Public Disclosure Authorized

Public Disclosure Authorized

Kenya Railways

Kenya Urban Mobility Improvement Project P176725

Project Preparation Advance

STAKEHOLDER ENGAGEMENT PLAN (SEP)

August 2023

Table of Contents

1 Introduction 1

1.1 Proposed Project 1

1.2 Project Implementation Arrangements 2

1.3 Project Description, Objectives, Components/Tasks to be financed by the Project Preparation Advance 2

1.3.1 Project Development Objective 2

1.3.2 Project Components 2

1.3.2 Activities to be Financed under the Project Preparation Advance 5

2.0 REGULATORY CONTEXT 5

2.1 Policy, Legal and Institutional Framework for Public Participation 5

2.2 World Bank Requirements 6

2.3 Gap Analysis between National Legislation and World Bank Requirements 7

3.0 SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT UNDER THE PROJECT 8

4.0 STAKEHOLDER IDENTIFICATION AND ANALYSIS 11

4.1 Identification of Project Stakeholders 11

4.1.1 Project Affected Parties 11

4.1.2 Other Interested Parties 11

4.1.3 Vulnerable/Marginalized Individuals or Groups (VMGs) 12

5.0 STAKEHOLDER ENGAGEMENT PROGRAM 13

5.1 Engagement Methods and Tools to be Used 13

5.2 Stakeholder Engagement Plan 15

5.4 Information to be Disclosed 24

5.5 Dedicated consultations with Vulnerable/Marginalized Individuals or Groups (VMGs) 24

6 GRIEVANCE REDRESS MECHANISM 25

6.1 Objective of the GR Mechanism 25

6.2 Principles for the project GRM 25

6.3 Awareness Building 26

6.4 Procedure for Grievances 26

6.4.1 Assess and Clarify 27

6.4.2 Intake, Acknowledge, and Follow-Up 27

6.4.3 Verify, Investigate and Act 28

6.4.4 Grievance Redress Committee 28

6.4.5 Monitor, Evaluate and Feedback 28

6.5 Roles and Responsibilities for GRM 28

6.6 Monitoring and Reporting on GRM Implementation 29
6.7 WB's Grievance Redress Service (GRS) 29
7. RESOURCES AND RESPONSIBILITIES FOR IMPLEMENTING STAKEHOLDER ENGAGEMENT ACTIVITIES 31
7.1 Resources 31
7.2 Management Functions and Responsibilities 32
7.3 Timelines 32
7.4 Involvement of Stakeholders in Monitoring Activities 32
7.5 Reporting Back to Stakeholder Groups 33
7.6 Feedback and Integration 33
7.7 Products of the PPA to be Consulted 34

Acronyms

BRTS	Bus Rapid Transit Systems
CoG	Council of Governors
EIA	Environmental Impact Assessment
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESIAs	Environmental and Social Impact Assessments
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Standard
GA	Gender Assessment
GBV	Gender-Based Violence
GDP	Gross Domestic Product
GIS	Geographical Information System
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
ICTA	Information Communication and Technology Authority
INTP	Integrated National Transport Policy
KIPPRA	Kenya Institute for Public Policy Research and Analysis
KRC	Kenya Railways Corporation
KUMIP	Kenya Urban Mobility Improvement Project
KURA	Kenya Urban Roads Authority
LVC	Land Value Capture
MTP	Medium Term Plan
NaMATA	Nairobi Metropolitan Area Transport Authority
NGEC	National Gender and Equality Commission
NMA	Nairobi Metropolitan Area
NTSA	National Transport and Safety Authority
OIP	Other Interested Parties
PPA	Project Preparation Activities/Advance
RAPs	Resettlement Action Plans
RPF	Resettlement Policy Framework
SDoHUD	State Department of Housing and Urban Development
SDOI	State Department of Infrastructure
SDoT	State Department of Transport
SEP	Stakeholder Engagement Plan
SESA	Strategic Environmental and Social Assessment
VMGF	Vulnerable and Marginalized Groups Framework
WB	World Bank

1 Introduction

In Kenya, the transport sector is recognized as a key pillar and a critical enabler in achieving Vision 2030 long-term development strategy, contributing 8 percent to Gross Domestic Product (GDP) in 2019. Providing good transport in rural and urban areas has also been recognized as one of the measures to realize the Big Four Agenda; the 2018-2022 programme focuses on priority areas in the Third Medium Term Plan (MTP III) of Kenya Vision 2030. In 2009, the Government of Kenya developed the Integrated National Transport Policy (INTP 2009), which identified several challenges inhibiting the transport sector from performing its role in national, regional, and international economies, and provided policy statements on the way forward.

There is a significant infrastructure financing deficit estimated at $2.1 billion annually, which constrains growth and development. Roads are rated as one of the major problems by ordinary citizens, particularly those residing in rural areas who feel isolated from economic opportunities as well as health, education, and other social services. Infrastructure is rated a major constraint both in business surveys and in poverty reduction strategies. During the period 1984-2004, Kenya saw very little by way of development in the productive sectors, and worse still, the transport sector remained mostly stagnant. The quality of transport infrastructure and delivery of services is still highlighted by the private sector as one of the main constraints to growth. Poor and lagging parts of Kenya have rudimentary transport infrastructure. Therefore, the focus should be on the utilization of limited resources to improve the quality rather than quantity of the network in addition to improving the usage and specifically transport safety, comfort, and reliability.

The key challenges in the transport sector include (a) the poor condition of much of the road network and accessibility in rural areas; (b) road safety; (c) poor Urban Mobility Systems, (d) Capacity Constraints at Airports and Strengthening Aviation Safety, Security and Oversight; (e) underdeveloped “regional” transport infrastructure networks; and (f) obstacles in attracting private sector financing for infrastructure development.

1.1 Proposed Project

The proposed Kenya Urban Mobility Improvement Project (KUMIP) will address the challenge of the poor urban mobility system in the Kenya Metropolitan areas. Because the urban transport subsector has received little attention for almost four decades in Kenya despite its critical role in higher productivity, greater access to economic opportunities, and social inclusion. Accordingly, the myriad and complex issues related to the provision of urban public transport services and infrastructure remain largely unaddressed, compared to the other transport sub-sectors where the World Bank (WB) has been engaged for a longer period and significant reforms have been carried out, leading to improvement of the delivery of services.

Urban entities face institutional weaknesses such as insufficient staff capacity, an inadequate framework for transport policy and planning, a lack of transport corridor management, and inadequate operations and maintenance budgets. Yet, mobility and accessibility provided through efficient and affordable urban transport are recognized as a catalyst for higher productivity, greater access to economic opportunities, and social inclusion. Across urban transport modes in low- and

medium-income countries, public transport plays a pivotal role to enhance city efficiency - hence the provision of an efficient public transport infrastructure becomes critical.

Thus, to improve urban mobility, priorities should be given to (a) urgently develop an integrated urban mobility strategy; (b) review the policy and institutional arrangement aimed at re-organizing and institutional strengthening including integrating land use and transport planning; (c) invest in developing mass transit systems including commuter rail and Bus Rapid Transit systems (BRTS); (d) improve and modernize public bus operations and reform the matatu industry; and (e) provide facilities for Non-Motorized Transport (pedestrian infrastructure).

1.2 Project Implementation Arrangements

The implementation arrangement will be aligned with the governance structure in the country. Based on the tentative components proposed, the Ministry of Roads and Transport (MRT), State Department of Transport (SDoT) and State Department of Housing and Urban Development (SDoHUD), Kenya Railways Corporation (KRC), Nairobi Metropolitan Area Transport Authority (NaMATA), Kenya Urban Road Authority (KURA), State Department of Roads (SDOR), National Transport and Safety Authority (NTSA), Council of Governors (CoG), and County Governments of Nairobi, Kiambu, Kajiado, Machakos, Murang'a, Mombasa, Kisumu, Nakuru, Uasin Gishu are potentially implementing agencies and beneficiary institutions. The Kenya Railways has an environment and social unit, that will lead in the preparation of all the environmental and social instruments for the project on behalf of all the other agencies.

1.3 Project Description, Objectives, Components/Tasks to be financed by the Project Preparation Advance

1.3.1 Project Development Objective

To improve urban mobility services in the catchment area of commuter rail (Nairobi Central Station to Ruiru) and enhance the institutional capacity for resilient and green urban transport development in Kenya.

