

GOVERNMENT OF KENYA

NATIONAL YOUTH OPPORTUNITIES TOWARDS ADVANCEMENT (P179414)

GRIEVANCE MECHANISM

JUNE 2024

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DEFINITIONS OF TERMS

Complaint: is a general expression of dissatisfaction or annoyance with project related actions and it is not necessarily formal and can be resolved informally.

Grievance: is a formal complaint against a project made by stakeholders and is based on real or perceived feeling of discontent or dissatisfaction, arising out of anything connected with the project.

Complainant: A person who reports a complaint to the project grievance mechanism (GM) in accordance with established procedures.

Concern: is a matter of interest or importance to a stakeholder.

Compliment: is an action that expresses approval, admiration, or respect.

Feedback: is a response provided to a complainant regarding the status of resolution of reported grievance.

LIST OF ACRONYMS

COK Constitution of Kenya CSO Civil Society Organization CYD County Youth Director ESF Environmental and Social Standard FPs Focal Persons GBV Gender-Based Violence GM Grievance Mechanism GoK Government of Kenya GRS Grievance Redress Service ICT Information and Communication Technology IP/SSAHUTLC Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities Communities Communities IPF Investment Project Financing KYEOP Kenya Youth Employment and Opportunities Project M&E Monitoring and Evaluation MC Master Craftsmen MIS Management Information Systems MGC NorGovernmental Organization NGC National Gender and Equality Commission NGC National Industrial Training Authority NPCU National Nocial Security Fund NYOTA National Social Security Fund NYOTA National Security Fund	СВО	Community Based Organization				
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	YDO	Youth Development Officer				

1.0 Project Background

1. **The Project:** The Government of Kenya is preparing the National Youth Opportunities Towards Advancement (NYOTA) project in collaboration with the World Bank (WB) through the Ministry of Youth Affairs, Creative Economy and Sports (MOYACES), formerly the Ministry of Youth Affairs, the Arts and Sports (MYAAS), the Micro and Small Enterprise Authority (MSEA) and the National Social Security Fund (NSSF) constituting the three implementing agencies. The Project aims to increase employment, earnings and promote savings for targeted youth. NYOTA represents a national scale-up of several successful interventions implemented under Kenya Youth Employment and Opportunities Program (KYEOP).

2. **Project Development Objective:** NYOTA's development objective is to increase employment, earnings and promote savings for targeted youth. The project represents a national scale-up of several successful interventions implemented under KYEOP that improved employability, skills as well as growth of business through provision of start-up capital.

- 3. **Project Structure:** The project is structured into four components as presented below:
 - Component 1: Improving youth employability: This component will connect targeted youth to better employment opportunities by providing them with training, on the job experience, and access to intermediation services. It will address the supply side constraints related to low levels of educational attainment, lack of appropriate skills, lack of on-the-job experience, as well as lack of access to intermediation services. It will additionally support women by providing access to quality child-care providers. This component has two subcomponents comprising Subcomponent 1.1: Provision of training and work experience and Subcomponent 1.2: Operationalization of labor market observatory and supporting intermediation.
 - Component 2: Expanding employment opportunities. This component aims to expand employment opportunities through entrepreneurship development and support to social enterprises. Key constraints and market failures that limit the participation of vulnerable youth, aged 18 - 29, in productive entrepreneurship, as outlined in the context section will be addressed through this component. This component has two subcomponents comprising Subcomponent 2.1: Support for entrepreneurship and Subcomponent 2.2: Results Based Financing Partnership with Social Enterprises.
 - Component 3: Supporting youth savings. This component will provide savings opportunities to beneficiaries of components 1 and 2. Saving opportunities via the Haba Haba scheme, administered by the NSSF, will be provided to the 190,000 Kenyan youth beneficiaries of components 1 and 2. This component has two subcomponents comprising Subcomponent 3.1: Supporting savings through monetary incentives and nudges and Subcomponent 3.2: Enhancing NSSF operations by upgrading processes, systems, and communications.
 - Component 4: Strengthening Youth Employment Systems, Capacity, and Project Management. This component will strengthen the systems and capacity of national and county-level implementing agencies, and finance project management activities. With the aim to build sustainable systems that last beyond the lifetime of this project, this component will finance building government capacity, Monitoring and Evaluation (M&E) and overall project management. This component has three subcomponents comprising Subcomponent 4.1: Build County Government capacity to invest in youth employment, Subcomponent 4.2: Monitoring Evaluation, Delivery Systems, and Subcomponent 4.3: Project Management and Coordination.

4. **Beneficiaries:** The NYOTA Project is expected to impact 800,000 vulnerable youth aged 18 - 29 across all 47 counties of Kenya including 10,000 refugees and 10,000 vulnerable host community

members. The targeted youths are those with little or no education, who are unemployed, underemployed, or in low-tier employment with very low earnings. Such youth face exclusions and are often unable to access government sponsored jobs programs. The project will reserve 50 percent of slots for female beneficiaries and 5 percent for people with disabilities. Women face additional barriers to participate in the labor force, to access better quality employment, to earn what a man would earn in an identical job, and when they start-up and run their own businesses. People with disabilities (PWDs) also have additional barriers across the life cycle, such as accessing education and employment and continue to face negative attitudes and stigma. Given delays with acquiring education, the target age group for PWDs is expanded to 18 - 35. Officials from participating government implementing institutions will directly benefit from professional capacity building, technology upgradation, systems enhancement and monitoring and evaluation support.

Institutional and Implementation Arrangements: The MOYACES will be responsible for 5. the overall implementation and supervision of the project. In addition to coordinating the overall implementation of all the components, MOYACES will lead the implementation of component 1. Further, on Component 1, the State Department of Labor and Skills Development (SDL&SD), National Industrial Training Authority (NITA) and National Employment Authority (NEA) will implement those parts for which they have the mandate. Micro and Small Enterprises Authority (MSEA) will take the lead in implementing Component 2 and NSSF will take the lead in supporting Component 3. MOYACES and the State Department for Micro, Small and Medium Enterprise Development (SD-MSMED) will lead implementation of Component 4. MOYACES will work closely with Department of Refugee Services (DRS) and United Nations High Commissioner for Refugees (UNHCR) on all Window for Host Communities and Refugees (WHR) components implemented in the refugee hosting areas. Service providers will entail the master craftsmen, private sector organizations (KEPSA, KAM, FKE and KNCC), credit institutions, mentors and training institutions, and master craftsmen umbrella organizations, social enterprises as well as sub-national governments, who will have specific deliverables.

2.0 Rationale for Grievance Mechanism

6. Even with the best-designed human development projects, conflicts and disagreements can still occur and in some cases with the potential for rapid escalation. Grievance handling procedures are required to ensure that stakeholders are able to register complaints or concerns, without cost, retribution, and with the assurance of a timely and satisfactory resolution. Under the NYOTA project, some of the factors that may give rise to conflict include:

- Inadequate engagement of stakeholders/meaningful consultations in project decision-making processes;
- Implementation of project interventions in areas where Vulnerable and Marginalized Groups (VMGs) are present but without obtaining broad community support;
- Inequitable distribution of project benefits and opportunities amongst target beneficiaries;
- Broken promises and unmet expectations regarding project benefits;
- Failing to generate opportunities for employment, training, supply, or community development amongst target beneficiaries;
- Disruption of community dynamics.

7. Other contextual factors that have particular significance for VMGs and their relations with the project include the lack of respect (perceived or actual) for indigenous customary rights or culture, history, and spirituality and issues around access to grants, trainings, internships, apprenticeships and other project benefits and opportunities, and non-recognition of their sovereignty. These aspects are very important for many VMGs and can lead to disenchantment if they are not handled sensitively and with due respect for the rights of affected groups.

8. This Grievance Mechanism (GM) will be used to address complaints and grievances associated with interventions implemented under NYOTA. It outlines, the procedures for receiving, recording, handling, and reporting grievances. The GM has been developed under the leadership of NPCU with

inputs from all the key stakeholders including: i) project-implementing agencies (MOYACES, MSEA and NSSF); ii) representatives of VMG communities (such as Ogiek, Ndorobo, El Kunono, Sengwer) and iii) VMG organizations (the YAAKU indigenous Moms, Ogiek People Development Program (OPDP) and Hunters and Gathers Forum (HUGAFO) Kenya. More details are provided under Annex VII.

9. The GM is also informed by lessons gathered from implementing the Kenya Youth Employment and Opportunities Project (KYEOP) GM and best practices from other GMs under completed and ongoing World Bank financed projects. In this regard, the NPCU engaged 65 Youth Development Officers (YDO) from 28 out of 47 counties including 17 counties where KYEOP was implemented ¹ to discuss the performance of the KYEOP GM and help distil lessons to strengthen the NYOTA GM. Further, consultations to inform the NYOTA GM were also done with youths and key informants from host and refugee communities in Kakuma and Kalobeyei settlements in Turkana County, as well as in Nairobi County targeting urban youth refugees and other key stakeholders. More details are provided under Annex VI - IX.

