



KENYA MARINE AND FISHERIES RESEARCH INSTITUTE

KENYA COASTAL DEVELOPMENT PROJECT- KCDP

HAZINA YA MAENDELEO YA PWANI - HMP

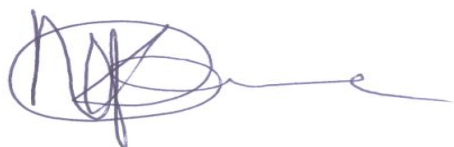
Operational Manual

REVISED VERSION

December 22, 2015

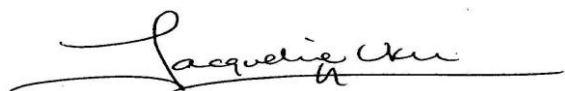
The Revised HMP Operational Manual was given a NO Objection by the World Bank on the 22nd December, 2015

Document Issued By: Manager, Component 3

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Signature:

Document Approved By: Project Coordinator

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List of Acronyms and abbreviations

AIDS	Acquired Immune-Deficiency Syndrome
CAAC	Coastal Area Advisory Committee
CBO	Community Based Organisation
CDA	Coast Development Authority
CDF	Constituency Development Fund
CIGs	Common Interest Groups
CLM	County Liaison Manager
CLOs	County Liaison Officers
CS	Community Services
EIA	Environmental Impact Assessment
FAO	Food and Agriculture Organisation
FSC	Finance Sub Committee
GoK	Government of Kenya
HIV	Human Immuno-Deficiency Virus
HMP	Hazina ya Maendeleo ya Pwani
ID	Identity Card
IEC	Information, Education and Communication
IGA	Income Generating Activities
IT	Information Technology
KCDP	Kenya Coastal Development Project
KEFRI	Kenya Forestry Research Institute
KMFRI	Kenya Marine and Fisheries Research Institute
KWS	Kenya Wildlife Service
MSE	Micro and Small Entrepreneur
NEMA	National Environmental Management Authority
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
PA	Partner Agency
PAD	Project Appraisal Document
PC	Project Coordinator
PCU	Project Coordinating Unit
PDO	Project Development Objective
PFI	Partner Financial Institutions
PIM	Project Implementation Manual
PMC	Project Management Committee
PME	Participatory Monitoring and Evaluation
POS	Point of Sale
PSC	Procurement Sub Committee
PVC	Project Vetting Committee
SA	Social Accountability
SACCO	Savings and Credit Co Operative Organisation
SAIC	Social Audit and Integrity sub-Committee
SHGs	Self Help Groups

SME	Small and Medium Entrepreneur
TA	Training Assessment
TOR	Terms of Reference
TSPs	Technical Service Providers
WB	World Bank

1.0 INTRODUCTION TO THE KENYA COASTAL DEVELOPMENT PROJECT

The Kenya Coastal Development Project (KCDP) is a multi-sectoral development project financed by the World Bank and the Global Environmental Facility (GEF). The intended beneficiaries of the KCDP are communities in 6 coastal counties that are: Mombasa, Kwale, Kilifi, Tana River, Taita Taveta and Lamu. The Kenya Marine and Fisheries Research Institute (KMFRI) is responsible for coordination of overall project implementation in collaboration with the following government agencies: Kenya Forestry Research Institute (KEFRI), Kenya Wildlife Service (KWS), Fisheries Department (FiD – currently State Department of Fisheries SDF), Coast Development Authority (CDA), National Environment Management Authority (NEMA) and the Department of Physical Planning (DPP – State Department of Physical Planning SDPP). The Project has three components revised from the original four components:

- i. *Sustainable Management of Fisheries Resources - component 1* whose objectives are to increase benefits and revenue generation derived from coastal fisheries through: i) improving governance including monitoring, control and surveillance of the fishery in the EEZ; ii) advancing research on coastal and near-shore fish stocks, promoting alternative fishing technologies, and supporting linkages between fishermen and processors and fishmongers; and iii) increasing fish production through aquaculture.
- ii. *Sound Management of Natural Resources - component 2.* The Component objectives are (i) to improve sound management and regeneration of natural resources and biodiversity; (ii) to identify biodiversity products and markets that will assist in promoting eco-tourism and spin-off industries (iii) to develop a coastal biodiversity information system to catalogue the state of the Coast's natural resources, ecological threats, economic valuation and resource use patterns.
- iii. *Building Coastal Capacity for Sustainable Natural Resource Use and Management, implemented - Component 3.* Capacity Building, Monitoring & Evaluation System, Project Management, Communication and Development Fund for the Coast: Hazina ya Maendeleo ya Pwani (HMP)

2.0 HAZINA YA MAENDELEO YA PWANI

Development Fund for the Coast translated in Kiswahili as Hazina ya Maendeleo ya Pwani (HMP) is a fund under the KCDP whose objective is to enhance conservation of natural resources and provision of essential community services. Aligned to the HMP objectives are two windows through which at least 200 priority community projects are to be supported. These are:

1. Window 1: Natural Resource Management (NRM) where community projects that promote conservation and sustainable use of fishery, forestry and other natural resources in the six coastal counties will be supported;
2. Window 2: Community Services (CS) which seeks to promote social wellbeing by enhancing provision of essential social services

The main features and objectives of the two windows are shown in Table 1 below.

Table 1 Main Features of HMP Windows

Issues	Window 1 - Natural Resource Management				Window 2 - Community Service			
Objective	Promote conservation and sustainable use of fishery, forestry and other natural resources in the six coastal counties				To enhance social-wellbeing by promoting access to essential community services			
Maximum Project Size in KShs		1 st Cycle	2 nd Cycle	3 rd Cycle		1 st Cycle	2 nd Cycle	3 rd Cycle
	Category 1:	3.0M	4.0 M	5.0 M	Category 1	4.0M	5.0M	6.0M
	Category 2:	2.0M	3.0M	4.0M	Category 2:	3.0M	4.0 M	5.0M
	Category 3:	1.0M	2.0M	3.0 M	Category 3:	2.0M	3.0M	4.0M
Upward Review of grant for approved project	In special cases, approval for upward review of HMP grants will be made in the event that: Either the projects was grossly underestimated by the community group due to inadequate technical capacity or the impact of the community project is likely to be affected due to budgetary limitations. However in both cases, the review shall be informed by the prevailing market quotations.							
Repeat financing	CBOs that have successfully implemented their first HMP financed project may apply for repeat financing in the 2nd and 3rd cycle within their respective project category as provided above. However, CBOs with innovative project proposals and demonstrated outstanding competence in both financial and project management skills may apply for repeat financing in either the 2nd or 3rd cycle of the large size project category.							
Grant Size	95% of total project costs							
Community Contribution	5% of total project costs of which 3% must be in cash. In kind contribution may be in form of: labor, animals, equipment, land, raw material, which will be volarised at local market rate.							
Disbursement modalities	Funds will be disbursed in tranches of 40:40:20. The first 40% upon signing of the grant agreement, and the remaining 40 % and 20% after accounting for the first and second disbursement Upon successful completion of the first cycle of financing, a Community Based Organisation (CBO) may apply for repeat funding in subsequent cycles							
Examples of projects	<ul style="list-style-type: none">• Fish breeding grounds protection• Mangrove protection/replanting• Tree planting• Water pans and small dam construction• BMU infrastructure• Community mariculture projects• Enhancing community conservation Areas• Community boats for fisheries MCS activities• Community livelihood projects related to NRM such as beekeeping, value addition of forestry products.				<ul style="list-style-type: none">• Communal waste management• Community potable water supply• Cultural /eco-tourism• Community boat for community service• Communal access paths• Community resource centres• Sanitary facilities• Storage facilities• Provision of social amenities• Physical infrastructure such as culverts that constitute critical constraints• Projects that improve hygienic conditions of produce, such as model fish landing bandas with associated access roads.			
Livelihood Projects	Up to 10% of the HMP grant may be used to invest in a livelihood project by the successful CBO. This is to provide incentive to the CBO members who are investing their time and resources (cash contribution) to undertake community projects of public good nature on behalf of their community.							
Exclusions	Project that: <ul style="list-style-type: none">• Predominantly represent private good							

Issues	Window 1 - Natural Resource Management	Window 2 - Community Service
	<ul style="list-style-type: none"> • Deal with drug trafficking • Pay for purchase of land • Would benefit few households • Have negative environmental and social impacts • Involve purchase of ammunition, explosives, vehicles • Only pay for recurrent/ administrative costs* • Aim to rehabilitate government offices • Focus on establishment of private assets <p>*In order to facilitate implementation of the community project by CBOs a maximum of 1% of the HMP grant will be allocated to cater for administrative costs. However, eligible costs are those that are directly related to the implementation of the community project such as office stationery, facilitation of CBO Committee meetings which includes lunch and refreshments where applicable, local transportation costs for CBO members while undertaking community project activities</p>	
Project Period	<p>A maximum of two years.</p> <p>This is to allow time for essential preparatory activities necessary for project implementation such as approvals of technical designs, environmental and social screening and engagement technical experts to support CBOs in project implementation</p>	

Both, windows 1 and 2 are marked by a public goods nature and orientation, the first one by the intention to improve the natural resources of the coastal region, and the second one by the intention to provide services of common interest to the community/society at large. It cannot be principally excluded that activities under Windows 1 and 2 could be clearly separated from each other, as there may be activities that fall under both categories, thus complying with the terms and conditions of both windows. The dividing line shall therefore be where the main emphasis, focus, objective or predominant use of funds of the proposed activity will be located. The respective terms and condition including the selection criteria for the NRM and CS sub projects are presented in **(annex 1a-b)**. While both HMP windows encourage voluntary participation in implementation of community projects of public good orientation, successful CBOs will be allowed to invest up to 10% of the HMP grant in a livelihood project as an incentive.

HMP envisages developing a third window which aims at enhance access to social services and **livelihood opportunities and economic capabilities** of the Vulnerable and Marginalised Groups (VMGs). The operational strategy for this window will be annexed to this manual.

2.1 Target Beneficiaries

The direct beneficiaries of the HMP grants are Common Interest Groups (CIGs) which in this context refers to Community Based Organisations (CBOs) such as women, youth, self-help, people with disability and Vulnerable and Marginalised Groups (VMGs) operating in the coastal region. These groups must be registered with the relevant government departments. Indirect

beneficiaries will comprise community members gaining from the community project implemented with HMP financing.

3.0 HMP CORE VALUES

The HMP project will be guided by the following core values:

- 1. Social Inclusion-** This refers to the inclusion of all members of the community including: the poor, men, women, youth, vulnerable and marginalized groups.
- 2. Equity -** All community members including the most vulnerable, the poor, the women and youth will have equal opportunities and rights.
- 3. Democracy and Participation –** Participatory methodologies will be used in all project activities. Community decisions will be taken on the basis of majority.
- 4. Accountability and Transparency -** All decisions will be taken in an open and transparent manner. All project information will be displayed prominently in the community. All records and books will be maintained and made available to community members.
- 5. Initiative/self-help -** Communities will be empowered and encouraged to solve their own challenges and seek outside help only when and where needed.
- 6. Integrity -** Integrity and honesty will be maintained in all project activities promote trust, understanding and harmony. All project activities will be implemented as per the agreed specifications, budget and time.
- 8. Prudence -** All project resources will be used efficiently, wisely and carefully to minimize loss and wastage. All activities will be environmentally sustainable, friendly and beneficial to both present and future generations.
- 9. Sustainability -** The project will support only those micro-projects with potential for long term continuation of project activities and benefits to communities; and those with no adverse effects on the environment.

4.0 PURPOSE OF THIS MANUAL AND ITS USERS

The purpose of this manual is to guide the implementation of community projects funded under the HMP. It describes all the steps that the communities must follow in order to fully and effectively benefit from the investments under HMP. The intended users of this Manual are therefore the CBOs members, Non Governmental Organisations (NGOs), KCDP staff and government agencies that support them in the implementation of HMP funded activities.

5.0 MANAGEMENT OF HMP

The implementation of the HMP activities will be undertaken by hired staff operating under but not being part of the Project Coordinating Unit (PCU). The terms and conditions of the HMP staff are provided in Annex 2. Overall responsibility is vested with the HMP Manager, who oversees monitors and guides all operations. The HMP Manager is assisted by the County Liaison Manager (CLM), who supervises and guides 12 County Liaison Officers (CLOs), who will be located in the six coastal counties. The CLOs represent the KCDP at the county level, conduct information and awareness campaigns, implement the HMP and are actively engaged in the monitoring process. In order to better serve coastal communities in the implementation of their priority projects, strengthening the existing HMP staff capacity in the following areas would improve their performance: Hire of 26 Lead Mobile Advisory Teams - a lower cadre staff responsible for handholding CBOs at constituency level; One Water and Civil Engineer to provide requisite technical support to CBOs (See ToRs in Annex 2 d–f). When necessary interns may be placed at the HMP County Office as way of their capacity building and support in documentation of HMP work. The approval of the NPSC will sought before engaging all the said staff.

6.0 PROJECT IMPLEMENTATION APPROACH

HMP adopts the Community Driven Development (CDD) approach to implement the community grants. Through this approach, the control of the entire development process, planning decisions and investment resources is handed over directly to the target beneficiaries. The approach permits enhances ownership of the community projects by facilitating the participation of the target communities right from project development to implementation.

In the context of HMP, the CDD concept manifests itself in the following ways:

- Project idea is developed by the Communities Based Organisations (CBOs)
- Project proposal developed with CBOs
- Funds disbursed to CBOs
- Project implemented by CBOs
- CBOs mandated to disclose project information at community level
- CBOs responsible for fiduciary and procurement aspects of project
- Audit function partly assumed by the CBOs

The key milestones in HMP implementation are highlighted in **Annex 3**.

6.1 Community Mobilization and Targeting

The implementation approach begins with the identification of beneficiary CBOs through targeted mobilization workshops held in the 6 Coastal Counties during the launch of HMP . The objectives of these workshops are to disseminate information on the funding opportunities in HMP and provide guidance in application procedures and other support mechanism. At the

county level, the CLOs will continue to mobilise the CBOs as part of routine HMP activities to ensure wide coverage.

Community targeting with a view to reaching out to the poorest segments of the society will be enhanced by the use of poverty data and population which will inform the mobilization areas. This will be enhanced further using a GIS tool where all HMP financed projects will be spatially mapped and the areas that are yet to be targeted identified.

6.2 Application and Approval Process for HMP Grants

The basic requirement for application of HMP grant will be certificate of registration, proof of eligibility in the category applied for and a completed grant application proposal which can be obtained from the CLO offices. While CBOs are free to submit their proposals any time during the year, the appraisal and approval session will be held at most twice annually. The application and approval process entails the steps below:

6.2.1 Development and Submission of Community Projects:

- Applicants submit their proposal to the CLO office in their county at any given point of time using the HMP grant application template (see Annex 4);
- Given the illiteracy level in some of the coastal counties, the CLO are required to support the CBOs in proposal development as guided by the HMP grant application template.
- CLO undertake a first field visit and appraises the proposals against a screening tool (**see Annex 7**); At this point the CLO is also required to take the geo reference data of the proposed project.
- CLO arranges for a detailed discussion of the proposal and provide the applicant with the preliminary views of the project in the following areas;
 - Feasibility and viability of the project proposal
 - Compliance or non-compliance of the proposal with the terms and conditions;
 - Weaknesses and areas for improvements;
 - Potential benefits of the project;
 - Screen the proposed project for environmental and social impact and conclude on the need for a environmental and social impact assessment, depending on circumstances.
 - A reasonable valorization of planned in-kind contributions;
 - CLOs will certify that all conditions have been met and all procedures been complied with,
 - The HMP Management plans for a pre appraisal visit to each county to confirm preparedness of the CLOs for the internal appraisal sessions and also have a discussion with a sample CBOs selected randomly to assess the viability of the proposed projects and identify major gaps that need to be addressed prior to the internal appraisal.
 - Community projects that have major gaps are referred back for further development and enrichment.
- CLO prepares an excerpt and a power point presentation of the application in both electronic and hard copy for the internal appraisal sessions. This excerpt contains: (i) the contact details of the applicant; (ii) details about the project submitted; (iii) a summary assessment of the application, and (iv) a certification that the applicant has provided all required certifications and that the CLOs endorsed the application.

6.2.2 Internal Appraisal of Community Projects

- The CLM will organize internal appraisal sessions with all the CLOs on the project proposals submitted to further assess their compliance with HMP objectives, feasibility and make recommendations to the Project Vetting Committee (PVC). The PVC has the mandate of approving or disapproving proposed community projects.
- Community proposals that are still weak in terms of their design, implementation strategy sustainability aspects, etc. are referred back to the CBOs for improvement. The CLO will assist the CBO in this regard.
- After the internal appraisal, the CLO will inform the following persons and offices on the preliminary appraisal and approval of projects:
 - Applicant;
 - District officer or chief of administration;
 - County office of governor;
 - Other relevant technical offices (fishery, agriculture, forestry, environment, health, as the case may be); and
 - Coastal Area Advisory Committee (CAAC).

6.2.3 Vetting and Approval of Community Projects

The community proposals screened during the internal appraisal session will finally be evaluated for approval by the Project Vetting Committee (PVC) convened by the HMP Manager.(see **Annex 8**).

A Project Vetting Committee (PVC) shall be established comprising the following persons:

1. Project Coordinator (invitation ad personam);
 2. Component 3 Manager (invitation ad personam and Chair Person of PVC);
 3. Component 1 Manager;
 4. Component 2 Manager;
 5. HMP Manager (Secretary to the PVC);
 6. County Liaison Manager;
 7. Finance Specialist of PCU (invitation ad personam)
 8. One representatives of NGOs working in NRM, fishery, community development or similar fields;
 9. Technical Coordinator, NEMA,
 10. Technical Coordinator, State Department of Physical Planning;
 11. Technical Coordinator, Kenya Forestry Research Institute;
 12. Staff of county government from the six coastal counties drawn from departments that are relevant to the thematic areas of the proposed community projects.
- The role of the PVC is to appraise community projects along the selection and eligibility criteria and ultimately make decision for funding under the HMP grant mechanism. The PVC will allow the re-submission of a proposal that has been rejected on the grounds of non-compliance with the terms and conditions after incorporating the appropriate modification.

