

**Republic of Kenya**



**MINISTRY OF AGRICULTURE, LIVESTOCK, FISHERIES AND  
COOPERATIVES**

**STATE DEPARTMENT FOR CROP DEVELOPMENT & AGRICULTURAL  
RESEARCH**

**NATIONAL AGRICULTURAL VALUE CHAIN DEVELOPMENT PROJECT  
(NAVCDP)**

**STAKEHOLDER ENGAGEMENT PLAN  
(SEP)**

**18<sup>th</sup> February 2022**

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## I ACRONYMS AND ABBREVIATIONS

AFA	Agriculture and Food Authority
ARAP	Abbreviated Resettlement Action Plan
C-ESMP	Contractor's Environmental and Social Management Plan
CFAs	Community Forest Associations
CIGs	Common Interest Groups
CoK	Constitution of Kenya
COVID-19	Corona Virus Disease
CPCU	County Project Coordination Unit
CPR	Comprehensive Project Report
CSO	Civil Society Organization
CTDs	County Technical Departments
DAPs	Differently Abled Persons
DAT	Disruptive Agricultural Technologies
E&S	Environmental and Social
EHS	Environmental Health and Safety
EPRP	Emergency Preparedness Response Plan
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
FPIC	Free Prior Informed Consultation
FPOs	Farmer Producer Organizations
SEA/SH	Sexual Exploitation Abuse and Sexual Harassment
GDP	Gross Domestic Product
GIIP	Good International Industry Practice
GRC	Grievance Redress Committee
GM	Grievance Mechanism
GRMC	Grievance Redress Management Committee
GRS	Grievance Redress Service
HCD	Horticultural Crops Directorate
IAs	Implementing Agencies
IPMP	Integrated Pest Management Plan
IPOs	Indigenous Peoples Organization
IP/SSAHUTLC	Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities
KAGRC	Kenya Artificial Genetic Research Centre
KALRO	Kenya Agriculture and Livestock Research Organization
KCSAP	Kenya Climate Smart Agriculture Project
KEBS	Kenya Bureau of Standards
KEPHIS	Kenya Plant Health Inspectorate Service
KEPSA	Kenya Private Sector Association
KMC	Kenya Meat Commission
KPIs	Key Performance Indicators
LMP	Labour Management Plan
MCI	Multi-Community Investments
MoALFC	Ministry of Agriculture, Livestock, Fisheries, and Cooperatives
NARIGP	National Agricultural and Rural Inclusive Growth Project

NAVCDP	National Agricultural Value Chain Development Project
NEMA	National Environment Management Authority
NERC	National Emergency Response Committee
NESSCO	National Environment and Social Safeguards Compliance Officer
NGOs	Non-Governmental Organizations
NLC	National Land Commission
NLP	National Land Policy
NPC	National Project Coordinator
NPCU	National Project Coordination Unit
OHS	Occupational Health and Safety
PAI	Project Area of Influence
PAPs	Project Affected Persons
PDO	Project Development Objective
PCU	Project Coordination Unit
PIM	Project Implementation manual
PoEs	Panel of Experts
POs	Producer Organizations
PPP	Public Private Partnerships
PVC	Priority Value Chain
Q&A	Question and Answers
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SAIC	Social Accountability and Integrity Committee
SC	Steering Committee
SEP	Stakeholder Engagement Plan
SMP	Security Management Plan
SPR	Summary Project Report
STE	Short-Term Expert
TSA	Technical Support Agencies
TV	Television
TWG	Technical Working Group
VC	Value Chain
VMG	Vulnerable and Marginalized Group
VMGF	Vulnerable and Marginalized Groups Framework
VMGP	Vulnerable and Marginalized Groups Plan
WMP	Waste Management Plan
WRUAs	Water Resource Users Association

## 2 EXECUTIVE SUMMARY

- 1) The Stakeholder Engagement Plan (SEP) has been prepared for the National Agricultural Value Chain Development Project (NAVCDP) which is a joint World Bank and Government of Kenya financed project. The executing agency is the Ministry of Agriculture, Livestock Fisheries and Cooperatives (MoALFC), State Department for Crop Development and Agricultural Research while the participating Counties are implementing agencies.

### A. PROJECT DEVELOPMENT OBJECTIVE AND INDICATORS

- 2) To increase market participation and value addition for targeted farmers in select value chains in project areas.

#### The PDO level indicators are:

- i. Farmers reached with agricultural assets or services under the project of which at least 50 % are female farmers
- ii. Percent increase in farmers selling more than 50 % of their produce in the market.
- iii. Percent increase in farmers selling produce in value added form (both on farm and off farm).

### B. PROJECT COMPONENTS

- 3) NAVCDP will have the following five thematic components:
  - i. **Component 1: Building Producer Capacity for Climate Resilient Stronger Value Chains** focused on building producer level capacity for enhanced market participation and transition towards commercial agriculture with farmer groups and Farmer Producer Organizations (FPOs) as primary platforms for sustainable productivity enhancement, safe food production, increased market participation and value addition.
  - ii. **Component 2: Climate Smart Value Chain Ecosystem Investments** that will focus on supporting enabling ecosystem investments identified as part of County level, regional level (spanning several counties) and National value chain development plans that will include Farmer Led Irrigation Development (FLID), Market Infrastructure, Data/Digital Investments and Research, Technical Assistance and enhancing institutional capacity.
  - iii. **Component 3: Pilot Safer Urban Food Systems** that will rollout urban food system pilots in Nairobi, a major urban cluster in the county, and parts of Kiambu and Machakos bordering the city as the peri-urban areas.
  - iv. **Component 4: Project Coordination and Management** that will finance National and County-level project coordination, Communication & Citizen Engagement, Fiduciary, Human Resource Management, environmental and social safeguards implementation, monitoring and compliance, development of the MIS and ICT.

- v. **Component 5: Contingency Emergency Response:** Implementation of rapid response measures to address disaster/emergency and/or catastrophic events impacting the agricultural sector

### **C. PROJECT BENEFICIARIES**

- 4) **The project will support 500,000 farmers engaged in 9 value chains across 26 counties.** The selection of value chains and counties to be intensively supported under the project is driven by a multi-dimensional criterion detailed in Annex XX. It is envisaged that the 500,000 farmers supported under the project will largely include small scale farmers who will be transitioning from being subsistence farmers to commercial farmers or are selling only a small percentage of their produce commercially. Furthermore, the project will benefit many value chain actors at various levels including extension workers, aggregators, logistics support providers and SMEs operating within the value chain. It is expected that 10,000 jobs will be created through multiple pathways including expansion of FPO operations, expansion of anchor off-takers and SME operations, expansion of Agri tech provider operations, development of Agriprenuers and expansion of urban agri-business linkages. The project will have a strong focus on addressing gender gaps to develop gender smart agri value chains through a range of integrated solutions.
- 5) The nine (9) value chains that have been prioritized for support are: Dairy, Coffee, Chicken, Fruits (Avocado, Banana, Mango), Vegetables (Irish potatoes, Tomato), Apiculture, Pyrethrum, Cashew nut and Cotton. Further, the 26 participating Counties are: Kilifi, Kwale, Taita Taveta, Kiambu, Trans-Nzoia, Nandi, Uasin Gishu, Narok, Nakuru, Tana River, Kericho, Bomet, Migori, Homabay, Machakos, Kitui, Nyeri, Nyandarua, Kisii, Kakamega, Busia, Embu, Makueni, Kirinyaga, Muranga and Meru.
- 6) Taking into consideration the VMGs as beneficiaries and bearing in mind the issues and characteristics as set out under ESS7, the following eleven counties have been established to have Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (IP/SSAHUTLC: Kiambu (Ogiek), Nandi (Ogiek), Uasin Gishu, (Ogiek), Trans-Nzoia (Sengwer), Narok (Ogiek), Nakuru (Ogiek), Tana River (Watha), Kilifi (Watha), Kwale (Wasanye), Kericho (Talai and Ogiek).

### **D. OBJECTIVE OF SEP AND PROJECT AREAS REQUIRING STAKEHOLDER ENGAGEMENT**

- 7) The overall objective of the SEP is to define a program to ensure active participation of relevant stakeholders in project activities that includes their identification/mapping, specifying their responsibilities/roles, appropriate participatory methodologies/approaches and the resources required to implement and monitor SEP implementation. In addition, SEP will outline how the project implementers will communicate with stakeholders and includes a mechanism by which target beneficiaries can raise concerns, provide feedback on project implementation.
- 8) The specific areas for each Project Component/sub-component for the proposed NAVCDP that will require stakeholder engagement are summarized in Table 0-1.



**Table 0-1: Project Components and Areas that require Stakeholder Engagement**

<b>Component 1: Building Producer Capacity for Climate Resilient Stronger Value Chains</b>		<b>Areas for Stakeholder Engagement</b>
<b>Farmer level investments</b>	Fund micro-project investments for 20,000 plus CIGs/VMGs mobilized under the existing projects	Community mobilization for selection of investments and implementation; criteria for selection/profiling CIGs/VMGs; M&E and Reporting
	Establishment of an expanded human resources architecture towards delivery of advisory and extension services	Identification and participation of the human resource.
	Support to e-voucher	Mobilize beneficiaries to benefit from value chain specific subsidies provided by GoK
<b>FPO Level Climate Smart investments</b>	Fund Inclusion Grants and EDPs for FPOs formed by federation of CIGs/VMGs towards improved value addition and market access	Community mobilization for selection of investments and implementation; criteria for selection/profiling FPOs; M&E and Reporting
<b>Strengthen partnerships with Technical Support Agencies (TSAs)</b>	Establish and strengthen partnerships with TSAs and other best practice institutions to provide strategic support to FPOs in each of the prioritized value chains	Identify partners and other stakeholders; strengthening platforms;
<b>Support to National level farmer federations</b>	Targeted support to national level farmer federations and other keys agencies involved in development of FPOs for supported value chains	Identify farmer groups for federation; identification of criteria for federation; etc.
<b>Component 2: Climate Smart Value Chain Ecosystem Investments</b>		<b>Areas for Stakeholder Engagement</b>
<b>Strengthening County Technical Departments (CTDs)</b>	Invest in strengthening the capacity of CTDs to support community-led investments under Component 1 and 2	County awareness creation (County and community levels), CTDs identification, training; identification of community-led investments

<b>Identification, planning, and implementation of MCIs</b>	Provide funding for investments in highly relevant multi-community investments in National Resources Management (NRM) and market infrastructure development directly linked to supported value chains	Identification and implementation of the multi-community investments; identification.
	Establish county level structures for harmonized delivery of input subsidies to farmers by rollout of the e-voucher program	Establishment of county level structures for delivery of subsidies; e-voucher rollout and management
<b>Component 3: Piloting Safer Urban Food Systems</b>		<b>Areas for Stakeholder Engagement</b>
This component will support roll out of urban food system pilots in select urban clusters, focusing on demonstrating a proof of concept by direct linkage of rural FPOs to urban consumers through creation of appropriate market infrastructure and commercial entities that will enhance the efficiency of food distribution coupled with interventions that focus on enhanced food safety during aggregation, logistics and distribution		Choice of participants; selection of urban clusters; linkage of FPOs to urban consumers; creation of commercial entities; food distribution; food safety stakeholders' identification and participation; review platforms; etc.
<b>Component 4: Project Coordination and Management</b>		<b>Areas for Stakeholder Engagement</b>
<b>Project Coordination</b>	Logistical support and capacity enhancements to project implementation structures at National, County and Community levels	Workshops, meetings, venues and general communication
<b>Communication, Monitoring, Evaluation and ICT</b>	Support to project implementation structures to ensure successful roll-out of participatory monitoring, evaluation and reporting	Formation of structures, training, implementation of participatory monitoring, evaluation and reporting
	Support project implementation structures including youth/women as agripreneurs and other beneficiaries to use ICT for enhanced market access and value addition	Identification of areas for ICT integration, consultations to identify ICT sector players and enhancement of their capacity

<b>Component 5: Contingency Emergency Response</b>		
<b>Contingency Emergency Response</b>	Support to identification of internal and external stakeholders for emergency contingency response, coordination of identified stakeholders	Stakeholder engagement to specify required thresholds to trigger official pronouncement of emergency response, preparation of emergency triggering protocol

## **(E) PROJECT STAKEHOLDERS**

- 9) Project stakeholders are ‘individuals, farmer groups, communities or other entities who:
- i. are impacted or likely to be impacted directly or indirectly, positively or adversely, by the project (also known as ‘Project Affected Parties’ (PAPs);
  - ii. may have an interest in the project (‘interested parties’). They include individuals or groups whose interests may be affected by the project and who have the potential to influence the project outcomes in any way; and
  - iii. Vulnerable communities: these include IP/SSAHUTLC hosted by counties that will participate in this project and also Vulnerable and Marginalized Groups such as persons with disabilities, older persons and female headed households.
- 10) For the purposes of effective and tailored engagement, NAVCDP stakeholders will be divided into the following key categories:
- a) **Project Affected Persons (PAPs)/Households (PAHs)** – individuals, VMGs, CIGs, FPOs, and POs and other entities within the Project Area of Influence (PAI) that are directly affected (actually or potentially) by the project and/or have been identified as most susceptible, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures.
  - b) **Other Interested Parties** – Line ministries and departments, CSOs, Development Partners in the same sector, individuals, entities that may not experience direct impacts from NAVCDP but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way.
  - c) **Vulnerable Groups** – persons who may be disproportionately impacted or further disadvantaged by the subproject as compared to any other groups due to their vulnerable status and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project(s). These may include IP/SSAHUTLC, women, Differently Abled Persons (DAP), youth, female and child headed households and squatters.

## **(F) ENGAGEMENT OF PROJECT STAKEHOLDERS**

- 11) Engagement with the different identified categories of stakeholders will help ensure the greatest possible contribution from the stakeholder parties towards the successful implementation of the subproject(s) by drawing on their pre-existing expertise, networks, and agenda. It will also facilitate both the communities’ and institutional endorsement of the project(s) by various parties. A description of the stakeholders and needs is summarized in Table 0-2.

**Table 0-2: Summary of NAVCDP Stakeholder Needs**

<b>Category</b>	<b>Stakeholder group</b>	<b>Estimated Membership</b>	<b>Language needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter)</b>	<b>Specific needs (accessibility, large print, childcare, daytime meetings)</b>
<b>National Project Steering Committee (NPSC)</b>	CS-Ministry of Agriculture, Livestock, Fisheries and Cooperatives;  PSs-Agriculture, Livestock, Fisheries and Cooperatives, Sector ministries, Non-State Actors	About 7-9 members	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings
<b>National Technical Advisory Committee (NTAC)</b>	Sector Directors, Non-State Actors	About 15 members	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings
<b>National Project Coordinating Unit (NPCU)</b>	Designated Experts	13-14 Specialists	English / Kiswahili	Letters, Phone calls, emails	Daytime meetings
<b>Thematic Groups</b>	Panel of Experts (PoEs)	Thematic areas/experts based on the nine value chains	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings
<b>County Project Steering Committee (CPSC)</b>	Sector CECs, NGOs,	7-11 persons	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings

<b>Category</b>	<b>Stakeholder group</b>	<b>Estimated Membership</b>	<b>Language needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter)</b>	<b>Specific needs (accessibility, large print, childcare, daytime meetings)</b>
<b>County Technical Advisory Committee (CTAC)</b>	Sector County Directors, Non-State Actors, Reps of special groups	11-15 experts	English / Kiswahili	Letters, Phone calls, SMS, emails, WhatsApp	Daytime meetings
<b>CIGs</b>	Registered farmers / Pastoralists	Numerous	English/Kiswahili/local language	Letters, Phone calls, emails, radio, SMS	Daytime meetings
<b>VMGs</b>	Registered farmers / pastoralists	Numerous	Kiswahili/local language	Letters, Phone calls, emails, radio, public meetings, group discussions, SMS	Daytime meetings, entry point Council of Elders
<b>FPOs</b>	Registered and practicing members	Numerous	English/Kiswahili/local language	Letters, Phone calls, emails, radio, SMS, WhatsApp	Daytime meetings
<b>Value Chain Ecosystem Investment Committees</b>	Elected officials by the community; community members	Numerous	English/Kiswahili/local language	Letters, Phone calls, emails, radio	Community barazas through Area Chiefs
<b>Value chain Apex Organizations</b>	Representatives	Numerous	English/Kiswahili	Letters, Phone calls, emails, SMS, WhatsApp	Daytime meetings

<b>Category</b>	<b>Stakeholder group</b>	<b>Estimated Membership</b>	<b>Language needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter)</b>	<b>Specific needs (accessibility, large print, childcare, daytime meetings)</b>
<b>Industry</b>	Players along the relevant value chains	Numerous	English/ Kiswahili	Letters, Phone calls, emails,	Daytime meetings
<b>Agro-input stockists</b>	Players	Numerous	English/ Kiswahili	Letters, Phone calls, emails, SMS	Daytime meetings

12) The SEP will remain in the public domain for the entire period of project implementation and will be updated on a regular basis as the project progresses through its various phases, to ensure timely identification of any new stakeholders and interested parties and their involvement in the process of collaboration with the project. The methods of engagement will also be revised periodically to maintain their effectiveness and relevance to the project's evolving environment. Table 0-3 provides a description of stakeholder engagement and disclosure methods recommended to be implemented during stakeholder engagement process.

**Table 0-3: Stakeholder Engagement and Disclosure Methods**

<b>Category of Stakeholder</b>	<b>Project Information Shared</b>	<b>Means of communication/ disclosure</b>
Beneficiary population in the project area.	ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, and SEP, GM. Regular updates on project development.	<ul style="list-style-type: none"> <li>- Public notices.</li> <li>- Electronic publications and press releases on the project website.</li> <li>- Hard copies displayed at designated public locations.</li> <li>- Press releases in the local media.</li> <li>- Consultation meetings.</li> <li>- Information leaflets and brochures.</li> <li>- Separate focus group meetings with vulnerable groups, as appropriate.</li> </ul>

Category of Stakeholder	Project Information Shared	Means of communication/disclosure
NGOs and CBOs	ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, and SEP, GM. Regular updates on project development.	<ul style="list-style-type: none"> <li>- Public notices.</li> <li>- Electronic publications and press releases on the project/Ministry website.</li> <li>- Dissemination of hard copies at designated public locations.</li> <li>- Press releases in the local media.</li> <li>- Consultation meetings.</li> <li>- Information leaflets and brochures.</li> </ul>
Government authorities and agencies	ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, and SEP, GM. <ul style="list-style-type: none"> <li>- Regular updates on project development.</li> <li>- Additional project information, if required for the purposes of regulation and permitting.</li> </ul>	<ul style="list-style-type: none"> <li>- Dissemination of hard copies of the ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEP and GM.</li> <li>- Project status reports.</li> <li>- Meetings and roundtables.</li> </ul>
Related businesses and enterprises	SEP and GM Updates on project development and tender/procurement announcements.	<ul style="list-style-type: none"> <li>- Electronic publications and press releases on the project website.</li> <li>- Information leaflets and brochures.</li> <li>- Procurement notifications.</li> </ul>
Project Employees	-Employee Grievance Redress Mechanism -Updates on project development.	<ul style="list-style-type: none"> <li>- Staff handbook.</li> <li>- Email updates covering the Project staff and personnel.</li> <li>- Regular meetings with the staff.</li> <li>- Posts on information boards in the offices and on site.</li> <li>- Reports, leaflets.</li> </ul>
VMGs	<ul style="list-style-type: none"> <li>- Sensitization followed by training on the project ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH Prevention and Response Plan, GM and SEP</li> <li>- Implementation of the project activities</li> </ul>	<ul style="list-style-type: none"> <li>-Community/Beneficiaries' meetings.</li> <li>-Information through Brochures</li> <li>-The following culturally appropriate methods will be used to inform and consult with VMGs</li> <li>- Language: Kiswahili and vernacular languages will be used to facilitate active participation and expression of their opinions</li> </ul>

Category of Stakeholder	Project Information Shared	Means of communication/disclosure
		<ul style="list-style-type: none"> <li>- Local Council of Elders and Community Based Organizations: Local Council of Elders for IPs and formally registered IP based CBOs would be used for initial engagement/contact.</li> <li>- Men, Women and Youth Consultations: Some IP communities require that men, women and youth are consulted separately. For joint consultations, the issues that can be discussed have to be agreed upon before hand</li> </ul>

13) The SEP will be periodically revised and updated as necessary during NAVCDP implementation to ensure that the information presented therein 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. The MoALFC will be the main implementing agency for the project and will lead the execution of the activities, including this SEP whose estimated budget is USD. 979,000.

**(G) GRIEVANCE MANAGEMENT**

14) NARIGP/KCSAP have a functional Grievance Mechanism (GM) that will be tailored and customized to NAVCDP within the first six months after the launch of the project. The GM will be accessible to all identified categories and any emerging stakeholders, including affected people, community members, CIGs, VMGs, POs, survivors of SEA/SH, civil society, media, and other interested parties. The stakeholders will use the GM to submit complaints, feedback, queries, suggestions, or even compliments related to the overall management and implementation of the project. The GM is intended to address issues and complaints in an efficient, timely, and cost-effective manner. A dedicated pathway in GM will be available to IP/SSAHUTLC and also to survivors of SEA/SH that require confidentiality. The effectiveness of GM will be reviewed annually by third party and updated accordingly.



# I INTRODUCTION

## I.1 CONTEXT AND RATIONALE

- 1. Kenya has witnessed strong economic growth and declining poverty incidence, but absolute poverty remains high.** Since 2011, the Kenyan economy has experienced robust GDP growth averaging 5.8%, catapulting Kenya to a middle-income country and significantly bringing down poverty levels. Kenya's poverty rate is among the lowest in East African countries, falling from 43.7 percent in 2005/06 to 36.8 percent in 2015/16 and 33.4 percent in 2019, below the Sub-Saharan Africa average. Poverty reduction in Kenya has been accompanied by reduced income inequality, with the Gini index falling from 0.45 in 2005/06 to 0.39 in 2015/16, indicating the country's success in boosting shared prosperity. Kenya's Human Development Index value for 2019 is 0.601, which put the country in the medium human development category—positioning it at 143 out of 189 countries and territories. With a score of 0.55, the World Bank Human Capital Index 2020 places Kenya third in Sub-Saharan Africa, after Seychelles and Mauritius.
- 2. Kenya has recently revised national accounts estimates, updating the base year for its estimates to 2016 (from 2009), resulting in a decadal annual growth rate of GDP at 5.0 percent, 0.8 percentage points lower than the previous estimate<sup>1</sup>.** The rebasing significantly altered historical estimates, with agriculture's share estimated at 21.2 percent of nominal GDP in 2019, down from the earlier estimate of 34.1 percent. However, despite the lower GDP contribution, movement of employment from agriculture to other sectors stalled between 2016 and 2019. During the COVID-19 pandemic, agriculture absorbed 1.6 million additional workers, increasing its share of employment from 47 percent to 54 percent, indicating the sector's centrality to employment in Kenya.
- 3. The agriculture sector is central to long term economic growth and sustainable poverty reduction in Kenya.** The agricultural sector contributed about 21 percent of the total GDP and grew at 4.8 percent in 2020. The sector employs nearly 8.5 million Kenyans, equalling 47 percent of the total and 70 percent of rural employment, a trend holding since 2015/16. Between 2005-06 to 2015-16, households with agriculture as the primary source of income (including both crop income, livestock income, and earning of wage workers in the agricultural sector) accounted for 27.6 percent of overall poverty reduction<sup>2</sup>. Agricultural incomes account for 64 percent of the income of the poor and 53 percent of income for the non-poor<sup>3</sup>. Agriculture is also responsible for most of the country's exports, accounting for up to 65 percent of exports in 2017. Agricultural share of value-added only stopped increasing in 2017 and remains the highest among Kenya's regional and Sub-Saharan Africa Lower Middle Income Country peers. During the covid-19 pandemic, strong performance of the agriculture sector significantly cushioned the blow to the Kenyan economy.
- 4. With predominantly smallholder-based agriculture production and its associated challenges, productivity levels for major crops in Kenya are stagnating.** Kenya's agricultural total factor productivity (TFP) dropped at least ten percentage points between 2006 and 2013 and stabilized thereafter. Kenya's TFP growth lags Rwanda, Ethiopia and Tanzania and is well below that of South Asia and South-East Asian countries<sup>4</sup>. Small-scale

<sup>1</sup> Kenya Economic Update, December 2021, The World Bank

<sup>2</sup> Kenya Agriculture Sector Growth and Transformation Strategy (ASTGS), 2019-2029

<sup>3</sup> Kenya Poverty and Gender Assessment, 2015-16, The World Bank

<sup>4</sup> Kenya Economic Update April 2019, Unbundling the slack in private investment, The World Bank

production systems (between 0.2 and 3 ha) account for 78% of total agricultural production and 70% of commercial production. Hampered by poor access to credit and extension services, these production systems use limited improved inputs and modern production practices, such as hybrid seeds, concentrated feeds and fertilizer, pesticides, machinery, and irrigation. This is reflected in the value added per worker which has remained relatively stable between 2006-2016 at ~KES 98,000 per year but lags best-in-class countries in Africa by up to 7x: Nigeria, South Africa and Cape Verde have value added per agricultural worker of ~KES 730,000 per year<sup>5</sup>.