3.0 Purposes of the NYOTA GM

10. GMs are specified procedures for methodically receiving, recording, and addressing complaints and resolving disputes. GMs have been used to identify and respond to unintended impacts on individuals/communities, to ensure that the rights of project-affected parties are respected, and to increase the likelihood that project implementation will proceed without undue delays, complications, and subsequent cost overruns.

11. Grievance mechanisms have proven to be an effective tool for early identification, assessment, and resolution of complaints, which may arise throughout the project cycle. Organizations must inculcate deeper understanding of the steps involved in grievance redress to enable improvement of project outcomes and support both project teams and beneficiaries to improve results. From a global practice, there is evidence that lack of a functional GM has occasioned the stalling of many development projects around the world due to misunderstandings and disputes. This has made the business case for a functional GM even stronger as the costs of ignoring such disputes or responding too late have proven to be too high for organizations to recover from. An effective GM has the ability to identify minor incidents affecting project beneficiaries before they escalate into unmanageable conflicts. The NYOTA's stance on grievances is to promptly resolve grievances from the point of generation and only escalate when it is practically not possible to resolve.

- 12. The NYOTA GM has been developed with the following objectives:
 - a. To ensure that grievances, complaints, and concerns are addressed and resolved in a fair, transparent, and timely manner in order to achieve the goals of restoring positive relationships with affected persons/communities.
 - b. To be responsive to the needs of beneficiaries and to address and resolve their grievances.
 - c. To serve as a conduit for soliciting inquiries, inviting suggestions, and increasing stakeholders/beneficiaries' participation.
 - d. To collect information that can be used to improve operational performance.
 - e. To promote transparency and accountability.
 - f. To deter fraud and corruption and mitigate project risks.
 - g. To facilitate timely feedback from stakeholders/beneficiaries in order to support the project's commitment to continuous improvement.

¹ Mombasa, Kilifi, Nairobi, Nakuru, Kiambu, Nyandarua, Mandera, Turkana, Wajir, Bungoma, Kakamega, Kwale, Kisumu, Kisii, Machakos, Kitui and Migori.

4.0 Legal Framework

13. Recognizing the importance of accountability and the need to ensure that concerns and complaints of project-affected people are addressed in a manner that is fair and objective, the World Bank under its Environmental and Social Framework (ESF) sets the requirement for all project financed under Investment Project Financing (IPF) to establish a GM. The GM specifically designed to receive and facilitate resolution of concerns and grievances of project-affected parties arising from project activities needs to be proportionate to the risks and impacts of the project (Para. 60, ESF).

14. Under the ESF, the GM requirements are explicitly stated under the following Environmental and Social Standards that are applicable to the NYOTA project:

- ESS10: The Borrower will propose and implement a grievance mechanism to receive and facilitate resolution of concerns and grievances of project-affected parties.
- ESS2: A grievance mechanism will be provided for all direct workers and contracted workers (and, where relevant, their organizations) to raise workplace concerns.
- ESS7: The Borrower will ensure that a GM is established for the project, as described in ESS10, which is culturally appropriate and accessible to affected Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (IPSSAHUTLC// (also known as VMGs in the Kenyan context).

15. IPF projects are also required to have a GM that applies to all aspects of the project including handling GBV-SEAH related complaints. The GM should be simple and easy to understand, transparent and culturally appropriate; scaled to risks and adverse impacts of the project; addresses concerns promptly; readily accessible to all segments of the affected communities at no cost and without retribution and does not impede access to judicial and administrative remedies. The NPCU will disclose the GM to all affected and other interested parties before commencement of project interventions.

16. Project-affected parties (PAPs) and other interested parties may submit complaints regarding a Bank-financed project to the project GM, appropriate local grievance mechanism, or the World Bank's corporate Grievance Redress Service (GRS). After bringing their concerns directly to the World Bank's attention and giving the Bank management a reasonable opportunity to respond, aggrieved parties may submit their complaint to the World Bank's independent Inspection Panel to request an inspection to determine whether harm has occurred as a direct result of World Bank non-compliance with its policies and procedures. (Para 61, ESF).

17. Similarly, Kenya has various legal and institutional frameworks at national and county levels that seek to proactively reduce the occurrence of grievances and also provide mechanism for resolving conflicts. These include:

- Chapter IV of the Constitution of Kenya (CoK) 2010 provides for the Bill of Rights as the framework for social, economic, and cultural policies. It considers the rights and fundamental freedoms to preserve the dignity of individuals and communities and promote social justice and the realization of the potential of all human beings.
- The County Government Act of 2012 mandates public participation and engagement in project identification and implementation that essentially has potential to reduce grievances arising from exclusion of vulnerable or disadvantaged groups.
- The Public Participation Policy 2023 provides the framework for the management and coordination of public participation in Kenya for the fulfilment of the constitutional requirement on citizen engagement in development and governance processes in the country.
- The Judiciary has integrated public participation by establishing Court Users' Committees and the National Council on the Administration of Justice.
- The Commission on Administrative Justice (the National Ombudsman) and the National Government Administrative Officers (NGAO) at the county level provide an avenue for resolving disputes.
- There are GMs within counties with varied levels of functionality that were established through other World Bank- financed Operations such as Kenya Urban Support Program (KUSP) I & II, Kenya Devolution Support Program (KDSP I), Financing Locally Led Climate Action

(FLLoCA), and Kenya Informal Settlements Improvement Project (KISIP 1&2). These have been applied to varying degrees of effectiveness in management of complaints and grievances at the county level.

5.0 Guiding Principles for GM

18. Effective GMs usually embody six core principles, and the NYOTA GM will ensure adherence to the following;

- a. **Fairness:** Grievances will be treated confidentially, assessed impartially, and handled transparently. The NYOTA GM will ensure fairness, especially in terms of access to information and provide for opportunities for meaningful participation in the final decision making on project interventions.
- b. **Objectiveness, legitimacy, and independence:** The GM will operate independent of all interested parties in order to guarantee fair, objective, and impartial treatment to each case. GM officials will be adequately resourced and granted the mandate to investigate grievances (e.g., interview witnesses, access records).
- c. **Simplicity and accessibility:** Procedures to file grievances and seek action are simple enough that project beneficiaries can easily understand them. Project beneficiaries have a range of contact options including, at a minimum, a telephone number (preferably toll-free), an e-mail address, and a postal address. The GM is accessible to all stakeholders, irrespective of the remoteness of the area they live in, the language they speak, and their level of education or income. The GM will provide sufficient assistance to those who face barriers such as language, literacy, awareness and will not use complex processes that create confusion or anxiety (such as only accepting grievances on official-looking standard forms or through grievance boxes in government offices).
- d. **Responsiveness and efficiency.** The GM is designed to be responsive to the needs of all complainants. Accordingly, officials handling grievances shall be trained to take effective action upon, and respond quickly to, grievances and suggestions.
- e. **Speed, proportionality, and predictability:** All grievances, simple or complex, shall be addressed and resolved as quickly as possible. The GM will define a clear procedure for grievance management with time frames for each tier and also provide clarity on the types of results it can (and cannot) deliver.
- f. **Participatory and social inclusion:** A wide range of PAPs including community members, members of vulnerable groups, project implementers, civil society, and the media shall be encouraged to bring grievances and complaints to the attention of project teams at both county and national level. Special attention will be made to ensure that vulnerable individuals and groups, including those with special needs, are able to access the GM.
- g. **Capability:** The GM will be adequately resourced with the necessary technical, human, and financial resources to deal with the issues at stake.
- h. **Anonymity/confidentiality/sensitivity:** The GM will allow for anonymous reporting of complains and will ensure confidentiality of all information in a complaint that may lead to the identification of a specific incident or those affected by the allegation. Confidentiality is key to protecting survivor's and witnesses' safety. This is specifically critical for SEA/SH survivors and witnesses, but also the identity of the alleged perpetrator. Confidentiality requires that information gathered about the allegation not to be shared with persons or entities unless there is explicit permission granted by the complainant. Even in such cases, information-sharing should take place on a strict need-to-know basis and limited to essential information. In such circumstances, reports of grievances to the Bank and NPCU shall only include an anonymized summary of allegations based on pre-established information sharing protocols.

6.0 Characteristics of a Good Complaint-Handling Mechanism

19. A good GM should meet the following parameters and the NPCU will strive to ensure that the project GM adopts these characteristics to make it more effective.

• Is known to PAPs and other interested parties.

