



Republic of Kenya

EXECUTIVE OFFICE OF THE PRESIDENT

**KENYA DEVELOPMENT RESPONSE TO
DISPLACEMENT IMPACTS PROJECT (KDRDIP)**

COMMUNITY OPERATIONS MANUAL (COM)

July 2019

LIST OF ABBREVIATIONS

CBO	: Community Based Organization
CDD	: Community Driven Development
CF	: Community Facilitator
COM	: Community Operations Manual
CIPIU	: County Integrated Project Implementation Unit
CPMC	: Community Project Management Committee
CSC	: County Steering Committee
CTC	: County Technical Committee
DASAR	: Department for the Development of Arid and Semi-Arid Regions
ESMF	: Environmental and social Management Framework
ESMP	: Environmental and Social Management Plan
EOP	: Executive Office of the President
FM	: Financial Management
FP	: Facilitating Partner
GBV	: Gender-Based Violence
GOK	: Government of Kenya
GRM	: Grievance Redress Mechanism
IGAD	: Intergovernmental Authority on Development
KDRDIP	: Kenya Development Response to Displacement Impacts Project
LIPW	: Labour Intensive Public Works
M&E	: Monitoring and Evaluation
NEDI	: North and North-Eastern Development Initiative
NPSC	: National Project Steering Committee
NTC	: National Technical Committee

NPIU	: National Project Implementation Unit
PDO	: Project Development Objective
PIM	: Project Implementation Manual
PIST	: Project Implementation Support Team
PPADA	: Public Procurement and Asset Disposal Act
RAP	: Resettlement Action Plan
RPF	: Resettlement Policy Framework
SAC	: Social Audit Committee
CG	: County Government
SM	: Social Mobilizer
SP	: Sub-Project
SWC	: Soil and Water Conservation
VC	: Village Committee
VLC	: Village Level Committee.
VMI	: Vulnerable and Marginalized Individuals
VMGF	: Vulnerable and Marginalized Group Framework
VMG	: Vulnerable and Marginalized Group Plan
WB	: World Bank
WC	: Ward Committee

TABLE OF CONTENTS

TABLE OF CONTENTS	4
CHAPTER 1: INTRODUCTION TO COMMUNITY OPERATIONS MANUAL (COM)..	6
CHAPTER 2. OVERVIEW OF KDRDIP	8
2.1 Project Development Objective	8
2.2 Project Components	8
2.3 Project Duration and Area.....	9
2.4 Project Approach.....	10
2.5. KDRDIP Implementation Arrangements	10
2.6 The Theory of Change.....	15
CHAPTER 3. PROJECT CYCLE AT THE COMMUNITY LEVEL.....	16
CHAPTER 4: ROLL OUT PLAN OF KDRDIP ACTIVITIES	24
CHAPTER 5. COMMUNITY MOBILIZATION	29
CHAPTER 6: COMMUNITY INSTITUTIONS BUILDING AT VILLAGE LEVEL	36
CHAPTER 7: PARTICIPATORY PLANNING AND PREPARATION OF FIVE-YEAR COMMUNITY DEVELOPMENT PLANS (CDPs)	42
7.1. Community profiling, Situational Analysis and Assessment of Community Needs and Priorities	42
7.2. Preparation and Approval of the CDPs at the Village Level	47
7.3 Aggregation of CDPs and approval of annual workplan and budgets (AWP&B).....	50
CHAPTER 8. KDRDIP ENVIRONMENTAL AND SOCIAL SAFEGUARDS.....	54
8.1 Environmental and Social Safeguards.....	54
8.2 Grievance redress mechanism (GRM)	61
8.3 Grievance Redress Charter.....	65
8.4 Gender Based Violence (GBV).....	68
8.5 SEA in KDRDIP project	69
CHAPTER 9: COMMUNITY FINANCIAL MANAGEMENT.....	72
CHAPTER 10: COMMUNITY PROCUREMENT PROCESS AND GUIDELINES	77
CHAPTER 11: IMPLEMENTATION OF PROJECT COMPONENTS BY COMMUNITY INSTITUTIONS	86
11.1: Social and Economic Infrastructure and Services Component	86
11.1.1 Grievance redress mechanism in regards in component 1	94

11.1.2 Addressing GBV under component 1 (annex 4d)	94
11.2 Environment and Natural Resources Component	95
CHAPTER 12: MONITORING AND REPORTING PROJECT ACTIVITIES	116
APPENDIXES	118

CHAPTER 1: INTRODUCTION TO COMMUNITY OPERATIONS MANUAL (COM)

What is a community operation manual (COM)?

- The Community Operations Manual (COM) is a document giving comprehensive and systematic presentation on the concepts, processes, and procedures related to KDRDIP and for implementation of sub-activities under the project.
- COM is primarily a reference document to guide how the project will work.
- It also presents the overall information regarding the Project.
- The COM will be available in the public domain and hence would bring greater transparency.

What is the purpose and objectives of this COM?

Target:

This COM is primarily for people who are engaged in project implementation to help them understand the project flow and the processes involved.

Objectives:

- This COM provides the reasons for interventions and sequencing of activities and also informs project staff and partners about the intervention methodology thus enabling the smooth flow of project with right impetus.
- The COM is also for various stakeholders including the community and its institutions that would be formed as part of the project.
- The COM explains to the target community how the project can support them to improve their lives and reduce poverty by working together.

Unlike many projects, KDRDIP has a bottom-up approach with community deciding their needs and priorities and how to address them. The Community through various institutions would participate in the project and the COM would facilitate community involvement in various project processes.

What does the COM contain?

- The COM describes the project objectives, components and institutional arrangements that are established under the project.

- The arrangements made for the various institutions at the Village; Ward, Sub County and County levels that would be involved in the implementation of the project are also described.
- It describes different partners in the project and the roles and responsibilities of staff and stakeholders. The COM gives salient features of various community institutions, their formation processes and the mechanism of fund flow and reporting.
- The COM is a living document and may be revised as and when required as learning accumulates in the project. All participants in the KDRDIP are encouraged to share their learning and experience from project implementation so as to improve the steps, procedures, formats, arrangements, etc. to attain the project objectives effectively and efficiently.
- Any changes in the COM would be affected after formal notification by the project. However, changes would not alter the basic tenets of the project as laid out in the project appraisal document and the financing agreement.

CHAPTER 2. OVERVIEW OF KDRDIP

2.1 Project Development Objective

The Project Development Objective (PDO) is to improve access to basic social services, expand economic opportunities, and enhance environmental management for communities hosting refugees in the target areas of Kenya.

2.2 Project Components

Component 1: Social and Economic Services and Infrastructure

- This component will support improvements in access to basic services for the host and also refugee communities.
- The key services will include basic education, primary and secondary health services, water supply, sanitation, hygiene, and access roads infrastructure.
- In addition, the component will support capacity building of the National Project Implementation Unit, County Integrated Project Implementation Unit and other agencies in the implementation of the project.

Component 2: Environmental and Natural Resource Management.

- This component aims to manage the environmental impacts of protracted refugee presence which has resulted in deterioration of the environment and the natural resource base due to deforestation, degradation of grazing lands, competition for pasture, loss of wildlife, soil erosion, open disposal of solid waste (especially plastics), and uncontrolled abstraction of groundwater.
- The component will support environmental and natural resource restorative measures that will rehabilitate and improve the productivity of the natural resources and support other productive systems such as irrigated agriculture, access to water for humans and livestock, pasture development, including value addition for livestock and agricultural products.
- The interventions will include rehabilitation of degraded sites, agro-forestry, management of solid wastes (plastics) and provision of alternative energy sources such as solar, wind, and provision of access to improved and energy-saving devices

Component 3: Livelihoods Program.

- This component will support to increase the production and productivity of pastoralism (livestock), agro pastoralism (crop and livestock), agriculture (crops and livestock) and fisheries; and commercialize their livelihood activities for improved incomes, employment and self-reliance.

- Support for on-farm activities will aim to improve lives of pastoralists/agro -pastoralists through enhancing the production and productivity of livestock (goats, camels, cattle, and poultry) and dry land farming with an emphasis on rebuilding pastures.
- The support of off-farm activities will aim at strengthening the value chains for selected commodities and promoting agribusiness. It is anticipated that this will be achieved through access to financial services (through promotion of grassroots financial institutions); and strengthening technical and advisory services to help host communities identify viable businesses and/ or investment opportunities and income-generating activities. This component will also improve the capacities of community institutions for promoting inclusive and sustainable livelihoods. This will be done by establishing and building the capacity of community institutions for livelihoods, given the CDD approach of the project and primacy of community institutions in inclusive implementation and sustainability of project investments.
- For livelihoods promotion, the community institutions are Community Groups (CGs), village level livelihoods sub-committees, ward/cluster level committees, and producer organizations.

Component 4: Project Management, Monitoring and Evaluation and Knowledge Sharing.

- This component will ensure enhanced and effective project management, coordination and implementation and to support the design of the project monitoring and evaluation system.

2.3 Project Duration and Area.

The Project is for a five-year period (July 2017 – July 2022), it covers 3 Counties, five Sub counties and 31 Wards.

County	Sub County	Wards
Garissa	Dadaab	Dadaab, Labasigale, Damajale, Liboi, Abakaile, Dertu
	Lagdera	Modogashe, Benane, Goreale, Maalimin, Sabena, Baraki
	Fafi	Fafi, Nanighi, Bura, Dekaharia, Jarajila
Wajir	Wajir South	Diif, Benane, Burder, Dadajabulla, Habaswein, Logboghoh South, Ibrahim Ure.

Turkana	Turkana West	Letea, Songot, Kalobeyei, Lokichogio, Nanam, Kakuma, Lopur.
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2.4 Project Approach

KDRDIP will adopt the following approach to achieve its PDO:

Social Empowerment

- Empower the most disadvantaged people in the community – women and the youth in particular – through building their capacity, groups and associations to participate more effectively in the developmental process supported by the project and to increase their access and control over assets and services.
- Enhance the saving capacity of Community Groups (CGs) and increase their access to sources of credit through linkages with banks and other financial institutions.
- Achieve increased participation of women in community institutions and in the decision-making process.

Economic Empowerment

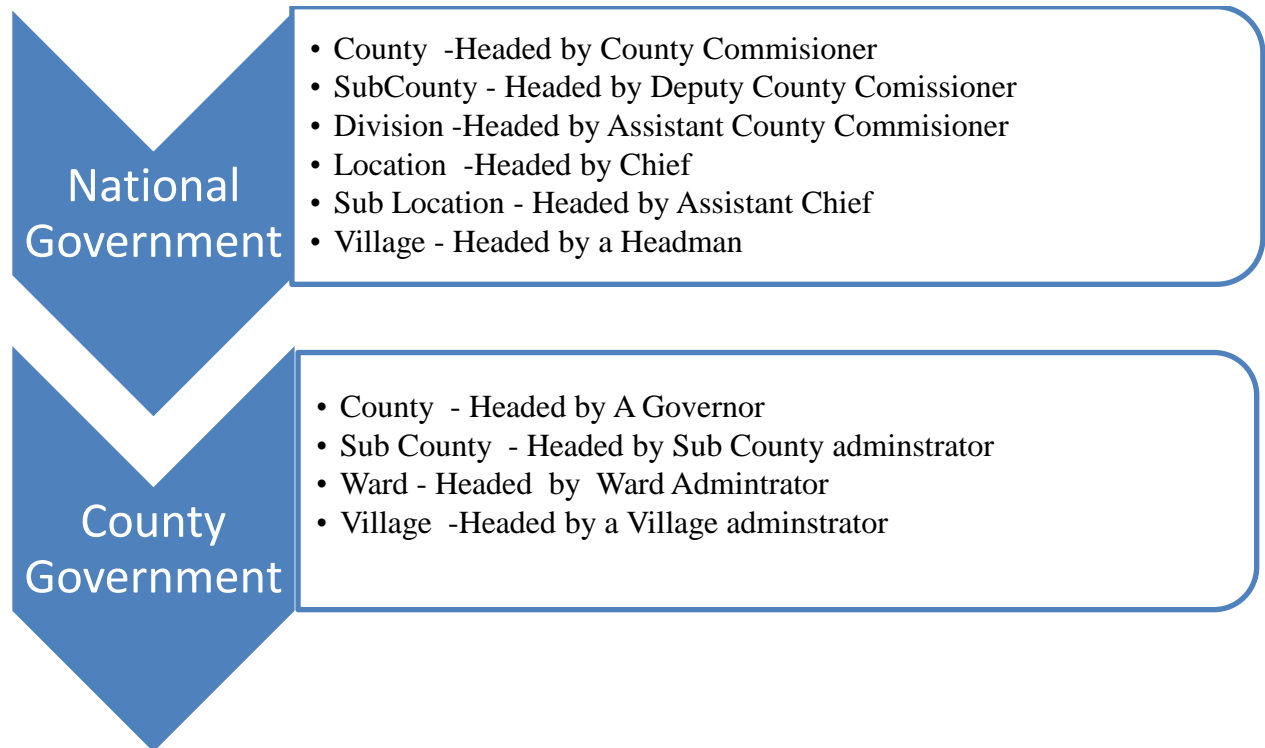
- Asset creation/enhancement strategies built around Community Groups and Producer Groups.
- Provide linkages to the communities with credit and financial institutions.
- Assess value addition needs and facilitate value addition at the community level.
- Provide skill development programmes/vocational training to village youth (men and women) for gainful employment.
- Promote businesses around natural resource base & current farming practices
- Provide basic social services to host communities.

2.5 KDRDIP Implementation Arrangements

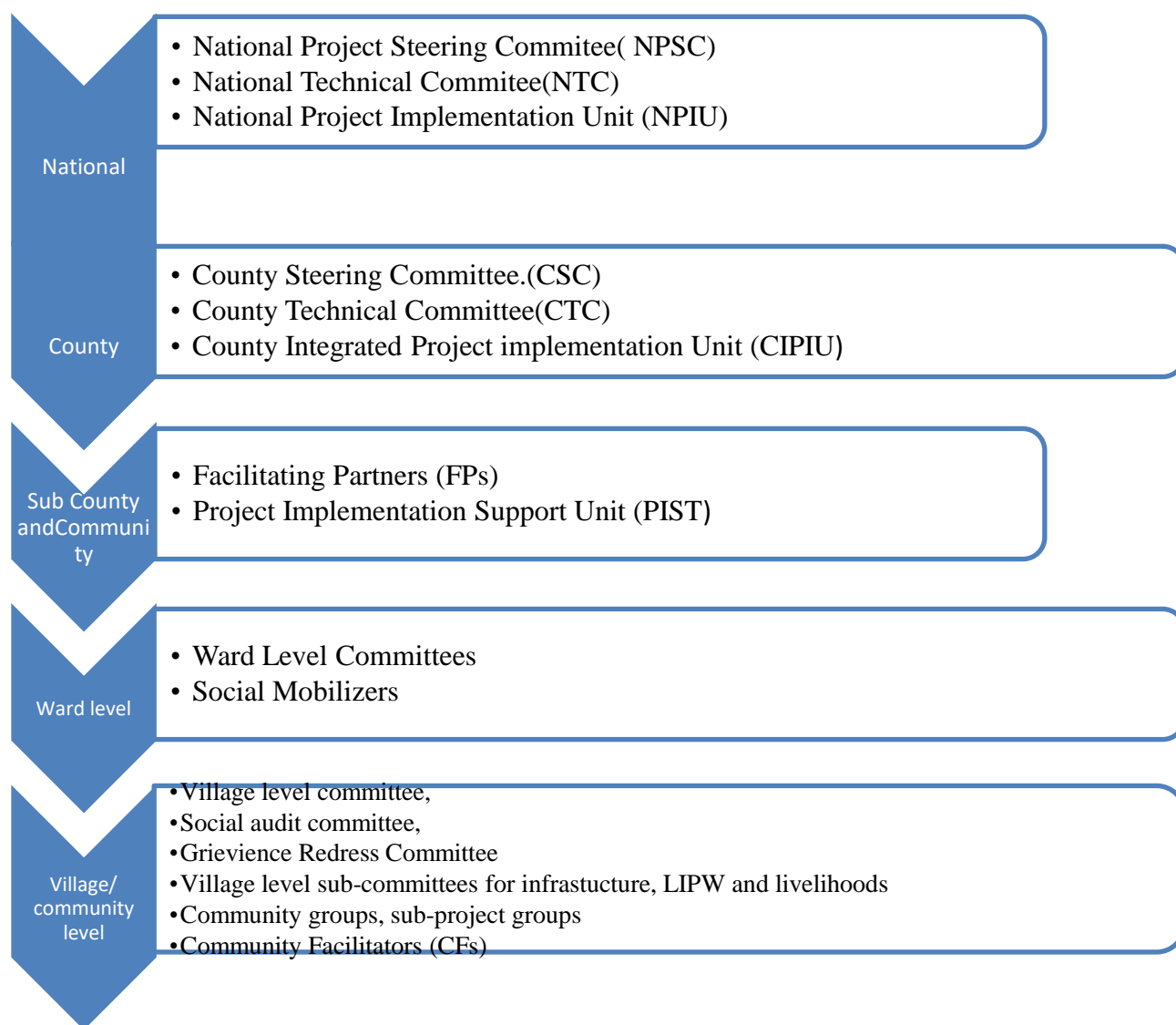
The Village is an administrative unit under Kenya's devolved system of Governance which begins from the County, Sub County, Ward and Village meaning that the village is the smallest administrative unit under the devolved system of Governance. In the context of KDRDIP, Village and Community are not used interchangeably as they are distinct units. A Village is equated to a Sub Location under Ministry of interior and Coordination of national Government and within a Village there are a number of communities which are groups of households living together in the same locality sharing common resources such as water, grazing resources, security etc. In

summary the village and community are not the same so they cannot be used interchangeably. Within a community are households which are the smallest implementation units for project activities.

National and County Governments Administrative Units.



KDRDIP Implementation Structure



Currently out of the three project Counties none has operationalized County Government administrative structures below the Ward level.

Key structures and their composition and Roles

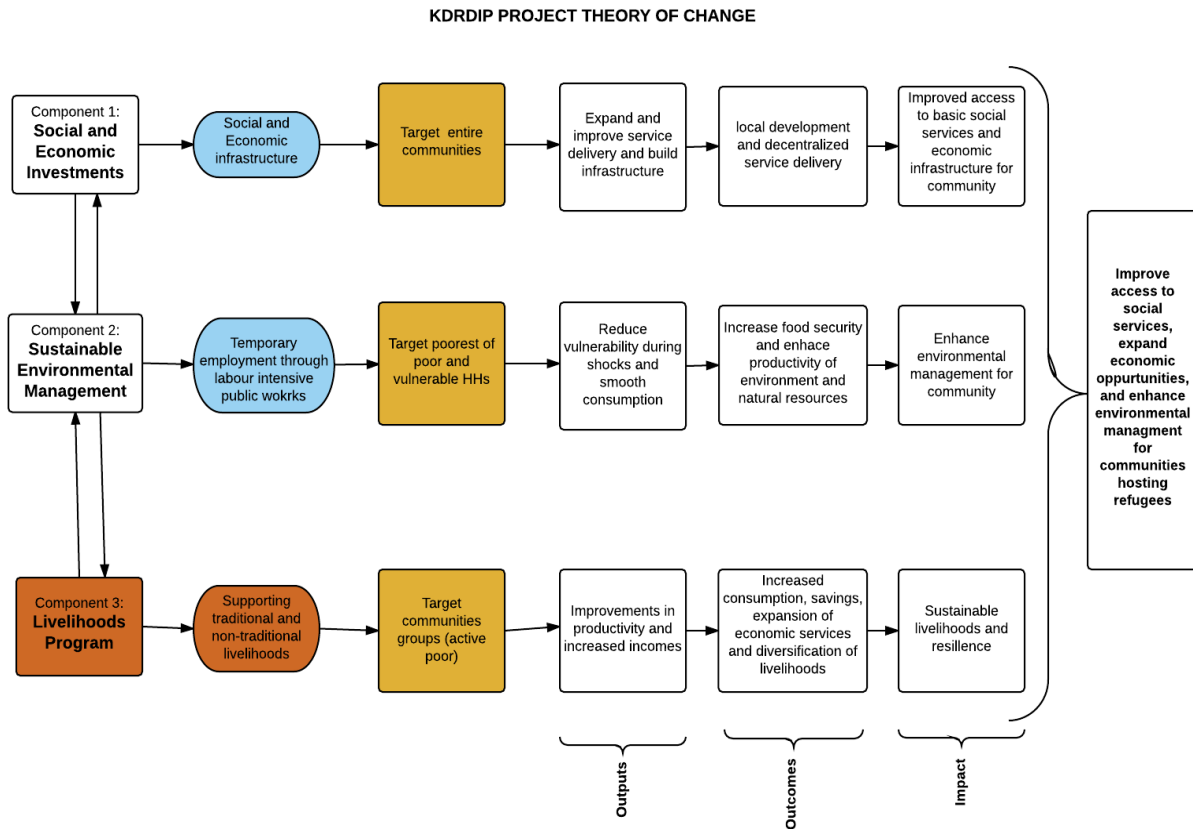
Project Unit	Composition	Roles and Responsibilities
National Steering Committee	<ul style="list-style-type: none"> Head of Public service, Governors of Turkana, Wajir and Garissa, Representative National treasury, UNHCR representative National Project Coordinator, Independent Expert. 	<ul style="list-style-type: none"> Provide policy directions, approve development plans and budgets
National Technical Committee	<ul style="list-style-type: none"> Principal secretaries of relevant line ministries 	<ul style="list-style-type: none"> Review of annual work plans and implementation progress
NPIU	<ul style="list-style-type: none"> Headed by the National Project Coordinator and core team composed of sectoral experts, procurement specialist, Financial management specialist, Social and Environmental safeguards, and Monitoring and Evaluation 	<ul style="list-style-type: none"> Implementation support and monitoring.
County Steering Committee	<ul style="list-style-type: none"> Co-chaired by County Secretary, and County Commissioner, Member of County Treasury, UNHCR Representative, County Coordinator as Secretary and representative of NPIU. Independent experts to be coopted on need basis 	<ul style="list-style-type: none"> Approval of Community Development Plan Approval of Annual Work plans and Budgets
County Technical Committee	<ul style="list-style-type: none"> Representative of Line Departments 	<ul style="list-style-type: none"> Appraisal of Community Development Plan Appraisal of Annual Work plans and Budgets NPIU Safeguards
CIPIU	<ul style="list-style-type: none"> County Coordinator, (M&E), County Project Representative (Seconded), Procurement Assistant, Accountant, Social and Environmental Safeguards specialists and driver. 	<ul style="list-style-type: none"> Implementation support and monitoring.

Roles and Responsibilities of staff at community Level

Staff	Composition	Roles
PIST (Project Implementation Support Team)	<ul style="list-style-type: none"> Line Ministries and Departments at County and Sub County level that have relevance to KDRDIP 	<ul style="list-style-type: none"> Provide technical support on implementation of sub-projects Prepare reports to CIPIU Coordinator on implementation progress. Coordinate sub-projects implementation with other stakeholders at the village level -to create synergy
Facilitating Partner	<ul style="list-style-type: none"> Team Leader/M&E Specialist, Social Development Officer LIPW Specialist Livelihoods Officer 	<ul style="list-style-type: none"> Conduct social mobilization at the village level Form and build capacity of community institutions for project implementation. Provide implementation support to communities Prepare and submit monthly, quarterly progress reports to CIPIU Coordinator. Grievance Redress Mechanism focal point for communities. Contribute to identification and mitigation of GBV risks within the project especially in the design and implementation of subprojects.
	<ul style="list-style-type: none"> Social Mobilizer: One man or woman per participating ward 	<ul style="list-style-type: none"> Provide a lead role in social mobilization to targeted villages in the ward, Provide capacity building for community facilitators. Supervise social mobilization and Implementation of activities at the ward Level. Prepare and submit monthly reports Implement GRM at the Ward level Ensure that 50% women benefit from the Project
	<ul style="list-style-type: none"> Community Facilitators One per village 	<ul style="list-style-type: none"> Provide support to the village committees and community groups Facilitate development of community sub-projects and groups Sensitize community on environmental and social safeguards Receives, resolves, escalates and provides feedback of grievances from village level Affected persons (APs)

2.6 The Theory of Change.

Theory of Change is a comprehensive description and illustration of how and why the desired change is expected to happen. The theory of change for KDRDIP at the community level is described in the Project development objective and illustrated in the diagram below:



CHAPTER 3. PROJECT CYCLE AT THE COMMUNITY LEVEL

Project Cycle at the Community Level:

The project cycle represents the key steps required in order to undertake planning and implementation of the project at the community level. The project uses Community Driven Development approach.