5. **Access to credit is a major constraint driving low adoption of quality inputs and technologies.** Over the years, lending to the agriculture sector has stayed below 5 percent of total lending. Alliance for a Green Revolution in Africa (AGRA) estimated that in 2015, against the annual credit needs of Ksh 130 billion across key commodity chains only Ksh 40 billion<sup>6</sup> were available. In Kenya, the financial inclusion rate (includes bank accounts, mobile money, other types of financial services, etc.) has tripled in 13 years with 83% Kenyans having a formal bank account, However, only 22% Kenyans are financially healthy i.e., having the ability to manage day to day expenses, manage risks and invest in future economic opportunities<sup>7</sup>. A 2019 study by CGAP and FSD Kenya found that of the 4.2 million local farmers, only 5 percent reported to have received or made a farm related payment digitally, indicating the vast divide between inclusion and meaningful access<sup>8</sup>. Having access to a farmer's credit group in the community is associated with high usage rates of inorganic fertilizer in both market-selling and subsistence households This suggests that access to credit helps increase agricultural households' usage rates of agricultural inputs and in turn make productivity gains.
6. **In addition to producer level challenges pertaining to inputs and credit, there is need to address inefficient value chains and low levels of value addition.** Major value chains in Kenya are riddled by inefficiencies, with limited post- harvest handling infrastructure, inefficient price discovery mechanisms leading to low farmgate prices and high levels of food wastage. In 2017, over 1.9 million tons of food was wasted to post-harvest losses, while facing a severe drought<sup>9</sup>. Small farms continue to produce 73.0 per cent of total marketed production, most of which goes to the market in basic form without any value addition<sup>10</sup>. Only 16 percent of Kenya's agricultural exports are processed, compared with 57 percent for imports. However, there is potential to significantly ramp up value addition across several agriculture and livestock value chains to boost producer level returns while generating new jobs in the economy. Value addition in context of Kenyan agriculture is also a crucial pathway for climate change adaptation, bringing down producer level wastage and risk and enhancing overall value.
7. **Higher productivity and commercialization of agriculture can significantly reduce poverty, enhance farmer incomes and create jobs.** Poverty incidence among agriculture households decreases as they start selling produce in markets<sup>11</sup>. Only 26 percent of market-oriented households (selling some part of output in the market) are poor as compared to 38 percent of subsistence households (producing output only for self-

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<sup>5</sup> Kenya Agriculture Sector Growth and Transformation Strategy (ASTGS), 2019-2029

<sup>6</sup> Kenya Economic Update April 2019, Unbundling the slack in private investment, The World Bank

<sup>7</sup> FinAccess Household Survey, 2019

<sup>8</sup> ibid

<sup>9</sup> Kenya National Bureau of Statistics, 2017

<sup>10</sup> Kenya National Bureau of Statistics, 2017

<sup>11</sup> Kenya Poverty and Gender Assessment 2015-16

consumption). Market participating households have higher usage rate of inorganic fertilizers (66 percent land covered as compared to 53 percent in subsistence households) and irrigation, spend significantly higher on inputs and exhibit higher crop diversity. In 2015/16, about 60 percent of households did not sell any of their produce in the market, while only 4 percent of households sold all their crop production and engaged in purely commercial agriculture<sup>12</sup>. Only 23 percent of vegetables and 7 percent of fruits produced in Kenya were marketed<sup>13</sup>. Between 2005/06 and 2015/16, the country's level of agricultural commercialization increased as measured by households selling a higher share of their production in markets. Considering stagnant agricultural yields, better access to markets because of infrastructure and digital technologies is the likely cause for higher levels of commercialization. Going forward, any sustainable agriculture growth strategy must place a strong focus on aggregation, commercialization and enhancing market participation for farmers esp. subsistence farmers, while boosting productivity through improved access to quality inputs and extension services.

8. **Multiple barriers exist to agriculture commercialization for small-holder farmers in Kenya.** Market access factors such as better roads, proximity to markets, access to inputs, credit and market information, membership into FPOs and value addition are all key drivers of commercialization. In a survey across 38 counties in 2013-14, only 21 percent of sampled households accessed extension services of which 81 percent were male headed. Most (59 percent) used the public extension system. The ratio of national extension staff to farmers is 1:1,000, compared with the recommended 1:400. Wanyama et al. (2016) found that public extension providers and private for-profit providers were better represented among higher income groups. Lack of high-capacity farmer organization limits small-holder integration into value chains, raising transaction costs and reducing competitiveness. Critical infrastructure gaps that further limit commercialization of value chains include limited availability of processing facilities closer to farm gate that could reduce post-harvest losses, limited access to cold storage and warehousing facilities that can reduce distress sales and lack of market infrastructure that can reduce distance from producer to end consumer. In Africa, 55 percent of fruits and vegetables and 30 percent of food grains are sold through open-air markets, leaving higher scope for food wastage and contamination.<sup>14</sup>
9. **Significant gender gaps persist across all aspects of agriculture value chains in Kenya.** Women farmers face significant challenges at all stages including production, aggregation, and marketing. These include proportionately less access to high-quality inputs, equipment and technology, technical information on appropriate usage (e.g., quantity and timing of application), hired labour, and knowledge of modern farming practices. Women provide 80 per cent of Kenya's farm labour and manage 40 per cent of Kenya's smallholder farms, yet they own only about 1 per cent of agricultural land and receive just 10 per cent of available credit<sup>15</sup>. Further, constraints on their time and mobility leaves them reliant on subsistence agriculture without extension services or being up to date with current technologies. As a result, the productivity of women farmers lags behind men at an average of 20-30 per cent<sup>16</sup>. Women are also less likely to apply for a loan due to self-perceptions of lower credit worthiness of their businesses<sup>17</sup>. Equal membership in strong farmer organizations can significantly empower women farmers. Research indicates that women

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<sup>12</sup> Ibid

<sup>13</sup> Kenya ASTGS 2019-2029

<sup>14</sup> Eastern Africa Grain Council, 2020

<sup>15</sup> 'Women and Men in Kenya – Facts and Figures 2017', Kenya National Bureau of Statistics, 2017

<sup>16</sup> AfDB, 2015

<sup>17</sup> AfDB

achieve a higher control over key agriculture decisions if any member of the household is a registered member of POs. This effect is even stronger when the woman in the household is a member<sup>18</sup>. Women play significant roles in production and post-harvest processing esp. in labour intensive value chains. However, these roles are often informal, unacknowledged, or under-resourced. Lack of tailored support and capacity building of women farmers is a missed opportunity in improving competitiveness of value chains. Finally, in downstream roles within value chains such as in transportation, marketing, and sales, women are underrepresented outside local markets, playing limited roles that keep them from gaining from the most profitable portions of the value chains. Gendered value chain mapping can unearth division of labour within agriculture value chains and enable more tailored support to women farmers across all aspects of value chains. Ensuring that women have the same access to assets, inputs, and services in agriculture as men could increase women's yields on farms by 20–30 percent and potentially reduce the number of hungry people by 12–17 percent.

**10. Agriculture Commercialization can boost inclusive job growth for youth in agriculture and contribute to the Jobs and Economic Transformation agenda.** In Kenya, between 2015 and 2025, 9 million individuals are expected to enter the labour force. To absorb this “youth bulge”, Kenya needs to create an average of 900,000 jobs every year<sup>19</sup>. Since structural employment shift out of agriculture has stalled since 2015, a significant number of these jobs are to be generated within emerging value chains. A focused approach to value chain development and agriculture commercialization can unearth new jobs in agriculture support services such as extension services, input supply, aggregation and marketing and new enterprises supporting value. Investment in irrigation can further reduce underemployment in agriculture by reducing the effect of seasonality. Rural youth are also well-placed to benefit from jobs created by ICT innovations connecting small farmers to markets since they are more likely to be first adopters and later providers of financial, training, and extension services delivered through these digital platforms.

**11. Irrigation's potential for increasing farm yields and income and reducing risks from climate variability is currently untapped.** Ninety-eight percent of Kenya's arable land is rainfed, and only 13 percent of the identified irrigation potential has been developed. The irrigation potential for small-holder farmers in Kenya is 240,000 Ha with an additional net profit gain of up to USD 570/ha that can be realized<sup>20</sup>. Expanded irrigation systems can boost yields, allow for an increase in cropping intensity, and enable farmers to switch to higher-value crops. The Malabo Declaration of 2014 identifies irrigation as a priority investment to end hunger by 2025 in Africa. The Vision 2030 calls for expanding small-scale irrigation at a rate ten times higher than the previous decade. As per a recent diagnostic<sup>21</sup> undertaken jointly by Ministry of Water, Government of Kenya and the World Bank, scaling up the FLID approach has a huge potential to enable access to irrigation for a large number of smallholders in Kenya. Furthermore, the diagnostic identified financing, the knowledge system and access to markets as the major obstacles for smallholder farmers to take the initiative in irrigation. While FLID is characterized by individual ownership of technology (petrol-pumps/plastic pipelines etc.), it also includes small groups-based irrigation access.

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<sup>18</sup> Mercy Mwambi, Jos Bijman, Alessandra Galie, The effect of membership in producer organizations on women's empowerment: Evidence from Kenya, Women's Studies International Forum, Volume 87, 2021, 102492, ISSN 0277-5395, <https://doi.org/10.1016/j.wsif.2021.102492>.

<sup>19</sup> World Bank's 2018 Kenya Social Protection and Job Programmes Public Expenditure Review, 2018

<sup>20</sup> Smart Water for Agriculture, 2019

<sup>21</sup> Catalyzing farmer-led small-scale irrigation development in Kenya to achieve the Vision 2030's goals

12. **For sustainable income growth, agriculture value chains must align themselves to rapidly evolving urban food systems with greater focus on value addition, food safety and traceability.** By 2050, Kenya's population is expected to double while urban population and cereal demand will likely triple, turning Kenyan cities into major consumption centres creating jobs and income for primary producers as well as agriculture-based SMEs. However, significant challenges are emerging in areas of escalating food prices, food safety and food security. As per World Bank data<sup>22</sup>, for the lowest segment of Kenya population, 67 percent of their expenses is on Food and Beverages. Food loss is a critical contributing factor to rising food prices. About 36 percent of the food produced in Sub-Saharan Africa is lost or wasted with the largest proportion of the losses occurring at the production and handling stages. According to WHO, Africa currently suffers from the highest per capita rate of food-borne illnesses in the world. In several studies, milk from both formal and informal outlets in Kenya has been found to be frequently contaminated with aflatoxin M1<sup>23</sup>. Food safety issues have an equally critical demand side. Recent studies indicate that Kenyan consumers have low knowledge of food safety and low willingness to pay for it (Hoffman, Moser, and Saak 2019), underlining the need for strong consumer orientation to catalyse demand for safer produce. Ensuring greater integration across value chains and developing efficient, consumer linked peri-urban agriculture value chains that are responsive to emerging dietary patterns and food safety concerns can unlock value for participating smallholder farmers.
13. **The Government of Kenya has initiated several forward-looking agriculture sector reforms, supported by the World Bank.** As a key policy reform undertaken as part of the World Bank funded Development Policy Operation (DPO) in 2019, GoK is transforming its delivery mechanism of subsidized inputs through e-vouchers, enabling farmers to purchase various agriculture inputs (including fertilizers) from private sector agro-input dealers, providing them freedom of choice for both source and type of inputs, while contributing to better targeting of resources to small holder farmers through electronic verification. GoK has also passed the Warehouse Receipt System (WRS) Act (also as part of the DPO in 2019), paving the way for large scale implementation of a warehouse receipt system which can significantly benefit small-holder farmers through improved access to credit, choice to store or sell and shortening supply chains by bringing processors/institutional buyers directly to farmers. The establishment of a Commodities Exchange can help address inefficiencies in the supply chain resulting from limited storage capacity, lack of post-harvest services and poor access to input markets. Further, the Commodities Exchange complements the warehouse receipt system, as it will require warehouses to be upgraded to approved standards and will help create a liquid market that provides the producers much-needed direct access to buyers, including international buyers. All the above reforms have created an enabling environment for more market driven interventions and for greater private sector participation in Kenyan agriculture.
14. **National Agricultural and Rural Inclusive Growth Project (NARIGP) and the Kenya Climate Smart Agriculture Project (KCSAP) have laid down a strong foundation for commercialization of agriculture in Kenya.** Cumulatively, the two projects have mobilized nearly 1.1 million farmers, mostly smallholders into nearly 37,000 Common Interest Groups (CIGs) and nearly 500 FPOs. Over 10,000 community level extension workers are supporting tailored training to farmers on 760 Climate Smart Technologies, Innovations and Management Practices (TIMPs) across 21 value chains. These

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<sup>22</sup> <https://datatopics.worldbank.org/consumption/sector/Food-and-Beverages>

<sup>23</sup>Lindahl et al, 2018.

climate smart TIMPs have been developed through robust agriculture research linkages with Kenya Agriculture and Livestock Research Organisation (KALRO), which is anchoring 51 adaptive research projects through farmer CIGs to validate TIMPs. More than 450 investments at the county level related to NRM, SLM, Water and market infrastructure have been supported with the objective of enhancing productivity & market linkages. 10,960 micro-project investments have been funded to the tune of KES 3.4 billion (USD 33.4 m), building farmer capacity for adopting productivity enhancing climate smart TIMPs. At mid-term stage, the project has achieved a 15 % yield increase in the selected priority agricultural value chains supported by the project. Nearly 60% of project supported farmers have been linked to 505 farmer producer organizations (FPOs) including 40 coffee cooperatives. ; 177 FPOs have developed Enterprise Development Plans (EDPs) for leveraging formal finance. 85 public private partnerships have been established between supported POs and private sectors firms to improve service delivery to participating farmers. 25 % of the POs supported by NARIGP have reported increased profitability. The twin projects have also laid significant groundwork for supporting digitally integrated value chains through next phase investments in NAVCDP. KALRO has been supported to develop the Big Data Platform with a rich database of nearly 1.1 million farmers currently covered under KCSAP & NARIGP with spatial data and farmer details being utilized to provide integrated agro weather and market information to farmers and agricultural institutions. The World Bank facilitated Digital Agriculture Conference in 2019 resulted in the formation of a Disruptive Agriculture Technologies (DAT) platform with 14 high potential Ag-tech start-ups signing formal MoUs with 16 select counties. These start-ups are supporting provision of digital solutions in the areas of extension, credit, agro-advisory and market linkage to 180,000 farmers across 16 counties. The platform has now been expanded to include 26 start-ups and partnerships have been facilitated with 10 more counties bringing the cumulative counties to 26. NAVCDP will build on the big data platform and DAT initiative by adopting the approach of universalizing deployment of Ag-tech solutions across selected value chains.

15. **Farmers and supply chains supported by NARIGP and KCSAP have been impacted by the COVID-19 pandemic and require support to build back better.** Since the first COVID-19 outbreak in Kenya, NARIGP and KCSAP have proactively instituted measures to ensure business continuity in implementation and minimize disruptions in service delivery to farmers. The projects have also carried out rapid assessments of the impact on participating farmers which showed that approximately 25% of the farmers have been severely impacted and require support to build back to their previous agriculture production levels. Other segments of the value chains highly impacted include last-mile inputs distribution system, advisory and extension services delivery, financial services, and linkages to output markets. For stronger value chain recovery, investments across the value chains are required, including those at the farmer level, FPO level, county level and national level. At farmer level, farmers need support for shifting towards commercial models of agriculture and adopting high quality inputs and modern technologies. Similarly, at the FPO level, investments in terms of equipment and working capital and at the county level and national level, ecosystem-based infrastructure investments across supply chains would be needed.

## **1.2 NATIONAL AGRICULTURAL VALUE CHAIN DEVELOPMENT PROJECT (NAVCDP)**

16. NAVCDP will build on the strong foundation laid by NARIGP and KCSAP in term of farmer mobilization, productivity enhancement, climate resilience, water management initiatives and the leveraging of digital technologies across nearly 1.1 million farmers. NAVCDP will mostly

work with a sub set of the above farmers that are part of the selected 9 value chains across 26 counties. The project will deepen investments in existing interventions around productivity enhancement, community led farmer extension, water management investments and data driven value chain services. Additionally, the project will introduce intensified infrastructure investments into select value chains, scale up value addition and market linkages with agribusiness off takers & SMES support FLID, enhance access to credit and financial services and develop proof of concept around Urban Food Systems and peri-urban agriculture in select clusters. The project will leverage the strong community level institutions comprising over 37000 farmer CIGs, trained Community Driven Development Committees (CDDCs), 500 FPOs and strong implementation capacity at national and county level. Project investments such as access to credit, climate information services, development of irrigation and market infrastructure are envisaged to be value chain neutral and universally support smallholder transition towards commercial agriculture. The project interventions will focus on enhancing climate adaptation and mitigation via improved practices in soil and land management (Soil conservation, reduced tillage, mulching, residue management, Carbon sequestration and nutrient management), water management (irrigation and water harvesting), crop production<sup>24</sup>(use of climate resilient seeds, breeds, balanced use of fertilizers, intercropping with legumes, ground cover), livestock production<sup>25</sup>, agroforestry, crop livestock integration and efficient energy use. The project will also extensively use data and digital technologies to enable access to integrated climate information services, climate smart TIMPs and market advisories to farmers under the project and thereby enhance their adaptive capacity.

- 17. The proposed project is fully aligned with Kenya’s Vision 2030 for agriculture, the Agricultural Sector Transformation and Growth Strategy (ASTGS) and the Big 4 agenda while complementing ongoing investments in World Bank projects.** The project responds to the Vision 2030 objective for agriculture by focusing on revitalizing agriculture and transforming it from subsistence into a more competitive and commercially oriented sector. NAVCDP directly aligns to the first pillar of agriculture transformation, focusing on increased participation of small farmers into commercially oriented value chains, while also responding to the ASTGS goals of enhanced value addition and climate resilience. The sector is also part of the Big 4 priority sectors which are expected to drive the government’s inclusive growth agenda over the medium term. The Big 4 agenda for agriculture is to attain 100 percent nutritional and food security for all Kenyans by 2022<sup>26</sup>. The project will support several key outcomes complementing the GoK’s vision to support small holders transitioning from subsistence to market driven commercial agriculture. These are: (i) Value Chain driven integrated planning (ii) Building producer capacity and creditworthiness for enhanced access to credit and extension services;(iii) Developing and strengthening FPOs to support collective marketing and value addition; (iv) Integration of Digital Agriculture solutions across all segments of value chains; (v) Facilitating roll out and access to Ag reforms like e-vouchers, warehouse receipt and commodity exchange; (vi) Building stronger farmer-consumer market linkages with food systems focused production and marketing in select urban clusters; (vii) Support efficient value chains by linking project supported FPOs and farmer groups with digital aggregators and e-commerce platform like Twiga and (viii) Incorporate CSA practices in the food systems and value chain. This project will complement and build on other interventions by the World Bank that support the government’s Big Four agenda: Kenya Climate Smart Agriculture Project (PI54784); National Agricultural and Rural

<sup>24</sup> Muller, A., Jawtusich, J., & Gattinger, A. (2011). Mitigating greenhouse gases in agriculture

<sup>25</sup> Mbae et al. 2020. The Livestock Sub-sector in Kenya’s NDC: A scoping of gaps and priorities

<sup>26</sup> Kenya ASTGS, 2019-2020

Inclusive Growth Project (PI53349); proposed Kenya Marine Fisheries and Socio-economic Development Project (PI63980); and the Program to Strengthen Governance for Enabling Service Delivery and Public Investment in Kenya (PI61387).

### **I.3 PROJECT DESCRIPTION**

#### **I.3.1 Project Development Objective**

##### **18. PDO Statement**

To increase market participation and value addition for targetted<sup>27</sup> farmers in select value chains in project areas.

##### **19. PDO Level Indicators**

- a. Farmers reached with agricultural assets or services under the project of which at least 50 % are female farmers
- b. % Increase in farmers selling more than 50 % of their produce in the market –100%
- c. % Increase in farmers selling produce in value added form (both on farm and off farm) – 30 %

#### **I.3.2 Project Components**

##### **20. Component I: Building Producer capacity for climate resilient stronger value chains- I 10 million USD (IDA- 87 million USD):**

Component I is focused on sustainable productivity enhancement, climate resilient and nutrition sensitive production and increased market participation for project farmers through improved access to credit, inputs and digital extension services while linking them to high-capacity Farmer Producer Organizations (FPOs). Inclusion of women smallholders will be a key focus area with at least 50 percent of CIG members supported under the project estimated to be women farmers.

##### **21. Sub-component I.1: Farmer Capacity Building and E-Voucher support (USD 40 million, USD 32 million IDA):**

The sub-component will build small farmer capacity for enhanced climate resilience , improved production and market participation through the following major interventions viz. Strong farmer level extension to deliver training on climate smart TIMPs, demonstrative micro-project investments to complement TIMPs training, farmer mobilization and technical assistance to support access to e-vouchers, and small scale infrastructure investments for primary aggregation, small duration storage and value addition. Most activities under this sub-component are being scaled up from earlier investments made under NARIGP and the focus will be on strengthening commercial orientation, inclusion of women farmers and enhanced climate resilience and adaptation. New mobilization of small farmers into CIGs as required, will also be undertaken as part of this component. The project will partner with KALRO to further strengthen and expand the existing inventory of TIMPs with emphasis on climate resilience, nutrition and safer food production practices.

##### **22. Accompanying the training on climate smart TIMPs will be micro project investments at the CIG level for ensuring demonstration sites for the climate smart TIMPs. The sub-component will also support farmers to access e-vouchers as part of the National Value Chain Support Program (NVSP), launched in 2020 by MoALFC. The project will support mobilization and registration of farmers, and provision of technical assistance at the national and county levels**

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<sup>27</sup> The targeted farmers are clearly defined in para 41



for the implementation of the program. Finally, the sub-component will also support provision of small-scale infrastructure investment (through micro project investments) needed for primary aggregation and value addition including weighing, grading, cleaning of produce, small duration storage and quality testing equipment.

23. **Sub-component 1.2: FPO level climate smart value chain investments (USD 30 million, USD 25 million IDA):** This sub-component is focused on nurturing strong, market oriented FPOs that can enhance market participation and value realization for member small farmers and CIGs. The project will leverage the existing FPOs (mostly the best performing) mobilized under KCSAP & NARIGP and also undertake new mobilization of FPOs if required. The sub-component will provide small inclusion grants to eligible FPOs towards the inclusion / recruitment of more members into the FPOs and support the development of and fund climate informed business plans (referred to as the Enterprise Development Plans – EDPs) to enable the FPO and its member farmers access to high quality and climate resilient inputs (e.g., climate resilient seeds, breeds and balanced fertilizers), aggregation and value addition. It will also provide technical assistance to support long term access to formal financing, enable linkages with agribusiness SMEs, e-commerce companies and large ag-tech startups, and build techno-managerial capacity for agribusiness operations.
24. **Sub-component 1.3: Improve creditworthiness of CIGs and FPOs (USD 40 million, USD 30 million IDA):** This sub-component will focus on addressing both demand and supply side constraints to improve creditworthiness and bankability of CIGs and FPOs. On the demand side, the project will provide initial small grants to the CIGs through the SACCOs (both existing and new) within the CDDCs. These grants will be repaid back by the members to the SACCOs/CDDCs to build a revolving fund and will be primarily targeted towards increased adoption of climate smart TIMPs, access to climate resilient inputs, access to irrigation and improved soil & water management measures among others. The project will enhance financial management capacity of CIG members farmers, SACCOs/CDDCs and also provide technical assistance to FPOs to access finance. Working on the supply side, the project will support development of an FPO rating tool and will engage intensively with commercial banks, SACCOs, Micro-finance institutions and digital financial service providers to build county level, regional and national partnerships for sustainable credit linkages and long-term access to capital.
25. **Component-2: Climate Smart Value Chain Ecosystem Investments- USD 90 million (IDA- USD 75 million) :** This component will finance the enabling ecosystem investments identified as part of county level, regional level (spanning several counties) and national value chain development plans for each of the nine identified value chains. The following are the sub-components:
26. **Sub-component 2.1: Farmer Led Irrigation Development- FLID (USD 20 million, USD 15 million IDA):** This sub-component will support Farmer-led irrigation development with a focus on developing water efficient irrigation systems, rehabilitation of irrigation infrastructure, water harvesting and efficient water use, building drought adaptive capacity and climate resilience. The focus will be on where surface and shallow groundwater are readily available to farmers. In terms of water harvesting, the sub-component will support construction of small-size farm ponds and water pans (both construction of new water pans and rehabilitation of existing ones) and other interventions enabling improved water recharge. The FLID interventions will be demand driven and will leverage CIGs and FPOs to motivate individual farmers to access irrigation and use water efficiently. The CIGs and FPO network

will also be leveraged to develop Irrigation-centred multi-stakeholder platforms called FLID forums that will emphasise climate resilience and link farmers with irrigation suppliers, financial institutions and other key stakeholders. Lastly, this sub-component will also support deployment of specialized technical resource persons at county level to coordinate with county irrigation development unit (CIDU). The resource persons and the county teams will facilitate technical support to farmers on water harvesting and accessing irrigation including identifying, aggregating, and linking individual farmers with tech-suppliers and financing institutions.

