

USAID AMPATH Uzima



Telephone: (+254)532033471/2 | Postal Address: P.O. Box 4606-30100, Eldoret, Kenya | Email: info@usaidampathuzima.or.ke

Stakeholder Engagement Strategy - Standard Operating Procedure (SOP)

Project: USAID AMPATH Uzima	No. of pages: 9
Approved by:	Sign: _____ Date _____
Effective Date: October, 2023	Next review date: October, 2026
Version No.:2	SOP Users: USAID AMPATH Uzima Staff, & Volunteers

1. Introduction/Rationale

The Academic Model Providing Access to Health Care (AMPATH) is a program under the auspices Moi Teaching and Referral Hospital (MTRH). USAID AMPATH Uzima is a five-year (2021-2026) integrated HIV service delivery program that is part of the KPHQ funded by the United States Agency for International Development (USAID). The purpose of the program is to increase the use of quality county-led health and social services in Elgeyo Marakwet, Trans Nzoia, Uasin Gishu and west Pokot counties. USAID AMPATH UZIMA also supports Increased Access to Quality Health and Social Services for OVC and their Families in Uasin Gishu and Trans Nzoia counties.

The program's Stakeholder engagement Strategy / Standards Operating Procedures (SOP) will serve the following objectives:

- Understand stakeholder engagement requirements and processes to meet standards and Best Practices
- Identify key stakeholders that are affected and/or able to influence the program and its activities,
- Identify the most effective methods and structures through which to disseminate program information, and to ensure regular, accessible, transparent, and appropriate consultation,
- Develop a stakeholders engagement process that provides stakeholders with an opportunity to influence program throughout the lifecycle of USAID AMPATH Uzima
- Define roles and responsibilities for the implementation of the stakeholder engagement plan
- Define reporting and monitoring measures to ensure the effectiveness of the stakeholder engagement plan

2. Scope/ Focus

Stakeholders are individuals, groups and organizations who may be affected by or may influence program implementation. Stakeholder interests may be positively or negatively affected as a result of program execution or successful program completion. Stakeholder engagement involves interactions between identified groups of people and provides stakeholders with an opportunity to raise their concerns and opinions (e.g., by way of meetings, surveys, interviews, and/or focus groups), and ensures that this information is taken into consideration when making program decisions.

This Stakeholder Engagement Plan will assist USAID AMPATH Uzima program with managing and facilitating future engagement through the various stages of the program's life cycle, from baseline through to implementation, support supervision, monitoring and evaluation, and closure.

Effective stakeholder management remains at the core of program sustainability due to the following reasons:

- **Buy-in:** When other stakeholders will be impacted by a decision or initiative
- **Synergy/resource pooling and avoiding duplication:** When working on similar or reinforcing objectives
- **Lessons learned:** When others have experience in the area or issue at hand that we can learn from
- **Social capital:** When others have connections or influence we can leverage
- **Innovation and brainstorming:** When you need an injection of new ideas or a different perspective
- **Teamwork:** When people bring different skill, sets needed for an initiative
- **Sustainability and local ownership:** When others will need to carry on an initiative
- **Managing risk:** Engagement helps program proponents and communities to identify, prevent, and mitigate environmental and social impacts that can threaten program viability.

3. Principles for Effective Stakeholder Engagement

Stakeholder engagement is usually informed by a set of principles defining core values underpinning interactions with stakeholders. Common principles based on International Best Practice include:

- **Focused:** Engagement goals should be focused and relevant in order to ensure alignment. Expectation sought to be clear and realistic.
- **Managing Expectations:** It is important to ensure that USAID AMPATH Uzima does not create, or allow, unrealistic expectations to develop amongst stakeholders about potential Project benefits. The engagement process will serve as a mechanism for understanding and managing stakeholder and community expectations, by disseminating accurate information in an easily understandable manner.
- **Timely:** Engagement should be conducted in a timely manner to ensure that the perspectives of stakeholders can inform the outcome of program decisions that might affect them.
- **Mutual benefit** Is about ensuring that all the participants gain something valuable from collaboration.. In other words, engaging others should provide a 'win-win' situation for everyone
- **Transparency: Results in Building trust** not hiding things that matter from stakeholders. It is a way of being accountable to others. Transparency can be improved when each participant can explain their ambitions, hopes, strategies, constraints and concerns. It takes time to develop and build trust-based relationships with stakeholders. The consensus from practitioners is that from the outset relationships with stakeholders should develop and grow and that these relationships should be nurtured and fostered not to fade.
- **Inclusive & Representative:** The engagement should be structured in a way that enables the perspectives of diverse stakeholders to be considered. Engagement could include contact with representatives of broader social identity groups including OVC, AGYW, persons with disability, women, young people, minorities, and people living with HIV AIDS
- **Respectful:** In the context of stakeholder engagement, respecting means listening as well as sharing, and using an engagement approach that is culturally sensitive and accessible to all participants. This means considering context, location, format, and language.