Key implementation steps				
Steps	Project Steps at the Community Level	Responsibility	Key Considerations	Expected Output
1	Pre-Village Entry Processes	NPIU, CIPIU, FP,	<p>Preparedness and Awareness</p> <p>Ensure involvement of CSC, CTC, PIST, UNHCR, and other partners at the sub county.</p> <p>Sub county Administrators, DCC, ACC and Ward administrators, MCAs, MP</p>	<ul style="list-style-type: none"> • Pre-Village entry stakeholders conference at the Sub County Level • Introduction of FP to the Sub county stakeholders • FP Presentation of Roll out plan • Awareness creation Materials • Minutes of the meeting • Assessment report on Capacities of PIST at Sub county level
2	Village entry process, consultation with leaders and stakeholder mapping. Mobilization and sensitization and planning.	FP (Social Mobilizers and community facilitators)	<ul style="list-style-type: none"> ▪ All the settlements must be sensitized ▪ Inform all the stakeholders ▪ Ensure inclusivity (Gender, youth, VMGs, clans and Sub-clans, not so schooled members) ▪ Take into account 	<ul style="list-style-type: none"> • Stakeholder mapping (include influential leaders and elite's/point men) • mobilization and sensitization plan • HH Mapping • Facilities and natural resource mapping • Inclusivity Action plan and guidelines (50% Women and also other VMGS)

			safeguard issues <ul style="list-style-type: none"> Assess GBV Ensure quality facilitation	<ul style="list-style-type: none"> GBV assessment plan (All project ought to assume GBV is occurring at the project area) FGDs and their minutes
3.	Community mobilization and sensitization process	FP, Chief, Assistant Chief and Ward Admins, CIPIU	<ul style="list-style-type: none"> Clear and targeted messages Prior publicity and effective communication channel Central and accessible venue for the entire village Timing of the meeting to take into account normal work patterns for women to enable attendance Ensure quality facilitation 	<ul style="list-style-type: none"> 1st Village Baraza done, Minutes of village Baraza Attendance report (list segregated by gender, settlement and VMG). Village Sensitization and Analysis Report Inclusivity Assessment report GBV Assessment Report (with suggested mitigation measures and community Dialogue plan)-As per social assessment and Analysis report for KDRDIP Village Level committees instituted, GRM Committee Sensitization dissemination report Training Plan for Village Committee (VLC, GRM) Report on Training and capacity Building of VLC, and GRM Committees
4	Formulation of Community Development Plans process	FP (Social Mobilizers and community facilitators), VLC	<ul style="list-style-type: none"> Ensure public participation, Ensure interest of VMGs, Minimize GRM issues 	<ul style="list-style-type: none"> Draft CDP, Minutes of meetings Report on CDP Development Process Report on inclusivity in the development of the CDP Community Watershed development plan

				<ul style="list-style-type: none"> • Summary report on existing livelihood groups in the village
5.	Community Public Baraza to validate/Approve the CDP	FP (Social Mobilizers community facilitators), VLC, Chief, Assistant Chief and Ward Admin.	<ul style="list-style-type: none"> ▪ Ensure community is mobilized and sensitized on the issues to be validated ▪ Clear and targeted messages ▪ Prior publicity and effective communication channel ▪ Central and accessible venue for the entire village ▪ Timing of the meeting to take into account of normal work patterns for women to enable attendance ▪ Ensure inclusivity in the ▪ committees ▪ Ensure quality facilitation 	<ul style="list-style-type: none"> • CDP Validation Public Baraza(s) • Minutes of the Village meeting(s) • Final CDP • Election of Sub-committees-LIPW, Infrastructure, Livelihoods • Election of SAC • Report on elected officials • Training Plan for the subcommittees
6.	Training and strengthening of village level committees and sub-committees	FP (Social Mobilizers and community facilitators), PIST, CIPIU	<ul style="list-style-type: none"> ▪ Ensure roles and responsibilities are clearly spelled out ▪ Venue to be accessible and central 	<ul style="list-style-type: none"> • Report on training of LIPW, Infrastructure, Livelihood subcommittees and the SAC • Letters of invitation of PIST to conduct training
7.	Formation and strengthening ward level committees	Facilitating Partner, PIST, CIPIU	<ul style="list-style-type: none"> ▪ Ensure roles and responsibilities are clearly spelled out 	<ul style="list-style-type: none"> • Report on training of Ward Level Committees • Letters of invitation of PIST to conduct training

			<ul style="list-style-type: none"> ▪ Venue to be accessible and central 	
8.	Aggregation, review and consolidation of CDPs by Ward Committees	Ward committees, with support from Social Mobilizers and Community Facilitators, CIPIU	<ul style="list-style-type: none"> ▪ Ensure no overlaps ▪ Ensure no omissions ▪ Align with CIDP ▪ 	<ul style="list-style-type: none"> • Notice of meeting • Ward Level CDP • Minutes of the CDP aggregation Meeting
9.	<p>Aggregation of CDPs at Sub-county level [to ensure participation]</p> <p>Submission to County Technical Committee via CIPIU for review and appraisal</p> <p>Submission to County Steering Committee for approval</p>	<p>Facilitating Partner team leader, Sub county admin, DCC</p> <p>CIPIU</p> <p>CTC, CSC</p>	<ul style="list-style-type: none"> ▪ Ensure no overlaps ▪ Ensure no omissions ▪ Clarity on any disparity ▪ Align with CIDP ▪ 	<ul style="list-style-type: none"> • Notice of meeting • Aggregated Sub County Level CDP • Approved CDP • Minutes for the same •
10.	a) Submission of Approved Sub-County CDPs to NPIU for Onward Submission to NTC and National Steering Committee (NSC) and World Bank for adoption	CIPIU, NPIU, NSC and World Bank	<ul style="list-style-type: none"> ▪ Ensure no overlaps ▪ Ensure no omissions ▪ 	<ul style="list-style-type: none"> • Approved CDP • Minutes of National Steering Committee Meeting • Letters submitting the CDP Document • No objection by the Bank •
	b) Approved CDP submitted back to the community for the development of the Work Plans	CIPIU, FP	<ul style="list-style-type: none"> ▪ Ensure all villages receive the approved CDP ▪ Ensure the villages are informed on the result of the 	<ul style="list-style-type: none"> • Village Baraza • Minutes of meeting if • Adoption of the approved CDP

			<p>Approval process</p> <ul style="list-style-type: none"> ▪ Ensure the approved CDP is publicized at the village level 	
11.	c) Development of Community Annual Work Plans and Budgets (AWP&B), and Annual Procurement Plans (PP) at the Village Level	FP, VLC, Livelihoods subcommittees, LIPW Subcommittees, Infrastructure sub-Committees, CPMCs, CGMCs, PIST, Safeguards Specialists	<ul style="list-style-type: none"> ▪ Ensure each component will come up with component-based work plans and estimated budgets to be aggregated as community Actual work plan and budget 	<ul style="list-style-type: none"> • Sub projects Feasibility Study • Training Plans for Village Committees on Annual Work plan and Budgets and Annual Procurement Plans • Annual Work plan and Budgets • Multiyear Work plans and Budget • Annual Procurement Plans • Letters of invitation to Safeguard and relevant PIST and its facilitation • Minutes of CPMC and CGMC Meetings • E&S Screening Checklist • GBV Screening Form • Report on Community Committees Training on AWP&B and BP
12	d) Aggregation, review and consolidation of AWP&B by Village Level committees	Village committees, with support from Community Facilitators, PIST	<ul style="list-style-type: none"> ▪ Ensure all Village AWP&B are captured ▪ Ensure they are in line with the approved CDP ▪ 	<ul style="list-style-type: none"> • Notices of meeting • Village Level AWP&B • Village Level Multi-year WP&B • Annual Procurement Plans • Minutes of the AWP&B aggregation Meeting • Letters of invitation of relevant PIST and its facilitation
13	e) Community Public Baraza to discuss safeguard issues	CIPIU Safeguards, PIST, FP (Social Mobilizers and community facilitators), VLC,	<ul style="list-style-type: none"> ▪ Ensure community Alignment of AWP&B with 	<ul style="list-style-type: none"> • Notice of meeting • Letters of invitation to Safeguard and relevant PIST and its facilitation

		Chief, Assistant Chief and Ward Admin.	<ul style="list-style-type: none"> ▪ safeguard issues ▪ Ensure inclusion of women and VMG in planning ▪ Ensure adequate Mobilization and sensitization ▪ Ensure quality facilitation 	<ul style="list-style-type: none"> • Summary Safeguard Report filled • Endorsement of AWP&B • Minutes of Meeting Baraza(s) • Attendance List segregated by Gender and VMGs •
14	f) Aggregation, review and consolidation of AWP&B by ward committees	Ward committees, with support from Social Mobilizers and PIST	<ul style="list-style-type: none"> ▪ Ensure all Village AWP&B are captured ▪ Ensure they are in line with the approved CDP ▪ 	<ul style="list-style-type: none"> • Ward Level AWP&B • Ward Level Multiyear WP&B • Annual Procurement Plans • Minutes of the AWP&B aggregation Meeting
15	<p>Aggregation of AWP&B at Sub-county level.</p> <p>Submission to County Technical Committee via CIPIU for review and appraisal</p> <p>g) Submission to County Steering Committee for approval</p>	<p>Facilitating Partner, Sub county Admin, DCC, CIPIU, PIST</p> <p>CIPIU</p> <p>CTC, CSC, WB</p>	<ul style="list-style-type: none"> ▪ Ensure all Ward AWP&B are captured ▪ Ensure they are in line with the approved CDP ▪ Ensure they are aligned with the CIDP ▪ Ensure the proposed budgets are realistic ▪ 	<ul style="list-style-type: none"> • Aggregated by Sub County Level AWP&B • Sub county Level Multiyear WP&B • Minutes of the AWP&B aggregation Meeting • Minutes of CTC and CSC Meeting • Clearance letter form the Bank •
16.	Review of County consolidated work plans and Budgets by National Project Implementation Unit (NPIU), submission to NTC for appraisal and to National steering committee (NSC) for approval for	CIPIU/NPIU	<ul style="list-style-type: none"> ▪ Ensure timeliness in the process ▪ Ensure the proposed budgets are realistic ▪ Ensure availability of funds 	<ul style="list-style-type: none"> • Approved County Work Plans and Budgets • Approved County Multiyear WP&B • Minutes of meeting • Funds disbursed to County Accounts

	disbursement of funds			
17	Implementation of the Work Plans	NPIU, CIPIU, FP, CPMCs, CGMCs, LIPWGs, Village sub-committees, VLC and PIST, CPCs, CGPCs	<ul style="list-style-type: none"> ▪ Ensure safeguards ▪ Ensure Financial prudence ▪ Ensure sustainability ▪ 	<ul style="list-style-type: none"> • Business plans • Report on Accounts Opened • Safeguard Screening forms • Designs and Bill of Quantities • MOU with Government • Disbursement of funds • Contracts • Completed sub-projects • Completion Certificates • Operation and Maintenance Manuals • Financial Reports (Quarterly/Annual) • Audited Financial Reports • Trainign and report of CPMC.CGMC on Suataiability of sub-projects
	Environmental and Social Safeguard	NPIU, CIPIU, CPMCs, CGMCs, LIPWGs, SACs, Village sub-committees, VLC and PIST,	<ul style="list-style-type: none"> ▪ Ensure adherence to safeguards in implementation ▪ Ensure inclusion of women 	<ul style="list-style-type: none"> • Safeguards Reports (Subproject screening, ESMP, ESIA, Land donation etc.) • Inclusivity Reports
	Grievance Redress	NPIU, CIPIU, FP, GRMCs,	<ul style="list-style-type: none"> ▪ Ensure a robust and Simple GRM 	<ul style="list-style-type: none"> • GRM Reports •
	Gender Based Violence	NPIU, CIPIU, FP	<ul style="list-style-type: none"> ▪ Ensure a Robust GBV Community Discussions 	<ul style="list-style-type: none"> • Schedule of GBV Community Dialogue Meetings • GBV Community Dialogue reports and Minutes
	Monitoring of Implementation	NPIU, CIPIU, VLC, SAC, SC-L, SC-LIPW, SC-Inf. CPCs, CGMCs, PIST, PM&ET	<ul style="list-style-type: none"> ▪ Ensure safeguards ▪ Ensure Finance Prudence 	<ul style="list-style-type: none"> • Household surveys, • Monitoring reports • Sub-project reports (Use M&E checklist and Format)

			<ul style="list-style-type: none"> ▪ Ensure observation of timelines ▪ Ensure standards are met ▪ Ensure inclusivity ▪ Ensure achievement of project results 	<ul style="list-style-type: none"> • Progress Reports • Audit reports • SAC Reports • Evaluation Reports (Annual, midterm and End Term) • Market surveys, a • Satisfaction surveys. • Minutes of meeting
	Project Closure	NPIU, CIPIU,	<ul style="list-style-type: none"> ▪ Ensure a robust Record keeping system ▪ Ensure project performance targets are achieved 	<ul style="list-style-type: none"> • Sub-project Reports • Project Report • Impact Studies • Updated Community Asset Register •

CHAPTER 4: ROLL OUT PLAN OF KDRDIP ACTIVITIES

The project will use Community Driven Development approach in its roll out of its activities. This will involve entry to the village (Sublocation) which is the lowest unit of implementation of the project. The process shall involve stakeholder's mapping and resource assessment, and thereafter develop the CDPs and the Annual work plans. Refer to the Steps in chapter 3

When and how will the Community Development Plans (CDPs) be developed?

All CDPs will be developed within the first year by Village Level Committees supported by the Facilitating Partner in all the villages in the sub counties.

The CDPs will thereafter be aggregated in all the wards by the Ward Level Committees with the support of the FP before they are forwarded to the CIPIU for onward transmission to the CTT for review and appraisal and later to CSC for approval. The approved CDPs are then returned to the respective villages to start the process of Development of AWP&B and Procurement Plans.

When and how will the Annual Work Plans and Budgets be developed?

All villages will develop their Work plans and Budgets in the first year of project implementation. As soon as the approved CDPs are received back at the communities, the VLC will task, each sub-committee to initiate the process of preparing component specific Work plans and Budgets complete with a procurement plan. The village level sub-committees and CPMCs/CGMCs with the support of the FP and PIST will develop the Work plans and Budgets at the village level. These workplans will include multiyear Work Plans and budgets.

The AWP&B and Procurement Plan will be subjected to the entire community in a baraza where a summary safeguards report will also be prepared. Thereafter the AWP&B with its procurement Plan and the Multiyear Plan will be forwarded for aggregation by the Ward Level Committees with the support of the FP. The aggregated plans will then be forwarded to the CIPIU for onward transmission to the CTT for review and appraisal and later to CSC for approval.

The approved AWP&B, Procurement Plans, and Multiyear Work Plans and Budget will then be forward to NPIU for onward transmission to NTC for appraisal and then to NSC for approval before funds are released to the sub-projects and activities.

Where and how will the interventions be rolled out?

In all the villages, initiated sub-projects and activities will be implemented on an incremental basis.

During the first year, few initial interventions will be implemented in every village as learning points and thereafter use the gained knowledge to upscale implementation of the sub- projects and community activities in the subsequent years in the same villages. This is further detailed in each component's specific roll out plan in chapter 11.

Guide matrix on roll out plan of KDRDIP activities at sub-county level and Village Level

YEAR	COMPONENTS	ACTIVITY	TOTAL DOCUMENTS FOR THE PROJECT		RF END TARGET (PAD)
COMMON PROCESS ROLL OUT ACTIVITIES					
YEAR 1	ALL	Development of CDPs	137		All Villages
	ALL	Development of Annual Work Plans and Budgets and their Procurement Plans	137		All Villages
COMPONENT SPECIFIC ROLL OUT ACTIVITIES					
YEAR	COMPONENT	SUBPROJECTS PER VILLAGE	SUB-PROJECTS PER SUB-COUNTY	KDRDIP SUB-PROJECTS ANNUALY (cumulative)	RF END TRAGET (PAD)
YEAR 1	1	Ten (10) for the entire subcounty. A minimum of ten villages will receive project intervention, most projects will roll over into and be completed in the next financial year	10 Sub-projects per subcounty (10 villages)-The ten will be prioritized by the ward level committee)	50	80 Sub-projects
	2	Each village will receive project intervention approximately 8HA (Demonstration farms, Pilot pasture farms and green belts and	216 HA	1080HA	11,190HA

		restoration environmental interventions etc)			
	3	Each village will receive intervention to support an average of three (3) enterprises	80 Groups per Subcounty	400 Groups	2,700 Groups
YEAR 2	1	Each village in the entire subcounty will receive project intervention in a phased format- most sub-projects will roll over and full scope to be completed in the next financial)	1 Project per villages	137 Sub-projects	80 Sub-projects
	2	Each village will receive project intervention scaled up by an additional total approximately 47HA (farms, Pasture farms and green belts and restoration environmental interventions etc)	47HA Per Village	6321HA	11,190HA
	3	Each village will receive a scaled-up intervention for at least fifteen (15) enterprise per village	1370 Groups	1770 Groups	2,700 Groups
YEAR 3	1	Each village in the entire subcounty will continue to receive project intervention in a phased format- most sub-projects will have been rolled over from	1 Sub-projects per village	137sub-Projects	80 Sub-projects

		the previous financial year, where phasing is employed)			
	2	Each village will receive project intervention scaled up by an additional total approximately 27HA (farms, Pasture farms and green belts and restoration environmental interventions etc)	27HA Per Village	11,190HA	11,190HA
	3	Each village will receive a scaled up additional intervention for at least eight (8) enterprise	1,130 Groups	2,700 Groups	2,700 Groups
SUMMARY FOR THE THREE YEARS (2019-2022)					
	COMPONENT	INTERVENTION	TOTAL INTERVEN-TIONS	RF END TARGET (PAD)	
1	Component 1	Social and Economic subprojects	137 Sub-projects	80 Sub-projects	
2	Component 2	Land under sustainable Management (Assets developed using LIPW)	11,690HA	11,190HA	
3	Component 3	Livelihood Enterprises	2700CGs	2700CGS	

From the above tabulation, the number of interventions will be few in the first year, these few interventions will be used more of as a test case before a full roll out of intervention in the subsequent years.

CHAPTER 5. COMMUNITY MOBILIZATION

Before community level activities begins, stakeholder sensitization at the County and sub County level will be conducted to ensure the county plans and policies for the target areas are considered and partnerships and synergies among various stakeholders are explored within the Counties for example secondary data from Turkana and Wajir indicates where various stakeholders are undertaking different activities in various Sub Counties in the project area. Refer to Annex 1 and Annex 7(c)

What does village entry mean and what will it involve?

Village entry is the process of planning, organizing and engaging communities to participate in the development process, it involves the following steps:

- Identification of community leader/village (administrator)
- Identification of leaders around him/her
- Meeting village elders
- Village profile including ethnic groups and clans
- Identify existing groups in the community (Both formal and informal groups will be identified during village mobilization and sensitization because they play different roles at the village level but ensure that there is transparency and inclusivity in the consultation and targeting the hidden groups)vulnerable groups – the poor households ,women headed households, minorities, people living with disabilities MUST be identified and included during community conversations either as part of the larger community barasa or at separate meetings depending on the cultural and religious norms of particular communities .
- Planning village meeting with the village elders (venue, date, time and duration)
- Enable participants to discuss and understand what development is and why they must lead their own development. Community Mobilization meetings at the village level MUST reflect the stratum of the Village in terms of gender, age, social status (the poor and marginalized) disabilities, clan and ethnic groups to make sure the concerns of the vulnerable groups are taken into consideration while planning for community investments and targeting. The Kenyan Constitutions guarantees the inclusion of vulnerable and marginalized groups in any development planning and in public participation. Although village barasa allows as many members to attend the meeting 2 men, 2 women, 2 persons representing the youth and one person representing marginalized groups forms the core the team that leads the discussion.

- Helps participants brainstorm on ways of enhancing participation, inclusion and accountability and transparency.

Who will be responsible for it?

Community facilitator, Social Mobilizer, Village leaders, Community members, will be responsible for planning, organizing and conducting village entry processes with support from the FP Social Development Officer as required.

What will be the output of village entry process (e.g. meeting with elders, mobilization of the community meeting, guiding village administrator) in filling the village profile form?

The output of village entry process is:

- Community leaders identified
- Community institutions identified
- Days and timing of the meetings agreed
- Attendance of meetings and mobilization of community members agreed
- Tasks and responsibilities agreed
- Meeting venues and timings agreed
- Community profile completed
- Stakeholder analysis completed

What are the key steps in the community mobilization process at the village level?

Step 1: First Village Meeting

The meeting will be conducted as per the day, time and venue agreed at the village entry. The objective of the village meetings to mobilize and sensitize the community as whole including all the vulnerable and marginalized groups and minorities about the KDRDIP project. The first village meetings will be to sensitize the larger village about the project through village barasa meetings where everybody in the village will have a chance to attend. the second set of meetings will include engaging village members to identify and

prioritize the village development needs, development of Community Development Plans, Work plans and budgets.

Step 2: Formation of village committee

After the community sensitization and awareness process, the community will form village level, Social Audit and GRM committees. The selection of committees will take place during the village Barasa meeting, and these committees members will be vetted by the community. The composition and roles of these committees is described in Chapter 5 (next Chapter) of COM.

Step 3: Community Profiling

In depth analysis of the community/watershed using PRA tools such as:

- Socio-economic survey (stakeholder and services analysis, livelihood analysis)
- Bio-physical survey (resource survey)
- Transect walk (walk through the community/watershed)
- Base map (Draw map of the watershed and respective villages on paper)

Step 4: Situation analysis and assessment of community needs and priorities across the three components through

- Time trends
- Seasonal Calendar
- Problem matrix (problem identification, analysis and prioritization)
- Identification of solutions for prioritized problems
- Analysis of village Resource bag this is a Participatory Rural Appraisal (PRA) tool used to analyze village needs and resources available within the village that can be used to meet needs or solve problems at the village level
- Wealth ranking
- Develop village visioning matrix
- Conduct pairwise ranking it is a PRA (Participatory Rural Appraisal or PLA Participatory Learning and Action) tool used to guide communities to identify and priorities their development needs.

Step 5: Development of community development plans (CDPs)

- Drawing of Community Development Plan and implementation strategy)
- Meeting of village committees to develop community actions and subprojects
- Presentation of community Development plans to the village barasa
- Consolidation of community Development plans into multi-year development plans
- Selection of sub-committees (Infrastructure, Livelihood and LIPW)
- Prioritization of community sub-projects to be funded for that year

- | |
|--|
| <ul style="list-style-type: none"> ▪ Preparation of village annual work plan and budget |
| |

Who will be involved in the community mobilization in target villages?

- | |
|--|
| <ul style="list-style-type: none"> ▪ Community Mobilizer, Community facilitator, village committee will be responsible for community mobilization at the village level. |
|--|

How much time will the community mobilization process take?

- | |
|--|
| <ul style="list-style-type: none"> ▪ Community mobilization may take 10-12 days in a village but it will depend on the level of planning and preparation by community Mobilizer and community facilitator and most importantly cooperation from village members and village committee. Number of days will be guided by village specific circumstances the 10-12 days are expected to be utilized to conduct social mobilization up to development of community development Plans (Multi-Year Community Development Plans) and annual work plans and budgets. |
|--|

How will the community facilitator be selected?

<p>Community Facilitators will be selected after the Facilitating Partner comes on board, their key staffs will be trained on the contents of the COM and during trainings selection criteria for Community facilitators is discussed and agreed then after training the first activity of the facilitation partner is to recruit community facilitators and provided with support from CIPIU and NPIU for first batch of Community facilitators.</p>

- | |
|--|
| <ul style="list-style-type: none"> ▪ Community Facilitator (CF) will be identified by village barasa and recommended to Facilitating partner for engagement who will verify that they have the requisite skills. ▪ Community baraza should not be initiated by the chief but by the facilitation partner who had been working with the same communities for a longer period, the chief can attend the meeting just as member of the village barasa. ▪ Identified names of community facilitators should be read out to the Village barasa and objection and clarification is sorted out in the open. Where there is an objection of a name (s) of proposed community facilitators a decision will be made at the barasa level to reject or accept. This is to encourage public participation in vetting of duty bearers at the lowest level possible. |
|--|

What will be the criteria?

The criteria for selection of community facilitator are as follows:

- ✓ During the first village meeting (meeting with village leaders) facilitating partner will brief the village elders about the project and how community engagement will be undertaken and the need to have a community facilitator from participating villages
- ✓ Facilitating partner will explain to the village leaders the qualities of a community facilitators such as qualities listed below in every two community facilitators one MUST be female just the same way that 50% of project beneficiaries should be women this is to ensure inclusion of women especially poor rural women in project activities is not a choice but a must. At least 50% community facilitators must be females.
 - He or she must be 25 years and above.
 - He or she must come from the same ward /Village where CDD process is undertaken preferably from the same community or adjacent community where CDD work is undertaken but community members during village barasa meetings can vet names of proposed candidates for position of community facilitator.
 - He or She must know how to read and write
 - Community facilitator must have been involved in community work in the last 5 years.
 - He or she MUST be trusted and respected by local community within the village or Ward where CDD Process is undertaken
 - MUST speak the local language fluently
 - Understands and respect the local culture of the local community
 - Community Facilitators will be selected after the Facilitating Partner comes on board, their key staffs will be trained on the contents of the COM
 - During the training, a guide on the recruitment process for the Community Facilitators will be discussed.
 - Thereafter, the Facilitating Partner will recruit Community facilitators
 - The Facilitating Partner (FP) will advertise for the position of Community Facilitator at the village
 - The FP will be expected to set up a selection panel of 5 Members from the village.
 - The panel should consist of respected persons in the village (Imam/Pastor, Village Elders, Assistant Chief, Women leader, Youth leader and FP rep as secretary)
 - The selection panel will receive applications, shortlists and interviews the shortlisted candidates.
 - The panel recommends 3 to FP to appoint one.
 - The results of the interview shall be posted at the strategic public places.
 - Community Facilitator (CF) will be presented to the community at the village Baraza for public endorsement
 -

How much will be the CFs paid (honorarium).

- The community facilitator is not a full-time employee of the FP but will be engaged in providing support to community Groups (LIPW and Livelihoods) and during general community mobilization and sensitization
- Because the Community facilitator is the link between community and the project, he or she should be facilitated well but this is a conservative figure the actual payments and terms of engagement will be agreed between FP and Community facilitators.
- In addition, when he or she is engaged by FP outside the working area, he or she will be entitled to a full per diem based on the terms of the FP.

Who will provide orientation/training to CFs?

The orientation of Community facilitator will be undertaken by FP staff with support from PIST and CIPIU coordinator. During the first orientation sessions for CFs NPIU will keep close supervision to ensure the process starts smoothly especially for the first cycle of project implementation.

What are the roles/responsibilities of CFs?

The roles of the Community facilitator are as follows:

- Provide support to Social Mobilizer during community mobilization and sensitization process at the village level
- Support Social Mobilizer during formation and strengthening of village committees and village subcommittees for LIPW, Livelihoods, and infrastructure
- Support Social Mobilizer during the selection of beneficiaries for LIPW and Livelihood CGs
- Support village committees in the development of community development Plans under the supervision of the social Mobilizer
- Support Social Mobilizer in ensuring that Community Groups (CGs) adhere to five core principles on the weekly basis
- Support village committees in preparation of monthly monitoring and implementation progress report.
- Support CGs in preparation of business plans

Who will the Community Facilitator report to?

The Community Facilitators will be directly supervised by the social Mobilizer on behalf of the facilitating partner.

CHAPTER 6: COMMUNITY INSTITUTIONS BUILDING AT VILLAGE LEVEL

Formation of Village and Ward Level Committees.

What are the committees at the village level?

There are Six committees and subcommittees at the village level.

1. Village Level Committee (VLC)
2. Grievance Redress Committee (GRC)
3. Social Audit Committee (SAC)
4. Subcommittee for infrastructure
5. Subcommittee for LIPW- E (Labour Intensive Public Work, Energy and Environment)
6. Subcommittee for Livelihood program

What is the composition, constitution and roles of these committees?

<i>Committee</i>	<i>Composition</i>	<i>Process of constitution</i>	<i>Roles and Responsibilities</i>
<i>Ward Committee</i>	Two reps from each village (a Man and a woman)	Members of Village committee Ensure representation of minorities, Minority clans and sub clans- where applicable	Harmonize and Aggregate CDPs and AWP&B
<i>Village Committee</i>	Five respected members: 2 Men, 2 Women and 1 Differently-abled person	Selected by village barasa through a democratic process Ensure representation from minority clans and sub-clans	Coordination of the development of community development plans from the CDD process, aggregate the village Work plans, call project village barazas, oversee implementation of the project at the village level. Ensures village prioritized sub-projects are submitted to the ward level committee for aggregation and forwarding to Sub County level for appraisal
<i>Social Audit Committee</i>	Five respected persons of integrity	Selected by village baraza through a democratic process Ensure representation from minority groups).	Undertake audits of project investments and report findings to village baraza on the quarterly basis. Perform internal monitoring function and periodic audits (including financial) of project activities and report their findings directly to the Village Baraza.

		Ensure gender balance	The SAC will also observe the functioning of VLCs including village-level livelihoods sub-committee, LIPW Sub Committees as well as adherence to project principles and rules.
<i>Sub Committee for Livelihood</i>	Five members including women, youth, and differently abled persons	<p>Selected by village baraza through democratic process from community groups</p> <p>To include representation from minority groups and</p>	<p>Oversee implementation of activities livelihood groups at the village level</p> <p>Ensure CGs compliance with the livelihood program rules</p> <p>Arrange for technical appraisal of the business plans</p>
<i>4. Sub Committee for Labour intensive Public Works, Environment and Energy (LIPW-E)</i>	Five members including women, youth, and differently abled persons who are seen as fair and concerned about the most vulnerable	<p>Selected by village baraza through democratic process</p> <p>To include representation from minority groups and clans</p>	<p>Oversee implementation of Labour Intensive public works. Energy and Environmental Activities at the village level</p> <p>Oversee Supervision of labor-intensive public works activities</p> <p>Oversee Procurement of tools and materials for cross cutting LIPW subprojects</p> <p>Handover community assets to users</p>
<i>Sub Committee for Infrastructure</i>	Five members including women, youth, and	Selected by village baraza through a	Oversee implementation of infrastructure projects at the village level

	<p>differently abled persons</p>	<p>democratic process</p> <p>Consider those who have infrastructure skills, environmental skills and others to have financial monitoring skills</p> <p>including representation from minority groups and clans</p>	
<p><i>Grievance Redress Committee</i></p>	<p>Five members including women, youth, and differently abled persons</p>	<p>Selected by Village baraza through a democratic process</p> <p>Ensure Gender balance</p> <p>Ensure inclusion of Minority groups and clans</p>	<p>Receive and resolve/escalate complaints and grievances from community members in relation to the Project</p>

Who will provide orientation/training to village level committees?

