



COMMUNICATION PLAN FOR PUBLIC-PRIVATE PARTNERSHIP (PPP) AND PRIVATELY INITIATED PROPOSALS (PIP) PROJECTS

OCTOBER 2024

Introduction

This document sets out the communication plan for KETRACO's Public Private Partnership (PPP) projects that will guide proactive communication to various stakeholders at different stages of project implementation.

This plan adheres to the Constitution of Kenya, as provided in article 33 (a) under the Bill of Rights, which guarantees the right to freedom of expression including freedom to seek, receive or impart information or ideas. Similarly, Section 69 of the PPP Act makes it incumbent upon the Contracting Authority (CA) to publish information on execution of the project agreements. The Constitution together with the Public Private Partnerships Act, Cap. 430, provides the legal basis for PPP disclosure framework and the subsequent Communication plan.

Situational Analysis

KETRACO is embarking on its first-ever Public-Private Partnership (PPP) model through Privately Initiated Proposals (PIPs) for the construction of electricity transmission lines. This new approach signifies a strategic shift in project implementation that combines public and private sector expertise, resources, and risks to enhance efficiency and service delivery in the transmission sector. With the growing demand for reliable electricity and the need to expand the national grid, the implementation of PPP projects will help accelerate the delivery of critical infrastructure. However, this shift presents new dynamics and complexities, requiring comprehensive stakeholder engagement and communication strategy to ensure successful project outcomes.

The proposed PPP transmission projects involve a broad spectrum of stakeholders, ranging from Project Affected Persons (PAPs) and local communities to national government bodies, regulatory agencies, and development partners. Every stakeholder group has unique interests, concerns, and roles in the project. Ensuring clear communication and effective engagement is crucial in securing stakeholder buy-in, managing expectations, and mitigating risks.

Given the nature of the PPP model, KETRACO must navigate potential challenges such as public perception of privatization, adherence to regulatory requirements, land acquisition complexities, and ensuring that the benefits of the project are equitably distributed among communities. To address these, a comprehensive situational analysis is essential. This analysis will highlight the current landscape, identify key opportunities and threats, and guide the formulation of an engagement strategy that aligns with stakeholder expectations and organizational objectives.

PESTEL Analysis

The PESTEL (Political, Economic, Social, Technological, Environmental, and Legal) analysis is a strategic tool used to identify and evaluate the external macro-environmental factors that can impact a project. For KETRACO's PPP projects, this analysis provides insights into broader factors that could influence project implementation, stakeholder engagement, and overall success. Understanding these factors is essential for proactive risk management, ensuring

compliance, and aligning the communication strategy to external dynamics that shape public perception and project feasibility.

Table 1. PESTEL analysis

| Category | Description |
|-----------------------|--|
| Political Factors | <p>Government Support for PPPs: Strong political will and support for infrastructure development through PPPs.</p> <p>Policy Stability: Stable political environment with minimal risk of abrupt policy changes.</p> <p>Bureaucratic Processes: Lengthy approval processes can delay project implementation.</p> |
| Economic Factors | <p>Investment Climate: Favourable investment climate for PPPs in infrastructure projects.</p> <p>Cost of Financing: Changes in interest rates and access to finance can affect project viability.</p> <p>Economic Growth: Economic stability and growth in Kenya provide a conducive environment for infrastructure development.</p> |
| Social Factors | <p>Community Expectations: High expectations for employment, compensation, and social benefits.</p> <p>Social Sensitivities: Potential for social resistance due to perceived inequities or lack of engagement.</p> <p>Public Perception of PPPs: Need for clear communication to address misconceptions about PPPs.</p> |
| Technological Factors | <p>Digital Engagement Tools: Use of technology for stakeholder engagement and communication.</p> <p>Innovation in Project Management: Opportunities to adopt best practices in project implementation.</p> |
| Environmental Factors | <p>Environmental Regulations: Strict environmental regulations governing land use and transmission projects.</p> <p>Impact of Climate Change: Need to incorporate climate resilience in project design.</p> <p>Sustainability Concerns: Ensuring that the project aligns with environmental sustainability goals.</p> |
| Legal Factors | <p>Regulatory Compliance: Adherence to PPP Act, Cap 430), Land laws, Constitution of Kenya and other sector regulations.</p> <p>Land Acquisition Laws: Legal complexities around land acquisition and compensation.</p> <p>Labour and Safety Laws: Compliance with labour standards and occupational health and safety regulations.</p> |