- The PVC through HMP Manager will inform the applicant and the respective CLOs on the decision. The CLOs will then inform the institutions already informed about the first step of approval, and call for their support as required.
- In the case of rejection of an application, the PVC will provide details on the reasons for the rejection, invite the applicant to modify the application accordingly and re-submit the modified application.

The complete appraisal and approval processes of the grant application will take approximately 6 weeks..

6.3 Community Training

Given the variability of skills and knowledge required to implement projects, KCDP will strengthen governance structures of CBOs in specific functions such as procurement, financial management and social audit. In this regard, HMP will support the establishment of committees that are critical in the day to day management of the HMP financed community projects. These include: Project Management Committee (PMC); Procurement Sub Committee (PSC); Finance Sub Committee (FSC) and Social Audit and Integrity Committee (SAIC). The composition of these committees shall be as indicated in Table 2 below. Their terms of reference of the various sub committees are shown in **Annex 5**. The PMC will however, oversee the day to day implementation of projects in consultation with CLO based on the approved work plan and budget.

Table 2: Community institutions in management of HMP Sub projects

No.	Institutions	Formation	Membership
1.	CIG	From Community	Minimum of 20 Members of which 35% are female
2.	PMC	From CIGs	5 Members
3.	PSC	From CIGs	3 Members
4.	SAIC	From CIGs and Community	3 Members
5.	FSC	From CIGs and Community	3 Members

Prior to disbursement of the HMP grants, successful CBOs will be taken through training in finance audit and procurement management to ensure prudent utilization of HMP grants. To this end, each CBO will nominate one representative from each of the above mentioned sub committees and an additional person from the general members of the CBO. To further enhance the capacity of the CBOs in project implementation targeted trainings will focus on leadership, group dynamics, project and conflict management, social accountability and complaint handling among others (see **Annex 6**). Additional hands on training and technical support shall be provided by KCDP implementing agencies, other relevant stakeholders and consultants engaged on short term basis.

6.4 Financing of Community Project

Following approval of the project proposal by PVC, the CBOs will sign a grant agreement with KMFRI. Funds will be disbursed in tranches of 40:40:20. The first 40% will be disbursed upon signing of the grant agreement. The next 40 and 20 percent will be disbursement after satisfactory accounting for the first disbursement and subsequent tranches..Upon successful completion of the first cycle of financing, a CBO may apply for repeat funding in subsequent cycles. More details regarding grant disbursement are shown in the table 4.

Table 4: Milestones for Tranche Disbursement

Tranches (Instalment payment to community)	Milestones (Things which must be accomplished before receiving each instalment of HMP grant)
1st Tranche (Instalment 1) The amount requested for implementing stage 1 activities as per the approved community project proposal.	<ul style="list-style-type: none"> a) A grant agreement signed between the PMC and KMFRI b) A Community project proposal has been approved by the PVC. c) 10% community contribution (especially the 5% cash) is available and reflected in the CBO's bank account d) The CBO has opened a current bank account and received a cheque book. e) The procurement, finance and Social Audit and Integrity sub-committees have been formed, trained and are operational. f) The committee to manage the project (PMC) is functional.
2nd and 3rd Tranches (Instalment 2 and 3) Amount required for implementing second and third stage of activities as per the approved community project proposal.	<ul style="list-style-type: none"> a) Full accounting of the previous tranches disbursed has been properly made b) All books of accounts and records are properly maintained and are up to date c) Monthly financial progress reports are submitted to the HMP Management by the CLO d) Arrangement for the Over 80% of members of the CBO are actively participating in the implementation of the funded project e) Updated information on the project implementation is on the community display board. The information should include: <ul style="list-style-type: none"> - Funds received from the donor for project; expenditure and balance; money received from community contribution; expenditure and balances; Contracts available and contracts awarded by the project; list of assets procured and their cost and status of project implementation against the target. f) The SAIC and CLOs have recommended application for the second or third tranche of funds g) Operation and maintenance of the project are in place.

6.5. Technical Support To Communities

To strengthen CBO's capacity in the delivery of the community project and also inculcate professionalism in project implementation, HMP shall provide various forms of technical support through the following approaches:

- The **HMP Resource Team** comprising 6 staff drawn from finance, procurement and audit departments of KMFRI. Their main task is to assure prudent utilisation of the HMP grants through training and handholding CBOs.
- The **HMP Engineering Unit** - Comprising KMFRI staff and hired experts whose main task is to support CBOs in the development of Bills of Quantity, Technical Designs including seeking necessary approvals from the county Government, assist with electricity connection, plumbing and branding of HMP projects.
- **Community's Own Resource Persons (CORPs)**- In order to encourage peer to peer learning, a team of CORPs will be constituted to train other community members in financial management and project implementation. The CORPS will be drawn from community members who have depicted exemplary performance either in terms of good financial management or successful project implementation.
- **Business Development Training** - A number of the HMP financed projects have a potential for income generation. To support growth of such businesses, training on business planning and development will be offered in conjunction with recently established business development centres at the counties and the SME development sub-component of KCDP implemented by CDA.

Linkage with capacity built by KCDP through training – Where possible, youths who have graduated with certificates, diplomas and degrees funded through the KCDP scholarship programme will be encouraged to apply their technical know-how to projects implemented in their counties.

7.0 FINANCIAL MANAGEMENT GUIDELINES

The CIGs will comply with the financial management guidelines established by the KCDP. Non-compliance to these requirements will constitute a breach of contract and shall result in termination of contract and a reimbursement the HMP grant disbursed. The guidelines include.

A. Bank Account

- The community must have a bank account for community project funds;
- A current account for transacting projects grants;
- Where necessary, the CIG may open another account for money generated by or for sustaining the project;
- The bank accounts will have 4 signatories: Chairman, Vice Chairman, Treasurer and Secretary;
- 3 signatures will be required for any transaction but the Treasurer's signature will be mandatory;
- Any bank withdrawal shall be accompanied by minutes of the meeting approving the withdrawal;
- The bank card and cheque books will be kept under safe custody of the Treasurer.

B. Receipt of Money

- All monies (cash) received must be receipted and entered in the cash book and deposited by the FSC-

- Cheques shall be receipted only when they have been cleared by the receiving bank.
- Amount received through bank transfers shall be acknowledged in writing.
- All cash collections shall be receipted and deposited in the bank by the FSC.

C. Payment Procedures

i. Cheque Payment

Most of the payments shall be carried out by cheque as shown below:

- Payment voucher shall be prepared by a member of the FSC for all the cheque payments.
- Supporting documents such as suppliers' invoices, quotation forms, delivery notes, approved wage sheet by the PMC or copy of contract shall be attached to each payment voucher.
- The payment voucher shall be recommended by the Treasurer.
- As a rule payment vouchers shall be prepared in duplicate.
- The payment voucher shall be approved by PMC chairman and the Vice Chairman or the Secretary after verifying details of the supporting documents.
- A cheque shall be prepared after the payment voucher has been approved and a copy of the cheque shall be attached to the payment voucher.
- The signed cheques shall be submitted to the supplier by the FSC or the treasurer.
- The payment shall be recorded in the cashbook and payment vouchers together with the attached documents, stamped PAID and filed chronologically as per the payment dates in the voucher file.
- Sample of community payment voucher is given in **Annex 9**.

ii. Cash Payment

- Cash payment should be for only small payments not exceeding Kenya Shillings 5,000.
- Cash shall be drawn from the bank via an open cheque.
- As a rule payment vouchers shall be prepared in duplicate.

The PMC will follow this procedure when paying in cash:

- All the payment vouchers which are to be paid in cash shall be prepared by the FSC member.
- The payment voucher shall be recommended by the Treasurer
- The payment voucher shall be approved by PMC chairman and the Vice Chairman or the Secretary after verifying details of the supporting documents.
- Cash requisition form shall be prepared by the FSC 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 a day to minimise 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 PMC 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.

D. Financial Records at Community Level

The PMC and its sub-committees will keep records on all financial transactions. These records will help:

- Stakeholders to verify the accuracy of CIG financial dealings;
- The CIG to keep records for future reference;

- Project implementers to know expenditure and balances to date;
- Community members to know about CIG financial transactions;
- PCU to Audit CIG accounts;
- The following are the minimum financial records required for each CIG:

i. Cash Book / Bank Record

- A Cash book is a document used to register all movements of money. It lists all the receipts and payments made into and out of CIG bank and cash account.
- Cash book should record all the cash coming in and going out, all bank deposits in cash or cheque, all withdrawals by cash or cheque, bank charges made for purposes of projects implementation.
- The cash book will be maintained by the FSC consisting of the Treasurer and two other members to record all the money received and paid out by the CIG.
- The FSC will prepare vouchers for all receipt and expenditure of the money. All the vouchers will be entered in the cash book.
- The cash book must be updated every time a cheque or cash payment is made or money is deposited in the CIG bank account. It is balanced once a month and the balance carried forward to the following month.
- The SAIC will review, check and endorse all the entries in the cash book each month. A sample of a cash book is in **Annex 10**.

ii. Bank Reconciliation Statements

- The bank reconciliation statement will compare the cash book balances against the bank statement and lays out the items that constitute the difference.
- The PMC Treasurer shall carry out bank reconciliation to ensure that any differences between the cash book and bank statements are resolved.
- The FSC will obtain a bank statement on a monthly basis and compare this with cash book balance.
- The bank statement balance at the close of the month shall be compared with the cash book balance and the difference identified and reconciled. (**See Annex 11**)

iii. Community Contribution Register

- It is the register used to record all contributions made by the community in-kind towards projects implementation.
- The community contribution in kind will be in form of materials and labour. The CIG or PMC implementing the project will decide who to contribute what, how, when and the value of the contribution made in kind.
- The PMC should also ensure that the contributions are made in time, properly recorded and accounted for to allow smooth implementation of the project.
- The book maintains the following details; date of contribution; contributors name; contributor's identity card number; amount or quantity of contribution; unit and total costs and contributor's signature or thumb print.
- The PMC secretary updates the register as soon as community members submit their materials or labour at the correct valuation.
- The PMC chairman endorses the book and hands it over to secretary for transaction recording in the budget component control form on monthly basis.

- The sample format for community contribution is shown in **Annex 12**.

iv. Budget Control Forms

- The form is used to summarize all the transactions recorded in the cash book and community contribution book.
- The PMC will use the budget control form to monitor the total amount spent on each project budget category so as to avoid over expenditure.
- The FSC will prepare summaries for all the budgeted items as per the approved bill of quantities /or project proposal listing.
- The forms will be updated on a monthly basis with all the transactions in the cash book and community contribution book. They will be closed on monthly basis and the balance generated shall be carried forward to the following month.
- The actual amount spent for each budget category shall not exceed the budgeted amount. However exceptions can be made with the approval of the Manager Component 4.
- The CIG must increase their contribution for the project if the actual amount spent exceeds the budget (The refund of the expenditure should be done within 30 days).
- A sample of the budget control form is given in **Annex 13**.

v. Asset Register

- HMP investment may lead to each CIG owning assets
- The assets may include buildings, machinery or equipment, wells, etc.
- Every community project item/asset should be labelled.
- Each CIG will be required to keep an asset register in order to maintain proper and up to date record of all these assets.
- The register will be a hard bound book or spread sheet. It will have six columns showing: serial number, purchase price, location, state of the asset and disposal dates.
- During PMC meetings the FSC will be required to provide an update on any changes that have occurred on asset list. Condemned assets must also have destruction report by the relevant government officers.

vi. Minutes Book

- All the matters discussed in PMC and sub-committees meetings will be recorded in a hard cover minutes book and signed by the secretary and approved by the chairman in the next meeting.
- The secretary to the PMC and the sub-committees shall take minutes of all the CIG meetings.
- The secretary will record the members present, those with apologies, the matters discussed together with the conclusions or decisions arrived at in the meeting.
- All members present shall sign an attendance list (name, identification number and signature).
- The minutes for each and every meeting will be signed by the chairman.
- The minutes' book will be available to any community members interested in reading it and the secretary will be required to avail the book upon request. (**See Annex 14**).

E. Auditing

i. Checking and Counter Checking of Expenditure

- The financial documents kept by the PMC will be audited by the SAIC and the PCU auditors quarterly.
- The SAIC will submit its report to the PCU through the CLO and recommend actions for rectifying any anomalies found.
- KCDP or other organs of government will also audit CIG accounts.
- A checklist of records and other documentation which may be requested for review are provided Table 5.

Table 5: Audit Checklist

Reference	Group of Records	Description of Items
A	Primary Records	<ul style="list-style-type: none"> - Updated cash book - File of invoices/vouchers for all items of expenditure - File or book of receipts for all money received (or transferred) - Bank statements, deposit slips and cheque books
B	Summaries and reconciliation statements	<ul style="list-style-type: none"> - Summary of all receipts and payments by budget - Bank reconciliation statements for CIG bank account on monthly basis and at the year end - Assets register
C	Schedules	<ul style="list-style-type: none"> - Schedule of creditors (money owed by the CIG) - Schedule of debtors (money owing to the CIG) - Schedule of grants and other income due - List of grants received or expected to be received - Fixed asset register
D	Other information	<ul style="list-style-type: none"> - List of CIG, PMC, FSC PSC and their membership - CIG, PMC, PSC and FSC meeting minutes - Funding agreements, contracts, and correspondences <p>Signed land use agreement (see Annex 15) for sample land use agreement for community use)</p>
E	Financial Reports	<ul style="list-style-type: none"> - SAIC reports - Monthly, quarterly and annual financial reports

- The audit findings will be disclosed in publicly accessible ways that facilitate timely and effective monitoring and accountability at community level.

7.1 Custody of Financial Records

The PMC will ensure the FSC properly file and keep safe the project financial records and documents.

The FSC will maintain the following documents:

- Payment vouchers file for all payment (cheque and cash).
- 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.
- The FSC will maintain original expenditure documents.
- The to purchase a metal box in which to securely store project official documents, including payment vouchers, minutes and cheque books.

7.2 Measures to Prevent Mismanagement of Project Resources

The HMP shall put in place a number of measures to prevent potential misappropriation HMP grants as follows:

- Prior to financing, the beneficiary CBOs shall submit a letter authorizing KCDP to freeze their account should there be suspicion of misuse of the HMP grant.
- Flagging the CBOs' accounts so that the Bank will have to call the CLO in charge of the county to confirm validity of any withdrawal to be made.
- In cases where the CBO is considered risky, the CLO in charge of the county will be a mandatory signatory to the CBO's account to enhance prudent utilization of the HMP grant.

The CBO will take the following measures to prevent financial irregularities:

- Social Audit and Integrity Committee will regularly audit financial records and verify goods and services procured and report any irregularities to the PCU through CLO;
- Examine all financial transactions on a monthly basis and rectify any errors detected;
- 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 the CBO;
- Involve county administration;
- Community members to take legal action;
- Include sanctions in community by-laws.

8.0 COMMUNITY PROCUREMENT GUIDELINES

The PSC will consolidate the list of items to be procured from the approved project proposal into a procurement plan before carrying out any procurement for the projects (**See Annex 16a and b**). The PSC simplified procurement plan will show the items to be procured, quantities involved, estimated price, procurement method to be used, expected date of placing order(s) and expected date of supply.

During implementation of funded projects, each committee will submit their requisition for materials, goods and services to PSC for action (**See Annex 17**)

The PSC is responsible for all matters relating to procurement of materials, goods, services and consultancies. The PSC will use the following procurement methods in line with the KCDP procurement guidelines:

8.1 Community Procurement Procedures

a. Procuring Materials

i. Off the Shelf Purchases

- Low value procurement will be for a single item or a set of items not exceeding Ksh 5,000 that are readily available off the shelf.
- This method requires the PSC going directly to the market and enquiring about the prices of goods needed for community micro-projects in different shops and then buying what is needed at lowest price.
- Procurement sub-committee (PSC) members will go to one or two suppliers/shops and buy the items required without formal quotation.
- It is advisable to make verbal enquiries from several sources before purchasing.
- The materials are received by the PMC and entered in the stock register.
- The Social Audit Committee verifies the items procured.

ii. Direct Contracting (Single Sourcing)

- Direct contacting may be used when there is only one source available (contractor or supplier).
- The method can also be used under emergency situations or where there is need to adopt certain technology or there is a repeat order.
- When this method is used, to the extent possible, the contract price agreed upon should be within local market rates or established estimates in the Unit Cost Database to be maintained by the PMC.
- Use of this method should be approved by the SAIC
- Procurement sub-committee will give a local purchase order (LPO) to the supplier/shop for the items required without formal quotation.
- The materials are received by the PMC and entered in the stock register.
- The Social Audit Committee verifies the items procured.
- The finance committee releases payment to the supplier.
- The details of procurement are entered in the display board (**Annex 20**).

Local Shopping: Purchase of supplies between KSH 5,000 to KSH 500,000

- The PSC will solicit at least three price quotations from qualified suppliers, service providers or contractors on the basis of simplified documents (**Annex 18**).
- For the quotations for works contracts, the documents should describe the scope of works, provide specifications and where possible include drawings;
- For common use goods, framework agreements may be used;
- The quotation forms shall either be hand delivered or posted to the suppliers in the local area.
- The fully completed quotation forms shall be returned in a sealed envelope to the PSC on or before the stipulated date and time.
- The PSC opens the sealed quotations at the same time and to the extent possible in the presence of the SAIC and record the prices in a register.
- The PSC evaluates and decides from whom to procure as per the specifications.
- Factors such as item cost, quality, availability and transportation should be considered.
- The PMC approves the evaluation done by the procurement committee.
- Give a local purchase order. (**Annex 21a and 21b**).
- The materials are received, transported to the community and entered in a stock register.
- The Social Audit committee verifies the items procured.
- The finance committee releases payment to the supplier.