- 27. Sub-component 2.2: Market Access and Infrastructure development (USD 20 million, USD 15 million IDA):** This sub-component will support development of enabling climate resilient market infrastructure (Warehouses, markets etc.) linked to prioritized value chains and on enhancing market linkages for farmers through enabling linkages with agri-business SMEs and other private sector partners. The market infrastructure will include development and upgradation of both new and existing physical markets, aggregation centers (e.g., warehouses, packhouses, cold chain storage facilities, sale yards) and cold-chain infrastructure to reduce post-harvest losses, food spoilage and improve value addition. Investments will be identified by value chain development plans and focus will be on developing co-financing models including Public Private Partnership (PPP) investments, impact investments and multi-county collaborations. Investments will be informed by climate considerations such as increased resilience and reduced emissions across food value chains. It will also actively support initiatives towards maximizing finance for value chain development and crowding in of investments through value chain forums at county, regional and national level aimed at building higher coordination among value chain actors, financing institutions and policy makers. The project will work closely with IFC to develop linkages with anchor off-takers and value chain actors while also identifying and creating a pipeline of investable opportunities for development of crucial market infrastructure in partnership with private sector. In addition, the Kenya Markets Information Systems (KAMIS) will be strengthened to bridge market information asymmetry between producers and other value chain actors. This sub-component will also include a dedicated window for financing new and existing SMEs providing crucial services especially market linkages along the value chains.
- 28. Sub-component 2.3: Data and Digital Investments (USD 20 million, USD 20 million IDA):** This sub-component will support climate adaptation planning through the scaling up of partnership with DAT service providers including mobilization, technical assistance, training and capacity building and digital equipment that enables farmers to access climate information services, climate smart TIMPs, climate resilience inputs (seeds, breeds and balanced fertilizers) , market information, digital finance and e-commerce. It will also support the strengthening of the existing Big Data platform at KALRO as the foundational database for insight-driven, more productive, resource efficient and climate-resilient farming. The Big Data platform will support wide farmer outreach by supporting digitization of more farmers, deepening data around savings, credit, cash flows and access to market at the farmer level and mapping of other key stakeholders to enable access to financial services and market linkages for farmers under the project. Also, under the sub-component, at least 2000 youth (with at least 30 percent women) will be developed as agriculture entrepreneurs (referred to as “Agriprenuers”) that will double up as both the last mile extension service providers and as the human touch point for “bundling” the services (access to climate resilient inputs, climate information services, financial service and market linkages) through the partnership with the various DAT providers. Lastly, county staff and lead farmers will be trained on digital services, data driven decision making and partnership management.

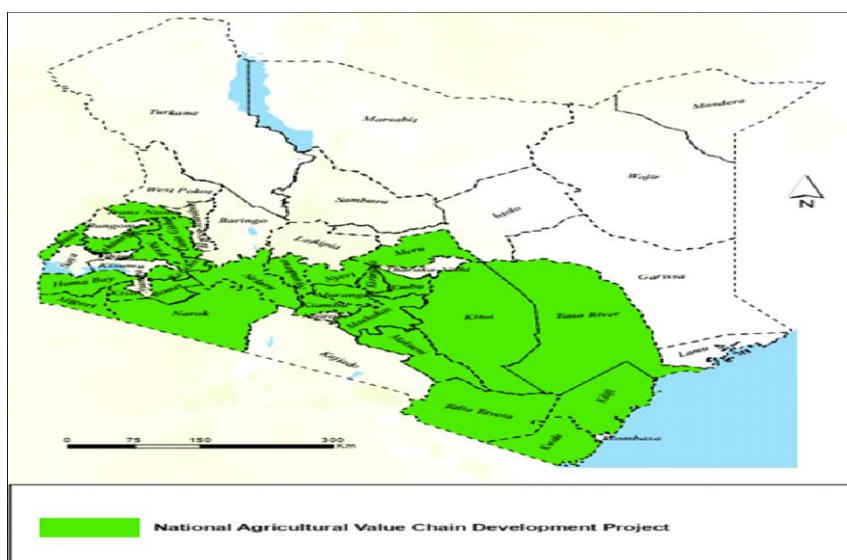
- 29. Sub-component 2.4: Research Linkages, Technical Assistance and Institutional Capacity (USD 30 million, IDA USD 20 million):** This sub-component is aimed at providing continued support to KALRO towards further strengthening of climate smart TIMPs, supporting quality technical assistance for value chain development at various levels and placement of and building capacity of county level implementation units to anchor project activities. The subcomponent will support sustained partnership with KALRO and fund the development of TIMPS for the three new value chains-cotton, pyrethrum, and cashew nuts and update inventories of TIMPS for all other value chains developed during the implementation of KSCAP/NARIGP with a focus on further strengthening climate resilience and enhancing value addition. 3-5 TIMPS with the highest potential for impact (through enhanced productivity, profitability, climate resilience, GHG mitigation) for each of the supported value chains will be prioritized. The subcomponent will also support the onboarding of technical support agencies (TSA) across several functional areas including but not limited to TSAs for FPO capacity building, value chain development, financial services and market infrastructure development. Lastly, this sub-component will support deployment of full time dedicated human resources and the procurement of equipment to support their functioning at the county level. A dedicated cell to coordinate closely with private sector players, anchor off takers and public departments will be established. The cell will anchor investment coordination and a reference database of ongoing value chain investments at the county level for prospective new investors.
- 30. Component 3: Piloting Safer Urban Food Systems- 30 million USD (IDA-23 million):** This component will support the rollout of Urban Food System pilots in Nairobi, a major urban cluster in the country, and parts of Kiambu and Machakos bordering the city as the peri-urban areas. The focus will be to demonstrate proof of concept of an efficient, climate smart and safe urban food system.
- 31. Sub-component 3.1- Urban and Peri-urban agriculture (USD 10 million, USD 8 million IDA):** As part of this subcomponent, Urban and peri-urban farmers within certain select production zones (e.g., chicken, potato, tomato, dairy and apiculture among others) will be mobilized into (CIGs/VMGs and FPOs) and supported with micro project investments to promote contextually conducive climate smart agriculture technologies. The use of DAT in urban and peri-urban areas will be ensured leading to more efficient input use matched to climatic trends and reduced GHG emissions. These urban / peri urban production zones will be linked to midstream value chain stakeholders such as processors and logistics providers (nutrition sensitive preservation and processing technologies) to reduce post-harvest losses. New and existing agri-business SMEs supporting such production and marketing practices will be supported through training and linkage with financial service providers.
- 32. Subcomponent 3.2: Urban Market Infrastructure (USD 15 million, USD 10 million IDA):** This subcomponent will support linkages between rural/peri-urban producers and urban consumers by a) Developing tion of climate proof market infrastructure (e physical urban and peri-urban markets) to serve as market hubs for direct farmer-consumer linkages and make them more resilient to climate change and b) Facilitating direct linkages between the CIGs/FPOs under the project and e-commerce platforms and digital aggregators like *Twiga Foods*. The sub-component will also support Intensive consumer awareness and information campaign to catalyze higher demand and value for safer food produce.

1. **Sub-component 3.3- Policy and Institutional Strengthening (USD 5 million, USD 5 million IDA):** This subcomponent will support the implementation of existing policy & regulatory frameworks, beginning with the Nairobi City County Food System Strategy. The activities to be funded will include: a) Operational costs towards strengthening the coordination and convergence among the various line ministries and departments (e.g. Urban, Agriculture, Health) that are involved in Urban Food Systems and Food Safety both at the national and county level; b) Training and Capacity building costs both at the government level, farmer level and consumer level; and c) Support Policy Analytics and Technical assistance (through appropriate technical experts and agencies) to be provided to the line ministries/departments.
2. **Component 4: Project coordination and management (20 million USD) (IDA-15 Million USD):** This component will finance activities related to national and county-level project coordination, including planning, fiduciary (financial management and procurement), staffing & human resource (HR) management at the national level, environmental and social safeguards implementation, monitoring and compliance, development of the MIS and ICT, regular M&E, impact evaluation, communication, knowledge management and citizen engagement.
3. **Subcomponent 4.1: Project Coordination (USD 15 Million, USD 10 million IDA):** This subcomponent will finance the costs of national level project coordination unit (NPCU), including salaries of contract staff, and O&M costs, such as office space rental, fuel and spare parts of vehicles, office equipment, audits, furniture, and tools, among others. It will also finance the costs of project supervision and oversight provided by the National Project Steering Committee (NPSC). It will also support the oversight and inter-governmental coordination provided by the Joint Agriculture Sector Coordination Mechanism (JASCOM/JAS) and the Council of Governors' (COG) structures for Agriculture (Committee on Agriculture, Caucus of CECMs for Agriculture, and Agriculture Secretariat); support the Agriculture Transformation Office and any other project administration costs.
4. **Subcomponent 4.2: Communication, Monitoring & Evaluation and ICT (USD 5 Million, USD 5 million IDA):** This subcomponent will finance activities related to communication with all stakeholders includes project beneficiaries, all government officials that are part of the project implementation, key policy makers and the citizens at large. As part of citizen engagement, all civil works will have a notice board displaying contract description, contractor's name, contract amount, and physical and financial progress. At the community level, posters and pamphlets will be printed and distributed in simple language to uphold the highest integrity in implementing the microprojects, drawing from similar experiences in other successful CDD-type operations. It will also finance activities related to routine M&E functions (e.g., data collection, analysis, and reporting) and development of an ICT-based Agricultural Information Platform for sharing information (e.g., technical or extension and business advisory services, market data, agro-weather, and others); it will also facilitate networking across all components. It will finance baseline, mid-point, and end-of-project impact evaluations.
5. **Component 5: Contingency Emergency Response (USD \$0 million):** This zero-budget subcomponent will finance immediate response activities following natural disasters (e.g. droughts, floods and or any sudden surge of a crop/livestock pest or disease like the locust or fall army worms) impacting the agricultural sector. The emergency response financing would be triggered upon formal request from the National Treasury (NT) on behalf of GoK.

In such cases, funds from project components would be reallocated to finance immediate response activities in the agricultural sector as needed. Procedures for implementing the contingency emergency response will be detailed in the Immediate Response Mechanism Operations Manual (IRM-OM) to be prepared and adopted by GoK within six months of project effectiveness

### 1.3.3 Project Scope

6. A total of **9 value chains (Dairy, Poultry, Fruits (Banana, Mango and Avocado), Vegetables (Tomato & Potato), Coffee, Cotton, Cashew Nut, Apiculture and Pyrethrum)** have been selected for intensive support under the project to be implemented in 26 counties. Final selection of value chains and counties is based on intensive analytics that assessed potential for inclusion and commercialization, ongoing investments in value chains and availability of strong community institutions like CIGs and POs being supported under NARIGP and KCSAP. This will enable the project to build on ongoing investments and capacity to deliver multiplier effects while minimizing duplication. In addition, the potential of CSA practices for each value chain was reviewed and incorporated. The identification process of the value chains considered the three pillars of CSA of increased productivity and incomes, adaptation to climate change and mitigation of GHG emissions. The selected value chains are also largely aligned with the high potential value chains identified under ASTGS. The multi-dimensional criteria and selection process for value chains and counties is detailed in **Annex-4**
  
7. The project will be implemented in the following counties: (1) Meru, (2) Murang'a, (3) Kiambu, (4) Kirinyaga, (5) Embu and (6) Nyeri (Mt. Kenya Region); (7) Machakos, (8) Makueni and (9) Kitui (Lower Eastern); (10) Nandi, (11) Uasin Gishu and (12) Trans Nzoia (North Rift); (13) Bomet, (14) Kericho, (15) Narok, (16) Nyandarua and (17) Nakuru (Central/South Rift); (18) Busia and (19) Kakamega (Western); (20) Kisii, (21) Migori and (22) Homa Bay (Nyanza); and (23) Tana River, (24) Taita Taveta, (25) Kilifi and (26) Kwale (Coast) as shown in Figure below



### **1.3.4 Project Beneficiaries**

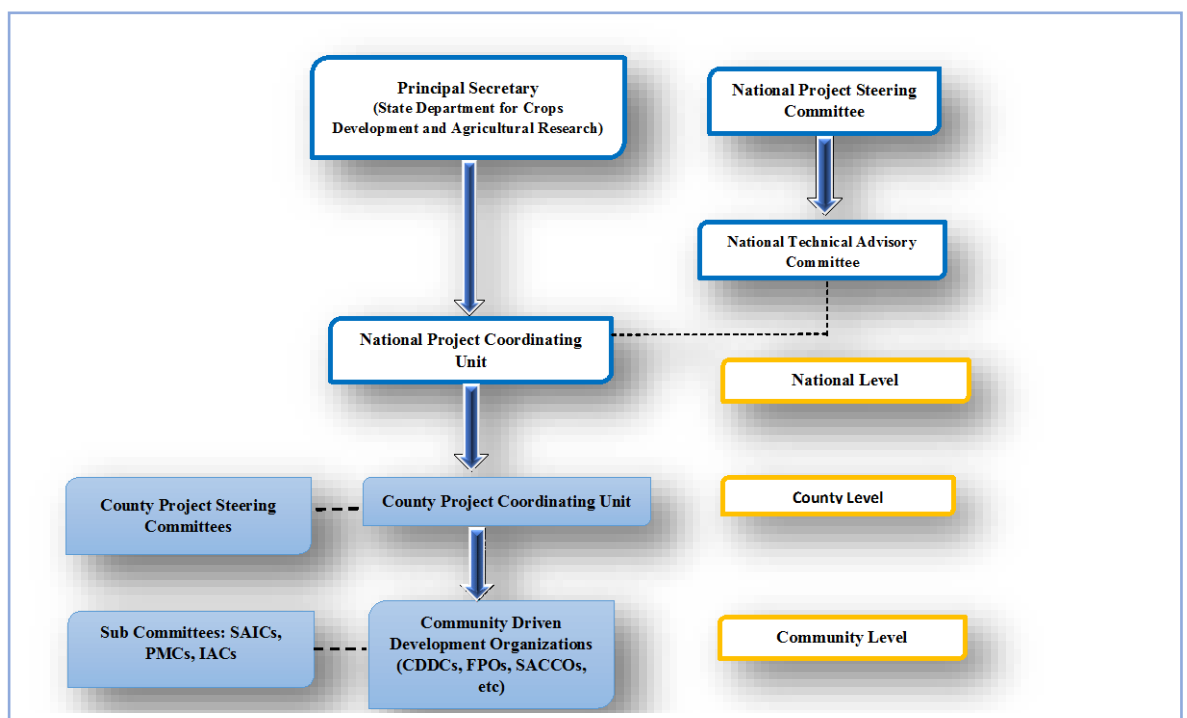
8. **The project will support 500,000 farmers engaged in 9 value chains across 26 counties.** The selection of value chains and counties to be intensively supported under the project is driven by a multi-dimensional criterion detailed in Annex-4. It is envisaged that the 500,000 farmers supported under the project will largely include small scale farmers who will be transitioning from being subsistence farmers to commercial farmers or are selling only a small percentage of their produce commercially. Furthermore, the project will benefit many value chain actors at various levels including extension workers, aggregators, logistics support providers and SMEs operating within the value chain. It is expected that 10,000 jobs will be created through multiple pathways including expansion of FPO operations, expansion of anchor off-takers and SME operations, expansion of Agri tech provider operations, development of Agripreneuers and expansion of urban agri-business linkages.

### **1.3.5 Implementation and Institutional Arrangements**

9. NAVCDP will benefit significantly from the existing implementation capacity and strong community institutions developed under NARIGP and KCSAP both at the national level and county level. At the national level, a fully functional National project coordination unit (NPCU) has been established with subject matter specialists, trained financial management, procurement and environment and social safeguard specialists that are supporting county implementation units. All the 26 identified counties have fully functional implementation units at the county level with trained subject matter specialists, financial management, procurement and environment and social safeguard specialists. Strong technical, and fiduciary systems have been developed under NARIGP and KCSAP which will allow NAVCDP to have higher implementation efficiency. The project will also leverage the existing three-tiered community institutional arrangement developed under NARIGP and KCSAP for implementation of NAVCDP.
10. The existing NPCU and CPCUs will be strengthened by bringing in new staff that have the appropriate expertise in the newer focus areas i.e. irrigation access, financial services, data & digital technologies and private sector partnerships. The project will also adopt new innovative practices for bringing in highly qualified young graduates from leading agriculture and management institutions in the country to work on fixed duration, high intensity technical assistance assignments. Additionally, the project will innovatively utilize mechanisms such as internships and community level human resource deployment especially at institutions such as SACCOs and FPOs.
11. **Project Oversight, Policy Guidance, Governance and Coordination:** At the National Level, the NT will represent GoK, for which the Ministry of Agriculture, Livestock, Fisheries and Cooperatives (MoALFC) will be the main implementing agency. Within MoALFC, the project will be anchored in the State Department for Crop Development and Agriculture Research with coordination mechanisms established with State Departments for Livestock (SDL) and Cooperatives (SDC). Overall project oversight and policy guidance at National and County level will be spearheaded by established steering committees. At national and county level level, the existing NARIGP NPSC and existing County Project Steering Committees

(CPSCs) for NARIGP (16 counties) and KCSAP (10 counties) will provide oversights and policy guidance. The steering committees at county and national level will be supported by the existing Technical Advisory Committees at National and County level (NTAC and CTACs, respectively). To enhance linkages and ownership of the project, participating county governments will be fully involved in the decision-making process at the national level, as they will be represented in NPSC and the National Technical Advisory Committee (NTAC) by the Chair of the Agriculture Committee of the Council of Governors (CoGs) and representative CECM's for Agriculture from participating counties respectively. In addition, county governments through CPSCs will be responsible for decision making/approval of micro-projects and for providing oversight at the county and community levels. Institutional arrangements are further detailed in Figure 2.

**Figure-2: NAVCDP Organogram**



**12. Project Implementation:** The core implementation roles will be fulfilled by National Project Coordination Unit (NPCU) at the national level, County Project Coordination units (CPCUs) and the community institutions (CIG/VMG/CDDCs/FPO) at the community level. Each of these three tiers have significant pre-existing implementation capacity and systems. The fully functional NPCU, headed by the National Project Coordinator (NPC), established under NARIGP will be responsible for managing day-to-day project implementation. The NPC will also be the secretary to the NPSC and NTAC. Key staff of NPCU will include subject matter specialists including but not limited to community institution specialists, agronomists focusing on productivity enhancement, irrigation specialists, private sector engagement specialists and financial inclusion specialist. It will also include project accountant, Procurement Specialist, an M&E Officer, an Environmental Safeguard specialist, and Social Safeguards Specialist. The NPCU staff will comprise of seconded personnel deployed by the national government and open market recruits to be hired on a contractual basis. The project will also strongly push for inclusion of young graduates from premier knowledge institutions

in Kenya, to be deployed for focused, limited tenures. Staffing under the project will be driven by periodic needs assessment based on emerging project outcomes and overall trends within the selected value chains. For effective coordination of research linkages and agriculture digitization, the MoALFC will enter into relevant support mechanism with KALRO to oversee implementation of these activities.

13. At the county level, CPCUs headed by CPC will lead project implementation under the oversight of CPSC. The CPC will serve as the secretary to CPSC. CPCU, which will be embedded into the respective county government structures, will comprise the Country Project Coordinator (CPC), subject matter specialists including but not limited to social development specialist, agronomist focusing on productivity enhancement, irrigation specialist, private sector engagement specialist and financial inclusion Specialist. It will also include project accountant, procurement specialist, an M&E Officer, an Environmental and Social Safeguard Officer. The CPCU staff will comprise of personnel seconded to the project on a full-time basis by the county governments as well as contractual employees hired from open market to respond to specific specialized technical skill gaps.
14. **At the community level**, the project implementation will be driven by the strong community institution architecture developed under NARIGP and KCSAP. At the cutting edge, CIGs will serve as the primary interface between project interventions and smallholder farmers. The CIGs will play crucial institutional role in delivery of training and extension services, seasonal agriculture planning, mobilization of farmer savings, utilization of revolving funds for TIMPs adoption and collective implementation of micro-project investments. Community Driven Development Committees will function as ward level representative institutions of CIGs with elected leaders (chair, secretary, treasurer, and board members) will represent beneficiaries in the targeted communities. They will also be responsible for identifying vulnerable and marginalized members of the community through participatory targeting approaches.

#### **1.4 OBJECTIVE OF SEP AND AREAS REQUIRING ENGAGEMENT**

15. The overall objective of the SEP is to define a program to ensure active participation of relevant stakeholders in project activities that includes their identification/mapping, specifying their responsibilities/roles, appropriate participatory methodologies/approaches and the resources required to implement and monitor SEP implementation. In addition, SEP will outline how the project implementers will communicate with stakeholders and includes a mechanism by which target beneficiaries can raise concerns, provide feedback on project implementation.
- 16.
17. The SEP also describe, and guide on the applicable, policy, regulatory and other relevant requirements for disclosure.
18. The specific areas for each component/sub-component for the proposed NAVCDP that will require stakeholder engagement are summarized in Table I.



**Table 1: Project Components and Areas that require Stakeholder Engagement**

<b>Component 1: Building Producer Capacity for Climate Resilient Stronger Value Chains</b>		<b>Areas for Stakeholder Engagement</b>
<b>Farmer level investments</b>	Fund micro-project investments for 20,000 plus CIGs/VMGs mobilized under the existing projects	Community mobilization for selection of investments and implementation; criteria for selection/profiling CIGs/ VMGs; M&E and Reporting
	Establishment of an expanded human resources architecture towards delivery of advisory and extension services	Identification and participation of the human resource.
	Support to e-voucher	Mobilize beneficiaries to benefit from value chain specific subsidies provided by GoK
<b>FPO Level Climate Smart investments</b>	Fund Inclusion Grants and EDPs for FPOs formed by federation of CIGs/VMGs towards improved value addition and market access	Community mobilization for selection of investments and implementation; criteria for selection/profiling FPOs; M&E and Reporting
<b>Strengthen partnerships with Technical Support Agencies (TSAs)</b>	Establish and strengthen partnerships with TSAs and other best practice institutions to provide strategic support to FPOs in each of the prioritized value chains	Identify partners and other stakeholders; strengthening platforms;
<b>Support to National level farmer federations</b>	Targeted support to national level farmer federations and other key agencies involved in development of FPOs for supported value chains	Identify farmer groups for federation; identification of criteria for federation; etc.
<b>Component 2: Climate Smart Value Chain Ecosystem Investments</b>		<b>Areas for Stakeholder Engagement</b>
<b>Strengthening County Technical Departments (CTDs)</b>	Invest in strengthening the capacity of CTDs to support community-led investments under Component 1 and 2	County awareness creation (County and community levels), CTDs identification, training; identification of community-led investments
<b>Identification, planning, and implementation of MCIs</b>	Provide funding for investments in highly relevant multi-community investments in National Resources Management (NRM) and market infrastructure development directly linked to supported value chains	Identification and implementation of the multi-community investments; identification.

	Establish county level structures for harmonized delivery of input subsidies to farmers by rollout of the e-voucher program	Establishment of county level structures for delivery of subsidies; e-voucher rollout and management
<b>Component 3: Piloting Safer Urban Food Systems</b>		<b>Areas for Stakeholder Engagement</b>
This component will support roll out of urban food system pilots in select urban clusters, focusing on demonstrating a proof of concept by direct linkage of rural FPOs to urban consumers through creation of appropriate market infrastructure and commercial entities that will enhance the efficiency of food distribution coupled with interventions that focus on enhanced food safety during aggregation, logistics and distribution		Choice of participants; selection of urban clusters; linkage of FPOs to urban consumers; creation of commercial entities; food distribution; food safety stakeholders' identification and participation; review platforms; etc.
<b>Component 4: Project Coordination and Management</b>		<b>Areas for Stakeholder Engagement</b>
<b>Project Coordination</b>	Logistical support and capacity enhancements to project implementation structures at National, County and Community levels	Workshops, meetings, venues and general communication
<b>Communication, Monitoring, Evaluation and ICT</b>	Support to project implementation structures to ensure successful roll-out of participatory monitoring, evaluation and reporting	Formation of structures, training, implementation of participatory monitoring, evaluation and reporting
	Support project implementation structures including youth/women as agripreneurs and other beneficiaries to use ICT for enhanced market access and value addition	Identification of areas for ICT integration, consultations to identify ICT sector players and enhancement of their capacity
<b>Component 5: Contingency Emergency Response</b>		
<b>Contingency Emergency Response</b>	Support to identification of internal and external stakeholders for emergency contingency response, coordination of identified stakeholders	Stakeholder engagement to specify required thresholds to trigger official pronouncement of emergency response, preparation of emergency triggering protocol

## 1.5 NAVCDP SCREENING AND COMPLIANCE PROCEDURES

19. The NAVCDP is being prepared under the World Bank's Environment and Social Framework (ESF). Under the ESF, NAVCDP must comply with nine out of ten Environmental and Social Standards (ESSs). All the sub-projects will be subjected to initial participatory screening using the E&S checklist in the ESMF. The project beneficiaries, and the Social Accountability and Integrity Committee (SAIC) will administer the checklist to identify potential environmental and social impacts and determine the appropriate safeguard compliance instruments.
20. **Exclusions:** The project shall exclude the following types of activities as ineligible for financing under the project:
- Activities that have a high probability of causing serious adverse effects to human health and/or the environment.
  - Activities that may adversely affect lands or rights of Traditional Local Communities or other vulnerable and marginalized groups.
  - Associated facilities which do not meet the requirements of the ESSs, to the extent that the beneficiaries have control or influence over such associated facilities.
  - Activities that may have significant adverse social impacts and/ or may give rise to significant social or community conflict.
  - Sub-project/ activity with either adverse impacts on land or natural resources under traditional/customary use or have risks associated with the relocation of VMGs coupled with any negative impact on their cultural sites/heritage
  - Activities that may involve involuntary resettlement or land acquisition (physical relocation of PAPs).
  - Investment on land for which clear ownership document is not available.
21. The Environmental and Social Management Framework (ESMF) is being prepared with an annex of the Integrated Pest Management Framework (IPMF), Sexual Exploitation , Abuse and Harassment (SEAH) prevention and Response Plan and Security Management Plan (SMP). In addition , the Labour Management Procedures (LMP), Resettlement Policy Framework (RPF) and the Vulnerable Marginalized Groups Framework (VMGF) are under preparation and submitted for Bank review and approval. These instruments once approved will subsequently be disclosed to public prior to Project effectiveness. All the framework instruments and SEP will be updated in agreement with the World Bank as required within 12 months of project effectiveness to adapt to the project procedures and development plans at county and community level. The ESMF sets out the principles, rules, guidelines and procedures for screening and assessing the environmental and social risks and impacts associated with the project. It specifies measures and plans to reduce, mitigate and/or offset adverse risks and impacts, outline the budget and costs to support the environmental and social measures, , and provides information on the agencies responsible for addressing project environmental and social risks and impacts, including existing capacity at the MoALFC to manage environmental and social risks and impacts. Further, the ESMF specifies information on potential areas where the individual subprojects/ investments are to be sited, including any potential environmental and social vulnerabilities of the areas, and the potential impacts that may occur and mitigation measures that might be expected to be used.