SWOT Analysis

The SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis is a strategic planning tool used to evaluate internal and external factors that can influence the success of a project or initiative. For KETRACO's PPP/PIP transmission projects, conducting a SWOT analysis will help identify the organization's core strengths and potential weaknesses that may affect project delivery. Additionally, it will pinpoint external opportunities to leverage and threats to be mitigated. This analysis is crucial for crafting targeted communication strategies that address stakeholder concerns, promote project benefits, and position KETRACO as a competent and reliable partner in PPP engagements.

Table 2: SWOT analysis

| Strength | Weakness |
|---|---|
| <ul style="list-style-type: none"> • Government Backing: Strong support from the national government enhances credibility and reduces political risk. • Technical Expertise: Skilled workforce and access to specialized knowledge in the energy sector. • Clear Regulatory Framework: The existing PPP Act Cap 430 provides a solid foundation for structured partnerships. | <ul style="list-style-type: none"> • Limited Experience in PPP Projects: As this is KETRACO's first PPP project, there is a learning curve associated with the new model. • Stakeholder Skepticism: Communities and PAPs may have doubts about the private sector's role in traditionally public projects. • Complex Land Acquisition Processes: Delays in land acquisition can significantly affect project timelines and costs. |
| Opportunities | Threat |
| <ul style="list-style-type: none"> • Increased Investment in the Energy Sector: The PPP model can attract more private investment, accelerating grid expansion. • Technology Transfer and Innovation: Partnership with private entities can lead to knowledge exchange and adoption of best practices. • Regional Energy Integration: Successful PPP implementation can position KETRACO as a leader in cross-border electricity transmission projects. | <ul style="list-style-type: none"> • Political and Regulatory Changes: Changes in policy or government priorities can disrupt project continuity. • Community Opposition and Legal Challenges: Miscommunication or perceived unfair compensation can lead to resistance from PAPs. • Economic Uncertainty: Fluctuations in economic conditions may affect project financing and sustainability. |

Goals for PPP/PIP Stakeholder Engagement plan

Effective stakeholder engagement is a critical element for the success of PPP/PIP projects. For KETRACO, implementing PPP/PIP projects requires managing diverse stakeholder interests, ensuring compliance, and building strong relationships to support project execution and long-term sustainability.

The goals of this communication plan include: -

- a) To ensure that all identified stakeholders are aware of the project/issues
- b) To get social license from all stakeholders for project implementation
- c) To create a sense of ownership of the project in the stakeholder
- d) To enable smooth implementation of the project

To achieve the above goals, a stakeholder mapping and analysis has been done, and a Stakeholder Engagement Plan (SEP) has been developed as shown on annex1.

Stakeholder mapping

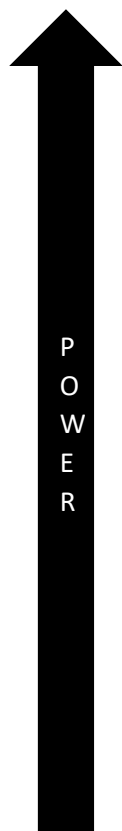
Mendelow's Stakeholder Mapping Model categorizes stakeholders based on their level of power and interest, which helps identify the best strategies to engage with each group. This categorization informs the communication plan by allowing KETRACO to prioritize resources and tailor messages according to each stakeholder's influence and expectations.