- The details of procurement are written on the display board.

iii. Local Bidding: Purchase of supplies above KSH 500,000

- This is an open competition aimed at enhancing economy, fairness and equal opportunity to suppliers and contractors;
- Open tendering procedures may be limited to local advertising using media as local newspaper or radio, posting notices at strategic places, circulating such notices or reading them out at community meetings or other public gatherings;
- The request for bids spells out the works or goods required the criteria for selection , and the deadline for submission of bids. Bids are opened in a public ceremony
- All the quotations received by the PSC in a sealed envelope shall be evaluated and submitted to the PMC for approval.
- The PSC opens the sealed quotations and record the prices in a register.
- The PSC evaluates the bids to determine whether they meet minimum specifications mentioned in the bidding documents (experience, quality of works, equipments, services offered, and delivery dates). Bids that meet the minimum requirements specified in the bid invitation are retained for further evaluation and bidder who meets the minimum and offers the lowest bid is selected. The award and amount of the contract should be announced to all bidders. (**Annex 19**).
- The PMC approves the evaluation done by the procurement committee.
- Give a local purchase order. (**Annex 21a and 21b**).
- The materials are received, transported to the community and entered in a stock register.
- The Social Audit committee verifies the items procured.
- The finance committee releases payment to the supplier.
- The details of procurement are written on the display board.

Community Force Account

- Under a community force account, the community implements the subproject using its own resources (skilled and unskilled labour, materials, equipment) and may sub contract part of the sub project.
- This approach offers several advantages (a) it is community driven and cost effective (inputs can be provided by the community at below-market costs) and (b) injects funds into the community (e.g. through the payment of wages and materials).
- Caution should however be exercised when using this method to minimize likely abuse (misallocation of funds) and the difficulty of estimating controlling costs.

b. Procuring of Skilled Services (Note: Unskilled services will not be procured)

The CIG will use the methods shown in Table 6 when procuring skilled services.

Table 6: Procuring Skilled Services

	PROCURING SKILLED SERVICES
Step 1	PSC puts notices in public places such as markets, schools, local administration offices and barazas sites showing details of skilled services needed.
Step 2	Interested persons submit sealed offers to the PSC.
Step 3	The PSC opens the offers and record the prices in a register.
Step 4	PSC compares the experience, selects the most suitable and negotiates for the price within the available budget and prevailing market rates.
Step 5	The PMC approves the recommendation of the PSC.
Step 6	The PMC signs a contract with the person to be hired (Annex 22a and 22b).
Step 7	SAIC verifies records, evaluates the services given before the FSC release payment.
Step 8	The details of services hired are written in the display board.

Note: It may be useful for the PMC to prepare a roster of qualified consultants and NGOs, and even to enter into indefinite delivery contracts with them; communities can then contact the consultant or NGO of their choice from such lists on need basis.

c. Procuring the Services of a Contractor

The CIGs will apply the method shown in Table 7 to procure the services of a contractor

Table 7: Procuring the Services of a Contractor

PROCURING THE SERVICES OF A CONTRACTOR (labour Only)	
Step 1	The PSC shall invite interested approved contractors through public announcement in the local meetings or advertisement in public places and receive sealed quotations.
Step 2	The PSC opens the quotations, evaluates them and forwards the results to the PMC for approval.
Step 3	The PMC invites technical person from the relevant line ministry conversant with the nature of the project and conducts an interview to select the contractors.
Step 4	The PMC signs a work order (LPO/LSO) with the person entrusted with the work.
Step 5	A contract agreement will be drawn with the selected contractor.
Step 6	The work is supervised by the PMC and checked by the SAIC and the technical department depending on the magnitude of the work who also signs the completion certificate.
Step 7	The FSC releases payment based on completion of works as certified by the SAIC and the technical department.
Step 8	The details of the works executed are written on the display board.

8.2 Processing of Quotations and Contract Agreements

a. Request for Quotations

- The PSC shall give selected supplier/contractor/service provider adequate time to prepare a quotation, 3 to 7 days is preferred.
- The successful quotation shall be the one with the lowest responsive evaluated that meets the requirements set out in the request for quotations.

b. Analysis and Approval of Quotations

- The PSC shall receive all the quotations and evaluate them on the basis of cost, value for money, quality, availability and transportation offered by each supplier.
- The Secretary to the PSC shall compile all the quotations in a community price comparison schedule with the committee's comments (**See Annex 18**).
- The evaluation form shall be forwarded to the PMC for deliberation and approval.

- The PMC shall review the recommendation of PSC in the quotation forms and if deemed fit approve by signing on the quotation form of the preferred supplier
- The PMC's discussion shall be minuted, the contract agreement drawn and signed by the contractor together with the PMC chairman.

c. Issuance of Purchase Order

- The PSC shall raise a purchase order in favour of the selected suppliers for the supply of goods/services as per the quotations (**See Annex 21**).
- This shall be done after the approval of the quotation form and or signing of the contract with the supplier (**See Annex 22 a and b**).

8.3 Stores Control and Documentation

a. Stores Control and Stock Register

When goods are delivered by the supplier the PSC Secretary shall:

- Write a Goods Received Note/Receipt (**See Annex 23a**).
- Ensure that the goods are in a safe place to avoid loss through damage or theft.
- Control the supplies received and issued from the store by the use of the stock register.
- Ensure that entries are posted in the stock register every day and authorized by a responsible person of the PSC.
- Ensure that entries are made in INK and not in pencil (**See Annex 23b**).

b. Community based declaration on purchase of supplies and services

- A declaration form is prepared in duplicate with all particulars and signed by the appropriate person of the SAIC.
- A running serial number is assigned to every form and the serial number is entered in the stock register.
- The declaration form is prepared in duplicate only when there is no cash sale or receipt for a particular purchase (**See Annex 23c**). The declaration form shall be prepared by the PSC and certified by chairman or any member of the PMC as a responsible person.

c. Filing of Procurement Documents

All the procurement documents shall be filed sequentially on a contract by contract basis in the order of date as the transaction occurs.

The PSC secretary shall maintain the following procurement documents and a file containing the following:

- A list of pre-qualified suppliers/inventory of suppliers;
- The work plan;
- Project proposals/bill of quantities;
- Procurement plans;
- Quotation forms received and evaluated (bids);
- Price comparison schedule with remarks;
- Delivery notes/received goods notes;

- Contracts awarded (specifications for the contracts);
- Approval records and minutes;
- A copy of payment records;
- A stock register in a bound book with suitable columns; each column entered with the appropriate particulars.

9.0 COMMUNITY MONITORING

9.1 Monitoring and Reporting of Projects at Community Level

Monitoring is the keeping track of day to day implementation of project activities and documentation of progress. The objectives of community monitoring are:

- To control use of resources;
- To document project activities and promote learning;
- To ensure project activities are progressing according to set targets;
- To ensure that quality work is done;

9.2 How communities will monitor, report and evaluate their projects

a. Physical Progress Monitoring and Reporting

This will be done through:

- Spot-check and site visits: The CBO and other stakeholders will make regular visits to projects sites to verify the progress of project activities.
- Committee meetings: The PMC, its sub-committees and the entire CBO will be meeting every month to discuss project implementation.
- Documentation and report writing will be part and parcel of community monitoring.
- The CBO and its sub-committees will prepare and disseminate the following reports as shown in Table 8.

Table 8: Reports from Implementing Communities

Report	Frequency	Responsible	Dissemination
Financial Report (See Annex 24)	Monthly	FSC	KCDP, community barazas
Activity Progress report, (See Annex 26)	Monthly	PMC	CBO, KCDP, community barazas
Project implementation report (CIGs)	Monthly	PMC	CBO, KCDP
Social Audit reports	After every visit	SAIC	CBO, KCDP
Training reports	After each training	KCDP	CBO, PCU
Minutes	After each meeting	Secretaries of sub comm.	CBOs, PMC

b. Financial Monitoring of Projects

The CBO and the sub-committees will check the books of accounts and monitor procurement processes of on-going and completed activities. They will also collect information on mobilization and utilization of project funds and quality of service delivery.

I. Financial Reports to the KCDP

- The FSC will prepare financial reports every month (**See Annex 24**)
- The report will be approved by the PMC
- The report will be placed in the office and a copy sent to the KCDP.

II. Public Disclosure (Making known) of Financial Information

The PMC will prepare and report to the community the following financial information:

- Funds received from the donor for project, expenditure and balances;
- Money received from community contribution, expenditure and balances;
- Contracts available and contracts awarded by the CBO;
- List of assets procured, their cost and status;
- Status of project(s) implementation against the set targets;
- This information will be displayed on community notice boards. (**See Annex 20**);
- Community members will have the right to request and review this information if it is not availed by the CBO in good time or acceptable format.

c. Technical Follow-Up

The PMC will liaise with the CLOs, field officers from the relevant ministries and KCDP for technical follow up of community projects. The follow up reports will be compiled using the format in outlined in **Annex 25**.

d. Project Completion and Evaluation

The PMC will arrange for a formal participatory evaluation of the project following physical completion that will involve beneficiaries.

The evaluation will include:

- A review of the quality and cost effectiveness of all physical structures;
- A review of any training, its quality and value;
- Project impact in terms of improving household livelihoods and reducing household risks;
- Positive/negative environmental impacts;
- A financial/performance audit of the implementation process;
- Documentation of lessons learnt for future improvement on project design and implementation;

10.0 COMMON CONDITIONS FOR HMP MANAGEMENT

10.1 Information Disclosure by KCDP

The following information on the HMP shall be disclosed on the dedicated website to be created under the KCDP:

- The overall objectives and main terms and conditions and procedural steps of grants under the HMP in both English and Swahili (HMP leaflet or brochure);
- The procedures and guidelines for processing (in English only);
- A complete and up-to-date list of grant recipients, containing at least: (i) the name and contact details of the applicant; (ii) the nature and main objective of the project; (iii) the window under which this was awarded; (iv) the amount of support; (v) any eventual conditions or restrictions as decided by the Project Vetting Committee; and (vi) the dates of application, approval by the PCU Vetting Committee and disbursement of the first tranche; this information shall be provided in the form of a spreadsheet program and shall be updated on a monthly basis by the PCU;
- A list of community proposals that have been rejected, with the main reason for rejection as per the information note to the applicant (in summary form);
- A list of grants that have been revoked, with the main reason for revocation (in summary form);
- A map of the coast showing each project financed on the GPS coordinates, by county and with some basic information and a reference number to the spreadsheet information provided on the same website; the site shall be updated at least on a quarterly basis;
- Grant application template;
- A reference to a complaints, whistle blowing or grievances facility, with dedicated email addresses and mobile phone number;
- A short introduction of the CLOs in the counties, with names of CLOs, office physical and postal address, and official fixed/mobile phone numbers;
- An annual report on the results achieved, with details and analysis on applications received, reasons for rejections, approvals, funding, results achieved by type of projects, status, total disbursements, by window, nature of projects, type of applicant, county, etc.;
- Any other relevant information related to the HMP, such as audit reports, evaluation reports, etc.

10.2 Printed HMP Brochure

Upon approval of the regulations for the HMP, the KCDP shall print a one-page brochure with key information on the HMP. This brochure shall contain information covering:

- KCDP objectives;
- Role and objectives of the HMP;
- Summary terms and conditions for the three windows, including the summary Table 5 above;
- Summary of the main screening steps;
- Reference to the HMP website;

- Reference to the County Liaison Office from where application forms and guidance can be obtained, with physical addresses and office phone numbers;
- Reference to the grievances and complaints mechanisms envisaged.

10.3 Value-For-Money Audit

18 months after the first disbursements, the KCDP will commission a first value for money audit of a sample of 15-20% of recipients. The selection of the service provider will of course be on a competitive basis. The main focus of the external audit is to assess whether, and to what extent, the monies have been well spent by the recipients, what outcomes and impacts can be observed, and what level of sustainability could be expected from the supported projects that had survived till that dated. Where possible, the CLOs shall, prior to this external assessment, conduct their own assessment of a different sample about one or two months prior to the audit with a view to compare results and methods.

10.4 Monitoring and Evaluation Indicators for the HMP.

The HMP M&E indicators are:

- Intermediate Result Indicator 1 for Component 4: Number of HMP subprojects for NRM and community services operational or completed;

This intermediate result indicators shall be supplemented by the following outcome and output indicators:

- No. and value of projects supported, by county, by gender, by type of recipient/target groups and by window;
- No. and value of projects supported, by county, by gender, by type of recipient/target
- Ds group and by window, which are operational after 18-24 months of start;
- No. of projects supported, by county, by gender, by type of recipient/target group and by window, which are rated by the applicants as successful 18-24 months after the start¹

10.5 Safeguards

a. Integrated Safeguards

The Integrated Safeguards Data Sheet (dated 13 May 2010) for the HMP also envisaged an assessment of changes in number, diversity and value of alternative livelihoods investments among local communities benefitting from the HMP. Given the complexities associated with this indicator, this will be dropped.

b. Environmental safeguards

In order to ensure compliance with environmental standards of the Republic of Kenya all community proposals will be subjected to environmental and social screening using a prescribed tool in the approved KCDP ESMF. The screening will assist to identify potential areas of mitigating environmental and social impacts either through an Environmental Management Plan

¹ Start measured as the disbursement of the first tranche of the grant to the recipient by KCDP under windows 1 and 2, and the disbursement of the loan in the case of window 3.

(EMP), project report or a full Environmental and Social Impact Assessment(see Annex 27).The screening of the community projects will be done by the CLOs with close technical support by the staff of National Environmental Management Authority (NEMA).

10.6 Cancellation of grants.

The grant agreement shall contain a clause to the effect that the KCDP reserves the right to cancel a grant agreement under certain conditions. Grant recipients are to sign a certification that they have understood the conditions and will comply with this clause. The cancellation of a grant can only be done by the PCU based on the recommendations of the HMP Management. The PCU will have to decide whether to stop the disbursement of the next tranches (in case not all tranches have been disbursed) or to recall the entire grant and ask the recipient to pay back all amounts received. The conditions for cancellation of grants shall comprise among others the following:

- a) Impossibility to reach the stated objectives of the project, irrespective of the causes;
- b) Inability of a recipient to fully account for the spending of the entire amount received within four weeks after receiving a notice requiring for submission of accounts and threat to recall the grant;
- c) Inability to start the proposed project/activities within a reasonable period of time, as explicitly stated in the grant agreement;
- d) Use of grant funds for purposes and projects other than those stated in the grant agreement, including interim use of funds disbursed into the recipient's dedicated account.

The following sanctions will be applied by the PCU if the CBO violates the grant agreement or the financial and procurement procedures:

- Termination of project funding to the community;
- Suspension of project funding to the CBO;
- Refund of the disbursed funds to the community project by the CBO;
- Increasing community contribution where the CBO has spent beyond the approved budget within one month;
- Legal action against community members who have stolen project funds;
- Naming and shaming of the culprits during community general assembly;
- Blacklisting of the suppliers;

Each case of violation will be considered on its own merit by the PCU.

10.7 Grievance and complaints

KCDP has established a mechanism for addressing grievances and complaints. These can be lodged through complaint boxes, ordinary mail, telephone and email.

10.8 Need for revision of terms and conditions

The terms and conditions and procedures of all HMP windows are exploratory in nature and based on field observations and discussions. As such they are preliminary and need to stand the test of reality. In addition, some important economic and legal environment conditions may

change with time, which may entail in the need to adjust the above regulations accordingly. The need for revisions is therefore highly likely.

10.9 Procedure for Revising the HMP Manual.

Changes of this manual not affecting the provisions of the Project Implementation Manual of the KCDP shall be done in accordance with the following procedures:

- a) Identification of the need for adjustment by any staff of the KCDP and submission of a written proposal to the HMP Manager;
- b) Discussion of the proposed changes at the level of staff engaged in the implementation of the HMP and eventually first approval;
- c) Forwarding of the proposal to the next KCDP management team and eventually second approval;
- d) Submission of the proposal to the KMFRI Directors and eventually approval;
- e) Submission for no-objection of the proposal to the Task Team Leader of the World Bank in charge of the KCDP and eventually approval;
- f) Submission of the proposal to the Principal Secretary of the ministry in charge of Component 3 and eventually final approval.

Upon approval by the PS, the relevant change will take effect immediately.

Changes of this manual directly affecting the provisions of the Project Implementation Manual of the KCDP shall require the approval of the KCDP National Project Steering Committee (NPSC) in accordance with standard procedures.

10. ANNEXES

Annex 1a: Terms and Conditions of the HMP Windows

Item	Terms and conditions
Target groups	Common Interest Groups (CIGs) which in this context refers to Community Based Organisations (CBOs) such as women, youth, self-help and vulnerable groups operating in the coastal region.
Eligibility criteria	<p>Category 1: Large Size Grant Applicants in this category are CIGs that have existed for 5 years or more</p> <p>Eligibility criteria</p> <ul style="list-style-type: none"> • Experience in implementation of development projects within their community • Evidence of having management grants of similar or higher amounts; • Copies of annual bank statements for 2 consecutive years where possible. • Clearly defined development plan/project proposal; • Clear roles and responsibilities of office bearers; • Evidence of work undertaken in NRM or CS; • Project objective geared towards NRM or CS. • Registered with relevant government department <p>Category 2: Middle Size Grant Applicants in this category are CIGs that have existed for 3-5 years</p> <p>Eligibility criteria</p> <ul style="list-style-type: none"> • Evidence of having management grants of similar or higher amounts • Clearly defined development plan/project proposal • Clear roles and responsibilities of office bearers • Evidence of work undertaken in NRM or CS • Project objective geared towards NRM or CS • Registered with relevant government department <p>Category 3: Small Size Grant Applicants in this category are CIGs that have existed for 6 months to 3 years</p> <p>Eligibility criteria</p> <ul style="list-style-type: none"> • Clear roles and responsibilities of office bearers • Clearly defined development plan/project proposal • Project objective geared towards NRM or CS • Registered with relevant government department

Annex 1 b: Selection Criteria for HMP Sub Projects Used at PVC

Natural Resource Management Sub Projects		
No	Aspect	Relative Weight %
1.	Extent of degradation of the ecosystem to be conserved	20
1.	No. of potential beneficiaries from the efforts to be undertaken	20
2.	No. of potential actors/activists engaged	10
3.	Uniqueness and innovativeness of the proposed project	15
4.	Extent of impact on the environment and people's lives	15
5.	Sustainability potential of the proposed project	20
Total Score		100

Community Service Sub Projects		
No	Aspect	Relative Weight %
1.	The level of need for the requested service by the community	20%
2.	Number of potential beneficiaries	20%
3.	Potential for replication in coastal counties	10%
4.	Innovativeness and uniqueness of project	15%
5.	Extent of matching contribution above the minimum	15%
6.	Sustainability potential of the proposed project	20%
Total Score		100

Annex 2: Terms of Reference for HMP Staff

A. County Liaison Officer (CLO)

1. Role and Position

The County Liaison Officers (CLOs) play a very important dual role in the implementation of KCDP, first as out-posted officers and relationship managers intermediating communication between the communities in the six coastal counties and the PCU and implementing agencies, and second in the preparation, screening and monitoring of projects funded under the Hazina ya Maendeleo ya Pwani (HMP). CLOs are posted in each of the six counties supported under the KCDP. CLOs maintain close relationships with the potential applicants and actual recipients under the sub-component, and also with the county council, county administration, relevant ministries and government agencies in areas related to the KCDP, and with relevant private sector support services, such as business development services, financial sector, etc.