22. During Project implementation the MoALFC will prepare sub-project site specific Environmental and Social Impact Assessments (ESIA)/or Environmental and Social Management Plans (ESMPs), Integrated Pest Management Plans (PMPs) and Income Restoration Plans as part of ESMPs in the event of any economic displacement . During project implementation 11 VMGPs will also be prepared specific to County Development Plan for selected value chains where VMGs are present. Social assessment will be part of VMGPs. Table 2 presents the key instruments required for each implementation level.

**Table 2: Environmental and Social documentation for NAVCDP and subprojects**

<b>Document</b>	<b>National level</b>	<b>County level</b>	<b>MCI level</b>	<b>PO level</b>	<b>CIG / Farmer level</b>	<b>Farmer Federation level</b>
ESMF**	X	X				
IPMP**	X	X	X	X	X	X
ESS screening checklist	X	X	X	X	X	X
ESIAs/SPR		X	X	X		X
ESIAs/CPR			X	X		X
ESMP		X	X	X	X	X
C-ESMP		X	X	X		
EPRP			X	X	X	X
WMP			X	X		X
EHS/OHS	X	X	X	X	X	X
LMP			X	X		X
SMP	X	X	X	X	X	X
VMGF**	X	X				
VMGP		X		X	X	X
RPF**	X	X				
Income restoration Plan			X	X		X
Incident /Accident Register			X	X	X	X
SEA/SH Action Plan	X	X	X	X	X	X
Child protection Strategy			X	X		
SEP	X	X	X	X	X	X
GMC	X	X	X	X	X	X

**Note:**

*C-ESMP: Contractor's ESMP*

*CPR: Comprehensive Project Report*

*EHS: Environmental Health and Safety*

*EPRP: Emergency Preparedness Response Plan*

*ESIA: Environmental & Social Impact Assessment*

*ESMF: Environmental and Social Management Framework*

*ESS: Environmental and Social Standards*

*SEA/SH Action Plan: Sexual Exploitation Abuse and Sexual Harrassment Prevention and Response Plan*

*GMC: Grievance Redress Mechanism Committee*

*IPMP: Integrated Pest Management Plan*

*LMP: Labour Management Plan*

*OSH: Occupational Safety and Health*

*ARAP: Abbreviated Resettlement Action Plan*

*RPF: Resettlement Policy Framework*

*SEP: Stakeholder Engagement Plan*

*SMP: Security Management Plan*

*SPR: Summary Project Reports*

*VMGF: Vulnerable and Marginalized Groups Framework*

*VMGP: Vulnerable and Marginalized Groups Plan*

*WMP: Waste Management Plan*

*\*\*indicates separate E&S document to be prepared to meet ESF and other applicable requirements; \* identifies present documentation.*

## **I.6 POTENTIAL ENVIRONMENT AND SOCIAL RISKS**

23. The environmental and social risk rating of NAVCDP is assessed as substantial. Although the potential environmental risks and impacts from the project activities in the targeted project area are expected to be medium in magnitude, temporary, site specific, predictable, and reversible, the vastness of the targeted area made the project to be classified as substantial.
24. The environmental risk rating is assessed as substantial. The typology of sub-projects to be financed under this project are likely to result in environmental risks and impacts that are medium in magnitude and /or in spatial extent (the geographical area and size of the population likely to be affected are medium to small), temporary, site specific, predictable and/or reversible and can easily be mitigated. The Project will cover significant geographical area covering 26 counties and thus making the risk rating substantial. The component will also support other value chain upgrading investments targeted at addressing any gaps identified along all the segments of the value chain for the selected commodities. During implementation of the micro-projects and multi-community investments (under components 2 and 3), these activities are likely to result to potential negative environmental risks and impacts that include soil erosion and soil water pollution, dust emissions, community health and safety risks and occupational, health and safety (OHS) risks, generation of hazardous and non-hazardous wastes as well as potential use of pesticides. These impacts are expected to be temporary, site specific, reversible and easy to mitigate. It is anticipated that the Project will result to positive environmental impacts that include soil and water conservation practices. The potential negative environmental risks and impacts associated minor construction activities financed under this Component 2 include: (i) air pollution, (ii) soil and water pollution; (iii) community health and safety; (iv) occupational, health and safety; and (v) generation of hazardous and non-hazardous waste. These impacts are expected to be temporary, site specific, predictable, reversible and easy to mitigate. The e-voucher program is expected to result to negligible environmental risks and impacts. Instead, it will contribute use of quality farm inputs i.e., through soil testing. Component 3: This component will support roll out of Urban Food System pilots in select urban clusters. The potential negative environmental risks and impacts are associated with the solid waste generation from the spoilt farm produce delivered to the urban centres through the value chains as well as during processing. Given that the sub-projects have not been identified at this stage in Project Preparation, the Project will prepare Environmental and Social Management Framework (ESMF), to provide guidelines and procedures for assessing environmental and social risks and impacts during implementation. Each micro-project infrastructure investment will develop environmental and social management plan to guide management of identified risks and impacts. The project will include a CERC component this might include the financing of the immediate response activities following natural disasters impacting the agricultural sector such as drought, flooding and pest infestation. The ESMF will include environmental and social screening process for the potential activities, the institutional arrangement for the environmental and social due diligence and the generic guidance for implementing the emergency activities.

25. The positive social impacts include improved food and nutrition for households, increased involvement of women in the agricultural sector. The social risk rating is assessed as Substantial. This is mainly due to the vastness of the target area across 26 counties, low capacity of project implementation teams, agricultural activities being vulnerable to child labor and forced labor, existing tensions between communities regarding resources (water, community lands); presence of VMGs; evidence that some sub-projects will require agreement and consent from the communities to use community lands (and if VMGs are present on those lands, free prior and informed consent might likely be required); some sub project investments may lead to income loss/economic displacement.. Although the project team has broader understanding of managing social risks and impacts on WB funded projects and experience of implementing NARIGP and KSCAP under safeguards, the NPCU, County teams and community institutions (CIG/VMG/CDDCs/FPO) will require intensive training and technical support. Specially during preparation of County development Plans, applying exclusion criteria and incorporation of social issues such as labor management, meaningful stakeholder engagement in culturally appropriate manner, ascertaining land ownership, management of Economic loss, ensuring VMGs are consulted upon and benefit from the project. There are several social risks associated with the proposed activities under component 1 and 2 including: (i) elite capture – there is a likelihood that more connected people may get involved and push the poor and vulnerable farmers (including VMGs) to the periphery; (ii) discrimination of women from accessing the services given their low literacy levels and limited access to land, which is traditionally owned by men in most communities; (iii) inadequate consultations given the fact that most of the activities will be channeled through the FPOs and CIGs; it is possible that disadvantaged and vulnerable farmers (those from marginalized communities) may not fully benefit from the project investments. (iv) insecure land tenure constraining investments on land for better production or commercial farming. (vii) Children resorting to work in project supported activities owing to economic hardship in the project area and weak implementation of labor legislations. (viii) There is risk of Sexual Exploitation and Harassment (SEAH) on the project. Although support to farmers will be channeled through FPOs and CIGs, there is a possibility of women being asked for favors by leaders of these organizations to access services.
26. The negative social impacts that could arise from these activities are: (i) conflict between and among communities due to site selection and investments;; (ii) inadequate input into the selection of value chains and sites for infrastructure investment; (iii) Potential economic loss to occupants of land due to construction of micro-projects and multi-community investments; (iv) interruptions in production and livelihoods – some farmers may shift production towards the commodities being supported by the value chain development; and (v) community health and safety (as outlined above under the Environmental section). The social risks associated with component 3 include: (i) Exclusion of vulnerable and disadvantaged from project benefits; (ii) elite capture of the investments; (iii) potential economic loss to occupants of land to be used for market infrastructure and (iv) exclusion of disadvantaged and vulnerable groups from participating and benefiting from the investments.

## I.7 STAKEHOLDER IDENTIFICATION AND ANALYSIS

### I.7.1 Project stakeholders Defined

27. For the purposes of effective and tailored engagement, stakeholders of the proposed NAVCDP, and subprojects will be divided into the following core categories.
- a) **Project Affected Persons (PAPs)/Households (PAHs)** – individuals, VMGs, CIGs, FPOs, and POs and other entities within the project Area of Influence (PAI) that are directly affected (actually or potentially) by the project and/or have been identified as most susceptible, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures.
  - b) **Other Interested Parties** – Line ministries and departments, CSOs, development partners in the same sector, individuals, entities that may not experience direct impacts from NAVCDP but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way.
  - c) **Vulnerable Groups** – persons who may be disproportionately impacted or further disadvantaged by the subproject as compared to any other groups due to their vulnerable status<sup>28</sup>, and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project(s). These may include women, Differently Abled Persons (DAPs), youth, female and child headed households, squatters, among others.
28. Cooperation and negotiation with the stakeholders throughout the project development will often require the identification of persons within the CIGs/VMGs or POs who act as legitimate representatives of their respective stakeholder farmer groups, i.e., the individuals who have been elected and entrusted by their fellow CIG/VMG or any other project group members with the responsibility of advocating for the groups' interests in the process of engagement with the project.
29. Community representatives, in case of multi-community investments, will provide helpful insights into the local settings and act as main conduits for dissemination of the project-related information and as a primary communication/liaison link between the project and targeted communities and their established networks. The legitimacy of such representatives may stem both from their official elected status and their informal and widely supported standing within the community that allows them to act as focal points of contact in the project's interaction with its stakeholders. Examples of legitimate stakeholder representatives include but are not limited to:
- Elected officials of county and ward levels, and self-governance bodies;
  - Administrative officials at the community levels including chiefs and assistant chiefs;
  - Non-elected leaders that have wide recognition within their community, such as chairpersons of local initiative groups, committees, local cooperatives, etc.;
  - Leaders of community-based organizations, local NGOs, women's and youth groups; and
  - Elders and veterans within the affected community; religious leaders, including those representing traditional faiths; teachers; and other respected persons in the local communities, etc.

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<sup>28</sup> Vulnerable status may stem from an individual's or group's race, national, ethnic, or social origin, color, gender, language, religion, political or other opinion, property, age, culture, literacy, sickness, physical or mental disability, poverty or economic disadvantage, and dependence on unique natural resources.



### 1.7.2 Identification of Stakeholders

30. Stakeholder engagement process for the NAVCDP in Kenya will start from identification, mapping, and analysis. It is anticipated that this SEP will help clarify the stakeholder identification procedure at the national level. This will guide NAVCDP and allow compliance with above cited commitments (National and County). The following criteria, adjusted to take account of site-specific conditions, are proposed to be used for the identification of stakeholders:

- **Liability:** project implementation or on-going operations may result in legal, financial, or other liabilities of the proponent to a social group.;
- **Influence:** a social group may be able to substantially influence project implementation or ongoing operations.
- **Partnership:** there are opportunities for building partnership relations between the project developer and a given social group in the framework of the project implementation or on-going operations.
- **Dependency:** project implementation may significantly affect a given social group and may affect vital interests of its representatives if they are dependent on the project's on-going operations in economic or financial terms.
- **Representation:** a social group may have a right to represent interests about a project or on-going operations, and this right is legitimated through legislation, custom and and/or cultural specifics; and
- **Expressed interest:** a social group and/or individual may express interest to a project or ongoing operations, and this group is not necessarily directly affected by the planned or current activities.

### 1.7.3 Stakeholder Analysis

31. Engagement with all identified stakeholders will help ensure the greatest possible contribution from the stakeholder parties towards the successful implementation of the subproject(s) and will enable the subproject(s) to draw on their pre-existing expertise, networks, and agendas. It will also facilitate both the communities' and institutional endorsement of the project(s) by various parties. Access to the local knowledge and experience also becomes possible through the active involvement of stakeholders. A description of the stakeholders and needs is summarized in Table 4.

**Table 4: Summary of project stakeholder needs**

<b>Category</b>	<b>Stakeholder group</b>	<b>Estimated Membership</b>	<b>Language needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter)</b>	<b>Specific needs (accessibility, large print, childcare, daytime meetings)</b>
National Project Steering Committee (NPSC)	PSs-Agriculture, Livestock, Fisheries and Cooperatives, Sector ministries, Non-State Actors	About 7-9 members	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings

<b>Category</b>	<b>Stakeholder group</b>	<b>Estimated Membership</b>	<b>Language needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter)</b>	<b>Specific needs (accessibility, large print, childcare, daytime meetings)</b>
National Technical Advisory Committee (NTAC)	Sector Directors, Non-State Actors	About 15 members	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings
National Project Coordinating Unit (NPCU)	Designated Experts	13-14 Specialists	English / Kiswahili	Letters, Phone calls, emails	Daytime meetings
Thematic Groups	Panel of Experts (PoEs)	Thematic areas/experts based on the nine value chains	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings
County Steering Committee (CSC)	Sector CECs, NGOs,	7-11 persons	English / Kiswahili	Letters, Phone calls, emails, WhatsApp	Daytime meetings
County Technical Advisory Committee (CTAC)	Sector County Directors, Non-State Actors, Reps of special groups	11-15 experts	English / Kiswahili	Letters, Phone calls, SMS, emails, WhatsApp	Daytime meetings
CIGs	Registered farmers / Pastoralists	Numerous	English/Kiswahili/local language	Letters, Phone calls, emails, radio, SMS	Daytime meetings
VMGs	Registered VMG farmers / pastoralists	Numerous	Kiswahili/local language	Letters, Phone calls, emails, radio, public meetings, group discussions, SMS	Daytime meetings, entry point Council of Elders
POs	Registered and practicing members	Numerous	English/Kiswahili/local language	Letters, Phone calls, emails, radio, SMS, WhatsApp	Daytime meetings
Multi-community Investment Committees	Elected officials by the community; community members	Numerous	English/Kiswahili/local language	Letters, Phone calls, emails, radio	Community barazas through Area Chiefs

<b>Category</b>	<b>Stakeholder group</b>	<b>Estimated Membership</b>	<b>Language needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter)</b>	<b>Specific needs (accessibility, large print, childcare, daytime meetings)</b>
Value chain Apex Organizations	Representatives	Numerous	English/ Kiswahili	Letters, Phone calls, emails, SMS, WhatsApp	Daytime meetings
Industry	Players along the relevant value chains	Numerous	English/ Kiswahili	Letters, Phone calls, emails,	Daytime meetings
Agro-input stockists	Players	Numerous	English/ Kiswahili	Letters, Phone calls, emails, SMS	Daytime meetings
CSOs CBOs, FBO,	Players especially on advocacy	numerous	English/Kiswahili	Letters, Phone calls, emails, SMS	Daytime meetings
IP/SSAHUTLC	VMG inclusion	many	Kiswahili/English	Letters, Phone calls, emails, SMS	Daytime meetings

## 2 POLICY, LEGAL, AND INSTITUTIONAL FRAMEWORK

32. Public participation in decision making follows from the legislation of the Republic of Kenya and obligations under international agreements. The Constitution of Kenya (CoK, 2010) entrenches a wide range of social, political, economic, and cultural rights and revolutionizes the entire system of political governance by devolving authority to county governments and decreeing the need for citizen participation in decision making. It enshrines the right to access of information and makes principles of international laws and treaties ratified by Kenya an integral part of the country's laws as summarized in Table 5.

**Table 5: Policy, Legal, and Institutional Framework analysis**

S/N	Policy, Legal & Institutional Framework	Relevancy	Application in NAVCDP
1	The Constitution of Kenya, 2010	Article 232 outlines transparency and timely provision to the public of accurate information as one of the values and principles of public service. bind all State agencies at both National and County government levels and State corporations to these values and principles. Article 69 outlines the obligations of the government in respect to the environment. chapter 6 is on leadership and integrity; the constitution has entrenched values and principles that should govern the operations of all entities and public officers within the State and requires adherence. A framework on principles of public finance such as equity, openness and accountability including through public participation in financial matters.	NAVCDP shall adhere to the CoK, 2010 by ensuring sustainable exploitation, utilization, management, and conservation of the environment; and natural resources; and ensure the equitable sharing of the accruing project benefits to all beneficiaries ensuring equity by gender.
2	Kenya Vision 2030	Under the Social Pillar of Vision 2030, i.e., the Country's commitment to invest in the people of Kenya, the country's journey towards prosperity is envisioned to involve the building of a just and cohesive society, which enjoys equitable social development in a clean and secure environment. The Political Pillar, moving to the Future as One Nation, states in part that Kenya is committed to "adherence to the rule of law as applicable to a modern, market-based economy in a human rights-respecting State". Furthermore, Vision 2030 is anchored on aspirations to better define and clarify land tenure rights and perhaps by extension facilitate the identification of carbon rights and associated equity in accruing benefits <sup>29</sup>	In use and utilization of resources, NAVCDP shall be able to define public from private resources including land where proper documentation would be recommended and implemented with all the strictness it deserves

<sup>29</sup> The CoK, 2010; Article 216, CoK; Chapter 12, Article 201.

4	The Public Participation Policy 2018	The Government of Kenya has developed this Public Participation Policy as the country's overarching framework for public participation. In this policy, public participation is conceptualized as the process by which citizens, as individuals, groups, or communities (also known as stakeholders), take part in the conduct of public affairs, interact with the state and other non-state actors to influence decisions, policies, programs, legislation and provide oversight in service delivery, development and other matters concerning their governance and public interest, either directly or through freely chosen representatives.	The NAVCDP recognizes that public participation strengthens and legitimizes project decisions, actions, and development interventions, and that it is an important element of good governance and the foundation for a true democracy. Therefore, all envisioned investments shall apply the principles of public participation.
5	Environment Management and Coordination Act (No. 8 of 1999), EMCA (Amendment ) Act 2015	This is an Act of Parliament providing for the establishment of an appropriate legal and institutional framework for the management of the environment and for matters connected therewith and incidental thereto. This Act is divided into 13 Parts,	Applicable where NAVCDP will have sub-projects where ESIA's and Audits will be required. EMCA demands about 2-3 public consultations during these studies.
6	Occupational Health and Safety Act, 2007	<ul style="list-style-type: none"> <li>▪ Secures safety and health for people legally in all workplaces by minimization of exposure of workers to hazards (gases, fumes and vapours, energies, dangerous machinery/equipment, temperatures, and biological agents) at their workplaces.</li> <li>▪ Prevents employment of children in workplaces where their safety and health is at risk.</li> <li>▪ Encourages entrepreneurs to set achievable safety targets for their enterprises.</li> <li>▪ Promotes reporting of work-place accidents, dangerous occurrences and ill health with a view to finding out their causes and preventing of similar occurrences in future.</li> <li>▪ Promotes creation of a safety culture at workplaces through education and training in occupational safety and health.</li> </ul>	NAVCDP will use it on work-place accidents, dangerous occurrences and ill health with a view to finding out their causes and preventing similar occurrences in future.
7	Labour Relations Act 2012	To provide for the registration, regulation, management and democratisation of trade unions and employers organisations or federations, to promote sound labour relations through the protection and promotion of freedom of association, the encouragement of effective collective bargaining and promotion of orderly and	Guideline on employment of persons on civil works sites.

		expeditious dispute settlement, conducive to social justice and economic development and for connected purposes.	
8	Employment Act 2012, amended 2021, Part I Section 2 and the Children's Act 2021, Part I Section 2	Both the employment Act 2012, amended 2021, Part I Section 2 and the Children's Act 2021, Part I Section 2 identify a child as any person/human being who has not attained the age of 18 years. Children's act Part 2, Section 10 (1) requires that every child shall be protected from economic exploitation and any work that is likely to be hazardous or interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development	NAVCDP will ensure that no person below the age of 18 years is employed/hired as labour under any of the project interventions
9	National Environment Management Authority (NEMA)	NEMA exercise general supervision and co-ordination over all matters relating to the environment and to be the principal instrument of Government in the implementation of all policies relating to the environment.	NAVCDP will work closely with NEMA in order to achieve ESS compliance level.
10	County Environmental Committees	Contribute to decentralised environmental management and enable the participation of local communities	NAVCDP will work in the counties to ensure the Gazetted CECs continue to support investments.
11	World Bank's ESS10: Stakeholder Engagement and Information Disclosure	Recognizing "the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice" emphasizes that effective stakeholder engagement can significantly improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.	NAVCDP will employ the tenets of ESS10 almost in all activities and decision-making processes affecting stakeholders.

33. NAVCDP has developed a SEP proportionate to the nature and scale of the project and its potential risks and impacts (paragraph 13). Stakeholders are/will be identified, and their engagement needs, and communication channels defined. The SEP will be disclosed for public review and comment as early as possible ESS10 also requires the development and implementation of a grievance mechanism (GM) that allows project-affected parties and others to raise concerns and provide feedback related to the environmental and social performance of the project and to have those concerns addressed in a timely manner. The NAVCDP has adopted a GM structure that previously worked for other WB supported projects including NARIGP, KCSAP and the Emergency Locust Response Project (ELRP). This will be further detailed in this SEP.

## **3 PURPOSE AND TIMING OF STAKEHOLDER ENGAGEMENT**

### **3.1 INTRODUCTION**

34. NAVCDP will adopt meaningful stakeholder consultations in a manner that will provide stakeholders with opportunities to express their views and concerns on project risks, impacts, and mitigation measures, and allow the project management to consider and respond. Stakeholder engagement and consultation commenced with the preparation of this project and will continue with project implementation as an ongoing process as the nature of issues, impacts, and opportunities emerge.
35. The implementation of the project will require very close engagement with many stakeholders and communities. NAVCDP has prepared a Project Implementation Manual (PIM) which will remain a living document. It will remain open for updating/review as declared in the project ESCP for an update / review of the SEP the project management will submit for clearance by the Bank and subsequent disclosure within 1 year of effectiveness to make sure that there is sufficient guidance for engagement at county level. All stakeholder groups that have a stake in NAVCDP design, implementation, monitoring and evaluation (M&E) will be fully involved through culturally appropriate, gender sensitive and effective participation. As such, a process and institutional structure for full and effective participation will be established and operationalized. The contemplated decision-making and governance structures will pay special attention to women, youth, PADs, minority groups and VMGs.
36. The stakeholder consultation processes will adopt acceptable and accessible procedures to protect all stakeholders from COVID-19 spread by making use of virtual modes/technology such as holding meetings on zoom, Webex, teams and meeting in small groups and observing social distancing, washing hands regularly with soap, and/or use of sanitizer as will be guided by local, national and international protocols. Consultations with VMGs will take into consideration the language and cultural approaches to meetings as detailed in the Vulnerable and Marginalized Framework (VMGF) and application in the VMGPs. At this point, it should be noted that none of the project activities will in any way have an “adverse” impact on land or natural resources or be subject to traditional ownership or under customary use of occupation. The FPIC reference in the ESMF and VMGF is about the consent required from communities before the project undertakes any soil and land improvement measures in areas that are typically on the upstream of a water pan. It therefore refers to the deliberate efforts to be made by the project team to inform the VMGs using the appropriate language about the objectives of undertaking the sub- projects in areas where they inhabit, which do not involve any physical or economic displacements.

37. These measures will only further improve the soil and land quality and in no way cause any adverse impacts. It is also envisaged that no project activity will entail the relocation of the VMGs. And further, no activity taken up or approved will lead to physical relocation of such communities. In addition, the project will not take up an activity that will impact on the cultural heritage of the VMGs. These aspects have been addressed in the ESMF, RPF, and VMGF and it is expected that the level of VMGs consultation will be proportional to the scale of the issue.