- Has a systematic way of recording and monitoring the progress or resolution of issues.
- Is accessible to all PAPs and other interested parties irrespective of their economic status, literacy level, ethnicity, caste, religion, gender, disabilities, geographical location, and so forth.
- Includes participation, representation, and consultation of PAPs and other interested parties in its design, planning, and operational processes.
- Provides security (both physical and psychological) for PAPs and other interested parties to participate without fear of intimidation or retribution.
- Has respect for the dignity and self-esteem of PAPs and other interested parties and an empathetic relationship toward them.
- Provides equitable access for PAPs and other interested parties to information, advice, and expertise.
- Has different levels to allow for appeals.
- Has a reasonable timeframe that prevents grievances from dragging on unresolved.
- Evidences social and cultural appropriateness of the systems, approaches, and methods adopted.
- Possesses values, attitudes, and commitment to fairness and justice.
- Shows transparency, accountability, and objectivity in conducting grievance redress processes and realizing their outcomes.
- Is independent and has a clear governance structure with no external interference with the conduct of grievance redress processes and reaching agreements.
- Shows clarity in procedures, processes, and timeframes adopted.
- Has flexibility in decision-making processes, considering the unique and diverse character of grievances.
- Follows existing systems without undermining them.
- Is ran by professionally and technically competent GM implementers who have been able to win trust and recognition from the communities.
- Shows respect for the freedom of PAPs and other interested parties to opt for alternative GMs if they so decide.

7.0 Assessing the KYEOP Grievances Mechanism

The KYEOP used its Management Information System (MIS) to receive, process, resolve and report on project grievances. Within the MIS platform, the project had a specific tab/section that was designed for grievance management and as such, it was possible to log, resolve and have an overview of the status of grievance management in the project. While this approach worked to a certain extent, it also had its own set of challenges. As the NYOTA project targets to adopt and strengthen the MIS-based GM developed and implemented under KYEOP, it was necessary to assess the performance of the KYEOP GM so as to distill actions necessary for its improvement. For this purpose, the NYOTA project team engaged various stakeholders comprising Sub-County Youth Development Officers (SCYDOs), NPCU, Technical Teams and the World Bank to evaluate the KYEOP GM and recommend measures to enhance it. The stakeholders were engaged through a virtual workshop held on November 21, 2023 where a total of 71 participants constituting 47 males and 24 females took part. The participants were drawn from 28 out of 47 counties including 17 counties that implemented KYEOP.

The NPCU also engaged 108 youths from refugee and host communities in Kakuma and Kalobeyei in Turkana County and Urban youth refugees in Nairobi County, as well 16 representatives of VMG communities including Samburu, Waatha, Orma, Yaaku, Ogiek, Ndorobo, IlKunono and Sengwer, and representatives of VMG organizations such as the YAAKU indigenous Moms, Ogiek People Development Program (OPDP) and Hunters and Gatherers Forum (HUGAFO) Kenya, to understand the mechanisms available to identify, map, consult, and engage youths. The consultation also sought to establish if the VMGs had access to functional GMs with established procedures for addressing grievances, considering suggestions and, if such mechanisms are responsive to sensitive issues such as GBV related complaints.

The recommended actions for GM strengthening provided by the stakeholders have been considered in

the development of the NYOTA GM. They include, engaging a dedicated team responsible for recording, processing and resolving grievances; providing for confidential reporting and handling of SEAH cases and having clear timelines for resolving and escalating grievances within the tiers; setting -up a multi-institutional committee responsible for grievance management at sub-county and county levels; designating specific staff with responsibility of managing grievances with mandates to ensure close follow-up of all the reported grievances; reducing the turnaround time for escalated grievances to allow prompt feedback to the complainant, and strengthening the staff capacity in management of grievances and especially those related to SEAH. Detailed findings from the engagement are provided in Annex VII.

NYOTA will operate a three Tier GM structure at the sub-county, county and national levels with specific staff designated as GM Focal Persons (FPs) as detailed in the subsequent sections. The existing MIS will complement the GM.

7.2 Key Staff Coordinating Grievance Management under NYOTA

20. The NPCU's Environmental and Social (E&S) Specialist will be the main FP in charge of grievance management under the project, while the sub-county and county levels grievance focal persons responsible for receiving and handling grievances at the project level.

Environmental and Social Specialist at the NPCU

- 21. Specifically, the E&S Specialist will undertake the following activities.
 - Coordinate the formation of Grievance Management Committees at the national, county and sub county level before the commencement of project interventions.
 - Serve as the main GM FP under the project, liaise with, and assist to resolve all grievances in collaboration with sub-county and county level FPs, maintain overall project GM log detailing grievances, received, resolved, and closed out and monitor the performance of the GM through quarterly audits and recommend any corrective actions as appropriate.
 - Compile and prepare consolidated quarterly GM monitoring reports and submit to the World Bank.
 - Liaise with the project coordinator to ensure adequate resources are allocated for implementing the GM.
 - Facilitate GM trainings for NYOTA staff and stakeholders at the sub-county and county levels as well as information dissemination to beneficiaries in liaison with project sub-county/county teams.

County Director of Youth Development (CDYD)

22. The NPCU will nominate staff responsible for grievance management. Specifically, the CDYD will be designated as the grievance FP at the county level with the following responsibilities:

- Serve as the main FP for grievance management at the County level.
- Create awareness of the GM amongst all the stakeholders at the County level.
- Register, categorize, analyse, resolve grievances at the county level and provide feedback to the aggrieved.
- Maintain the GM log in both soft and hard copies.
- Follow-up on pending issues with the sub-county, county, and national level grievance management committees.
- Identify gaps and recommend actions for improving the GM to the NPCU.
- Prepare monthly/quarterly reports on all grievances received and processed and submit to the NPCU.
- Build the capacity of the project staff at county and sub county level on grievance management.
- Monitor performance of the project GM by taking periodic audits of all GM activities at the county level.

Sub-county Youth Development Officers (SCYDOs)

23. Similarly, the NPCU will nominate staff responsible for grievance management at the subcounty level. Specifically, the SCYDOs will be designated as the grievance FP at the sub-county level with the following responsibilities:

- Serve as the main FP for grievance management at the sub-county level.
- Create awareness of the GM amongst all the stakeholders at the sub-county level.
- Register, categorize, analyse, resolve grievances at the sub-county level and provide feedback to the aggrieved.
- Maintain the GM log in both soft and hard copies.
- Follow up on pending issues with the sub-county, county, and national level grievance management committees.
- Identify gaps and recommend actions for improving the GM to the NPCU.
- Prepare monthly/quarterly reports on all grievances received and processed and submit to the NPCU.
- Build the capacity of the project staff at the sub county level on grievance management.
- Monitor performance of the project GM by taking periodic audits of all GM activities at the sub-county level.

7.3 Grievance Handling Structures Under NYOTA

Borrowing from the lessons from the KYEOP GM, the NYOTA NPCU will implement a three Tier GM process. The Tiers will be operated at the and sub- county, county, and national levels through Grievance Management Committees. The GM FPs at the three levels will endeavor to resolve all issues reported and committees will meet to handle problematic issues. The membership of the committees with be voluntary positions with no remuneration expected.

a. First Tier of Redress (Sub-County Grievance Management Committee)

24. The first level of grievance redress will be at the Sub county level where the SCYDO will be designated as the FP responsible for of grievance management. The SCYDO will be responsible to maintain grievance records and ensure that the grievance log is routinely updated. After registering the complaint, the SCYDO will study the complaint made in detail and forward the complaint to the concerned officer at the sub county with specific dates for redress. If necessary, meetings will be convened with the concerned complainant to address the grievance. The SCYDO will record and file all deliberations made during the meeting and decisions taken.

25. The resolution at the first tier will be provided within 14 working days and complainant notified through a disclosure form. If the grievance is not resolved within this period, it will be referred to the next Tier of the GM. However, if the SCYDO feels that adequate solutions are worked out, but it would require a few more days for actions to be taken, he/she can decide to retain the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer of the complaint to the next level, it would be accepted and the issue would be taken to the next tier, especially if the issue is not addressed within 21 days.

26. To augment the effort of the SCYDO, in grievance management, the NPCU will constitute a sub-county grievance management committee prior to commencement of the project activities. The SCYDO will serve as the FP and will engage a representative of the National Government Administration Office (NGAO) to serve as the chair of the committee. Members of the committee will consist of:

- Representative of NGAO-Deputy County Commissioner (Chairperson);
- Sub-County Youth Development (FP and Secretary);
- Representative of women;
- Representative of youths:
- Representative of PWDs;
- Representative of local CBOs/NGOs active in the area;
- Representative of the VMGs community in the area (applicable where minority VMGs are present);
- Representatives of MSEA and NSSF.