The stakeholder groups are divided into four quadrants:

1. **High Power, High Interest (Manage Closely)**: Stakeholders in this category are crucial for the project's success. They must be actively engaged and informed, as their support and feedback can significantly impact project implementation.
2. **High Power, Low Interest (Keep Satisfied)**: While not directly involved, these stakeholders have the potential to influence the project if their interests are not addressed. Regular updates should be provided to keep them content.
3. **Low Power, High Interest (Keep Informed)**: This group may not have a strong influence but is highly interested in the project outcomes. Maintaining transparency and providing accurate information will build trust and support.
4. **Low Power, Low Interest (Monitor)**: Minimal engagement is needed, but it's important to keep an eye on this group to anticipate any shifts in interest or influence.

Table 3; Mendelow's Stakeholder Mapping

HIGH



| | |
|---|---|
| <p>High power, low interest; Keep satisfied</p> | <p>High power, High interest; Manage closely</p> |
| <p>National and Regional Government Bodies, Regulatory Agencies, and Certification Authorities:</p> <ul style="list-style-type: none"> • Ministry of Land, Housing and Urban Development • Ministry of Agriculture • Ministry of Environment and Natural Resources • Ministry of Water • Ministry of Interior and Coordination of National Government • Kenya Wildlife Service (KWS) • Kenya Civil Aviation Authority (KCAA) • Water Resources Management Authority (WRMA) • Large Electricity Consumers | <ul style="list-style-type: none"> • National Government and relevant ministries/departments • County Government and relevant ministries/departments • NLC (National Land Commission) • Development Partners • Government Policy Makers and Senior Officials • Regulator (EPRA) • KETRACO staff, board, Managers, and Supervisors • Ministry of Energy and Petroleum • National Treasury and Economic Planning • Office of the Attorney General |
| <p>Low power, low interest; monitor</p> | <p>Low power, high interest; Keep informed</p> |
| <ul style="list-style-type: none"> • Other Energy Sector Players | <ul style="list-style-type: none"> • Project Affected Persons (PAPs) • Local Communities • Local Formal and Informal Leaders, Community Representatives, Opinion Leaders, and Politicians • General Public • Consultants • The Media |

LOW



LEVEL OF INTEREST

Communication Plan Objective

To effectively engage and communicate with different stakeholders based on their level of power and interest in KETRACO's project, ensuring transparency, gaining buy-in, and maintaining positive relations throughout the project life cycle.

Overview:

Stakeholders are categorized into four groups:

1. High Power, High Interest (Manage Closely)
2. High Power, Low Interest (Keep Satisfied)
3. Low Power, High Interest (Keep Informed)
4. Low Power, Low Interest (Monitor)

Each category has a tailored communication strategy that addresses specific needs, concerns, and engagement levels.

High Power, High Interest (Manage Closely)