### **3.2 VULNERABLE GROUPS**

38. The IP/SSAHUTLCs as referred to in the World Bank ESS7, referred to as VMGs in Kenya are in 11 out of 26 NAVCDP. They have identities and aspirations that are distinct from mainstream groups in National societies and often are disadvantaged by traditional models of development. NAVCDP will take special measures to ensure that disadvantaged and vulnerable groups have equal opportunity to access information, provide feedback, or submit grievances at all levels of the project cycle including (design, subproject identification, implementation, M&E, review meetings, etc.). In the project VMGF, 11 out of 26 counties host the vulnerable groups. Deliver brochures and informational material to such households in a format and language they understand. Translate awareness creation and training materials into VMG vernacular languages. Involve NGOs/ CBOs /CSOs that represent and speak for respective VMGs. If necessary, NAVCDP will provide transport to public meetings for vulnerable people (if venues get prohibitive).

39. . Other forms of vulnerability such as Differently Abled Persons (DAP); women, single parents, youth, elderly, etc. will also be targeted and included for participation in the NAVCDP. Therefore, NAVCDP will ensure that the development process fosters full respect for affected parties' human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods. In addition, ensure all stakeholders may seek for some help from the project all for fulfilment or levels of support and ownership.



### 3.3 PURPOSE AND TIMING OF SEP

40. The aim is an effective engagement process with NAVCDP stakeholders throughout the project cycle - listening, learning, and continuing to improve NAVCDP performance. The SEP recommends use of 5 principles: purposeful; inclusive; timely, transparent; and respectful approaches that are also culturally acceptable and take into consideration concerns of all stakeholders.

#### Proposed Strategy for Information Disclosure

41. Access to, and disclosure of information is an aspect of transparency and accountability that serves as a means of promoting understanding about the project, engendering public trust, and contributing towards informed participation. NAVCDP disclosure of information will relate to the timing, objectivity, and meaningfulness of the shared project related information. NAVCDP will ensure early disclosure of project related information because it is necessary to provide an overall picture of the project for informed decision-making with regards to next steps. Information will be provided to and widely distributed among all stakeholders in an appropriate timing, and format; for the ongoing opportunities will be provided for responding regularly to stakeholders' feedback, for analysing and addressing comments and concerns. The VMGs will also be consulted regularly using culturally acceptable means.

### 3.4 PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES

42. The SEP builds on the lessons learnt from the stakeholder consultations held under the ongoing KCSAP & NARIGP projects. These include the following
- **Broad Engagement of Stakeholders:** Previous engagements excluded some key stakeholders and to avoid that for NAVCDP, a thorough stakeholder mapping exercise was undertaken identify all key relevant stakeholders who were actively engaged e.g. IPs, farmers (from prioritized value chains), County Government executives, Policymakers
  - **Engagement of IPs:** Past consultations involved representatives from Council of elders and CBOs only. However, the NAVCDP consultation was widened to include IP individual community members
  - **Prior Sharing of Draft ESS Documents:** In the past, information on ESS documents was shared during the consultation workshop which prevented meaningful consultation. For NAVCDP, the draft documents were shared beforehand to enable stakeholders make meaningful contributions during consultation workshops
  - **Separation of Stakeholders:** Previous engagements mixed up various stakeholders which limited effective consultation. For NAVCDP, different sessions were organized for various stakeholders to facilitate meaningful consultation.

43. These lessons have been reflected in the first stakeholder consultation held for the new project from November 8<sup>th</sup> to 10<sup>th</sup> (described below) and will be reflected during the future consultations as well.
44. The MoALFC undertook a scoping mission for the new project. Basically, it met sector ministries, line departments and sister World Bank supported projects' management teams and some beneficiaries. Later the MoALFC presented NAVCDP ESS Frameworks to the key stakeholders. The initial activity entailed stakeholder identification as part of public consultation and more specifically to seek input from the stakeholders on potential environmental and social impacts and mitigation measures. MoALFC provided adequate notice to the stakeholders with respect to the date and time for the consultations (November 08-10, 2021).
45. There were three types of stakeholders for this public consultation: IP/SSAHUTLC/VMGs, county level sector implementers and farmer representatives; and national level sector policy makers. The executive summaries of the draft ESMF, RPF, VMGF, and other plans at framework level were attached to the invitation letters for participants' perusal. The issues raised by the stakeholders and responses including a list of participants were captured and integrated in the final reports. Key issues raised are summarized in Table 6.

**Table 6: Summary of Stakeholder Consultation Concerns**

Concerns	Response
The project is huge in terms of investments. Where will be the place of the VMGs in this project? Will we be involved in the design?	All stakeholders will be involved in the design and implementation of each of the sub-projects, including IP/SSAHUTLC/VMGs in areas where they are present. The project has women and youth as one of the thematic areas; and therefore, a deliberate effort will be made to ensure full inclusivity and participation of all genders including engendered reporting for all project activities. In this project vulnerability is twofold: there are the VMGs as per ESS7 and the Constitution of Kenya 2010 that defines minority and marginalized communities. These communities are the ones being referred to here as vulnerable and marginalized groups (VMGs). These are the communities that have necessitated the coming up of NAVCDP VMGF to ensure these communities are culturally appropriately informed and consulted <sup>30</sup> in order to share-in the benefits of the project. This framework is about these communities <sup>31</sup> . The second category of vulnerability is based on socioeconomic vulnerability and such persons are project beneficiaries as guided under ESMF.

<sup>30</sup> In order to meet the requirements of FPIC, effective participation in this context amounts to: agreement with the VMGs communities on any proposed activity, what it is? Community entry point, purpose of the engagement, when it would take place, who would be involved (participants), how will they be selected, activity venue, what are the precautions, mitigation measures, and fears; how will the GM look like, etc?

<sup>31</sup> NAVCDP will conduct sensitization and awareness creation of all commencing at their council of elders; council of elders will guide on who to be met next, why? Where? When? For how long? At all consultations ensure men, women and youth each group is met separately in order to give them the opportunity to freely air their views in accordance with their cultures. Occasionally, the project team would be required to use local interpreters to convey the project information in a language understood by the communities.

Concerns	Response
What were the environmental risks, impacts and challenges encountered in the other projects e.g., KCSAP, NARGIP? Has a completion report for the past projects been developed to determine the lessons learned?	The KCSAP and NARGIP have moderate environmental and social impacts similar to those anticipated for NAVCDP. ESIA reports were prepared for the subprojects and disclosed. These reports are available online (Kilimo website and World Bank External website).
At what level do we undertake the environmental impacts assessment? There are small and huge projects?	Screening will be undertaken for all the subprojects and a determination of the need for further environmental and social analysis made based on the screening.
We have provided our contributions at this stage, and we are glad that we have been consulted. At implementation, will we be consulted?	A SEP has been prepared for this project and will ensure that consultation with all stakeholders is undertaken throughout the project implementation phases.
How will the use of pesticides affect the value chains? Use of pesticides in potatoes may end up impacting negatively on beekeeping ?	There is a possibility of pesticide use in one value chain adversely impacting another value chain. The IPMP developed will provide a framework for the use of pesticides.; and for specific subproject screening indicate that significant pesticides will be used then subproject specific IPMP will be prepared.
How will the project be implemented in areas with security issues e.g., Lamu and Boni Forest? How will you address the security issues and ensure our safety?	The project has prepared a Security Management Plan (SMP) which provides guidance on managing security related concerns.
Will there be disclosure of this ESMF after these consultations?	The ESMF and other related instruments will be disclosed on the websites of MoALFC and World Bank.
Impacts associated with GHG emissions from dairy farming and mitigation measures have not been addressed. Consider biogas projects.	This is noted and will be included in the revised draft.
Pesticide container collections/disposals have not been included in the ESMF.	The adverse impacts associated with empty containers and their disposal have been described in the document including mitigation measures.
Apiculture: What safeguards exist to manage pesticide use and ensure safety of beehives? Some pesticides that are used affect honey production, how will that be considered in the new project?	<p>All subprojects using pesticides and implemented in areas where bee farming is undertaken will be required to conduct specific analysis on the potential impacts of the pesticides on bees and develop adequate mitigation measures including not using the chemicals and seeking other alternatives such as bio pesticides.</p> <p>The pesticides to be used in NAVCDP will be those that are friendly to pollinators with minimum effect on non- targeted organisms.</p>
Government has minimum wages for workers which may be too low and may not attract workers. How can you ensure that workers (youth employment) are not paid this low minimum wage?	A Labour Management Plan (LMP) has been prepared for the project and will provide guidance on all labour related issues and concerns during project implementation.
What can be done concerning the high number of chemicals being used on the farms that	NAVCDP has developed an IPMP as one of the framework approaches that will guide pesticide use

Concerns	Response
negatively affects humans through compromised food safety issues?	at beneficiary level. Communities will be trained on safe use of chemicals and the management of pesticides, handling, storage, and transportation.
How will the project help IP/SSAHUTLC/VMGs to continue conserving the environment?	The project will continue implementing SLM activities in collaboration with the IP/SSAHUTLC/VMGs communities and KFS.
IP/SSAHUTLC/VMGs are surrounded by other communities and the project might not benefit them making them not respond which may in turn affect the IPs and cause delays on coming up with responses.	IPs/VMGs will be targeted during project operation and their CIGs/VMGs/POs will be considered along those of majority communities.
Encourage use of solar power in the FLID to cut on the cost of energy and reduce pollution caused by use of fossil fuels.	Comments noted positively. NAVCDP will engage further.
Some counties have no capacities on E&S. They go ahead and hire consultants who have no or very little expertise? How will this new project help control this gap?	Counties will be required to hire qualified and experienced environmental and social safeguards specialists to handle environmental and social issues.
Public land and ownership: when such land is given to communities to invest; management issues crop up later and this affects the progress of such investments. How is land being handled in this project?	The land on which the project will be implemented will be fully documented and due diligence done. NLC will also be fully involved to ensure that public land is properly available for FPO utilization.

## **4 PUBLIC CONSULTATIONS OF ESMF, RPF, VMGF, SEP, AND PLANS AT IMPLEMENTATION**

### **4.1 SEP ACTIVITIES ON DISCLOSURE**

46. On November 08-10, 2021, draft documents - SEP, ESMF, IPMP, VMGF, GM, SMP, LMP, SEAH Prevention and Response Plan, RPF - were discussed during a validation workshop. Availability of the final documents will be announced in newspapers and on the NAVCDP and World Banks websites.
47. Besides sharing of the draft documents with the stakeholders (and the final documents in near future), project brochures and updates will be posted on the appropriate sites. An easy-to-understand guide to the terminology used in the environmental and social reports or documents will also be posted on the website. In addition, the site will provide details about the GM and contact details for the project. NAVCDP will update and maintain the website regularly during project implementation, at least quarterly.
48. The disclosure process associated with the release of project environmental and social documentation, including the SEP, will be implemented as follows:
  - Disclosure of the SEP in public domain will take place in February 2022 after clearance by the World Bank
  - Disclosure of the ESMF, IPMP, VMGF, RPF, , SMP, LMP, SEAH Prevention and Response Plan, in public domain will take place before launch of project and after clearance by the World Bank;
  - Public consultation meetings with project affected and other stakeholders to present and discuss findings of the Screening, ESIA and measures proposed in the ESMPs including income restoration plan and VMGFs,;
  - Public consultation meetings in project affected communities and with other stakeholders to present and discuss the ESS instruments and measures proposed in the ESMPs and other implementation plans; and
  - Subsequent and appropriate disclosures will be done as the project is being implemented.
49. The SEP will remain in the public domain for the entire period of project implementation and will be updated on a regular basis as the project progresses through its various phases, to ensure timely identification of any new stakeholders and interested parties and their involvement in the process of collaboration with the project. The methods of engagement will also be revised periodically to maintain their effectiveness and relevance to the project's evolving environment.

## 4.2 CONTINUING DISCLOSURES AND CONSULTATIONS

50. Table 4 (above) summarizes the main stakeholders of the project, types of information to be shared with stakeholder groups, as well as specific means of communication and methods of notification. Table 7 provides a description of stakeholder engagement and disclosure methods recommended to be implemented during stakeholder engagement process.

**Table 7: Stakeholder Engagement and Disclosure Methods**

Category of Stakeholder	Project Information to be Shared	Means of communication/ disclosure
Beneficiary population in the project area.	ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH prevention and Response Plan and SEP, GM. Regular updates on project development. Exclusion and screening criteria, project benefits, eligibility criteria and training activities	<ul style="list-style-type: none"> <li>- Public notices.</li> <li>- Electronic publications and press releases on the project website.</li> <li>- Hard copies displayed at designated public locations.</li> <li>- Press releases in the local media.</li> <li>- Consultation meetings.</li> <li>- Information leaflets and brochures.</li> <li>- Separate focus group meetings with vulnerable groups, as appropriate.</li> <li>- all civil works will have a notice board displaying contract description, contractor's name, contract amount, and physical and financial progress.</li> </ul>
NGOs and CBOs	ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH prevention and Response Plan and SEP, GM. Regular updates on project development. Exclusion and screening criteria, project benefits, eligibility criteria and training activities	<ul style="list-style-type: none"> <li>- Public notices.</li> <li>- Electronic publications and press releases on the project/Ministry website.</li> <li>- Dissemination of hard copies at designated public locations.</li> <li>- Press releases in the local media.</li> <li>- Consultation meetings.</li> <li>- Information leaflets and brochures.</li> </ul>
Government authorities and agencies	ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH prevention and Response Plan and SEP, GM. <ul style="list-style-type: none"> <li>- Regular updates on project development.</li> <li>- Exclusion and screening criteria, project benefits, eligibility criteria and training activities</li> <li>- Additional project information, if required for the purposes of regulation and permitting.</li> </ul>	<ul style="list-style-type: none"> <li>- Dissemination of hard copies of the ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEP and GM.</li> <li>Project status reports.</li> <li>Meetings and roundtables.</li> </ul>
Related businesses and enterprises	SEP and GM Updates on project development and tender/procurement announcements.	<ul style="list-style-type: none"> <li>- Electronic publications and press releases on the project website.</li> <li>- Information leaflets and brochures.</li> <li>- Procurement notifications.</li> </ul>
Project Employees	<ul style="list-style-type: none"> <li>-Employee Grievance Redress Mechanism</li> <li>-Updates on project development.</li> </ul>	<ul style="list-style-type: none"> <li>- Staff handbook.</li> <li>- Email updates covering the Project staff and personnel.</li> <li>- Regular meetings with the staff.</li> <li>- Posts on information boards in the offices and on site.</li> </ul>

Category of Stakeholder	Project Information to be Shared	Means of communication/ disclosure
VMGs	<ul style="list-style-type: none"> <li>- Sensitization followed by training on the project ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH Prevention and Response Plan, GM and SEP</li> <li>- Preparation and implementation of VMGPs and sub project level investment plans and ESMPs</li> <li>- Implementation of the project activities</li> </ul>	<ul style="list-style-type: none"> <li>- Reports, leaflets.</li> <li>-Community/Beneficiaries' meetings.</li> <li>-Information through Brochures</li> <li>- The following culturally appropriate methods will be used to inform and consult with VMGs</li> <li>- Language: Kiswahili and vernacular languages will be used to facilitate active participation and expression of their opinions</li> <li>- Local Council of Elders and Community Based Organizations: Local Council of Elders for IPs and formally registered IP based CBOs would be used for initial engagement/contact.</li> <li>- Men, Women and Youth Consultations: Some IP communities require that men, women and youth are consulted separately. For joint consultations, the issues that can be discussed have to be agreed upon before hand</li> </ul>

51. Information and opportunities to voice their views on topics that matter to them as in Table 8.

**Table 8: Planned stakeholder engagement activities**

<b>Stage</b>	<b>Target stakeholders</b>	<b>Topic(s) of engagement</b>	<b>Method(s) used</b>	<b>Location/frequency</b>	<b>Responsibilities</b>
	<p><b>Project Affected Persons (PAPs):</b></p> <ul style="list-style-type: none"> <li>- People potentially affected by land acquisition</li> <li>- People residing in project area</li> <li>- Vulnerable households</li> <li>- Beneficiaries living in project areas</li> <li>- VMGs</li> </ul>	<ul style="list-style-type: none"> <li>- ESMF/ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH ACTION PLAN, GM and SEP</li> <li>- Sub Project screening and exclusion criteria</li> <li>- Land acquisition process</li> <li>- Assistance in gathering official documents for authorized land uses</li> <li>- Compensation rates, methodology</li> <li>- Compensation packages</li> <li>- Project scope and rationale</li> <li>- Project benefits and target</li> <li>- Project E&amp;S principles</li> <li>- Income restoration options</li> <li>- Grievance mechanism process</li> </ul>	<ul style="list-style-type: none"> <li>- Public meetings, separate meetings for women and vulnerable</li> <li>- Face-to-face meetings</li> <li>- Mass/social media communication (as needed)</li> <li>- Disclosure of written information: brochures, posters, flyers, website</li> <li>- Information boards or desks</li> <li>- In-County Grievance mechanism</li> <li>- NAVCDP monthly newsletter</li> <li>- For the vulnerable communities, the message will be packaged in a culturally acceptable manner and language through the FPIC approach</li> <li>- What about radio?</li> </ul>	<ul style="list-style-type: none"> <li>- In County disclosure for Drafts on ESMF / ESMP, IPMP, VMGF, RPF, SMP, LMP, SEAH Action Plan, GM, and SEP once.</li> <li>- Continuous communication through mass/social media and routine interactions.</li> <li>- Throughout VMGP and ESMP development and implementation</li> </ul>	<ul style="list-style-type: none"> <li>- NAVCDP teams (County and National levels)</li> <li>- Specialists responsible for land acquisition</li> <li>- Technical consultant</li> </ul>
	<p><b>Other Interested Parties (External)</b></p> <ul style="list-style-type: none"> <li>- County and CSOs in Kenya</li> <li>- Representatives in wards</li> <li>- Beneficiaries living in project areas</li> <li>- VMGs</li> </ul>	<ul style="list-style-type: none"> <li>- ESMF, ESMP, RPF, VMGF, GM, SMP, LMP, SEP, disclosures</li> <li>- Sub Project screening and exclusion criteria</li> <li>- Land acquisition process</li> <li>- Identification of land plots and uses and impacts</li> <li>- Income restoration options (if needed)</li> </ul>	<ul style="list-style-type: none"> <li>- Face-to-face meetings</li> <li>- Joint public/community meetings with PAPs</li> </ul>	<ul style="list-style-type: none"> <li>- Throughout RAP development as needed</li> <li>- Project launch meetings in Counties.</li> <li>- Quarterly meetings in affected Wards and Counties.</li> <li>- Disclosure meetings in Counties and at national level.</li> </ul>	<ul style="list-style-type: none"> <li>- NAVCDP E&amp;S Team</li> <li>- Specialists responsible for land acquisition and other Panel of Experts (PoE)</li> <li>- RAP and VMGP consultant</li> </ul>



Stage	Target stakeholders	Topic(s) of engagement	Method(s) used	Location/frequency	Responsibilities
		<ul style="list-style-type: none"> <li>- Project scope, rationale, and E&amp;S principles</li> <li>- Grievance mechanism process</li> </ul>			
	<b>Other Interested Parties (External)</b> <ul style="list-style-type: none"> <li>- Press and media</li> <li>- NGOs</li> </ul>	ESMF, ESMP, RPF, VMGF, GM, SMP, LMP, SEP, RAP disclosures <ul style="list-style-type: none"> <li>- Grievance mechanism</li> </ul>	<ul style="list-style-type: none"> <li>- Public meetings, trainings / workshops (separate meetings specifically for women and</li> </ul>	<ul style="list-style-type: none"> <li>- Project launch meetings in County</li> <li>- Meetings in affected</li> </ul>	<ul style="list-style-type: none"> <li>- NAVCDP team</li> </ul>
	<ul style="list-style-type: none"> <li>- Businesses and business organizations</li> <li>- Workers' organizations</li> <li>- Academic institutions</li> <li>- National Government Ministries</li> <li>- Kenya Government Departments</li> <li>- General public, jobseekers</li> </ul>	Project scope, rationale and E&S principles	vulnerable as needed) <ul style="list-style-type: none"> <li>- Mass/social media communication - Disclosure of written information: Brochures, posters, flyers, website.</li> <li>- Information boards or desks in County</li> <li>- Grievance mechanism</li> <li>- Notice board for employment recruitment</li> </ul>	wards and County as needed <ul style="list-style-type: none"> <li>- Communication through mass/social media (as needed)</li> <li>- Information desks with brochures / posters in affected wards (continuous)</li> </ul>	
	<b>Other Interested Parties (External)</b> <ul style="list-style-type: none"> <li>- Other Government Departments from which permissions / clearances are required.</li> </ul>	<ul style="list-style-type: none"> <li>- Legal compliance issues</li> <li>- Project information scope and rationale and E&amp;S principles</li> <li>- Coordination activities</li> <li>- Land acquisition process</li> <li>- Grievance mechanism process</li> </ul>	<ul style="list-style-type: none"> <li>- Face-to-face meetings</li> <li>- Invitations to public / community meetings</li> <li>- Submission of required reports</li> </ul>	<ul style="list-style-type: none"> <li>- Disclosure meetings</li> <li>- Reports as required</li> </ul>	<ul style="list-style-type: none"> <li>- NAVCDP team</li> </ul>

	<ul style="list-style-type: none"> <li>- Other project developers, donors</li> </ul>	<ul style="list-style-type: none"> <li>- ESMF/ESMP/VMGF/SEAH ACTION PLAN/RPF/SEP disclosures</li> </ul>			
	<p><b>Other Interested Parties (Internal)</b></p> <ul style="list-style-type: none"> <li>- Other NAVCDP staff</li> <li>- Supervision Consultants</li> <li>- Supervision contractors, sub-contractors, service providers, suppliers, and their workers.</li> </ul>	<ul style="list-style-type: none"> <li>- Project information: scope and rationale and E&amp;S principles</li> <li>- Training ESMF/ESMP requirements and other ESS management plans</li> <li>- Grievance mechanism process</li> <li>- Code of conduct and preventive and reporting measures for child labor and forced labor</li> <li>- Preventive and reporting mechanism for SEAH cases</li> <li>- E&amp;S requirements</li> <li>- Feedback on consultant/contractor reports</li> </ul>	<ul style="list-style-type: none"> <li>- Face-to-face meetings</li> <li>- Trainings/workshops</li> <li>- Invitations to public / community meetings</li> </ul>	As needed	<ul style="list-style-type: none"> <li>- NAVCDP team</li> </ul>
	<p><b>Project Affected People</b></p> <ul style="list-style-type: none"> <li>- People potentially affected by land acquisition</li> <li>- People residing in project area</li> <li>- Vulnerable households/persons</li> </ul>	<ul style="list-style-type: none"> <li>- Grievance redress mechanism</li> <li>- Eligibility and income restoration options</li> <li>- Procedure for Free, Prior and Informed consent in case of adverse impact</li> <li>- Health and safety impacts.</li> <li>- Employment opportunities</li> <li>- Project status</li> </ul>	<ul style="list-style-type: none"> <li>- Public meetings, open houses, trainings/workshops</li> <li>- Separate meetings as needed for women and vulnerable</li> <li>- Individual outreach to PAPs as needed</li> <li>- Disclosure of written information: brochures, posters, flyers, website</li> <li>- Information boards in Counties</li> </ul>	<ul style="list-style-type: none"> <li>- Quarterly meetings during construction seasons</li> <li>- Communication through mass/social media as needed</li> <li>- Notice boards updated weekly</li> <li>- Routine interactions</li> <li>- Brochures in local offices</li> </ul>	<ul style="list-style-type: none"> <li>- NAVCDP management team</li> <li>- Supervision and ESIA consultants</li> <li>- Contractor/subcontractors</li> </ul>

<b>STAG:CONSTRUCTION LIABILITIES</b>			<ul style="list-style-type: none"> <li>- Notice board(s) at construction sites</li> <li>- Grievance mechanism</li> <li>- NAVCDP monthly newsletter</li> </ul>		
	<b>Other Interested Parties (External)</b> <ul style="list-style-type: none"> <li>- Governmental committees for land use and compensation</li> <li>- County and representatives in Wards</li> </ul>	<ul style="list-style-type: none"> <li>- Project scope, rationale and E&amp;S principles</li> <li>- Grievance mechanism</li> <li>- Project status</li> <li>- Code of conduct and preventive and reporting measures for child labor and forced labor</li> <li>- World Bank compensation requirements</li> </ul>	<ul style="list-style-type: none"> <li>- Face-to-face meetings</li> <li>- Joint public/community meetings with PAPs</li> </ul>	As needed (monthly during construction season)	<ul style="list-style-type: none"> <li>- NAVCDP team</li> <li>- Supervision and ESIA consultants</li> <li>- Contractor/subcontractors</li> </ul>
	<b>Other Interested Parties (External)</b> <ul style="list-style-type: none"> <li>- Press and media</li> <li>- NGOs</li> <li>- Businesses and business organizations</li> <li>- Workers' organizations</li> <li>- Academic institutions</li> <li>- National Government Ministries and departments</li> <li>- General public, jobseekers</li> </ul>	<ul style="list-style-type: none"> <li>- Project information - scope and rationale and E&amp;S principles</li> <li>- Project status</li> <li>- Health and safety impacts</li> <li>- Employment opportunities</li> <li>- Environmental concerns</li> <li>- Code of conduct and preventive and reporting measures for child labor and forced labor</li> <li>- Preventive and reporting mechanism for SEAH cases</li> <li>- Grievance mechanism process</li> </ul>	<ul style="list-style-type: none"> <li>- Public meetings, open houses, trainings / workshops</li> <li>- Disclosure of written information: brochures, posters, flyers, website, Information boards in County Notice board(s) at construction sites</li> <li>- Grievance mechanism</li> </ul>	Same as for PAPs	<ul style="list-style-type: none"> <li>- NAVCDP team</li> </ul>
<b>Other Interested Parties (Internal)</b> <ul style="list-style-type: none"> <li>- Other NAVCDP stakeholders</li> <li>- Supervision Consultants</li> <li>- Contractor, sub-</li> </ul>	<ul style="list-style-type: none"> <li>- Project information: scope and rationale and E&amp;S principles</li> <li>- Training on ESMF / ESMP requirements and other sub-management plans</li> <li>- Worker grievance mechanism</li> </ul>	<ul style="list-style-type: none"> <li>- Face-to-face meetings</li> <li>- Trainings/workshops</li> <li>- Invitations to public / community meetings</li> </ul>	Daily, as needed	<ul style="list-style-type: none"> <li>- NAVCDP team</li> <li>- Supervisors</li> </ul>	

	contractors, service providers, suppliers, and their workers				
<b>STAG3: PERATION AND MAINTEN</b>	<b>Project Affected Persons:</b> - People residing in project area - Vulnerable households	- Satisfaction with engagement activities and GM - Grievance mechanism process - Damage claim process	- Outreach to individual PAPs - NAVCDP website - Grievance mechanism - NAVCDP newsletter	- Outreach as needed - Meetings in affected County and Wards (as needed/requested) - Monthly (newsletter)	- NAVCDP team
	<b>Other Interested Parties (External)</b> - Press and media - NGOs - Businesses and business organizations - Workers' organizations - Academic institutions - County Government Departments - General public,	- Grievance mechanism process - Issues of concern - Status and compliance reports	- Grievance mechanism - NAVCDP website - Face-to-face meetings - Submission of reports as required.	As needed	- NAVCDP team & management

## 5 TRAINING /CAPACITY BUILDING

- 1) NAVCDP will arrange necessary training associated with the implementation of this SEP that will be provided to the members of staff who, due to their professional duties, may be involved in interactions with the external public, as well as to the senior management. Specialized training will also be provided to the staff appointed to deal with community stakeholder grievances as per the project GM. In addition, community structures implementing the project will also be trained on the operationalization of the GM.
- 2) Project contractors will also receive necessary instructions for the GM and in relation to the main principles of community interactions. In addition, the stakeholder engagement training module may include but not limited to the areas identified in Table 9.