27. The respective SCYDO will coordinate with the chairperson in getting this committee constituted and get the necessary circulars so that the meeting can be convened whenever required. The SCYDO will coordinate the convening of the meetings including briefing the committee on the grievances and deliberations of the first level of redress, outcomes and on the views of the aggrieved parties. Representatives of communities shall be elected /nominated by community members.

b. Second Tier of Redress (County Grievance Management Committee)

28. At the county level, NPCU will constitute a committee to serve as the second tier for grievance management. All grievances that cannot be resolved at the first tier will be referred to this level for redress. It is important to ensure that the committee is constituted prior to commencement of the project activities. The County Director Youth (CDY) will serve as the FP. Members of the committee will consist of:

- Representative of NGAO -County Commissioner (Chairperson);
- County Director of Youth Development (FP and Secretary);
- Representative of local CBOs/NGOs active in the area;
- Representative of the VMG community in the area (applicable where minority VMGs are present);
- Representative of Youth;
- Representative of Women;
- Representative of PWDs;
- Representative of MSEA and NSSF.

29. The CDYD will coordinate with the chairperson in getting this committee constituted and get the necessary circulars so that the meeting can be convened whenever required. The CDYD will coordinate the convening of the meetings including briefing the committee on the grievances and deliberations of the second level of redress, outcomes and on the views of the aggrieved parties. Representatives of communities shall be elected /nominated by community members. 30.

31. The sub-county and county level committees will hold the necessary meetings with the complainant and attempt to find a solution acceptable to all. The SCYDO and CDYD shall record the minutes of the meetings and file. Annex III provides a sample Meeting Recording Format. The decisions of the committees will be communicated to the complainant formally and if he/she accepts the resolutions, the complainant's acceptance is obtained in writing and signing off is done between the complainant and the committees. Annex IV provides a sample grievance resolution form.

32. If the complainant does not accept the solution offered by the committees or if no solution is reached within 14 days, then the complaint is referred to the third tier. However, in cases where there are strong possibilities of finding an amicable solution at the second tier, the case can be retained to a maximum of 21 days.

c. Third Tier of Redress (National Grievance Management Committee)

33. If the affected complainant does not agree/accept the resolution provided at the 2nd level, or there is a time delay of more than 14-21 days in solving the issue, the complainant can opt to take the grievance to the third level. The NPCU will constitute a committee prior to commencement of the project activities. The NPCU Coordinator will be the chairperson while the E&S Specialist will serve as the FP/Secretary. The FP will be responsible in getting the committee constituted and getting the necessary circulars issued in this regard so that they can be convened whenever required.

34. Members of the Committee will consist of:

- NYOTA National Project Coordinator- Chair person;
- NPCU Social Development Specialist FP and Secretary;
- Representative from the NYOTA implementing Agencies (NSSF, MSEA, SD-MSED);

- Representative from the NYOTA technical agencies (NEA, SDL&SD, DRS, UNHCR, NITA);
- Representative from relevant Ministries, Departments and Agencies (MDAs) focusing on pertinent social, health and safety aspects, including minority and vulnerable groups, social protection, gender and GBV, PWDs, grievance management, labour and working conditions, among others will be brought on board as needed to help address issues that fall within their constitutional mandates.

35. The third-tier structure will deliberate upon the issue and give suitable recommendations. The minutes of the meetings will be recorded and kept at the NPCU office. The decisions of the third-tier structure would be final from the project side and will be communicated to the complainant formally and if he/she accepts the resolutions, the complainant's acceptance is obtained and signed off by the complainant and NPCU FP. If the complainant does not agree with the resolution provided at the third tier, or there is a time delay of more than 21 days in solving the issue, the complainant will be offered the option of reaching out to an independent mediation process at an alternative arbitration body such as local administration, Commission on Administrative Justice (CAJ), or through the judicial system/courts or other avenues as prescribed in CoK 2010.

36. The beneficiaries will be made aware that project level GMs are accessible at no cost, however, they would have to bear the cost of legal redress at the courts if they chose to go to court. Complainants should be advised to exhaust all the three levels of the project GM before seeking help from alternative arbitration institutions. The committees are to be formed and activated prior to commencement of project implementation process to allow for sufficient time for creating awareness on the GM process amongst stakeholders. Traditional dispute resolution structures existing within communities especially the VMGs will also be used as the first step in resolving grievances. Where necessary, VMGs will be assisted to document and record the complaint.

7.3 Meeting Schedule of the Grievance Management Committees

37. The committees will meet whenever required to address grievances referred to their level. The committees will also be convened on quarterly basis to review progress made in grievance management and minutes of meetings taken by the FPs. The quorum at the meeting shall be two third of the total membership. Besides progress, the committees will also review pending grievances and recommend appropriate measures for ensuring their timely resolution. The proceedings of the meeting shall be recorded and filed.

7.4 Mode of Receipt and Recording of Complaints

38. Complaints can be made in writing, over the phone, by emails, using anonymous boxes, over the internet or verbally through walk ins into the sub -county, county and NPCU offices or through the project MIS and social media platforms. Stakeholders will be sensitized on various grievance uptake points during the grievance sensitization workshops and brochures with this information shared out. At county and sub county levels, the FP with receive, record, and collate all the grievances from the various uptake points on a regular basis. As soon as the officer receives a complaint, he /she should issue an acknowledgement receipt (Annex I) to the complainant including the details of the person reporting the grievance. The officer receiving the complaints should try to obtain and document all the relevant basic information regarding the grievance. To enhance access to the GM by VMG communities, a more proactive approach will be applied to ensure that their concerns have been identified and articulated. This will be done for example, by ensuring that the FPs meet periodically with VMGs or through their representatives to find out if they have any issues of concern and to act as an intermediary.

7.5 Grievance Redress Process Steps

7.6.1 Step 1: Reporting and Receiving Grievances

39. NYOTA NPCU with the support of the counties will undertake workshops to sensitize all stakeholders on the project GM including where and how to submit grievances. The NYOTA project

will provide various uptake channels as shown in Table Y. The uptake channels will be set up before commencement of project activities.

No	Mode	Contact
1	NPCU's physical and postal address to	NYOTA Project Coordinator (NPCU);
	submit verbal and written complaints.	Kencom building, 3 rd floor;
	GM and GBV Focal Person Desk	P. O. Box 30050- 00100 Nairobi, Kenya.
	Anonymous boxes	
	Grievance Log	
2	County Level physical address to submit	Offices of the State Department for Youth Affairs and
	verbal and written complaints.	Creative Economy (SDYACE) located at the County
	• GM and GBV Focal Person Desk	Commissioner's headquarters.
	Anonymous boxes	
	Grievance Log	
3	Sub-county Level physical address to submit	Offices of the State Department for Youth Affairs and
	verbal and written complaints.	Creative Economy (SDYACE) located at the Deputy
	GM and GBV Focal Person Desk	County Commissioner's headquarters.
	Anonymous boxes	
	Grievance Log	
4	1 (one) NPCU Toll Free line with a provision	TBD
	for WhatsApp and SMS, and E-mail address	
5	47 County Level Toll Free Lines with a	TBD
	provision for WhatsApp and SMS, and E-	
	mail address	
6	NYOTA Twitter/X	TBD
	NYOTA Facebook	TBD
7	Project MIS Link	TBD

Table 1: NYOTA Grievance Uptake Channels

7.6.2 Step: 2 Recording and processing of grievances

40. Documentation of complaints and grievances is important, including those that are communicated informally and orally. Records provide a way of understanding patterns and trends in complaints, disputes, and grievances over time. While transparency should be maintained for example, through regular reports on issues raised and rates of resolution, – provision should also be made for confidentiality of information or anonymity of the complainant(s) whenever necessary. At both the national and county level, all submitted complaints and grievances will be entered into the MIS database and GM logbook and archived including all scanned documents received or related to the case along the process. A sample grievance redress log is provided in Annex II. Once logged, the grievance should be assessed, assigned to an individual for management, tracked and closed out or "signed off" when resolved, ideally with the complainant(s) being consulted, where appropriate, and informed of the resolution. The MIS database will be used to track complaints and their resolution.

41. The sub-county, county and national level offices will maintain a GM logbook in which complaints received by GM FPs or other project staff, either in written or verbal form, are entered. A complaint register should capture the following information:

- Serial number;
- Reference number;
- Uptake channel used;
- Name and address of the complainant/s,/their representatives/if anonymous;
- Date of complaint;
- Summary of the complaint/grievance;
- Signature of the complainant/s;
- Category;
- Resolution process (Not commenced/In process/Completed);
- Referred;

• Signature of the complainant/s.

7.6.3 Step 3: Reviewing and Investigating Grievances

42. All grievances will need to undergo some degree of review and investigation, depending on the type of grievance and clarity of circumstances.

7.6.4 Step 4: Developing resolution options and preparing a response

43. Once the grievance is well understood, resolution options can be developed taking into consideration stakeholders' preferences, project policy, past experience, current issues, and potential outcomes.