1.3.2 Project Components

Component 1. Urban Mobility Improvement in Nairobi Metropolitan Area (US$450m). Subcomponent 1.1 Revamping Commuter Rail Service in Nairobi Metropolitan Area (US$400m)

This subcomponent aims to improve urban mobility by establishing the rail backbone of the public transport network. The project will finance an updated traffic study, feasibility study and detailed designs for the full commuter rail network. The project investment will focus on the Nairobi Central Station to Ruiru section of the Thika Line (32 km), which is expected to have the highest socio-economic and accessibility impacts, considering the demand forecast, population and socio-economic character of neighborhoods along the line. Specific activities include:

(i) Feasibility study, including updated traffic forecast and detailed design for the entire Commuter Rail network, including infrastructure and train control system for all lines.

(ii) Track rehabilitation and upgrading between Nairobi Central Station and Ruiru, including the train control system.
(iii) New multiple unit trainsets and associated equipment and spare parts. The specifications of multiple-unit railway trainsets to be financed will be determined by the roadmap for greener multiple-unit railway car solutions that will be prepared during the project preparation.
(iv) Workshop for maintenance of new trainsets at Makadara.
(v) Improvement and development of selected stations in Nairobi Central – Ruiru line (approx. 7 stations) including bus interchange facilities.
(vi) Provision of improved feeder bus services connecting to commuter rail stations between Nairobi Central Station and Ruiru.
(vii) Development and implementation of ERP enterprise architecture for commuter rail operation, including communications, asset management, integrated fare collection, integration of commuter rail service and feeder services, and customer support including training.
(viii) Support to KRC to implement an Automated Fare Collection System in accordance with national standards set by the Ministry of Transport and Communications.
(ix) Strengthening of a commuter rail unit within KRC, including for procurement, social safeguards, environmental safeguards and engineering (review of technical specifications/bids, supervision of works).
(x) Capacity building and implementation support on station re-development, structuring of PPPs, TOD, and Land Value capture.
(xi) Support to the Kenya Railway Training Institute to develop standards and update the curriculum.

Subcomponent 1.2 Green Mobility Solution (US$20m)

(i) Implementation and institutionalization of an e-mobility policy, focusing on the immediate areas and actions related to public transport system/urban transport to support low carbon development. The e-mobility policy is currently under preparation and potential activities under this project include framework development (permit, clearances, specifications, payment methods), and implementation of charging facilities at major public spaces (starting with parking at commuter rail stations).
(ii) Enhancement of emission monitoring and inspection system at vehicle inspection centres.
(iii) Carbon financing in transport sector

Subcomponent 1.3 Traffic Management Improvement and Institutional Strengthening for Nairobi (US$30 m)

(i) Support the implementation of the Nairobi ITS master plan, focusing on the junctions where direct linkages to the commuter rail stations are considered
(ii) Development of a city-wide parking strategy for Nairobi and implementation of a targeted paid on-street and off-street parking program.
(iii) Institutional strengthening in Traffic Management

Component 2. **Transit-oriented Development along Commuter Rail (US$ 75m)**

This component will promote the application of Transit-oriented Development (TOD) strategies around the selected commuter rail stations:

(i) Preparation/finalization of TOD-centered land use plans with DRM lens, for 14 commuter railway station areas (catchment area of 3km) along line 2 between Nairobi Central Station and Ruiru. (KRC to take the lead and coordinate with relevant institutions)

(ii) Support the implementation of selected TOD plans (approx. 6 stations) surrounding commuter rail stations, including, amongst others, improving accessibility to commuter rail stations with walking and cycling infrastructure following universal and violence prevention environmental design principles. This includes improving pavement, drainage, and lighting along the access road to the selected stations. Other urban infrastructure investments. (Nairobi and Kiambu counties to take the lead and coordinate with relevant institutions)

(iii) Develop a strategy to leverage KRC's vacant land in selected areas with technical assistance associated with integrating transit-oriented development concepts into urban planning and leveraging Land Value Capture (LVC) tools to boost own source revenues of selected urban areas.

Component 3. Institutional Strengthening and Capacity Building in Urban Mobility for the Ministry of Roads and Transport and State Department of Housing and Urban Development (US$ 35m)

This component will support institutional strengthening in urban mobility, providing technical assistance on the following:

Subcomponent 3.1 State Department of Transport (SDoT)

- Development and implementation of the National Urban Transport Policy that mainstreams gender, safe, green, resilient, and inclusive transport, integrated transport, and land use
- Development of Integrated Urban Mobility Plan for Nairobi Metropolitan Area (NaMATA)
- Development of transport sector capacity enhancement program including training and research. Support the introduction of a degree in Transport (to be offered by a selected local University in Kenya)
- Technical Assistance in Public Transport Reform, including specifying the national standards, procuring the clearinghouse service with institutional setup, carrying out a performance review of para transit SACCOS, reviewing existing regulations governing public transport, pilot feeder service provision connecting with commuter rail services, communication strategy for inclusive transport
- Monitoring and Evaluation
- Institutional strengthening of secondary cities in urban mobility improvement
- Institutional strengthening for improvement of urban mobility (NTSA, CoG, SDoHUD)

Subcomponent 3.2 State Department of Roads (SDoR)

- Support for Project Management Office for project coordination (PMO office)
- Institutional strengthening for improvement of urban mobility (KURA)

1.3.2 Activities to be Financed under the Project Preparation Advance

The project preparation advance will be used to carry out Technical Assistance activities that include the following:

a) Consulting Services and Technical Assistance in the development of enterprises architecture for the Kenya Railways Corporation;
b) Procurement of air compressors for the diesel multiple units;
c) Development of environmental and social risks management instruments;
d) Feasibility study and detailed engineering design for improving the commuter railway services including signaling system;
e) Technical assistance, advisory services, and project management;
f) Development of draft National metropolitan development policy;
g) Development of a draft national urban transport policy;
h) Development of an integrated urban mobility plan for the Nairobi metropolitan area;
i) Feasibility studies and designs for integrated NMT network;
j) Development of National Standards and Institutional set up for fare collection;

2.0 REGULATORY CONTEXT

2.1 Policy, Legal, and Institutional Framework for Public Participation

The Republic of Kenya has the following policies and legislation that support citizen/stakeholder engagement which covers both the right to access information and participation in policy development and decision-making.

The Constitution 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 information and makes principles of international laws and treaties ratified by Kenya an integral part of the country's municipal law.[1] The Constitution in Article 232 further outlines transparency and timely provision to the public of accurate information as one of the values and principles of public service, going to bind all state agencies at both national and county government levels and state corporations to these values and principles.

Moreover, Article 69 outlines the obligations of the government concerning the environment, asserting that "The State shall ensure sustainable exploitation, utilization, management and conservation of the environment and natural resources and ensure the equitable sharing of the accruing benefits". Under its sixth chapter 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 calls for adherence to the same. The Constitution introduces changes in the public finance management framework in Kenya, outlining principles of public finance such as equity, openness, and accountability through public participation in financial matters.[2]

[1] Constitution of Kenya 2010, art 2

[2] Constitution of Kenya 2010, Chapter twelve, Article 201

Under the Social Pillar of Vision 2030, i.e., the Country's commitment to invest in the people of Kenya, Kenya'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" (emphasis in italics, added).[3] 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.

The Environmental, Management, and Coordination Act (1999, 2015) has mandatory requirements for public participation. This review guide seeks to enhance public participation in the project cycle management under the Environmental (Impact Assessment and Audit) Regulations (2003). The guide targets communities falling within the project areas to assist them in reviewing and commenting on Environmental Impact Assessment (EIA) reports. It gives step-by-step guidance and direction on how communities can actively participate in the EIA process through the provision of clear responses to public participation calls to ensure that their needs and aspirations are considered.

Several other national draft policies and legislation reinforce this general commitment toward the promotion of equity and social inclusion, stakeholder/public participation, and access to and information disclosure.[4] The draft legislation on access to information is a constitutional right that should be provided expeditiously and inexpensively, in a language and form most understood by the affected actors. It limits and defines instances of non-disclosure and places the burden of proof on exemption on the information holder be they public entities or private bodies. They seek to give effect to constitutional provisions for the enhancement of participatory governance aimed at responding to citizens' needs and strengthening and deepening democratic governance.[5]

2.2 World Bank Requirements

The World Bank's Environmental and Social Framework (ESF)'s Environmental and Social Standard (ESS) 10 "Stakeholder Engagement and Information Disclosure" recognizes 'the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice'. Specifically, the requirements set out by ESS10 are the following:

- Borrowers will engage with stakeholders throughout the project cycle, commencing such engagement as early as possible in the project development process and in a timeframe that enables meaningful consultations with stakeholders on project design. The nature, scope and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts. Borrowers will engage in meaningful consultations with all stakeholders.