The facilitating partner in collaboration with the PIST will provide orientation /Training to village level committees. However, CIPIU and NPIU will maintain close supervision to ensure high standards of training are maintained at all the times

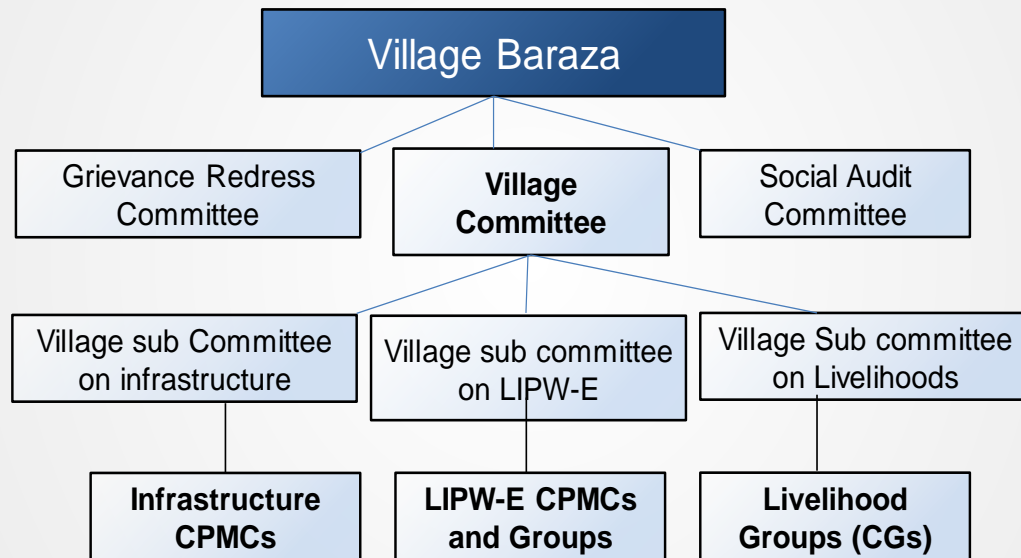
How long is the orientation, where will the orientation be provided?

Orientation /training for village level committees will be for 2-3 days and will be conducted at the village level or at the ward level. In Turkana Garissa and Wajir Counties, every ward has an office with a conference hall which can be used for village level committee's orientation/ Training.

How will the project strengthen the village committees?

The project through facilitating partner and Project implementation support teams (PIST) will strengthen village level committees by providing capacity building training on relevant areas of project implementation support.

KDRDIP community Institutions structures



CHAPTER 7: PARTICIPATORY PLANNING AND PREPARATION OF FIVE-YEAR COMMUNITY DEVELOPMENT PLANS (CDPs)

Participatory planning involves:

7.1. Community profiling, Situational Analysis and Assessment of Community Needs and Priorities

What is community profiling?

- A community profile provides an overview of the community at a certain point over time.
- It is a useful way to identify the strengths, opportunities and weaknesses/development constraints of a local area.
- There are many different types of community profiles that can be prepared using a variety of techniques.

What is the importance of community profiling?

- Community profiling provides basic information about the village
- Helps to understand the context of the community so that specific areas issues and linkages can be identified and analyzed
- Provides a basic understanding of the community as a whole
- Provides information on specific areas of interest
- It helps to identify constraints/limitation and opportunities for community development. This will be the basis for planning development intervention for the community

How will community profiling be done at the village level?

- ✓ Community profile can be done in the village through focus group discussions with members of the community who are well knowledgeable about the village
- ✓ It is done in a participatory manner with a facilitator engaging participants on questions, answers, and probing
- ✓ Village profile should capture important information about the village
 - Natural resources
 - Livelihoods activities

- community structure including leadership and how effective and trusted they are and who they represent
- community infrastructure facilities (school's hospitals roads
- community history
- women's roles and opportunities to promote empowerment

What tools will be used to carry out the community profiling?

Socio-economic survey – livelihoods analysis, stakeholder and service analysis

Livelihood diagrams are used to help interpret the behavior, decisions, and coping-strategies of households with different socio-economic characteristics. For example, a female-headed household with irregular income is likely to have different problems and needs, or spending patterns, then the household of a rich trader or a government employee, and may adopt different strategies in the case of crisis. The tool focuses on the economic profile of households. Variables include:

- Household size and composition dominant or minority clan
- Livestock ownership
- Number of labor migrants in the household
- The proportion of income by source
- Crops
- Livestock
- Trade and craft
- Remittances
- Expenditures
- Seasonality
- Relative income
- Credit and debt

Bio-physical survey – resource survey

- natural resources in the village: type, distribution, use, users
- Different resource users: women, men, cattle herders, children,
- Specific resource maps can be a key resource map, or agro-ecological zones since most pastoralist communities within the Project area are Nomadic in nature and follow seasonal migration patterns or Orbits that extend beyond territorial boundaries the Maps should include migration routes and destinations across seasons of the year.

Transect walk – walk through the target villages

- A transect is a cross-section or straight cut through a survey area or village territory to capture the greatest diversity of, for example, land use.
- Observed land use, soils, slopes, vegetation, crops, cultural practices, physical and social infrastructure, water availability, erosion and special features are written down.
- Constraints and problems related to different topics and related solutions are discussed while making the transect. A transect may be used to get a general impression of an area or may focus on very specific topics, such as livestock, forestry or health and sanitation conditions.

Base map – draw a map of target village on paper.

No subject is stated, the villager/community representative draws what he or she (or they) means by 'village'. It's done by all villagers.

Development Map – this is a base map which contain planned development activities drawn on the base map with their location

Wealth ranking – categorize households into poorest of poor, poor and not so poor.

Wealth ranking assumes that community members have a good sense of who among them is more or less well off. The main idea is that villagers use their own knowledge and criteria to do the ranking and outsiders learn to understand the way the villagers interpret the economic status of each family living in the villager. Wealth ranking allows a PRA team to:

- investigate perceptions of wealth differences and inequalities in the community
- discover local indicators and criteria of wealth and well-being
- establish the relative position of households in a community (social stratification)

Who will be involved in carrying out the community profiling at the village level?

Community profile will be undertaken by facilitating partner staff and CIPIU staff with the local community (community leaders) and community facilitator

What is situational analysis?

Situation analysis is getting a picture of a community based on currently available

information to

- Identify Trends
- Describe Trends
- Compare community with others within the region

What is the importance of situational analysis?

The importance of situation analysis is fourfold:

- Identification of major issues that concerns the community and requires attention
- Helps to analyze communities and trends of key issues that are of concern to the community
- Situation analysis enables organizations to identify key stakeholders (groups and institutions that of interest to the project
- Situation analysis is a scoping mission and analysis of the broad context of external environment which project operates.

How will situational analysis be carried out at the village level?

Situation analysis at the village level will be done through a participatory process this will be done through focus groups discussions and key informants and through the following process (key informants at the village level would be teachers Imams, pastors, extension workers etc.)

The following steps are undertaken in situation analysis

- Step1. Draw or define community boundaries
- Step 2. Describe the state issues that are of concern to the village
- Step 3. Identify trend of issues of concern to the community
- Step 4. Identify significant issues and areas requiring attention
- Step 5. Use Pairwise Ranking tool to identify the most significant issues
- Step 6. Identify key stakeholders including institutions working with or involved in selected issues
- Step 7. Design stakeholder participation strategy

What tools will be required to carry out the situational analysis?

Time trends

Time trends show quantitative changes over time and can be used for a large number of variables:

- Livestock production
- Rangeland health including invasive species and degradation
- Influx of animals from other communities
- Water availability
- Crop Yields
- Area under cultivation
- Livestock population and mix of animals
- Prices
- Migration patterns
- Population size and number of households
- Whether other wives live in other areas
- Birth and death rates
- Malnutrition rates
- Rainfall patterns.

Problem matrix (problem identification, analysis, and prioritization)

- Matrix scoring and ranking allows a team to rank items based on a criterion. Criteria common to all individuals participating in the exercise are identified.
- These criteria may vary from group to group.
- Matrix scoring gives an opportunity to the outsiders in understating clearly the priorities of villagers in selecting rangeland management measures, water management, any crop variety, vegetables, tree species, breed of livestock, selecting a particular soil conservation method or even identifying the more suitable source of credit for men. Interventions that support Livestock production and health will be the main areas of focus for community projects among predominant Livestock dependent households. Although this will be done in a participatory process, it's expected that interventions aimed to improve Livestock production and Health will feature most.
- This exercise not only provides an opportunity to outsiders to learn but also to the villagers in understanding their own reasons for selecting any particular item, source etc.

Identification of solutions for prioritized problems (Pairwise Ranking)

- This tool is used to determine the main preferences and priorities of individuals or groups for a set of items (such as rangeland and livestock health, water management, reciprocal resource agreements and sharing, tree species, government services, crop varieties, and soil and water conservation measures).

- The priorities of different groups can be compared against one another (men and women, young and old, rich and poor), different ethnic groups and clans.
 - This ranking allows us to determine the main problems or preferences of individual community members, identifying their ranking criteria, and easily compare the priorities of different individuals. Individuals compare two activities or problems at any given time.
- The total number of appearances in the table reflects the relative preference.

Hazard Mapping

- It is a good tool that communities use to identify and locate specific hazard prone areas such as Droughts, Floods, Human and Livestock epidemics prone areas, conflict zones (Inter –clan or inter-community conflict zones due to scramble for scarce Grazing and water resources. community hazard profile will be undertaken.

Who will carry out the situational analysis at the village level?

Situation analysis at the village level will be conducted by VLC with the assistance of the facilitating partner staff

7.2. Preparation and Approval of the CDPs at the Village Level

What is a community development plan?

A community development plan is a document that contains needs and aspirations of the entire community

What is contained in community development plan?

Community development plans contain the following key ingredients

- Objective or set of objectives to be achieved
- Activities to be undertaken
- When the project activities commence
- Where (location or site) community project activities are undertaken
- What resources are required to implement the activities and who provides
- Who is responsible for undertaking each task /activity?
- What change is expected after implementation of the project activities

What is the format of community development plan?

Community Development plan format

<i>Objective(s)</i>	<i>Activities</i>	<i>When</i>	<i>where</i>	<i>Resource required and provider</i>	<i>Persons /Organization Responsible</i>	<i>Expected change /Implementation</i>

Who will be involved in preparing the community development plan and what will be their roles?

Responsible	Roles and Responsibilities
1.Village committees	<ul style="list-style-type: none"> Ensures community prioritized need are included in the community development plan
2.Community Facilitator	<ul style="list-style-type: none"> Support village committee in the inclusion of community prioritized needs into community development Plan.
3. Social Mobilizer	<ul style="list-style-type: none"> Provides overall support and guidance to village committee and community facilitator during the community development plans development process
4.Project implementation support team (PIST)	<ul style="list-style-type: none"> Provides technical support during preparation of project designs and ensures quality controls

How will the community development plans be developed?

- Meeting of village committees to develop community development plans
- Presentation of community development plans to the village baraza for adoption
- Once Village committee finalizes village development plans, the Social mobilizer will contact relevant PIST members to provide technical support and advise on the preparation and consolidation of village annual work plans and Budgets.

What are village annual work plan and budget?

Village annual work plans and Budgets is a document that indicates community prioritized, approved activities and budget for implementation for that financial year

What is contained in village annual work plan and budget?

- A brief discussion of activities and budgets and a proposal on how this will be utilized, in subsequent years, it includes a brief discussion of carried over activities and explanation of the previous unutilized budget and a proposal on how this unutilized funding will be applied to those carried over activities (from year 2 on)
- Description of project activities by component and sub-component (a) positively screened and submitted to CIPIU, (b) recommended for funding by the County Technical Committee, and (c) approved for funding by County Steering Committee.
- The description of activities should include an indication of the estimated number of beneficiaries segregated by gender;
- environment and social mitigation action in case of adverse impact
- Implementation schedule and milestones
- In addition to intervention areas, the work plan should include a presentation of the administrative activities for project coordination unit's presentation of training and consultancy service explaining the type, objective, target group, venue, evaluation criteria, delivery methods, and expected outputs.
- A presentation of the proposed budget by project components and subcomponents, budget category, and source of funding including the amount and nature of community contributions
- A disbursement schedule with quarterly breakdowns for budget planning and monitoring purposes—by project component and subcomponent
- A summary of the proposed Annual Budget by each project component and sub-component and expenditure category. A procurement plan indicating the type, methods, and schedule of tasks, at each level required to deliver the project activities.
- Environmental and social screening forms completed and attached for each activity
- GBV screening checklist carried out and submitted for each activity
- Operation and maintenance plan for each subproject
- M&E Plan

Multiyear (5 years) plan

Selected Measures (example)	Unit	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Road	km	4	3	5	2	1	15
Terrace	km						
Planting	Number (‘000)						
Etc.							

What is the format for village annual work plan and budget?

Activities.	Responsibilities	Budget (Ksh)	Estimated time/completion date

Annual detail action plan (Schedule of activities)

Selected measures	Unit	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec

7.3 Aggregation of CDPs and approval of annual workplan and budgets (AWP&B)

Aggregation, Review, and Appraisal of CDPs

- Consolidated Community Development Plans compiled by the VLC with the support of the FP at the village level to be submitted to the Ward for aggregation.
- The village CDP is then forwarded to the Ward for harmonization and aggregation by the Ward level committee, the Ward CDPs are then submitted to the sub County committee. The facilitating partner, DCC, Sub county administrator and the PISTs will consolidate all ward CDPs into a one sub County CDP. Facilitating partner will thereafter submit consolidated CDPs to the CIPIU Coordinator who then submits to the County Technical Committee for review and appraisal and thereafter to County Steering Committee for approval.
- The approved CDPs are then returned back to the respective VLCs for the development of workplans and Budgets from the prioritized investment activities subject to available resources.
- CIPIU will also forward the approved CDPs to NPIU for onward submission to the NTC and NSC for endorsement. The NPIU will thereafter forward the Approved CDP to the Bank.

Aggregation, Review, and Appraisal of Annual Work plans and Budgets.

What are consolidated village work plans and budgets?

- Consolidated village work plans and budgets are the compilation of village activities and budgets into a village Work plans and budgets
- It contains community prioritized activities by village, Budget and estimated time of completion
- The VLC and FP will be responsible for aggregation village activities into A village annual work plans and Budgets.

What are consolidated ward work plans and budgets?

- Consolidated work plans and budgets are the compilation of village work plans and budgets into ward Work plans and budgets
- It contains community prioritized activities by village, budget and estimated time of completion

Who consolidates ward annual work plans and budgets?

The ward committee, social Mobilizer, and Project implementation support teams will be responsible for aggregation village annual work plans and budgets into ward annual work Plans and Budgets

Meeting of ward committees to review ward consolidated work plans and budgets.

- The Ward Committees will be Co-Chaired by the ACC-assistant County Commissioner and Ward Administrator including two members from each of the participating villages.
- The facilitating partner - will be the secretary to the ward committee.
- The committee will review all village prioritized activities and ensure they are included in ward Work plans and budget
- The meetings are expected to be held at the Ward Administrators offices or ACC Offices

Who forwards ward level consolidated work plans and budget to Sub-County?

- On completion of consolidated ward work plans and budgets, the Facilitating Partner will forward work them to sub County level

Who approves consolidated ward annual work plans and budgets?

Ward Annual work plans and budgets are submitted to the sub County committee. The facilitating partner, DCC, Sub county administrator and the PISTs will consolidate all ward work Plans and Budgets into a one sub County work plans and budgets. The Facilitating partner will thereafter submit Sub County consolidated work plans and Budgets to the CIPIU Coordinator who then submits to the County Technical Committee for review and appraisal and thereafter to County Steering Committee for approval.

What is contained in the sub-county consolidated annual work plans and budgets?

The Sub County Annual Work Plans and Budgets contain all prioritized community sub-project activities, budgets and estimated time of completion.

Summary process for appraisal, review, and approval of Annual Work Plans and Budgets

Step 1.

The CPMCs, the Village subcommittees and the PIST with the support of the FP will spearhead the development of the Workplans and budgets and Procurement Plan. The Village Level committee with the support of FP and the PIST will aggregate the prepared component specific workplans into a village annual Work plan and Budgets and Procurement Plan

Step 2.

Community consultation meeting to discuss Environmental and social Safeguards issues, agree on voluntary land donation for projects, GBV and raise awareness on GRM led by CIPIU safeguard specialist in order to develop a Summary Safeguard Screening report prepared by the CIPIU Safeguard Specialist.

Step 3.

Facilitating partner submit village annual work plan and Budgets, procurement Plan and the summary Screening report to ward Committee.

Step 4.

Ward committee reviews Work plans and Budgets from all villages within the Ward

Step 5.

Ward committee consolidates all village Work Plans and Budgets into Ward Level Work Plans and Budgets

Step 6.

Facilitating partner consolidate all ward Annual Work Plans and Budgets into a single Sub County Annual Work plans and Budgets and Submits to CIPIU Coordinator

Step 7.

CIPIU Coordinator submits sub-County Annual Work Plans and Budgets for appraisal by County Technical Committee and approval by County Steering committee.

Step 8:

CIPIU submits the County Annual Work Plans and Budgets to NPIU for Transmission to NTC for review and further to NSC for approval and recommendation for release of Project funds

Step 9:

NPIU submits the Work plans and Budgets and summary safeguard reports to World Bank for review and clearance

Step 10:

NPIU Release funds to the Subprojects subject to Bank clearance on safeguards.

CHAPTER 8. KDRDIP ENVIRONMENTAL AND SOCIAL SAFEGUARDS

8.1 Environmental and Social Safeguards

Once the work plans have been agreed and approved, the summary safeguards report and any ESIA's required should be developed and submitted before funds are released.

A community meeting including vulnerable and marginalized groups and minority groups and clans should be carried out to check agreements on all the planned activities and:

1. Identify any social and environmental impacts and mitigation measures – to inform the ESMP and ESIA
2. To get agreement on voluntary land donation.
3. To inform the community on how and where to lodge complaints at different levels and expected timelines for feedback.

The meeting should be documented and used to complete the summary safeguards report and together with the signed participants list and voluntary land donation form and ESIA, will therefore be submitted to the NPIU for checking and submission to the Bank for clearance. Once the Bank is comfortable that the process is robust, it may authorise periodic post audit review of documents, where documents are approved by the NPIU while being sent to the Bank and will be reviewed every 6 months.

The meetings will be led by the county social and environmental safeguards staff. However, the first ones will be done together with the NPIU.

The ESMP will be included in the bidding documents and the contract and contractors will be required to submit an ESMP implementation report showing that they have implemented the ESMP which will be reviewed before payment. If there are concerns about the implementation of the ESMP, an environmental and social audit may be carried out before final payment of the contractor.

What is the importance of environmental and social safeguards in project implementation?

- Compliance with national statutory obligations and the World Bank Safeguards Policies
- Disclosure of Safeguards documents and information -for easy access to the communities impacted by project activities
- Ensure the benefits of the projects to the communities
- Promote conservation and rehabilitation of biodiversity and natural habitats
- Promote on worker and community health and safety

- Share with the community any potential environmental and social impacts, and mitigation measures against adverse environmental, social and economic impacts of a project through consultation efforts
- Ensure sustainability of a project and development intervention
- Promote social development through inclusivity, participation and accountability in decision making
- Foster “do no harm” approach in project implementation
- Mitigate potential conflicts associated with the intervention at the community level
- Oversee the grievance redress mechanism, monitoring and reporting
- Identify and redress grievances that may arise out of the project.

What are Environment and Social safeguards frameworks to be complied with?

1. Environmental and Social Management Framework (ESMF) and Environmental and Social Management Plan (ESMP) and use of checklist to screen for adverse environmental and social impacts

The ESMF prepared during project preparation will be used during the implementation of the project and will take cognizance of the existing National and World Bank policies on environmental management and social safeguards. This is to ensure that all the subprojects to be implemented are environmentally and socially sound and sustainable, and that decision-making is improved through appropriate analysis of actions and of their likely environmental and social impacts.

The ESMF provides a step-by-step process to identify likely environmental and social impacts through screening of sub-projects to determine the safeguard documents to be prepared either (Environmental and Social Impact Assessment) ESIA /ESMP or developing the Environment and Social Management Plans (ESMP) checklist, identifying appropriate mitigation measures as well as methods of monitoring and reporting on ESMP implementation with a view to achieve a sustainable socioeconomic development.

2. Resettlement Policy Framework (RPF) and Resettlement Action Plan (RAP)

The Resettlement Policy Framework (RPF) addresses the potential social impact resulting from possible land acquisition for the subprojects. In the case of community identified investments land will be voluntary donated by communities as long as there is:

1. *Land to be donated must be identified by the community through a participatory approach;*
2. *Impacts of proposed activities on donated land must be fully explained to the donor;*
3. *The potential donor is aware that refusal is an option, and that right of refusal is specified in the donation document the donor will sign;*

4. *The act of donation is undertaken without coercion, manipulation, or any form of pressure on the part of public or traditional authorities;*
 5. *The donor may request monetary or non-monetary benefits or incentives as a condition for donation;*
 6. *The proportion of land that may be donated cannot exceed the area required to maintain the donor's livelihood or that of his/her household;*
 7. *Donation of land cannot occur if it requires any household relocation;*
 8. *For community or collective land, donation can only occur with the consent of individuals using or occupying the land;*
 9. *Verification must be obtained from each person donating land (either through proper documentation or through confirmation by at least two witnesses);*
10. *The implementing agency establishes that the land to be donated is free of encumbrances or encroachment and registers the donated land in an official land registry.*
 11. *The implementing agency establishes that the land to be donated is free of encumbrances or encroachment and registers the land in an official land registry.*

In the case of private land, the KDRDIP will make sure that a comprehensive Resettlement Action Plan is prepared for each activity under the project that triggers resettlement or has impacts on access or control of land or affects livelihoods.

The process of preparing the resettlement action plans will involve a census to identify the affected persons and their assets, consultations with the affected people about acceptable alternatives, disturbances, especially those affecting income-earning activities, impact on assets including compensation or replacement in case of resettlement and open and participatory consultation with the displaced persons, a time-phased action plan with a budget for provision of compensation, resettlement, and other assistance as required and making arrangements for implementation and monitoring of the RAP.

3. Vulnerable and Marginalized Group Framework (VMGF) and Vulnerable and Marginalized Group Plan (VMGP)

A VMGF has already been prepared for traditional minority groups including pastoralists that fit the following definition: *distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:*

1. self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
2. collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories⁷

3. customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
4. an indigenous language, often different from the official language of the country or region.

A VMGP will be prepared as part of the summary safeguards report (see annex) detailing:

1. What is the demographic, social, cultural, and political characteristics of these groups, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend?
2. Provide a summary of results of the free, prior, and informed consultation with these groups that was carried out during the sub-project preparation and that led to broad community support for the project. (please also include details in table 4)
3. How will free, prior, and informed consultation be carried out with these groups during project implementation?
4. How will these groups receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies?
5. Are there any potential adverse effects on these groups from the project (explain)? If so, how will these adverse effects be avoided, minimized, mitigated, or compensated for?
6. What are the cost estimates and financing plan for these mitigating measures?
 - a. What are the culturally appropriate procedures to address grievances by these groups arising from project implementation?
 - b. What are the mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the above measures, including arrangements for the free, prior, and informed consultation with the groups?

What safeguard documentations may be required?

- Project Environmental and Social screening checklist and Summary Report (Annex 7a)
- Summary Safeguard Report (Annex 7b)
- Resettlement screening checklist
- Environmental and Social Impact Assessment-ESIA
- Environmental and social management Plan –ESMP
- Environmental and Social Management and Monitoring Plan (ESMMP)
- Resettlement Action Plan
- Grievance Redress Mechanisms (Annex 7d, 7e)
- Community Land Resolution Agreement (Annex 7f)

Who oversees social and environmental safeguards screening and assessments?

- All staff members are responsible for ensuring social and environmental risk management in the sub-projects. Social and environmental safeguards processes will be integrated into the project implementation process. Screening of sub-projects will be done after the sub-projects have been selected prior to approval of the consolidated annual work plans. The environment and social screening and the decision on whether an ESIA/ESMP, ESMP checklist or RAP is necessary will be undertaken by the CIPIU environment and Social safeguard specialists in liaison with the relevant Project Implementation Support Team (PIST) member and the FP.
- The Subproject environmental and social screening reports will be submitted by the Environment and Social safeguard specialist at the CIPIU to NEMA. NEMA County Director of Environment will be required to review and approve the screening checklist prior to implementation of the sub-projects.
- The screening outcome will determine the supplementary safeguard documents to be prepared either ESIA/ESMP or ESMP checklists.
- For sub-projects that require preparation of ESMP checklist, this will be prepared by the CIPIU safeguards specialists and reviewed by NPIU safeguards specialists,
- Where necessary, ESIA's and RAPs will be prepared by a NEMA registered environmental and social consultant to be hired for the specific sub-project by NPIU. The assessment will be reviewed by CIPIU safeguards and further reviewed by the NPIU safeguard specialists. Draft ESIA's will then be submitted to the Bank for review and clearance. Thereafter the reports will then be submitted to NEMA for review and licensing. Only subprojects approved by NEMA and issued with environment license will be allowed to commence.
 - The primary responsibility of monitoring on ESMP implementation of the approved sub-projects is the CIPIU Environment and social safeguards specialists with support from the NPIU safeguards team.
 - A summary of the ESMP will be included in the safeguards summary form and cleared by the NPIU safeguards staff and shared with the World Bank for endorsement.
 - For activities undertaken on community or private land, the county PIUs will work closely with the National Land Commission and Ministry of Lands to develop appropriate procedures for securing the investment for community use. In addition, for voluntary land donations, broad community agreement of both residents and users of the land will be needed with comprehensive documentation as per the World Bank voluntary land donation guidelines as specified in the summary safeguards report and annexed to this Manual.
 - For public land, documentation is required to show that the land is under appropriate government agency to protect and ensure the sustainability of the investment.
 - The primary responsibility of overseeing the screening, assessment and monitoring of sub-projects are the CIPIU Environment and social safeguards specialists under the overall supervision by the NPIU Safeguard specialists.

Safeguard Activity	Responsible
<ul style="list-style-type: none"> Sub-project Identification 	<ul style="list-style-type: none"> VLC- CDP Relevant Village Level Sub-committee- Oversee the specific subprojects CPMC/CGMS - in charge if the subproject PIST-Prepare Feasibility proposal on the project FP
<ul style="list-style-type: none"> Sub-project Screening 	<ul style="list-style-type: none"> VLC- CDP Relevant Village Level Sub-committee- Oversee the specific subprojects Social and Environmental Safeguards CIPIU CPMC/CGMS - in charge if the subproject PIST-Prepare Feasibility proposal on the project
Summary Report	<ul style="list-style-type: none"> VLC- CDP Social safeguards specialist – guide the process PIST- Technical support to the community on the sub-projects Village Barasa- FP –Support the Village Level Committee
Land Donation	<ul style="list-style-type: none"> Sub project CPMCs/CGMCs- in charge of the subproject VLC - In charge of the sub-project in the village Social safeguards specialist - Fill the land donation forms PIST- Technical support to the community on the sub-projects Community- Participate in meeting County Government-Register the land

SEIA/EIA/Project Report	<ul style="list-style-type: none"> • Social safeguards specialist and Environmental Safeguard Specialists (CIPIU) • Social safeguards specialist and Environmental Safeguard Specialists (NPIU) • SEIA Consultants-Prepares the ESMP • CPMC-Oversee implementation and compliance • NEMA-Approval, licensing and compliance • Contractors- (Implement the ESMP)
ESMP	<ul style="list-style-type: none"> • Social safeguards specialist and Environmental Safeguard Specialists (CIPIU) • Social safeguards specialist and Environmental Safeguard Specialists (NPIU) • SEIA Consultants-Prepares the ESMP • CPMC/CGMC-Oversee implementation and compliance • NEMA-Approval, licensing and compliance • Contractors- (Implement the ESMP) • VLC – Ensure Adherence • GRMC- Ensure complains are reported and escalated • SAC –Ensure adherence • Community- Ensure Compliance

Who participates in Social and Environmental safeguards activities at the community level?