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---|--|---|--|---|---|--------|
| <ul style="list-style-type: none"> • National and Government and Relevant Ministries/Departments • Ministry of Energy and Petroleum • National Treasury and Economic Planning • Office of the Attorney General • County Government and Relevant Ministries/Departments • National Land Commission (NLC) • Development Partners • Government Policymakers and Senior Officials | <p>Need to ensure compliance to relevant Laws and obtain necessary permits, authorizations, and support.</p> | <ul style="list-style-type: none"> • Support for the PPP project • Issuance of relevant permits, licenses, authorization, certifications etc for the PP project • Ensure continuous engagement to maintain interest and support. • Provide timely project updates and highlight project benefits. • Address concerns | <ul style="list-style-type: none"> • PPP project objectives • PPP project implementation modalities • Land and right of way acquisition process • Required permits, licenses, authorizations and certification for the implementation of the PPP project • Government support for the PPP project | <ul style="list-style-type: none"> • Regular Meetings and Consultations: meetings and status reports to keep them informed and engaged. • Presentations and briefings; tailored presentation to outline progress, challenges and milestones • Formal reports and status updates; comprehensive reports shared through official channels; emails and letters | <ul style="list-style-type: none"> • Before commencement of project, during project implementation and on need basis | |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---------------------|---|---|--|--|---|---|
| | | promptly to build trust and transparency | | | | |
| Regulator (EPRA) | Regulates tariffs and other compliance aspects; their support is crucial for project success. | <ul style="list-style-type: none"> • Maintain strong relationships, ensure alignment of project goals, gain support and guidance on tariff determination for the PPP project | <ul style="list-style-type: none"> • PPP project description • PPP project objectives • PPP project parties, roles and relationships • PPP project implementation modalities | <ul style="list-style-type: none"> • Regular Meetings and Consultations: meetings and status reports to keep them informed and engaged. • Presentations and briefings; tailored presentation to outline progress, challenges and milestones • Formal reports and status updates; comprehensive reports shared through official channels; | <ul style="list-style-type: none"> • During PPP project evaluation and negotiations, • Before project commencement and • On need basis | <ul style="list-style-type: none"> • |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---|---|---|--|---|--|---|
| | | | | emails and letters | | |
| KETRACO staff, board, Managers, and Supervisors | Core team for project success. Must be closely managed to ensure project goals are met. | <ul style="list-style-type: none"> • Involve in decision-making to achieve consensus. • Disclose project information and gain support for the project | <ul style="list-style-type: none"> • PPP project description • PPP project objectives • PPP project parties, roles and relationships • PPP project implementation modalities | <ul style="list-style-type: none"> • Stakeholder Forums and Roundtable Discussions: Opportunities to gather feedback and co-create solutions. | <ul style="list-style-type: none"> • Before commencement of project and • Throughout the project implementation period on quarterly basis, or as need arises | <ul style="list-style-type: none"> • |

High Power, Low Interest (Keep Satisfied)

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Methods | Frequency | Budget |
|--|--|---|---|---|--|--------|
| <p>National and Regional Government Bodies, Regulatory Agencies and Certification Authorities</p> <ul style="list-style-type: none"> Ministry of Land, Housing and Urban Development Ministry of Agriculture Ministry of Environment and Natural Resources Ministry of Water Ministry of Interior and Coordination of National Government | <p>Might have influence, especially in sector-specific issues.</p> | <ul style="list-style-type: none"> Keep them updated on critical project milestones. Prevent negative perceptions by addressing issues before they escalate. Highlight areas of interest related to their sectoral impact. Gain support for the PPP project in terms of | <ul style="list-style-type: none"> Compliance with sector regulations and policies. Project impact on infrastructure and service delivery. Opportunities for sectoral synergies and improvements PPP project objectives PPP project implementation modalities Land and right of way | <ul style="list-style-type: none"> Briefings and status updates: Sharing project developments relevant to their interests. Formal Reports and Compliance Documentation: Detailed reports on environmental, regulatory, and policy compliance. Engagement Workshops and Sectoral Meetings: Specific sessions to address sectoral impacts | <p>Before commencement of project, during project implementation and on need basis</p> | |

| | | | | | | |
|---|--|---|--|--|--|--|
| <ul style="list-style-type: none"> • Kenya Wildlife Service (KWS) • Kenya Civil Aviation Authority • Water Resources Management Authority (WRMA) | | <p>issuance of relevant permits, licenses, authorization, certifications etc for the PP project</p> | <p>acquisition process</p> <ul style="list-style-type: none"> • Government support for the PPP project | <p>and align project objectives.</p> | | |
| <p>Large Electricity Consumers</p> | <p>The project impacts their operations; engagement will ensure smooth implementation.</p> | <ul style="list-style-type: none"> • Keep them updated on critical project milestones. | <ul style="list-style-type: none"> • Objectives of the PPP project • PPP project implementation process • Impact of the PPP project on their businesses | <ul style="list-style-type: none"> • Sensitizations • Key stakeholder meetings | <p>Before commencement of project, during project implementation, after project completion and on need basis</p> | |