The candidates will be selected through a competitive process. The position is for an initial period of one year, renewable subject to positive performance review. There is a 6-month probation period at the start of the first assignment. This will be preceded by a two months induction training period, during which trainees will not receive a full salary but only compensation.

2. Main activities:

(a) Activities related to the HMP management

1. Carry out awareness and information campaigns about the support facility and its intervention models and encourage interested persons, groups and communities to apply for support;
2. Receive applications for grant support;
3. Screen applications for completeness and compliance of applications with regulations, and guide applicants to submit valid and comprehensive proposals that comply with the terms and conditions;
4. Arrange for technical appraisals by technical agencies;
5. Conduct institutional analyses of corporate clients (groups, cooperatives, companies, communities) of applicants as required;
6. Conduct the required social benefit analysis and financial analysis of the proposals;
7. Undertake the first environmental screening, decide on the need for an Environmental Impact Analysis (EIA), and to arrange for the EIA where needed;
8. Conduct an inventory of service providers relevant to potential recipients under the HMP, such as financial institutions, and agencies and service providers offering business-related training, coaching and mentoring, and technical assistance, their respective terms and conditions, and establish and maintain good working relationship with them;
9. Conduct local training of applicants on project management, record keeping requirements, procurement methods, sound financial management practices, etc.;

10. Conduct simple training of grant recipients on the need for linkages with the financial sector, be it through deposit or credit facilities, the terms and conditions of financial institutions operating in the area, and on approaches to apply for and repay loans;
11. Link applicants to other and similar grant services and facilities, and to business development services, technical support from govt. agencies, financial institutions, etc., where appropriate and demanded by the applicants;
12. Link services recipients under windows 1 and 2 to other similar initiatives and facilitate the creation of networking and mutual exchange;
13. Arrange for exchange of information about recipients of and applicants for grants;
14. Assist MSEs in identifying financial institutions attending to their needs and encourage saving practices in general;
15. Maintain a data base on all applications, with the respective dates of all major steps and decisions along set regulations in prescribed format;
16. Conduct post-disbursement visits in the field to monitor project progress and provide, where appropriate and needed, guidance on project implementation;
17. Conduct verification visits to grant recipients to verify use of funds;
18. Monitor all on-going projects up to completion;
19. Document the evolution of grant beneficiaries and their projects over the implementation period, and report, along prescribed formats, on applications, the implementation process and the outcomes of projects;
20. Arrange for and facilitate ex-post financial audit and value-for-money audit;
21. Assist, upon demand, implementing agencies in their county operations related to the KCDP.

(b) Other activities not related to the HMP management

22. Act as outposted liaison officers of KCDP and represent the KCDP vis-à-vis the local communities and potential beneficiaries;
23. Identify potential learning needs of target groups;
24. Ensure timely forward and backward communication between PCU, partner institutions, service providers and the local communities and interest groups;
25. Ensure timely collection of relevant data in an accurate manner along the M&E requirements;
26. Provide feedback on proposals submitted and ensure quality control of proposals submitted to the next level;
27. Improve the quality of proposals as and where needed, and ensure their compliance with the standards and conditions set;
28. Provide information on KCDP to the general public in accordance with prevailing communication policies;
29. Represent KCDP at various local fora as required and instructed;
30. Link with relevant government offices in the county and ensure their comprehensive information and collaboration where needed;
31. Support the overall implementation of the KCDP;
32. Maintain close links with all local financial institutions;
33. Facilitate access to financial services to interested individuals, groups and communities;
34. Monitor all projects supported beyond disbursement;

35. Encourage potential project applicants to submit their proposals;
36. Undertake information campaigns;
37. Contribute to the development of systems, procedures, guidelines and approaches;
38. Contribute to the development of learning and networking by beneficiaries;
39. Maintain data bases on all applications and projects supported;
40. Assist in the implementation of joint ventures as directed by the HMP Manager or PC.

3. Minimum requirements

BSc, BA or LLB in NRM, agriculture, forestry, animal/veterinary sciences, aquaculture, fishery, social sciences, law, business management, economics, or similar;

- 3 years of professional experience;
- Practical experience in working with rural communities;
- Good command of English and Kiswahili, orally and in writing;
- Demonstrated ability to work in teams;
- Ability to work with minimum supervision;
- Solid computer skills (Windows, Excel, Word, internet);
- Typing skills;
- Knowledge of indigenous coastal languages is an added advantage.

4. Selection criteria

Selection criteria for CLOs	Relative weight
• Depth of knowledge and experience in technical matters related to KCDP, such as fishery, NRM, agriculture, forestry, training and MSE development	20%
• Financial analysis and banking skills and experience	15%
• Experience in appraising applicants against a set of criteria	10%
• Experience in community mobilization	25%
• Extent of familiarity with the socio-cultural and economic framework of the coastal region	20%
• Speaking a language of the coastal region other than English and Swahili	10%

The KCDP strongly encourages the application of qualified female candidates.

B. County Liaison Manager

1. Role and Position

The County Liaison Manager (CLM) trains, motivates and supervises the six County Liaison Offices, ensures the functionality of their offices and arranges for all logistics that are required. S/he has an office within the PCU, but travels frequently to the county offices. In addition, s/he ensures forward and backward communication between the CLOs on the one hand and the HMP Manager and other component managers on the other, and coordinates training offers and other support services to the target groups.

The candidate will be selected through a competitive process. The position is for an initial period of one year, renewable subject to positive performance review. There is a 6-month probation period.

2. Main activities:

1. Ensure close coordination between offices of CLOs and other services rendered under KCDP;
2. Ensure functionality of all CLOs;
3. Supervise CLOs and their compliance with all regulations;
4. Provide quality control and supervision to CLO operations;
5. Ensure functionality of the grievance mechanism, follow-up and reporting;
6. Retrieve complaints boxes in the CLOs and hand over all messages to the designated GCO;
7. Ensure and contribute to comprehensive knowledge sharing;
8. Concept development and suggestions for changes as regards the HMP operations;
9. Coaching and mentoring of CLOs;
10. Ensure prompt and accurate reporting by CLOs;
11. Organize information campaigns on KCDP in counties in collaboration with CLOs and other local actors;
12. Contribute to problem solving at CLO level as and when required;
13. Ensure that all applications approved by CLOs comply with the required guidelines, terms and conditions, and internal quality standards;
14. Organize internal screening meetings for CLOs to appraise and screen all applications;
15. Ensure that communities at large are aware of support facilities and the application procedures;
16. Liaise with service providers for TA and training;
17. Inspire creativity and innovations at all fronts;
18. Assist CLOs in liaising with FIs;
19. Assist in the identification of opportunities for joint ventures;
20. Contribute to timely and accurate reporting along the M&E and reporting requirements;
21. Contribute to the professionalization of CLOs through formal and on-the-job training, coaching and mentoring;
22. Compile work plans and budgets along PCU requirements and consolidate these for all CLOs;
23. Ensure compliance of CLOs with quarterly and annual budgets and expenditure regulations;
24. Conduct project reviews of applications;
25. Propose mechanism for allocating funds to counties and for re-allocation in case of under-utilization;
26. Review any causes for under-utilization of budgets allocated for counties, and propose any required changes to the Component 4 Manager and the Project Coordinator;
27. Supervision of asset use in all offices under her/his supervision;
28. Ensure that proper asset registers are kept at the CLOs and supervise their correct tenure;
29. Cost control;
30. Overall responsibility to combat corruption, nepotism and other social ills, and ensure optimal use of project funds.

3. Minimum requirements

- MSc, MA or LLM in NRM, agriculture, forestry, animal/veterinary sciences, aquaculture, fishery, social sciences, law, business management, economics, or similar
- 7 years of professional experience
- Practical experience in working with rural communities, financial institutions and/or MSE development
- Good command of English and Kiswahili, orally and in writing
- Demonstrated ability to work in teams
- Ability to work with minimum supervision
- Solid computer skills (Windows, Excel, Word, internet)
- Typing skills

4. Selection criteria

Selection criteria for County Liaison Manager	Relative weight
• Management and supervisory experience regarding decentralized offices	25%
• Depth of knowledge and experience in technical matters related to KCDP, such as fishery, NRM, agriculture, forestry, training and MSE development	25%
• Financial analysis and banking skills and experience	15%
• Experience in community mobilization	15%
• Extent of familiarity with the socio-cultural and economic framework of the coastal region	15%
• Speaking a language of the coastal region other than English and Swahili	5%

The KCDP strongly encourages the application of qualified female candidates.

C. HMP MANAGER

1. Role and Position

The HMP Manager is in charge of all operations related to the HMP, including grant administration, monitoring and reporting, quality control, budgeting and planning, and concept development. In addition, s/he supervises all CLOs and the CLO Manager, and contributes to the professionalization of related staff through formal and on-the-job training, coaching and mentoring. The HMP Manager also maintains relationships with Partner Financial Institutions and develops and deepens a lending programme for MSEs, and coordinates, in conjunction with the Component 3 Manager and her/his collaborators and partner institutions, all training programmes for MSEs.

The candidate will be selected through a competitive process. The position is for an initial period of one year, renewable subject to positive performance review. There is a 6-month probation period.

2. Main activities:

a. Activities related to the HMP management

1. Ensure close coordination between CLOs and other services rendered under KCDP;
2. Occasionally participate in and support the internal screening sessions organized by the CLO Manager;
3. Undertake overall coordination of HMP and delivery of program along the indicators;
4. Review and update the HMP Operational Manual and other related KCDP manuals;
5. Ensure implementation according to this operating manual and the PIM;
6. Regularly conduct internal evaluations of the performance of the HMP windows, and recommend the required changes to the manuals and procedures as needed;
7. Serve as rapporteur of the cases submitted to the PVC, respond to queries from members of the PVC and serve as secretary to the committee;
8. Perform staff management regarding all staff operating under the HMP;
9. Supervise the CLO manager;
10. Provide comprehensive oversight of resource flows related to the HMP;
11. Link and coordinate with other sectoral managers of KCDP;
12. Collaborate with the Communication Officer;
13. Arrange for website updates and reviews in collaboration with the Communications Officer and IT team;
14. Arrange for fairs and exhibitions with partners and target groups;
15. Ensure capacity building of HMP staff and related partners;
16. Liaise with outside agencies and actors;

a. Activities related to financial services

1. Establish and maintain an inventory of financial institutions and their services, terms and conditions along the coast;
2. Calculate the effective rate of interest of their different loan products;
3. Maintain constant contacts with FIs;
4. Train CLOs on basic elements of financial management, banking, financial education, and negotiation skills;
5. Develop a training plan for KCDP staff and partners and their clients on financial education;
6. Produce a record keeping manual for grant beneficiaries;
7. Maintain a database on borrowings facilitated;
8. Collate data on lending by PFIs;
9. Arrangements on capacity building to potential clients, working with technical service providers (TSPs) and the TA Coordinator;

10. Participate in all decisions regarding the other KCDP components which are related to the HMP;
11. Provide TA and coaching to CLOs;
12. Supervise and verify results under Window 3;

3. Minimum requirements

- MSc, MA or LLM in finance, business management, economics, social sciences, law, or similar;
- 7 years of professional experience;
- Practical banking and microfinance experience;
- Experience in managing, motivating and supervising complex teams and/or change management;
- Solid M&E, planning and budgeting skills;
- Good command of English and Kiswahili, orally and in writing
- Demonstrated ability to work in teams
- Ability to work with minimum supervision
- Solid computer skills (Windows, Excel, Word, internet, database programmes)
- Typing skills

4. Selection criteria

Selection criteria for HMP Manager	Relative weight
• Depth and width of experience in banking, finance and microfinance	25%
• Depth of experience in project management, M&E, planning and budgeting	25%
• Depth of experience in team management and supervision	20%
• Depth of knowledge and experience in technical matters related to KCDP, such as fishery, NRM, agriculture, forestry, training and MSE development	10%
• Experience in community mobilization	10%
• Extent of familiarity with the socio-cultural and economic framework of the coastal region	10%

The KCDP strongly encourages the application of qualified female candidates.

D. LEAD MOBILE ADVISORY TEAMS (MATs)

Job Title: Lead Mobile Advisory Teams (MATs) **(26 Positions)**

Duty Station:	Coastal Counties
Project Reference:	Kenya Coastal Development Project (KCDP)
Duration of Employment:	One Year

- E. **Project:** KCDP is a multi-sectoral development project financed by the World Bank and GEF and hosted by the Kenya Marine and Fisheries Research Institute (KMFRI). The objective of KCDP is to improve management effectiveness and enhance revenue generation of Kenya's coastal and marine resources. Target beneficiaries are the coastal communities living within the six coastal counties, namely: Mombasa, Kwale, Kilifi, Tana River, Taita Taveta and **Lamu**. Hazina Ya Maendeleo ya Pwani (HMP) a sub component of KCDP, is a development fund whose objective is to support coastal communities in the implementation of priority projects that focus on natural resource management and provision of essential community services.

KCDP wishes to build its staff capacity for the implementation of the HMP sub component by recruiting twenty-six (26) Lead MATs. The main responsibility of the Lead MATs is to support Community Based Organisations in the development and implementation of community projects. For effective execution of this role, the Lead MATs will be posted to each constituency in the six counties, where he/she will report to the County Liaison Officer in charge of the county.

The contract for the Lead MAT position is for an initial period of one year there is a 3-month probation period at the start of the assignment.

Key Tasks:

Under the guidance of the County Liaison Officer In-charge of the County, the Lead MATs will be expected to carry out the following tasks:

- Coordinate all HMP activities within the respective area of work
- Coordinate all capacity building and community empowerment activities at the Community levels integrating the participatory leadership, management and technical skills under the direction and leadership of the CLO In charge;
- Conduct community mobilization, facilitation, follow-up and backstopping for community projects;
- Assist communities in proposal development and linking the community to the relevant technical government departments in the implementation of projects;
- Ensure that targeting of the vulnerable and marginalized Groups (VMGs) is achieved during the capacity building, identification and participation in the micro-projects and setting up of community institutions as stipulated in the HMP Manual and captured in the results framework.
- Facilitate communities' contribution towards the required projects and ensure the in kind contributions are recorded and valued;
- Conduct geo-referencing and mapping activities to all newly initiated community and upload the same onto the geo-Maps using the provided smart phones;
- Assist in the administration of environmental screening process of all community projects, in accordance with the Environmental and Social Management Framework;
- Being community facilitators, Lead MATs will assist the communities in micro-project identification, proposal development and vetting in liaison with the relevant line

departments before submitting the same for ratification by the HMP Internal Appraisal Sessions;

- They will form the linkage and interface between the project and the communities by assisting in the development of legal agreement between CBOs and KCDP;
- Provide technical backstopping to the CBOs;
- Train and oversee Participatory Monitoring & Evaluation (PM&E) activities for HMP at the community level;
- Support the CBOs in the preparation of Project Implementation Progress Reports and in capturing and submitting all relevant data as may be called for from time to time;
- Ensure proper community financial and procurement procedures are carried out in accordance with the standard project guidelines/requirements;
- Work with the CBOs to foster community development through designing and implementing appropriate strategies on community development issues emanating from beneficiary communities;
- Spearhead gender mainstreaming at the community level; and liaise with the CLO on the same;
- Perform any other duties as may be assigned from time to time by the CLO Incharge of the county

Qualifications:

Possession of minimum Diploma preferably in Social Sciences from an accredited college. The candidate must also have:

- Strong analytical skills as well as solid writing and communication abilities.
- A minimum of 3 years relevant experience
- Proven capacity for relevant development work, particularly for Community-Based Development in rural areas.
- Relevant skills in participatory methodologies and understanding of its importance.
- Understanding of the local language, culture and Socio-economic dynamics is essential.
- Possession of computer skills is mandatory.

E. Water Engineer

Job Title: Water Engineer (1 Position available)

Duty Station: Coastal Counties

Project Reference: Kenya Coastal Development Project (KCDP)

Duration of Employment: One Year (renewable)

Project: KCDP is a multi-sectoral development project financed by the World Bank and GEF and hosted by the Kenya Marine and

Fisheries Research Institute (KMFRI). The objective of KCDP is to improve management effectiveness and enhance revenue generation of Kenya's coastal and marine resources. Target beneficiaries are the coastal communities living within the six coastal counties, namely: Mombasa, Kwale, Kilifi, Tana River, Taita Taveta and Lamu. HazinaYa Maendeleo ya Pwani (HMP) a sub component of KCDP, is a development fund whose objective is to support coastal communities in the implementation of priority projects that focus on natural resource management and provision of community services:

KCDP seeks to hire a Water Engineer who will provide technical support to Community Based Organisations (CBOs) in the implementation of HMP financed water projects. The officer will be based at the coastal counties and report directly to the HMP Manager.

The contract period is for an initial period of one year, renewable subject to positive performance review and extension of the KCDP and HMP Sub Component. There is a 6-month probation period at the start of the first assignment.