- Village Level Committee Members
- Sub Project committee Members
- Community Members living around the Sub-Projects
- Facilitating Partner
- The Village administrator
- Assistant Chief

- Chief
- Ward administrator
- Relevant PIST
- Social Safeguards Officer from CIPIU
- Environmental Safeguard Officer from CIPIU

What is the role of Community in social and Environmental Safeguards?

- Identifying social and environmental risks and mitigating measures
- Ensure inclusivity and equity in projects including vulnerable and marginalized groups;
- Participate in the environmental and social safeguards development process
- Infusing local knowledge.
- Promote wide community involvement in identification of sub-projects including women, and minorities;
- Promote transparency and accountability in all decisions
- Prevent elite capture, cronyism and misuse of funds;
- Helps to identify the county development priorities which will be beneficial to the society
- Help in identifying areas of potential conflict in the design and implementation of the subprojects
- Donate Land for community identified and agreed subprojects
- Monitor implementation of the environmental and social management plan by contractors
- Inclusivity ensures ownership and sustainability
- Report grievances at the community level as they occur.

To whom will the social and environmental safeguards instruments be addressed to?

- The Project Coordinator and the Environmental and Social Safeguards Specialist at NPIU at the National level
- The County coordinator and Environmental and Social Safeguards Specialist at CIPIU at the County level
- NEMA County Director of Environment or his/her representative at the county level
- The World Bank, through the Safeguard specialists and Consultants – Safeguard documents prepared (ESIA), ESMP checklist, summary reports and land donation documentation.

8.2 Grievance redress mechanism (GRM)

Grievance redress mechanism refers to a process or procedure that allows stakeholders to register their concerns, grievances, suggestions, inquires and complaints for smooth implementation of the project. The concept of the grievance redress mechanism is based on the fact that the KDRDIP project has a functioning and accessible grievance redress mechanism for compliance with World Bank. The GRM is critical to resolve complaints as soon as possible and at the lowest level so that they don't get out of hand and stop the project and as well prevent similar

problems in future. Communities and individuals who believe that they are adversely affected by the project are to submit complaints to formed committees that are functional, accessible and documented.

How will Awareness creation on GRM be done?

- The project shall create awareness on GRM through such channels as: the project website, text message campaigns, mail correspondence with clients, pamphlets and bulletin boards within communities.
- The Project will carry out outreach campaigns by staff and facilitators and that GRM should be mentioned consistently in all project meetings.
- Communication materials should also, as much as possible, be translated into local languages.
- The computerized system to be developed for the project will also be able to receive email and text complaints and send reminders to the people dealing with the complaints for follow up and progress.

What are the GRM guiding principles?

- Fairness and transparency - for anyone seeking to resolve their complaints, perception of a fair and transparent process is extremely important,
- Early establishment of grievance management process helps create a foundation for an -open, respectful- and trusting connection with stakeholders and set a positive tone for future dialogues.
- Appropriate to the project, relevant to the project structure to the levels of risks and potential impacts the project is likely to create.
- Simple and accessible to communities, including vulnerable and marginalized groups
- Awareness raising on the mechanism and focal points including timelines within which complaints will be responded to and be closed out by and ensure the timeframe are met.
- Record and track grievances. This is essential in ensuring that the system is functioning and to help identify problems and patterns that need to be addressed. It provides important documentation and protection to staff in case the grievance is escalated.
- Monitor, evaluate and enhance the system as frequently as possible.

What are the various Types of complaints?

Complaints may be raised by beneficiaries of the programme, other members of the community where the programme is operating or members of the general public regarding any aspect of programme implementation. The common types of complaints include:

- Targeting of individuals or locations, which involves inclusion and exclusion
- Payment related complaints
- Quality of service issues
- Misuse of funds
- Land issues
- Clannism
- Leadership wrangles
- Water and pasture related
- Error, fraud or corruption in exclusion and inclusion, award of tender and contracts and ineligible expenditures
- Complaints of Gender Based violence and Sexual Exploitation and Abuse by project stakeholders.

What are the KDRDIP GRM Access channels?

The KDRDIP provides different avenues through which beneficiaries and the community can lodge grievances either directly or indirectly. The mechanism is open to the whole community and is designed to be accessible and simple to use. Beneficiaries, communities and other stakeholders should be made aware of channels accessible to them.

The access channels include:

- i. In person with the community facilitator (Village Level)
- ii. In person, letter, or phone call to VLGRM committee
- iii. In person with county social safeguards officer or country coordinator
- iv. In person with the social safeguards officer or communications officer or project coordinators at the NPIU
- v. By email or post or call (using a toll-free number) to NPIU
- vi. Text
- vii. Email or post to the World Bank Country office Kenyainfo@worldbank.org.
- viii. Email or post to the World Bank GRS: grievances@worldbank.org

What are the KDRDIP GRM structures?

A three-tier structure is in place to address all complaints in the project:

First tier is community GRCs constituted at sub – project level to resolve grievances using community-based arbitration systems and elected leaders.

Second tier are County GRCs with Complaints registered with the social safeguards officer or county coordinator at county level and if not resolved forwarded to NPIU

Third tier is NPIU with Complaints referred to the social safeguards, communications officer or coordinator at NPIU. If not resolved project coordinator and if not resolved will then forward to The World Bank Country office

Grievances can be raised with the World Bank Kenya office on Kenyainfo@worldbank.org.

What is World Bank GRS?

*The World Bank's Grievance Redress Service (GRS) provides an additional, accessible way for individuals and communities to complain directly to the World Bank if they believe that a World Bank-financed project had or is likely to have adverse effects on them or their community. The GRS enhances the World Bank's responsiveness and accountability by ensuring that grievances are promptly reviewed and responded to, and problems and solutions are identified by working together. The objective of the Grievance Redress Service is to make the Bank more accessible for project-affected communities and to help ensure faster and better resolution of project-related complaints. For more information: <http://www.worldbank.org/grs>
email: grievances@worldbank.org*

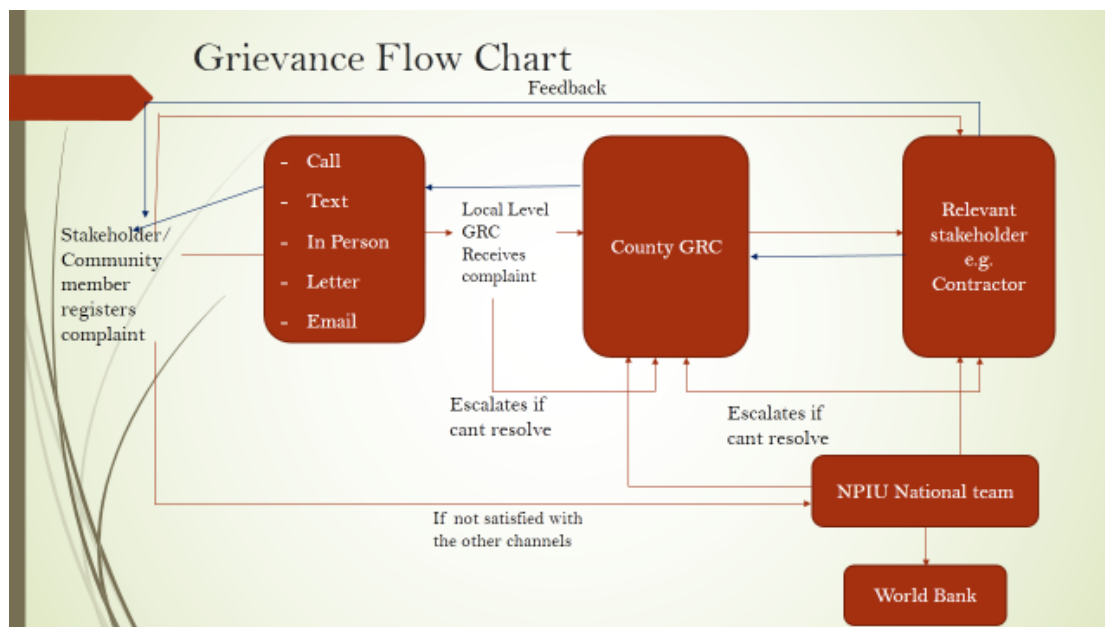
Or

The World Bank
Grievance Redress Service (GRS)
MSN MC 10-1018
1818 H St NW
Washington, DC 20433, USA

Email: grievances@worldbank.org

Fax: +1 – 202 – 614 – 7313

Complaints may be submitted by mail, fax, e-mail, or hand delivery to the World Bank headquarters or any World Bank country office.



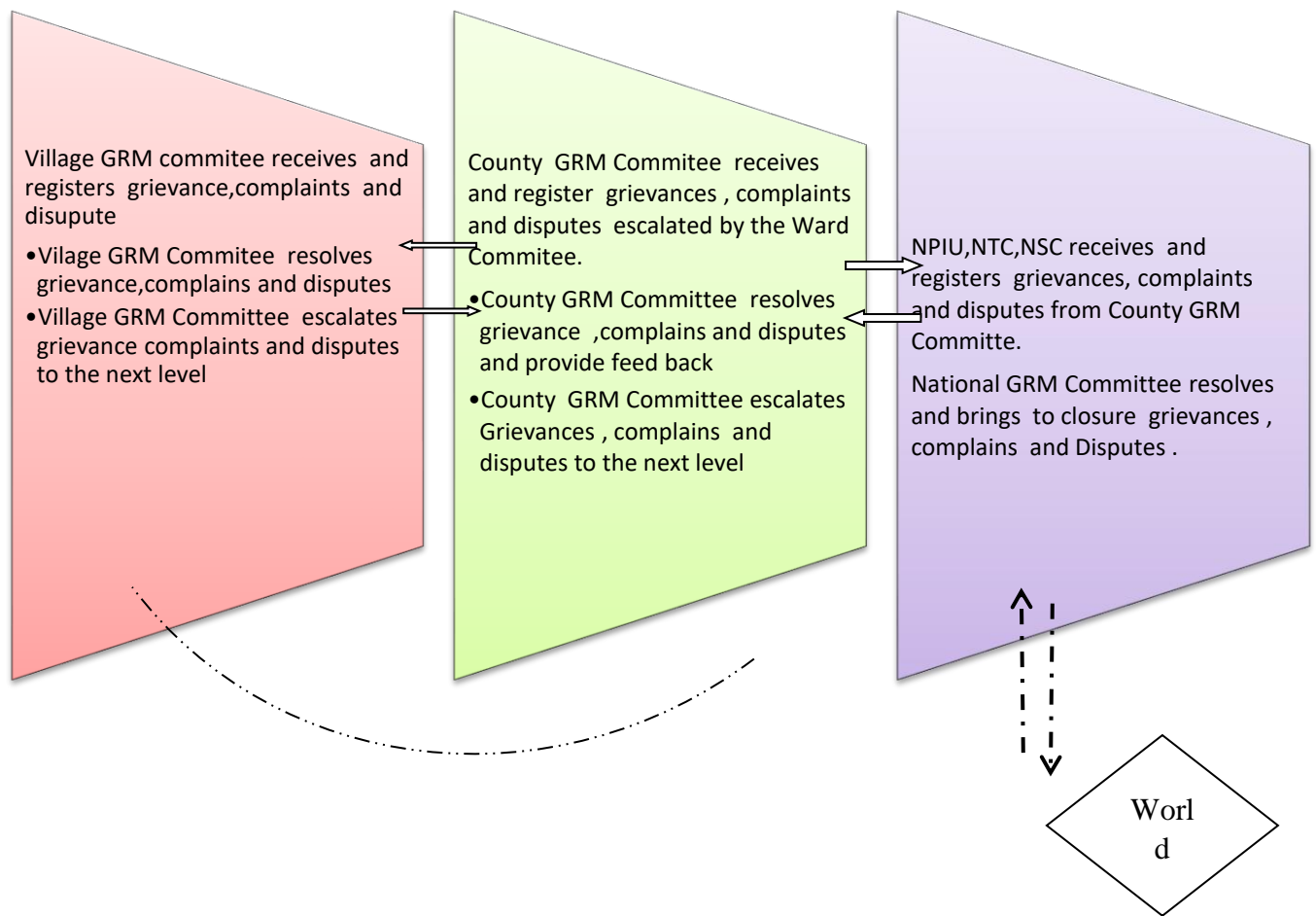
8.3 Grievance Redress Charter

A Grievance Redress Charter serves to guide the coordinating team on the relevant information that needs to be collected when registering the various grievances while providing timelines by which each GRM tier should have addressed or escalated the complaint. Collection of comprehensive supporting information while filing each case provides the GRM with sufficient information to verify and resolve grievances within defined timelines.

Type of grievance	Requirements	Village GRCs	County Grievance Committee (CGC)	NPIU
Omission from the List of Beneficiaries	<ul style="list-style-type: none"> Duly filled grievance form Copy of National ID 	1 week	1 week	2 weeks
Facilitation	<ul style="list-style-type: none"> Duly filled grievance form Copy of National ID 	1 week	1 day	1 week

Valuation	<ul style="list-style-type: none"> • Duly filled grievance form • Asset valuation report 	1 week	1 day	1 week
Fatalities resulting from project activities	<ul style="list-style-type: none"> • Duly filled grievance form • Police incident report (if available) 	1 day	1 day	1 week
Eviction	<ul style="list-style-type: none"> • Duly filled grievance form • Copy of National ID • Incident report (if available) 	1 day	1 day	1 week
Non-payment of wages	<ul style="list-style-type: none"> • Dully filled grievance form • Copy of national ID 	1 day	1 day	1 week

KDRDIP Grievance Redress mechanism flow chart



8.4 Gender Based Violence (GBV)

What is GBV?

Gender based violence is an umbrella term for harm perpetuated on someone against their based on socially ascribed differences between females and males. It includes acts in public and private that inflict physical, sexual or mental harm or suffering, threats of acts, coercion and other deprivations of liberty. Gender represents a fundamental barrier to the equal participation of women and men in social, economic and political spheres. It impedes gender equality and happen the adherent of a range of development

Commitment to address GBV in KDRDIP

The project will apply a right based approach to preventing violence against women and children which is empowering to women and communities and it will use the broader framework of human rights and challenge local community members to examine and assess their value systems and empower them to make meaningful and sustainable change.

It will be essential that the project working in harmony and for women is actively engaged in the planning, development and implementation of programmes and activities aiming to eliminate violence against women. The active involvement of women at this level will not only contribute to the process of challenging traditional views and community attitudes towards them. The project while working with men and boys and community leaders to change their attitudes and behaviour will be an important part of any solution to the problem of violence against women.

What are the Strategies on GBV for in the project?

a) **strategies to mitigate risk** of GBV that could result from project activities or that are already present in communities;

b) **promote norms fostering long-term social** and cultural change towards gender equality by, for example, ensuing women and girls, along with men and boys, are actively engaged in community-based groups and as staff;

- ▶ Facilitate the provision of assistance to survivors by making sure that project know referral pathways for safe and ethical care.
- ▶ Human-rights-based approaches recognize that affected populations are rights-holders and that programs must seek to empower community members in realizing their rights.
- ▶ Survivor-centered approaches prioritize the rights, needs, and wishes of survivors when designing and developing programs; and professionals, regardless of their roles, supportively engage with survivors and those at risk.

- ▶ Community-based approaches promote a process of direct consultation and dialogue with the entire community, ensuring the engagement and leadership of women and girls.
- ▶ Focus on good practices for **Prevention** and **Risk Mitigation**
- ▶ **Prevention = taking action to stop GBV from first occurring**
 - Targeted at underlying causes of GBV, esp gender inequality
 - scaling up activities that promote gender equality
 - working with communities to address practices that contribute to GBV
- ▶ **Risk Mitigation = reducing the risk of exposure to GBV**
 - Targeted at addressing contributing factors to GBV
 - ensuring sufficient lighting around facilities
 - placing locks on the inside of latrines
- ▶ All project implementers and sub-project partners must try to understand the nature of GBV issues linked to sub-project interventions in order to ensure their interventions do not cause further harm.
- ▶ *Relevant subprojects (e.g. health and education) may have additional recommendations about responses to survivors*
- ▶ *Recommends that subproject staff who engage with target populations are familiar with referral processes*

Does not provide recommendations on Protection from Sexual Exploitation and Abuse (linked to project delivery)

8.5 SEA in KDRDIP project

What is SEA?

Sexual Exploitation and Abuse (SEA) is defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.

What is Sexual Harassment?

Sexual Harassment includes unwelcome sexual advances, requests for sexual favours, and other verbal or physical conduct of a sexual nature.

How is SEA managed in KDRDIP?

The KDRDIP project follows a survivor-centred approach to SEA, which ensures that the response to the incident is in line with the survivors wishes and ensures their safety, respect, confidentiality and non-discrimination.

KDRDIP prohibits SEA and sexual harassment for all workers including; staff of contractors and suppliers, enumerators and interns.

Is there a protocol for managing SEA in KDRDIP?

There exist a Protocol for management of cases of Sexual Exploitation and Abuse (SEA) in KDRDIP

This protocol provides guidance on handling cases of Sexual Exploitation and Abuse on project implementation.

How will Whistle blower be protected for reporting SEA in KDRDIP?

1. No disciplinary or legal action will be taken against anyone reporting in good faith violations of the code of conduct for contractors, managers and employees.
2. On submission of potentially serious violations of the code of conduct (i.e. those that are could lead to imprisonment or termination), the perpetrator and victim maybe given compulsory leave on full pay until an investigation has been completed.

How are Referral for SEA done in KDRDIP?

All staff and Gender Rescue Centres (GRCs) should be informed when a case of SEA is reported, they should immediately encourage the survivor/complainant to go to a health centre which specializes in free post SEA health support (within 72 hours of the incident).

How will reporting for SEA done in KDRDIP?

All staff and GRM focal points should be informed if a case of SEA is reported, the only information they should establish is if the incident involves a worker on the project and if the survivor/complainant has been told about the services above.

If a worker on the project is involved the incident should be immediately reported to the NPIU who will provide further guidance after consulting with the World Bank.

How will the project create awareness and sensitization on GBV/ SEA at the community level?

The project will carry out an initial assessment on GBV / SEA prevalence at village level. The finding of these assessment will inform the development of awareness and sensitization plans at the village level. The awareness and sensitization of the target community shall be undertaken through public barazas and focus group discussions. The project will undertake regular

scheduled GBV/SEA community dialogue meetings focusing on men, women and girls on it's handling, reporting channels ,safety and confidentiality at the village level.

Who will be the Focal Person for SEA/GBV at the village level?

The CF will be the focal person for GBV/SEA at the Village Level.

CHAPTER 9: COMMUNITY FINANCIAL MANAGEMENT

Funds flow procedures

The National Project Implementation Unit (NPIU), will process the funds requests and disburse the funds to the community group bank account through the County Integrated Project Implementation Unit (CIPIU) as per the approved annual work plans and Budget.

The Accountant through the CIPIU Coordinator submits relevant monthly financial reports to the NPIU. The Accountant at the County compiles the Financial reports from all the community sub-projects before forwarding them to the Accountant at the National level.

Who opens and operates project account at the County level?

The CIPIU Coordinator will open and operate the project account at the County Level. Community groups will open and operate sub project accounts at sub county/ward level.

What is the process for opening community groups/bank accounts?

The following processes will be undertaken when opening Community Groups Bank Accounts.

- Properly formulated constitution and by-laws. That govern the group operations and management.
- Registration of the groups as legal entities if not existing
- Updated members register with names, ID copies and contacts;
- Acquisition of Registration certificate as a legal entity for new groups
- Minutes of a (General or special) meeting detailing the election of the office bearers, their contacts, authorization of opening a bank account and signatories.

~~Who will be responsible to ensure the community group/committee accounts are opened.~~

Facilitating partner will support community groups to ensure Bank Accounts are opened at local commercial Banks.

How will funds flow from the county level to community accounts?

Once the Money has been released from NPIU to CIPIU accounts based on approved County Work Plans and Budgets, the CIPIU Coordinator will transfer funds to respective community groups/committee accounts in accordance with approved subproject Work Plans and Budgets. This is done based on MOU between the CIPIU and the CPMCs in consultation with the National Treasury at the County level.

What are the pre-conditions for community committees to receive funds?

Before release of funds community committees must have fulfilled the following conditions:

- Registration certificate
- Existence of a constitution and by-laws that govern the group operations and management
- Bank account details
- Names of the Authorized bank signatories and minutes of General meeting detailing the authorization of such persons as bank signatories and their contacts.
- Community Project business plans. /LIPW/CPMC Plans.
- .
- Training of office bearers on basic financial management, record/book keeping and procurement skills.
- Approved Community annual implementation, work plans and budget and Procurement plan
- Filled KDRDIP Funding Application Form

Who are signatories of community accounts?

- The signatories of community groups Bank Accounts are the Community Committee members (CPMC/CGMC) which comprise of
- Chairperson
- Treasurer
- Secretary

Any two can sign with the Chairperson as a mandatory signatory in any Bank transaction.

How will community committees receive money?

The money received must be recorded in the cash book as receipt and when payments are made it should be recorded in the payments column of the cashbook. Annex 2a

A receipt book with a pre-numbered double copy receipt shall be maintained by the community organization.

Receipts shall be issued in respect of all cash and cheques received and deposited by Treasurer on behalf of the Community Project Management Committee (CPMC). Cheques shall be receipted only after they have cleared in the bank.

Receipt books shall be maintained by the Treasurer. Amounts received through bank transfers shall always be acknowledged in writing.

All cash collections shall be receipted and deposited as soon as possible in the bank by the Treasurer.

How will the Community Committees Process Payment?

Cheque payment

Payment voucher shall be prepared by the treasurer for all the cheque payments.

Supporting documents such as suppliers' invoices, quotation forms, delivery notes, approved wage sheet by the works subcommittee or copy of contract shall be attached to each payment voucher.

Payment voucher shall be approved by project implementation Committee after verifying details to the supporting documents.

A cheque shall be prepared after the payment voucher has been approved.

The treasurer shall submit the signed cheques to the supplier or procurement sub-committee for onward submission to the supplier.

The supplier should sign in a register as evidence of picking the cheque.

The payment vouchers together with the attached documents shall be recorded in the cashbook and filed chronologically as per the payment dates in the payment voucher file.

Cash Payment

Cash payment should be for only small payments not exceeding Kenya Shillings 5,000. This is to minimize mismanagement and reduce cases of loss of cash.

- Cash shall be drawn from the bank via an open cheque.
- As a rule, payment vouchers shall be prepared in duplicate.

The following procedure will be followed for cash payments;

- All the payment vouchers which are to be paid in cash shall be prepared by the Project Management Committee member.
- The payment voucher shall be recommended by the Treasurer.
- The payment voucher shall be approved by chair and or Group Chairperson, the Vice Chairman or the Secretary after verifying details of the supporting documents.
- Cash requisition form shall be prepared by the member and shall be approved as per the signing mandate (Chairman, Vice Chairman, Secretary and Treasurer).
- Cash withdrawn from the bank for paying cash expenses shall be kept by the Treasurer for a period not more than three days to minimize the risk of cash being stolen or mismanaged Payment vouchers shall be signed by the person being paid as a sign of acknowledgement.
- All the payment vouchers shall be handed over to the treasurer for recording and filing.
- The payment voucher shall be stamped PAID and filed in a box file containing all the payments in a chronological order as per the payment date.
- Cash requisition form shall be prepared either by the works sub-committee or procurement sub-committee and shall be forwarded to the Group chairperson for approval.
- All the payment vouchers shall be approved by the chairman to the before payment after verifying details of the supporting documents.
- Payment vouchers shall be signed /stamped by the person being paid as a sign of acknowledgement.
- All the payment vouchers shall be handed over to the treasurer for recording and filing.
- The payment voucher shall be filed in a box file containing all the payments in a chronological order as per the payment date.
- Cash withdrawn from the bank for paying cash expenses shall be kept by the treasurer for a period not more than 5 days. This will ensure that the risk of cash being stolen is minimized.

How frequent should the Bank Reconciliation be done?

Bank reconciliation should be done by 10th of every month by the Community Committees and reports shared with CIPIU.

What system of filing documents should be used by the community groups?

The Community Committees will be required to have a proper filing system which is ideal for quicker document retrieval.

The treasurer to the committee shall maintain the payment voucher file (for filing both cheque and cash payment voucher), bank statement and report file (for filing of deposit slips, bank

statement and quarterly reports), receipt books and all the documents shall be filed sequentially in the order of date as the transaction occurs.

What financial records will be maintained by community committee?

The Committee will keep records on all financial transactions.

These records will help:

- Stakeholders to verify the accuracy of financial dealings;
- The Community Committees to keep records for future reference;
- Project implementers to know expenditure and balances to date;
- Community members to know about Community Committees financial transactions;
- NPIU and CIPIU to audit Community Committees Accounts;

The following are the minimum financial records required for each Community Organization:

- Cash Book / Bank Record- A sample of a cash book (Annex 1)
- Bank Reconciliation Statements
- Community Contribution Register (where necessary) (Annex 2 c)
- Budget Control Forms- A sample of the budget control form is given. (Annex 2b)
- Asset Register
- Minutes Book

What measures will be undertaken to prevent mismanagement of financial resources?

The Community Committees (CPMC/CGMC) will take the following measures to prevent financial irregularities:

Internal Controls:

- Minutes authorizing withdrawal of funds to implement activities
- Adherence to approved Budgets, Procurement plans and procedures
- Conduct regular internal audit of financial records and verify goods and services procured
- Report any irregularities to the relevant Sub-committees, VGRC, SAC, CIPIU and NPIU, and members;
- Examine all financial transactions on a monthly basis and rectify any errors detected; (Annex 2d)
- Recover any lost money and/or assets from the persons responsible for the same;
- Ensure that all financial transactions are recorded in the books of accounts on the same day;
- Ensure that all financial reports are discussed in their meetings including AGM
- Include sanctions in community group by-laws.

Other measures

- Involve county administration
- Ensure Audit by SAC
- Take legal action against culpable Community member(s);
- Ensure Audit by National Audit Office

Who will train communities on financial management and procurement?

The Facilitating partner with the support of the relevant PIST will organize and train the community groups on Financial and Procurement Management

What will be covered in these training?

- Basic financial Management skills
- Group empowerment on transparency and accountability
- Record, Book keeping
- Basic procurement skills
- Five Core principles (Regular meeting, Weekly savings, Inter-loaning, Timely repayments and proper Recordkeeping)
- Group dynamics,
- Conflict Resolution and Management
- Gender mainstreaming
- GBV/SEA

Where will these training be held and what will be its duration?

- Community training will be conducted at the ward level or at the village level but Facilitating Partner will decide for an appropriate training location and venue. A three (3) day training will be conducted for Community Project management committees.
- Refresher training will be conducted for groups on a need basis.

CHAPTER 10: COMMUNITY PROCUREMENT PROCESS AND GUIDELINES

What are the objectives of community procurement guidelines?

- Provide guideline for community procurement committee members to follow in managing procurement at the community level in line with PPADA 2015 and World Bank Standard Procurement procedures
- Outline the key processes and steps to observe in procuring or purchasing using project funds
- Provide a simple document for use by stakeholders interested in community procurement

What is community Procurement?

Community Procurement is a process through which communities acquire goods, works or services at community level

What are the Key principles of procurement at the Community level?

The key principles in procurement at community level are as follows:

Transparency: Procurement of goods, works and services at community level shall be open and transparent. All goods, works and services to be procured or hired should be prominently published at public places in the villages. Where applicable proper specifications and estimated quantities should be indicated.

This should enable all processes to be monitored, reviewed, commented upon and influenced by stakeholders, and decision makers can be held accountable.

Equal Opportunity for all Suppliers: Every interested supplier should be given equal and fair opportunity for supplying goods or works, or render services. The method of evaluation must be uniform and everybody should be well aware of it.

Accountability: Any Procurement Committee member of the Community group remains accountable individually or collectively for all decisions and actions taken.

Any member found to have flouted the procurement rules and regulations shall be dealt with in accordance to the laws of Kenya, and the group's constitution and by-laws.

Ensuring value for money: Goods, works and services to be procured should meet the required technical specifications, quality standards and at the best price.