Low Power, High Interest (Keep Informed)

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---|---|---|---|--|--|--|
| <ul style="list-style-type: none"> Project Affected Persons (PAPs) | <p>They have a high interest as the project directly affects them. Address their concerns to gain project acceptance.</p> | <ul style="list-style-type: none"> Build trust and maintain transparency. Provide consistent information on project impacts, progress, and benefits. To get social license to implement the project Identifying project Impacts and Needs – will help to assess how the project affects PAPs, revealing specific needs and risks. Building Trust and Transparency - Open communication with PAPs will foster trust and reduce misunderstandings. | <ul style="list-style-type: none"> PPP project implementation modalities The PPP project parties, roles and responsibilities of each party and the relationship between the parties Description of the project e.g. wayleaves, design structures etc RAP process EIA process Land and right of way acquisition process for PPP projects Compensation procedure for affected assets | <ul style="list-style-type: none"> Community Meetings and Barazas: Regular town hall meetings to discuss project progress, challenges, and community concerns. Project Information Brochures and Flyers: Simple, accessible materials distributed in local languages. Public Notices and Announcements: Posters and radio announcements both in English, Swahili and vernacular to reach a wider audience. | <ul style="list-style-type: none"> Before project commencement and throughout the project implementation period on monthly basis and as need arises | <ul style="list-style-type: none"> |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---------------------|--|--|--|--|--|--|
| | | <ul style="list-style-type: none"> Designing Effective Mitigation Measures - Engagement will aid in creating tailored | <ul style="list-style-type: none"> Key legislation guiding the processes Project benefits including employment opportunities and CSR projects Grievance Redress Mechanism | <ul style="list-style-type: none"> Local Media and Social Media Engagement: Use of local radio, TV, and social media platforms to provide updates and address emerging issues. Sensitization and awareness creation; in relation to project schedule, activities, compensation for assets affected by the project Phone calls Road shows and campaigns Media tours | | |
| Local Communities | They have a strong interest but low power. | <ul style="list-style-type: none"> Create awareness in relation to project schedule, | <ul style="list-style-type: none"> Project benefits including | <ul style="list-style-type: none"> Through the Local Administration | <ul style="list-style-type: none"> Before project commencement and throughout | <ul style="list-style-type: none"> |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|--|--|---|---|--|---|---|
| | Ensuring they are informed can prevent resistance. | activities, and benefits from the project | employment opportunities <ul style="list-style-type: none"> • Labour influx • GBV & SEA issues • CSR projects • Grievance Redress Mechanism | Officers (i.e. chiefs and sub-chiefs) and through direct consultations, focus groups discussions focus on public barazas and direct discussions with PAPs. <ul style="list-style-type: none"> • Road shows and campaigns • Media tours | the project implementation period | |
| <ul style="list-style-type: none"> • Local Formal and Informal Leaders, Community Representatives, Opinion Leaders, and Politicians | High influence on community sentiment. Addressing their concerns will facilitate social license for the project. | <ul style="list-style-type: none"> • Ensure understanding of compensation process, possible relocation, and social benefits for affected persons. • Maintain good relations with local communities. • To get social license and buy in for the project | <ul style="list-style-type: none"> • project activities affecting local communities. • Stakeholder feedback and grievance mechanisms. • RAP implementation process • ESIA process | <ul style="list-style-type: none"> • Public meetings and Focus Group Discussions, Key Informant Interviews | <ul style="list-style-type: none"> • Before commencement of project activities and on need basis | <ul style="list-style-type: none"> • |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---------------------|---|--|--|--|-----------------------------|--------|
| | | | <ul style="list-style-type: none"> • Land and right of way acquisition process for PPP projects • Rights of the Project Affected Persons and surrounding communities • PPP project benefits to the communities • Grievance Redress Mechanism | | | |
| General Public | Broad-based group with high interest. Need to be kept in the loop through public disclosure activities. | <ul style="list-style-type: none"> • Monitor perception and address misinformation • Public participation and buy in for the project | <ul style="list-style-type: none"> • Summary of the PPP projects • Implementation modalities of the PPP project • Socio-economic benefits of the PPP projects | <ul style="list-style-type: none"> • Publication of project information in two newspapers for national circulation and electronic media • Project Information Brochures and Flyers: Simple, | Before project commencement | |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---------------------|-------------|--------------------------|--------------|---|-----------|--------|
| | | | | <p>accessible materials distributed in local languages.</p> <ul style="list-style-type: none"> • Public Notices and Announcements: Posters and radio announcements both in English, Swahili and vernacular to reach a wider audience. • Local Media and Social Media Engagement: Use of local radio, TV, and social media platforms to provide updates and address emerging issues. • Social Media campaigns • Road shows | | |