[3] Kenya's Vision 2030 - http://www.vision2030.go.ke/

[4] Guidelines for Public Participation in Policy Formulation, Public Service Commission, Republic of Kenya, Oct. 2014, The Access to Information Bill, 2014, Public Finance and Management Bill 2015

[5] Constitution of Kenya, 2010, art. Articles 10 (2) (a) and 232 (1) (d) and Article 232 (2)

- Borrowers will provide stakeholders with timely, relevant, understandable, and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination, and intimidation. The process of stakeholder engagement will involve the following, as set out in further detail in this ESS: (i) stakeholder identification and analysis; (ii) planning how the engagement with stakeholders will take place; (iii) disclosure of information; (iv) consultation with stakeholders; (v) addressing and responding grievances; and (vi) reporting to stakeholders.
- The Borrower will maintain and disclose as part of the environmental and social assessment, a documented record of stakeholder engagement, including a description of the stakeholders consulted, a summary of the feedback received and a brief explanation of how the feedback was considered, or the reasons why it was not.
- A Stakeholder Engagement Plan (SEP) proportionate to the nature and scale of the project and its potential risks and impacts needs to be developed by the Borrower. It must be disclosed as early as possible, and before project appraisal, and the Borrower needs to seek the views of stakeholders on the SEP, including on the identification of stakeholders and the proposals for future engagement. If significant changes are made to the SEP, the Borrower must disclose the updated SEP. According to ESS10, the Borrower should also propose and implement a grievance mechanism to receive and facilitate the resolution of concerns and grievances of project-affected parties related to the environmental and social performance of the project in a timely manner.

2.3 Gap Analysis between National Legislation and World Bank Requirements

Table 1 below provides a brief analysis of the gaps and differences between the national legislation and World Bank requirements and details how these gaps will be addressed under the Project.

Table 1 : Gap Analysis between the National Legislation and World Bank

National legislation	World Bank	Project
The national legislation has no provision for the development of a specific stakeholder engagement plan for public consultations.	Consultations with stakeholders and public involvement are integral parts of the development and implementation of the SEP.	Kenya currently does not have clear national legislative provisions on citizen and stakeholder engagement for specific investment programs and projects. However, the Kenya Constitution, 2010 provides for public participation in matters affecting citizens, including infrastructure development by Government. In those cases, it relies on the relevant provisions of the WB requirements. The project will carry out a comprehensive consultative process with project stakeholders as required through public disclosure meetings, individual consultations, and public consultations.

National legislation	World Bank	Project
The national legislation has provisions that allow citizens to make complaints and grievances, but these provisions do not allow anonymity. Anonymous or submitted petitions without indicating the petitioner's postal or e-mail address are not examined.	The World Bank ESS10 allows the option of anonymous provision of grievances.	The project will apply the WB standard and allow anonymous submission of grievances and complaints.
The national legislation does not have special provisions to address the concerns of vulnerable groups during the consultation process.	The ESS10 specifically provides for the identification and engagement of vulnerable groups that might be affected by the project to ensure that these groups also benefit from the project activities.	The SEP will identify affected vulnerable persons and engagement mechanisms to ensure that their voice is heard, and the concerns are addressed to the extent possible by the project.
The national legislation does not have provisions to establish a Project specific Grievance Redress Mechanism (GRM).	According to ESS 10 and ESS 2, the Project-specific GRM should be established and be easily acceptable for all stakeholders at each stage of the Project, including specific GRM for project workers.	The Project specific GRM will be established for all stakeholders at each stage of the Project, including GRM for all project workers.[6]

3.0 SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT UNDER THE PROJECT

The project has been designed based on the outcome of several stakeholders' engagement processes with Government institutions and civil society organizations both at the national and county level.

The initial stakeholders' consultations related to the project started in 2019-2020 under the Analytical Work, Urban Transport Policy Dialogue (P172218). This work provided the road map for long-term engagement in the urban transport sector in Kenya's urban mobility for all. The main issues identified during these initial discussions included:

[6] Directly engaged people (MoRT staff, KRC staff and Beneficiary Agencies) and contracted workers (people employed or engaged through contractors/ subcontractors that will perform work for specific project activities).

(i) The movements of people in urban areas are getting more active and extended.

(ii) The country's growing motorization is contributing to serious traffic congestion in most urban centers.

(iii) Public transport services are often distributed unevenly across a region, and lower-income areas often lag behind with regard to the availability and quality of rail and bus services;

(iv) The ease with which an individual can access opportunities (for example, employment, health care, education, or other activities), given the spatial distribution of the city (land use), transportation infrastructure and services available (transportation supply), temporal constraints of individuals and activities, and individual characteristics of people;

(v) Availability of existing public transport services in Nairobi, Mombasa, Kisumu, Nakuru, and Eldoret are as follows:

- Nairobi – vehicles of various typologies (colloquially matatus), commuter rail, boda-bodas (two-wheeler), tuk-tuks (three-wheeler)
- Mombasa – matatus of various typologies, tuk-tuks, ferry services
- Kisumu – matatus, boda-bodas, tuk-tuks
- Nakuru – matatus, boda-bodas, tuk-tuks
- Eldoret – matatus, boda-bodas, tuk-tuks

(vi) Focus group discussions with public transport users in Nairobi also recorded that both male and female participants considered the existing unregulated fare structure of public transport as a key constraint when they travel. Currently, government institutions are not playing any role in fare setting and regulation, except for those governing railway transport services.

(vii) Acceptability: It is commonly understood that the quality of urban transport infrastructure and service is poor in Kenyan cities. With the exception of commuter rail services in Nairobi and ferry services in Mombasa, there are no formal or officially regulated public transit options available.

(viii) A survey with 400 public transport users in Nairobi to identify the barriers to using public transport found that more than 90 percent and 77 percent of women and men, respectively, reported barriers to using matatus. For women, sexual harassment is the most serious issue, and security and unregulated fares are the main barriers. While the scale is different, men also listed these three aspects as the barriers to use matatus. This survey also covered travelers' satisfaction on safety regarding public transport use and revealed that both men and women are not satisfied with current public transport in Nairobi. Women's satisfaction on all three factors of road safety, sexual harassment, and personal security was lower than men.

(ix) While walking is an important transport mode for many urban dwellers in Kenya, the walking environment in urban areas in Kenya is generally poor, due to a lack of sidewalks and/or their poor quality.

(x) Road safety is a serious concern in Kenya.

(xi) The transport sector represented 15 percent of national greenhouse gas emissions in 2015.

Further stakeholders' engagement was held during the recently completed mission where representatives of the Government of Kenya (GoK) met from July 12, 2022, to July 21, 2022, and August 29 - September 2, 2022, with the World Bank team to jointly discuss the proposed design of the Kenya Urban Mobility Improvement Project. This was the initial project identification mission, meetings were held with the Ministry of Transport, Infrastructure, Housing and Urban Development (MoTIHUD), Kenya Railways (KRC), Kenya Urban Roads Authority (KURA), Nairobi Metropolitan Area Transport Authority (NaMATA), National Transport Safety Authority (NTSA), Kenya National Highways Authority (KeNHA), Information Communication and Technology Authority (ICTA), Council of Governors (CoG), County governments of Nairobi, Kiambu, Kajiado, Machakos, Murang'a, Mombasa, Kisumu, Nakuru, and Uasin Gishu.

The main areas of discussion included the following:

(i) The need for long-term engagement to improve urban mobility in the country and improving urban mobility is among the top priorities of GoK and the strong commitment by GoK to prepare the proposed Kenya Urban Mobility Improvement project.

(ii) Consistent with the GoK guidelines for preparation of new project, a Cabinet Memo and Concept Note for this project has been prepared and approved by the National Development Implementation Technical Committee Sub-committee (NDTIC) of the Cabinet, the Cabinet Secretary MoTIHUD & PW on May 24, 2022, signed by the Cabinet Secretary National Treasury and Planning (NT) on June 17, 2022, and signed by Attorney General on July 6, 2022. On July 14, 2022, MoTIHUD submitted the concept note to the Public Management Unit of National Treasury (NT) for formal approval. Upon approval by PMU, it is expected that NT will write to the World Bank requesting for financing of the proposed project.