Safeguarding the Interest of the community Procurement Committee: In the event that friends or relatives of any member of the procurement Committee is participating in the bidding process the concerned member should declare and excuse himself from the evaluation process, so that there shall not be undue influence.

Ensuring Efficiency and Effectiveness: Procurement processes should be carried out as cost effectively as possible while at the same time meeting appropriate requirements

What are advantages of community Procurement?

- Communities are able to get value for money in the procurement of goods, works and services.
- This also ensures ownership of the process and assets.
- Community is accountable and takes responsibility for their decision,
- Communities can deploy local labor, purchase local materials, and use their indigenous knowledge.
- Communities improve their skills and gain confidence in implementing development projects in a participatory manner
- Ensures transparency and accountability within the community

What are the procurement methods under community procurement?

(a) Procurement of Works, Goods and Non-Consulting Services

Procurement Method	Method Threshold (KES)	Suitable
Low Value Procurement	<10,000	The estimated cost of goods works and services procured by item is less than or equal to ten thousand No benefit would accrue to the community in terms of time or cost implication if the community uses any procurement method
Direct Procurement	Any value	Goods, works and services available from only one supplier, public entity or on emergency
Request for Quotations	≥10,000 - <2,000,000	For goods, works and non-consultancy services that are readily available in the market within the but within the community -sub-county
Local Bidding	≥10,000 - <1,000,000 Non-Consultancy Services ≥10,000 - <3,000,000 For goods and Works	For goods, works and non-consultancy services that are readily available in the market but within the community –within the county

Restricted Bidding		For specialized goods, works and services subject to prequalification
National Open Bidding	<1,000,000 Non consultancy Services <3,000,000 For goods and Works	To be used for community procurement
Community Force Account		When it is appropriate for the community to purchase materials and hire a contractor (Where labour is to be procured when the community has purchased materials)

(b) Procurement of Consulting Services

Selection Method	Method Threshold	
FIRMS		
Consultants' Qualification (CQS)	<30,000,000	
Direct Selection (DS)	Any Amount	
INDIVIDUAL CONSULTANTS		For providing technical advice to community groups
Open Competitive Selection	<10,000,000	Can be national
Limited Competitive Selection	<1,000,0000	
Direct Selection (DS)	Any Amount	

What are the key steps to be followed in community procurement process?

STEP 1:

From the approved work plan and procurement plan, a requisition is raised in the following manner:

The CPMC/CGMC authorized procurement member, with assistance of the FP and the relevant Project Implementation Support Team member, fills out a requisition form (Annex 3a) with estimates for the approval by the Chairman of the CPMC/CGMC who will also identify the method of procurement based on thresholds for the works, goods or services to be procured.

STEP 2:

Upon approval and subject to the identified method, the procurement committee shall with the assistance of the FP and the relevant Project Implementation Support team member where necessary prepare the bid documents including the technical specification and ESMP.

The technical specifications must be sufficiently detailed that an interested bidder can clearly identify the type, quality, quantity, model, etc. of goods/works/services required, but not so specific as to eliminate competition

Where the bidding documents will not be required, and the works, goods and services are of low value, a petty cash voucher can be prepared.

STEP 3:

The CPMC/CGMC shall appoint an ad hoc Project Procurement Committee amongst its members to oversee the procurement request.

CPMC/CGMC Authorized procurement member shall be the secretary.

The procurement Committee shall elect their chair

STEP 4:

CPMC/CGMC authorized procurement member shall fill the ‘Invitation to bid documents’ (Annex 3b))/with a detailed description and technical Specifications of the goods/works/services required and the ESMP required as part of the tender.

The technical specifications must be sufficiently detailed that an interested bidder can clearly identify the type, quality, quantity, model, etc. of goods/works/services required, but not so specific as to eliminate competition

The ‘Invitation to Bid’ form must be signed by the Chair of the CPMC/CGMC before distribution.

STEP 5.

The Procurement Committee shall use the appropriate procedure to invite for bid(s)

STEP 6.

For competitive methods, the procurement committee will invite bids from potential bidders

A minimum period determine by the procurement method is allowed between the date of invitation to bid and the deadline for submission of offers

STEP 7

Bidders must prepare and present their bids in the format stated in the Bid document (Annex 3b)) and submit in sealed envelopes to the designated CPMC/CGMC member at the location specified.

A minimum of three members of the group will form an ad hoc Bid Opening Committee- This may include beneficiaries

The Bid Opening Committee will hold a formal ‘bid opening ‘meeting where minutes will be recorded. The bid opening meeting should be held within an hour after the bid submission deadline.

The bid opening meeting should be “public” (where bidders and members of the community may choose to participate) for Procurement of all Goods, Services, and works.

During the Bid opening meeting, the Committee members open the envelopes of the offers received before the submission deadline, reads out the name of each bidder and the total amount of each offer and recorded in a register. Each member of the Committee should sign or put a thumb-print with the date on the envelope and on identified key pages of each opened offer.

One member of the Committee prepares a minute of the bid opening meeting. The minutes lists the persons who participated in the bid opening, the number of offers received before the submission deadline, the names of the bidders, the bid prices, the number and names of the bidders whose offers were returned unopened due to submission of the offers after the deadline for receipt of the bids as stated in the invitation to quote. The opened offers are then provided to a Bid Evaluation Committee.

STEP 8.

The offers must be evaluated by a Bid Evaluation Committee comprising a minimum of 5 members. This Committee may be the same as the Procurement Committee or different but will not include the chairperson of the CPMC/CGMC. The majority of the members must ideally belong to the beneficiary community or the community group itself. The relevant PIST member and the FP will provide technical assistance required for the evaluation.

Any other Technical expertise may be co-opted or hired to assist in the procurement process as necessary.

STEP 9.

The Bid Evaluation Form (Annex 3c)) should be used for the evaluation of the offers. The price, delivery time, delivery place, compliance to the required technical specifications, warranty period (if any), and technical qualifications (expertise) and performance record of the bidders are aspects of offers that must be taken into consideration.

A technically complete, lowest priced offer from a qualified bidder is recommended for the award of the contract by the Bid Evaluation Committee.

In cases where the contract is recommended to a bidder other than that with the lowest priced offer, a detailed justification must also be recorded by the Bid Evaluation Committee. The recommendations of bid evaluation committee are recorded in Annex 3c and the form is signed by all members of the Bid Evaluation Committee. This forms the basis for recommendation of the Bid Evaluation Committee to the Chair Person of CPMC/CGMC.

STEP 10:

After the chairperson is satisfied with the evaluation report and its recommendations, an award is prepared by CPMC/CGMC authorized procurement member and issued to the successful bidder through an LSO, LPO (Annex 3d,3e) or a contract (3f) including the ESMP where necessary. Where the Chairperson is not satisfied, he should return to the authorized person with written reasons.

STEP 11.

On delivery of the ordered goods or completion of the ordered works/services, an inspection is made by an inspection and acceptance committee and an inspection report prepared including reviewing the ESMP completion report. The inspection and Acceptance committee shall consist at least two members of the CPMC/CGMC, Two members of the relevant Village level sub-committee and the relevant PIST.

The Inspection and Acceptance Committee shall prepare an Inspection and Acceptance Report (Annex 3g) and Certificate (Annex 4a).

In the case of works, the relevant PIST shall prepare and issue a Completion Certificate for Works (Annex 4b)

STEP 12:

The Social and Audit Committee (SAC) may participate during the inspection of delivered goods, services and completion of works and thereafter prepare reports that would be included in the submission to the Village Barasa during their quarterly meetings.

STEP 13:

Once the chair of the CPMC/CGMC receives the Inspection and Acceptance Report, a Payment voucher complete with all the necessary attachment (LSO, LPO, Contracts, invoice, minutes, approval etc.) is prepared and a cheque issued.

Who will train the Village Level Committees on Procurement Processes?

Training of the SAC, VLC and their Sub-committees and CPMC on procurement procedures shall be undertaken by FP with the support of the relevant PIST at regular intervals in order to equip them with the necessary skills to undertake procurement at the community level.

The CPMC/CGMC shall keep record of all the procurement processes and transactions

What documentation is required during and after community procurement?

The following documents are to be kept for community procurement of different items at the Different level.

- The approved procurement plan and Budgets
- Screening checklists
- Land Donation forms-Where necessary
- Approved requisitions
- Signed minutes of the concerned meetings for different procurements.
- Bid Documents for those invited for the procurement (Wherever applicable)
- Receipts LPOs, LSOs, Contracts vouchers, invoices and forms for all the purchases and payments made.
- Evaluation report for different procurements
- Delivery notes and acceptance certificates
- Procurement register, which should depict the following details
- Date of Approval at the concerned meeting.
- Name and quantity of items
- Date of Purchase.
- Name of the Supplier/Service Provider/Contractor
- Total Budgeted and approved cost and quantity.
- Detail list of items purchased
- If Contract (Period of Contract)

- Date of payments, voucher number and or cheque number
- ESMP
- ESMP completion report
- Sub-project Operation and Maintenance report

Training on Procurement Procedures

Training of the SAC, VLC and their Sub-committees, and CPMC on procurement procedures shall be undertaken by the FP with the support of the relevant PIST at regular intervals in order to equip them with necessary skills to undertake procurement at the community level.

How will community maintain Social Disclosure?

To maintain community social disclosure for transparency in the procurement of Goods, Works and Services, the procurement committee will communicate with the public through:

- Public notice boards accessible to all community members
- Bill Boards and branding boards
- Sub-Project specific notice Boards
- Complains and suggestion boxes
- Local news papers
- Village Barazas
- Local FM stations.
- Brochures
- Posters
- Skits and songs
- Sub-project meetings
- Digital and social media

CHAPTER 11: IMPLEMENTATION OF PROJECT COMPONENTS BY COMMUNITY INSTITUTIONS

11.1: Social and Economic Infrastructure and Services Component

How much funds will be used for component 1(social –economic infrastructure and services)?

Component and sub-component	Funds allocated in US\$ (millions)
1. Social & Economic Infrastructure and Services:	45.98
i. Community Investment Fund	2.70
ii. Capacity building for local planning & decentralized service delivery	

The funds will be shared in the three counties of Garissa, Wajir and Turkana based on the percentage of host population and percentage of geographical area.

County	Sub-county	No. of Wards	Host Population in the Sub-County	Population (%)	Geographical area (Sq. Km.)	Geographical area (%)	County Share (70% population, 30% area)	Total allocation (USD million)
Turkana	Turkana West	7	409,490	38.03	17264	25.53	34.28	14.05
Wajir	Wajir South	7	167,605	16.61	21595	31.93	21.21	8.70
Garissa	Dadaab	6	208,048	20.32	6781	10.03	17.23	7.06
	Fafi	5	129,904	12.69	15469	22.87	15.74	6.45
	Lagdera	6	126,389	12.35	6519	9.64	11.53	4.73
Total		31	1,041,436		67628			41.00

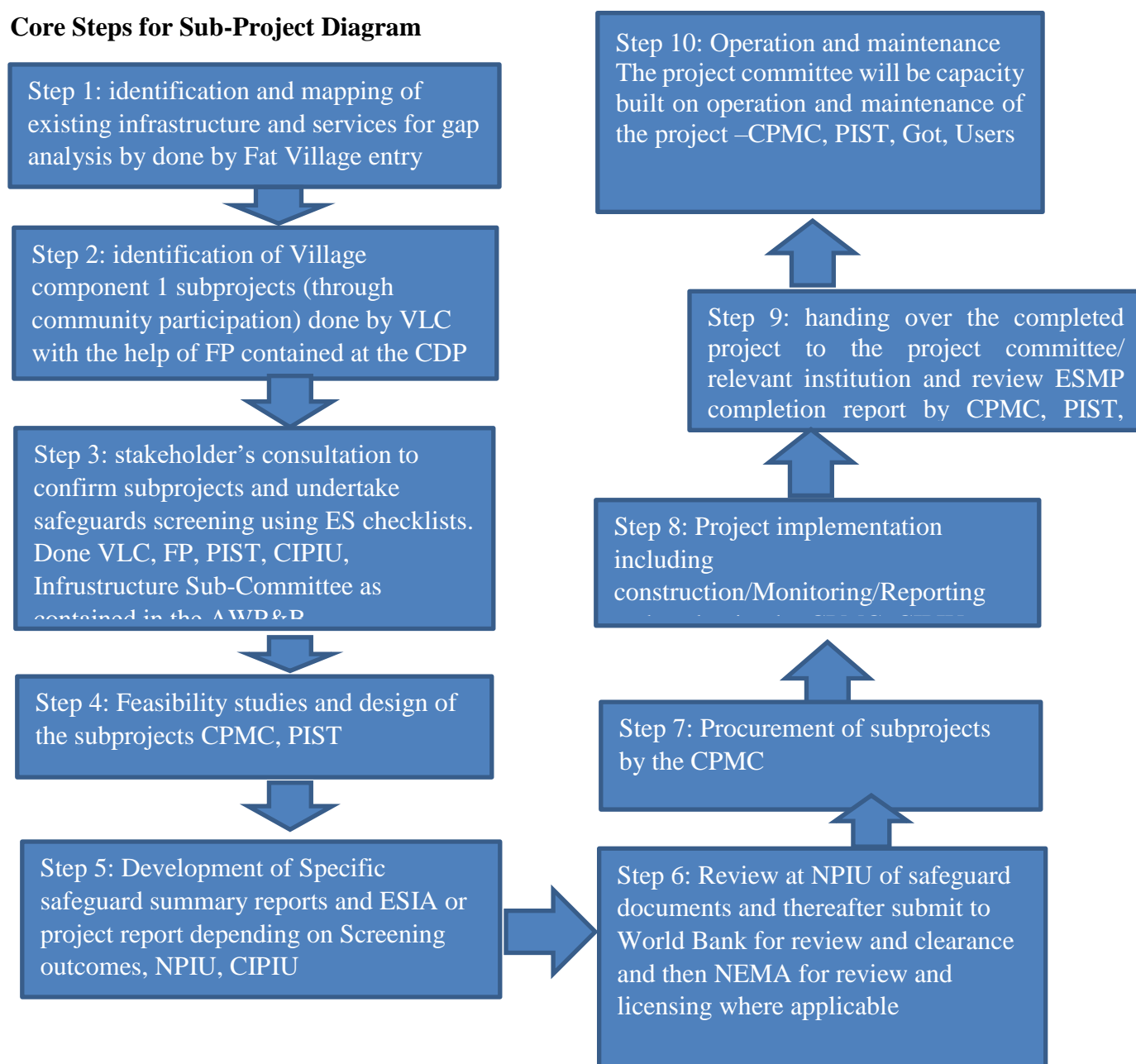
The allocation at ward and village level will be determined after the subprojects are identified.

What are the dos and don'ts for this component?

- Communities will identify and prioritize the specific social services and economic infrastructure to be funded through CDD approach.
- Investment will only be in expansion, upgrade and/or establishment of infrastructure with close coordination with the respective sectoral agencies,
- Only those sub projects for which concerned government entities can cover their operating costs and have staff with will be supported, ensuring the sustainability of the interventions. For example, classroom construction will be supported when prioritized by communities, when student to classroom ratios are agreed-on norms, when teachers and teaching materials are assigned, and when the education department can ensure that recurring costs are part of subsequent plans and budgets,
- Existing water schemes that will be able to shift to solar pumping ensuring reduced operation and maintenance costs will be supported.

Sub-project cycle diagram for component 1 showing what the key steps are for implementation cycle of component 1

Core Steps for Sub-Project Diagram



Who are the Key stakeholders in component 1, how are they composed and what are their roles and responsibilities?

Stakeholders	Composition	Roles and Responsibilities
<i>The communities</i>	Project Beneficiaries at the project area	<ul style="list-style-type: none"> ▪ Provide land to put up sub-projects ▪ To give out sub-projects ▪ To participate in forming village level committees and sub-projects committees ▪ Implementing monitoring project investments ▪ To benefit from investments in the social economic infrastructure
<i>Project Implementation Teams</i>	Composed of Technical officers from Roads, Health, Water, and Education.	Integrating CDPs into the CIDPs <ul style="list-style-type: none"> ▪ stakeholder's consultation to confirm subprojects: ▪ Feasibility studies and design of the subprojects. ▪ provide overall technical support ▪ Preparation of required safeguard documents depending on screening outcome
<i>Village level subcommittee on infrastructure</i>	It is composed of five members including women, youth and differently abled as representative (Minority clans and sub-clans' groups to be included)	<ul style="list-style-type: none"> ▪ Provide oversight on all component 1 subprojects at the Village Level
<i>Facilitating partner</i>	Team Leader, Social development Officer	<ul style="list-style-type: none"> ▪ Conduct social mobilization at the village level ▪ Build capacity of local institutions for project implementation.

	<p>Environment and natural resources Officer</p> <p>Livelihood Officer</p> <p>Social Mobilizer</p> <p>Community Facilitator</p>	<ul style="list-style-type: none"> ▪ Provide implementation support to communities ▪ Prepare and submit monthly, quarterly progress reports to CIPIU Coordinator. ▪ Act as Grievance Redress Mechanism focal point. <p>It is consistent with FP latest TOR</p> <ul style="list-style-type: none"> ▪ Provide a lead role in social mobilization to targeted villages and clusters ▪ In collaboration with the FP team Provide capacity building for community facilitators ▪ Supervise social mobilization activities at the ward Level. <p>Prepare and submit monthly reports to FP team leader</p>
Community Project Management Committee (CPMC)	<p>It is composed of five members including women, youth and differently abled as representative</p> <p>Alternatively:</p> <p>Existing Institutions committees to be strengthened and made inclusive where applicable.</p>	<ul style="list-style-type: none"> ▪ Advertise for tender ▪ Procure ▪ Hand over the site ▪ Supervise implementation ▪ Payment of the contractor

What is a Village level subcommittee on infrastructure?

<p>- It is composed of five members including women, youth, and differently abled persons. During the composition, VMGs, Minorities and minority sub clans should be included.</p>
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What are their roles?

- Oversee implementation of community Sub-projects at the Village level
- They report to the Village Level Committee
-

What is CPMC?

It is the committee charged with the responsibility of implementing a sub-project on behalf of the community and ensuring sustainability of the completed sub-project

What is the role of CPMC?

- Prepare annual Work plans and Budgets and Procurement Plan
- Advertise for tender, procure, hand over the site, supervise implementation, payment of contractor and hand over the complete project to the user.
- Ensure safeguard issues are addressed during design and implementation of the sub-project
- Ensure sustainability of the completed sub-project

Who will conduct the capacity building for infrastructure sub-committee and CPMC?

- Capacity building of subproject committee will be undertaken by facilitating partner (FP) and project implementation support team (PIST).

What are the areas to focus on when conducting capacity building?

- Accountability and transparency,
- supervision of the subproject,
- accurate reporting of project status,
- management
- Procurement
- Safeguards and
- Sustainability of the project, as well as operation and maintenance.

What is a sub-project feasibility study?

- A study carried out before the implementation of the project to ascertain the ideal area /viability /suitability for construction/implementation of the project to be led by the PIST
- Take into consideration screening of safeguard issues by use of screening checklists by the CIPIU Safeguards specialist to include Awareness Creation on GBV to both genders
- This is done in order to ensure successful implementation, utilization and sustainability of the project.

Who is involved in the sub-project feasibility study?

- The Project implementation support team from the sub-county will be involved. (PIST)
- CPMC, FP, CIPIU –Safeguards specialist
- Infrastructure Sub-Committee
- VLC

What is the preparation for design?

- This includes drawings, Bills of Quantities, estimated cost of the project, phases and period of implementation, NEMA approvals

Who is involved in the preparation?

The project implementation support teams (PIST) in the sub-County, CIPIU Safeguards specialist

What is the importance of the project design?

It gives a professional guide for the successful implementation of the project.

What is involved when signing the contract?

- It's a document signed between the contractor and the subproject committee.
- It involves a commitment by the contractor in delivering the completed project within the stipulated time at the agreed cost and timelines.
- The contract document should contain ESMP and clauses on environmental and social safeguards, occupational safety and health etc.

What is a site handover?

It occurs during a meeting when the subproject committee hands over the site to the contractor to start the works.

What is involved in the site handover? (Annex 4a)

- The contractor takes over the site
- The contractor submits a works implementation schedule
- Safeguards issues are discussed.

How is inspection and valuation of works done and who does it?

- The project subcommittee conducts a survey to ascertain the value of works done for purposes of payments
- Done to ascertain the quality of the works conforms with the design specifications.
- Determine the progress of the works. (Annex 4e)
- Done by PIST, NPIU, FP, CPMC, Village Infrastructure Subcommittee,

Who will attend the site handover meeting?

PIST, NPIU, FP, CPMC, Village Infrastructure Subcommittee and even SAC

What is a technical completion certificate?

- It is a certificate (Annex 4b) issued by the relevant (PIST) to contractor indicating the status of completion of the project.
- Ensure all Safeguard issues have been addressed.

What happens during sub-project handover?

- The contractor hands over the completed project to the relevant users
- a brief history of the project, its objectives, uses, cost,
- A Checklist on compliance with the environmental and social safeguards mitigation measures
- Report on sustainability management of the sub-project,
- Operation and maintenance manual/structures
- A handing over certificate (Annex 4c) is issued to the users.

11.1.1 Grievance redress mechanism in regards in component 1

The community should report their grievances through the existing grievance redress mechanism established for the project at the village level verbally, in writing or via text or phone.

11.1.2 Addressing GBV under component 1 (annex 4d)

In order to prevent and address the gender-based violence issues in the Social services, health, education, water supply, designs shall consider ease and security of access to the subprojects. This is expected to contribute to GBV prevention and response from their sector's unique entry points;

(a) Social and basic economic activities with women will be coupled with gender dialogue groups with men to reinforce the messages challenging gender norms and expectations that contribute to the acceptability of GBV. These groups will reinforce the messages from the first activity.

(b) communication strategy including awareness creation at all levels of implementation using multiple and diverse communication channels that are gender-informed and focus on increasing awareness around available services for GBV survivors and challenge the norms and attitudes that contribute to the acceptability of GBV;

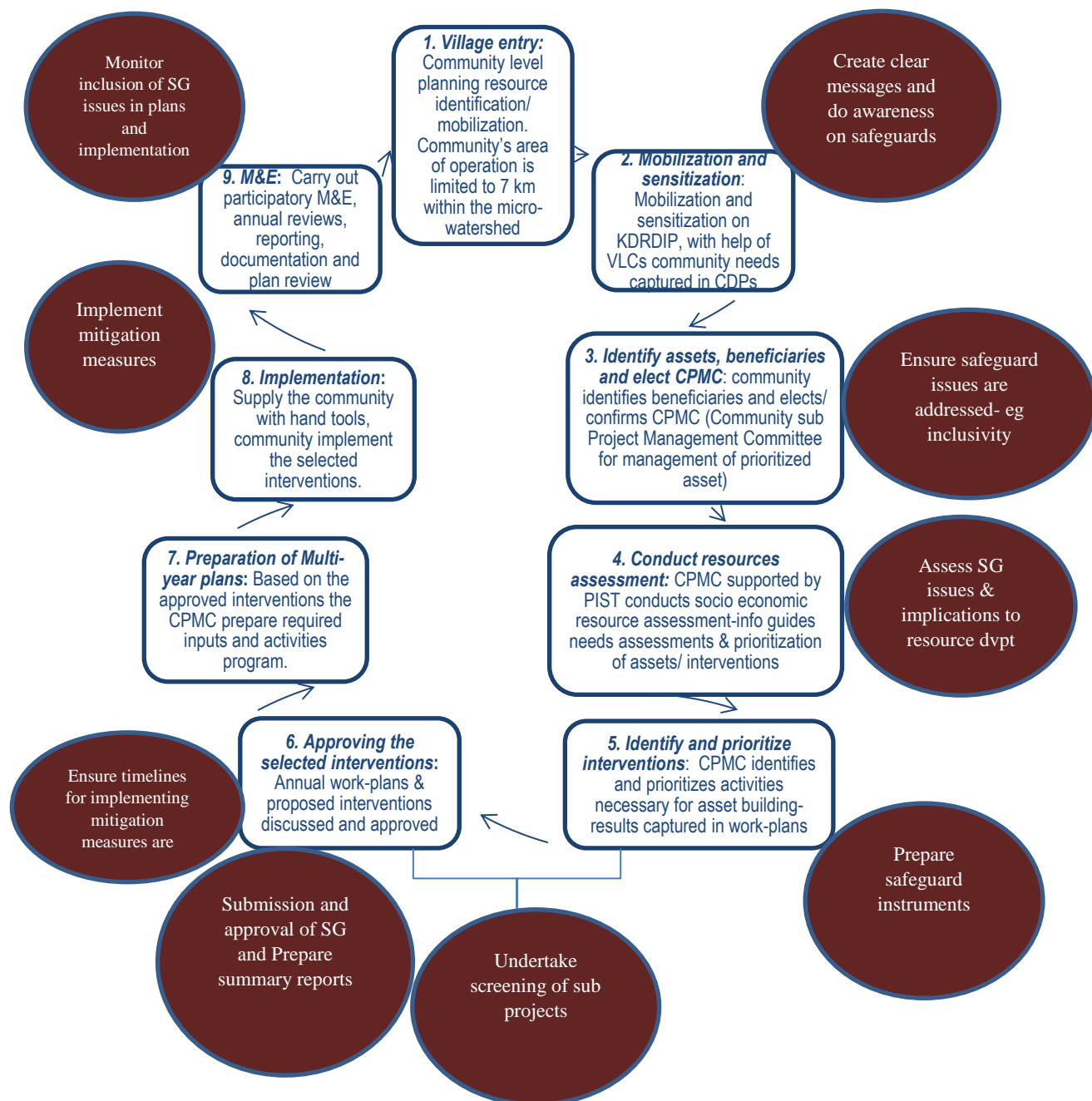
11.2 Environment and Natural Resources Component

Component 2 Budgetary Allocations for Sub Counties

Component and sub-component	Funds allocated in US\$ (millions)
1. Environment and Natural resource Management	
i. ENRM	19.47
ii. Access to Energy	2.16

County	Sub-county	No. of Wards	Host Population in the Sub-County	Population (%)	Geographical area (Sq. Km.)	Geographical area (%)	County Share (70% population, 30% area)	Component 2 allocation (USD Million)
Turkana	Turkana West	7	409,490	38.03	17264	25.53	34.28	7.10
Wajir	Wajir South	7	167,605	16.61	21595	31.93	21.21	4.4
Garissa	Dadaab	6	208,048	20.32	6781	10.03	17.23	3.5
	Fafi	5	129,904	12.69	15469	22.87	15.74	3.2
	Lagdera	6	126,389	12.35	6519	9.64	11.53	2.4
Total		31	1,041,436		67628		99.99	20.71

Typical Community Based Watershed Development Plan cycle.



What are the considerations for this component – you may refer to LIPW guidelines?

- (a) Active and intensive community participation
- (b) Planning based on the community watershed boundary
- (c) Transparency and accountability
- (d) Utilizing existing institutions
- (e) Promotion of equity
- (f) Gender responsiveness
- (g) Collaboration with existing Government and Donor Programmes
- (h) Sound environmental and social safeguards
- (i) Targeting the most vulnerable households in the community

Key Stakeholders roles and responsibilities in LIPW and NRM activities

<i>Level</i>	<i>Stakeholder</i>	<i>Key role</i>
<i>Community Level</i>	<i>CBO, FBO at community level faith-based organizations, world vision, chief/Assistant chief, Ward/village administrator.</i>	<i>Support coordination and prioritization of subproject for inclusion in work plan at the community level</i> <i>Support implementation of subprojects</i> <i>Monitoring and evaluation</i> <i>Participate/support in Community capacity building</i> <i>Provision of resources for community capacity building</i>

Who are eligible to be enrolled in LIPW groups?

- Eligible members must be able-bodied and drawn from targeted households for LIPW program.
- Eligible members must be resident in the community and between the ages of 18 and 60, holding a Kenyan national ID.
- Expectant and breastfeeding mothers who are able to work.
- Sick and severely disabled persons will not be eligible for work and cannot be listed either as a main participant or a substitute.