7.6.5 Step 5: Feedback mechanism

44. One of the most important steps of the NYOTA GM is to provide clear feedback of outcome to the complainants. The GM FPs at the County and sub county levels are responsible to give feedback to the complainants via email, message, or call. The complainants must know that their complaints were recorded by the GRC's and that they are investigating the issue. In case of anonymous complain/grievance, acknowledgement will not be possible. The means through which the complainant has been acknowledged shall also be recorded in the database. In this regard, the complainants shall receive acknowledgement feedback within 7 working days after the issue is reported. The resolutions agreed upon must also be recorded in the MIS for purposes of tracking grievance management and reporting. The NYOTA GM will use various approaches for **acknowledgement and communicating the grievance redress outcome and this includes:**

- a. **Email/messaging**: Either an automatic or manual reply will be sent to the complainants confirming the receipt of their complaints and getting back to them after analyzing it. The complainant, who has sent his /her grievance through email, will receive the final feedback through email.
- b. **Grievance resolution form**: A printed, or soft copy grievance resolution form will be used. The form is provided in Annex IV.
- c. **Phone call:** The complainant, who has shared his/her grievance through mobile, will also receive feedback through a call by relevant GM FP, or verbally.

7.6.6 Step 6: Monitoring and Reporting of Grievance Mechanism

45. Monitoring and reporting can be a useful tool for measuring the effectiveness of the GM and for determining broad trends and recurring problems so that they can be resolved proactively before they become points of contention. Monitoring and reporting create a base level of information that can be used to report to communities. To ensure smooth operation of GM, NPCU will conduct frequent supervisions and monitoring missions on GM to ensure that it is functioning as anticipated and GM aspects are included in regular reporting mechanism. The status of grievances received and resolved or escalated will be reported by county level GM FPs on a monthly basis. The GM reports will be submitted to the E&S Specialist (who serves as the main GM FP) for compilation and submission to the World Bank.

8.0 Use of Alternative Dispute Resolution Mechanisms

46. Besides the project GM, other grievance redress alternatives that are available to the affected and other interested parties include:

8.1 Traditional grievance mechanism among VMG communities

47. Prior to engaging with the project GM, the traditional dispute resolution structures existing for each of the VMGs will be used as the first step in resolving grievances. During the validation of the VMGPs, the SCYDOs will document the existing traditional dispute resolution structures existing for each of the VMGs communities including identifying VMG GM focal points and involvement of VMG traditional councils. Those seeking redress and wishing to state grievances would do so by notifying

their VMG GM focal points or the appropriate VMG traditional councils. If the complainant does not agree with the resolution provided through the traditional grievance mechanism existing within each VMG community, the complainant will be offered the option of reaching out to the three-tier project GM outlined earlier. NYOTA will provide additional uptake channels for the project GM in VMG areas to enhance its utilization.

8.2 National Referral Institutions

48. All the complainants dissatisfied with resolution provided through the project GM will be referred to the other grievance handling structures in Kenya such as the National Gender Equality Commission, National Council for Persons with Disabilities, Kenya National Commission on Human Rights, the Ethics and Anti-Corruption Commission, CAJ and the Kenyan Courts of Law as the last resort.

9.0 World Bank Grievance Redress Service

49. Communities and individuals who believe that they are adversely affected by NYOTA project may submit complaints to the World Bank Kenya office as follows: Country Director, World Bank Kenya Office, Delta Center Menengai Road, Upper Hill P.O. Box 30577-00100 Nairobi, Kenya. Tel: +254-20-3226000. Fax: 254-20-3226382. Kenyaalert@worldbank.org.

50. If no response is received from the World Bank Kenya office, the complainant can also report directly to the World Bank Grievance Redress Service (GRS) on email: grievances@worldbank.org. The GRS ensures that complaints received are promptly addressed by engaging both the World Bank project team and the complainant. Project affected communities and individuals may also submit their complaint to the World Bank's independent Inspection Panel, which determines whether harm occurred, or could occur, because of World Bank non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to World Bank's attention, and the Bank's 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 https://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service. For information on how to submit complaints to the World Bank to the World Bank's corporate Grievance Redress Service (GRS), please visit https://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org. These contact email addresses will also be shared by project stakeholders through the GM disclosure workshops.

10.0 The Grievance Management Information System (MIS)

51. To complement the three tier GM, the project will adopt the MIS operated under KYEOP that had a specific platform for reporting, processing, and resolving grievances. The MIS will be critical in ensuring centralizing and consolidating grievance management including, sending automated acknowledgements and responses, generation of standard reports. The NPCU will collaborate with the ICT specialist in the project to define the operational protocol including making decision on access, user rights and related responsible staff.

11.0 Grievance Documentation, Monitoring and Reporting

52. Documentation of complaints and grievances is important, including those that are communicated informally and orally. These should be logged, assessed, assigned to an individual for management, tracked and closed out or "signed off" when resolved, ideally with the complainant(s) being consulted, where appropriate, and informed of the resolution. Records provide a way of understanding patterns and trends in complaints, disputes, and grievances over time. While transparency should be maintained – for example, through regular reports on issues raised and rates of resolution – provision should also be made for confidentiality of information or anonymity of the complainant(s) whenever necessary.

53. A grievance log will be maintained by the NPCU consolidating grievances received at the subcounty, county and national levels, and copies of the records kept with all the NYOTA implementing agencies at the national level. The GM FPs shall maintain a grievance log that captures the following information;

- Date of the complaint;
- Individual grievance reference number;
- Name of the person submitting the complaint, question, or other feedback, address and/or contact information (unless the complaint has been submitted anonymously);
- Details of the complaint, feedback, or question including his or her location;
- Name of person assigned to deal with the complaint (acknowledge to the complainant, investigate, propose resolutions, etc.);
- Details of proposed resolution, including person(s) who will be responsible for authorizing and implementing any corrective actions that are part of the proposed resolution;
- Date when proposed resolution was communicated to the complainant (unless anonymous);
- Date when the complainant acknowledged, in writing if possible, being informed of the proposed resolution;
- Details of whether the complainant was satisfied with the resolution, and whether the complaint can be closed out;
- If necessary, details of escalation procedure;
- Date when the resolution is implemented (if any).

54. The updated GM log will be submitted every month to the E&S Specialist at the NPCU level for consolidation and reporting to the Bank on quarterly basis. The NPCU shall monitor the implementation of the GM on a quarterly basis. The monitoring of the GM will include the following indicators:

- Number of grievances received, logged, acknowledged, processed, resolved, and closed within a set time frame.
- Number of cases requesting external review or alternative third-party arbitration.
- Number of stakeholders satisfied with resolution.
- Number and percentage of grievances received per categories/thematic area.
- Number and percentage of grievances received per severity level.
- Number and percentage of grievances resolved versus rejected.
- Number and percentage of grievances per operation site/location.

55. Through the project MIS, NYOTA should analyse aspects such as the typology of complaints, geographic areas with most complaints, status of grievance management etc. This information provided by the database will help NYOTA to improve the GM and also improve the management processes of the project.

12.0 Evaluating the Grievance Mechanism

56. An evaluation system should assess the overall effectiveness and the impact of the GM. Such evaluations can take place either annually and their results should contribute to improving the performance of the GM and provide valuable feedback to project management. In conducting the evaluation, the following questions can be used:

- a. How many complaints have been raised?
- b. What types of complaints have been raised?
- c. What is the status of the complaints (rejected or not eligible, under assessment, action agreed upon, action being implemented, or resolved)?
- d. How long did it take to solve the problem?
- e. How many complainants have used the grievance redress procedure?
- f. What were the outcomes?
- g. Are the GMs effective in realizing the stated goals, objectives, and principles?
- h. Are the GMs capable of responding to the range of grievances being reported?

57. At mid -term stage of the project, an in-depth evaluation of the performance of the GM will be done using the tool presented in Annex V. The information obtained will be used to enhance the effectiveness of the GM and also improve project management processes for purposes of proactively

reducing the number of reported grievances.

13.0 Grievance Mechanism and Referrals for SEAH Survivors

58. A SEAH Prevention and Action Plan has been prepared under NYOTA. The NYOTA project GM will be adapted to receive, record, and refer all SEAH complaints to qualified GBV service providers. In this respect, the following considerations will be made:

- The GM will adopt a survivor-centered approach in which the safety and well-being of the SEAH survivor is the first priority and, in relation to adult GBV survivors, any action is only taken with the survivor's consent.
- In order to act in the best interests of children, GMs will develop specific protocols for children who are survivors of SEAH. For instance, GM operators will be trained on how to respond to cases involving children, regardless of whether the child or a third- party lodges the complaint.
- The GM will provide multiple channels through which complaints can be registered in a safe and confidential manner, including through anonymous complaint reporting mechanisms (anonymous boxes and toll-free lines).
- The GM will ensure that information on how to report complaints is disseminated among project beneficiaries and communities.
- The GM will advise SEAH survivor of mandatory reporting requirement and limits of confidentiality as required under Kenyan law.
- The GM will ensure that personal information of a survivor is protected. No identifiable information on the survivor will be stored in the GM and all information must be kept confidentially. The GM will not require disclosure of, or record, information on aspects of the SEAH incident other than (a) the nature of the complaint (what the complainant says in her/his own words without direct questioning); (b) if, to the best of the complainant's knowledge, the alleged perpetrator was associated with the project; and (c) if possible, the age and sex of the survivor. Where mandatory reporting requirements apply, information disclosure should be made in accordance with legal requirements, and information should only be released to the appropriate authority or agency.
- Access rights to the MIS will be provided to specific staff trained in SEAH management to ensure the confidential handling of SEAH cases.
- The project GM will serve primarily to refer complainants to GBV service providers (whether related to the project or not) immediately after receiving a complaint. The project will also facilitate the survivor to access the GBV provider they choose to. Where the complainant consents, the GM should initiate procedures to determine whether disciplinary measures should be implemented. The GM should also monitor follow-up actions and record resolution of the complaint in line with survivor-centered principles.
- The GM will operate without prejudice to any other complaint mechanisms or legal recourse to which an individual or community may otherwise have access under national, regional, or international law, or under the rules and regulations of other institutions, agencies, or commissions.