(iii) During the discussions the following issues came out strongly: (a) the need policy reform in urban mobility and land use planning by clarifying and streamlining the institutional arrangements that promote integration; (b) institutional strengthening in urban mobility, including integration of land use and transport planning, (c) support the development of mass rapid transit systems starting with the revamping of Commuter Rail services and station area development in Nairobi Metropolitan Area; (d) provision of an elaborated Non-Motorized Transport system; (e) Modernization of *Matatu* and passenger Bus operations; and (f) improvement of traffic management**.**

(iv) National and County governments confirmed the urgent need for the development of a National Urban Transport Policy to guide National and County Governments on streamlining institutional arrangements for planning and managing urban mobility and land use. It is anticipated that the policy shall clarify matters pertaining to NMT facilities, the public transport system, and the integration of land use and transport planning at the national, regional, and county levels for the urban mobility.

(v) The preliminary scope identified will be fine-tuned during the preparation phase as additional information is obtained including from further technical discussions and studies. During the mission, it was agreed that the World Bank would organize meetings with each agency for further discussions.

(vi) The GoK expressed interest in requesting a project advance to accelerate project preparation. A follow-up meeting will be organized to discuss the activities with project advances and institutional arrangements to manage the project preparation facility.

4.0 STAKEHOLDER IDENTIFICATION AND ANALYSIS

4.1 Identification of Project Stakeholders for the Project PPA Activities

To ensure an effective stakeholder engagement process under the KUMIP PPA activities, the project has identify the stakeholders and seeks to understand their needs and expectations, and their priorities and objectives to the Project. Project stakeholders have been defined as individuals, formal or informal groups and organizations, and/or governmental entities whose interests or rights will be affected, directly or indirectly by Project, both positively and negatively, who may have an interest, and who have the potential to influence the Project outcomes in any way.

By the ESS10, this SEP categorizes the stakeholders into three groups to ensure a more efficient and effective stakeholder engagement:

- Affected parties - stakeholders that are affected or may be affected by the project.
- Other interested parties - other parties who may have an interest in the project.
- Vulnerable/ disadvantaged groups - individuals or groups who may require special engagement efforts due to their vulnerable status.

4.1.1 Project Affected Parties

The KUMI Project Preparation Activities (PPA) will involve project-affected parties who will be engaged in the technical assistance activities. Stakeholders who are likely to be directly affected, are but not limited to:

- Passengers using the public transport systems
- Public transport and road users in the metro regions under the project
- Persons to be consulted during the feasibility and detailed design studies and related environmental and social studies
- Person to be affected by any resettlement planning
- Private sector parties in the public transport business
- Utility companies (water, sewer, power, telecommunication, fiber optic, pipeline)
- Tuk tuk owners
- Boda boda owners
- Bicycle users
- Drivers
- Matatu and bus drivers and their conductors
- Operators of train services and stations
- Squatters on the right of way
- Waste pickers temporarily operating on the rail reserve

4.1.2 Other Interested Parties

These constitute individuals/groups/entities who may be interested in the project because of its location, its proximity, or the parties involved in the project. Other interested parties (OIP) may be affected by the project and have the potential to influence project outcomes. They may not

experience direct impacts from the Project, but they may 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. Such stakeholders include:

- Ministries and Government Agencies: Ministry of Road and Transport (MoRT), Kenya Railways (KRC), Ministry of land Public Works Housing and Urban Development (MoLPWHUD), Kenya Urban Roads Authority (KURA), Kenya National Highway Authority (KeNHA), Nairobi Metropolitan Area Transport Authority (NaMATA), National Transport Safety Authority (NTSA), Ministry of Public Service, Gender, Senior Citizens Affairs and Special Programmes (MPSGSCASP), Ministry of Gender, National Gender and Equality Commission (NGEC), National Treasury (NT)
- Kenya Roads Board
- Beneficiary agencies - Information Communication and Technology Authority (ICTA) Council of Governors (CoG)
- other development partners like the European Union (EU), French Agency, Japan International Cooperation Agency (JICA)
- County Governments of Nairobi, Kiambu, Kajiado, Machakos, Murang'a, Mombasa, Kisumu, Nakuru, Uasin Gishu
- 47 counties related to the development of national policies in the transport sector to be financed under the project.
- Local and international nongovernmental organizations
- Civil society organizations
- Consultancy firms
- Matatu owners' associations
- Bus owners' associations
- Matatu Associations or Matatu Savings and Credit Cooperatives (SACCOs.)
- Boda boda Associations.
- Motorcycle Assemblers Association.
- Tuk-tuks owners and their associations.
- Kenya Ferry Services.
- Traffic police.
- County Transport Safety Committees
- National and County Government administration: County Commissioners, Deputy County Commissioners, Chiefs, Assistant Chiefs, Nyumba Kumi, Sub-County Administrators, Ward/Village Administrators, Members of County Assembly

4.1.3 Vulnerable/Marginalized Individuals or Groups (VMGs)

These are persons who may be disproportionately impacted or further disadvantaged by the Project as compared with other groups due to their vulnerable status, and that may require special engagement efforts to ensure their representation in the consultation and decision-making process associated with the Project. The Project will take an effort to ensure that the vulnerable and disadvantaged groups are aware of the proposed project activities and can submit their propositions/suggestions. Disadvantaged/vulnerable individuals and groups are also those who may

not have a voice to express their concerns or understand the impacts of the Project and are sometimes excluded from SEP. The vulnerable groups will include:

- Urban poor living in the informal sector in the Nairobi Metropolitan areas.
- Street families and children.
- Female and child-headed households.
- People living with chronic diseases.
- Persons with disability.
- Youth engaged in public transport.
- Squatters living on the right of way.
- Elderly.
- Unemployed people.
- Women and children.
- People who are not literate and/or speak only local languages.

The list of other vulnerable categories will be specified in the processes of project implementation. The Project will introduce specific measures to support the most vulnerable households to connect to the project. Eligible households will be identified through the existing social assistance system. The project will be intentional in reaching out to vulnerable and disadvantaged groups and in all stages of project preparation activities, implementation as well as monitoring and evaluation.

5.0 STAKEHOLDER ENGAGEMENT PROGRAM

The Stakeholder Engagement Program for KUMIP PPA activities outlines the plan to communicate with stakeholders who have an interest or potential interest in a project. It helps engage all the stakeholders in the project and, by doing so, helps the project become sustainable and inclusive. The SEP will also support the engagement of vulnerable groups that are facing hurdles to taking part in the engagement directly for social, economic, or political reasons. It is important to keep in mind that SEP implementation is a dynamic process and some stakeholders, and their interests might change over time or new stakeholders and information emerges, and hence the SEP will be updated accordingly.

5.1 Engagement Methods and Tools to be Used

The Project intends to utilize various methods of engagement that will be used as part of its continuous interaction with the stakeholders. For the engagement process to be effective and meaningful, a range of various techniques needs to be applied that are specifically tailored to the identified stakeholder groups. Methods used for consulting with statutory officials may be different from a format of liaising with the local communities (focus group discussions, displays, and visuals with a lesser emphasis on technical aspects).

The suggested methods would be used to communicate and consult with the stakeholders:

- Online Platform. A dedicated webpage/platform will be created for the project to enable users to find all the information about the project. The goal of the platform is to provide core

information about the project and to ensure accessible online feedback from project stakeholders and to support several stakeholder engagement activities. The platform will also be used to publish all ESF documents, including the SESA, ESMF, RPF, ESMPs, RAPs for specific sub-projects, and other relevant information related to project implementation. The platform will be used to support face-to-face consultations through digital feedback surveys at regular intervals and will provide a dedicated portal for the identified sub-projects to inform the population and engage them in providing feedback and support monitoring through the implementation cycle. All stakeholder consultation events will be advertised through this platform.