What is the distance between the work location and the furthest beneficiary?

- The selected subprojects should be within the community micro-watershed (better to use administrative areas/boundaries) and within reach as beneficiaries should not travel long distances to participate in LIPW activities and receive the benefits. The walking time should be limited to one hour or 3.5km one way

What are other LIPW activities in the village and how can they integrate with KDRDIP?

- LIPW SPs should complement other activities prioritized in the community. LIPW planning should ensure that works complement each other in the overall management of the programme.
- LIPW should be implemented on activities that can support household investments (for example livestock production can be supported by grazing land rehabilitation, livestock water pan construction for livestock watering or the planting of fodder tree species).
- Water development should support crop production and hygiene
- Tree planting and rehabilitation activities should improve rangeland productivity
- Alternative energy interventions should lead to improvement of human health and environmental conservation
- SWC activities to mitigate natural resources degradation and enhance crop productivity

How to ensure inclusion of women, vulnerable and marginalized individuals (VMI) in LIPW activities?

- LIPW activities have to be designed to enable women, VMI, youth, unemployed, people with limited disabilities to participate.
- Work will be allocated in a way which is appropriate to the gender and other VMIs and people of disabilities as well as ability of beneficiaries.
- Priorities have to be given to works which reduce women's regular work burden, with women engaged in the planning of public works.
- Targeting should prioritize women-led households and activities that reduce the opportunity for Gender-Based Violence (GBV).
- Targeting should prioritize vulnerable and marginalized individuals, including unemployed youth and people with limited disabilities, single mothers, minorities.
- Sub project implementation and management should comply with the all safeguards aspects, health and safety, as well as on the GBV and VMI

What is the duration of work for LIPW?

- Considering the experience from other institutions and high temperatures in the project operation area, it is recommended to adopt (5) daily working hours for LIPW, with substantial breaks as necessary
- The number of annual working days will be based on the available budget. Never the less it is suggested to allow participants to work on LIPW projects 3 days per week, 12 days a month for 6 months which amounts to 72 work days in a year.

What are the payment rates per day and mode of payment?

Targeted beneficiaries participating in the LIPW get cash transfer of Ksh 250 per day in line with other similar public works programs in the targeted regions. It is recommended to pay twice a month through an agreed mode of cash transfer.

What implementation modalities to be used?

- 1. Daily based and
- 2. Contractual/task based.

The two implementation modalities can be flexibly applied based on the nature of the work/task as guided by the technical specifications and as agreed in writing between the PIST and the Beneficiaries.

What is the number of participants per household?

The targeted number of participants per household will be based on family size i.e. 1, 2, and 3 participants for a family size of 1-4, 5-10, and above 10, respectively.

How will the grievances be resolved?

GRM contains guidelines that include case category, issues, reporting and feedback processes, documentation and timelines. The complaints will follow the laid down mechanisms in the GRM chapter 8.

Water and rangeland management has to be planned in agreement with neighbouring villages and or communities and among the members with rules and regulations well defined and agreed upon. In such cases community by-laws may have to be developed by both parties and agreed upon. It should be formalized. An appeal mechanism should be established to which beneficiaries could present their grievances. All actions taken at every stage should be documented and acted upon within stipulated timelines.

The By -laws/MoU for management and sharing of resources or developed asset should indicate the following:

The Preamble placing the subproject as an intervention under KDRDIP

The range of beneficiaries

The management system and approaches

The resource/ benefit sharing mechanisms

A summary of the GRM with particular attention to the resource/asset.

Signature page of parties' representatives and Government officials as witnesses.

Will there be flexibility for women working hours?

The timing of community work hours should be synchronized with the village 24-hour calendar to provide flexibility of rural women working hours and breastfeeding time.

What are the work rules/norms?

The work norms will be based on other agent's work norms in the area.

How many years to be included in the plan?

The work plan will be in line with the life of the project which is the official duration of the project. However, the plans are reviewed annually. (Annex 5a)

11.3. Implementation of Livelihoods Component

The Livelihood Program has a budget of 27.5 Million USD Over five-year project duration. The envelop will be shared among the 5 Sub Counties.

The Budget is divided into 2 sub component as indicated in the table below

Sub-component	Cost in USD (Million)
3.(a). Support to Traditional and Non-Traditional Livelihoods	27.05.00
3.2. (b)Capacity Building of Community Based Institutions	2.70.00
TOTAL	29.75.00

Sub County Allocation of Livelihood Program Costs

County	Sub County	No of Wards	Host Population in Sub County	Population %	Geographical area (sq. km)	Geographical area (%)	County share (70% population 30% area)	Total allocation (USD Million)
Turkana	Turkana West	7	409,490	38.03	17264	25.53	34.28	9.76
Wajir	Wajir South	7	167,605	16.61	21595	31.93	21.21	6.04
Garissa	Dadaab	6	208,048	20.32	6781	10.03	17.23	4.91
	Fafi	5	129,904	12.69	15469	22.87	15.74	4.48
	Lagdera	6	126,389	12.35	6519	9.64	11.53	3.28
TOTAL		31	1,041,436		67,628			28.499

What entails Livelihood Program?

- Livelihood program will be implemented under component 3. The project objective is to increase incomes of refugee-hosting communities in Turkana West, Wajir South, Fafi, Dadaab and Lagdera Sub Counties.
- The component will support interventions aimed at improving the productivity of traditional and non-traditional livelihoods.
- The component will provide capacity building support to the community groups for livelihoods development.
- The support will include:
 1. improved access to technology and equipment,
 2. storage and processing infrastructure
 3. selection of beneficiary groups,
 4. formation and strengthening of community groups for livelihoods,
 5. strengthening capacities of producer cooperatives for accessing input and output markets.

What is the composition of a community group, village livelihoods sub-committee and producer groups and how will these be formed?

Community Group (CG) Composition

1.Existing Groups (Annex 6a)

- Group size 10-15 members
- The existing groups/CGs formed through self-help initiative and not by other programs /agencies/NGOs.
- At least 50% female members
- representation of poor HHs
- Group members should be the residents of target Village/cluster
- Groups already engaged in livelihood activities on their own, or have ability and willingness to undertake and manage livelihood activities.
- Have an existing business and interested in expanding their businesses or interested to start a business with prior experience in the proposed business area

NOTE: In case there is no existing groups, CGs already organized on their own initiative will be facilitate to register and open bank accounts.

2. New groups/CGs) – Priority shall be given to following:

- Members form households in the poor category/active poor shall be vetted at the village level to ascertain compliance with the below requirements when forming CGs for livelihood activities/business enterprise.
 - Either has an existing income generating activities
 - Have prior experience in any income generating activity.
 - Lives in the targeted village.
 - Be willing to work with or be organized in CG

3. Community Group Formation Process.

- Community mobilization and sensitization process will be conducted to ensure communities understand the livelihoods program design as well as selection criteria to form a community group.
- After following the above selection criteria, eligible groups will be identified. Group formation will be done after social mobilization and sensitization at the village level. During social mobilization and sensitization existing groups are identified and strengthened by ensuring that they observe five core principles. In case there are no existing groups/CGs already organized new groups will be formed.
- The group is composed of 10-15 members, however, compliant groups with slightly more members will be maintained.
- Household representation: Note that targeted households will be required to select one household representative who shall be a member of the CG on their behalf, bearing in mind the principle of at least 50% female representation
- Depending on the number of CGs to be supported in the target Village, the list of selected groups/beneficiaries shall be displayed on a public notice board for 3 days in the village for verification and validation by the communities.
- This will be followed by a community meeting to review and approve the list of selected groups to foster full community partnership, ownership, transparency and reduce conflicts.
- The livelihood sub-committee will endorse the approved list.
- These processes will be supported by the report of the process and community minutes (written by community volunteers throughout the processes) including the attendance lists.
- The targeting process will be repeated for all villages of target cluster.

4. Village Livelihood Sub Committee.

- *Ensure CGs compliance with the livelihood program rules*
- *Plan and organize technical appraisal of the business plans*

- Office bearers - chairperson, secretary and treasurer.

5. Producer Organizations

Common Interest groups will aggregate to form producer organizations, marketers and SACCOs in order to benefit from economies of scale by accessing inputs and marketing their produce.

How will the CGs be strengthened?

- The selected groups will receive basic training on group management, empowerment, conflict resolution, basic life skills, record keeping, GBV, GRM, VMGs, inclusion and other safeguard requirements.
- As part of the institution-building process, the project will support the groups to form their management structures including developing by-laws and management committee.
- After three months (12 weeks), groups will be graded/assessed based on their performance on five core principles and participation in group strengthening training.
- Groups that pass grading/assessment will graduate to become KDRDIP CGs (Annex 6b) and will be eligible for next level support.

What are the five core principles, and how long CGs are required to follow them? (Annex 6c)

The groups will follow five core principles immediately after the training.

The five core principles under the livelihood subcomponents are

- 1) *Regular meetings*: where groups members meet on regular basis to share tasks and review progress and to bond.
- 2) *Weekly saving*: where community group members adopt a culture of savings as they implement their livelihoods subprojects this can be on the weekly or monthly basis
- 3) *Inter loan*: this ensures that group members can extend financial support to their members on a revolving basis
- 4) *Timely repayments*: to ensure that group members develop and adhere to sound fiscal discipline where they can borrow and repay on regular basis.
- 5) *Proper record keeping*: as a matter of inculcating good financial management and practice group members will adhere to proper record keeping as a financial management practice.

The FP will provide weekly mentorship or follow-up sessions on the training modules and check especially compliance with core principles before grading and selection.

Community groups are expected to observe the above core principle throughout a business lifetime. The CGs will be required to follow five core principles throughout the project duration (and not just for the first 3 to 4 months).

How are Livelihood Activities Selected?

- The CGs will be empowered to make an informed decision in selecting a livelihood activity/business enterprise.
- This will involve preparation of livelihood menu based on the market assessment, which will be carried out by the project team in coordination with the Sub-county experts and relevant bureaus/ agencies.
- These can be any activities that have the potential to yield short-term cash flow, such as the production of livestock or crops, the processing of hides and skins or, basketry, tailoring, the production of smoked fish, starting a salon, tailoring, dressmaking, handicrafts, keeping poultry, or vegetable farming
- After preparation of the menu, the project team will provide orientation sessions to CGs on market-based livelihoods menu including the availability of market demand, skills required, inputs availability, profitability, livelihood lifecycle, sustainability, risks involved, and environmental and social suitability of the proposed livelihood activities.
- After orientation sessions, CGs will call a meeting to discuss the pros and cons of each livelihood option, and make an informed decision in selecting their livelihoods/business.

How will CG's prepare their livelihood/business plans?

- Once the CGs has identified their business activity, the project will train CGs on business planning and support them to prepare a business plan for their preferred livelihood activity. This will be done in consultation with relevant technical support and will take into account safeguard requirements.
- All CGs will be required to fill the business plan application forms (Annex 6d and 6e). The community facilitators will provide support to CGs that are not able to fill application forms. At least 50% of the members should be women. Community facilitators main roles are handholding of community groups as they are being formed, strengthened and graduated to producer organizations or Cooperatives.
- The business plans will be informed by a databank of the prevailing market rates for key goods and services for each livelihood option. This will be updated twice a year by the project team in coordination with the relevant County level technical experts.
- These business plans will act as a roadmap for CG members as they pursue their livelihood investment proposal for request of livelihood grants.

How will CG business plans be appraised and approved?

- The livelihoods business plan (Annex 6f) is completed by the CGs with the support of FP and PIST. It is then submitted to the County Coordinator for approval and release of funds as per the approved WP&B. Due diligence checklist compliance with safeguard requirements should be used to approve the business plans.
- Some of the factors to be reviewed for the appraisal (Annex 6g) and approval of business plans will be:
 - Market availability/demand
 - Inputs/costs for starting the business activity
 - Outputs expected
 - Cost-benefit/profitability analysis
 - Maturity period
 - Risks involved
 - Skills required
 - Adherence to Environmental and social safeguard requirements
 - Technical support required.

How will funds be disbursed to CGs to implement their approved business plans?

- Upon completing business training, submitting and approval of business plan, each CG will receive specified grants to start their income-generating activities.
- The funds to support livelihoods activities of CGs will flow directly from project account at County level to CG accounts as a grant
- The CGs will receive livelihood grants after following the five core group principles, participating in various training, and approval of their business plans
- After approval of the business plans and compliance with five core principles, CGs will be supported to open their bank accounts.
- After opening bank accounts, CGs will receive training in financial management and procurement.
 - The financing agreement will be signed by CGs and the first tranche of the grant¹ will be released directly to the CGs bank accounts to implement their business plan.

- The funds to support livelihoods activities of CGs will flow directly from project account at County level to CG accounts as a grant.

What support will be provided to CGs to expand and diversify their business activities?

- Selected existing CGs will be facilitated to prepare business plans for expansion or diversification of their livelihoods. This will be in form of training, technology and/or grants.
- Depending on the success of the CGs, the CGs will receive follow up business development support and linked to micro-finance institutions in order to receive higher level financial support for further expansion or diversification in the fourth year.

The project will support CGs for medium-term i.e. 2 to 3 years to improve their livelihoods and incomes.

What is the CG Structure, roles and responsibilities?

#	Structure	Roles and Responsibilities
1	Community Groups	<ul style="list-style-type: none"> ▪ Will be based on livelihood activities, but initially will take up saving/thrift activities, revolve savings and provide credit to each other ▪ Form committees and community procurement committee (CPC) ▪ Prepare business plan proposals and implement them ▪ Federate into the Village level and will be further progressed into the producer organizations
2	Group Management Committee (GMC)	<ul style="list-style-type: none"> ▪ Management of day to day of implementation of CG business plans ▪ Organize, coordinate and facilitate regular CG meetings. ▪ Assign roles and responsibilities to group members. ▪ Review progress of implementation of CG business plans. ▪ Ensures CG adheres to five core principles and provides feedback to CG on their performance in adhering to the five core principles. ▪ Work hand in hand with community facilitators and facilitating partner livelihoods officer. ▪ Arranges for exchange visits by the management committee and CG ▪ Ensures regular and accurate record keeping of CG transactions ▪ Ensure integrity of financial statement of the group ▪ Ensure accountability in all affairs of the group

3	Procurement Committee (PC)	<ul style="list-style-type: none"> ▪ Prepare and implement CG procurement plans ▪ Procure goods and services on behalf of the CG ▪ Work hand in hand with the community facilitator and the facilitating partner livelihoods officer ▪ Guide CG procurement needs and procedures
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What are the dos and don'ts in Funding of Livelihood Program?

Dos	Don'ts
<ul style="list-style-type: none"> Do business management training and development of business plans before releasing grants to CGs 	<ul style="list-style-type: none"> Do not submit business plans before undergoing business management training
<ul style="list-style-type: none"> Do approve CGs business plans that have adhered to the five core principles (regular meetings, record keeping, inter-lending, regular repayments) 	<ul style="list-style-type: none"> Do not approve CGs business plans that have not adhered to five core principles on regular basis.
<ul style="list-style-type: none"> Do market assessment before selection of livelihoods activities to be funded 	Do not select livelihoods activities to be undertaken by CGs before the Market assessment is undertaken.
<ul style="list-style-type: none"> Do select livelihood activities that have potential to yield shorter cash flow 	Do not select livelihood activities that wouldn't yield short-term cash flow.
<ul style="list-style-type: none"> Do provide training to CGs on Financial management and procurement before the release of funds 	Do not release funds to CGs Accounts before they completed key training on financial management and procurement
<ul style="list-style-type: none"> Do sign financial agreement with CGs before the release of grants to Bank Accounts. 	Do not approve the release of funds to CGs Accounts before signing of financial agreements.
<ul style="list-style-type: none"> Fund only cleared on safeguards requirements 	No CG should receive funding before safeguard clearance

What are the dos and don'ts in Procurement of Livelihood Program?

DO	Don'ts
<ul style="list-style-type: none"> Make community-driven development procurement arrangement simple to enable communities to carry their own procurement activities with little or no assistance from National, County, and sub County officials. 	<ul style="list-style-type: none"> Do not allow community-driven development to be subjected to complex procurement arrangements
<ul style="list-style-type: none"> Ensure that all procurements for CGs will be done by the CG themselves 	<ul style="list-style-type: none"> Do not allow community procurement to be undertaken by people from County and sub-County Offices or

	have influence in procurement decisions
<ul style="list-style-type: none"> Do form management committees in a democratic manner 	<ul style="list-style-type: none"> Do not hand pick management committees' members but subject them to democratic and transparent process.
<ul style="list-style-type: none"> Management Committee (MC) to define what needs to be procured for implementation of the business plans and start the procurement process by forwarding a request to the procurement committee. 	Do not impose procurement decisions on procurement committees (PC)
<ul style="list-style-type: none"> Procurement committee to undertake a market survey in at least 3 places/markets using similar criteria and specifications provided by the relevant experts within the implementation support team. 	Do not undertake single sourcing of goods and services while implementing CGs business plans
<ul style="list-style-type: none"> Procurement committee to hold a meeting to undertake an analysis of costing and quality of inputs observed about CG business plan/budget and recommend one place of procurement 	

How does Livelihood component prevent and address gender-based violence?

	Pre-Implementation Steps	Essential actions for prevention of GBV
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A. Implementation activities

	Key Implementation steps	Essential actions for prevention of GBV
Step 1	Formation or reinforcement of community groups (CGs) for livelihoods development	<ul style="list-style-type: none"> • Assess the physical safety of and access to livelihoods programmes to identify associated risks of GBV (e.g. safety traveling to meetings/ training, childcare during the meeting/training/work, the backlash from family or community members when women start earning money, safe storing earned money, etc.) • Ensure at least 50% female membership in community livelihoods groups and village livelihood committees
Step 2:	<p>CGs Strengthening/ institution building/ Attitudinal change (trainings)</p> <p><i>CGs to follow five core principles</i></p> <ul style="list-style-type: none"> • <i>Weekly meetings</i> • <i>Weekly savings</i> • <i>Inter-loaning</i> • <i>Timely repayment</i> • <i>Proper record keeping</i> 	<ul style="list-style-type: none"> ▪ Make sure the livelihood program groups meetings and training are held at a time of day when it is safe for women to travel, and that the physical space where the meetings and trains are held is a safe space i.e. conveniently located for women beneficiaries, respectful of privacy and confidentiality, safe from physical, sexual, and emotional threats, and culturally appropriate and acceptable to husbands/parents/caretakers etc. ▪ Help women plan to travel to and from the weekly meeting and training safely. For example, travel in groups, identify safe passage routes, and so on.
Step 3:	Livelihood/Enterprise Selection Process	<ul style="list-style-type: none"> ▪ Conduct market analyses in partnership with those at risk of GBV to identify profitable, accessible and desirable livelihoods activities that do not exacerbate the risk of GBV • Assess the participation and leadership of women in all aspects of livelihoods/enterprise selection process ▪ Assess community norms and practices related to livelihoods, with focus on the barriers faced by women to accessing safe livelihoods opportunities (gender norms that exclude women from a certain type of work/livelihoods etc.)

	Key Implementation steps	Essential actions for prevention of GBV
Step 4:	Business training and preparation of business plans	<ul style="list-style-type: none"> ▪ Prepare and provide training for local government staff, community facilitators, and community livelihood groups on the safe design and implementation of livelihood business plans that mitigate the risk of GBV. ▪ Develop business plans that reflect an awareness of GBV risks for the affected population and strategies for reducing these risks.
Step 5:	Appraisal and approval of CGS business plan applications	<ul style="list-style-type: none"> ▪ Make gender aspect part of the checklist for appraisal and approval of livelihood/business plans to ensure equal participation of women members and make sure needs of women and issue of GBV are taken in consideration while preparing the business plans
Step 6:	Funds disbursement to CGs (training of CG management committee and procurement committee in procurement and financial management)	<ul style="list-style-type: none"> • Implement strategies that allow participants to control their assets in ways that mitigate the risk of theft or financial exploitation
Step 7:	Procurement of inputs by CGs, and training of CGs in their chosen livelihoods	
Step 8:	CGs implement business plans	<ul style="list-style-type: none"> ▪ Promote the active participation of women in the implementation of business plans as well as expansion and diversification of livelihoods/businesses. ▪ Identify, collect and analyze a core set of indicators – disaggregated by gender, age, disability and other relevant vulnerability factors – to monitor GBV risk-reduction activities throughout the implementation cycle.
Step 9:	Follow up business development support to CGs	
Step 10:	Support to CGs to expand and diversify their livelihoods, and establish linkage with financial	

	Key Implementation steps	Essential actions for prevention of GBV
	institutions – microfinance or banks etc.	

CHAPTER 12: MONITORING AND REPORTING PROJECT ACTIVITIES

What do we mean by monitoring and reporting at the village level?

- It is a Recording system at the sub County level
- It's the recording project implementation progress based on annual work Plans and Budget.

What is the format of the monthly monitoring report at the village level?

Output	Activity /Code	Target	Planned	Actual	Cummulative achievement	Remark
1.						
2						

Who will be responsible for the preparing monitoring and reporting at the village level?

The village committee with the support of Community facilitators will prepare monitoring report at the village level

Who will receive and consolidate village based monthly progress reports at the sub-county?

Facilitating partner team leader will receive and consolidate monthly progress reports at the sub-County Level.

Who will be responsible to enter the monthly progress reports on KDRDIP MIS at the Sub-County level?

County Coordinator

Monthly Reporting format of implementation (Common Process activities)

<i>Activity</i>	<i>Planned (Based on annual work plans and budgets)</i>	<i>Achieved</i>	<i>Not achieved</i>	<i>Implementation challenges</i>
1.Village sensitization meetings				
Formation of village committees.				
2.Community needs prioritization				
3. Development of community Development plans				
5. Development of Community Work Plans and Budgets including procurement plans				
6. Submission of village community development plans and Workplans to the ward for aggregation				
8. Submission of village community development plans and Workplans to the sub County for approval.				

APPENDIXES

Annex 1: Village Profile Form

Date_____;

Community Facilitator

Village -----; -Ward-----

Sub-County-----; County-----

--

Introduction

Location/Village

Village Demographics (Total population, Males, Females, Youth, Children, No. of HHs, minority groups clans and sub clans, other VMGs) % population with IDs

Recent Village History including conflict

Physical Features (e.g. Mountainous, riverine, hilly, plains etc).

Geographical Situation.

Economic activities and Livelihoods Profile, including major crops grown, and livestock

Women's roles and empowerment and causes of GBV

Seasonal Calendar and daily calendar

.....
.....

Conflict issues

Land Situation (land Size and tenure system, claims and tensions)

Natural Resources (Forest, sand, wildlife, quarries, minerals etc)

.....
....
.....
.

Residential pattern (a type of housing and distribution pattern)

FACILITIES

Transport

Communication (mobile coverage, FM reach and use, most appropriate mechanism to reach populations, Barraza's, religious institutions, accessible areas where public information can be displayed)

Energy (electricity)

Health (Facilities and personnel)

Water (types of water sources and accessibility)

Vegetation coverage of the area is also necessary

Education (institutions and levels of literacy) including informal e.g. duksis/koranic schools etc.

Market (sales and purchases and availability and accessibility, is there a designated day, from how far do people come)

Culture (customs and traditions, ceremonies/festivities that may affect project implementation).

Ongoing Development Project/initiatives (if any) by Government, Development Partners (e.g. UN etc.) and NGOs

Village Leadership (Conventional and traditional leadership, including roles, interests, strengths and weaknesses

Wealth ranking: where wealth ranking has been undertaken in the village by the other actors ,KDRDIP can do verification with community participation to establish if the context is still the same or it had changed .From the pastoralist context in general and in particular to livestock dependent only households, can be better off today and then the next day ,month or year can become destitute due to natural hazards such as droughts , livestock epidemics , foods and cattle rustling which can decimate household herds within days or hours .

Sr. No.	Name of Household Representative	Gender	Household Rep ID #	PIP ² CARD Number

Approved by:

Social Mobilizer,..... Date

²Participatory Identification Poor (PIP). The PIP card will be prepared during the participatory wealth ranking process and based on this, the households will be categorized into poorest of poor, poor and not poor.

ANNEX 1 (b): Annual and Multiyear Work plans

MULTIYEAR WORKPLAN

Selected Measures	Unit	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Road	Km						
Terrace	Km						
Planting	Number (‘000)						
Etc.							

ANNUAL WORK PLAN

Selected measures	Unit	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Pond		X	X	x								m	m

ANNEX 2(a): CASHBOOK (LIST OF RECEIPTS AND PAYMENTS)

RECEIPTS					PAYMENTS					
Date	Received from	Receipt No.	Cheque No.	Amount	Date	Payee	Payment Referencing		Cheque No.	Amount
							Payment Voucher	Cheque Book No.		

Prepared By: _____ Signature: _____ Date: _____

Authorized Group Member

Reviewed by: _____ Signature: _____ Date: _____

Treasurer

Reviewed by: _____ Signature: _____ Date: _____

Chairperson

Note: The treasurer will maintain the financial records and enter all the necessary data into the cash book.

He/she will also append their signature once transactions for each month are complete. Once this is done, the chairperson of the CPMC/CGMC will review all entries, check these against the supporting documents and append their signature and date as a confirmation that the cashbook has been checked. The cashbook must be completed and signed off by the 10th day of the following month.

ANNEX 2 (b): BUDGET CONTROL FORM

Name and address of Community Group:

Month of reporting:

Project Name: _____

Budget Line/ Activity	Original Budget Amount (KShs.) (a)	Amount Spent by end of previous Month (KShs.) (b)	Expenditure this month (KShs.) (c)	Total Expenditure end of the month (KShs.) (d = b+c)	Balance end of this month (KShs.) (e = a-d)
TOTAL					

Prepared by: _____ Date: _____

Authorized Member

Reviewed by _____ Date: _____

Treasurer

Authorized by: _____ Date: _____

Chairperson

Note: This form must be filled in and signed by the 10th day of the following month

ANNEX 2 (c): COMMUNITY CASH CONTRIBUTION BOOK

Name and Address of Community Group:

Project Name: _____ MONTH OF REPORTING _____

Date	Contributors Name	ID No.	Amount (KShs)	Contributor's Signature/thumb print

Prepared by: _____ Date: _____

Reviewed by: _____ Date: _____

Authorized by: _____ Date: _____

ANNEX 2(d): MONTHLY FINANCIAL REPORT

Name of Community Group _____

Reporting period:

Sub-Project.....

RECEIPTS AND PAYMENT ACCOUNT

Receipts			Payments		
S/No.	Particulars	Kshs.	S/No.	Particulars	Kshs.

Total receipts: (KShs).....

Total Payments (KShs).....

Closing balance (KShs).....

Challenges Encountered:

1.....

2.....

Compiled by:

Certified by: Name..... Name.....

Signature..... Date.....

Treasurer

Signature..... Date.....

Chairman

ANNEX 3 (a): Procurement Requisition Form

NO: _____

Date: _____

TO: _____ _____ _____ (Procuring entity)	From: _____ _____ _____ Approved _____ (A.I.E)
---	--

Please procure the following items on our behalf

No.	Description of goods/services	Unit	Quantity	Previous supplier (where known)	Price	Or estimated cost	Account/vote Number
	Quotation No:..... Contract /tender No.....		LPO/LSO..... Prepared by.....			Remarks:...	

Annex 3 (b): Request for Quotation form

FORM S.10 (REVISED)

REPUBLIC OF KENYA

REQUEST FOR QUOTATION

To: Sellers name and address

Quotation No:

.....

M/S

.....

.....

.....