59. The NPCU will appoint GBV FPs at the sub-county, county and national levels, and awareness created to beneficiaries and service providers on SEAH. In addition, each technical agency will appoint a GBV FP. The GBV FP at the national level will coordinate all GBV FPs under NYOTA. SEAH trainings will be availed to all GBV FPS.

60. All GM staff will be trained to receive SEAH complaints, to frame questions in a nonaccusatory manner, and to treat complainants with respect. In addition, they will be trained to follow specific protocols when receiving complaints related to SEAH against children. The GM may also verify whether the allegation is linked to the project and will have an ongoing role in monitoring progress and conclusion of the complaint, including actions taken. Follow-up support to the survivor is provided by the GBV service providers, while the GM will monitor effective access to holistic care based on each survivor's needs and wishes.

61. For project GMs to be able to respond appropriately to incidents of SEAH, it is important that

the NPCU identifies in advance competent GBV service provider (s) to refer survivors for support. GBV service providers play an essential role in supporting survivors and mitigating the harm of SEAH including through health services; psychosocial care; and security, legal, and financial support. However, the availability and quality of GBV service providers varies significantly across the country. At the time a complaint occurs, it is often too late to identify and evaluate a suitable GBV service provider for referral. For this reason, the NPCU should seek to identify referral pathways before project activities commence, as recommended in the NYOTA SEAH Prevention and Action Plan.

14.0 Publicizing the NYOTA's Grievance Mechanism

62. To enhance utilization of the GM, the NPCU in close collaboration with the sub-county and county teams will ensure that it is widely publicized among stakeholder groups, such as the affected communities, government agencies, and civil society organizations. Inadequate disclosure of the GM may potentially lead to its under-utilization and eventually the GM loses its relevance and validity of the purpose for which it was established. Stakeholders will be informed about other GM options such as the World Bank, GRS, and national judicial system where complainants can be referred to if they feel that their grievance has not been adequately addressed. An effective awareness campaign, launched to give publicity to the GM will include among others the following aspects:

- Scope of the project, target beneficiaries, components, and key interventions;
- The project GM including other alternative GMs (the World Bank's GRS, other national systems for GM);
- How the different GMs can be accessed;
- Types of grievances not acceptable to the GMs;
- Who can access the GMs and how complaints can be reported to those GMs and to whom, e.g., phone and facsimile numbers, postal and e-mail addresses, and websites of the GMs as well as information that should be included in a complaint;
- Procedures and time frames for initiating and concluding the grievance redress process; boundaries and limits of GMs in handling grievances; and
- Roles of different agencies such as project implementers and funding agencies.

63. To create awareness on the GMs to affected parties including vulnerable or disadvantaged groups particularly those with literacy, mobility and disability challenges, and other interested parties, the NPCU will adopt a variety of methods including: (i) displaying graphical posters and summaries of project instruments in public places accessible to all stakeholders such as in chiefs offices, sub-county, and county project offices for MOYACES, NSSF and MSEA, community centers and religious places. The posters and summaries will be written in languages understandable to all (including refugee-friendly languages (**French, Kiswahili, Oromo, Somali, and Kinyamulenge**) and braille; (ii) through public forums/youth engagements held at the sub-county and county levels by SCYDOs and CDYs; (iii) social media platforms, and (v) vernacular radio and TV stations (as applicable).

64. The GM will be summarized in simple and easy to understand procedures for submitting grievances in languages understandable to all, indicating the expected length of timelines for acknowledgment, response, and resolution of grievances. Lastly, the implementing agencies will publicly disclose the instruments on their external websites in line with the World Bank Access to Information Policy.

15.0 Budget for implementing the NYOTA's Grievance Mechanism

Table 2 presents the estimated budget for implementing the NYOTA GM. The budget will cover costs related to the formation, training and maintenance of grievance management committees, procurement of required hardware, monitoring and auditing the performance of the GM. Costs related to training of project staff and service providers and awareness to beneficiaries on GM are covered under the Stakeholder Engagement Plan budget.

#	Item	Units	Cost (KES)
#			
1	Formation and maintenance of 330 sub-	Voluntary positions	1, 500, 000
	county level grievance management	Lumpsum budget to facilitate	
	committees.	meetings to resolve grievances	
2	Formation and maintenance of 47 county	Voluntary positions	500,000
	level grievance management committees.	Lumpsum budget to facilitate	
2		meetings to resolve grievances	250.000
3	Formation and maintenance of 1 national	Voluntary positions	250,000
	level grievance management committee at the NPCU.	Lumpsum budget to facilitate meetings to resolve grievances	
4	Virtual Training of 47 County Director	Virtual meetings	0
4	Youth (CYD) and 250 Sub-County Youth	v intuar meetings	0
	Development Officers (SCYDO) on		
	NYOTA GM.		
5	Training of 378 grievance management	Meeting facilitation	3, 780, 000
	committees. Trainings conducted at the		
	county and sub-county levels by the trained	378 committees @10, 000	
	CYD and SCYDOs respectively.		
6	Acquisition and maintenance of 378	378 boxes@ 2,000	378,000
	anonymous boxes.		
7	Acquisition and maintenance of 48 toll-	48 toll freelines @1,000 airtime per	2,880,000
	free lines (NPCU and county level).	month for 60 months (5 years)	
8	Monitoring the performance of GM.	5@250,000	1, 250, 000
	10% Contingency	•	10, 538, 000
			1,053, 800
	Total		11,591,800

 $^{^2}$ Costs related to training of project staff and service providers and awareness to beneficiaries on GM are covered under the Stakeholder Engagement Plan budget.

16.0 Annexes

Annex I: Grievance Documentation and Acknowledgement Form

Country: Institution:

Name of Complainant:

Contacts: Phone..... Email address

Documents comprising the complaint: (petition, supporting documents etc.) 1) 2)

Summary of Complaint:

Name and Signature of the Complainant:

.....

Name and Signature of Officer receiving the complaint:

Annex II: Grievance Redress Log

GRIEVANCE LOG	Person Completing	
Project	<u>Contact</u>	
Geographical Location		

Serial No	Name/or Ref	Contact	Date received	Channel	Description of complaint	Referred to (Name&Pos)	Tel no	Date	Action taken/greed resolution	Outcome	Feedback Given Y/N	Date resolved
1												
2												
3												

Annex III: Committee Meeting Recording Format

County:	Sub County:
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Date of the Meeting: _____; Complaint Register No. _____

Venue of meeting: _____

Details of Participants:

Complainant(s) if present	Committee Members
1)	1)
2)	2)
	3)

Summary of Grievance:

Summary of key discussions:

Decisions taken in the meeting / Recommendations of GRC:

Issue solved / Unsolved _____

Signature of Chairperson of the meeting:

Name of Chairperson: _____

Date: dd-mm-yyyy

Annex IV: Grievance Resolution Form

County: Sub County:

- 1. Name of Complainant.....
- 2. Date of Complaint.....