- Stakeholder consultations/virtual consultations. Consultations have been and will continue to be organized during the project design stage and project implementation. Stakeholder consultations will be organized for technical assistance activities, ESF framework documents, as well as specific sub-projects ESF documents. Moreover, public consultations will be held on an ongoing basis as part of the stakeholder engagement process during the project cycle.
- Workshops. The workshops with experts will be held to consult on the revision and development of new policies and normative documents. Also, several workshops with stakeholders will be carried out. The main topics of these workshops will include sharing findings of the technical assistance, raising stakeholder awareness on project benefits, establishing project implementation procedures, timing for project implementation, and GRM. Other topics relevant to these workshops will be identified during project implementation.
- In-depth interviews with relevant experts. Expert views and recommendations on various project issues and challenges are valuable and have been conducted as part of the social assessment. They will continue to be used as part of specific project activities.
- Leaflets/ informative notes. Leaflets with information that might present more interest for affected parties, such as the benefits of proposed investments, will be developed and distributed in the meetings/ stakeholder consultations.
- Letters. Letters will be an instrument used to facilitate the project implementation process through good collaboration between the implementing entities and other stakeholders.
- Reports: The reports will be used to monitor the Project implementation and to keep informed the main stakeholders of the Project.
- E-mails: To facilitate communication between implementing entities.
- Grievance Redress Mechanism (GRM): A GRM will be established in line with the World Bank's ESS-10 requirements. A dedicated grievance mechanism will be set up for the Project. The stakeholders will be able to raise grievances anonymously by phone, online, or using the project's digital platform.
- Grievance Log: Where grievances, including those delivered through the online platform, are registered (including grievances delivered by letter mail, or in writing) and maintained, followed up, and resolved through a database.

The format of every consultation activity should meet general requirements on accessibility, i.e., should be held at venues that are easily reachable and do not require long commutes, entrance fees, or preliminary access authorization, cultural appropriateness (i.e., with due respect to the local customs and norms), and inclusiveness, i.e., engaging all segments of the local society, including disabled persons, the elderly, minorities, and other vulnerable individuals, e.g., taking into view the

access needs of persons with disabilities. If necessary, logistical assistance should be provided to enable participants from remote areas, persons with limited physical abilities and those with insufficient financial or transportation means to attend public meetings scheduled by the project.

The project will take special measures to ensure that members of disadvantaged and vulnerable groups have equal opportunity to provide feedback on the mechanism during its preparation and during implementation to incorporate communities' views, voices, and needs. Since their vulnerable status may lead to people's diffidence and reluctance or physical incapacity to participate in large-scale community meetings, visiting such individuals/families at their homes or holding separate small group discussions with them at an easily accessible venue is a way for the project to reach out to the groups who, under standard circumstances, are likely to be insufficiently represented at community gatherings. Information dissemination will also consider communicating with persons with disabilities (e.g., ensuring there is sign language translation during meetings). The documents produced and shared will be translated into Kiswahili or local languages if necessary.

Key methods/tools to be used for ensuring effective stakeholder consultation and participation. The responsibility for execution will lie solely with the Kenya Railways Corporation and other project implementation agencies.

5.2 Stakeholder Engagement Plan

Stakeholder engagement is an inclusive process that must be conducted throughout the project cycle. Under the PPA the main activities that will be implemented will include the following:

Table 2 : Stakeholder's Coverage for the PPA Activities

	PPA Activity	**Consultations coverage**	**Agency responsible**
1.	Consulting Services and Technical Assistance in the development of enterprise architecture for the Kenya Railways Corporation.	Relevant government officials and staff within Kenya Railways and the Ministry of Roads and Transport	Kenya Railways
2.	Procurement of air compressors for the diesel multiple units.	Consultations with public procurement bodies and relevant government officials and the World Bank Task Team.	Kenya Railways
3.	Development of environmental and social risks management instruments. All the E&S instruments to be prepared, cleared by the Bank, and disclosed prior to project appraisal include: A. Kenya Railways 1) Environmental and Social Commitment Plan (ESCP) 2) Appraisal Stakeholder Engagement Plan (SEP) including Communication Plan 3) Labor Management Procedures (LMP)	 Relevant government officials and staff within Kenya Railways and the Ministry of Roads and Transport County government stakeholders' consultations.	Kenya Railways Ministry of Roads and Transport Ministry of Urban Development NAMATA

	4) Preparation of Environmental and Social Management Framework (ESMF) 5) Preparation of Social Assessment 6) Resettlement Policy Framework (RPF) and Land acquisition and resettlement legacy issues audit 7) Preparation of Environmental and Social Impact Assessments (ESIAs) for the Feasibility study and preliminary design of Commuter rail 8) Resettlement Action Plan for the Feasibility study and preliminary design of Commuter rail 9) Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) Assessment and Action Plan B. State Department for Housing and Urban Development (SDoHUD) 10) Strategic Environmental and Social Assessment for the Development of a Draft National Metropolitan Development Policy C. State Department for Transport (SDoT) 11) Strategic Environmental and Social Assessment for the development of the draft Urban Transport Policy 12) Communication Strategy for the Project 13) Preparation of Environmental and Social Impact Assessments for Feasibility Studies and Designs for an Integrated NMT Network 14) Development of national standard and institutional setup for the Fare Collection system D. NAMATA 15) Strategic Environmental and Social Assessment for the Development of an Integrated Urban Mobility Plan for the Nairobi Metropolitan Area	Consultations with local communities and project-affected persons. Consultations with other relevant government authorities and agencies. Consultations with the public transport sector in Kenya and within the Nairobi Metropolis Areas. Consultations with local communities, vulnerable groups, affected persons on the project designs and policies.	
4.	Feasibility study and detailed engineering design for improving the commuter railway services including the signaling system.	Relevant government agencies including roads. Internal consultations with the Ministry of Roads and Transport and KRC	Kenya Railways
5.	Technical assistance, advisory services, and project management.	KRC Ministry of Roads NAMATA	Implementing agencies
6.	Development of draft National metropolitan development policy.	Relevant government agencies. County government.	

7.	Development of a draft national urban transport policy.	National government agencies, relevant county government engagement, policy beneficiaries, women, and communities.	Ministry of Urban Development.
8.	Development of an integrated urban mobility plan for the Nairobi metropolitan area.	National government agencies, relevant county government engagement, policy beneficiaries, women, and communities.	NAMATA
9.	Feasibility studies and designs for integrated NMT network.	Relevant government officials and staff within Kenya Railways and the Ministry of Roads and Transport County government stakeholders' consultations. Consultations with local communities and project affected persons. Consultations with other relevant government authorities and agencies.	KURA KRC
10.	Development of National Standards and Institutional set up for fare collection.	Relevant government officials and staff within Kenya Railways and the Ministry of Roads and Transport County government stakeholders' consultations. Consultations with local communities and project affected persons. Consultations with other relevant government authorities and agencies.	

The table below presents key stakeholders' engagement activities to take place during the project preparation stage through to implementation and closure. Additional activities can be included following consultations with project beneficiaries, stakeholders, and contractors if these are deemed useful and necessary.

The project implementing agencies will strive to provide relevant information to stakeholders with enough advance notice (10-15 business days) so that the stakeholders have enough time to prepare to provide meaningful feedback. Project Implementing agencies will gather written and oral

comments, review them and report back to stakeholders on how those comments were incorporated, and if not, provide the rationale within 10-15 working days from the stakeholder consultation event. All consultation events will be widened in terms of outreach through the opportunity to use on-line feedback through the platform.

Table 3 : Stakeholder Engagement Plan

Level	Stakeholder Group	Language Needs	Preferred notification means (email, radio, phone letter)	Specific needs (accessibility, large print, child care, daytime, meetings. etc.)	Position with regards to the project (support, neutral, opposition)	Level of influence (High, Medium, Low)	Appropriate Engagement Approach	Frequency
National	Ministries and Agencies Ministries and Government Agencies: MoRT, KRC, MoLPWHUD, KURA, KeNHA, NaMATA, NTSA), Ministry of Public Service, Gender, Senior Citizens Affairs and Special Programmes (MPSGSCASP), Ministry of Gender, National Gender and Equality Commission (NGEC), National Treasury (NT) • Kenya Roads Board • Beneficiary agencies - Information Communication and Technology Authority (ICTA) Council of Governors (CoG)	English	Letters Information materials Media Email	N/A	Support	High	Online Platform. Stakeholder consultations/virtual consultations, Workshops, In-depth interviews with relevant experts, Letters, Reports, Emails.	Two consultation meetings and one feedback meeting
	Civil society organization, non-governmental	English	Letters	N/A	Support	High	Online Platform. Stakeholder	Two consultation meetings and one feedback meeting