- **Ensuring Compliance:** The process is designed to ensure compliance with both local regulatory requirements and international best practice.
- **Candid:** The process of selecting participants should be transparent, and engagement notes, actions, and outcomes should be shared with participants.

The Five-Step Approach



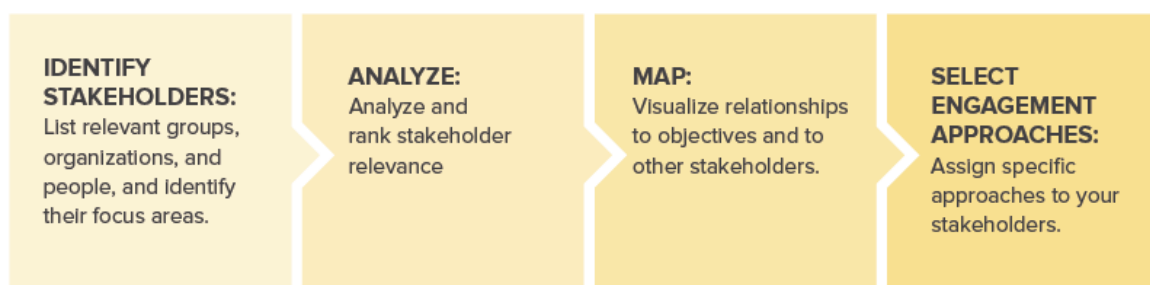
The strategy for engaging the stakeholder must be outlined in detail, such as **the types and frequency of communication**, for example, weekly emails, monthly phone calls, or weekly face-to-face meetings, and **the content of those communications**, for example, a weekly update that contains program progress, design information, and open house plans. The five key steps include:

1. **Engagement Strategy:** Set vision and level of ambition for future engagement, and review past engagements.
2. **Stakeholder Mapping:** Define criteria for identifying and prioritizing stakeholders, and select engagement mechanisms.
3. **Preparation:** Focus on long-term goals to drive the approach, determine logistics for the engagement, and set the rules.
4. **Engagement:** Conduct the engagement itself, ensuring equitable stakeholder contribution and mitigating tension while remaining focused on priorities.
5. **Action Plan:** Identify opportunities from feedback and determine actions, revisit goals, and plan next steps for follow-up and future engagement

4. Stakeholder Mapping and Analysis

Stakeholder mapping is a collaborative process of research, analysis, debate, and discussion that draws from multiple perspectives to determine a key list of stakeholders across the entire stakeholder spectrum. Mapping can be broken down into four phases:

Four Phases of Stakeholder Mapping



Stakeholder analysis determines the likely relationship between stakeholders and the program and helps to identify the appropriate consultation methods for each stakeholder group during the life of the program.

Below is a list of potential criteria you might use to analyse stakeholder organizations, groups, or individuals. This can be clustered into – Government sector, Civil society, Private sector, and Donors, not all of these criteria will be relevant for every engagement, and a maximum of four distinct criteria should be adopted

Influence: How much influence does the stakeholder have over your organisation or program, either directly or via other stakeholders? (You will need to clarify “whom” they influence—for example, other programs, NGOs, CBOs, beneficiaries, investors.). The level of influence can also help determine stakeholder level of priority in the program – High, medium or low. identify both internal and external stakeholders. The next step is to map those stakeholders into four groups:

- Low interest, low influence – those you need to keep informed
- High interest, low influence – those you need to involve and consult with
- Low interest, high influence – powerful key stakeholders you need to engage
- High interest, high influence – partners you need to collaborate with

Expertise: Does the stakeholder have information, counsel, or expertise on the issue that could be helpful to the program, either directly or because they will shape the future of an issue (for example, a recognized expert on circular-economy issues)?

Orientation: Is the view of the stakeholder toward the engagement/issue a collaborative or combative one? How willing is the stakeholder to engage with program and the overall process?

Vulnerability: To what degree will the stakeholder be impacted by the program, organisation, or initiative? Is the stakeholder a member of a vulnerable social identity group (for example, children, indigenous peoples), and is there a related human rights impact?

Capacity: To what degree does the stakeholder have the capacity to engage at the level desired by the program? To what degree is the stakeholder able to meet the commitments required for the entire engagement?

Trust: What degree of mutual familiarity and trust is there between the organisation and the stakeholder? Is there a track record of both sides adhering to commitments, respecting confidentiality, and engaging in productive dialogue?

5. Stakeholder Engagement Phases

Stakeholder engagement is an ongoing process throughout the implementation of USAID AMPATH Uzima program and there are three phases for Stakeholders Engagement Plan including Baseline Engagement Phase, Co-creation, Disclosure, Transition, and Consultation Phase with communities and stakeholders and Ongoing Engagement and throughout the program life cycle.