**Table 9: Proposed Training Module for Stakeholder Engagement**

<b>S/No.</b>	<b>Module</b>	<b>Target</b>
1	Role of a stakeholder in NAVCDP	All levels
2	Stakeholder interests in NAVCDP	NAVCDP Management
3	Managing stakeholder participation	NAVCDP Management
4	Stakeholder negotiation skills	All levels
5	Capacity building	All in particular community level implementation agents such as CIGs, CDDCs and FPOs
7	Project GM and how it helps stakeholders	All in particular community level implementation agents such as CIGs, CDDCs and FPOs, County Manager

## 6 RESOURCES AND RESPONSIBILITIES FOR IMPLEMENTING SEP ACTIVITIES

### 6.1 IMPLEMENTATION RESPONSIBILITIES

52. The MoALFC will be the main implementing agency for the project and will lead the execution of the activities, including this SEP. The budget contains adequate funding for the SEP and GM and should be referenced when developing the detailed workplan as under Table 10. The NAVCDP will be responsible for procurement and distribution of inputs. The institutional and implementation arrangements for the project will be as provided in this SEP.
53. The National Committee on COVID-19 in the MoALFC, chaired by the Cabinet Secretary, will provide stewardship and oversight of the project on the expected COVID-19 protocols. The Ministry's COVID-19 Committee will draw guidance from the National Emergency Response (NERC). The MoALFC COVID-19 Committee is expected to handle and guide on the following: (i) coordinate NAVCDP preparedness and response to COVID-19 including stakeholders; (ii) coordinate capacity building of NAVCDP personnel, service providers, contractors, CIGs, VMGs, POs, and other stakeholders; (iii) enhance imparting the COVID-19 at all forums before any business is transacted; (iv) coordinate the procurement and supply of COVID-19 preventive measures (hand sanitizer, face masks, soap, gloves (where applicable)).
54. The National COVID-19 Committee at the MoALFC will provide technical guidance throughout the project implementation. The Committee will also train the project implementers at some point including the project management. The project NPCU will report to this Committee, and the Committee will report to NERC. The NAVCDP National team will in turn train counties and counties will be expected to the project beneficiaries at county level.

**Table 1: Methods, Tools and Techniques for Stakeholder Engagement**

Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
<b>Information Provision</b>					
Distribution of printed public materials: leaflets, brochures, fact sheets	Used to convey information on the project and regular updates on its progress to local, county, and national stakeholders.	-Printed materials present illustrative and written information on Project activities, facilities, technologies, and design solutions, as well as impact mitigation measures. -Presented contents are concise and	Distribution as part of consultation meetings, public hearings, discussions, and meetings with stakeholders, as well as household visits in remote areas. Placement at the offices of local administration and NGOs, libraries, and other public venues.	Households in project area. Communities of Kenya, as well as relevant stakeholders for the NAVCDP.	NPCU/CPCUs

Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
		<p>adapted to a layperson reader.</p> <p>Graphics and pictorials are widely used to describe technical aspects.</p> <p>-Information may be presented both in English and Kiswahili for local and national stakeholders, and in English for international audience.</p>			
Distribution of printed public materials: flyers, leaflets, newsletters/ updates	A newsletter or an update circular sent out to Project stakeholders on a regular basis to maintain awareness of the Project development.	Important highlights of project achievements, announcements of planned activities, changes, and overall progress.	<p>Circulation of the newsletter or update sheet with a specified frequency in the Project Area, as well as to any other stakeholders that expressed their interest in receiving these periodicals.</p> <p>Means of distribution – post, emailing, texting, electronic subscription, delivery in person.</p> <p>The mailed material can be accompanied by enclosed postage-paid comment / feedback form that a reader can fill in a return to the Project's specified address.</p>	Households in Project Area. Public venues in Project Area – local administrations, libraries. Communities in project area	NPCU/CPCUs

<b>Method/ Tool</b>	<b>Description and Use</b>	<b>Contents</b>	<b>Dissemination Method</b>	<b>Target Groups</b>	<b>Responsibility</b>
Printed advertisements in the media	Inserts, announcements, press releases, short articles, or feature stories in the printed media – newspapers and magazines	Notification of forthcoming public events or commencement of specific Project activities. General description of the Project and its benefits to the community.	Placement of paid information in local, county, and national printed media, including those intended for general reader and specialized audience	Community in project area	NPCU/CPCUs
Radio or television entries	Short radio programmes, video materials or documentaries broadcast on TV.	Description of the project, project development updates, solutions for impact mitigation. Advance announcement of the forthcoming public events or commencement of specific project activities.	Collaboration with media producers that operate in the counties and can reach local audiences.	Communities in project area	NPCU/CPCUs
Visual presentations	Visually convey project information to affected communities and other interested audiences.	Description of the project and related solutions/impact management measures. Updates on project development.	Presentations are widely used as part of the public hearings and other consultation events with various stakeholders.	Affected communities in the project area, participants of the public hearings, consultations, rounds tables, focus group discussions and other forums attended by Project stakeholders. County governments and other governmental bodies.	NPCU/CPCUs



Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
Notice boards	Displays of printed information on notice boards in public places.	Advance announcements of the forthcoming public events, commencement of specific project activities, or changes to the scheduled process.	Printed announcements and notifications are placed in visible and easily accessible places frequented by the local public, including libraries, ward cultural centers, post offices, shop, local administrations.	Directly affected communities in the project area	NPCU/CPCUs
<b>Information Feedback</b>					
Information repositories accompanied by a feedback mechanism	Placement of project-related information and printed materials in dedicated / designated locations that also provide visitors and readers with an opportunity to leave their comments in a feedback register.	Various project-related materials, ESMF documentation, environmental and social action plans.	Deposition of materials in publicly available places (offices of local NGOs, local administrations, libraries) for the duration of a disclosure period or permanently. Audience is also given free access to a register of comments and suggestions.	Directly affected communities in the project area	NPCU
Dedicated telephone line (hotline)	Setting up a designated and manned telephone line that can be used by the public to obtain information, make enquiries, or provide feedback on the project. Initially, telephone numbers of project's specialized staff can be shared with the public, particularly staff involved in stakeholder engagement,	Any issues that are of interest or concern to the local communities and other stakeholders.	Telephone numbers are specified on the printed materials distributed to project stakeholders and are mentioned during public meetings. Project's designated staff should be assigned to answer and respond to the calls, and to direct callers to specialist experts or to offer a call-back if a question requires detailed consideration.	Local communities within the project Area. Any other stakeholders and interested parties.	NPCU

Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
	public relations, social and environmental concerns.				
Internet / Digital Media	<p>Launch of project website to promote various information and updates on the overall project, impact assessment and impact management process, procurement, employment opportunities, as well as on project's engagement activities with the public.</p> <p>Website should have a built-in feature that allows viewers to leave comments or ask questions about the project.</p> <p>Website should be available in two languages – Kiswahili for the local and national audience, and in English for international stakeholders.</p>	<p>Information about project operators and shareholders, project development updates, health and safety, community relations, community updates, employment and procurement, environmental and social aspects.</p>	<p>A link to the Project website should be specified on the printed materials distributed to stakeholders.</p> <p>Other on-line based platforms can also be used, such as web conferencing, webinar presentations, web-based meetings, Internet surveys / polls etc.</p> <p>Limitation: Not all parties / stakeholders have access to the internet, especially in the remote areas and in communities</p>	Affected communities, project stakeholders and other interested parties that have access to the internet resources.	NPCU (communication officer)

Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
Surveys, Interviews and Questionnaires	The use of public opinion surveys, interviews, and questionnaires to obtain stakeholder views and to complement the statutory process of public hearings.	Description of the proposed project and related solutions / impact management measures. Questions targeting stakeholder perception of the project, associated impacts and benefits, concerns, and suggestions.	Soliciting participation in surveys/interviews with specific stakeholder groups or community wide. Administering questionnaires as part of the household visits.	Directly affected households in the Project Area of Influence. Other communities within the project Area of Influence.	NPCU/ CPCUs
Feedback & Suggestion Boxes	A suggestion box will be used to encourage communities in the affected communities to leave written feedback and comments about the project. Contents of the suggestion box shall be checked by designated project staff on a regular basis to ensure timely collection of input and response/action, as necessary.	Any questions, queries, or concerns, especially for stakeholders that may have a difficulty expressing their views and issues during public meetings.	Appropriate location for a suggestion box should be selected in a safe public place to make it readily accessible for the community. Information about the availability of the suggestion box should be communicated as part of project's regular interaction with local stakeholders and beneficiaries.	Directly affected households in the project area. Other communities within the project area.	NPCU/CPCUs
<b>Consultation &amp; Participation</b>					
Public hearings	Project representatives, the affected public, authorities, regulatory bodies, and other stakeholders for detailed discussion on a	Detailed information on the activity and/or facility in question, including a presentation and an interactive Questions & Answers	Wide and prior announcement of the public hearing and the relevant details, including notifications in local, county and national mass media. Targeted invitations are sent	Directly affected communities in the project area of influence. Other communities within the project area. Communities in the project area.	NPCU/CPCUs

Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
	specific activity or facility that is planned by the project and which is subject to the statutory expert review.	session with the audience.	out to stakeholders. Public disclosure of Project materials and associated impact assessment documentation in advance of the hearing. Viewers/readers of the materials are also given free access to a register of comments and suggestions that is made available during the disclosure period.		
Household /Farm visits	Household/Farm level visits can be conducted to supplement the statutory process of public hearings, particularly to solicit feedback from community members and vulnerable persons who may be unable to attend the formal hearing events.	Description of the project and related solutions / impact management measures. Any questions, queries, or concerns, especially for stakeholders that may have a difficulty expressing their views and issues during formal community-wide meetings.	Visits should be conducted by the project's designated staff with a specified periodicity. Limitation: logistical challenges in reaching households/farms in remote locations.	Directly affected in the project area.	NPCU/CPCUs
Focus Group Discussions and Round Table Workshops	Used to facilitate discussion on Project's specific issues that merit collective examination with various groups of stakeholders.	Project's specific activities and plans, design solutions and impact mitigation / management measures that require detailed discussion with affected stakeholders.	Announcements of the forthcoming meetings are widely circulated to participants in advance. Targeted invitations are sent out to stakeholders.	Directly affected households/farms in the project area, youth, elderly, women, and other vulnerable groups.	NPCU/CPCUs

Method/ Tool	Description and Use	Contents	Dissemination Method	Target Groups	Responsibility
Information centres and field offices	Project's designated venue for depositing project-related information that also offers open hours to the community and other members of the public, with project staff available to respond to queries or provide clarifications.	Project-related materials. Any issues that are of interest or concern to the local communities and other stakeholders.	Information about the info centre or a field office with open hours for the public, together with contact details, is provided on the Project's printed materials distributed to stakeholders, as well as during public meetings and household visits.	Directly affected communities in the project area, and any other stakeholders and interested parties.	NPCU/ CPCUs
Site Tours	Visits to Project Site and facilities organized for local communities, county governments, and the media to demonstrate project solutions. Visitors are accompanied by the project's staff and specialists to cover various aspects and to address questions arising from the public during the tour.	Demonstration of specific examples of project's design solutions and approaches to managing impacts.	Targeted invitations distributed to selected audiences offering an opportunity to participate in a visit to the project site. Limitation: possible safety restrictions on the site access during active construction works.	Local communities within the project area. Elected officials. Media groups. CSOs and NGOs and other initiative groups.	NPCU/CPCUs

## 6.2 SEP IMPLEMENTATION BUDGET

55. The budget in the Table II below shall be incorporated in the ESMP for purposes of implementing this SEP.

**Table 2 SEP Proposed Implementation Budget**

<b>S/No.</b>	<b>Module</b>	<b>Target</b>	<b>Lumpsum Budget (USD)</b>
1	Awareness creation of the NAVCDP	(All levels)	30,000
2	Identification of Line Departments and establishment of project Implementation structures	Line Departments/other implementation parties	25,000
3	NAVCDP launch and dissemination of project benefits, grant windows and criteria.	Public for visibility	80,000
4	Identification, analysis, and mapping of stakeholders	All levels	25,000
5	Capacity Building activities covering the following areas <ul style="list-style-type: none"> <li>• Role of a stakeholder</li> <li>• Managing stakeholder interests</li> <li>• Managing stakeholder participation</li> <li>• Stakeholder negotiation skills</li> <li>• Communication skills</li> <li>• Building relationships for effective stakeholder engagement</li> </ul>	All levels	600,000
6	Establishment and Operationalization of Project GM Committees	All	100,000
7	Info generation, & sharing, communication and reporting, Visibility build-up including GM channels for the project at the sub project level in the project counties	ALL	120,000
8	Stakeholders Quarterly review meetings	ALL	20,000
	<b>TOTAL</b>		<b>1,000,000</b>

## **7      STAKEHOLDER PARTICIPATION IN MONITORING AND REPORTING**

56. One way to help satisfy stakeholder concerns and promote transparency is to involve project-affected stakeholders in monitoring the implementation of mitigation measures or other environmental and social activities. Such participation, and the flow of information generated through this process, can also encourage local stakeholders to take a greater degree of responsibility for their environment and welfare in relation to the project, and to feel empowered that they can do something practical to address issues that affect their lives. Participatory monitoring also tends to strengthen relationships between the project and its stakeholders. It might be necessary to consider capacity-building and training programs to enable project-affected people or local organizations to acquire the technical skills necessary to participate in effective monitoring.
57. It is in the project proponents' interests to ensure that any groups monitoring their project have a sound technical understanding of the process, as it leads to more accurate and credible monitoring results and enables informed dialogue. The project proponents should promote participatory monitoring with affected stakeholders. This level of monitoring requires the physical presence of affected individuals at the time that monitoring takes place and involves methods and indicators meaningful to the stakeholders concerned. It is also good practice. In relation to any type of stakeholder involvement in project monitoring, care should be taken in the choice of representatives and the selection process should be transparent.
58. The SEP will be updated within 12 months of project effectiveness and will be subsequently revised and updated as necessary during NAVCDP implementation to ensure that the information presented therein 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.
59. Quarterly 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 NAVCDP project coordination unit (PCU) (this quarterly report will thus be guided by data obtained and reported monthly at county level). 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.
60. Information on public engagement activities undertaken by the project during the year may be conveyed to the stakeholders in two possible ways:
- Publication of a standalone annual report on project's interaction with the stakeholders;
  - Several Key Performance Indicators (KPIs) will also be monitored by the project on a regular basis, including the following parameters:
    - Number of public reviews, consultation meetings and other public discussions/forums conducted within a reporting period (e.g., monthly, quarterly, or annually);
    - Frequency of public engagement activities;
    - Geographical coverage of public engagement activities – number of wards, POs and/or MCIs covered by the consultation process;

- Number of public grievances and nature received within a reporting period, (e.g., monthly, quarterly, or annually) and number of those resolved within the prescribed timeline;
- Number of press materials published/broadcasted in the local, County, and National media in the appropriate form and language; and
- Number of project investments in the beneficiary communities in the project area.



## 8 GRIEVANCE MECHANISM

### 8.1 INTRODUCTION

61. Project-affected-people and any other stakeholder may submit comments or complaints at any time by using the project's Grievance Mechanism (GM). The overall objectives of the GM are to:
- Provide a transparent process for timely identification and redress of issues affecting the project and people, including issues related to the resettlement and compensation program.
  - Strengthen accountability to beneficiaries, including project affected persons.
  - Aim at reducing grievances as well as discourage escalation of grievances through sensitization and training of stakeholders.
62. The GM will be accessible to all external project stakeholders, including affected people, community members, CIGs, VMGs, POs, survivors of SEA/SH, civil society, media, and other interested parties. External stakeholders can use the GM to submit complaints, feedback, queries, suggestions, or even compliments related to the overall management and implementation. The GM is intended to address issues and complaints in an efficient, timely, and cost-effective manner. For victims of SE/AH, they will have a dedicated pathway within the GM due to the confidentiality of their cases for reporting and resolution. Furthermore, the GM shall immediately notify the MoALFC, the World Bank and the GBV desks at the various institutions with the consent of the survivor. Likewise, for the IP/SSAHUTLC, an enhanced pathway will be adopted in the GM to allow resolution of complaints by their council of elders.
63. NAVCDP GM tool is explained in the ESMF, VMGF, RPF, SEA/SH Prevention and Response Plan, LMP, and this SEP. All these versions are consistent in terms of establishment, member composition, training and operationalization. The only difference is each has a special focus and approach.
64. Grievances that are anonymously or media reported are given the same attention based on their relevance to the project. The project management must visit the site to do ground truthing and fact finding. And whatever the findings, the station involved must be retrained to manage this risk in a more proactive manner. At that level efforts must also be made to capture the grievance in the normal log.
65. NAVCDP will be responsible for managing the stakeholder GM, but many or most grievances are likely to result from actions of the construction contractors and so will need to be resolved by the contractors themselves, with NAVCDP oversight. Typical grievances for NAVCDP and construction projects could include issues related to:
- Land acquisition and compensation;
  - Construction damages to property, crops, or animals;
  - Traffic;
  - Environmental and social impacts such as erosion;
  - Nuisances such as dust or noise;
  - Worker misbehavior;
  - Reduction in water flows in the river;
  - Labour issues;

- Discrimination in access to resources for VMGs and other disadvantaged and vulnerable groups; and
- Inadequate consultation and participation

66. NAVCDP is to be implemented in 26 counties. These counties are also supported by NARIGP and KCSAP where GM Committees are operational. NAVCDP has borrowed a lot from these two World Bank supported projects. Therefore, NAVCDP implementers will be expected to strengthen the existing GM structures by prescribing an additional role and/or training the implementing structures and other stakeholders NAVCDP new responsibilities. The GM will be in place and operational before NAVCDP begins implementation activities and will function until the completion of all construction activities and beyond, at least until the contractor's defect liability period ends. It is expressly put in the ESCP and RPF that any community investment that after E&S screening that would be deemed to cause physical displacement should be excluded. Therefore, NAVCDP will not anticipate any physical but economic displacements in a small-scale in water-related infrastructures and NRM-related investments where PAPs and PAHs may have encroached on such public land reserved for public utilities. Such PAPs will extensively be persuaded to be willing to relocate because they may also be beneficiaries of the proposed investment. The displacements may also be temporary lasting a few days and not more than 30 days. In such cases, livelihood restoration plans will be prepared to ensure that the project affected persons (PAPs) or project affected households (PAHs) do not incur losses.

67. People who reside near the land and others who may be affected will be informed, in meetings and with brochures, of the GM's purpose, functions, procedures, timelines and contact persons. Additional measures will be taken to inform those who are determined to be eligible for compensation.

68. The project GM will include three successive tiers of extra-judicial grievance review and Redress:

- The first tier will be the NAVCDP E&S teams at ward level, including the community contact person(s) and beneficiaries. They will deal quickly with issues that can be resolved and would always involve direct communication with the person(s) who submitted the grievance.
- Any complaint that is SEA/SH related shall not be logged-in but referrals will be made to the alternate channels: a hotline for women—and men—in crisis 1195; Police at the Gender Desk; SGBV Hospitals; Form P3 filled; Medical support; Psycho-social support; Counselling; Referrals; and case continues. SEAH cases will be managed based on what the survivor wants. All actions shall be survivor centered.
- The second tier will be a County Grievance Redress Committee (GRC) that includes representatives of NAVCDP at County level and project technical teams from various sector departments. The GC will deal with issues that could not be resolved in the first tier.
- The third tier will be a National Grievance Redress Committee (NGRC) that included one or more senior NAVCDP managers and one or more PAPs and/or leaders, meeting at National level. National level GRC, which is the 3<sup>rd</sup> Tier may have co-opted County level representation, will resolve issues that could not be resolved by County GRC.

Grievances would be handled as described in the sub-section below.

## 8.2 GRIEVANCE MANAGEMENT PROCESS

69. Information about the GM will be publicized as part of the initial disclosure consultations in the participating County and Wards. Brochures/flyers will be distributed during consultations and public meetings, and posters will be displayed in public places such as in government offices, project offices, ward notice boards, community centres, etc. Information about the GM will also be posted online on the NAVCDP platforms/Ministry website. The overall process for the GM will include six steps, as shown in Figure 2 and described below.



Source: Agarwal, Sanjay and David Post. 2009. *Feedback Matters: Designing Effective Grievance Redress Mechanisms for Bank - Financed Projects* Part I. SDV. World Bank.

### **Figure 1 Schematic process of GM mechanisms**

**Step 1: Uptake.** Project stakeholders will be able to provide feedback and report complaints through several channels: in person at offices (ward, County, project, and NAVCDP National offices) and at project sites, and by mail, telephone, face-face; and email (Figure 3).

**Step 2: Sorting and processing.** Complaints and feedback will be compiled by the ESS compliance officer and recorded in a register. Submissions related to the resettlement and compensation program will be referred to the National Land Commission (NLC) for processing and redress. The Department will assign one individual to be responsible for dealing with the complaints (probably the social safeguards officer), including following through within NAVCDP and with the complainant to arrive at a redress, with the goal to resolve complaints within 14 days of receipt.

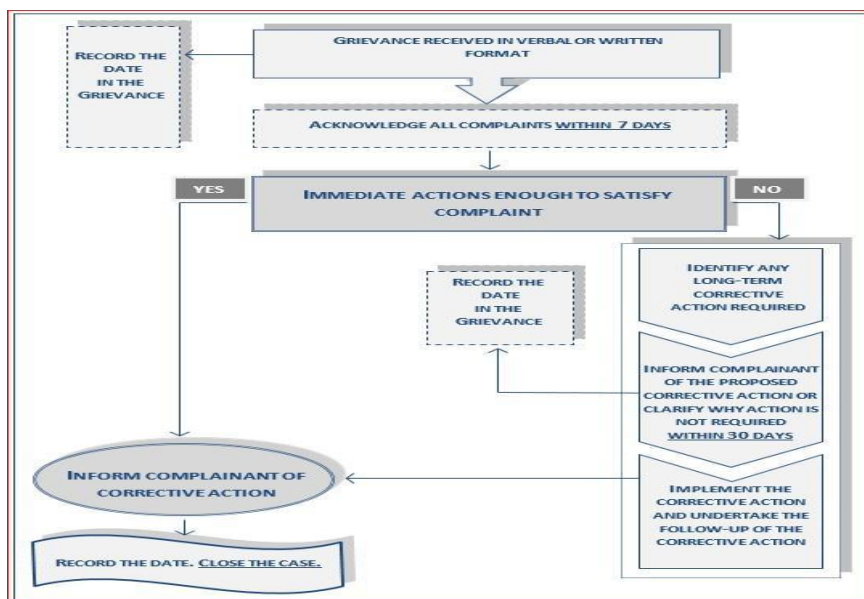
**Step 3: Acknowledgement and follow-up.** Within seven (7) days of the date a complaint is submitted, the responsible person will communicate with the complainant and provide information on the likely course of action and the anticipated timeframe for redress of the complaint. If complaints are not resolved within 14 days, the responsible person will provide an update about the status of the complaint/question to the complainant and again provide an estimate of how long it will take to resolve the issue. In addition, the NLC will report to the National grievances management committee every two weeks on grievances that have remained unresolved for 30 days or more within the project area.