Summary of the Complaint:

3. Summary of Resolution

4. Date of Redress of the Grievance: (dd-mm-yyyy)

Signature of the grievance committee chairperson

Name: _____

Date: dd-mm-yyyy

Signature of the Complainant in acceptance of the resolution to his /her grievance _____

Name: _____

No	Aspect to be assessed	Guiding questions
1	Organizational Commitment	Do the project's management and staff recognize and value the GM process as a means of improving project management and enhancing accountability and transparency?
		Is grievance redress integrated into the project's core activities?
		Is grievance redress integrated into staff job descriptions and responsibilities?
		Is it appropriately resourced and monitored?
2	Accessibility	Is the GM accessible to all stakeholders, irrespective of their remoteness, language, education, or income level?
		Are procedures to file grievances and seek action easily understood by project beneficiaries?
		Can grievances be filed anonymously?
		Are there a range of contact options?
		Is the GM appropriately advertised and communicated to project-affected people?
		Do multiple uptake channels exist?
		Is there a system to categorize, assign priority, and route grievances to the appropriate entity?
		Does it restrict access to other redress mechanism
3	Predictability	Is the GM responsive to the needs of all complainants?
		Does the GM offer a clear procedure with time frames for each stage and clarity on the
		types of results it can (and cannot) deliver
4	Capability	Do GM officials have the necessary technical, human and financial resources, means and powers to investigate grievances?
		Are there dedicated and trained staff available to handle the GM?
		Are they given learning opportunities and do they receive any systematic reviews of their performance
5	Acknowledgement and follow-up	Are complaints acknowledged in writing?
		Does the acknowledgement outline the GM process, provide contact details and indicate how long it is likely to take to resolve the grievance?
		Are there clear timetables that are publicly available?
6	Monitoring and Evaluation	Is there a process to track grievances and assess progress being made to resolve grievances?
		Are there indicators to measure grievance monitoring and resolution?
		If there is data being collected, is this data used to make project process changes to minimize similar grievances in the future?
7	Feedback	Does a user survey exist to get feedback on the credibility of the process?
		Is such feedback publicly available?
		Is there right to appeal? If yes, are GM users informed about this right?
8	Analysis	Is there a process to analyze the effectiveness of the GM?
		Is there a timeframe?

Annex V: Guiding Questions for Evaluating the Performance of the Project GM

Annex VI: List of Participants





Kilifi Consultations Nakuru VMG Nairobi Urban KYEOP GM Refugees and Host Participants.pdf Consultations ParticRefugees ParticipanAssessment Particip&Communities' Partici

Annex VII: Minutes

No	Aspect to be assessed	Feedback	Recommendations
1	Organizational Commitment	 The project's management and staff recognize and value the GM process as a means of enhancing accountability and transparency as evidenced by: Assignment of staff at national level responsible for grievance management. Development and operationalization of grievance handling procedures. Recording of received and processed grievances at subcounty, county, and national levels. Establishment and operationalization of a grievance handling platform within the project MIS. However, the MIS system was hardly updated, and the resolution of grievances took unnecessarily too long as all complaints were escalated to the national level. 	 Have a dedicated team responsible for recording, processing and resolving grievances within the project. Allow grievances to be resolved at the sub-county and county levels and only escalate those that are difficult to resolve to the national level.
2	Accessibility	 The KYEOP GM was accessible to PAPs and other stakeholders at no cost. The project GM was understood by project beneficiaries and provided various uptake channels and did not restrict access to other grievance redress mechanism. The GM was accessible to stakeholders with access to smart phones or other social media platforms and could easily connect to the project MIS to either submit or track the process of resolution. However, for VMGs especially those in Kwale county, did not access the project GM as they lacked either smart phones or access to social media platform. Further, those with disabilities especially visual found it difficult to interact with it. 	 Put in place a multi-institutional grievance committee at subcounty and county levels and constituting the relevant entities (implementing institutions, local leadership, community representatives-PWDs, VMGs, women and youth, NGOs, CBOs). Build the capacity of the staff at the sub- county and county levels on grievance management. Improve the speed at which grievances are handled at the national level. The requirement to refer all grievances to the national level is not necessary as some of the grievances can easily be resolved at the county and sub- county level. Ensure the project toll free line is functioning 24/7.

1. Assessment of the KYEOP GM against the GM principles and recommendations on how best to adapt the KYEOP GM to NYOTA

No	Aspect to be assessed	Feedback	Recommendations
		 As such, due to the delay in resolving some of their complaints a number of the VMG beneficiaries, dropped out of the program. The toll-free number only provided at the national level was inactive most of the time. Some grievances launched on the online platform were never addressed especially for trainers hence forcing them to incur cost of physically going to the head office to seek answers. Some officers treated grievances assigned to them as a nuisance and sat on them or kept on tossing them around. This made most beneficiaries to drop out leading to high attrition. The GM was based on wrong assumption that all youth were literate, had phones and were tech savvy yet often times the youth were unreachable through phone numbers they provided. Feedback was rarely given about a grievance raised. In most of the instances, it took too long to solve a grievance this breeding hopelessness and impatience among youth. Centralization in making decisions and resolving grievances made youth lose trust in their youth officers. While the toll-free line was to provide a pathway for ease of access to the GM, it was not active and was most of the time offline hence many of the target beneficiaries could not register their complaints. Resolution of grievances was also delayed by the continued referral of complaints to different KYEOP implementing institutions for resolution as it was not very clear who was the focal point for grievances management. 	 Create GM Focal Persons Desks for easier access, especially by youths with literacy challenges, analogue phone devices or in areas with poor network connectivity. Ensure the GM is accessible to PWDs especially those with sight impairment, as well as refugees and VMGs. Flag, cluster and assign grievances to responsible implementing institution/staff to ensure timely redress. Provide all GM FPs with access to the MIS platform.

	Aspect to be assessed	Feedback	Recommendations
3	Transparency	• The GM processes, principles and procedures were not adequately disclosed to all stakeholders.	 Escalate all grievances vertically and horizontally through the project hierarchy. All grievances should automatically be received by the top project officials to prevent project officers assigned with the duty of GR from sitting on the grievances lodged or simply trivializing the grievances. Widespread publicity about the existence and use of the GM. Devolve the GM undertakings to the sub-county and county levels through grievance management committees.
	Effectiveness and Efficiency	 Grievances involving placement of trainees were delayed for too long which led to most of the youth dropping out of the program. Some grievances related to nonpayment have not been resolved to date. Rostering grievances especially for the formal category could not be addressed nor verified by YDOs. MIS downtime sometimes lasted from days to weeks. The frontline GM service providers (YDOs) were not adequately trained on GM. Meeting some expectations was below standards and sometimes no answer provided on issues raised. This contributed to attrition as some youths' genuine concerns were not addressed. Information flow from the field to NPCU and vice versa was not effective as expected, at times it took a lot of time to be acted upon. No communication to the aggrieved parties on how far the resolution of a grievance had reached. 	 There should be flow of information or feedback from one level to the other and to the aggrieved in a timely manner. GM unit be enhanced in manpower and equipped with resources to address the project grievances along with various outcome areas. Ensure strict adherence to GM timelines. Decentralize the placement to sub-county level, let the trainees pick their trainer, be allowed to change, if necessary, within a one-week window of placement Speed up responses. There were a lot of delays Involve YDOs in addressing formal trainees rostering grievances. Devolve the payroll preparation to the counties More time/resources should be allocated for effective handling of grievances Increase ease of access to GM channels through the MIS (Interoperability of all GM channels would ensure no grievance is lost in the multiplicity of channels). Centrality of command and coordination of GM is necessary. Adequate and periodic review of YDOs GM capacities and building competencies through purposeful training. Effective and efficient data input, retrieval and analysis system should be procured Communication of grievance resolution should be improved both to and from the NPCU. A short and simple messaging method to be employed

No Aspect to be assessed	Feedback	Recommendations
5 Confidentiality and Anonymity	• There were however incidences where feedback on a SEA/SH related grievance was shared without adherence to the confidentiality requirement which resulted in further harassment of the victim by the suspected perpetrators.	 Officers or beneficiaries who escalate grievances must be protected from intimidation and vilification as notorious complainers. Timely sharing of gender and geographically disaggregated data between implementing partners. The staff were trained on GM, however further capacity training is necessary especially on reporting and on handling SEAH related grievances. Ensure MCs and youths are able to direct their grievances to the GM officers without being intimidated or coerced.
6 Predictability	 The GM was responsive to the needs of the stakeholders, however, the delay in responding to reported grievances reduced the predictability of the GM. GM offered a clear procedure with time frames for each stage however there was non-compliance with the set timelines leading to delay in resolving grievances. At times, follow up on complaints by SCYDOs was personalized by the national project team and thus reducing the staff moral in ensuring that all reported grievances are resolved. The field staff had minimal interaction with the MIS based GM. In most cases staff would log in the complaint directly to the responsible officer but there was never feedback on whether the complaint was resolved or not. At times the field officers would use WhatsApp group to lodge complaints or even complain about the delays in providing response from the NPCU GM team. The KYEOP MIS based GM did not candidly handle complaints regarding transfers of beneficiary youth between MC courses and delays in payment of stipend which led to increased grievances. Many of these grievances remain unaddressed to date in spite of having been escalated appropriately. In essence, the transfers were done haphazardly. 	 Designate specific staff with responsibility of managing project grievances who will be given the mandate to ensure close follow up of all the reported grievances. Reduce the turnaround time for escalated grievances to allow prompt feedback to the complainant. Assign additional responsibilities to field staff so that they can handle issues of transfer of beneficiaries which constituted the bulk of the complaints.