Key Tasks:

The Water Engineer will be expected to support CBOs in the development and implementation of water projects. In close cooperation with the County Liaison Officers in-charge of the counties, the candidate will be expected to perform the following tasks:

(a) Activities related to the HMP

41. Assist CBOs in the development and reviewing of proposals, related to community water projects and provide necessary comments/suggestions;
42. Carrying out of technical feasibility assessment of all proposed community water projects;
43. Review technical drawings, specifications and Bills of Quantity of proposed projects and suggest improvements where necessary;
44. Assist in designing water projects and preparation of bid documents, contract documents and technical reports;
45. Conduct surveys, profiles and technical designs for all the community water projects;

46. Ensure conformity of all community water projects with public health and other Government regulations and acquisition of necessary permits/approval;
47. Participate in the evaluation of bids including assessment of offers against the original Bill of Quantity, materials specifications, competency and qualification of contractors;
48. Analyse and review the quoted unit rates against the Bill of Quantity and local market rates;
49. Analyse and review the submitted quotations, against the Bills of Quantity and local market;
50. Where necessary, provide a justification for deviation of the offer from Bills of Quantity;
51. Supervise project implementation and progress of works;
52. Ensure quality of works and where necessary provide technical advice to the contractor;
53. Certify works performance and make arrangements for official acceptance of works by the implementing CBO and relevant authorities;
54. To conduct periodic monitoring of all water related infrastructure projects implemented within the framework of the HMP;
55. Facilitate the implementation of the activities necessary for the sustainability of all water related infrastructure projects;
56. Train CBOs on basic operation and maintenance of the water projects;
57. Prepare quarterly and annual reports regarding progress of all the community infrastructure projects under development.

Minimum requirements

Bachelors degree, in technical sciences (water engineering).

The candidate must demonstrate;

- 3 years of professional experience;
- A valid certificate for the design, construction and installation works and engineering services
- Practical experience in:
 - Development of technical designs, Bills of Quantity and implementation of water projects;
 - Supervision and monitoring of contractor and construction works in community water projects;
 - Conflict resolution and handling of group dynamics issues among community groups;
 - Working with coastal communities and relevant Government departments in implementation of water.
- Knowledge of coastal region water resource management systems
- Good command of English and Kiswahili, orally and in writing;
- Demonstrated ability to work in teams;
- Ability to work with minimum supervision;

- Solid computer skills (Windows, Excel, Word, internet);
- Sound knowledge of computer aided design software (Auto CAD, Archi CAD).

4. Selection criteria

Selection criteria for Water Engineer	Weight
• Extent of familiarity with KCDP objective and community support programmes.	10%
• Practical experience in design, implementation and monitoring of water projects.	20%
• Practical experience in working with coastal communities, including conflict resolutions and handling group dynamics issues.	20%
• Depth of knowledge on coastal water resource management systems.	10%
• Knowledge in water projects surveys, profiling and approval processes.	20%
• Knowledge in technical aspects of tendering and bids evaluation processes	10%
• Demonstrated computer literacy and using computer aided designs software	10%

F CIVIL ENGINEER

Job Title: Civil Engineer (1 Position available)

Duty Station: Coastal Counties

Project Reference: Kenya Coastal Development Project (KCDP)

Duration of Employment: One Year (renewable)

Project: KCDP is a multi-sectoral development project financed by the World Bank and GEF and hosted by the Kenya Marine and Fisheries Research Institute (KMFRI). The objective of KCDP is to improve management effectiveness and enhance revenue generation of Kenya's coastal and marine resources. Target beneficiaries are the coastal communities living within the six coastal counties, namely: Mombasa, Kwale, Kilifi, Tana River, Taita Taveta and Lamu. HazinaYa Maendeleo ya Pwani (HMP) a sub component of KCDP, is a development fund whose objective is to support coastal communities in the implementation of priority

projects that focus on natural resource management and provision of community services:

KCDP seeks to hire a Civil Engineer who will provide technical support to Community Based Organisations (CBOs) implementing infrastructure projects financed under HMP. The officer will be based at the coastal counties and report directly to the HMP Manager.

The contract period for the position is for an initial period of one year, renewable subject to positive performance review and extension of the KCDP and HMP Sub Project. There is a 6-month probation period at the start of the first assignment.

Key Tasks:

The Civil Engineer will be expected to support CBOs in the development and implementation of infrastructure projects. In close cooperation with the County Liaison Officers In-charge of the counties, the candidate will be expected to perform the following tasks:

(b) Activities related to the HMP

58. Assist CBOs in the development and reviewing of proposals, and designs pertaining to community construction projects and provide necessary comments and suggestions;
59. Carry out technical feasibility assessment of all proposed community construction projects;
60. Review technical drawings, specifications and Bills of Quantity of proposed projects and suggest improvements where necessary;
61. Assist in designing construction projects, preparation of bid documents, contract documents and technical reports;
62. Ensure conformity of all community construction projects with public health and other Government regulations and acquisition of necessary permits/approvals;
63. Participate in the evaluation of bids including assessment of offers against the original Bill of Quantity, materials specifications, competency and qualification of contractors;
64. Analyse and review the quoted unit rates against the Bill of Quantity and local market rates;
65. Where necessary provide a written report as to how much the offer deviates from internal estimate and possible reasons in case of significant deviations;
66. Supervise project implementation, ensure quality of works and where necessary provide technical advice to the contractor;

67. Certify works performance and make arrangements for official acceptance of works by the implementing CBO and relevant authorities;
68. Conduct periodic monitoring of all construction related community projects implemented within the framework of HMP;
69. Facilitate the implementation of activities necessary for the sustainability of all infrastructure projects;
70. Prepare quarterly and annual reports regarding progress of all the community infrastructure projects under development.

Minimum requirements

Bachelors' degree, in technical sciences (civil engineering).

The candidate must demonstrate;

- 3 years of professional experience;
- A valid certificate for the design, construction and installation works and engineering services
- Practical experience in:
 - Development of technical designs, Bills of Quantity and implementation of infrastructure projects;
 - Supervision and monitoring of contractor and construction works in community infrastructure projects;
 - Working with coastal communities and relevant Government departments in implementation of infrastructure projects;
 - Conflict resolution and handling of group dynamics issues among community groups.
- Knowledge and familiarity with coastal region;
- Good command of English and Kiswahili, orally and in writing;
- Demonstrated ability to work in teams;
- Ability to work with minimum supervision;
- Solid computer skills (Windows, Excel, Word, internet)
- Sound knowledge of computer aided design software (Auto CAD, Archi CAD).

4. Selection criteria

Selection criteria for Water Engineer	Weight
• Extent of familiarity with KCDP objective and community support programmes.	10%
• Practical experience in design, implementation and monitoring of infrastructure projects.	20%

Selection criteria for Water Engineer	Weight
<ul style="list-style-type: none"> • Practical experience in working with rural communities, including conflict resolutions and handling group dynamics issues. 	20%
<ul style="list-style-type: none"> • Knowledge in preparation of technical designs, Bills of Quantities and approval processes. 	20%
<ul style="list-style-type: none"> • Knowledge in technical aspects of tendering and bids evaluation processes. 	15%
<ul style="list-style-type: none"> • Demonstrated computer literacy and using Auto CAD programs. 	15%

Annex 3: Milestones in HMP

Step	Activity	Responsible Person
1. Identification of CBOs and Grant Application	○ Conduct community mobilization workshops to launch HMP	CLOs, CLM, HMP Manager,
	○ Distribute grant application templates	CLOs, CLM, HMP Manager,
	○ Receipt of grant applications	CLO
2. Project Approval	○ Appraisal of community grant applications proposals (see Annex4)	CLO
	○ Improvement of the grant application proposal	CLOs, CLM, HMP Manager, Technical Officer
	○ Forward application to PVC (Refer for approval)	CLM, HMP Manager
	○ Evaluation of proposals and screening for environmental and social impact at community level	CLO, Technical Officers
3. Community Training	○ Social Accountability and Integrity Training,	SAIC, PMC
	○ Basic of Leadership, project management, group dynamic, conflict management Social Accountability and complaint handling	PMC
	○ Procurement and Financial Management	PMC, PSC, FSC
	○ Report writing and documentation	PMC, FSC
	○ Participatory Monitoring and Evaluation	PMC
4. Project Financing	○ Confirmation of community contribution and commitment	CLO
	○ Signing of legal agreement between CIGs and KCDP	PCU, PMC
	○ Processing of project grant voucher – 1st tranche	PCU
	○ Training on financial management and procurement	Project Accountants and Procurement Specialist
	○ Disbursing project cheque/grant and project launch	CLO, CLM, HMP Manager, PCU
5. Implementation	○ Supervision and reporting on project implementation	CLO, PCU
6. Monitoring and evaluation	○ Participatory M&E	PMC, GIG
	○ Reporting	CBOs, PMCs, FSCs SAIC

Annex 4: Grant Application Template

Application Ref. No.....



KCDP Sub Project Grant Application Template For Windows 1 and 2 of Hazina Ya Maendeleo Ya Pwani - HMP

For KCDP Use only

Applicable Window: (1 or 2):	
Date Received:	
Date of Completion of Review	

SECTION 1: BACKGROUND INFORMATION OF THE APPLICANT

Title of the proposed Project			
Locality of the Project	County:		
	Constituency:		
	Name of Nearest Trading Centre:		
Name of the Group			
Goal of the Group			
Registration Status (with who? Date of certificate/registration)			
Contact Person's Name			
Position in Group			
Telephone Contact			
Email (if any)			
Postal Address			
Membership	Total:	Male:	Female:
Bank Details	Bank Name:		Account No:
Position and Names of Group Officials			
Chairperson	ID No.		Cell phone:

Secretary	ID No.	Cell phone:
Treasurer	ID No.	Cell phone:

Please attach copies of identity cards of officials

SECTION 2: ACTIVITIES PREVIOUSLY UNDERTAKEN BY THE GROUP

1. Provide information on previous activities undertaken by the community group in the past three years (for existing groups):

Activity	Funding source	Amount	Year	Collaborator

2. Provide the following information on previous activities listed above:

Objective/Activity/	Current Status	Achievement	Challenges	Actions taken to Address Challenge

Kindly use an additional paper if necessary.

SECTION 3: ACTIVITIES OF THE PROPOSED PROJECT

1. Project Title:

<hr/> <hr/>

2. What is/are the objective(s) of the project?

<hr/> <hr/> <hr/>

3. What problems does the project aim to address at the community level?

<hr/> <hr/> <hr/>

4. What are the expected results of the project (improved service delivery, enhanced environmental conservation etc)

<hr/> <hr/> <hr/>

5. How will the proposed project assist in achieving the Project Development Objective of KCDP, which is *“To improve management effectiveness and enhance revenue generation from coastal and marine resources”*?

6. Project Identification Process

i) How was the project identified?
ii) Who was involved in this process? (Please attach copies of the minutes)
iii) What events took place in developing the project idea?

7. What are the expected benefits of the project to the community and the environment?

8. Who are the expected beneficiaries of the project?

i.	No. of beneficiaries: _____ Male _____ Female _____	Households_____
ii.	Direct beneficiaries: _____ Male _____ Female _____	Households_____
iii.	Indirect beneficiaries: _____ Male _____ Female _____	Households_____
iv.	Vulnerable beneficiaries (poor, widows/widowers, orphans, physically challenged, elderly, HIV/AIDs affected/infected: _____ Male _____ Female _____)	

9. What is the project duration?

No. of months_____
Start_____End_____

10. List the collaborators you will work with (could be individuals or organizations)

No	Collaborator	Area of collaboration
1.		
2.		
3.		
4.		
5.		

11. Are there any approvals by the Government required prior to implementation of this project?
(Please list)?

12. What technical support would you need for the successful implementation of the project?
(Please list)?

13. Monitoring of Progress²

i) Who will be involved in monitoring?

ii) How frequent will the progress report be submitted to KCDP?

iii) Who will be responsible for reporting (please specify name, position in the group and contact details)?

14. How will you ensure sustainability³ of the project?

² Monitoring refers to the entire process of supervising and checking activities in progress to ensure they are on-course and on-schedule according to the stated specific objectives or targets of the project.

³ The term 'Sustainability' is broadly used to mean the capability of the project activities and its benefits being continued in the long term even after the exit of support from KCDP.

15. How will you manage and use the benefits that will accrue from the project?

16 List the in-kind contribution that the group will provide:

i) Labour		
Specific task	No. of Man-days	Value in Ksh
1.		
2		
3		
4		

ii) Materials		
Type	Quantity	Value in Ksh
1.		
2		
3		

17 Certification by the Applicant(s)

We certify that:

- 1 we have neither sought nor received funding from any party for the implementation of this project
- 2 The project has not yet commenced
- 3 The applicants are not related to any persons directly working for KCDP or partner agencies
- 4 All the information provided in this application is true to the best of our knowledge.

Chairperson:Signature:.....Date.....

Secretary:Signature:.....Date.....

Treasurer:Signature;.....Date.....

(For official use only)

Recommendation by the CLO:

Signatures of both CLOs

Name:

Signature:.....Date.....

Name:

Signature:.....Date

Official rubber stamp:

ATTACHMENT 1 – Project activities to be carried out:

No.	Activity	Who will provide advise & training (institution or person):	Timeframe
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			

Attach a separate sheet of paper if space provided is not enough

ATTACHMENT 2 – Detailed Budget:

Project cost including community contribution (the budget items to include but not limited to: inputs, equipment, training cost, labour, materials, transport, stationery, administrative and supervision cost)

No.	Activity	Budget item	No.	Unit Cost	Total Cost	Community Contribution	KCDP Grant	Total Amount
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								
11.								
12.								
13.								
14.								
15.								
16.								
Total project cost:								

No.	Activity	Budget item	No.	Unit Cost	Total Cost	Community Contribution	KCDP Grant	Total Amount
Community contribution:								
Total HMP grant applied for:⁴								

Kindly use a separate piece of paper if necessary

ATTACHMENT 3 – Group membership list

No	Name	ID No	Gender M/F	Age	Contact	Signature ⁵
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						

⁴ Note: HMP grant to the community groups should not be used to pay for group members' meetings, official allowances, purchase of land or Environmental and Social Impact Assessment.

⁵ As much as possible, individual group members should sign against their names as indicated and unless under special circumstances, they should not be less than 20 members per Common Interest Group (CIG)

15.						
16.						
17.						
18.						
19.						
20.						

Signature of the Chairperson: _____

Annex 5: Terms of Reference for Community Institutions Responsible for Project Management

Community Based Organisation (CBO)

- A Community Based Organisation (CBO) is a collection of community members who have like interest and come together to share information and work cooperatively in implementing a community project supported through HMP grant.
- CBO includes women groups, youth groups, self-help groups, etc
- The CBO will write proposals for funding of community projects
- Each CBO will form a Project Management Committee (the PMC) for its project

Project Management Committee (PMC)

Membership

- The PMC will consist of 5 members as nominated by the CBO which comprise the chairman, vice chairman, secretary, treasurer and a member.
- At least one third of the members shall be women.
- The members of this committee are answerable to the CBO.
- For any business to be conducted at least two thirds of the total members should be present.

Responsibility of the PMC

- The PMC will be responsible for the daily management of the project and liaise with PCU and CLO for facilitation and support.
- It will be responsible for carrying out project implementation through:
 - Project supervision, together with management of supplies;
 - Raising requisitions for the supplies needed in carrying out project implementation;
 - Receipt and control of procured goods/services from the procurement sub-committee
- The PMC shall be guided by written down and clear guidelines on roles, responsibilities and accountability.
- The PMC shall work in close consultation with the sub-committees and it is answerable to the CBO.

Formation of Sub Committees

- Communities implementing HMP activities will constitute sub-committees which will be in- charge of specific tasks and will be answerable to the PMC.
- The PMC will be responsible for setting up community sub-committees like:
 - Procurement sub-committee - PSC;
 - Finance sub-committee - FSC,
 - Social Audit and Integrity Committee - SAIC.
- Each and every sub-committee should consist of 3 members. The process of selecting the sub-committee members must be gender sensitive; that is, it should give equal opportunity to both men and women irrespective of their social-cultural background or ethnicity.
- The members of the sub-committee should be well-respected members of the community, honest and willing to undertake the responsibility. They should not be related to the chairperson, secretary or treasurer of the PMC.
- All the sub-committee members are answerable to the PMC through the chairperson.
- The PMC is responsible to ensure that the names of all CBOmembers, and the names of the members of each sub-committee, are posted publicly in the community, submitted to the PCU through the CLO for posting on the project website. This information should be updated on a quarterly basis.

Procurement Sub-Committee (PSC)

Procurement is the process of acquiring works, goods and services through purchase, rental and lease and by any contractual means. The objective of procurement is to ensure works, goods and services are acquired efficiently economically and effectively by considering the following:

- What to buy;
- How to buy;
- Contractual requirement available;
- Options available;
- The risks involved;
- Clear definition authority and responsibility;
- The procurement plan.

To carry out procurement efficiently, economically and effectively, the CBO:

- Should have a clear process of how authority and responsibility is placed upon different people in the group;
- Should be familiar with the options available for obtaining works, goods and services so as to select the most appropriate types of procurement;
- Should understand the advantages and risks involved in each type of procurement;
- Should understand acceptable procurement procedures to implement community projects in a way that will ensure transparency, accountability and the best value for money spent;

The CIG shall therefore set up a Procurement Sub-Committee (PSC) for procuring works, goods and services as described below:

Membership

- The PSC will consist of a minimum of 5 members as nominated by the CBO
- At least one third of the members shall be women.
- The members of this committee are answerable to the PMC
- For any business to be conducted at least two thirds of the total members should be present and a representative of the PMC.