During the first phase -baseline/validation fieldwork, the focus of engagement is primarily on gathering information and opinions from stakeholders. Engagement activities included interviews with stakeholder representatives (informal leaders) and key information organizations (communities, authorities, NGOs) using one-on-one meetings, workshops, and smaller focus group meetings.

The second phase of engagement focuses on **co-creation (joint planning)**, disclosing, and consulting on the program implementation plan. This will also include the proposal development and award process. The specific objectives for this phase of engagement are to:

- Provide feedback to the stakeholders on the proposed work plan, budget, and associated management/mitigation measures (disclosure), and
- Gather stakeholder input in the areas that directly fall under them (co-creation) and identify enhancement measures (consultation).

The third step is **ongoing engagement** throughout the program life cycle. In order to measure success and build on your efforts for future activities, be sure to capture the following in writing during the engagement: the original purpose and aims of the engagement; the methods used; the participants; a summary of noted stakeholder concerns, expectations, and perceptions; a summary of discussions; and a robust list of outputs (decisions, actions, proposals, and recommendations). The documentations should be shared with all participants.

Considerations for Ongoing Engagement

To handle strategic or systemic issues of high importance to USAID AMPATH Uzima program will maintain ongoing engagement, for example via stakeholder forums and other structured engagements. Here are some key considerations before you move to establish a more formal, ongoing stakeholder engagement mechanism:

Anticipate and plan: If you consider ongoing engagement necessary for you to meet your goals, this more ambitious exercise will influence your stakeholder identification and mapping, as well as the trajectory of the ongoing relationship.

Develop a clear mandate: There are many reasons to bring stakeholders together on a regular basis, from providing strategic input to co-creating a new initiative. The point is to select one and then use it to guide the entire process, including establishment of a mutual understanding as to how the feedback will be used.

Composition: For an ongoing advisory function, trade-offs must be made in terms of breadth and depth on issues, as well as diversity of country of origin, gender, opinion, and expertise. A clear mandate will help you select the right balance.

Payment: If you seek an ongoing commitment from stakeholders, financial compensation will quickly become a consideration. Common practice includes paying honoraria and travel arrangements. USAID AMPATH Uzima program has a detailed guideline on travel and communication with stakeholders,

Confidentiality and disclosure: There should be clear guidelines for confidentiality and the sharing of decisions and key discussion points. You may encounter compelling, conflicting arguments for confidentiality and for transparent disclosure. Pick the one that makes the most sense, and stick to the agreed procedures.

Closing the feedback loop

1. **Keep your word:** If you say you are going to keep stakeholders updated, do so. Go a step further and tell them how frequently they will receive updates—and through which channels. This will help avert misunderstandings and set the stage for future engagement.
2. **Manage expectations:** The quickest way to destroy the trust you have built is to raise expectations you cannot meet. Always keep the lines of communication open. Never schedule engagement activities so late in a planning timeline that a given engagement can't shape future actions. Do not pretend to want feedback and then do nothing with it. If your goal is mainly to gather information, make this clear from the outset. Most important, let your stakeholders know how their feedback is to be used. Include the results in future engagement plans

6. Documenting Stakeholders

[Stakeholder engagement Matrix.xlsx](#)

6.1 Stakeholder Maps

Stakeholder maps help identify and prioritize key actors you need to collaborate with to achieve a goal and uncover opportunities to improve a system's overall performance by, for example, strengthening weak connections or filling gaps in the system. this should be kept at each LIP satellite office and should be updated on monthly basis abased on available stakeholders. (*Mapping tool is annexed*).

6.2 Stakeholder Matrix

USAID AMPATH Uzima program will maintain a county-based stakeholder register, which shall record all stakeholders, contact details, how and what stakeholder can contribute, and follow-up requirements. The document will be updated on an ongoing bases to capture key stakeholder issues. (*Sample stakeholder register is attached*)

6.3 Stakeholder Engagement Methods

The stakeholders will be engaged by use of different platforms as outline in the table below:

Table 1.0 Stakeholder engagement techniques

ENGAGEMENT TECHNIQUE	APPROPRIATE APPLICATION OF THE TECHNIQUE
Correspondences (Phone, Emails)	<ul style="list-style-type: none">• Distribute information to Government officials, NGOs, county Government, and organizations/agencies• Invite stakeholders to meetings and follow-up
One-on-one meetings	<ul style="list-style-type: none">• Seeking views and opinions• Enable stakeholder to speak freely about sensitive issues• Build personal relationships• Record meetings
Formal meetings	<ul style="list-style-type: none">• Present the Project information to a group of stakeholders• Allow group to comment – opinions and views• Build impersonal relation with high level stakeholders• Disseminate technical information• Record discussions