Date:

You are invited to

submit quotation on materials listed below:

Notes:

(a) THIS IS NOT AN ORDER. Read the conditions and instructions on reverse before quoting. (b) This quotation should be submitted in a plain wax sealed envelope marked "Quotation No (c) Your quotation should indicate final unit price which includes all costs for delivery, discount, duty and sales tax **and** addressed to reach the buyer or placed in the Quotation/Tender Box not later than (*time and date to be specified*)

No	Item description	Unit	Qty req	Unit price	Total price	Days to delivery	Brand	Country of origin	Remarks

FOR OFFICIAL USE ONLY

Seller's signature and stamp Opened by: (1) -----Designation -----Signature -----

(2) -----Designation-----Signature-----

Date----- Time-----

(3) -----Designation -----Signature-----

CONDITIONS

The general conditions of contract with the Government of Kenya apply to this transaction. This form properly submitted constitutes the entire agreement.

The offer shall remain firm for 30 days from the closing date unless otherwise stipulated by the seller.

The buyer shall not be bound to accept the lowest or any other offer, and reserves the right to accept any offer in part unless the contrary is stipulated by the seller.

Samples of offer when required will be provided free, and if not destroyed during tests will, upon request be returned at the seller's expenses.

INSTRUCTIONS

All entries must be typed or written in ink. Mistakes must not be erased but should be crossed out and corrections be made and initial by the person signing the quotations.

Quote on each item separately, and in units as specified.

This form must be signed by a competent person and should also be rubberstamped.

Each quotation should be submitted separately in a sealed envelope with the quotation number endorsed on the outside. Descriptive literature or samples of the items offered may be forwarded with the quotation.

If you do not wish to quote, please endorse the reason on this form and return it, otherwise your name may be deleted from the buyer mailing list for the items listed hereon.

Annex 3(c): Quotation Comparison Form

Quotations Comparison Form

Name of firm	Quotation No. & Date	Name of Item/s and (Price quoted) Rate		Remark (Additional Information)	Decision (Selected/Rejected with Reason)
1	2	3		4	
		Item A	Item B		<p>A seller can be rejected based on several reasons. Some of them are given below:</p> <ul style="list-style-type: none"> The information provided in the quotation is incomplete; The supplier cannot deliver the supplies in the time required; The supplier does not have the capacity to deliver; The quoted price is high; The guarantees are not available (if applicable); The supplier can not provide after sales support (if applicable).
		Price A	Price B		

Signature of
Member 1

Signature of
Member 2

Signature of
Member 3

(Signature of Purchase committee members)

Annex 3(d): Local Purchase Order Form

Local Purchase Order (LPO)

NO.....

To:.....	Dated..... Contract Ref No..... Quotation Ref. No.....
-------------------------------------	---

Please deliver the following goods on or before..... To the delivery address under the terms and conditions stated on the reverse side of this purchase order. If you accept these conditions return the second copy of this order signed by an authorized organization. Invoices

must be sent without delay with goods

to.....

..... (procuring entity)

Item No.	Description	Quantity	PRICE PER UNIT		AMOUNT	
			SHS.	CTS	SHS	CTS.

Delivery address.....

Signed.....

Designation.....

Procuring entity.....

Vote

Head/subhead.....

Account No.....

Distribution of copies:

COPY 1. Retained by the supplier

Signed by the supplier and returned to the procurement section.

Sent through stock control and accounts dues in notation and then to receipts to await delivery of goods.

Attached to R. V and invoice for payment purposes.

Remains in the pad for the control purpose

CONDITIONS APPLICABLE TO THIS ORDER

The execution of all or part of this order is subject to the following conditions unless otherwise stated in writing. The procuring Entity reserves the right to reject any supplies not conforming to these conditions.

All goods covered by this order are to be met strictly in accordance with samples /specifications/schedule of requirement/brochures submitted with your quotation /tender and accepted as the standard of supply. No alterations in any respect are permitted without the prior agreement of the procuring entity in writing.

Deliveries must be made within the accepted delivery period tendered for and specified in this order unless agreement has been reached and written confirmation given any alteration. If the delivery of the good is not affected within this period, this order may be cancelled without to cost the procuring entity or alternatively supply may be obtained from other sources and you will be liable to defray any additional cost such action would occur

All articles, material, workmanship or services covered by this order shall be the subject of procuring entity inspection and test at all times before during or after completion.

The supplier warrants that all articles, materials, or service delivered or performed to be free from defect of material or workmanship and this warranty shall survive any inspection, delivery, acceptance or payment by the procuring entity of the article, material or workmanship.

Goods rejected on any grounds will be returned to or collected by the supplier at his own expense.

Goods are to be consigned to the address (es) shown on the order and the costs are to be included in the prices quoted. Any demurrage or similar charges incurred through the supplier's liability will be recovered from the supplier.

The prices shown include the satisfactory packaging and packing of the goods to ensure safe transit and must be of robust construction sufficient to withstand rough handling and over handling and over storage in stores.

The No. 2 copy of this order constitutes an acceptance of this order and must be signed and returned to the ordering officer within 14 days. Failure to comply may be taken as non-acceptance and the order is liable to cancellation.

Any amendment to this order will be made in writing by the originator and the communications or enquiries relative to the order or subsequent amendment must be addressed to him.

Annex 3 (e): Local Service Order Form

Local Service Order (LSO)

NO.....

To:.....	Tender / Quotation Ref. No Contract Ref No..... Date Requisition No..... Date.....
-------------------------------------	--

Please carry out the service listed here below at (full address)

.....
.....
.....on terms and conditions stated on the back of this order, on or before
.....and send the invoices
immediately
to..... P.O.
BOX.....

Item No.	Description of service	COST	
		Shs.	cts

	TOTAL Shs.		

Signature..... A/c No.Details
Designation.....
Station.....
Date

APPROVED

Signature.....

AIE Holder

Station..... contractor

Date.....

I acknowledge receipt of this order date

CONDITIONS

The execution of or part of this order is subject to the following conditions unless otherwise stated in writing. A contractor who is rendered services contrary to these conditions does so at his own risk.

All service is to be carried strictly in accordance with specifications given. No departure is allowed without prior agreement and in writing

Orders must be examined within the period tendered unless instructions are given to the contrary. If the service is not affected as agreed, this order is liable for cancellation and/ payment of penalty.

We reserve the right to inspect the services on this order, but such inspection does not relieve the contractor of his responsibility for defects in material or workmanship.

Receipt of this order should acknowledge on the duplicate copy which should be sent within 7 days.

All communication to be addressed to the originator of this order.

Distribution of copies

Original: To be retained by the supplier

Duplicate: To be filled by the supplier and returned for attachment to contract documents.

Triplicate: To be attached to P.V and the invoice for payment purposes.

Quadruplicate: To remain in the pad.

CONTRACT AGREEMENT

THIS AGREEMENT made the..... day of20....
between [Procurement Entity] of
..... (hereinafter called “the Procuring Entity”) of the
one part and M/S (hereinafter called “the Supplier”) of the
other part.

WHEREAS the Procuring Entity invited the tenderer for procurement of
..... has accepted an offer for thein
the sum of

NOW THIS AGREEMENT WITNESSETH AS FOLLOWS:

In this Agreement words and expressions shall have the same meanings as
are respectively assigned to them in the Conditions of Contract referred to.

The following documents shall be deemed to form and be read and
construed as part of this Agreement, viz.:

- (a) The Tender Form and the Price Schedule submitted by the
tenderer;
- (b) The Schedule of Requirements;
- (c) The Technical Specifications;
- (d) The General Conditions of Contract;
- (e) The Special Conditions of Contract; and

The ESMP

- (f) The Procuring Entity’s Notification of Award.

In consideration of the payments to be made by the Procuring entity to the
tenderer as hereinafter mentioned, the tenderer hereby covenants with the
Procuring Entity to provide the services and to remedy defects therein in
conformity in all respects with the provisions of the Contract

The Procuring Entity hereby covenants to pay the tenderer in consideration of the provision of the services and the remedying of defects therein, the Contract Price or such other sum as may become payable under the provisions of the contract at the times and in the manner prescribed by the contract.

IN WITNESS whereof the parties hereto have caused this Agreement to be executed in accordance with their respective laws the day and year first above written.

For and on behalf of the Purchaser

Signed:

in the capacity of the

Signed:

in the presence of the

For and on behalf of the Supplier

Signed:

in the capacity of

in the presence of (witness).....

Annex 3(g): Inspection and Acceptance form

INSPECTION AND ACCEPTANCE COMMITTEE (IAC)

(KDRDIP-CPMC.CGMC)

REPORT ON PROCUREMENT INSPECTION OF

(GOODS, WORKS, SERVICES AND CONSULTANCY SERVICES)

We the undersigned, being members of the IAC of
(CGMC/CPMC)

Confirm that we have performed the assignment diligently and issued this
acceptance certificate for the procurement object indicated below:

or

We the undersigned being members of the IAC of.....
(CGMC/CPMC)

Confirm that we have performed the assignment (including and are unable to issue
an acceptance certificate due to reasons stated in the attached report for
the procurement object indicated below:

Contract Name: _____

Contract Title and No.:

Date of Contract: _____

Supplier/Contractor: _____

Value of Contract: _____

Particulars of the contract: _____

Contract items: _____(list as necessary) _____

Contract completion/delivery due date: _____

Actual completion/delivery date: _____

Procuring Entity: _____

Contract Manager: _____

Signed:

1. Name: _____ Signature: _____

2. Name: _____ Signature: _____

3. Name: _____ Signature: _____

4. Name: _____ Signature: _____

5. Name: _____ Signature: _____

ANNEX 4 (a): SITE HANDING OVER CERTIFICATE

KDRDIP today Hands
over this site to (contractor)..... for
construction of (name of sub-
project).....

The site is located at (sub-project
location).....

(GPS Coordinate).....

The contractor will be in charge of the site until completion of the sub-project. While,
the contractor is undertaking the works, the contractor will be expected to comply with
the Environmental and social management plan (ESMP) prepared for the sub projects.

County coordinator.....

Contractor.....

ANNEX 4 (b): CERTIFICATE OF COMPLETION

Date.....

Ref. No.....

Sub-Project

Name.....

Address.....

With reference to the above-mentioned sub-project, please be advised that the above work has been completed in accordance with issued code assessment of the said work.

All relevant inspection has been conducted

The work has reached the status of completion as defined by the project standards

The contractor has complied with the ESMP for the sub project

Accordingly, the above works is certified as being suitable for use.

Signed

Title.....

Name.....

ID No.....

Signature.....

Official Stamp.....

CC:

Project Manager KDRDIP

County Coordinator

ANNEX 4 (c): SUB-PROJECT HANDING OVER CERTIFICATE

To (User Community)

Date.....

Address.....

Ref. No.....

Name of Sub-
Project.....

Dear Sir/Madam,

SUB-PROJECT HANDING OVER

Reference to the above, we hereby like to inform you with great pleasure that we have completed the construction of (name of sub-project)
.....as on date.

The works has come up very well and validation of the project has been well within the guidelines prescribed as you might have observed, including compliance with the ESMP for the sub-project. We would like to take this opportunity to thank you upfront for your kind support during the subproject construction duration and your valuable time has indeed helped us to gain the shape of the project.

We hereby would like to hand over the facility to you through this formal letter and we hope you will sustainably make good use of the subproject.

You should also provide a sustainable and operational framework of the subproject

County Coordinator.....

CC

Project
manager.....

ANNEX 4(d): COMPONENT ONE QUESTIONNAIRE ON GBV/SEA

EDUCATION SECTOR

Physical Safety of Schools/Learning Environments	<p>Are schools and other learning environments located in areas that are safe and equally accessible for women, girls and other at-risk groups?</p> <p>Are women and girls involved in decisions about the location of safe learning environments?</p> <p>Are all levels of schooling equally accessible (not only lower grades)?</p> <p>Are the distances and routes to be travelled to school safe for all students—particularly girls—and acceptable to parents?</p> <p>Are strategies in place to accompany students to learning environments as necessary?</p> <p>Has safety mapping been conducted with students and teachers to identify at-risk zones in and around learning environments?</p> <p>Are there safety patrols for potentially insecure areas?</p> <p>Are there sufficient boarding facilities for children who otherwise must travel long distances to school?</p> <p>Are learning environments physically secure?</p> <p>Is there sufficient lighting?</p> <p>Are toilets accessible, private, safely located, adequate in number and sex-segregated?</p> <p>Are sanitary supplies available in schools for female students and teachers of reproductive age?</p>
Norms and Practices linked to education	<p>How is access to and availability of education programmes, particularly for girls? What safety precautions are girls expected to take when attending or travelling to school? Are there any traditional practices, norms, or dynamics that may increase girls' vulnerability to violence in the school context?</p> <p>Which children and youth are not attending—or face barriers to attending—school at primary and/or secondary levels (e.g. adolescent girls, child heads of households, girl-mothers, sexual</p>

	<p>assault survivors, girls and boys with disabilities, children in pastoralist families, etc.)?</p> <p>What cultural barriers do girls face in accessing education (e.g. gender norms that prioritize education of boys over girls; gender-discriminatory attitudes towards girls in education settings; child and/or forced marriage; domestic responsibilities; etc.)?</p> <p>What cultural barriers do other at-risk groups of children face in accessing education (e.g. stigma; discrimination; poverty; etc.)?</p> <p>Are there strategies in place for reintegration and re-enrolment for those who have dropped out? Are there alternative education strategies for children in nomadic/semi-nomadic pastoralist families?</p> <p>What is the situation regarding parental/community involvement in education?</p> <p>Do parent-teacher associations (PTAs) or similar structures exist?</p> <p>To what extent are women and men involved?</p> <p>Are there any cultural restrictions to women's involvement?</p> <p>What are boys' attitudes towards girls in education settings, and girls' attitudes toward other girls? What are girls' and boys' attitudes towards boys?</p> <p>Is there evidence of gender-inequitable attitudes or practices?</p> <p>Are these attitudes or practices supported and/or internalized by girls (particularly adolescent girls)?</p>
<p>Institutional Capacity to Support Protection of Students and Respond to Complaints</p>	<p>What is the ratio of male to female education staff, including in positions of leadership?</p> <p>Are systems in place for training and retaining female staff?</p> <p>Are there any cultural or security issues related to their employment that may increase their risk of GBV?</p>

	<p>Are there institutional codes of conduct for teachers/administrative staff³? Do these provide definitions of violence and harassment and specify sanctions for these behaviors?</p> <p>What obligations do teachers, administrative staff, and the Ministry of Education personnel have with regard to situations of GBV?</p> <p>Are there female para-professionals or other women in the community who could be involved in teaching, mentoring, providing referrals or other ways of supporting girls—especially female youth—in schools?</p> <p>What are the common GBV-related safety risks faced by students and education personnel—especially women, girls and other at-risk groups—while accessing education (e.g. sexual exploitation by teachers or staff; harassment or bullying on school grounds; students, particularly girls, engaging in exploitative sexual relationships to cover school fees; etc.)?</p> <p>What is the normal help-seeking behaviors of child survivors of GBV and other forms of violence? What are the risks (safety, stigma) related to reporting an incident?</p> <p>Has training been provided to education staff on:</p> <p>How to respectfully and supportively engage with survivors who may disclose incidents of GBV?</p> <p>How to provide immediate referrals in an ethical, safe and confidential manner?</p> <p>How to best support a survivor to remain in or return to school once a report has been disclosed?</p> <p>Are there community groups that provide support to survivors of GBV? Are these linked to the learning environment?</p> <p>Are there referral pathways through which survivors of GBV can access appropriate care and support, and are these pathways linked to educational settings?</p>
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	<p>Is information provided to students and education personnel on reporting mechanisms and follow-up for exposure to GBV, including sexual exploitation and abuse?</p> <p>Are there gender- and age-responsive materials and services available to support survivors of GBV in the learning environment?</p> <p>Are students regularly asked to provide feedback/input on the quality of reporting and referral systems?</p>
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WATER SECTOR

Water	<p>What is the gender- and age-related responsibilities related to WASH (e.g. water collection; storage and treatment; usage; etc.)?</p> <p>What are the different uses for water, especially by women and girls (e.g. drinking, cooking, sanitation, gardening, livestock, etc.)?</p> <p>What are the patterns of water allocation among family and community members (including sharing, quantity and quality)?</p> <p>How are decisions made about the use of water? Who makes these decisions?</p> <p>How often do women, girls and other at-risk groups collect water? What time of day?</p> <p>How many hours per day are spent travelling to and from WASH facilities?</p> <p>In what way(s) do these factors exacerbate risk of exposure to GBV?</p> <p>Are children, especially girls, prevented from attending school as a result of WASH-related responsibilities (e.g. collecting water)?</p> <p>In situations where water is rationed or pumped at given times: Are times set that are convenient and safe for those who are responsible for collecting water?</p> <p>Are there enough water points available to prevent fighting at the pumps and/or waiting for long periods in order to get water?</p> <p>What means of transporting water are available, and who is given access to these means (e.g. do men have priority access to bicycles, donkeys or</p>
-------	--

	<p>motorbikes; are smaller water containers available for children and elderly people; etc.)?</p> <p>If trucking water, are the drop-off points convenient and safe?</p>
Facilities	<p>What is the gender- and age-related responsibilities related to sanitation and hygiene (e.g. waste disposal; general cleaning; taking care of children's hygiene; laundry; maintenance and management of WASH facilities; etc.)?</p> <p>What is the distance to toilets, and other WASH facilities?</p> <p>Is the route to be travelled safe?</p> <p>Is there a system of safety patrolling or a community surveillance system of potentially insecure areas?</p> <p>In situations where WASH facilities are outside the home, are these facilities secure?</p> <p>Is there sufficient lighting (e.g. alternative lighting for periods with no power; adequate light bulbs; etc.)?</p> <p>Do they provide adequate privacy?</p> <p>Are bathrooms and bathing facilities equipped with doors that lock from the inside?</p> <p>Are there family latrines?</p> <p>If latrines are communally shared, are there separate facilities for males and females that are clearly marked, private and appropriate distances apart?</p>
Supplies	<p>What types of sanitary supplies and hygiene materials are appropriate to distribute to women and girls, especially related to menstruation?</p> <ul style="list-style-type: none"> • Are these materials available, resupplied and distributed regularly? • Does the timing and process of distribution put women and girls at higher risk of GBV? • Are there adequate and private mechanisms for cleaning or disposing of sanitary supplies?

HEALTH SECTOR

Physical Infrastructure and Access	<p>What is the number, location, safety and accessibility of health facilities that provide clinical care—including mental health and psychosocial support—for survivors of rape and care/support for other forms of GBV (e.g. intimate partner violence; FGM; etc.)?</p> <p>Are clinics in safe areas, and—as is possible--do they have female guards? Are women and girls involved in decisions about the location of safe health centers?</p> <p>Are the distances and routes to be traveled to school safe for women and girls? Has safety mapping been conducted to identify at-risk zone in and around health centers?</p> <p>Are health centers physically secure? Is there sufficient lights?</p> <p>Are there private rooms in health facilities where survivors can receive confidential treatment?</p> <p>Are trained staff available 24 hours/day, 7 days/week?</p> <p>What is the availability of medical drugs, equipment and administrative supplies to support care of sexual assault and other forms of GBV?</p> <p>Are health staff able to provide the necessary care to in-patients who do not have family or friends to care for them?</p> <p>Are there options for mobile clinics for rural populations and/or nomadic/semi-nomadic pastoralist groups?</p> <p>Has the mapping of services been compiled in a reference document (e.g. a directory of services) that is available to communities, health staff, and other service providers (e.g. lawyers; police; mental health and psychosocial support providers specialized in the care of survivors; etc.)?</p> <p>Wherever possible, have services for survivors been integrated into existing health-care centres in a nonstigmatizing way (rather than created as stand-alone centres) so that survivors can seek care without being easily identified by the community?</p>
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<p>Norms and Practices linked to access to GBV-related health services</p>	<p>Are community members aware of:</p> <p>The physical and mental health consequences of sexual violence and other forms of GBV?</p> <p>The benefits of seeking GBV-related health care?</p> <p>Where GBV survivors can access services?</p> <p>Do community members perceive the available GBV-related health services to be safe, confidential and supportive?</p> <p>What are the cultural, emotional and other obstacles that survivors face when seeking GBV-related health care (e.g. stigma; lack of privacy or confidentiality; language and/or cultural issues; lack of knowledge about benefits and/or location of services; getting to and from the facility; costs; etc.)?</p> <p>Who are the existing community members/institutions (e.g. midwives, women's organizations, family members, religious leaders) that can support survivors in seeking health care and/or that can provide intermediary care?</p>
<p>Specific Services</p>	<p>For new health facilities and those that are planning to expand, what is the range of health services provided to support the medical needs of GBV survivors (e.g. Post-emergency Prophylaxis [PEP] to prevent HIV; emergency contraception; treatment for Sexually Transmitted Infections [STIs]; pregnancy care; safe access to abortion where it is legal; basic mental health care; etc.)?</p> <p>Are follow-up services available (e.g. ensuring adherence to the full course of PEP against HIV; voluntary counseling and testing at prescribed intervals; provision of long-term mental health and psychosocial support as needed; etc.)?</p> <p>Is a trained GBV caseworker available at the health facility to provide care and support to survivors?</p> <p>What obligations within these facilities do/will health service providers have with regard to identifying and responding to GBV? What assistance is required for the department of health to better address GBV in health facilities?^[17]_[SEP]Are there agency-</p>

	<p>specific policies or protocols for the clinical care of sexual assault and other forms of GBV that are in line with Kenya clinical management guidelines⁴ as well as international good practice?</p> <p>Do these policies/protocols adhere to ethical and safety standards (privacy, confidentiality, respect, non-discrimination, and informed consent)?</p> <p>Do they include: medical history, examination, collection of forensic evidence where possible, treatment, referral and reporting, pregnancy counseling, survivor safety planning, mental health and psychosocial support, record-keeping, and coordination with other sectors and actors?</p> <p>Can these policies/protocols be easily referenced or accessed? Is staff aware of them?</p> <p>Do they include information about providing care and support to male survivors of sexual violence?</p> <p>Are women, girls and other at-risk groups meaningfully engaged in the development of health policies, standards and guidelines that address their rights and needs, particularly as they relate to GBV?</p> <p>What referral pathways for GBV survivors are in place in health facilities (to security/police, safe shelter, mental health and psychosocial support, legal services, community services, etc.)?</p> <p>Are these institutions safe (i.e. do they expose the survivor to further risks)?</p> <p>Is there a system for following up after providing referrals?</p> <p>What is the documentation process for GBV reports and referrals?</p> <p>Are consent forms, medical examination forms and medico-legal certificates physically available in local languages?</p> <p>What are the most prevalent types of GBV being documented?</p>
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	<p>Who is responsible for documentation?</p> <p>Are records kept in a secure place and appropriately coded (e.g. with unique identifying numbers) to ensure confidentiality?⁵</p> <p>What are the methods of information sharing, coordination, feedback, and system improvements amongst health actors, as well as between health actors and other multi-sectoral service providers?</p> <p>Are all actors/organizations aware of each other's activities?</p> <p>How are gaps and problems in service delivery identified?</p> <p>Have Standard Operating Procedures (SOPs)⁶ been developed for multi-sectoral prevention and response to GBV? Have health actors signed on to these?</p> <p>What are health care workers' attitudes toward GBV survivors and the services provided (e.g. attitudes toward emergency contraception, FGM, intimate partner violence, etc.)? How is this reflected in the type and level of care provided?</p> <p>Do specialized health staff receive ongoing supervision, and have they been trained on:</p> <p>The clinical care of sexual assault, including mental health and psychosocial support?</p> <p>How to screen for and treat various other forms of GBV without breaching confidentiality or privacy, or placing patients at additional risk of harm?</p> <p>Providing safe and ethical referrals?</p> <p>Have community health workers (including traditional health providers) been trained on:</p> <p>The physical and mental health implications of different types of GBV?</p> <p>How to respond immediately to survivors?</p>
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⁵ For information about Kenya GBV monitoring systems, see Kenya standard operating procedures GBV

ROAD SECTOR

Physical safety of roads/path ways	<p>Are roads/pathways designed in areas that are safe and equally accessible for women, girls and other at-risk groups?</p> <p>Are women and girls involved in decisions about the construction of safe ways?</p> <p>Are the distances and routes to be travelled to community institutions safe for all – particularly girls/women</p> <p>Has safety mapping been conducted with all community members to identify at risk – roads/paths when designing them?</p>
Norms and practices linked to roads/path ways	<p>Are there any traditional practices, norms, or dynamics that may increase girl's vulnerability to violence in using certain roads/pathways.</p>

Prepared by:

Safeguard Specialist- CIPIU

Name.....

Signature.....Date.....

Village..... Sub-County.....

ANNEX 4(e): PERFORMANCE MONITORING TOOL FOR SUBPROJECTS

Name of subproject

Date.....

Name of person filling form.....

Signature.....

Aspect to be monitored	Indicator	Target	Frequency of reporting	Current Measurement	How was measurement done	Comments
Reliability	Number of days per month subproject is not in use	Max. 5 days	Monthly		Project diary	
Access	Number of individuals served in a month				Customer list	
Consumer satisfaction	Number of complaints in a month				Complaints record book	
Project Financial stability	Monthly surplus					
Revenue	Monthly revenue					

ANNEX 5 (a): LIPW Planning Procedure Template

Date ----

Watershed based community development PW plan

Background

County: -----

Sub county: -----

Ward -----

Village -----

Name of Watershed

Area of watershed

Area of the micro watershed (hectares) -----

GPS positioning.....

Village Population

Number of Men -----

Number of Women -----

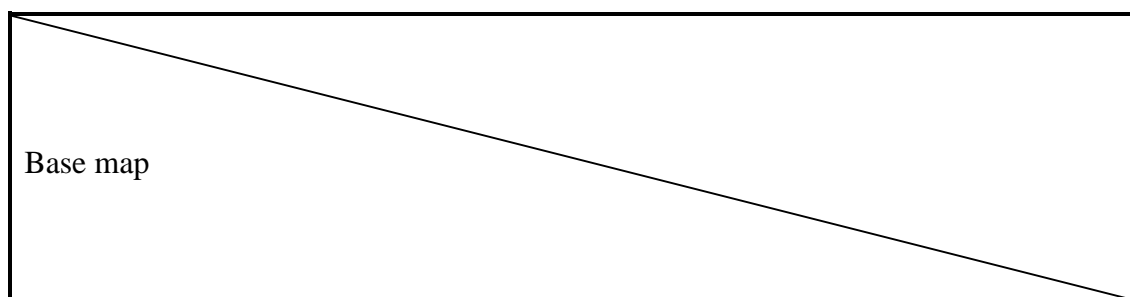
Socioeconomic information

Biophysical information/data

Focus group meeting/discussion with the community

Major problem identified by the community

Base map/resource/village map– *(This has to be drawn by the community members)*



Transect walk (drawing) - Transect walk diagram through the village: Taken by the team (Observation)

Problem matrix

Problem	Major causes	Degree of severity			Rank
		High	medium	Low	

Prioritized problems

Priority	Major problem

Proposed solutions

Major problem	Solution/Subproject

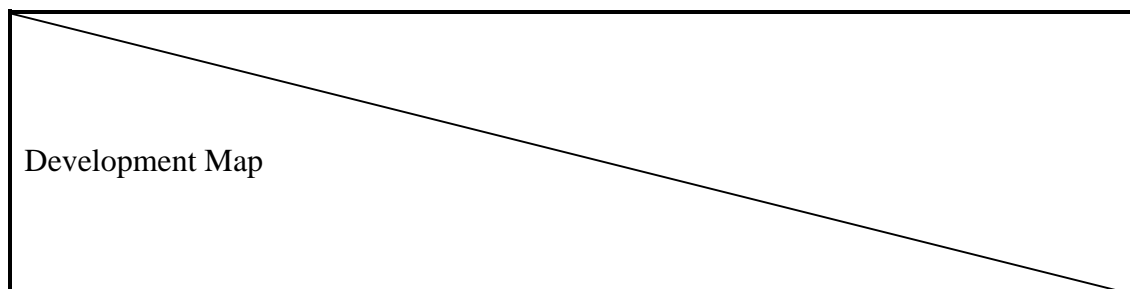
Screening results

Table (for screening)

Sub-projects screening for (-) environmental and social impact and mitigation measures

Sub-projects	Possible negative environmental impact	Mitigation measure

Draw development map



Multiyear (5 years) Targets for Implementation

Selected Measures	Unit	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Road	Km						
Terrace	Km						
Planting	Number (‘000)						
Etc.							