Responsibility of the Procurement sub-Committee (PSC)

- Assist the CBO in the procurement of materials, goods and services for the project as per their procurement plan
- Prepare plans so as to guide procurement activities within the context of the work plan.
- Carry out procurement in line with the principles of value for money, efficiency, equal opportunity, and transparency.
- Ensure that all the procured goods, supplies and works are handed over to the Project Management Committee (PMC) for project implementation
- Keep all the procurement related records
- Follow up on the guarantees or complaints etc on the procured items.
- Report the details of procurement to CBO
- Enter all the items procured in the stock register

The PSC members will be trained on procurement guidelines and regulations

Finance Sub-Committee

The PMC will form a finance sub-committee to assist the PMC Treasurer in financial activities.

Membership

- The FSC will consist of a minimum of 5 members as nominated by the PMC and will be chaired by the PMC Treasurer.
- At least one third of the members shall be women.
- The members of this committee are answerable to the PMC
- For any business to be conducted at least two thirds of the total members should be present

Responsibilities of Finance sub-Committee

- Prepare and maintain all books of accounts including the cash book, community contribution book, creditor and debtors records and budget control summaries.
- Keep all financial records including payment vouchers, bank statement receipt books and reports,
- Make payments with PMC approval.
- Report all financial transactions to the PMC
- Prepare financial progress reports
- Display all financial information on the display board
- Provide all accounts and records to the Social Audit and Integrity sub-committee for auditing

The FSC members will be trained on financial management.

Social Audit and Integrity Committee (SAIC)

The PMC will constitute Social Audit and Integrity sub-Committee to be responsible for social audit of CIG activities in the community.

Membership

Members of the committee will be persons:

- Known for their integrity, honesty and commitment to community development.
- Not members of any other committee in the CBO,
- Not close relatives of PMC or community sub-committee members

Responsibilities

- Ensure that the PMC and community sub-committees constantly follow the agreed upon guidelines, rules and procedures in all their operations
- Verify the quality and quantity of the items procured by PSC.
- Verify CIG books of account and procurement records
- Report any financial and procurement irregularities with suggestions for corrections to the PMC
- Recommend applications for each tranche of project grants after verifying the status of completed project activities.
- Collect more information about complaints, conflicts and other issues when called upon by the PMC or the KCDP.

Annex 6: List of Trainings for Community Institutions Managing HMP Projects⁶

No.	Training	Target group	Duration
1.	Basic of leadership, project management group dynamic, conflict management social accountability and complaint handling	PMC, FSC, PSC and SAIC	1 day
2.	Social accountability and integrity	SAIC, PMC	1 day
3.	Procurement and financial management	FSC, PSC,PMC	1 day
4.	Participatory monitoring and evaluation	PMC, SAIC	1 day
5.	Report writing and documentation	PMC	1 day
6.	Cross cutting issues on Gender, Environment, HIV & AIDs, Social inclusion ⁷	All committees	
7.	Exchange visits	CBOMembers	3 days
8.	Risk management	All committees	1 day
9.	Business development;	SME	5 days
10.	Saving and credit for MSEs, and linkages with financial institutions;	SME	1 day
11.	Linkages with technical service providers;	SME	1 day

⁶Training No. 1-5 are critical effective project management by the communities and shall be offered after approval of the community projects but prior to disbursement of funds.

⁷Training on cross cutting issues will be conducted alongside other trainings.

Annex 7: CLO Screening Tool for HMP Projects

No	Aspect	Conformity	Remarks
1.	Group Contacts		
2.	Project has not been commenced		
3.	Project has not received any support for the same activities from other donors source		
4.	Compliance with all eligibility criteria		
5.	Technical feasibility		
6.	Financial viability		
7.	Sustainability in medium terms		
8.	Demand, use and patronage for the services by the community		
9.	Environmental and social compliance		
10.	Benefit to community/environment		
11.	Innovativeness		
12.	Replicability		
13.	Conformity with term and conditions		
14.	Availability of the required cash matching contribution		
15.	A reasonable valorization of planned in-kind contributions		
16.	Probability of compliance with record keeping and reporting obligations		

Singed by CLOs:

1) _____

2) _____

Annex 8:PVC Appraisal Tool for NRM and CS Projects

A. Natural Resource Management Window				
No	Aspect	Maximum Score %	Granted Score %	Remarks
1.	Extent of degradation of the ecosystem to be conserved	20		
2.	No of potential beneficiaries from the proposed project	20		
3.	No.of potential actors/activists engaged	10		
4.	Uniqueness and innovativeness of the proposal	15		
5.	Extent of impact on the environment and people's lives	15		
6.	Sustainability potential of the proposed project	20		
Total Score		100		

B. Community Service Window				
No	Aspect	Maximum Score %	Granted Score %	Remarks
1.	The level of need for the requested service by the community	20		
2.	Number of potential beneficiaries	20		
3.	Potential for replication in other coastal counties	10		
4.	Uniqueness and innovativeness of the proposed project	15		
5.	Extent of matching grant contribution above the minimum	15		
6.	Sustainability potential of the proposed project	20		
Total Score		100		

Annex 9: Payment Voucher**Payment Voucher****Cash/Cheque**

Name of Community: _____

Name of project: _____

Date: _____ Voucher Number: _____

PayeeName_ _____

PayeeAddress: _____

DETAILS	L.S.O/L.P.O No.	INVOICE/RECEIPT No./declaration form	AMOUNT (Kshs.)
TOTAL			

Amount in words

Kshs. _____

Cheque No. _____ Cashbook

Number _____

Prepared by: _____ <div style="text-align: center;">FSC Member</div>	Signature _____	Date _____
Reviewed by: _____ <div style="text-align: center;">Treasurer</div>	Signature _____	Date _____
Authorised by: _____ Date _____ <div style="text-align: center;">Chairman PMC</div>	Signature _____	
Authorized by: _____ <div style="text-align: center;">Vice Chairman or Secretary PMC</div>	Signature: _____	Date _____
Name of Recipient _____ I.D No _____		

Signature of Recipient _____ **Date** _____

Annex 10: Cashbook (list of receipts and payments)

Month: _____

Receipts					Payments					
Date	Received From	Receipt No.	Cheque No.	Amount (Kshs.)	Date	Payee	Payment Referencing		Cheque No.	Amount (Kshs.)
							Payment Voucher	Cashbook Number		

Prepared By: _____ Signature: _____ Date: _____

FSC 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 PMC 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 11: Bank Reconciliation Statement

CIG Account Name: _____

CIG Account Number: _____ as at _____ 20____

Description	KShs.	KShs.
Balance per Bank Statement		XXXX
Less: Unrepresented cheques (Payments in cashbook not appearing on bank statement)		
<div>Payee Dated Cheque Number</div> <div>a) _____ _____ _____</div> <div>b) _____ _____ _____</div> <div>c) _____ _____ _____</div> <div>d) _____ _____ _____</div>	(XXXX)	
Less: Receipts in Bank statements not recorded in cashbook		
<div>Source Dated</div> <div>a) _____ _____</div> <div>b) _____ _____</div> <div>c) _____ _____</div>	(XXXX)	
Add: Payments in bank statement not yet recorded in cashbook	(XXXX)	
Add: Receipts in cashbook not yet recorded in bank statement	(XXXX)	
Balance as per cashbook		

I certify that I have verified the bank balance in the cash book with the bank statement and that the above reconciliation is correct.

Prepared by: _____ Date: _____
Treasurer

Reviewed by: _____ Date: _____
Vice Chairman/ Secretary PMC

Authorized by: _____ Date: _____

Chairman PMC

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

Annex 12a: Community in Kind Contribution Book

Name and address of CIG: _____

Project Name: _____ MONTH OF REPORTING _____

Date	Contributors Name	Identity card No.	Item	Quantity	Unit cost (Kshs)	Total Cost (Kshs)	Contributor's Signature/thumb print

Prepared by: _____

Date: _____

Reviewed by: _____

Date: _____

Authorized by: _____

Date: _____

Annex 12b: Community Cash Contribution Book

Name and address of CBO:

Project Name: _____ MONTH OF REPORTING _____

Date	Contributors Name	Identity card No.	Amount (Kshs)	Contributor's Signature/thumb print

Prepared by: _____

Date: _____

Reviewed by: _____

Date: _____

Authorized by: _____

Date: _____

Annex 13: Budget Control Form

Name and address of CBO: _____

Project Name: _____

Month: _____

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)
1					
2					
3					
4					
5					
6					
7					
8					
TOTALS					

Prepared by: _____

Date: _____

Treasurer

Reviewed by: _____

Date: _____

Member FSC

Authorized by:_____

Date:_____

Chairman PMC

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

Annex 14: Outline of minute taking

1. Prayer
2. Introduction (Not always)
3. Communication from the chair/Opening Remarks
4. Reading and confirmation of previous minutes
5. Matters arising
6. Agenda
7. List of participants shall form an annex to the minutes

AOB

Annex 15: Land use Agreement Form

Land Use Agreement Form

LAND USE AGREEMENT FOR LAND PARCEL No.xxxxxx/yyyyy 1234 BETWEEN
MR./MRS xxxxxxxxxxxxxxxxxxxx AND yyyyyyyyyyyyyyyCOMMUNITY

I..... of ID No. P. O. Box..... do
hereby lease my above mentioned parcel of land to
community of P. O. Box.....

For purposes of carrying outactivity.

The terms of lease are as follows:

1. Agreed period of easement.....
2. I do not intend to reclaim the land after this easement as I have already consulted my spouse and children for up toyears
3. I will sign the easement agreement form upon the community commencement of its activities
4. I will consent to all the agreed activities to be carried out on the mentioned parcel of land
5. I will not seek rent or demand compensation for the use of the mentioned parcel of land as I have offered it for free use by the community

This easement has been signed on this day the.....of.....20.....

BETWEEN:

PMC CHAIRMAN

Name.....

ID/No.....

Date

LAND OWNER

Name.....

ID/No

Date

WITNESSED BY:

COMMUNITY MEMBER

Name.....

ID/No.....

CBOMEMBER

Name.....

ID/No

Date

Date

Annex 16a: CIG Procurement Plan For Services

What type of service is needed?	Month when needed	Needed for how many days?	Total Estimated cost (Kshs.)	Which procurement method will be used?

Signatures of the Procurement Subcommittee members:

Name	Signature	Date
_____	_____	_____
_____	_____	_____
_____	_____	_____

Annex 16b:CBOProcurement Plan For Civil Works

Item description (What to buy?)	Month when needed (When to buy?)	Quantity (How many to buy?)	Supplier (From where to buy?)	Total Estimated cost (Kshs.)	Which procurement method will be used?

Signatures of the Procurement Subcommittee members:

Name

Signature

Date

Annex 17: Requisition for Goods/Services/Works for Project**REQUISITION FOR GOOD /SERVICES/WORKS FOR PROJECT**

..... Project

S/ NO	Name Goods/Services/Works	of	Quantity	Estimated amount	Delivery Time	Place delivery	of
1							
2							
3							
4							
5							
6							
7							
8							
9							

Committee members making the requisition**Name****Signature**

1.....

.....

2

.....

3

.....

4.....

.....

5.....

.....

Approved by: Name:**Signature:****Date:****Chairman, PMC**

Annex 18: CIG Request for Quotation Form

Serial No: _____

Date: _____

Name of CIG _____

To- Name of the Supplier:

Supply and Delivery of:

So as to reach theon or before at 10 .00 O'clock

Item No.	Description of goods/services	Unit of issue	Quantity Required	Unit Price in Kshs.	Total Cost in Kshs.	Delivery date

Supplier's Name: _____

Signature and rubber stamp

Opened By: Procurement Subcommittee

Name _____ Signature _____ Date _____

Name _____ Signature _____ Date _____

Name _____ Signature _____ Date _____

CONDITIONS

1. The General conditions of contract with the CBO apply to this transaction; this form properly submitted constitutes the entire agreement.
2. The offer shall remain valid for 30 days from the closing date unless otherwise stipulated by the seller.
3. The buyer shall not be bound to accept the lowest or any other offer, and reserve the right to accept any offer in part unless the contrary is stipulated by the seller.
4. Samples of offers when required will be provided free and if not destroyed during tests will upon request, be returned at the seller's expenses.

INSTRUCTIONS

1. All entries shall be typed or written in indelible ink. Errors on the document must not be erased but should be crossed out and corrections be made and initialled by the person signing the quotation.
2. Quote for each item separately, and in units as specified.
3. This form must be signed by an authorised person and preferably it should also be rubber stamped.
4. 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.
5. 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's mailing list for the items issued hereon.

Annex 19 Quotations Comparison Form

Quotation Reference#: _____

Name and description of item to be procured:

Closing date for Quotations: _____

Quotation number	Date of Quotation	Quotation information	Decision (Reasons for selection or rejection)
		Received from: Price quoted: Delivery time:	
		Received from: Price quoted: Delivery time:	
		Received from: Price quoted: Delivery time:	

**Give reasons if the lowest price quote is not selected.

Signatures of the Procurement Subcommittee members:**Name****Signature****Date**

Instructions for filling the Quotations comparison form

The Procurement Subcommittee should fill in the details as follows:

- At the top of the Comparison Sheet, write the name of item to be procured;
- Write the quotation number in the first column;
- Write the date the quotation was received/collected;
- Write who has submitted the quote, at what price and what is the delivery time offered or availability). This information is written in column 3.
- In the last column write the points why one seller is accepted or rejected.

A seller can be rejected based on several reasons. Some of them are given below:

- 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 is unable to provide after sales support (if applicable).

Annex 20: Community Information Display Board

Community

Project (Name).....

Beneficiaries: Male..... Female Total.....

Start Date Planned..... Actual.....

Completion Date Planned..... Actual.....

	Donor Funds (Kshs)	Community Contribution (Cash) Kshs	Total Kshs
Project Cost			
Funds Received (to date)			
Expenditure items			
1			
2			
3			
4			
Total expenditure (to date)			
Balances			

Contracts Available	Closing Date
1	
2	
3	

Contracts Awarded	Date		Contractor	Amount
	Award	Due		
1				
2				
3				

For more information please contact:

PSC Chairman Name..... Tel.....

PSC Secretary Name Tel.....

PMC Chairman Name..... Tel

Annex 21a: Local Purchase Order**Order No.** _____**Date:** _____**Ordered From:** _____**Contact Person:** _____

Please deliver the following goods on or beforeto the delivery address specified under the terms and conditions stated on the reverse side of this order. If you accept these conditions return the second copy of this order signed by authorized person. Invoices must be sent without delay with the goods.

Delivery to:

	Description Of Item	Quantity	Unit Cost (Kshs)	Total Cost
TOTAL				

TOTAL COST IN WORDS**Kshs:** _____

Note: Our payment terms are strictly 14 days net after supply. Orders not supplied within 30 days are automatically void.

Prepared By: _____ Signed: _____ Date: _____

Approved By: _____ Signed: _____ Date: _____

Authorized By: _____ Signed: _____ Date: _____

Distribution of Copies

1. Retained by Supplier
2. Signed by the Supplier and returned to CBO
3. Book copy for control purpose

I acknowledge receipt of this order

Name of Supplier _____

Signed _____

Date

(Reverse of the LPO)

CONDITIONS APPLICABLE TO THIS PURCHASE ORDER

The following terms and conditions and any specifications, drawings, and additional terms and conditions which may be incorporated by reference or appended hereto are part of this purchase order. By accepting the order or any part thereof, the Supplier agrees to and accepts all terms and conditions.

1. The execution of all or part of this order is subject to the following conditions unless otherwise stated in writing. CBO reserves the right to reject any supplies not conforming to these conditions.
2. All goods covered by this order are to be met strictly in accordance with samples/specifications/schedule of requirements/brochures submitted with your quotation and accepted as the standard of supply. No alterations in any respects are permitted without prior agreement of CBO in writing.
3. Deliveries must be made within the accepted delivery period bidden for and specified in this order unless agreement has been reached and written confirmation given of the alteration. If the delivery of the goods is not effected within this period, this order may be cancelled without cost to CBO or alternatively supply may be obtained from other sources and you will be liable to defray any additional costs such action would incur.
4. All articles, material, workmanship or services covered by this order shall be the subject of CBO inspection and test at all times before, during or after completion.
5. The supplier warrants that all articles, material or services delivered or performed to be free from defect of material or workmanship and this warranty shall survive any inspection, delivery, acceptance or payment by CBO of the article, material or workmanship.
6. Goods rejected on any grounds will be returned to or collected by the Supplier at his own expense.
7. Goods are to be consigned to the address 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.
8. 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 storage.
9. The No.2 copy of this Order constitutes an acceptance of this order and must be signed and returned to the Procurement Subcommittee within 7 days. Failure to comply may be taken as non-acceptance and the order is liable to cancellation.

10. The Procurement Subcommittee will make any amendment to this order in writing and communications or enquiries relative to the order or subsequent amendment must be addressed to the Procurement Subcommittee.
11. Our payment terms are strictly 30 days net after supply. Orders not supplied within 60 days are automatically void.

Annex 21b: Local Service Order**Local Service Order No:** _____

TO: _____ _____ _____	Tenderer/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 invoice immediately to: _____

Item No	Description of Service	Cost Kshs.	
TOTAL Kshs.			

Prepared by: _____

Date: _____

Approved by: _____

Date: _____

Authorized by: _____

Date: _____

I acknowledge receipt of this offer: Name of Contractor:

Signature: _____

Date: _____

Distribution of Copies

Original: To be retained by contractor

Duplicate: To be filled by contractor and returned for attachment to contract documents

Triplicate: To be attached to Payment Voucher and invoice for payment purposes

Quadruplicate : Book copy

(Reverse of the LSO)

LOCAL SERVICE ORDER CONDITIONS

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

1. All services are to be carried out strictly in accordance with specifications given. no departure is allowed without prior agreement and in writing.
2. Orders must be examined within the period tendered unless instructions are given to the contrary. If the service is not effected as agreed, this order is liable for cancellation and/or payment penalty
3. 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 and/or workmanship.
4. receipt of this order should be acknowledged on the duplicate copy which should be sent within seven (7) days

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

Annex 22a: Sample Service Contract

(This Annex provides a standard sample Service Contract document as an example. In general terms, CIG can sign such a contract with Contractor/Supplier based on a lump-sum cost estimate for the delivery of well defined outputs and outcomes).