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication Channels | Frequency | Budget |
|---------------------|---|--|---|--|---|--------|
| | | | | <ul style="list-style-type: none"> • Media/press briefings • Phone calls | | |
| Consultants | Directly involved in project delivery. Keeping them informed will enhance project efficiency. | <ul style="list-style-type: none"> • Build trust and maintain transparency. • Provide consistent information on project impacts, progress, and benefits. | <ul style="list-style-type: none"> • Disclosure of project information and coordination of project activities and deliverables. | <ul style="list-style-type: none"> • Meetings; to deliberate on Terms of Reference: expectations and responsibilities of all parties involved. • Reporting timelines and schedules | Before commencement of project and/or throughout the project implementation period as needed. | |
| The Media | They influence public perception and need to be well informed to prevent misinformation | <ul style="list-style-type: none"> • Maintain a neutral to positive outlook on the project. • Monitor perception and address misinformation • Disclose project information and public participation | <ul style="list-style-type: none"> • PPP project description • Affordability of the PPP project • PPP project parties, roles and relationships Objectives of the PPP project | <ul style="list-style-type: none"> • Press releases and media briefings: Regular updates on project milestones and developments. • Website updates • Social media content creation | Before project commencement, quarterly and on need basis | |

Low Power, Low Interest (Monitor)

| Stakeholders Groups | Explanation | Communication Objectives | Key Messages | Communication channels | Frequency | Budget |
|-----------------------------|--|---|--|---|--|---|
| Other Energy Sector Players | Monitor on awareness of project milestones and processes | <ul style="list-style-type: none"> • Ensure awareness of major milestones and project success. | <ul style="list-style-type: none"> • Project milestones and successes. • Sectoral relevance and future implications. • Opportunities for collaboration and shared learning. | <ul style="list-style-type: none"> • Newsletters: Including KETRACO's news in sectoral publications. • Email Updates: Specific updates for key energy sector players. • Social media; content creation and targeted posts | <ul style="list-style-type: none"> • As-needed for media; quarterly for other sector players. | <ul style="list-style-type: none"> • |
| | | | | | | <ul style="list-style-type: none"> • |

Risk Assessment Matrix for KETRACO's PPPs/PIPs

This PR risk assessment matrix aims to outline potential public relations risks, their impacts, and recommended mitigation measures to guide the communications team in addressing stakeholder concerns proactively. It serves as a tool to help align communication strategies with the realities of the project, anticipate stakeholder reactions, and maintain transparency. By focusing on risk preparedness and proactive communication, this matrix will enable KETRACO to maintain positive stakeholder relationships and safeguard its corporate image throughout the PPPs/PIPs project lifecycle.