Estimated Labor/PD and LIPW cash transfer

Selected Measures/ Activity	labour	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Road							
SWC							
Etc.							

Estimated Non-labour cost requirement (Materials, tools and equipment)

List of materials	Unit	Quantity cash	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Cement	Bags							
Sand	Cum							
Stone	Cum							
Nails	Kg							
Etc.								

Annual detail action plan (year 1)

Selected measures	Unit	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Pond		X	X	x								m	m

ANNEX 6 (a): Assessment of existing groups form

Name of the
existing groups

No.	Name of member	Gender (F/M)	AGE	Category of HH (Poor (P), poorest of poor (POP), non-poor (NP))	Member resident of the same village ⁸ (Yes/No)
1					
2					
3					
4					
5					
6					
7					
8					
9					

⁷To determine eligibility, the percentage of poor and poorest of poor should be at-least 95 percent. Any groups having less than 95 percent poor and poorest of poor members will not be eligible to be supported under the sub-component.

⁸At-least 95 % of members should be the resident of the target Village.

No.	Name of member	Gender (F/M)	AGE	Category of HH (Poor (P), poorest of poor (POP), non-poor (NP))	Member resident of the same village ⁸ (Yes/No)
10					
11					
12					
13					
14					
15					
<i>Percentage of group members who belong to poor and poorest of poor HHs (Total P and POP members/Total members*100)</i>					

ANNEX 6(b): List of groups eligible to receive support under the livelihood's component

Sr. No.	Name of groups	Date of formation/ registration	Number of group members	Percentage of female members	Percentage group members from poor and poorest of poor households

ANNEX 6 (c): Livelihood core principles assessment form.

#	Principles	Week 1	Week 2	Week 3	Week 4	Total @month end	Remarks
1	Weekly meetings						
	Meetings held						
2	Weekly Savings/income						
	Member savings						
	Fines						
	Others (specify)						
3	Inter loaning:						
	Amount lent out						
4	Timely repayment						
	Amount paid back						
	% of the loan paid back within the agreed time						
	Amount of loan defaulted						
	Amount of defaulted loan recovered						
5	Book Keeping:						
	CG saving/inter-loaning register updated						
	Members' passbooks updated						
	CG visitors register in use						
	Copy of CG files in order and updated						
	Minutes of all meetings in place						
General recommendations:							

ANNEX 6 (d): Template for Letter of submission of Business Plan Application by CGs

Name of CG:

.....

Name of Business Activity:

.....

To the KDRDIP Sub-County Coordinator

..... Village

..... Ward

..... Sub-County

Please find details of business plan application as under.

Title:.....

2.Objective(s):.....

.....

.....

.....

.....

3. Total budget: (in KSH)

(In words:.....)

4. Community contribution

(In words:.....

.....)

5. Business plan implementation

period.....

6. Attached/enclosed key documents:

Item/Document	Tick as appropriate	
	Yes	No
CG Business Application form		
Budget		
Implementation/action Plan		
Community contribution		
Others: Specify.....		

7. Submission details:

Particulars	Prepared by:	Submitted by:	Received by:
<i>Name</i>			
<i>Designation</i>			
<i>Signature</i>			
<i>Date</i>			

ANNEX 6 (e): CG Business Plan Application Template

1. Background Information

1.1 Name of the CG:

1.2 Location of the CG /sub-project:

County: _____ Sub-County: _____

Ward: _____ Village: _____

Location (*tick appropriate box*): Rural[] Urban []

1.3. CG Contact address:

1.4. Date of submission:

1.5. CG basic information

A	Number of members	
B	Males	
C	Females	
D	The average age of members	
E	Average family size	
F	Education levels (in percentages for different levels e.g. 30% of members attended atleast 2 years of primary, 20% finished primary etc.)	
G	What percent of the members are currently engaged in small business activities and what are the major business activities undertaken by them?	
H	Current savings of the group	

ANNEX 6 (f): Livelihoods component Detailed Business Plan (1 year)

Business activity overview	Name of the business activity	
	What is the objective and expected outputs of your business activity?	
	Is the proposed business activity in line with the KDRDIP livelihood program objectives?	
Management and operations	What are the key activities in your business	
	How will you manage your business activity, who will do what functions in your group?	
	What type of business support is required and how do you plan to get that support?	
Capacity	What type of skill sets and prior experiences exists in your group that will help you in your business activity?	

	What type of support (technical, business etc.) your group may need (from project staff and others) to manage your business activity effectively, please specify.	
Market demand	What is the market demand/availability for your business activity?	
	Describe the primary target market for your business?	
	What do you think are your major competitive strengths, what will help you to establish a place in the market? What is your plan for market linkages/marketing?	
Financial management	What are the start-up costs (inputs/costs) for starting the business activity?	
	What are the operating costs involved in your business activity?	
	What is the total cost required to start and manage the business activity?	
	What is the lifecycle or maturity period of your business activity (time by	

	which you will start to get returns)?	
	What is the cost-benefit/profitability analysis for your business activity?	
	How much grant is requested/required for your business plan?	
	How much is the community contribution towards the business plan?	
Gender	How was the participation of CG members especially women in the identification, design, and preparation of the business plan?	
	How have the needs of the women members considered in the business plan?	
Sustainability	What is the plan for sustainability of the business activity at the community level?	
Risks	What are the anticipated risks involved in your business activity, and how	

	you are planning to mitigate them?	
Environmental and social impact	What potential adverse social effects may occur due to the business activity (if any)? In case of any social effects, occur, what mitigation measures are in place to overcome these effects?	
	What potential adverse environmental effects may occur due to the business activity (if any)? In case of any environmental effects, occur, what mitigation measures are in place to overcome these effects?	
Expected results from the business activity	The expected improvement in livelihoods	
	The expected increase in incomes	
	Expected savings	
	Expected reinvestment/diversification plans	

ANNEX 6 (g): CG Business Plan Appraisal Checklist

1.1 Name of the CG: _____

1.2 Location of the CG /sub-project:

County: _____ Sub-County: _____

Ward: _____ Village: _____

Location (*tick appropriate box*): Rural ☐ Urban ☐

1.3. CG Contact address: _____

1.4. Date of appraisal _____

CRITERIA	SCORE		
	(Tick against the score)		
<i>(On a scale of 0-2, where: “0” means unsatisfactory and “2” very satisfactory)</i>			
General aspect			
Is the proposed business activity in line with the KDRDIP livelihood program objectives?	0	1	2
Has CG clearly spelled out the objective and expected outputs of their business activity?	0	1	2
Management and operational aspect			
Have CG provided details on who will manage their business activity and roles and responsibilities of members?	0	1	2
Has the CG provided a realistic implementation/action plan?	0	1	2

Has the CG provided procurement plan for the business activity?	0	1	2
Is the business plan simple enough to complete in one year?	0	1	2
Capacity aspect			
Does CG have required skills or prior experience to implement and manage the business activity?	0	1	2
Has CG specified and planned for technical support they may need to implement their business activity	0	1	2
Market aspect			
Has CG given due consideration to the market demand/availability for their business activity?	0	1	2
Has the CG provided details about their market linkage/marketing plan?	0	1	2
Financial aspect			
Are the inputs/costs provided in the budget realistic and sufficient?	0	1	2
Has the community provided community contribution to the business plan up-front?	0	1	2
Is the business plan cost within the funding ceilings set by KDRDIP (not exceeding USD 5000)?	0	1	2
Has CG done cost-benefit/profitability analysis for their business activity?	0	1	2

Gender aspect			
Was there a wider participation of CG members especially women in the in the identification, design, and preparation of the business plan, and have the needs of women considered in the business plan?	0	1	2
Sustainability aspect			
Is there a good plan for community-level sustainability?	0	1	2
Risk aspect			
Has CG given due consideration to risks involved in implementing the business activity?	0	1	2
Environmental and social aspects			
Has the CG considered the potential adverse social and environmental effects that may occur due to the business activity?	0	1	2
TOTAL SCORE (0 to 36)			

FINAL ASSESSMENT

Assessment	Decision Guide	Tick as appropriate
Recommended for funding	If the CG business plan does not score “zero” in any of the criteria above If the overall score is 29 + (above 80%)	
Deferred/Returned	If the overall score is less than 29 (80%)	

	If the business requires changes in some areas	
--	--	--

If there are any improvements that are required to make the business plan successful, the assessment team may recommend to the CG those changes and outline them here below:

--

APPRAISAL TEAM

NAME	DESIGNATION	SIGNATURE	DATE

ANNEX7(a): ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST

Sub-project Screening Checklist (Prototype)

(Sub-projects screening process by benefitting communities/Agencies)

Section A: Background information

Name of County.....	
Name of County Coordinator/Monitoring Officer/Researcher	
Sub-project location.....	
Name of CBO/Institution..... Postal Address:.....Contact Person.....Cell phone:.....	
Estimated cost (Ksh.).....	
Approximate size of land area available for the sub-project.....	
Objectives of the subproject.....	
Activities/enterprises undertaken.....	
How was the sub-project chosen?.....	

Section B: Environmental Issues

Will the sub-project:	Yes	No
Create a risk of increased soil erosion?	<input type="checkbox"/>	<input type="checkbox"/>
Create a risk of increased deforestation?	<input type="checkbox"/>	<input type="checkbox"/>
Create a risk of increasing any other soil degradation		
Affect soil salinity and alkalinity?	<input type="checkbox"/>	<input type="checkbox"/>
Divert the water resource from its natural course/location?		
Cause pollution of aquatic ecosystems by sedimentation and agro-chemicals, oil spillage, effluents, etc.?		
Introduce exotic plants or animals?		
Involve drainage of wetlands or other permanently flooded areas?		
Cause poor water drainage and increase the risk of water-related diseases such as malaria?		
Reduce the quantity of water for the downstream users?		

Result in the lowering of groundwater level or depletion of groundwater?	<input type="checkbox"/>	<input type="checkbox"/>
Create waste that could adversely affect local soils, vegetation, rivers and streams or groundwater?	<input type="checkbox"/>	<input type="checkbox"/>
Reduce various types of livestock production?	<input type="checkbox"/>	<input type="checkbox"/>
Affect any watershed?	<input type="checkbox"/>	<input type="checkbox"/>
Focus on biomass/bio-fuel energy generation?	<input type="checkbox"/>	<input type="checkbox"/>

If the answers to any of the above is 'yes', please include an ESMP with sub-project application.

Section C: Socio-economic Issues

Will the sub-project:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Displace people from their current settlement?	<input type="checkbox"/>	<input type="checkbox"/>
Interfere with the normal health and safety of the worker/employee?	<input type="checkbox"/>	<input type="checkbox"/>
Reduce the employment opportunities for the surrounding communities?	<input type="checkbox"/>	<input type="checkbox"/>
Reduce settlement (no further area allocated to settlements)?	<input type="checkbox"/>	<input type="checkbox"/>
Reduce income for the local communities?	<input type="checkbox"/>	<input type="checkbox"/>
Increase insecurity due to introduction of the project?		
Increase exposure of the community to communicable diseases such as HIV/AIDS?	<input type="checkbox"/>	<input type="checkbox"/>
Induce conflict?	<input type="checkbox"/>	<input type="checkbox"/>
Have machinery and/or equipment installed for value addition?		
Introduce new practices and habits?		
Lead to child delinquency (school drop-outs, child abuse, child labor, etc.)?		
Lead to gender disparity?		
Lead to poor diets?		
Lead to social evils (drug abuse, excessive alcohol consumption, crime, etc.)?		

Section D: Natural Habitats

Will the sub-project:	<input type="checkbox"/>	<input type="checkbox"/>
Be located within or near environmentally sensitive areas (e.g. intact natural forests, mangroves, wetlands) or threatened species?	<input type="checkbox"/>	<input type="checkbox"/>
Adversely affect environmentally sensitive areas or critical habitats – wetlands, woodlots, natural forests, rivers, protected areas including national parks, reserves or local sanctuaries, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>
Affect the indigenous and endangered/threatened biodiversity (flora and fauna)?	<input type="checkbox"/>	<input type="checkbox"/>

Cause any loss or degradation of any natural habitats, either directly (through project works) or indirectly?	<input type="checkbox"/>	<input type="checkbox"/>
ND: If the answer is yes, the sub-project should not proceed		
Affect the aesthetic quality of the landscape?	<input type="checkbox"/>	<input type="checkbox"/>
Reduce people's access to the pasture, water, public services or other resources that they depend on?	<input type="checkbox"/>	<input type="checkbox"/>
Increase human-wildlife conflicts?	<input type="checkbox"/>	<input type="checkbox"/>
Use irrigation system in its implementation?	<input type="checkbox"/>	<input type="checkbox"/>

SECTION E: Pesticides and Agriculture Chemicals

Will the sub-project:	<input type="checkbox"/>	<input type="checkbox"/>
Involve the use of pesticides or other agricultural chemicals, or increase existing use?	<input type="checkbox"/>	<input type="checkbox"/>
Cause contamination of watercourses by chemicals and pesticides?	<input type="checkbox"/>	<input type="checkbox"/>
Cause contamination of soil by agrochemicals and pesticides?	<input type="checkbox"/>	<input type="checkbox"/>
Experience effluent and/or emissions discharge?	<input type="checkbox"/>	<input type="checkbox"/>
Export produce? Involve annual inspections of the producers and unannounced inspections?	<input type="checkbox"/>	<input type="checkbox"/>
Require scheduled chemical applications?	<input type="checkbox"/>	<input type="checkbox"/>
Require chemical application even to areas distant away from the focus?	<input type="checkbox"/>	<input type="checkbox"/>
Require chemical application to be done by vulnerable group (pregnant mothers, chemically allergic persons, elderly, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>
SECTION E: Pesticides and Agriculture Chemicals	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to the above is 'yes', please consult the IPM guideline that has been prepared for the project.

Section F: Vulnerable and Marginalized Groups meeting requirements for OP 4.10

Are there:	<input type="checkbox"/>	<input type="checkbox"/>
People who meet requirements for OP 4.10 living within the boundaries of, or near the project?	<input type="checkbox"/>	<input type="checkbox"/>
Members of these VMGs in the area who could benefit from the project?	<input type="checkbox"/>	<input type="checkbox"/>
VMGs livelihoods to be affected by the subproject?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to any of the above is 'yes', please consult the VMGF that has been prepared for the project.

Section G: Land Acquisition and Access to Resources

Will the sub-project:	Yes	No
Require that land (public or private) be acquired (temporarily or permanently) for its development?	<input type="checkbox"/>	<input type="checkbox"/>
Use land that is currently occupied or regularly used for productive purposes (e.g. gardening, farming, pasture, fishing locations, forests)	<input type="checkbox"/>	<input type="checkbox"/>
Displace individuals, families or businesses?	<input type="checkbox"/>	<input type="checkbox"/>
Result in temporary or permanent loss of crops, fruit trees and pasture land?	<input type="checkbox"/>	<input type="checkbox"/>
Adversely affect small communal cultural property such as funeral and burial sites, or sacred groves?	<input type="checkbox"/>	<input type="checkbox"/>
Result in involuntary restriction of access by people to legally designated parks and protected areas?	<input type="checkbox"/>	<input type="checkbox"/>
Be on monoculture cropping?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to any of the above is 'yes', please consult the mitigation measures in the ESMF, and if needed prepare a (Resettlement Action Plan) RAP.

Section H: Proposed action

(i) Summarize the above:	(ii) Guidance
All the above answers are 'No' <input type="checkbox"/> There is at least one 'Yes'	If all the above answers are 'No', there is no need for further action; If there is at least one 'Yes', please describe your Recommended course of action (see below)

Recommended Course of Action

If there is at least one ‘Yes’, which course of action do you recommend?

☐CPIU⁸s safeguards specialists will provide detailed guidance on mitigation measures as outlined in the ESMF; and

[type here]

☐Specific advice is required from CDE⁹, Lead Officer and CPIUs regarding sub-project specific ESIA(s) and also in the following area(s)

[type here]

☐All sub-project applications/proposals MUST include a completed ESMF (environment and social) checklist. The CIPIUs safeguard specialists and CDE will review the sub-project applications/proposals and the CDEs will sign off;

☐The proposals will then be submitted to KDRDIP PIU for clearance for implementation by communities in the proposed subprojects.

Expert Advice

☐The National Government through the Department of Monuments and Sites of the National Museums of Kenya can assist in identifying and, mapping of monuments and archaeological sites; and

☐Subproject specific ESIAs, if recommended, must be carried out by Lead experts registered with NEMA and be followed by monitoring and review. During the process of conducting an ESIA the proponent shall seek views of persons who may be affected by the sub-project. The WB policy set out in OP 4.01 requires consultation of sub-project affected groups and disclosure of ESIA’s conclusions. In seeking views of the public after the approval of the sub-project, the proponent shall avail the draft ESIA report at a public place accessible to project-affected groups and local NGOs/CSOs.

Completed by: Safeguard Specialist;

Name:

Position

Date:

Reviewed by:

County Director of Environment (CDE): *[type here]*

Review Comments

Signature: *[type here]*

NEMA STAMP

Date: *[type here]*

Note:

Project category	Characteristics
A	Full and extensive ESIA/EIA needed- irreversible environmental impacts; impacts not easy to pick or isolate and mitigation cost expensive; ESMP design not easily done; Must have the EIA done and future annual EAs instituted
B	Site specific environmental impacts envisaged; mitigation measures easy to pick, not costly and ESMP design readily done; need either ESMP checklist prepared or ESIA and future Environmental Audits (EAs)
C	Have minimal or occasionally NO adverse environmental impacts; exempted from further environmental processes save environmental audits

ANNEX 7 (b) Summary report for sub-project approval for NEDI projects (max 5 pages). Please annex ESIA, voluntary land donation documentation, screening minutes

Proposed investment: _____

Estimated cost: _____

Village/Sub-Location/Ward/Sub County: _____

Overview of the project location and key features within 200m of works: (maximum 150 words) _____

Population resident on or regularly using the land/investment:

Village/sub-location (facility users can be in more than one location)	No of individuals resident or regularly using the project area for their livelihood	No. of direct users of the investment (individuals)

Consultations with the community on the investment

	Date	Villages/sub-locations	Total number of people involved	No. of women	No. of youth	No. of non-majority ethnic groups (specify which ones/names and number)	Main concerns raised and how they will be addressed	Challenges in consulting with people e.g. migration, conflicting event, insecurity
Participatory needs assessment process								
Safeguards screening meeting								
Other – meetings (specify)								

Summary ESMP – as discussed during the community safeguards meeting:

Social and environmental impacts of investment	Mitigation measures	Costing	Time frame	Responsible agency

Has a field visit been undertaken to the location of the works? Y/N Date of visit: _____ Title of visiting officer: _____

Has the ESMP and location specific mitigation measures been incorporated into the contract for the works?

Location specific mitigation measures in addition to those specified in the generic ESMP (annexed) (maximum 100 words) Please ensure that conflict potential, abbreviated resettlement action plan, preferential use of local labour, degradation around the infrastructure and integrity of landscape/watershed/ecological system are addressed_____

—

Specify the available documentation relating to the ESIA: (ESIA, hydrological reports, license/permit consent/conditions, other)_____

How has the land been acquired for the project?

	Tick where applicable	Why was this method chosen?
Willing buyer willing seller		
Voluntary donation		See 11
Compulsory purchase		
Community owned land		
Government owned land		
Other		

Voluntary land donation:

How many people either live on or regularly use the land where the project will be implemented (including those who might use it as a drought fall back area) by location and how many and who agreed to the voluntary donation of this land for this public facility?

How have the voluntary land requirements been met?

Requirements for voluntary land donation	Explanation and evidence
Was the land to be donated identified by the community through a participatory approach? (also include details in table 4)	
What are the likely impacts of proposed activities on donated land and how were these explained to the community?	
How was the community made aware that refusal was an option and confirmed in writing that they are willing to proceed with the donation? (e.g. at the consultation and in the voluntary land donation document)	
What evidence is there that the act of donation was undertaken without coercion, manipulation, or any form of pressure on the part of public or traditional authorities (e.g. photos/videos of community consultation etc.)?	
How will the users and occupiers of the land benefit from this investment?	
Were monetary or non-monetary benefits or incentives requested as a condition for the donation and were these provided?	
How do you know that the land being donated will not reduce the remaining land area to a level below that required to maintain the donor's livelihood at current levels and will not require the relocation of any household?	
Will any structures be moved or any access to land be limited as a result of the sub-project (describe structures and locations)?	

If so, how will they be compensated/facilitated and/or their livelihoods restored?	
How was consent provided by all individuals occupying or regularly using the land?	
Was there anyone who did not give agreement and why?	
How was it established that the land to be donated was free of encumbrances or encroachment and was it registered in an official land registry?	

GRM: Describe how and to whom was awareness created on the GRM process?

Sustainable management: Who will manage and maintain the investment, and how will repairs be funded? _____

Vulnerable and marginalized groups (i.e. traditional minority groups or clans)

Names of groups that reside in or regularly use the investment area (including as a dry season grazing area) _____

For each group specify the following:

VMGP Requirement	Explain or indicate where this information is contained in attached documents
------------------	---

<p>(a) What is the legal and institutional framework applicable to these groups?</p>	<p>Article 21 of the Constitution, all State organs and all public officers have the duty to address the needs of vulnerable groups within society, including women, older members of society, persons with disabilities, children, youth, members of minority or marginalised communities, and members of particular ethnic, religious or cultural communities. Article 27: Affirmative action to redress past disadvantage suffered by individuals or groups because of past discrimination. County Government Act 2012, Section 35 (1.b), Gender equity and minority rights will be respected in county level planning and development facilitation as well as in resource mobilization and resource allocation, Section 102.</p>
<p>(b) What is the demographic, social, cultural, and political characteristics of these groups, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend?</p>	
<p>(c) Provide a summary of results of the free, prior, and informed consultation with these groups that was carried out during the sub-project preparation and that led to broad community support for the project. (please also include details in table 4)</p>	
<p>(d) How will free, prior, and informed consultation be carried out with these groups during project implementation?</p>	
<p>(e) How will these groups receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies?</p>	

(f) Are there any potential adverse effects on these groups from the project (explain)? If so, how will these adverse effects be avoided, minimized, mitigated, or compensated for?	
(g) What are the cost estimates and financing plan for these mitigating measures?	
(h) What are the culturally appropriate procedures to address grievances by these groups arising from project implementation?	
(i) What are the mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the above measures, including arrangements for the free, prior, and informed consultation with the groups?	

ANNEX 7 (c): SAMPLE OF LAND ASSET AND PHYSICAL INVENTORY CENSUS SURVEY FORM

Socio-Economic Household Datasheet of Project Affected Persons

Interviewer	Signature
Supervisor	(After verification)
Name	
Position of concession in village coordinates	
Day / Month / Year	
1) Head of Extended Family	
2) No. of nuclei families in extended family residential group	
3) Head of household extended family	

Household Interview

Name Head of HH	Sex		Place of Birth	Age	M	Marital status	Residence tenure	Ethnic group	Religion	Education	Income earner	Economic rating			
	M	F										No	Primary	Secondary	Tertiary
											Yes				

Head of Family/Household (HOH): 1. Head of household; 2. Spouse of HOH; 3. Child of HOH; 4. Grandchild of HOH; Parent of HOH; No answer

Marital status: 1. Married; 2. Widowed; 3. Divorced; 4. Single; 5. No answer

Residence tenure: 1. Permanent residence; 2. Resident absent; 3. Member of non-resident; 4. Visitor; 5. other (specify); 6. No answer

Educational level: 1. No formal education; 2. Primary; 3. Secondary; 4. Youth polytechnic; 5. Religious school; 6. College; 7. university

ANNEX 7 (d) : GRIEVANCE REPORTING AND RESOLUTION FORM

REFERENCE NO (NO/MONTH/YEAR)

2. Complainant's details (unless anonymity requested).

Name:

.....

ID No:

.....

Address:

Tel:

Email:

.....

Signature:

3. Complaint Raised:

Date:

.....

.....

4. Agreed resolution (Actions, responsibilities, dates)

.....

Ihereby confirm that I
will consider the complaint/grievance fully settled if the Conditions set out under item 3 here above
are fully met.

Complainant

Project Representative

Name: Name:

Date: Date:

Sign: Sign:

ANNEX 7 (e): GRIEVANCE LOG FOR KDRDIP

<p><u>GRIEVANCE LOG</u></p>					<p>PROJECT :</p>		<p>PERSON COMPLETING:</p>		<p>TE L NO :</p>		<p>DATE UPDATED:</p>	
<p>GEOGRAPHICAL LOCATION:</p>												
<p>IDENTIFIERS</p>												
SN O	NAME/OR REF	CONTACT	DATE RECEIVED	CHANNEL	DESCRIPTION OF COMPLAINT	REFERRED TO (NAME & POS)	TE L NO	DATE	ACTION TAKEN/GREED RESOLUTION	OUTCOME	FEEDBACK GIVEN Y/N?	DATE RESOLVED
1												
2												

ANNEX 7(f): COMMUNITY LAND RESOLUTION AND CONSENT FORM FOR KDRDIP PROJECT

ITEM	DESCRIPTION
Project name	
Component	
Activity Code:	
Output	
Name of Investment	
Detailed specifications of investment	
Project Location:	
GPS coordinates	
Estimated cost of the investment	
Source of Funding	
Financial Year	

TERMS OF THE AGREEMENT

As discussed in our community baraza onto which all residents and regular users of the investment area (specify) were invited. We the nominated representatives at that meeting confirm that the following issues were discussed and the residents and regular users of this land are in unanimous agreement.

That, shall be site of the proposed and that:

We all are aware that the land set aside for the investment is community land and no one is claiming individual ownership because it belongs to all of us and negative impacts on particular individuals using the land will be addressed by the community, and no alternative claims will be made later on the land.

We have all agreed unanimously that the project implementation should continue.

We will all allow other neighbouring and cross-border communities access to the investment as agreed between elders of both communities.

We all shall strive to peacefully resolve any conflicts with other communities concerning the investment.

We will would strive to peacefully co-exist and resolve any conflict arising out of the investment facility following due process provided by the laws of Kenya.

The land to be donated was identified in consultation with all residents and users of the land.

We all understand the likely impacts of proposed activities on donated land.

We all understand that the community could have refused this investment.

We all agreed to this investment and donation of the land without coercion, manipulation, or any form of pressure on the part of public or traditional authorities.

We all agreed that we not require any monetary or non-monetary benefits or incentives as a condition for the donation.

The land being donated will not reduce the remaining land area to a level below that required to maintain the livelihoods of occupiers and users of land at current levels and will not require the relocation of any household.

If any structure will be moved or any access to land be limited as a result of the sub-project, the individual affected will be compensated so their livelihood will be unaffected.

The land is free of encumbrances or encroachment and is not claimed by any individual and its ownership is not contested.

We have been designated by the community of
 (_____,
 _____,
 _____)

Confirm the above information to be true and that we have resolved to abide by ALL terms of this agreement. (Please attach minutes of the community meeting including the signed attendance sheet and photos of the meeting).

S/No.	Name	Village/Location	ID/No.	Signature

Witnessed on this Day of in the Year.....: by:

Area Chief

Name	ID/No.	Signature & R/Stamp

Ward Administrator

Name	ID/No.	Signature & R/Stamp

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Land Registrar/adjudication officer

Name	ID/No.	Signature & R/Stamp

County Government (Physical Planning Department)

Name	ID/No.	Signature & R/Stamp

County Ministry Relevant to the project e.g. Water/Livestock Production etc.

Name	P/No.	Designation	Signature & R/Stamp

County Project Team Leader

Name	ID/No.	Signature & R/Stamp

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Please also attach the summary safeguards report explaining how the requirements for voluntary land donation for this investment have been met.