No	Aspect to be assessed	Feedback	Recommendations
7	Capability	• There were staff responsible for grievance management at NPCU level. However, at the county and sub-county levels, the staff's role was mainly to refer the complaints to NPCU.	 Designate specific staff with responsibility of managing project grievances. Strengthen the staff capacity in management of grievances and especially those related to SEAH. Evaluate the volume of work on GM that needs to be handled against the available officers in Nairobi. From this analysis, it will be observed that there is a need to decentralize some of the grievances to the SCYDOs to enhance efficiency and save on time taken to resolve complaints. Decentralize grievance handling as well as other tasks such as placements, stipend payment etc., which form the bulk of the grievances. Improve MIS team technical capacity through training and also acquisition of top-notch ICT infrastructure.
8	Acknowledgem ent and follow- up	 Complaints were acknowledged in writing however, timelines for providing feedback were hardly communicated to the complainants. There were clear timelines for processing and resolving grievances, however these were hardly adhered to. 	 Provide clear timelines for resolving and or escalating grievances within the various tiers. The NPCU to mandate adherence to the set timelines. Improve on follow ups to ensure all concerns are addressed (proper grievance Tracking)
9	Monitoring and Evaluation/Anal ysis	• Weekly monitoring of grievances was done at sub- county level. However, reporting of grievances received and resolved at the county and sub county level has been weak.	• Strengthen the monitoring of grievances across all tiers.
10	Feedback	• Though delayed in many instances, feedback was provided to complainants.	 Provide timely feedback to the aggrieved. Engage several feedback channels to cater to the needs of all affected parties including vulnerable or disadvantaged groups, and other interested parties. Consistent and accurate communication flow from the NPCU to the field and back should be entrenched in future programs and projects.

No	Aspect to be assessed	Feedback	Recommendations
11	GBV Responsive	 The frontline GM officers were not trained to effectively handle GBV-SEAH cases. During KYEOP, most youth went through harassment but were silenced and threatened when they reported. 	 Design the GM in a way that provides for confidential reporting, recording and referral of SEAH related grievances. Include multiple GM entry points and have clear protocols for recording SEAH complaints and providing referrals to existing quality GBV services. Train GM staff on receiving SEAH complaints: i) to frame questions in a non-accusatory manner, ii) to treat complainants with respect including making the victim aware of the obligations under national law to report certain incidents, consistent with the principle of consent and iii) referring all SEAH complaints to GBV service providers (psycho-social counselling centers, GBV police desks) and facilitating their access. Engage GBV service providers who apply a survivor-centered approach, in which the survivor is treated with dignity and respect, confidentiality and survivor's recovery and ability to identify and express needs and wishes. Training/capacity building the YDOs and other implementing partners in matters pertaining to SEAH. Make use of peer educators who the youth are free to open up to friendly counselling services that does not seem judgmental Put a toll-free number to report GBV cases. A desk to address GBV cases to be set up and also youths should be sensitized on what comprises GBV.

Guiding Question	Response
1. What mechanisms are available to identify, map, consult, and engage youths, and that their views, concerns, and suggestions are systematically considered?	 Use of platforms such as Turkana College and University Students Association for college going youth; Use of local and national radio and TVs; Use of public meetings and Chief's barazas; Use of Film Aid – Kakuma platform; Through public participation; Through seminars and training; Through registered groups; Through social media, e.g., WhatsApp groups; Through youth leaders engagement; Through local leaders.
 Is there an accessible and functional GM with established procedures for submitting grievances (including several uptake channels, established routines, and standards, grievance logs, etc. Is the GM responsive to sensitive issues, e.g., GBV cases? If yes, what measures are in place to promote confidential reporting and handling GBV complaints? 	 Through available toll numbers; Through government officers deployed to handle GBV cases; Through reporting to the police stations then seeking treatment at the health facilities; Through interventions by Non-State Organizations such as ADRA – K, UNHCR, World Vision officers; Through Chiefs and local administrators; Through Welfare organizations such as Kenya Red Cross. Calling office telephone numbers; Through controlled WhatsApp groups.

2. Summary of Consultations with Refugee and Host Communities in Kakuma and Kalobeyei in Turkana County on GM

Theme	Questions	Responses
Youth Engagement and Grievance Management	1. What mechanisms are available to identify, map, consult, and engage youths, and that their views, concerns, and suggestions are systematically considered?	Through UNHCR and DRS.
	2. Is there an accessible and functional GRM with established procedures for submitting grievances (including several uptake channels, established routines, and standards, grievance logs, etc.	 Through their various group chairman who present grievances to the local administration. Through DRS and UNHCR. Police, UNHCR, Red Cross, GBV (Toll Free).
	3. Is the GRM responsive to sensitive issues, e.g., GBV cases? If yes, what measures are in place to promote confidential reporting and handling GBV complaints?	 They report to the chiefs and most cases not reported, done only when it becomes severe. They first report to the elders in the family then Kadhis. GBV is termed as a shameful act that should not be known beyond the house. They know where to report at police station gender desk and children department. They don't know where to report police harassment. Through government officers.

3. Summary of Consultations with Urban Refugee in Nairobi County on GM

Guiding Question	Response
1. What mechanisms are available to identify, map, consult and engage youths, and their views, concern and suggestions are systematically considered?	 Youths taking responsibility for their own grievance. Use of existing youth caucuses. Mentorship and leadership programs. Surveys and questionnaires specifically targeted at youth populations. Support environment that values their voice and contributions. Youth lead organizations – CBOs.
 Is there an accessible and functional GM with established procedure for submitting grievances(including several uptake channels, established routine ,and standards grievance logs etc.? Is the GM responsive to sensitive issues e.g., GBV cases? if yes, what measures are in place to promote confidential reporting and handling GBV complaints? 	 GMs established with limited functionality. Youths not aware of channels to air their grievances Personnel management responsible for grievance redress. Traditional governance systems (Council of elders). Bi-cultural protocols. Nyumba Kumi Initiatives and Peace committees. Alternative dispute resolutions mechanisms. GM is not responsive to sensitive issues. There should be separate desk to handle sensitive and emergency issues. Anonymous identification, complainant should not identify him or herself. Online counsellors to talk to youths through stressful issues. Training counsellors to be deployed to the ground to leave the lifetime of the project. Mechanism put in place to handle GBV issues include; a. GBV desk at the police stations to handle GBV matters; b. Youth offices; c. GBV Trained Administrators; d. FIDA Offices; e. Toll free numbers; f. Confidential reporting channels; g. Train sensitive personnel; h. Sensitization and awareness campaigns; i. Privacy and data protection policies.

4. Summary of Consultations with Representatives of Vulnerable and Marginalized Groups and Organizations on GM

#	Vulnerability	Question	Response
	mapping		
1.	Accessibility	How do we enhance inclusivity of youth who are challenged in accessing or being accessed during project implementation?	Enhance community engagement at the grassroots level using community halls, vocational training or TVET centers and during school holidays as training venues. Digital accessibility should be improved by making the KYEOP website accessible to youth with visual impairments.
2.	Literacy	How can we enhance employability skills and employment opportunities for youth who are illiterate?	Strategies proposed include lessening the content, making use of infographics, include literacy sessions and offering more artisan courses that can be offered by TVET institutions
3.	Disability	How can we enhance YWD inclusivity and their involvement in project implementation?	The data collection tools should provide a column for YWD for inclusivity. These youth need to be given opportunities like the rest. The project should also partner with institutions that have YWD's who have graduated with different skills from TVET institutions.
4.	Gender	How can the gender factor be mainstreamed in project implementation?	Key issues identified include understanding the needs and priorities of both male and female youths, addressing social and gender norms impending involvement of youth through community engagements, and putting in place mechanisms/safe spaces for handling cases of SGBV.
5.	Economic and occupational status	How can we engage youth positivity to increase their economic and occupational status?	Several strategies were identified including follow-up grants, establishing a revolving fund, social empowerment, community integration and career progression. There was also mention of networking and partnership with business enterprises. The youth also need continuous capacity building.
6.	Minority and indigenous individuals and groups	How can we enhance minority and indigenous people inclusivity and involvement in project implementation?	Community engagement is critical to understand the needs of the youth from minority and marginalized communities. There is a need to contextualize the interaction and listen to them.
7.	IDPs	How can involvement of IDPs, gender parity and grievance redress be done for IDPs?	There is a need to identify their needs and address them even as they seek to learn. There is also need for counselling and psychosocial support.
8.	Youth	How can the youth issues be mainstreamed effectively and efficiently in project Implementation?	The youth need to be heard and communication should be youth friendly. The youth need tailormade courses to meet the needs of potential employers. There is also need for mentorship.
9.	Teenage mothers	How teenage mother's issues be mainstreamed in participation, skills development, empowerment, employment, and job opportunities be enhanced?	The need to create a conducive environment for young mothers was articulated including providing counselling and psychosocial support for young parents. The need to provide daycare facilities for mothers with young children was also identified.

5. Summary of Consultations with KYEOP beneficiaries in Nairobi and Kilifi Counties