Level	Stakeholder Group	Language Needs	Preferred notification means (email, radio, phone letter)	Specific needs (accessibility, large print, child care, daytime, meetings. etc.)	Position with regards to the project (support, neutral, opposition)	Level of influence (High, Medium, Low)	Appropriate Engagement Approach	Frequency
	organization, private sector, consultants, service providers (Matatu/Bus owners' associations, Matatu Associations/SACCOs, Boda boda Associations, Motorcycle Assemblers Association, Tuk-tuks owners/associations)		Information materials Media Email				consultations/virtual consultations, Workshops, In-depth interviews with relevant experts, Letters, Reports, Emails.	
	Other development partners (EU, French Agency, JICA)	English	Letters Information materials Media Email	N/A	Support	High	Online Platform, Stakeholder consultations/virtual consultations, Workshops, Letters, Reports, Emails.	Two consultation meetings and one feedback meeting
County Level	National and County Government administration in respective Counties (Governors, Deputy governors, CEC, county commissioners, devolved national government offices, MCAs), Traffic police, county Nairobi, Kiambu, Kajiado, Machakos, Murang'a, Mombasa,	English Kiswahili	Letters Information materials Media Email	N/A	Support	High	Online Platform. Stakeholder consultations/virtual consultations, Workshops, In-depth interviews with relevant experts, Letters, Reports, Emails.	Two consultation meetings and one feedback meeting

Level	Stakeholder Group	Language Needs	Preferred notification means (email, radio, phone letter)	Specific needs (accessibility, large print, child care, daytime, meetings. etc.)	Position with regards to the project (support, neutral, opposition)	Level of influence (High, Medium, Low)	Appropriate Engagement Approach	Frequency
	Kisumu, Nakuru, Uasin Gishu.							
	Non-governmental organization, private sector and service providers, government authorities in roads and urban development, NMS, County Transport Safety Committees within the counties	English Kiswahili	Letters Information materials Media Email	N/A	Support	High	Online Platform. Stakeholder consultations/virtual consultations, Workshops, In-depth interviews with relevant experts, Letters, Reports, Emails.	Two consultation meetings and one feedback meeting
Community	Project affected parties (Public transport systems users, road users, public transport businesses, public transport workers, persons to be affected by any resettlement planning, private sector parties in the public transport business, utility companies, tuk tuk owners, boda boda owners, bicycles users, drivers, matatu and bus drivers and their conductors, operators of train services and	English Kiswahili	Community meetings, focus group discussions, social media, and use of pictorial materials, videos, etc. To address literacy barriers	Community meetings, emphasize consultation means that do not rely on physical accessibility, small group meetings addressing the needs of different groups (women, youth, PLWDs, vulnerable groups)	Support	High	Online Platform, Public consultations, Workshops, Leaflets/ informative notes, Letters, Reports, Emails, GRM, GRM logs, to among others, provide balanced and objective information (disclosure), obtain project feedback, and ensure their	Two consultation meetings and one feedback meeting

Level	Stakeholder Group	Language Needs	Preferred notification means (email, radio, phone letter)	Specific needs (accessibility, large print, child care, daytime, meetings. etc.)	Position with regards to the project (support, neutral, opposition)	Level of influence (High, Medium, Low)	Appropriate Engagement Approach	Frequency
	stations, squatters on the right of way, squatters/waste pickers on right of way or rail reserve)						needs & concerns are understood and considered.	
	Vulnerable/Marginalized individuals/Groups (Urban poor living is slum areas, street families & children, female & child headed households, PWDs, people living with chronic diseases, youth engaged in public transport, squatters living on the right of way, elderly, unemployed people, women & children, people who are not literate and/or speak only local languages)	English Kiswahili Local language Sign Language	Community meetings, focus group discussions, social media, and use of pictorial materials, videos, etc. To address literacy barriers	Community meetings, emphasize consultation means that do not rely on physical accessibility, small group meetings addressing the needs of different VMGs.	Support	High	Online Platform, Public consultations, Workshops, Leaflets/ informative notes, Letters, Reports, Emails, GRM, GRM logs, to among others, provide balanced and objective information (disclosure), obtain project feedback, and ensure their needs & concerns are understood and considered.	Two consultation meetings and one feedback meeting
Media	Media	English Kiswahili	Information materials, emails, letters, meetings	N/A	Support	High	Online Platform. Stakeholder consultations/virtual consultations, Workshops,	Two consultation meetings and one feedback meeting

Level	Stakeholder Group	Language Needs	Preferred notification means (email, radio, phone letter)	Specific needs (accessibility, large print, child care, daytime, meetings. etc.)	Position with regards to the project (support, neutral, opposition)	Level of influence (High, Medium, Low)	Appropriate Engagement Approach	Frequency
							In-depth interviews with relevant experts, Letters, Reports, Emails.	

5.4 Information to be Disclosed

KRC and all implementing agencies will disclose project information to allow stakeholders to understand the risks and impacts of the project, and potential opportunities. KRC will provide stakeholders with access to the following information, as early as possible before the Association proceeds to Project appraisal, and in a timeframe that enables meaningful consultations with stakeholders on Project design:

(i) The purpose, nature, and scale of the Project.
(ii) The duration of proposed Project activities.
(iii) Potential risks and impacts of the Project on local communities, and the proposals for mitigating these, highlighting potential risks and impacts that might disproportionately affect VMGs and describing the differentiated measures taken to avoid and minimize these;
(iv) The proposed stakeholder engagement process highlighting the ways in which stakeholders can participate;
(v) The time and venue of any proposed public consultation meetings, and the process by which meetings will be notified, summarized, and reported; and
(vi) The process and means by which grievances can be raised and will be addressed.

5.5 Dedicated consultations with Vulnerable/Marginalized Individuals or Groups (VMGs)

WBG ESS7 characterizes VMGs (or *Indigenous Peoples/Sub-Saharan African Historically Underserved, Traditional Local Communities,* or any specific local qualification) as exclusively distinct social and cultural groups possessing identifiable characteristics in varying degrees such as self-identification of members, collective attachment to geographical distinct habitats, a culture that is distinct or separate from that of mainstream society, and a distinct language.

The project will carry out screening during the implementation of the TA activities. The project will be targeting VMGs, who will be consulted during implementation. The project will continue to consider the inclusion of/engagement of traditional governance institutions - Council of elders, Indigenous Peoples Organisations (IPOs) network in counties on issues of grievance redress. Meaningful consultations have been held and will continue to be held with the VMGs as guided by ESS 7.

6 GRIEVANCE REDRESS MECHANISM

Under the World Bank ESSs, Bank-supported projects are required to facilitate mechanisms that address concerns and grievances that arise in connection with a project. The objective of ESS 10 (Stakeholder Engagement and Information Disclosure) is to provide project-affected parties with accessible and inclusive means to raise issues and grievances and allow borrowers to respond and manage such grievances. This project grievance mechanism should facilitate the project to respond to concerns and grievances of the project-affected parties related to the environmental and social performance of the project. The grievance committee will provide mechanisms to receive and facilitate resolutions to such concerns.

6.1 Objective of the GR Mechanism

The main objective of a Grievance Redress Mechanism (GRM) is to assist in resolving issues, concerns, complaints, and grievances in a timely, effective, and efficient manner that satisfies all parties involved. Specifically, it provides a transparent and credible process for fair, effective, and lasting outcomes. It also builds trust and cooperation as an integral component of broader community consultation that facilitates corrective actions. Specifically, the GRM:

- provides project beneficiaries and interested parties/people with avenues for making a complaint or resolving any dispute that may arise during the implementation of projects.
- ensures that appropriate and mutually acceptable redress actions are identified and implemented to the satisfaction of complainants; and
- avoids the need to resort to judicial proceedings.

The grievance mechanism for project workers required under ESS2 will be provided separately.

6.2 Principles for the project GRM

This mechanism will follow the following principles:

- Grievances will be treated confidentially, assessed impartially, and handled transparently.
- The submitting and readdressing of the grievances will be free of charge for complainants.
- KRC will ensure that all project-affected parties will have equal opportunity to submit their grievance in accessible way. The Project beneficiaries may use a range of contact options (telephone number, e-mail address, and postal address, local administration, local extension officers, etc.).
- The GRM is accessible to all stakeholders under the project.
- The channels for filling in grievance forms will be disclosed on official sources.
- KRC will provide an opportunity to submit a grievance anonymously.
- Affected persons may raise a complaint at any time of project-related activity.
- The GRM is designed to be responsive to the needs of all complainants, including anonymous ones.
- All grievances, simple or complex, will be addressed and resolved as quickly as possible. The action taken on the grievance will be swift, decisive, and constructive.

- In cases where the aggrieved individuals or group is not satisfied with the outcome of the amicable mechanism, they will always be able to file to the court at any stage in the resolution process.
- All grievances will be registered and documented, and each grievance resolution process and communication will be systematically tracked.