Public meetings (following COVID-19 guidelines)	<ul style="list-style-type: none"> • Present Project information to a large group of stakeholders, especially communities • Allow the group to provide their views and opinions • Build relationship with the communities, especially those impacted • Distribute non-technical information • Facilitate meetings with presentations, PowerPoint, posters etc. • Record discussions, comments, questions.
Focus group meetings	<ul style="list-style-type: none"> • Present Project information to a group of stakeholders (8- 15 people groups) • Allow stakeholders to provide their views on targeted baseline information • Build relationships with communities • Record responses
Project website	<ul style="list-style-type: none"> • Present project information and progress updates • Disclose SEP, GRM and other relevant project documentation
Project leaflet	<ul style="list-style-type: none"> • Brief project information to provide regular update • Site specific project information.
Surveys	<ul style="list-style-type: none"> • Gathering opinions and views from individual stakeholders • Gather baseline data • Record data • Develop a baseline database for monitoring impacts
Workshops	<ul style="list-style-type: none"> • Present project information to a group of stakeholders • Allow a group of stakeholders to provide their views and opinions • Use participatory exercises to facilitate group discussions, brainstorm issues, analyse information, and develop recommendations and strategies • Record responses

6.4. Program Stakeholder Engagement Plan

Stakeholder engagement is an inclusive process that must be conducted throughout the project cycle. The table below presents key stakeholders' engagement activities to take place during the project preparation stage through to implementation and closure. Additional activities can be included following consultations with project beneficiaries and other stakeholders if these are deemed useful and necessary.

Table 2: USAID AMPATH Uzima Program Stakeholder Engagement Plan

Target audience (who do you want to inform?)	Key messages for this audience (what do you want to tell them?)	Communication methods (how are you going to tell them?)	Responsible (who is responsible for doing it?)	Deadline (when should it happen?)	Status
AGYW, OVC, Persons with disability, Women, young	Overview of the program How they could be involved Clarify what matters to them? How they can provide feedback and communicate ideas	Face to face Feedback mechanisms	IP staff	Monthly	

people, minorities, and PLHIVs					
National/county Government representatives	Cocreation processes Joint implementation including joint supervision Joint Capacity building plans	Face to face Virtual/ Conference call	Technical team	Monthly	
Program Team	Update/review status of program Monitor and assign key tasks Monitor risks	Face to face Virtual/ Conference call	DCOP, Team leads	As necessary	
GoK/County Stakeholders (MOH,MOE, MOA, Trade, NGAO,DCS, Labour and social protection)	Program status – high level information Support may be required to ‘push’ the program or remove barriers Specific promotional support e.g., WAD, DAC Data to demonstrate progress over time	Face to face Conference call Written report/update	DCOP, Team leads	Quarterly	
Private sector stakeholders	Program purpose and why it matters Clarify their role in the program and what they can expect Discuss MOU to structure working relationship Review MOU Implementation plans and agree on way forward	Multiple methods e.g., email, round table/scheduled meetings, newsletters leaflets/flyers/screen savers, intranet, internal social media, launch countdown	Program team	Ongoing through program	
CHVs/GESPs/Caregivers	What is the program and its aims? Program concept such as case management? Clarify what matters to them? What will be different and how it affects them How they could be involved What matters to them? How they can provide feedback and communicate ideas	Multiple methods e.g. Regular scheduled meetings Talking walls Events Posters, leaflets/flyers, screen savers, ideas/feedback box	Program team	Ongoing through program	
Donors	Program plans, progress reports Queries	Written reports, Emails, Virtual meetings Field visits	Chief of party	Quarterly, as necessary	

6.4 Intended Users:

The guideline will be used by program management and staff to engage effectively with stakeholders.

7. Roles/Responsible Persons

- I. USAID AMPATH Uzima Program Chief of Party:
 - Provide overall strategic guidance and direction on Stakeholder engagements
- II. USAID AMPATH Uzima Program - DCoP
 - Technical leadership, oversight, and supervision of initiatives on Stakeholder engagement strategies and plans

- III. USAID AMPATH Uzima technical staff – Cooperate Communications Manager, OVC, PMTCT/Community Services, HTS/Prevention, M&E, RSPO, Finance
- Support Building capacity of program staff on stakeholder engagements
 - Supportive supervision to program staff
 - Support program to enhance stakeholder contribution and monitoring of activities
 - Ensuring Community stakeholders are informed and participating

8. Documentation/tools/materials

Stakeholder Mapping & Analysis tool

9. Monitoring And Reporting Stakeholder Engagements

Table 2: Monthly Stakeholder engagements

	Name of Stakeholder	Area of collaboration/ Engagement		County	# of beneficiaries during reporting period
		Stakeholder	USAID AMPATH Uzima		
1					
2					