CONTRACT FOR CONSULTING SERVICES

CONTRACT

THIS CONTRACT ("Contract") is entered into this *[insert starting date of assignment]*, by and between *Name of CBO* ("the Client") having its principal place of business at *[insert Client's address]*, and *[insert Name of Consultant]* ("the Consultant") having its principal office located at *[insert consultant's address]*.

WHEREAS, the Client wishes to have the Consultant perform the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. Services

- (i) The Consultant shall perform the services specified in Annex A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract ("the Services").
- (ii) The Consultant shall provide the personnel listed in Annex B, "Consultant's Personnel," to perform the Services.
- (iii) The Consultant shall submit to the Client the reports in the form and within the time periods specified in Annex C, "Consultant's Reporting Obligations."

2. Term

The Consultant shall perform the Services during the period commencing *[insert starting date]* and continuing through *[insert completion date]*, or any other period as may be subsequently agreed by the parties in writing.

3. Payment

A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed *[insert amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs as well as any tax obligation that may be imposed on the Consultant.

B. Schedule of Payments

The schedule of payments is specified below:

[insert amount and currency] upon the Client's receipt of inception report and a copy of this Contract signed by the Consultant;

[insert amount and currency] upon the Client's receipt of the draft report, acceptable to the Client; and

[insert amount and currency] upon the Client's receipt of the final report, acceptable to the Client. [insert amount and currency] Total

C. Payment Conditions

Payment shall be made in [specify currency], no later than 30 days following submission by the Consultant of invoices in duplicate to the Coordinator designated in paragraph 4.

4. Project Administration

A. Coordinator.

The Client designates Mr. /Ms. [insert name] as Client's Coordinator; the Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables by the Client and for receiving and approving invoices for the payment.

B. Reports.

The reports listed in Annex C, "Consultant's Reporting Obligations," shall be submitted in the course of the assignment, and will constitute the basis for the payments to be made under paragraph 3.

5. Performance Standards

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

6. Confidentiality

The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

7. Ownership of Material

Any studies reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.

8. Consultant not to be engaged in Certain Activities

The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.

9. Insurance

The Consultant will be responsible for taking out any appropriate insurance coverage.

10. Assignment

The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent.

11. Law Governing Contract and Language

The Contract shall be governed by the laws of *[insert government]*, and the language of the Contract shall be *[insert language]*.

12. Dispute Resolution

Any dispute arising out of the Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country.

FOR THE CLIENT

FOR THE CONSULTANT

Signed by _____

Signed by _____

Title: _____

Title: _____

List of Annexes (For this Contract)

Annex A: Terms of Reference and Scope of Services *[describe what has to be delivered – project proposal]*

Annex B: Consultant's Personnel *[list who will be involved in implementing the project]*

Annex C: Consultant's Reporting Obligations *[define what reports will be expected]*

Annex 22b: Contract for Works

Name and Address of CIG _____

This Agreement is made between the Representative of the _____ [*name and address CIG*] of the one part, and _____ on behalf of the contractor [*name and address of the supplier*] of the other part.

It has been agreed as follows:

Clause 1 - Contract Objectives

This contract is for.....
.....

Name of Micro project.....

Located at.....the village of

The works assigned to the contractor consist of:
[*a detailed explanation or reference to a description/design/list of quantities in an attachment*]

Clause 2 - Subcontracting

The contractor may subcontract one or several parts of his works only under his entire responsibility.

Clause 3 - Control of the Work Execution

The execution of this contract is controlled by the Committee of the [*name of CIG*]. The Kenya Government, that provides a major part of financing for the Micro project, may send its own officers to inspect the work being done or completed. In case of non conformity to the norms or rules of the profession, the chair of the CIG, upon a report of the person in charge of the Government's inspection unit, will bring to the attention of the contractor the breach of contract. The works poorly executed shall be repaired or improved by the contractor.

Clause 4 - Responsibility

The contractor is responsible during the execution of the work for the damages and accidents of any kind caused to a third party by the personnel and equipment of the contractor.

Clause 5 - Time Limit for the Work Execution

The whole work should be completed withindays/months from the date of the signature of the contract.

Clause 6 - Liquidated Damages

In the event that works specified in the contract are not completed on schedule, the contractor shall be subject to a penalty of _____ of the price of the works ordered per calendar day of delay, except in the case of force majeure, that would need to be confirmed by the Kenya Government's inspection unit appointed by the authority of the [name of CIG].

Clause 7 - Interim Receipt

The interim receipt will be acknowledged in a report and issued upon completion of the works. A certificate of acceptance will be provided by the Committee of [name of CIG], which may first request an opinion from a Kenya Government-appointed inspection team.

Clause 8 - Final Receipt

The final receipt will be acknowledged in a report of the Committee of [name of CIG], who may seek the prior opinion of a Kenya Government inspection unit appointed by the authorities responsible for the implementation of the [name of the Government/IDA financed project].

Clause 9 - Amount Of the Contract

The amount of the contract is Ksh

Clause 10 - Schedule of Payments

The schedules of payments are:

[An example]

Item	Implementation Stage	Description	Amount
1.	Advance for start up		10%
2.	First Stage	e.g. site clearing and Foundation	30%
3.	Second stage	Walling and roofing	30%
4.	Third stage	Painting and fittings	25%
5.	Fourth stage	Retention	5%

Clause 11

This agreement is signed as follows:

Done at -----[place and date]

(a) Names of CBO Representatives:

Signature: _____ Date _____

(b) Name and position of Representative of the Contractor:

Signature _____ Date _____

Annex 23a: Goods Received Note/Receipt

Receipt No: _____

Name and address of CIG

Receiving official of CIG _____

Name and of address of supplier: _____

Date Of Supply	Description	Quantity	Unit Price	Value
TOTAL				

GOODS HAVE BEEN CERTIFIED AS CORRECT RECEIPTS.

Name of receiving Officer:_____ Signature:_____ Date:_____		
Name of Certifying Officer:_____ Signature:_____ Date:_____		

Annex 23b: Storage Management Record

Receipt or Issue Note No: _____

Storage Record for Item _____ (write item name)

Date	Received or Issued?	From or To (Name)	How much or many?	How many returned back?	Balance (in- hand)	Checked by

Use separate sheets for different Items.
Keep all sheets filed in a file folder.

Reviewed by: _____

Annex 23c: Unofficial receipt for goods

The need for such receipts usually arises when the supplier of goods does not have a receipt in his/her business name. Since every expenditure must have a receipt, the PMC may write a receipt on behalf of the supplier or seller and obtain the seller's signature and/or thumb impression. A sample of such a receipt is presented below:

Name of the business/seller: _____

Address of business/seller: _____

Date: _____

Items sold:

Serial No	Item	Unit description	Cost per unit Kshs	Quantity	Total cost
				TOTAL COST Kshs.	

Signature/Thumb print of the business/seller:

Tel No: _____

Annex 24: Monthly Financial Report**MONTHLY FINANCIAL REPORT**

Name of CIG.....
 Reporting period:
 Micro-Project.....

RECIEPTS AND PAYMENT ACCOUNT

Receipts			Payments		
S/No	Particulars	Kshs	S/No.	Particulars	Kshs
	Total Receipts(Kshs)			Total Payments (Kshs)	

Total receipts: (Kshs).....
 Total Payments (Kshs).....
 Closing balance (Kshs).....

Challenges encountered:

- 1.....
- 2.....
- 3.....

Compiled by:

Name.....
 Signature.....
 Date.....

Treasurer, PMC

Certified by:

Name.....
 Signature.....
 Date.....

Chairman, PMC

Annex 25: Report Format for Backstopping Officer

REPORT FORMAT FOR BACK STOPPING OFFICER

Group Name.....
Sub-County.....Division.....
Location.....Sub location.....
Date of Visit...../...../.....

CIG members met (Number/Names)

Progress made in line with set targets (Quantitative/qualitative assessment)

Constraints noted

Recommendations

Any other comments

Name of officer _____

Department /institution _____

Designation _____

Signature ____Date

Annex 26: Monthly Activity Report Format

Name of the group.....

Micro project type.....

Month of reporting.....

No	Planned activity for the month	Budget as was in the proposal (KSH)	Activities completed	Activities not completed	Actual amount spent on the activity (KSH)
1					
2					
3					
4					
5					

Planned activities for the next month and budget

Activity	Budget
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.

Challenges and Lessons Learnt

1.
2.
3.
4.
5.

Annex 27a: Screening Form

KENYA COASTAL DEVELOPMENT PROJECT (KCDP)

ENVIRONMENTAL SCREENING FORM

PART A: GENERAL INFORMATION

Project Name and Location

1. Name of Subproject:.....
2. Sector:.....3. Name of the CBO / Group:.....
4. County:..... 5. Location and Village:.....
6. Subproject Site Coordinates
7. Approving Authority:.....

Details of Individual Responsible for Completion of Form A:

- 1 Name:2. Job title:.....
3. Tel. Number:.....4. E-mail Address:
4. Date:..... 5. Signature.....

PART B: DESCRIPTION OF THE ENVIRONMENTAL SITUATION AND IDENTIFICATION OF ENVIRONMENTAL AND SOCIAL IMPACTS

Brief Project Description

- I. Describe the sub-project location, siting and ecological environment around sub-project area. A sketch map may be attached.

II. State whether the sub-project would impact on the following:

	Description	Yes	No
1.	Soil Erosion	1.	
a	Would implementation of the subproject create a risk of soil loss, erosion or salinity?		
b	Would the subproject affect stability of slopes directly or indirectly?		
2.	Water Use / abstraction	Yes	No
a	Will the subproject increase demand of water or cause loss of available ground water?		
b	Would the subproject cause deterioration of ground water quality?		
3.	Disease Vectors	Yes	No
a	Are there known diseases likely to be transmitted through vector species in the subproject area?		
b	Will the subproject create or increase habitat for vector species?		
4.	Contamination and Pollution Hazards	Yes	No
	Will the subproject create risk of contamination and pollution hazards from latrines, dump sites, industrial discharge, wastewater discharge, etc.?		
5.	Energy Source	Yes	No
a	Will the subproject increase the local demand for conventional energy sources or create demand for other energy sources?		
b	Will the subproject decrease the local supply of conventional energy sources?		
6.	Project Construction / Implementation and Maintenance	Yes	No

a	Will subproject implementation/construction require consideration of any health and safety issues?		
b	Will the subproject generate non-hazardous waste?		
c	Will the subproject require frequent maintenance and repair?		
7.	Sensitive Habitats/Areas of High Biodiversity	Yes	No
a	Will the subproject be located in or affect any environmentally sensitive area such as rivers, lakes, seashore, marsh, swamp, flood plains, estuaries, mangrove forest, sea grass beds, protected area/parks?		
b	Will subproject affect the habitat of any endangered species or migratory routes for birds or wildlife?		
8.	Cultural and Religious Values	Yes	No
	Will the subproject adversely affect religious and/or cultural attitudes of area residents, or interfere with archaeological or historical sites?		
9.	Resource / Land access and Livelihoods	YES	NO
a	Will people's assets or sources of livelihood be impacted negatively?		
b	Will the subproject interfere with or block access to community resources such as water, grazing land or agricultural land, or create conflicts/competition for resources among local communities?	YES	NO
c	Will the subproject adversely affect existing or potential tourist resources or recreation attractions?	YES	NO
10.	Hazardous Waste		
	Will the subproject result in production of hazardous waste or large quantities of solid or liquid waste?		

PART C: CONCLUSION

Summary	Safeguard Requirements
All the above answers are "No"	If all the above answers are "No", there is no need for further action.

There is at least one “Yes”	If there is at least one “Yes”, to questions no 1-6 then a Simple Environmental Review (ER) of impacts and development of an EMP would be required.
There is at least one “Yes” on 7,8,9 and 10	If there is at least one “Yes”, to questions no. 7- 10 then an Environmental Project Report (EPR) should be prepared
Which courses(s) of action do you recommend? (Please tick one)	
1) No further action since sub-project has no impacts.	
2) Simple Environmental Review (ER) and development of an EMP since sub-project may create a few minor impacts. The proponent may use standardized EMP as a guide	
3) EIA Project Report to be prepared and submitted to NEMA for review. NEMA may clear the project report or require EIA Study to be undertaken.	
Any other recommendation (Please explain).	
This form has been completed by:	
Name: _____	
Title: _____	
Signature: _____ Date: _____	

PART D: REVIEW AND DIRECTION BY NEMA

Comments and Direction:

Name: _____
Title: _____
Signature: _____ Date: _____

Annex 27b: Simple Environmental Review (SER) Form for Minor Impact Projects

[illegible]

Date: _____

Report Approved By:

Name: _____

Position: _____

Signature: _____

Date: _____

Annex 27c: EMP FOR CULTURE AND TOURISM PROJECTS

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Clearance of vegetation to create access routes for conservation sites	<ul style="list-style-type: none"> Restore vegetation immediately after the works; 	Vegetation restored	HMP / Communities
Too many visitors (exceeding carrying capacity)	Carrying capacity assessment	Capacity assessment done and appropriate recommendations implemented	KCDP
Stalking wildlife / birds	Develop strict anti-stalking rules and post warning signs	Rules implemented and signage posted	HMP
Deforming the natural face of caves during construction	Maintain the physical & natural face blend with the environment	Natural face of caves retained	HMP
Reduced access to locals	<ul style="list-style-type: none"> Develop community partnership frameworks Develop community tourism participation facilities 	Number of complaints received from locals	CLOs
Low benefit sharing	<ul style="list-style-type: none"> Train local community on benefits & ownership Establish local management team Develop benefit sharing structures Provide employment to the locals 	<ul style="list-style-type: none"> Training records Local management team established and benefits sharing structures in place Percentage of locals employed 	CLOs / Communities
Inadequate sanitary facilities resulting into soiling of caves and the neighbourhood	<ul style="list-style-type: none"> Provide adequate sanitary facilities to cater for staff and guests 	Sanitary facilities provided	KCDP
Littering	<ul style="list-style-type: none"> Provide litter bins Train the locals to use the bins & on environment management in general 	<ul style="list-style-type: none"> Litter bins available Training records 	KCDP

Low environmental and safety awareness	<ul style="list-style-type: none"> • Improved signage • Improve compliance promotion 	<ul style="list-style-type: none"> • Signage in place • No of awareness campaigns conducted 	HMP
Interaction with tourists could interfere with culture of local communities and create negative effects such as prostitution and child sex tourism	<ul style="list-style-type: none"> • Enlighten communities on negative effects of tourism • Sensitization on child sex tourism & other vices • Provide restriction / adult guide to children 	<ul style="list-style-type: none"> • No of tourism awareness campaigns conducted • Community sensitized on child sex tourism 	KCDP
Disposal and selling of cultural artefacts	<ul style="list-style-type: none"> • Initiate a cultural artifacts assessment and preservation programme; • Provide designated marketing outlets selling authorized art such as curios 	<ul style="list-style-type: none"> • Cultural artifacts assessment undertaken • Marketing outlets available for authorized art 	KCDP
Family conflicts	Provide family counseling programmes in the area	Counselling programmes in place	HMP
Risk of spread of communicable diseases such as HIV/Aids	<ul style="list-style-type: none"> • Initiate HIV/Aids prevention programmes such as Voluntary Counseling and Testing, Peer Counseling etc.; • Increase awareness by use of promotional materials such as T-shirts, Caps and stickers bearing HIV/Aids prevention messages 	<ul style="list-style-type: none"> • HIV/Aids prevention programmes in place; • Condom outlets established • Promotion materials distributed 	HMP
<ul style="list-style-type: none"> • Destruction of archaeological sites /treasures during construction 	<ul style="list-style-type: none"> • Contact the cultural agency NMK for direction on professional excavation that would conserve artifacts and involve NMK to undertake retrieval and preservation of chance finds • Design an archeological & artifacts management plan 	Reports of Archeological Impact Assessment or site cultural assessment reports prepared by NMK	KCDP

<ul style="list-style-type: none"> • Defacing of artefacts • Illegal collection / sale of artefacts- 	<ul style="list-style-type: none"> • Establish an artifacts preservation programme in liaison with NMK • Stop illegal collection 	<ul style="list-style-type: none"> • Conservation programme in place 	KCDP
Risk of fall into caves and head injury from sharp overhead rocks	<ul style="list-style-type: none"> • Supply and enforce use of hard hats (helmets) by both visitors and staff • Ensure all persons entering the caves have closed shoes • Post visible signage at entrance into caves 	<ul style="list-style-type: none"> • PPE provided and used • Safety regulations enforced • Visible signage posted 	HMP
Risk of snakebites and sting from indigenous insects resident in caves	Include anti-snake bite and anti-sting medication as part of first aid medicament	Medication for snake bites and sting provided	HMP
Walkthrough by large number of tourists may cause environmental degradation through trampling vegetation and harvesting local flora	<ul style="list-style-type: none"> • Create footpaths / walkways in conservation areas and enforce use by inducting all guests prior to accessing the caves • Initiate strict anti-harvesting regulations and post warning notices at entrance of caves 	<ul style="list-style-type: none"> • Footpaths created and use enforced; • Anti-harvesting regulations enforced and warning signs posted. 	HMP

Annex 27d: EMP for Water Supply and Conservation

EMP FOR WATER SUPPLY AND CONSERVATION PROJECTS

TYPE OF PROJECT	POTENTIAL IMPACT	MITIGATION MEASURES	RESPONSIBLE
Sinking of Boreholes	<ul style="list-style-type: none"> • Clearance of vegetation • Depletion of underground aquifers • Contamination ground water by sewage & latrines (minerals etc.) • Salinity ingress/intrusion of sea water if near the sea • Declining yields with use • Collapse of borehole under pressure head • Noise during sinking would be a nuisance to residents 	<ul style="list-style-type: none"> • Establish aquifer yields • Hydrological surveys and studies and obtain abstraction permits • Lining of the wells while drilling • Maintaining standard well distance in line with WRMA requirements • Establish a management team to control abstraction • Rationalize on number of wells for particular aquifer after studies of aquifer yield • Establish salinity intrusion 	KCDP
Rainwater harvesting	<ul style="list-style-type: none"> • Contamination from dirty roofs (from accumulated dust or bird droppings); • Contamination from rusty roofs • Contamination from painted roofs • Contamination from accumulated tank residues - algae 	<ul style="list-style-type: none"> • Avoid trapping of first rains to allow for cleaning of roofs; • Avoid collection of rainwater from painted roofs • Regularly clean the water tanks • Clean roofs after prolonged droughts 	Communities
Piping and plumbing	<ul style="list-style-type: none"> • Generation of solid waste • Cutting trenches through farms • Cutting trenches across paths & roads 	<ul style="list-style-type: none"> • Seek approval of owners • Reinstatement after laying pipes • Post warning signs during construction works 	HMP
Water tank construction	<ul style="list-style-type: none"> • Trampling on flora • Collapse of structure • Contamination from accumulated tank residues - algae 	<ul style="list-style-type: none"> • Restore disturbed vegetation after construction • Involve competent engineers in design and supervision • Regular cleaning of tank 	HMP