KRC will ensure equal and nondiscriminatory access to grievance mechanisms, but special attention will be given to the most vulnerable groups: vulnerable and marginalized groups (VMGs), people less informed, with limited legal knowledge, the poorest community members, with limited or no access to the internet; the marginalized communities that have the least access to education and the infrastructure required for proper understanding of how to file complaints through conventional channels.

The project team will be working together with county governments and community leaders to provide access for complaints and ensure that the VMGs and most vulnerable group's views are considered. Since VMGs are the beneficiary communities that project GRM will focus on them and ensure that it is accessible to them, including the VMGs beneficiary groups that are located in areas that are remote and inaccessible.

The main findings during consultations with the public and the project team will ensure that all proposals, including those from VMGs, disadvantaged groups are analyzed and if the suggestions, and requirements are reasonable will be included in the project design. The representatives of the VMGs, VMGs representative groups, vulnerable groups, civil society organizations, community leaders will be included in the communication channels for ensuring the dissemination of information to diverse communities about project preparation activities, project grievance mechanism and reporting channels and about planned public consultations.

6.3 Awareness Building

The GRM will cover and include vulnerable groups and indigenous groups. Community consultations on the project using local language will provide information on the GRM accessibility and process to the local communities, pastoralist groups, livestock production groups who are vulnerable and marginalized groups. Information about the GRM will also be available at the local chief's office, assistant chief's office, online platform and will be included in the communications conducted with the project stakeholders through the communications methods and tools that are part of this stakeholder engagement plan and communications plan under the project, including emails, website, workshops, meetings, focus groups discussions, etc.

6.4 Procedure for Grievances

The Social Safeguard Specialist will serve as the Grievance Focal Point who will register the submitted grievances in the Grievance Log (database) and review the grievance within 15 (fifteen) calendar days, including the information verification, cross-checking, and analysis, and follow-up with the applicant as needed. As necessary, the Grievance Focal Point will involve the other relevant units' specialists in this activity.

6.4.1 Assess and Clarify

Through radio, mobile phones, community meetings, email and websites, information about the Project and its sub-component activities will be publicly disclosed. The type of information disclosed includes details about the Project structure, activities, budgets, consultation, and information disclosure plans (SEP), the Environmental and Social Commitment Plan (ESCP), the Environmental and Social Management Framework (ESMF). Based on the information made available, aggrieved parties can decide whether they have a case to report or whether the available information clarifies their concern. This will allow the aggrieved party to decide on the appropriate next step to report a grievance, comment, or provide feedback to the Project. The provision of multiple grievance channels allows an aggrieved party to select the most efficient institution, accessibility, circumvent partial stakeholders, and creates the ability to bypass channels that are not responsive.

6.4.2 Intake, Acknowledge, and Follow-Up

Channels to Make Complaints: aggrieved persons will have the option of registering grievances in person, further, due to COVID-19, the project must provide ways whereby grievances would be received to accommodate for related risks. The suggestions/complaints can be submitted by e-mail, website, online platform, telephone, mail, grievance box on the site, etc. The template for grievances will be provided. To make grievance mechanisms accessible to all stakeholders, it is helpful to make the procedures to submit grievances simple and easy to understand and provide an opportunity to submit a grievance anonymously. The channels for filing complaints will be listed and communicated to the public during the consultations. KRC intends to establish the following channels through which Project stakeholders make complaints/suggestions/compliments regarding KUMI's activities:

a) In writing:
    - by email: info@krc.co.ke or contact@krc.co.ke
    - letters: The Managing Director, Kenya Railways Corporation P O Box 30121-00100 Nairobi
b) Oral/verbal (which will be recorded in writing by the receiver):
    - by phone 0709-907000, 0728-603581/2
    - verbal complaints addressed to Kenya Railways Corporation, location: Workshops Road off Haile Selassie Avenue, Opposite Technical University of Kenya.
c) Both audio and written forms on the online Platform.

For gender-based violence (GBV) related complaints, there are risks of stigmatization, rejection, and reprisals against survivors. The GRM therefore have alternative channels through which complaints can be registered in a safe and confidential manner. All the responsible personnel for the GRM have to fill the Grievance/inquiry template record (Annex 3) for the GRM Log.

The grievance will be logged, as it is important that all complaints, including the anonymous ones, to be recorded in writing and stored in a database. Complaints received should be assigned a number that will help the assigned specialist to track progress via the database. The database should at least contain relevant information on the date of submission, type of issue, responsible party, deadline for

problem solving and feedback (positive or negative). The grievance log will be submitted to the Association on a semi-annual basis for review.

6.4.3 Verify, Investigate and Act

The project implementation unit (PIU) will investigate the claim within 5 working days and share findings with relevant stakeholders. Where an incident was reported, the PIU will, in addition, follow the incident management protocol. Where a negotiated grievance solution is required, the PIU will invite the aggrieved party (or a representative) and decide on a solution, which is acceptable to both parties and allows for the case to be closed – based on the agreement of both parties.

After deciding a case, the PIU must provide an appeals mechanism to the aggrieved party.

6.4.4 Grievance Redress Committee

The Grievance Redress Committee (GRC) will provide an important avenue for escalation of a grievance. This is important in cases in where the aggrieved party is dissatisfied with the solution provided by the PIU. In these instances, this will be forwarded to the appeals mechanism. The appeal should be sent to the grievance committee directly (a phone number will be provided). The grievance committee will be chaired by the Deputy County Commissioner and will be constituted of the representation from ten members from the project management team, two KRC representatives, local community members, a local chief, representative from the Kenya Human Right Commission, Social Development officers. Where aggrieved parties are dissatisfied with the response of the project management team, they can report cases the Ministry of Transport, Project Management Office.

All aggrieved persons have right to have their grievances or complaints submitted or resolved in a court of law as provided for in the Kenyan Law.

6.4.5 Monitor, Evaluate and Feedback

The project management team will provide first feedback on the case to the aggrieved party within one week if the case was not filed anonymously. Further feedback and action will depend on the nature of the case, and whether cases are decided upon within the respective project management team. Most importantly, all cases filed need to be logged and monitored by the project management team. The project management team will analyze all complaints and feedback on a quarterly basis and share a synthesis report of the analysis with the World Bank during the implementation missions.

6.5 Roles and Responsibilities for GRM

The project management team will be responsible for the Grievance Redress Mechanism. The responsibilities for the management of the GRM system include the following and may be updated from time to time in consultation with KRC and the World Bank task teams.

- Overall management of the GRM system
- Developing and maintaining awareness-building
- Collection of complaints

- Recording complaints
- Notification to the complainant on the receipt and timeline to review a complaint
- Sorting/categorization of complaints
- Thorough review of the issues, including the causal link between project activities and alleged damage/harm/nuisance
- Decision-making based on such examination
- Processing appeals or continuous communication with complainants with the purpose to resolve issues amicably
- Publishing responses to complaints, unless otherwise is requested by complainants due to privacy or other concerned organizations and implementation of information materials and awareness campaigns
- Reporting and feedback on GRM results.

6.6 Monitoring and Reporting on GRM Implementation

Policies, procedures, and regular updates on the GRM system will be made available for all stakeholders. KRC will regularly track and monitor the status of complaints to ensure that all grievances are resolved within the established timeframe. KRC will also provide and publish reports available to the World Bank team, and all stakeholders that would contain the following information:

- Status of establishment of the GRM (procedures, staffing, awareness building, etc.).
- Quantitative data on the number of complaints received, the number that were relevant, and the number resolved.
- Qualitative data on the type of complaints and answers provided issues that are unresolved.
- Time taken to resolve complaints.
- Any issues faced with the procedures/staffing or use.
- Factors that may be affecting the use of the GRM/beneficiary feedback system.
- Any corrective measures suggested/adopted.

The KRC will compile a report summarizing SEP results on annual basis. This report will provide a summary of all public consultation issues, grievances, and resolutions. The report will provide a summary of relevant public consultations' findings from informal meetings held at the community level. This report will be available on-line for the general population. Stakeholders should be reminded once again that the grievance mechanism is available and important. The SEP will be revised and updated, supplemented as needed with project-specific arrangements and will be publicly disclosed.

