholder consultation meeting
• After project prioritization forums
• After design validation sessions
• After safeguards consultations
• Quarterly during project preparation phase
• At key APA reporting periods

7.0 Risk Management

Effective stakeholder engagement carries risks that, if not managed, can undermine project success. Risk management ensures that challenges are anticipated, mitigated, and addressed promptly.

7.1 Potential Risks

1. **Low Stakeholder Participation:**
   o Risk: Key stakeholders may not attend meetings, limiting input.
   o Impact: Decisions may be less representative, and inclusivity may be compromised.
2. **Miscommunication or Misunderstanding:**
   o Risk: Stakeholders may misinterpret technical information or project objectives.
   o Impact: Reduced trust, potential conflicts, or misaligned expectations.
3. **Delayed Response to Feedback:**

- o Risk: Municipal authorities fail to respond to stakeholder concerns promptly.
- o Impact: Frustration, reduced engagement, or escalation of grievances.
4. **Exclusion of Vulnerable Groups:**
   - o Risk: Women, youth, PWDs, or refugee communities may not be actively included.
   - o Impact: Non-inclusive planning and potential safeguards violations.
5. **Grievance Mismanagement:**
   - o Risk: Complaints through the GRM are not documented or resolved effectively.
   - o Impact: Loss of trust, reputational damage, and regulatory non-compliance.
6. **Resource Limitations:**
   - o Risk: Insufficient budget, staff, or logistics to conduct engagement activities.
   - o Impact: Reduced frequency or quality of engagement sessions.

7.2 Risk Mitigation Strategies

1. **Enhanced Outreach:**
   - o Use multiple channels (community leaders, local radio, WhatsApp groups, flyers).
   - o Send notices well in advance of meetings.
2. **Simplified Communication:**
   - o Present information in simple language and visual aids.
   - o Conduct demonstrations or site visits where appropriate.
3. **Feedback Tracking System:**
   - o Use GRM logs, issue tracking tables, and regular follow-ups to ensure timely response.
4. **Inclusive Planning:**
   - o Conduct targeted consultations for women, youth, PWDs, and refugee groups.
   - o Use focus group discussions to ensure all voices are heard.
5. **Resource Planning:**
   - o Allocate adequate budget for logistics, transportation, and communication materials.
   - o Ensure trained staff are available for facilitation and documentation.
6. **Contingency Measures:**
   - o If in-person meetings fail, use virtual engagement or mobile outreach.
   - o Schedule follow-up sessions for stakeholders who could not attend.

8.0 Conclusion

Stakeholder engagement is central to the success of KUSP2 sub-projects in Homa Bay Municipality. By providing structured, inclusive, and continuous engagement, the

municipality ensures that sub-projects are responsive to the needs of communities, including marginalized and refugee groups.

Effective engagement minimizes conflicts, enhances project acceptance, and strengthens trust between the municipal authorities and the public. The combination of monitoring, evaluation, and risk management ensures that the municipality can document progress, learn from experiences, and continuously improve its approach to participatory urban development.

Homa Bay Municipality is committed to transparent, inclusive, and accountable governance, demonstrating that urban infrastructure development is not only technical but also socially sustainable.

9.0 Annexes

9.1 Annex 1: Grievance Redress Management (GRM) Reporting Templates

A. COMPLAINTS REGISTER MATRIX

Date of complaint	Name of Complainant	Channel of Complaint		Summary of Complaint	Action Taken to Resolve Complaint	Responsible Person	Current Status
		Verbal	Written				

This template is for guidance purposes only and may be changed to reflect the case specific circumstances/needs where necessary

Name of county: ....

Name of City/Municipality: ....

Project Name: ....
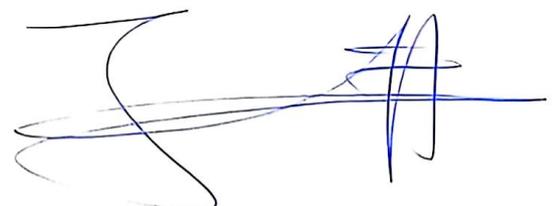
B. GRIEVANCE INVESTIGATION REPORT TEMPLATE

Investigation report for an allegation/complaint of:	*Give the details of the complaint/allegation.*
Type of Grievance e.g., Labour related/Sexual Harassment/ Property destruction etc.	
Name of contractor/officer accused	
Name of the complainant (if appropriate)	
Date when Grievance was reported	
Place of reporting (County, City/Municipality, NPCT, Other	
Date investigation commenced	

Background
This may cover:
• *How did the issue come to light?*   • *Have any other actions been taken prior to the investigation?*
When we are thinking about an allegation context is very important. There may be a history of complaints; a staff member you already have concerns about; a client group were complaints may be more likely due to the nature of the work
Nature of Investigation
This may cover:
☐ *What specific allegations/concerns were investigated (bullet point each allegation/concern)*

Investigation Process	
This may cover: *A brief description of method(s) used to gather information* *A record of who was interviewed* *Any documents that were reviewed* *The timeline/chronology of significant/relevant events* *Review of policies/procedures that should have been followed*	
Witnesses	
List of witnesses interviewed; dates and by whom Other evidences	
Findings	
Should cover: ☐ *A summary of findings taking into consideration the allegations, observations and evidence for each specific allegation/issue of concern investigated, cross-referencing any documentation where needed.*	
Conclusions	
This may cover: • *For each concern/allegation investigated an overall opinion based 'on the balance of probabilities' on whether there is evidence to support allegations made* • *If the allegations/complaints are upheld — substantiated; not substantiated malicious, unfounded;* • *Recommendations on whether further actions under the relevant laws and regulations and contractual obligations are required*	
Appendices	
These should be attached and may include witness statements, investigatory interview notes/statements, timeline/chronology of events etc.	
Date investigation completed	
Signed by Investigating Officer(s)	

Date	

9.2 Annex 2: Stakeholder Engagement Budget Guideline Template

Stakeholder Engagement activities	Number per quarter	Unit cost	Cost (KES)
GRM Activities including case management process			
Staffing and Capacity enhancement including training			
Engagement for PAPs			
Travel expenses of staff on stakeholder engagement missions			
Stakeholder meetings			
Stakeholder disclosure			
Total			