Water Pan	<ul style="list-style-type: none"> • Removal of vegetation and soil overlay • Overconcentration of livestock may destroy flora in neighborhood of pan • Contamination from livestock urine; • Risk of accidental fall into pan • Degradation of immediate catchment • Siltation from run offs • Overspills/flooding • Breeding ground for disease vectors such as mosquitoes. 	<ul style="list-style-type: none"> • Heap and firm soil to create wall of pan • Install drinking trawls for livestock & pipe into them • Install taps to draw water from the pans • Educate the public on the risks • Initiate catchment conservation and erosion control measures • Introduce mosquito larvae eating fish • Initiate a regular desilting programme • Establish a management team to oversee utilization 	CLOs / Communities
Dam Rehabilitation	<ul style="list-style-type: none"> • Waste generation • Vegetation Clearance • Potential contamination of water by pollutants in the vicinity of well • Possibility of fall into dam leading to drowning, injury or death • Possible collapse of well during excavation • Conflict arising from use of facility 	<ul style="list-style-type: none"> • Segregate waste and dispose appropriately • Restore disturbed vegetation after construction • Educate public on fall risks • Involve personnel in design and supervision • Establish a management team to oversee utilization 	HMP /Communities
Construction of Sand Dams	<ul style="list-style-type: none"> • Accidental fall into dam • Generation of solid waste • Potential contamination of water • Vegetation Clearance • Conflict arising from use of facility 	<ul style="list-style-type: none"> • Educate public on fall risks • Segregate waste and dispose appropriately • Restore disturbed vegetation after construction • Establish a management team to oversee utilization 	HMP / Communities
Shallow well	<ul style="list-style-type: none"> • Vegetation Clearance • Potential contamination of water by pollutants in the vicinity of well • Possibility of fall into well leading to drowning, injury or death • Possible collapse of well during excavation • Generation of waste during construction • Conflict arising from use of facility 	<ul style="list-style-type: none"> • Restore vegetation upon completion of works • Maintaining standard well distance in line with WRMA requirements • Educate public on fall risks • Involve competent personnel in design and supervision • Segregate waste and dispose appropriately • Establish a management team to control abstraction 	HMP / Communities

Annex 27e: EMP for Small Scale Infrastructure Projects

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Generation of Dust	<ul style="list-style-type: none"> Sprinkle water in affected areas and access roads if applicable; Bulk materials to be kept in a stockpile and covered to avoid being spread by wind; Workers to use dust masks 	<ul style="list-style-type: none"> Access roads watered Number of reported cases from affected communities PPE provided and used 	Contractor
Noise and Vibration	<ul style="list-style-type: none"> Workers to be provided with ear plugs; Works be done only during the day if project is located in residential area; Equipment to be regularly maintained 	<ul style="list-style-type: none"> PPE provided and used Number of reported cases from affected communities Maintenance records 	Contractor
Solid waste from construction debris and packaging materials	<ul style="list-style-type: none"> Develop and implement an effective waste management plan; Emphasize on waste segregation, reuse, recycling Waste to be handled by licensed waste contractors 	<ul style="list-style-type: none"> Waste management records maintained Records of contractor licenses 	Contractor
Clearance of vegetation	<ul style="list-style-type: none"> Replant vegetation in areas not occupied by the infrastructure 	<ul style="list-style-type: none"> Vegetation replanted upon completion of construction 	Contractor
Infiltration of project area by migrant workers impacting on culture	<ul style="list-style-type: none"> Use local labour for non-specialised works such as manual works, drivers, messengers and other categories of unskilled labour 	<ul style="list-style-type: none"> Percentage of local workers workers engaged for non-specialised works 	Contractor
Risk of spread of communicable diseases such as	<ul style="list-style-type: none"> Initiate HIV/Aids prevention programmes such as Voluntary Counseling and Testing, Peer Counseling etc.; 	<ul style="list-style-type: none"> Increase in use of VCT centres; Number of awareness campaigns conducted 	HMP

HIV/Aids	<ul style="list-style-type: none"> • Increase awareness by use of promotional materials such as T-shirts, Caps and stickers bearing HIV/Aids prevention messages 		
Health and Safety concerns	<ul style="list-style-type: none"> • Provision and use of prerequisite PPE; • Engage competent supervisory staff comprising of an experienced safety officer to enforce safety regulations; • Training of staff on safety regulations; • Provision of well-equipped first aid boxes and training of first aid personnel • Undertake periodical safety inspections and audits to review safety awareness levels; • Provide simple transport equipment such as wheelbarrows and handcarts (<i>mikokoten</i>) to reduce manual handling. 	<ul style="list-style-type: none"> • PPE provided and used • Qualified and experienced staff available at site; • Training records available • First aid boxes available and well stocked • Inspection records • Simple transport equipment provided and used 	Contractor
Increase in water demand	<ul style="list-style-type: none"> • Conserve water through rainwater and storm water harvesting; • Initiate water conservation awareness 	<ul style="list-style-type: none"> • Rain / storm water harvesting initiated • Water conservation messages posted 	HMP / Contractor
Potential oil spill from fuels and lubricants stored at the site	<ul style="list-style-type: none"> • Limit quantity of hydrocarbons stored at site by procuring on need basis • Ensure availability of spill containment facilities 	<ul style="list-style-type: none"> • Records of hydrocarbon quantities and stock-out dates; • Spill containment facilities available 	Contractor
Sanitary waste from flush toilets	<ul style="list-style-type: none"> • Install waste treatment facilities such as septic tank and soak pit 	<ul style="list-style-type: none"> • Waste treatment facilities available 	KCDP
Collapse of structures	<ul style="list-style-type: none"> • Engage competent engineers and architects for design and supervision 	<ul style="list-style-type: none"> • Competent supervisory staff engaged 	HMP / Contractor
Generation of Liquid Waste	<ul style="list-style-type: none"> • Ensure liquid waste is not mixed up with solid waste since this will compromise segregation; • Liquid waste to be collected and stored in proper sealed containers 	<ul style="list-style-type: none"> • Appropriate collection and disposal of liquid waste 	Contractor

	<ul style="list-style-type: none">• Liquid waste to be disposed in appropriate dug pits		
--	---	--	--

Annex 27f: EMP for Sanitation and Hygiene Projects

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Clearance of vegetation to create room for toilets	<ul style="list-style-type: none"> Restore vegetation immediately after the works; Prepare nursery or source seedlings from existing nursery 	<ul style="list-style-type: none"> Vegetation replanted in area not covered by the construction Availability of source nurseries 	HMP
Contamination of groundwater from pit latrines and soakage pits	<ul style="list-style-type: none"> Ensure pit latrines and soakage pits are sited far away from boreholes and wells; During excavation of soakage pits and pit latrines ensure that water table is not reached 	<ul style="list-style-type: none"> Distance to nearest well; Depth of latrine vis-à-vis water table 	HMP
Health and Safety risks during minor construction works	<ul style="list-style-type: none"> Provision and use of prerequisite PPE, specifically safety shoes/gumboots, helmets and hand gloves Engage competent supervisory staff and enforce safety regulations; Training of staff on safety regulations; Provision of well-equipped first aid boxes and training of first aid personnel Provide simple transport equipment such as wheelbarrows and handcarts (<i>mikokoteni</i>) to reduce manual handling. 	<ul style="list-style-type: none"> PPE provided and used Qualified and experienced staff available at site; Training records available First aid boxes available and well stocked Transport equipment provided 	Contractor
Risk of fall into open pits during construction	Ensure pits are covered at all times	Covered pits	Contractor
Generation of solid waste such as construction debris, waste timber,	<ul style="list-style-type: none"> Waste to be appropriately segregated and reused or recycled where applicable; Garbage and litter to be disposed at approved dump sites by licensed waste contractors in line with waste management regulations 	<ul style="list-style-type: none"> Waste management records Waste transporter license and consignment notes 	Contractor

packaging waste			
Sludge from pit latrines	<ul style="list-style-type: none"> • Backfill top of latrine with soil when full and build another; • Build twin latrines that are shallow and can be used after biological degradation using catalyst such as ash; • Construct sludge disposal pits to take backflow when main pit is full 	<ul style="list-style-type: none"> • Pit latrines constructed with appropriate overflow mitigation option 	HMP
Increase in water demand for construction and sanitation (flush toilets)	<ul style="list-style-type: none"> • Conserve water through rainwater water harvesting; • Initiate water conservation awareness 	<ul style="list-style-type: none"> • Rain water harvesting initiated • Water conservation messages posted 	
Generation of dust during construction	<ul style="list-style-type: none"> • Sprinkle water in affected areas to suppress dust; • Bulk materials to be kept in a stockpile and covered to avoid being spread by wind; • Provide workers with dust masks and enforce use 	<ul style="list-style-type: none"> • Access roads watered • Number of reported cases from affected communities • PPE provided and used 	Contractor
Odour / foul smell would be a nuisance and excrement may attract flies or mosquitoes causing diseases	Construct ventilated pit latrines that would allow free flow of air and eliminate bad smell and flies	Pit latrines in subproject areas constructed with vent pipes	HMP / Contractor

Annex 27g: EMP for Waste Management

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Cuts and pricks from sharp objects hidden in the waste may cause injuries during collection	<ul style="list-style-type: none"> Provide and enforce use of PPE such as hand gloves and gumboots. Avoid handling of biomedical waste that is likely to contain sharps 	<ul style="list-style-type: none"> PPE provided and used Waste tracking records indicating type and source 	HMP / Communities
Lack of PPE	<ul style="list-style-type: none"> Provide adequate PPE before deploying workers to sites Train workers on effective use of PPE 	<ul style="list-style-type: none"> PPE provided and used; Training records 	HMP
Overflow of waste at collection sites due to inadequate waste reception facilities	<ul style="list-style-type: none"> Liaise with the County Government to enlarge waste receptors Liaise with the County Government to increase frequency of emptying of receptors 	<ul style="list-style-type: none"> No overflow of waste at reception points 	CLOs / Communities
Poorly designed reception facilities leading to spread of waste by action of air or storm water	Consult with the County Government to improve on design of waste reception facilities by providing covers and lockable shutters	Covers and lockable shutters provided	HMP
Cross contamination of recyclable waste due to lack of, or improper segregation	<ul style="list-style-type: none"> Undertake segregation of waste before dumping. Waste to be separated into categories such as metal, plastic, paper so as to enhance possibility of recycling 	<ul style="list-style-type: none"> Waste collection / segregation records 	Communities

Negative impact on public health due to poor containment – receptacles may be accessed by children	<ul style="list-style-type: none"> Waste receptacles to be closed to prevent access by minors. Receptacle area to be fenced using barbed wire where possible 	<ul style="list-style-type: none"> Closure of receptacles and fencing / isolation of waste reception areas 	HMP / Communities
Littering during transportation of waste	<ul style="list-style-type: none"> Ensure any waste falling off wheelbarrows and <i>mikokoteni</i> are loaded back and transported to receptacle. County Government to ensure garbage collection trucks are not overfilled to the extent of scattering litter 	<ul style="list-style-type: none"> Waste transport routes clear of spills or droppings 	Communities
Odour	<ul style="list-style-type: none"> Waste receptacles to be located far away from residential areas, other occupied buildings and busy streets; Receptacles to be emptied frequently to prevent decomposition 	<ul style="list-style-type: none"> Distance of receptacles from residential areas No odour at reception points 	CLOs
Contamination of soil in the neighbourhood of reception facility	Avoid overflow of waste receptors by adopting mitigation measures proposed above	No overflow at reception points	CLOs / Communities
Contamination of nearby surface water through leachate	Ensure reception facilities are located far away from surface water / surface water drains	Distance of reception facilities from surface water bodies and drains	CLOs

Annex 27h: EMP for Forest Conservation and Management

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Conflict between agricultural activities and conservation as a result of farm tree planting	<ul style="list-style-type: none"> Restrict forestry activities to non-agricultural areas Develop a Zoning plan 	<ul style="list-style-type: none"> Forestry activities undertaken away from prime agricultural areas Availability of zoning plans 	KCDP
Potential siltation of water resources in project area during excavation of pits	<ul style="list-style-type: none"> Schedule for pitting at onset of rains; Promptly plant seedlings and backfill pits to limit effects of siltation 	<ul style="list-style-type: none"> Pitting programmes / plans vis-à-vis timing of rains Seedlings promptly planted 	HMP / Communities
Soil erosion as a result of ground preparation during the early stages	Plant trees in affected areas to improve vegetation cover	Reforestation undertaken	CLOs/ Communities
Generation of solid waste such as plastic bags and sacks	Collect solid waste and dispose as per waste management regulations	Waste disposed in line with waste management regulations	Communities
Pressure on water resources due to increased demand of water for watering seedlings	Initiate alternative sources of water such as rainwater harvesting and storm water harvesting for watering seedlings	Rainwater harvesting and storm water harvesting initiated	Communities
Potential ground and surface water pollution due to use of fertilizers or	Use only organic fertilizers and avoid use of herbicides	Environmentally friendly fertilizer used	HMP

herbicides			
Introduction of exotic species would threaten existence of indigenous species, with possibility of extinction	Give priority to indigenous species	Exotic species avoided	HMP
Potential forest fires	<ul style="list-style-type: none"> Public awareness campaigns and provision and maintenance of firefighting equipment Involve communities in periodical fire drills to enhance firefighting capability and overall fire safety preparedness 	<ul style="list-style-type: none"> Number of awareness campaigns conducted Fire drills conducted and records maintained 	CLOs
Inappropriate tree species selection	<ul style="list-style-type: none"> Consult farmers & Kenya Forestry Service for species selection 	<ul style="list-style-type: none"> Records of discussions with farmers and Kenya Forestry Service 	HMP
Suppression of regeneration due to overgrazing	Control livestock grazing	Grazing programme in place that supports regeneration	HMP
Restricted access to forested areas	<ul style="list-style-type: none"> Allow controlled access for medicinal & minor forest products (honey etc.)- Establish a local management system/institution/forest group to manage permission issues Establish a tree nursery in the area Allow for natural regeneration(zoning off) Establishing a training & awareness process 	<ul style="list-style-type: none"> Controlled access granted; Management committee set up; No of tree nurseries established in area Training records 	HMP
Inappropriate mangrove	Consult KMFRI and fisheries department for species selection	Records of Discussion with KMFRI and SDF	HMP

species selection			
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Annex 27i: EMP for Soil Conservation / Riverbank Protection

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Building of erosion control structures such as terraces would result into disturbance of soil	<ul style="list-style-type: none"> Back fill excavated areas once terraces are in place 	<ul style="list-style-type: none"> Erosion control structures in place 	Communities
Terraces might reduce the area available for cultivation	<ul style="list-style-type: none"> Ensure terraces are well spaced to leave room for cultivation 	<ul style="list-style-type: none"> Terraces well-spaced 	CLOs
Vegetation clearance to create room for terraces	<ul style="list-style-type: none"> Restore vegetation immediately after the works 	<ul style="list-style-type: none"> Evidence of revegetation 	Communities
Pegging of riparian reserves would require cutting of twigs	<ul style="list-style-type: none"> Import twigs to ensure sensitive flora are not harvested or mutilated 	<ul style="list-style-type: none"> Pegs made from non-sensitive flora 	HMP
Restoration of environmentally significant areas may cause boundary conflicts	<ul style="list-style-type: none"> Sensitize communities neighboring riparians Institute appropriate management regimes 	<ul style="list-style-type: none"> Sensitization workshops held Management committee in place and conflicts managed in line with the GRM outlined in ESMF 	HMP
Terraces may trap storm water and become habitat for mosquitoes	<ul style="list-style-type: none"> Institute control measures such as spraying approved insecticides 	<ul style="list-style-type: none"> Incidence of water-borne diseases 	CLOs

Annex 27j: EMP for Energy Conservation / Alternative Energy

POTENTIAL IMPACT	MITIGATION MEASURES	MONITORABLE INDICATORS	RESPONSIBLE
Generation of smoke during manufacture of briquettes	Conduct burning in controlled conditions by carbonizing feedstock to drive off volatile compounds	<ul style="list-style-type: none"> No smoke during manufacture of briquettes Record of complaints from neighbours 	CLOs/Communities
Use of charcoal dust as raw material for briquettes may encourage charcoal burning hence deforestation	Use alternative sources of raw materials such as coconut husks, agricultural waste or saw dust	Quantity of charcoal used in the process	HMP/Communities
Generation of solid waste	<p>Maximize use of feedstock to ensure efficiency and minimize waste;</p> <p>Provide waste collection bins to avoid littering;</p> <p>Encourage waste recycling / reuse</p> <p>Collect waste and dispose in accordance with waste management regulations</p>	<ul style="list-style-type: none"> Percentage of feedstock not converted to product Waste bins provided and used; Percentage of waste recycled / reused; Waste appropriately disposed 	HMP/Communities
Manufacture of briquettes from other agricultural waste may result into removal of mulch (protective covering of organic material) thereby affecting soil quality	Provide alternative mulch or manure such as cow-dung	Alternative sources used	HMP

Construction of kilns would result into soil disturbance	Reinstate soil in disturbed areas once construction is completed	Soil reinstatement in disturbed areas	CLOs / Communities
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