**Step 4: Verification, investigation, and action.** This step involves gathering information about the grievance to determine the facts surrounding the issue and verifying the complainant's validity, and then developing a proposed redress, which could include changes of decisions concerning eligibility for compensation, additional compensation or assistance, changes in the program itself, other actions, or no actions. Depending on the nature of the complaint, the process can include site visits, document reviews, a meeting with the complainant (if known and willing to engage), and meetings with others (both those associated with the project and outside) who may have knowledge or can otherwise help resolve the issue. It is expected that many or most grievances would be resolved at this stage. All activities taken during this and the other steps will be fully documented, and any redress logged in the register.

**Step 5: Monitoring and evaluation.** Monitoring refers to the process of tracking grievances and assessing the progress that has been toward redress. The ESS compliance officer will be responsible for consolidating, monitoring, and reporting on complaints, enquiries and other feedback that have been received, resolved, or pending. This will be accomplished by maintaining the grievance register and records of all steps taken to resolve grievances or otherwise respond to feedback and questions.

**Step 6: Providing Feedback.** This step involves informing those to submit complaints, feedback, and questions about how issues were resolved, or providing answers to questions. Whenever possible, complainants should be informed of the proposed redress in person. If the complainant is not satisfied with the redress, he or she will be informed of further options, which would include pursuing remedies through the World Bank, as described below, or through avenues afforded by the Kenyan legal system. On a monthly basis, the county level GMCs under the tutelage of the County GM Chairperson in liaison with County Safeguards / Focal experts will report to the National level NAVCDP PCU on grievances resolved since the previous report and on grievances that remain unresolved, with an explanation as to steps to be taken to resolve grievances that have not been resolved within 30 days. Data on grievances and/or original grievance logs will be made available to World Bank missions on request, and summaries of grievances and redress will be included in periodic reports to the World Bank.

**Figure 2: Typical grievance Redress process**



70. NAVCDP will be responsible for coordinating grievances management through all six steps. Step 4 (Verify, investigate and Act) could involve interviews of the aggrieved party, workers, or other stakeholders; review of records; consultation with authorities; and/or other fact-finding activities. If the grievance cannot be resolved to the satisfaction of all parties, it will be referred to GRC, who would retrace Step 4 as needed. The steps following the initial investigation and proposed solution would proceed as follows:
71. Determination of proposed redress or referral to second tier:
- If redress is proposed: referral to social focal person for review and approval (including refinements). Once approved, responsible person would communicate redress to complainant and refer to corporate management for implementation.
  - If referred to second tier, GRC would consider facts determined by initial review and conduct such other fact-finding as needed, including interviews of complainant and others if necessary.
72. GRC recommends redress or refers to GRC 2nd tier:
- If redress is proposed: referral to NAVCDP county level for implementation, including communication to complainant.
  - If referred to third tier, GRC to meet and discuss facts as determined by initial tiers and make determination of proposed redress.
73. GRC recommended redress: referred to NAVCDP PCU level for communication to complainant and implementation of recommended actions (if any).
- Complainant would be asked to acknowledge acceptance (or rejection) of the redress.
  - NAVCDP PCU would then implement actions that are part of the redress (if any).
74. If a person who submits a grievance is not satisfied with the redress at the first or second tiers, he or she may request it be elevated to the next tier. If they are not satisfied with the ultimate redress, they may pursue legal remedies in court or pursue other avenues. Throughout the entire process, NAVCDP will maintain detailed records of all deliberations, investigations, findings, and actions, and will maintain a summary log that tracks the overall process.

### **8.3 GRIEVANCE PROCESSING**

75. Any aggrieved persons can submit a grievance (at all levels to a Focal Person):
- a) By completing a written grievance form that will be available (a) in the ward; (b) at NAVCDP offices at all levels; and (c) on NAVCDP website/Ministry website. An example of a grievance registration form is provided in Annex 2: Example Grievance Form; and
  - b) By contacting the NAVCDP community structures on GM or staff of the NAVCDP team, either by telephone or in person. In addition, grievances may be communicated to contractor supervisors or to NAVCDP community-lead structures, who will be briefed on receiving and reporting complaints. Grievances received verbally will be recorded by the ESS focal person on a grievance registration form and logged into the grievance register. A copy of the logged grievance will be given to the complainant, giving them the opportunity to alert NAVCDP staff if the grievance has not been noted down correctly.
  - 3) NAVCDP will explain to local communities the possibilities and ways to raise grievances during consultation meetings organized in each ward when this SEP and other project

documents are disclosed and then at quarterly meetings thereafter. The GM procedures will be disclosed through the project's website and will also be described in a brochure or pamphlet made available in ward administration buildings.

- 4) The NAVCDP community ESS focal person will be responsible for logging and tracking grievances. As noted above, an ESS team will be assigned responsibility for investigating and recommending redress on each grievance, or to recommend referral to a GRC level along the tiers.
- 5) Information to be recorded in the grievance log will include name, contact details of the complainant, a summary of the grievance, and how and when it was submitted, acknowledged, responded to and closed. All grievances will be acknowledged within 7 days and resolved as quickly as possible and not later than 14 days. If there has been no redress within 30 days, the person assigned responsibility for the grievance will contact the complainant to explain the reason for the delay. A generic flow chart for registering and processing grievances is shown in Figure 2: Typical grievance redress process. The status, number, and trends of grievances will be discussed between the project team at county level and NAVCDP PCU during meetings held at least quarterly and more frequently as needed **(in this case County PCUs will share their GRC schedule of meetings with the National PCU)**.
- 6) A grievance will be considered "resolved" or "closed" when a redress satisfactory to both parties has been reached, and after any required corrective measures have been successfully implemented. When a proposed solution is agreed by the complainant, the time needed to implement it will depend on the nature of the solution. Once the solution is being implemented or is implemented to the satisfaction of the complainant, the complaint will be closed out and acknowledged in writing by both the complainant and NAVCDP GMCs at respective levels.
- 7) In certain situations, it may not be possible to reach a satisfactory redress. This could occur if a complaint cannot be substantiated or is proved to be speculative or fraudulent. In such situations, NAVCDP efforts to investigate the grievance and to arrive at a conclusion will be well documented and the complainant advised of the situation. It is also possible that a complainant will not be satisfied with the proposed redress. In such cases, if NAVCDP cannot do more, the complainant will be asked to acknowledge refusal of the proposed redress in writing. NAVCDP will then decide whether to implement the redress without the agreement of the complainant and the complainant will decide whether to pursue legal remedies.

#### **8.4 GRIEVANCE LOGS**

76. As noted previously, the National and County offices will maintain grievance logs (as shown in Annex 4). This log will include at least the following set of information.
  - i. Date of the complaint.
  - ii. Individual reference number.
  - iii. Name of the person submitting the complaint, question, or other feedback, address and/or contact information (unless the complaint has been submitted anonymously).
  - iv. Details of the complaint, feedback, or question/her location and details of his / her complaint.
  - v. Name of person assigned to deal with the complaint (acknowledge to the complainant, investigate, propose redress, etc.).

- vi. Details of proposed redress, including person(s) who will be responsible for authorizing and implementing any corrective actions that are part of the proposed redress.
- vii. Date when proposed redress was communicated to the complainant (unless anonymous).
- viii. Date when the complainant acknowledged, in writing if possible, being informed of the proposed redress.
- ix. Details of whether the complainant was satisfied with the redress, and whether the complaint can be closed.
- x. If necessary, details of GRM (ward level) and GRM (County level) referrals, activities, and decisions.
- xi. Date when the redress is implemented (if any).

## 8.5 MONITORING AND REPORTING ON GRIEVANCES

77. Details of monitoring and reporting are described above. Day-to-day implementation of the GM and reporting to the World Bank will be the responsibility of the project NESSCO and Short- Term Expert (STE)-social safeguards and development. To ensure management oversight of grievance handling, the internal audit unit plus STE- social safeguards will be responsible for monitoring the overall process, including verification that agreed redress are implemented. In case of accidents, SEAH, and other complaints with gravity (escalated to the WB), the project management must report to the Bank on progress of resolutions as per the stipulated timelines i.e., before 48 hours after occurrence.

## 8.6 POINTS OF CONTACT FOR STAKEHOLDERS

78. Information on the project and future stakeholder engagement programs will be available on the Ministry of Agriculture, Livestock, Fisheries, and Cooperatives or project's website and will be posted on information boards in the Counties and wards where NAVCDP will be implemented. Information can also be obtained from NPCU, Offices in Nairobi, and CPCUs.

79. The national point of contact regarding the stakeholder engagement program is as shown below.

<i>Description</i>	<i>Contact details</i>
Name and position	John Kimani, NPC, NAVCDP, Nairobi, Kenya
Address:	P.O Box 8073-00200
E-mail:	<a href="mailto:info@NARIGP.Com">info@NARIGP.Com</a>
Telephone:	+254 020 2715466

<i>Description</i>	<i>Contact details</i>
Name and position	Titus Mutisya, NESSCO, NARIGP, NAIROBI, Kenya
Address:	P.O Box 8073-00200
E-mail:	<a href="mailto:info@NARIGP.Com">info@NARIGP.Com</a>
Telephone:	+254 020 2715466

## 8.7 WORLD BANK GRIEVANCE REDRESS SYSTEM

80. Communities and individuals who believe that they are adversely affected by a project supported by the World Bank may also register complaints directly to the Bank through the Bank's Grievance Redress Service (GRS) (<http://projects-beta.worldbank.org/en/projects-operations/products-and-services/grievanceredress-service>). A complaint should be submitted in English, although additional processing time will be needed for complaints that are not in English (Kenya not part of this exception).
81. A complaint can be submitted to the Bank GRS through the following channels:
- By email: [grievances@worldbank.org](mailto:grievances@worldbank.org)
  - By fax: +1.202.614.7313
  - By mail: The World Bank, Grievance Redress Service, MSN MC10-1018, 1818 H Street Northwest, Washington, DC 20433, USA
  - Through the World Bank Kenya Country Office, Delta Centre, Menengai Road, Upper Hill P.O. Box 30577-00100 Nairobi, Kenya. Tel: + 254 20 2936000  
[Kenyainfo@worldbank.org](mailto:Kenyainfo@worldbank.org)
82. The complaint must clearly state the adverse impact(s) allegedly caused or likely to be caused by the Bank-supported project. This should be supported by available documentation and correspondence to the extent possible. The complainant may also indicate the desired outcome of the complaint. Finally, the complaint should identify the complainant(s) or assigned representative/s and provide contact details. Complaints submitted via the GRS are promptly reviewed to allow quick attention to project related concerns.
83. In addition, project-affected communities and individuals may submit complaints to the World Bank's independent Inspection Panel, which will then determine whether harm occurred, or could occur, because of the World Bank's non-compliance with its policies, standards, and procedures. Complaints may be submitted to the Inspection Panel at any time after concerns have been brought directly to the World Bank's attention, and after Bank Management has been given an opportunity to respond. Information on how to submit complaints to the World Bank Inspection Panel may be found at [www.inspectionpanel.org](http://www.inspectionpanel.org).



## ANNEXES

### Annex I: List of Stakeholders Consulted/Issues and Responses

#### a.) Indigenous Peoples Organization Reps- 8<sup>th</sup> November 2021

S.No	Name	Tel.	Email address	Community	Region
1	Mohamed Kitete	0715349314	kitetemohamed@gmail.com	Indigenous Peoples Organization (IPO) Coastal region	Coastal region
2	Yunus Ahmed	0708722698	Yunusahmed90@gmail.com	"	"
3	Ambia Hirsi Dullow	0728546932	ambiadullow@gmail.com	"	"
4	Moses Kachine	0784395546	moseskachike@gmail.com	Minority and marginalized groups affairs- The presidency-Office of the DP	Country wide
5	John lengoisa	0710212957	jsamorai@ogiekpeoples.org	Ogiek Peoples Organization	Mau region
6	Jane Machani	0716984618		"	"
7	John Kisiambai	0758805321		"	"
8	Milka Chepkorir	0700404454	mctalaa@gmail.com	Sengwer	Cherangany
9	David yator	0726806100	sengwer@sengwer.org	Sengwer	

#### b.) Day I: County Reps (CESSCO +2 VMGs Community Reps)

S/No	NAME	COMMUNITY	COUNTY	TELEPHONE
1.	Fatuma Abdallah	Waata	Tana-River	0710583088
2.	George Wasonga	CESSCO	Tana-River	0725760206
3.	Joseph Mumu	CESSCO	Kiambu	0721422173
4.	Rehema M. Ruwa	CESSCO	Kilifi	0710586664
5.	Agnes Barisa	Waata	Kilifi	0791402478
6.	Jacob Kokani	Waata	Kilifi	0728044720

<b>S/No</b>	<b>NAME</b>	<b>COMMUNITY</b>	<b>COUNTY</b>	<b>TELEPHONE</b>
7.	Isaac Lagat	Ogiek	Uasin Gishu	0723411793
8.	Richard K.Maina	Ogiek	Narok	0711828692
9.	Naboe Ene Sameri	Ogiek	Narok	0708958908
10.	Meriki Joseph	CESSCO	Narok	0712803569
11.	Wilson K. Kurgat	Ogiek	Uasin Gishu	0722942038
12.	Gilbert Cheruiyot	CESSCO	Trans Nzoia	0727855330
13.	Richard Kipkering	CESSCO	Nandi	0723462103
14.	Isaac Kosgei	Sengwer	Trans Nzoia	0728519029
15.	Philis Mukung	Ogiek	Trans Nzoia	0740322434
16.	Paulo Sang	Ogiek	Nandi	0790900379
17.	William Kibitok Chepkwony	Ogiek	Nandi	0719537754
18.	Japheth Musila	CESSCO	Kwale	0711655420
19.	Bashora Muhindi Guyo	Wasanye	Kwale	0705474977
20.	Salim B. Bonaya	Wasanye	Kwale	0745934163
21.	Quentine Ngati	CESSCO	Taita taveta	0722797326
22.	Khadijah Wakio	Waata	Taita Taveta	0797179139
23.	Guyo S. Hamisi	Waata	Taita Taveta	0792971597
24.	Tony Igwo Elkana	Waata	Tana River	0724370830
25.	Stephen J. Ndung'u	Ogiek	Kiambu	0721477315
26.	Paul W. Njehu	Ogiek	Kiambu	0721469403
27.	Benson K. Gichuki	CESSCO	Nakuru	0719376601
28.	David Barngetuny	Ogiek	Nakuru	0722101146
29.	Francis Ngonino	Ogiek	Nakuru	0720645692
30.	Nixon Kasembeli	CESSCO	Uasin Gishu	0723846596

**c.) Day 2 (Nov 09, 2021): Public and Stakeholder Consultation and Information Disclosure**

<b>S/NO</b>	<b>NAME</b>	<b>County/Designation</b>	<b>Telephone</b>	<b>VC</b>
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1	John M. Wachira	Nyandarua-CPC	0722654423	Potato
2	Peter N. Mbutu	Nyandarua-Farmer	0728285742	
3	Kenduiywa Julius	Bomet-CPC	0721403231	Dairy
4	Kipsang Sitonik	Bomet-Farmer	0728063363	
5	James King'ori Njuguna	Murang'a-CESSCO	0721571313	Banana
6	Alex Kamau Muchoki	Murang'a-Farmer	0721311394	
7	Josephine Kananu Kinoti	Embu-CESSCO	0724083315	Coffee
8	Mburugu J.N Mwiti	Embu-Farmer	0710459043	
9	Patrick Ng'ang'a	Meru-CPC	0738376383	Banana
10	Dancan Murithi	Meru-Farmer	0725262346	
11	Merina A. Adhiaya	Kakamega-CPC	0723798401	Chicken
12	Anne Murunga	Kakamega-Farmer	0710809858	
13	Okal Jacob Ohalo	Kericho-CESSCO	0720236598	Dairy
14	Humprey Langat	Kericho-Farmer	0721604986	
15	Peter S. Lirhu	Kitui	0701657009	Apiculture
16	Eutichus Kyungu	Kitui-Farmer	0724618837	
17	Gachara John	Kirinyaga-CPC	0722447079	Coffee
18	Geoffrey K. Munyagia	Kirinyaga-Farmer	0722434101	
19	Samuel Oduor Okumu	Kisii-CPC	0722551646	Banana
20	Ronald Guto	Kisii-Farmer	0720253572	
21	Allan F. Ogendo	Busia-CPC	0723312854	Chicken
22	Arnold Okiru	Busia-Farmer	0725873139	
23	Alice Wangui Gichuki	Nyeri-CPC	0721633225	Coffee

24	Mary Ann Maina	Nyeri-Coffee focal person	0721417671	
25	Samuel Maina	Nyeri-Farmer	0729872414	
26	Nicodemus N. Nzombe	Machakos		Mango
27	Raphael M. Muli	Machakos-Farmer	0721493163	
28	James Owuor Omondi	Homabay-CESSCO	0714238187	Cotton
29	Frank Otieno	Homabay-Ffarmer	0757364011	
30	Albertina Mercy Achapa	Migori-CESSCO	0717283224	Cotton
31	Peter Mwalyo Kinyenze	Makueni- CESSCO	0727515474	Mango
32	Benjamin Musungu	KEPSA	0714159582	

**d.) Day 3 (Nov 10, 2021): Public and Stakeholder Consultation and Information Disclosure**

S.No	Name	Tel.No.	Email address	Organization
1	Dr. Jonathan Munguti	0722622732	Jmunguti2000@gmail.com	KEMFI
2	Andrew Wambua	0725301465	wambuazuki@gmail.com	Ministry of Landa- Machakos County
3	Elijah Gichuru	0723152655	ekgichuru@gmail.com	CRF
4	Juma Mohamed	0722676794	Kibo62@yahoo.com	Crop and marketing Directorate
5	Mary Kanyi	0721379470	marywacera@yahoo.com	Director, livestock production.
6	Joshua Lodungokiok	0704420301	lodungokiokbon@gmail.com	National Treasury
7	Goreti Osur	0733908450	gosur@ngeckeny.org	National Gender and Equality Commission
8	Henry Chemjor	0725626763	hchemjor@npck.org	Potato Council
9	Ben Musungu	0714159582	bmusungu@kepsa.or.ke	KEPSA
10	Patrick Maingi	0727680344	pmaingi@kepsa.or.ke	KEPSA
11	Mary Nzisa	0721844088	mznzisa@kagrc.go.ke	Kenya Animal Genetic Resource Centre
12	David Kioko	0724691174	david88089070@gmail.com	Ministry of Energy
13	Zacharia Njuguna	0721273241	Njugunazakaria2015@yahoo.com	Nairobi City County

14	Patrick Macharia	0721710746	Patmurumi@gmail.com	National Treasury
15	Margarete Njuki	0721262347	Margarete.wainoi.njuki@gmail.com	NEMA
16	Maurice Opondo	0721247009	nauropond@hotmail.com	Ministry of water, sanitation and irrigation
17	Christine Kalui	0722570466	kaluic@kebs.org	KEBS
18	Dr. Gilbert M Muthee	0722340651	gilbertmuthee@yahoo.com	KCSAP
19	John Kimani	0721342918	jwkimani@2018@gmail.com	NARIGP

**e.) NAVCDP ESS Frameworks - Stakeholder Consultation Workshop (November 08, 2021): For Communities Meeting the Requirements of ESS7**

<b>S/No.</b>	<b>Name / Community / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
1	John Samurai Kisiambai - Mau Region - Ogiek Community	0758805321	<p>a) Funding level of this new project is too high. How much benefit is targeted for the VMGs?</p> <p>b) What project indicators will measure benefits to the VMGs?</p>	<p>a) NAVCDP is targeting VMGs or communities that satisfy the requirements of the World Bank ESS7 because some project counties are a host to these communities. The specific benefits are through priority value chains for ALL not just the VMGs. The benefitting communities are yet to make their choices along the priority value chains. In addition, NAVCDP will make a deliberate effort to reach-out the VMGs for targeting and inclusion.</p> <p>(b The following are some of the indicators: No. of CIGs supported % of which VMG; Total financial support to CIGs % support to VMGs; Total project beneficiaries (F, M); number of which are VMGs, etc.</p>
2	Isaac Lagat – Ogiek Community, Uasin Gishu County	0723411793	<p>a) Are our inputs to be taken and acted upon?</p> <p>b) The previous and current sister projects did ESIA/ESMPs, but we think they are short to recognize emerging risks and impacts along the implementation phase. Will it be the case in NAVCDP?</p>	<p>a) This workshop is a serious process along the preparation of the NAVCDP ESS Frameworks and the concerns raised will be addressed. The frameworks not only serve as a guide in mitigation of risks and impacts, but a covenant in the Financial Agreement between the National Treasury and the World Bank.</p>

<b>S/No.</b>	<b>Name Community / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
			<p>c) Are all sub-projects supposed to have an ESIA/EA report and approved by NEMA?</p> <p>d) VMGs should be involved in the implementation reviews and M&amp;E in the course of project implementation process. IPs should not only be involved in the initial stages but also during implementation.</p> <p>e) At what level, do you do specific ESIA's however small?</p> <p>f) What strategy is in place to ensure VMGs will be continuously involved.</p> <p>g) By all means we shouldn't be lumped together with the dominant communities.</p>	<p>b) No. NAVCDP will ensure investments are environmentally friendly first by screening all proposed investments through a standard checklist; guided by the results in the checklist ensure the right instrument to mitigate is formulated and implemented accordingly. In addition, the other VWB supported projects must have followed same process including recommending Environmental and Social Audits done after one year of implementation; and continuously done annually.</p> <p>(c Not really, but all subprojects must be screened using the standard checklist annexed in the ESMF.</p> <p>d) Yes. Engagement of VMGs throughout the project from preparation to evaluation.</p> <p>e) Sub project level, if after administering the E&amp;S screening checklist, County Director of NEMA guides on the same.</p> <p>f) VMGs support is part of the project deliverable; and therefore, VMGs in the project counties will continuously involved.</p> <p>g) Recommendation is acceptable to some extent but not always i.e., there are value chains where VMGs willingly would work with others.</p>

<b>S/No.</b>	<b>Name / Community / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
3	Milka Chepkorir-Sengwer community -Trans Nzoai County	0700404454; mctalaa@gmail.com	<p>a) Will NAVCDP undertake Social Impact Assessment?</p> <p>b) How do you ensure that the use of pesticides and other form inputs to deliver on one priority of the project does not eliminate the last one on the priority list? e.g. use of pesticides to control pests on maize, potatoes etc. completely affecting honey production by indigenous peoples in forests.</p> <p>c) Biodiversity conservation and ecologically sensitive areas. What is the deliberate move of the project to ensure that environmentally sensitive areas are not affected?</p>	<p>a) Yes, at the initial implementation period.</p> <p>b) Any antagonizing VCs shall be analyzed in detail and due diligence followed to ensure sustainability issues are achieved. The Integrated Pest Management (IPM) will be applied to avoid adverse effects to the biodiversity.</p> <p>c) Any project proposed investments to impact on the sensitive ecosystems will be excluded.</p>
4	Joseph Mumu - CESSCO Kiambu County	0721422173	<p>a) Why are E&amp;S issues handled last (if lucky) or better miss out in NARIGP?</p> <p>b) How are CESSCOs role going to be seen and felt as project implementers but not process facilitators?</p> <p>c) The E&amp;S activities need to be clearly brought out in the project components; how do we harmonize the plan across the project component?</p> <p>d) Develop a decommissioning plan /guide for the projects supported for implementation once the lifetime expires.</p>	<p>a) This should not be the case. In the new operation, all staff must be sensitized on the seriousness of environmental and social safeguards.</p> <p>b) In the new operation, care should be taken to ensure that safeguards are given the attention they deserve.</p> <p>c) In the design of the project and during detailing of components, this is when ES issues are picked, and activities planned and budgeted for. NAVCDP will relook into the obvious omissions where possible.</p> <p>d) Yes. This comment is true. Attention should be focused on the ESMPs drawn</p>



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				whether they include and act on such areas.
5	Phyllis Mukung – Ogiek community, Trans Nzoia County	0740322434	<p>a) As the Ogiek community our lives depend so much on milk and honey products. Will there be special value chains for VMGs like sheep or goat rearing and bee keeping?</p> <p>b) Will the VMGs be allowed to form their own POS?</p> <p>c) Will IPs and other VMGs be separated from the framework?</p>	<p>a) Yes, since time in memorial, there has been value chains for VMGs communities that are easy to promote (value chains that do not make VMGs community vulnerable; and that enhance VMGs livelihoods). Therefore, beekeeping will always win support for implementation by the VMGs community.</p> <p>b) Yes. I VMGs community can form own PO, so long as the volumes can sustain the PO operations.</p> <p>c) Yes. In the design of NAVCDP other vulnerable groups: aged, Differently Abled Persons, youth, female headed households, etc. are explained under ESS1 while the VMGs (IP/SSAHUTLC) are addressed guided by ESS7.</p>
6	Mohamed Kitete - Awer Community, Lamu County	0715349314; kitemohamed@gmail.com	-How will security be implemented in areas like Lamu and Tana River County?	-NAVCDP has a security management procedure which will be applied at all times, but the project is not taking over mandate of the Ministry of Internal Security. The project will work in collaboration with all stakeholders to ensure that security issues do not affect productivity and profitability.