6.7 WB's Grievance Redress Service (GRS)

Communities and individuals who believe that they are adversely affected by a World Bank supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed to address project-related concerns. Project affected communities and individuals may submit their complaints to the WB's independent Inspection Panel which determines whether harm occurred or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be

submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit http://www.worldbank.org/en/projects-operations/products-and-services/grievanceredress-service. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

7. RESOURCES AND RESPONSIBILITIES FOR IMPLEMENTING STAKEHOLDER ENGAGEMENT ACTIVITIES

7.1 Resources

Both human and financial resources are required for the successful implementation of the SEP for the Project Preparation activities and as well as the Project implementation. The project management team will hire the services of a Stakeholders Engagement Officer and deploy competent and qualified Environmental Safeguard Specialist and Social Safeguards Specialist who will be responsible for ensuring effective implementation of the SEP and will report to the Project Coordinator who will share said the report with the Association. The budget for the implementation of the SEP will be financed by resources from the Project Preparation under the amounts allocated for operations and workshops. Where possible, the Project will have a dedicated budget for engagement and communications activities to ensure the implementation of this SEP and activities envisaged.

Below is an itemized cost estimates for the implementation of the SEP during the PPA phase. Costs for SEP during the project implementation phase shall be done with consultation of the Association.

Table 4: Project Estimated Costs for PPA SEP Activities (USD)

Item	Quantity	Unit cost	Total cost (USD)	Remarks
Hire a communication officer for the project	12	4,000	48,000	Plan and manage all preparatory activities stakeholder engagements.
Stakeholders' engagement related to Technical Assistance activities.	8 TA activities	100,000	800,000	The total cost will be clearly defined once all the TA activities are determined.
Periodic stakeholder consultations by KRC and beneficiary agencies on the project design and activities	10	20,000	200,000	On average twice a quarter during PPA
Project information (preparation of brochures, webinars/video and GRM PR-materials)			100,000	Lump sum paid once during PPA period
Documentation/sessions (Video recording: cost of contracting videographer to deliver DVD of event) (Photography : cost of contracting photographer to deliver DVD of event's pictures) Podstar (cost of contracting editor to produce DVD for uploading it on website)	7	1,000	7,000	During PPA phase
Technical support (WEBEX, Zoom) for conducting of online public, consultations, meetings with communities, interested parties			100,000	For PPA duration
Information materials development and dissemination (brochures, leaflets, posters, other items)			200,000	For PPA phase
Project related other costs (equipment, stationery, internet, motor vehicle etc)			300,000	Various during the PPA period
Total			**1,348,000**	

7.2 Management Functions and Responsibilities

To ensure that the SEP is effective, the PPA implementing agencies will maintain qualified personnel who will be responsible for the day-to-day implementation of the project preparation activities, including implementation project preparation activities reflected in this SEP. As an activity under the project preparation, the PPA implementing agencies will deploy a qualified Environmental and Social Specialists to oversee the implementation of the SEP. The environmental, social and communication teams will be responsible for management and implementation of the communication strategy and plan for the project. They will also lead in the training and capacity building of project officers on this SEP, communication plan and strategy for the project.

7.3 Timelines

The stakeholder engagement plan will be implemented throughout the project PPA project preparation phase.

7.4 Involvement of Stakeholders in Monitoring Activities

The project management team will monitor the SEP in accordance with the requirements of the Legal Agreement and the Environmental and Social Commitment Plan (ESCP) including changes resulting from the design of the project or project circumstances during the PPA phase as well as the project implementation. The extent and mode of stakeholder monitoring with respect to environmental and social performance would be proportionate to the potential environmental and social performance risks and impacts of the project and their effect on the various stakeholder interests.

The following M&E actions will be undertaken regarding stakeholder interests in line with the environmental and social performance of the project, which will include:

- Conducting stakeholder engagement in a consultative manner, in accordance with the SEP and building upon the channels of communication and engagement as established with stakeholders
- Collection of feedback from stakeholders on the environment and social performance of the project, and on the implementation of the mitigation measures outlined in the ESCP on a bi-annual basis.
- Periodic reviews of compliance with requirements of the legal agreement, including the ESCP.
- Where appropriate, and as will be set out in the SEP, engaging stakeholders and third parties such as independent experts, local communities, or non-governmental organizations (NGOs), to complement or verify projects' stakeholder monitoring information.
- Where other agencies or third parties would be responsible for managing specific risks and impacts and implementing mitigation measures, the Government would collaborate with such agencies and third parties to establish and monitor such mitigation measures.

7.5 Reporting Back to Stakeholder Groups

All stakeholder engagement meetings will be recorded in minutes, which will be stored in the project stakeholder engagement database. This will be to ensure that; (i) there are records that can be referred to and that all views raised are taken into consideration, and (ii) commitments made are delivered upon. In addition, the outcomes of the stakeholder engagement activities with comments that have been considered will be reported in monitoring progress reports by all parties.

7.6 Feedback and Integration

KR will undertake a process of meaningful consultation in a manner that provides stakeholders with opportunities to express their views on project risks, impacts, and mitigation measures, and allow for the consideration and response to views. Meaningful consultation and feedback from stakeholders will be carried out on an ongoing basis during the project life cycle as the nature of issues, impacts, and opportunities evolve. This will include during the project preparation as well as implementation stages.

Meaningful consultation is a two-way process, that begins early in the project planning process to gather initial views on the project proposal and inform project design; encourages stakeholder feedback, particularly as a way of informing project design and engagement by stakeholders in the identification and mitigation of environmental and social risks and impacts; continues on an ongoing basis, as risks and impacts arise; is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful, and easily accessible information in a time frame that enables meaningful consultations with stakeholders in a culturally appropriate format, in relevant local language(s), and is understandable to stakeholders; considers and responds to feedback; supports active and inclusive engagement with project-affected parties; is free of external manipulation, interference, coercion, discrimination, and intimidation; and is documented and disclosed by the Borrower.

In pursuit of the above, a summary of the views with the main discussion points will be made available after every consultation activity in a timely manner (not more than 10-15 days after the consultation), unless participants request confidentiality. For public consultation meetings, workshops, and focus groups or experts' interviews, views will be recorded through detailed meeting minutes. Responses to online consultations will also be summarized. Consultation input will not be attributed to individuals, but rather capture the views. Summaries will be availed on a dedicated consultation platform. Providing feedback to consulted stakeholders on how their input was considered closes the feedback loop and is considered the main accountability measure of consultations. An overall summary of the input received from the consultations will be conveyed to the Association's decision-makers. Once decisions are made, the results of the consultation process and final impact will be publicly disseminated on the consultation platform and, as far as reasonably practicable, accessible to all who participated in the consultation process. Results include number, geographical location, and sectoral membership of all those who provided comments, the comments (both written responses and those received through other channels), the form and manner in which suggestions received have been taken into account (including changes in project design), and/or provide explanation for not adopting suggestions into the project design, as applicable.

KR will continue to conduct stakeholder engagement in accordance with the SEP, and will build upon the channels of communication and engagement already established with stakeholders. In particular, the KR will seek feedback from stakeholders on the environmental and social performance of the project, and the implementation of the mitigation measures in the ESCP. If

there are significant changes to the project that result in additional risks and impacts, particularly where these will impact project-affected parties, KR will provide information on such risks and impacts and consult with project-affected parties as to how these risks and impacts will be mitigated. KR will disclose an updated ESCP, setting out any additional mitigation measures.

The KRC Social Specialist will be responsible for receiving and recording any queries, concerns, or complaints against the project. Decisions made on comments will be collated and reported back to stakeholders once the final decision on the course of action related to the comments has been made. Records will also be maintained on the methods used to inform stakeholders on dates and/or locations where they can gather project information and provide feedback. In addition, stakeholders will be allowed to file complaints against the project through the Grievance Redress Mechanism detailed in Section 6 of the SEP. All records relating to this mechanism including, grievance forms, grievance log, notes, interviews, meeting minutes, among others will also be stored. The SEP commits to as much as possible and where feasible integrate the inputs of all stakeholders consulted in the TA assistance activities during PPA as well as during the project implementation.

7.7 Products of the PPA to be Consulted

The following proposed activities to be financed by the PPA will need to be consulted:

a) Consulting Services and Technical Assistance in the development of enterprises architecture for the Kenya Railways Corporation
b) Development of Environmental and Social Safeguards Instruments
c) Feasibility Study and Detailed Engineering Design for improving the Commuter Railway Services including Signaling System
d) Technical Assistance, Advisory Services and Project Management
e) Development of Draft National Metropolitan Development Policy
f) Development of a Draft National Urban Transport Policy
g) Development of an Integrated Urban Mobility Plan for the Nairobi Metropolitan Area
h) Feasibility Studies and Designs for Integrated NMT Network
i) Development of National Standards and Institutional set up for fare collection