| Risk | Responsibility | Risk Category & Description | Level of Impact | Mitigation Measures |
|---------------------------|----------------|--|-----------------|--|
| Land Acquisition Risk | Private Party | Challenges in acquiring land and compensation issues with the Project Affected Persons (PAPs). | High | <ul style="list-style-type: none"> - Conduct thorough and continuous community engagement . - Develop a robust grievance redress mechanism. - Collaborate with the Ministry of Lands and local leaders. |
| Site Risk | Private Party | Unforeseen site conditions leading to delays or design changes. | Medium | <ul style="list-style-type: none"> - Perform detailed site studies and assessments. - Include site variability contingencies in the project budget and timeline. |
| Permit and Licensing Risk | Private Party | Delays or complications in obtaining necessary approvals and permits. | High | <ul style="list-style-type: none"> - Proactive stakeholder engagement with regulatory bodies. - Track and expedite |

| Risk | Responsibility | Risk Category & Description | Level of Impact | Mitigation Measures |
|------------------------------|----------------|---|-----------------|---|
| | | | | approval processes. - Establish clear channels of communication. |
| Construction/Completion Risk | Private Party | Delays and cost overruns due to unforeseen circumstances. | High | - Use detailed project management tools. - Maintain contingency budgets. - Conduct regular progress reviews and stakeholder updates. |
| Design Risk | Private Party | Design flaws or changes leading to increased costs and delays. | Medium | - Perform rigorous design reviews. - Engage experienced designers and project managers. - Ensure inclusion of flexibility in design to accommodate modifications. |
| Operations Risk | Private Party | Failure to achieve expected operational performance. | High | - Establish detailed SOPs for operations. - Hire experienced personnel for operations management. - Develop a clear response plan for performance issues. |
| Maintenance Risk | Private Party | Maintenance issues impacting reliability and longevity of infrastructure. | Medium | - Develop a comprehensive maintenance schedule. |

| Risk | Responsibility | Risk Category & Description | Level of Impact | Mitigation Measures |
|--------------------------------|-----------------------|---|------------------------|---|
| | | | | - Allocate sufficient resources for maintenance activities. |
| Financial Risk | Private Party | Challenges in securing or maintaining project financing. | High | - Ensure strong financial modeling and due diligence. - Create a diverse funding structure. |
| Inflation Risk | Private Party | Inflation affecting project costs and revenue. | Medium | - Use inflation-adjusted pricing models. - Regularly review financial models against inflation rates. |
| Social and Environmental Risks | Private Party | Public backlash, environmental degradation, and community opposition. | High | - Develop comprehensive CSR programs. - Engage communities on environmental issues. - Perform environmental impact assessments and adapt accordingly. |
| Political Risk | Contracting Authority | Changes in political climate affecting project implementation. | High | - Regularly engage with government officials. - Establish political risk insurance. - Include exit strategies in agreements. |
| Off-taker Risk | Contracting Authority | Failure of the off-taker to honor contracts, impacting revenue. | High | - Conduct off-taker creditworthiness analysis. - Use strong contractual |

| Risk | Responsibility | Risk Category & Description | Level of Impact | Mitigation Measures |
|--------------------------|----------------|--|-----------------|---|
| | | | | frameworks to mitigate non-payment risks. - Escrow accounts where reserve funds are set aside to cover payments in case of off-taker default |
| Performance/Default Risk | Shared | Underperformance by project partners or contractors leading to defaults. | High | - Establish strict performance criteria and penalties. - Monitor performance regularly. - Develop contingency plans for partner defaults. |
| Termination Risk | Shared | Project termination due to disputes or non-compliance. | High | - Develop clear exit strategies in contracts. - Include termination clauses for dispute resolution. |
| Force Majeure | Shared | Unexpected events (natural disasters, pandemics, etc.) disrupting the project. | Medium | - Include force majeure clauses in contracts. - Establish disaster preparedness and response plans. |
| Early Development Risk | Private Party | Delays or issues during the initial stages of project development. | Medium | - Perform comprehensive feasibility studies. - Engage with stakeholders early to identify potential challenges. |