<b>S/No.</b>	<b>Name / Community / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
7	Jacob Kokani - Waata community, Kilifi County	0728044720	a) Will the frameworks be disclosed? b) It's my prayer that implementers stop using derogatory names.	a) Yes. This stakeholder consultation process requires NAVCDP documents including these E&S frameworks disclosed both nationally and in the World Bank External website. b) Yes, noted with humbleness. The team also requests that the VMGs representatives assist in providing the acceptable names for their communities.
8	Francis Ngoninio – Ogiek community, Nakuru County, Chairperson CDDC	0720645692	a) How will VMGs be included in NAVCPD in terms of representation in market linkages? Such gaps were noticed in NARIGP. b) In NARIGP the facilitation of the volunteering committee (CDDC) there were some gaps, kindly look into that for smooth running of NAVCDP. c) How will corruption be eliminated in NAVCDP? <b>d) Recommendation</b> As a current CDDC chair from MAU, VMGs under the MOALF NARIGP success was 70%. Therefore, VMGs under the MOALF be given a chance to represent VMGs so that they feel they are part of the NAVCDP project.	a) Market linkage will be based on the priority value chains by these communities. b) Yes. The observation is noted. Lessons from NARIGP have been adopted. c) Through training of communities, transparency, and accountability of project implementation structures. d) Yes, well noted.
9	David Barugetuny – Ogiek community, Nakuru County	0722101146	a) Will NAVCDP support construction of the impassable roads across the marginalized community operational areas? Farmers are facing challenges	a) The project will support spot infrastructure improvement to enable farmers to deliver their produce to the market.

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			when delivering their produce to the collection centers or to the market.	However, it will not take over the road construction since the mandate is in a different Government entity.
11	David Yator Kiptum - Sengwer Community, Trans Nzoia County	0726806100; sengwer@sengwer.org	<p>a) How will forest indigenous peoples benefit from financing institution? (Loans, etc.)</p> <p>b) Thoroughly build understanding of the project implementation agencies from ward, sub county, county and National to avoid misinformation, confusion, and discrimination.</p> <p>c) How do you ensure that the IPs are not discriminated in the new project, because during NARIGP we were initially left out in window one and window two, we did not benefit from the multi community investments.</p> <p>d) So far Sengwer did not benefit from multi community investments. A proposal was approved by CPSC but has not been funded to date.</p> <p>e) How will farmer technical expert be enhanced for access of project implementation</p> <p>f) The project is silent on building capacity of VMGs IPOs, CIG, there is need to build their capacity.</p> <p>g) M&amp; E - indigenous people be represented in M&amp; E at all levels.</p>	<p>a) NAVCDP is not to offer loans but financial support to target beneficiaries through formulation of community proposals for prioritized investments.</p> <p>b) Yes. This is a valid point. NAVCDP will aim at ensuring information and communication is done at all levels and disclosure of information to all stakeholders through regularized stakeholder engagement meetings.</p> <p>c) NAVCDP borrowed from NARIGP and some of the gaps in NARIGP will be addressed in this new operation.</p> <p>d) Two MCIs in the county are in Makuno ward which is inhabited by the Sengwer (Chesucheki irrigation scheme and the Dairy Farmers of Cherangany milk processing plant). The Kapolet MCI – the decision rests on the NTAC. There are two counties facing a similar fate: Trans Nzoia and Narok- these two exceeded their allocations/project ceiling for MCIs (KES m 270-350 per county).</p>

S/No.	Name Community Institution County	Contacts	Question/Observation/Comment	Answer Provided
			h) Project implementation –include VMGs in project implementation from County to national level.	e) Through capacity building of those smallholder farmers who will have been affiliated to: CIGs, and POs. f) Capacity building both implementers and beneficiaries is a priority in NAVCDP. A Training schedule will be produced after a training needs assessment. g) OK. This recommendation will be explored. However, NAVCDP has adopted a participatory M&E. h) This will be considered.
12	Milka Chepkorir-Sengwer Community, Trans-Nzoia County	0700404454; mctalaa@gmail.com	<p>a) All Details should be captured in the project document nothing should be left out and included in the implementation manuals.</p> <p>b) Does the National management unit include an indigenous representative? if not should be considered.</p> <p>c) Who is putting together the Gender Action Plan?</p> <p><b>d) CONCERN</b> Being an VMGs is not equal to poverty and marginal listing, VMGs specific indicators will never end indigenoussness of a people. The project should end the notion of negativity from non-indigenous personnel leading the implementation of this project.</p>	<p>(a Good suggestion. We will go by it.</p> <p>(b As the project design continues being polished; this is also something to be thought of; now that under the DP Office there exists an office dealing with the indigenous communities; the representation structure at national level my be coopted at the NTAC</p> <p>c)The GBCAP for NAVCDP has been drafted by the consultants. During the subsequent revisions, there will be further stakeholders' consultation.</p> <p>d)The matter is noted</p>

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13	Wilson K. Kurgat-Uasin Gishu County Chairman, Ogiek Consortium	0722942038	<p>a) What can be done concerning the high number of chemicals being used on the farms that negatively affects humans through compromised food safety issues?</p> <p>b) Market issues should be considered to maximize profitability.</p> <p>c) Why have these counties been exempted Kericho, Baringo, Laikipia, Bungoma, Elgeyo Marakwet.</p>	<p>a) NAVCDP is having IPMF as one of the framework approaches that will guide pesticide use at beneficiary level. Communities will be trained on safe use of chemicals and the management of pesticides, handling, storage, and transportation.</p> <p>b) Of course, the NAVCDP PDO is about 'increased market accessibility' and 'enhanced value addition'</p> <p>c) Kericho, Baringo, Laikipia, Bungoma, Elgeyo Marakwet have been excluded from NAVCDP because they are covered by other projects within the sector funded by World Bank, IFAD and AfDB</p>
14	John Kisiambei – Ogiek Organization, Nakuru County	0758805321;	<p>a) How will the project help VMGs to continue conserving the environment?</p> <p>b) Some pesticides that are used affect honey production, how will that be considered in the new project?</p>	<p>a) The project will continue implementing SLM activities in collaboration with the VMGs communities and KFS</p> <p>b) The pesticides to be used in NAVCDP will be those that are friendly to pollinators with minimum effect on non-targeted organisms. approved normally a buffer zone is established contamination.</p>
15	Japheth Musila – CESSCO, Kwale County,	0711655420	<p><b>Comment:</b></p> <p>a) Land department/NLC should be involved in NAVDP to offer counsel.</p>	<p>a) True. Land issues and especially ownership have been a challenge.</p> <p>b) Yes, they will be targeted for inclusion with their priority value chains.</p>

<b>S/No.</b>	<b>Name / Community / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
			b) Minority community interests to be brought on board	
16	Jane Machani Ogiek Peoples Organization - Mau Region	0716984618	VMGs are surrounded by other communities and the project might not benefit them making them not respond which may in turn affect the VMGs and cause delays on coming up with responses.	VMGs will be targeted during project operation and their CIGs/VMGs/POs will be considered along those of majority communities.
17	Isaac Kosgei Segwer Representative. Cherengany, Trans Nzoia County	0728519029	a) Suggested a differentiation between VMGF and indigenous people framework because indigenous people do not like being associated with other VMGs. b) ESS8: Well, captured on cultural sites.	a) Yes. This is true. It was not easy under NARIGP but now the distinction is evident. VMGs are addressed under ESS1 while IP/SSAHUTLC are addressed under ESS7 b) Yes, it is necessary here because, in case of any technical hitch's civil works, the project applies these guidelines.
18	Moses Kachine - Minority and marginalized groups affairs- The presidency- Office of the DP	0784395546; 0722655302; moseskachike@gmail.com	a) Nationally, 28 counties with 79 VMGs communities. The counties that are not factored here, are in other projects i.e., 'Resilience Project' b) Invite this new project to come for more information on IP/SSAHUTLC in this country; the department holds the database.	Well received.
19	Ambia Hirsi Dullow - Munywoyaya community - IPO/IP Media	0728546932; ambiadullow@gmail.com	a) The deliberations in this forum are useful for this country. NAVCDP should aim at working with media for visibility and media privy to	a) The team can't agree more. NAVCDP will strategize to involve responsible media coverage in its operations.

<b>S/No.</b>	<b>Name / Community / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
	Coastal Region – Tana River County		issues touching on the IP/SSAHUTLC in Kenya.	

**f.) NAVCDP ESS Frameworks - Stakeholder Consultation Workshop (November 09, 2021): For County Line Departments and Other Stakeholders including Farmers**

<b>S/No.</b>	<b>Name / Position / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
1.	Peter Kinyenze (CESSCO-Makueni)		<p>a) What is the difference between ESMF and ESIA? Does ESMP apply to all?</p> <p>b) Some projects will require SPRs instead of ESIA, therefore can the ESMF recognize this and have SPR appear in the document?</p> <p>c) Are there written documents on bee safety to agrochemicals which can be used during NAVCDP?</p>	<p>a) ESMF is a framework approach adopted by the borrower to mitigate against potential environmental and social risks where site specific investments are not known at project appraisal. It is at project preparation level, and it carries an ESMP at framework level. On the other hand, ESIA is a site-specific mitigation instrument normally at implementation phase of the project. It also has a site specific ESMP.</p> <p>b)Yes. According to NEMA Legal Notice 30 and 31 of April 31, 2019, ESIA's are now categorized 'low-risk projects' to do a SPR while the more complex investments with 'high-risk levels' will undertake Comprehensive Project Report (CPR).</p> <p>c)This documentation on bee safety is not available now but it can be sought. We will endeavor to look for such literature and share accordingly.</p>
2.	Peter Liru (Kitui)		The document suggests issues of GBVP especially on sexual harassment be handled by GRM, which I feel it couldn't handle it exhaustively. Suggested introduction of GBV handling subcommittee of the main.	This is correct. GBV is sensitive in its handling, requires special training, and confidentiality.



<b>S/No.</b>	<b>Name / Position / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
3	John Wachira (CPC -KCSAP Kirinyaga)		<p>a) Suggested that there should be consistency on value chains/commodities. Pointed out the following documents with conflicting information</p> <p>b) We should not undermine the impact of Pesticides Containers as an impact of waste disposal that requires mitigation measures</p> <p>c) Pointed out that the monitoring aspect for the implementation of the E&amp;S plans was missing</p>	<p>a) The 12 value chains were put into 9 categories so that the counties are guided to choose one VC per category. The point is noted and will be ironed out.</p> <p>b) Point noted and to be emphasized during E&amp;S training/sensitization.</p> <p>c)The M&amp;E aspect may not have been prominent in the summary presented in the meeting but is well captured in the main document</p>
4	James Njuguna (CESSCO Murang'a)		<p>a) How will the government minimum wage be harmonized with the market rates for unskilled youth employment in SLM?</p>	<p>-NAVCDP aims at guiding on labour management. At the least, ensure the workers do not suffer by getting low wages but also ensuring everything is within law and WB Standards (ESS2)</p> <p>The labour officers will guide the counties on the payments using the rates applicable in the respective counties.</p>

<b>S/No.</b>	<b>Name / Position / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
5	Francis Otieno (Farmer, Homa bay)		<ul style="list-style-type: none"> <li>a) Why can't farmers be made to use organic fertilizer and pesticides? This would reduce production cost and increase farmers earnings.</li> <li>b) What criteria will be used to determine the people to be resettled?</li> <li>c) Mechanization is relevant to making farming easier and enjoyable. Tractors for ploughing, harrowing, planting, and spraying.</li> <li>d) Let the right personnel with knowledge in agriculture and related fields run the project. They should be honest and transparent and each should have a certificate of good conduct.</li> </ul>	<ul style="list-style-type: none"> <li>a) This is a good idea and will be mainstreamed in the project activities.</li> <li>b) The RPF has given the criteria for identification and documentation of the persons to be resettled.</li> <li>c) the point is noted and will be considered during project operation.</li> <li>d) Point noted for consideration</li> </ul>
6	Dr. Muli (Farmer, Machakos)	a)	b) Value chains challenges between producers and consumers then brokers come and exploit the market. Yatta multipurpose farmers' cooperative society.	NAVCDP will enhance market access for farmers and improve linkages between producers and consumers thereby addressing most of the value chain challenges
7	Eutichus Kyungu (Farmer, Kitui)		a) Project implementation at FPO level. NARIGP concentrates much on activity implementation budget but not administration cost/staff cost. Hence you find it difficult for committee to implement these activities to its member groups, requesting NARIGP to consider staff cost in its budgets.	Capacity building, provision of equipment and facilitation of staff from relevant county technical departments involved in the implementation of project activities had been considered in the project

**g.) NAVCDP ESS Frameworks - Stakeholder Consultation Workshop (November 10, 2021): For National Line Departments Policy Makers and Other Stakeholders including Donors and CSOs.**

<b>S/No.</b>	<b>Name / Position / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
1	Joshua Lodungokiok – The National Treasury	0704420301; lodungokiokbon@gmail.com	(a The VMGs Kiambu, Nandi, Uasin Gishu, etc. counties. How have they being involved in this project?	The IP communities have been fully involved in micro project identification and implementation. In some cases, the IP communities have their own value chains while in other cases, they are recognised as members of the CIG/VMG/PO. They have also been elected into leadership positions in the CIGs/VMG/Po.
2	David Kioko – Ministry of Energy	0724691174; david88089070@gmail.com	<b>Comments:</b> - Encouraged use of solar power in the FLIP to cut on the cost of energy and reduce pollution caused by use of fossil fuels. -Noted that the NAVCDP will actually be operationalizing the Kenya National Energy Efficiency and Conservation Strategy. and asked the team to download the same for guidance. - The Ministry of Energy is ready to collaborate with the project team to when called upon.	-Comments noted positively. NAVCDP will engage further.
3	Margarete Njuki, NEMA Hqs	0721262347; Margarete.wainoi.njuki@gmail.com	a) As presented this morning, the ESMF ESMP does not consider air pollution from VCs especially dairy	a) The point is noted for emphasis in the ESMF

<b>S/No.</b>	<b>Name / Position / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
			b) Biodiversity concerns: biodiversity is a complex issue and needs to be integrated in the report because these VCs in a way will lead to lose of biodiversity.	b) point noted and further engagements with NEMA to discuss the issue to be done during project implementation.
4	Mary Kanyi - KGRIC	0721379470; marywacera@yahoo.com	(a NAVCDP is on fewer VCs and will cover not all counties previously under NARIGP. How will continuity be ensured on the communities left out? (b How will NAVCDP integrate with other projects for synergy? And also access other benefits i.e. crop and livestock insurances? (c Farmers are being exploited along the VCs. How will this project help reduce this exploitation?	A) NARIGP and KCSAP have elaborate sustainability measures to ensure that the activities continue after the project s. The projects also fully involve and build the capacities of agriculture extension staff who will continue to interact with the farmers after closure of the projects

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5	Henry Chemjor - Potato Council	0725626763; hchemjor@npck.org	(a) Some counties have no capacities on E&S. They go ahead and hire consultants who have no or very little expertise? How will this new project help control this gap? (b) Public Lands and ownership: when such lands are given to communities to invest; management issues crop up later and this affects the progress of such investments. How is land being handled in this project?	a) Counties will be advised to hire consultants handling environmental / social issues who have the requisite qualifications and experience  b) The land on which the project will be implemented will be fully documented and due diligence done. NLC will also be fully involved to ensure that public land is properly availed for FPO utilization.
6	Christine Kalui,	0722570466; kaluic@kebs.org	(a) The POs: how will they be strengthened? In my opinion through capacity building for ownership and sustainability. (b) Review of Policies: The new Agriculture strategy - <b>Agricultural Sector Transformation and Growth Strategy</b> is not mentioned. Kindly include.	a) Point noted and the issues to be included in the FPO capacity building b)ASTGS to be included in the E&S documents.
7	Ben Musungu –	0714159582; bmusungu@kepsa.or.ke	a) The VCs seem to have dropped from 29 to 6. How will the 6 VCs interphase with the CIGs? b) BMOs not mentioned here. What role can they play?	a) The CIGs that are not will not be included in NAVCDP will be addressed using the normal extension services.

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				b) The BMOs to be involved as stakeholders during the value chain improvement activities
8	Elijah Gichuru	0723152655; ekgichuru@gmail.com	In the presentation of the table with the vulnerable groups i.e Ogieks, we did see a listing of the aged. Why?	The table on VMGf mainly focused on ESS7. The aged and other categories of VMGs are addressed in ESS1 under the ESMF.
10	Maurice Opondo - Ministry of Water	0721247009; nauropond@hotmail.com	Agreed on validating the Frameworks but with adjustments: - Policies, add the following: Irrigation Policy 2019; Irrigation Act 2019; Water Act 2016; Water Act 2021. -Think about catchment conservation and capacity WRUAs to check on water use footprints. -Propose inclusion of Labour Officers as stakeholders. They do have a responsibility in implementation of NAVCDP.	All points well noted and to be included in the E&S instruments
11	Goreti Osur - National Gender and Equality Commission	0733908450; gosur@ngeckeny.org	(a) NACVDP should consider inclusion of gender in its operations. (b) Issue of certification – seems to be emphasized at quality at value addition. Why not along the entire VC?	a) Point noted and to be considered  b) Point noted and GAP and certification to be included in all the segments of value chains.

<b>S/No.</b>	<b>Name / Position / Institution / County</b>	<b>Contacts</b>	<b>Question/Observation/Comment</b>	<b>Answer Provided</b>
12	Franscisa Kanini – Youth Affairs		a) Data and Digital Space for the youth – youth seem not well captioned in the Frameworks because they are boxed under the digital space, but we feel they should be right from production decisions. b) Does NAVCDP have climate change activities?	a) Point well noted.  c) Climate change issues are mainstreamed in all project activities
13	Zacharia Njuguna – Nairobi City Council	0721273241; Njugunazakaria2015@yahoo.com	(a Nairobi County practices urban farming. To what extend will NAVCDP support this system? (b Market/Market Access: Nairobi is the largest consumer of the produce from the rural areas. Is NAVCDP going to support infrastructural development and traceability approaches?	The issues will be expounded and considered when unpacking the activities of component 3 of NAVCDP for Nairobi, Kiambu and Machakos.

## Annex 2: Value Chain Selection and County Selection

1. **The National Agricultural and Rural Inclusive Growth Project (NARIGP) and the Kenya Climate-Smart Agriculture Project (KCSAP) have laid a strong foundation for the commercialization of selected VCs in Kenya.** The VCs implemented by the two projects were selected through the Participatory Integrated Community Development (PICD) process. The PICD process was rigorous and incorporated conflict-sensitive programming, inclusiveness of the marginalized, effective participation, gender sensitivity, empowerment, and sustainability. The process ensured communities participated fully in selecting the priority VC. At the end of the process, the forty-five counties in NARIGP and KCSAP prioritized 28 VCs.
2. The following objective criteria was used to identify a short list of 9 VCs to be supported under NAVCDP:
  - Current and potential production growth potential – quantity/value of production;
  - Growth potential in domestic and export markets;
  - Potential for value addition, agro-processing and job creation;
  - Potential outreach to targeted farmers – actual farmers mobilized & formed into CIGs, POs
  - Current level of investment by World Bank under NARIGP/KCSAP
  - Potential for social inclusion – particularly youth, women, VMGs and ASAL counties
  - Nutrition sensitivity
  - National strategic importance and alignment with the ASTGS
  - Investment by other ongoing government/partner development initiatives to build on complementarity
3. Agricultural commercialization is the transformation of smallholder subsistence farming into an innovative, market-oriented, and modern sector. To assess the value chains with the highest commercialization potential, the following approach was adopted.
4. **Qualitative VC assessment:** The qualitative assessment involved value chain and commodity experts who were requested to assess the commercialization potential of all the listed 28 VCs. Data on the different commodities and their market trends was made available to the experts to establish the most realistic picture. A scale was developed for administering five questions to measure agricultural commercialization including: productivity growth, household incomes, employment, inclusivity, and poverty reduction. Respondents were asked for their extent of agreement with each set of statements, scaled as a five-point Likert Scale. Mean values for each sample group were used in providing inputs for selecting the final VC.
5. **Quantitative VC assessment:** Data gathered from the projects and other sources was used to assess the following quantitative indicators; no. of counties prioritizing a VC; no. of farmers targeted, no. of farmers recruited, no. of CIGs/VMGS formed, no. of POs that had received Inclusion Grant, POs involved in value addition and agro-processing, no. of linkages with major off-takers, and commodity value in Kenya Shilling to provide competitiveness and the total World Bank investment. These data combined with opportunity selection methodology was used to rank the VC according to their commercialization index. The VC were ranked with the highest commercialization index rankings no. 1 while VC with the lowest index ranked last.



- 6. Validation and selection of VC:** The qualitative and quantitative VC assessment was followed by validation exercise to ground-truth the outcome. This process involved interviews and discussions with farmers, processors, farmer and processor associations, government officials, and market experts to gain a deeper understanding of the market dynamics affecting VC product flows.
- 7. Selection of Project Counties :** The first step in the selection of counties was to identifying counties covered by the three major project investments to avoid duplication: Kenya Livestock Commercialization Project (IFAD), Drought Resilience and Sustainable Livelihoods Program (AfDB) and DRIVE Project (World Bank). A total of seventeen counties were covered by these projects and therefore not eligible for funding under NAVCDP. The next step was to evaluate the remaining 30 counties for; their potential for production of selected VC, socio-economic development indicators, regional balance, performance under NARIGP/KCSAP, and their potential to contribute to climate change adaptation and mitigation. Additional indicators that were considered included clustering, security, socioeconomic data (such population density, poverty indices, undernutrition levels, and vulnerabilities), vulnerability to climate change risks/fragile ecosystems; human development indicators, such as undernutrition and food insecurity. The following 26 counties were selected by GoK in seven geopolitical clusters in Table 5 below.

**Table 5: List of Selected Counties for NVCDP**

<b>Regions</b>	<b>Counties</b>
Mt Kenya	Meru, Muranga, Kiambu, Kirinyaga, Embu & Nyeri
Lower Eastern	Machakos, Makueni & Kitui
North Rift	Trans-Nzoia, Nandi, Uasin Gishu
Central/South Rift	Nakuru, Narok, Bomet, Kericho, Nyandarua
Nyanza	Kisii, Migori & Homa Bay
Western	Kakamega and Busia
Coast	Kilifi, Taita Taveta, Kwale and Tana River

### Annex 3: Example Grievance Form

<b>Grievance Form</b>			
Grievance reference number (to be completed):			
Contact details (may be submitted anonymously)	Name (s):		
	Address:		
	Telephone:		
	Email:		
How would you prefer to be contacted (check one)	By mail/post: <input type="checkbox"/>	By phone: <input type="checkbox"/>	By email <input type="checkbox"/>
Preferred language	<input type="checkbox"/> Local	<input type="checkbox"/> Kiswahili	<input type="checkbox"/> English
Provide details of your grievance. Please describe the problem, who it happened to, when and where it happened, how many times, etc. Describe in as much detail as possible.			
What is your suggested redress for the grievance if you have one? Is there something you would like NAVCDP or another party/person to do to solve the problem?			
How have you submitted this form to the project?	Online <input type="checkbox"/>	email <input type="checkbox"/>	By hand <input type="checkbox"/>
	In person <input type="checkbox"/>	By telephone <input type="checkbox"/>	Other (specify) <input type="checkbox"/>
Who filled out this form (If not the person named above)?	Name and contact details:		
Signature			
Name of NAVCDP person assigned responsibility			
Resolved or referred to GRC1?	<input type="checkbox"/> Resolved	<input type="checkbox"/> Referred	If referred, date:
Resolved referred to GRC2?	<input type="checkbox"/> Resolved	<input type="checkbox"/> Referred	If referred, date:
<b>Completion</b>			
Final redress (briefly describe)			
	Short description	Accepted? (Y/N)	Acknowledgement signature
1 <sup>st</sup> proposed solution			
2 <sup>nd</sup> proposed solution			
3 <sup>rd</sup> proposed solution			

## Complaint Log Form

<b>Name of Commenter/Aggrieved</b>		<b>Comment/Grievance Number</b>	
<b>Name of Organization (if applicable)</b>			
<b>Address and Position</b>			
<b>Telephone/Fax</b>			
<b>Email Address</b>			
<b>Method of Grievance Placement</b>	Mail Email Phone Walk In (Face to Face)		
<b>Most effective means to send a response</b>	<b>Mail</b>	<b>Email</b>	<b>Phone</b>
<b>Date and Time of Comment/Grievance</b>	Date	Time	
<b>Nature and location of Comment/Grievance</b>	<b>Please provide details of grievance.</b>		
What outcome are you seeking?			
Additional Information			
<b>Any Supporting Documents Attached</b>	Yes	No	
<b>Initial Response details</b>			
<b>Date of initial response:</b>			
<b>Resolved/Addressed by:</b>			
<b>Nature of Resolution:</b>			

<b>Date of Resolution:</b>	
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