| Risk | Responsibility | Risk Category & Description | Level of Impact | Mitigation Measures |
|---------------------|----------------|--|-----------------|---|
| Insurance Risk | Private Party | Inadequate insurance coverage for various project risks. | Medium | <ul style="list-style-type: none"> - Secure comprehensive insurance policies covering key risks. - Regularly review and update insurance coverage. |
| Strategic Risk | Private Party | Misalignment between project goals and broader strategic objectives. | Medium | <ul style="list-style-type: none"> - Develop a clear strategic alignment plan. - Ensure regular strategy reviews and updates. |
| New Technology Risk | Private Party | Technology failures or incompatibility affecting project delivery. | Medium | <ul style="list-style-type: none"> - Use proven technologies. - Conduct regular technology audits. - Include clauses for technology upgrades or alternatives in contracts. |

Monitoring and Reporting

The implementation of the Communication Plan will be monitored on a regular basis. The effectiveness of engagement activities will be evaluated against the goals and objectives set out in the plan. This evaluation will examine the extent to which activities were implemented in accordance with the plan and the extent to which they achieved the objectives defined here.

The Project will monitor the stakeholder engagement activities and in particular:

- The implementation of the stakeholder engagement Plan;
- The effectiveness of the engagement process in managing impacts and expectations by tracking responses received from engagement activities;
- Consultations and disclosure activities conducted with stakeholders; and
- All grievances received and resolved whether anonymous or non-anonymous.

Performance will be evaluated bi-annually by tracking:

- Place and time of formal engagement events and level of participation by specific stakeholder categories and groups with due consideration for gender disaggregated (e.g., participation in engagement events);
- Numbers and type of grievance and the nature and timing of their resolution;
- Materials disseminated, i.e., type, frequency, and location;
- Number of comments by issue/ topic and type of stakeholders, and details of feedback provided; and
- Community attitudes and perceptions towards the Project based on media reports and stakeholder feedback.

Reporting

KETRACO will develop regular reports (typically quarterly). The reports will present all activities, including stakeholder engagement activities, for the period and summarize the issues. The report and its annexes will also detail the measures taken to address the issues, timeline of responses, as well as corrective and mitigation measures to address grievances and analysis of trends. Data reported on will include the following activities:

- Information disclosure materials
- Public announcements and engagement of media; and

- Disclosure and consultation meetings; and
- Collection and incorporation of comments and feedback.

The Communication Plan will be periodically revised and updated as necessary to ensure that the information and the methods of engagement remain appropriate and effective in relation to the project context. Any major changes to the project related activities and to its schedule will be duly reflected in the updated SEP. Monthly/quarterly summaries and internal reports on public grievances, enquiries and related incidents, together with the status of implementation of associated corrective/preventive actions will be collated by responsible staff and referred to the senior management of the project.

The monthly/quarterly summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the project's ability to address those in a timely and effective manner.

ANNEXES

Annex 1: Template to Capture Consultation Minutes

| Stakeholder (Group or Individual) | Dates of Consultations | Summary of Feedback | Response of Project Implementation Team | Follow-up Action(s)/Next Steps | Timetable/ Date to Complete Follow-up Action(s) |
|--------------------------------------|------------------------|---------------------|---|--------------------------------|---|
| | | | | | |
| | | | | | |

Annex 2: Complaints form

1. Complainant's Details: (Optional)

Name (Dr / Mr / Mrs / Ms) _____

ID Number _____

Postal address _____

Mobile _____

Email _____

County _____

Age (in years): _____

2. Are you requesting for confidentiality for the information?

Yes No

3. Is there any fear/ risk of retaliation or attack or victimization?

Yes No

4. Which institution or officer/person are you complaining about?

5. Have you reported this matter to any other public institution/ public official?

Yes No

6. If yes, which one?

7. Has this matter been the subject of court proceedings?

Yes No

8. Please give a summary of your complaint and attach all supporting documents [Note to indicate all the particulars of *what* happened, *where* it happened, *when* it happened and by *whom*]

7.. What action would you want to be taken?

Signature _____

Date _____

