REPUBLIC OF KENYA

REPUBLIC

OF

KENYA

Poverty Reduction Through Sustainable NRM

IFAD

INTERNATIONAL FUND FOR AGRICULTURAL DEVELOPMENT

MINISTRY OF WATER AND IRRIGATION

UPPER TANA NATURAL RESOURCES MANAGEMENT PROJECT

Financed by;

Government of Kenya

International Fund for Agricultural Development (IFAD) Loan No. 1-867-KE

Spanish Trust Fund Loan No. E-8-KE

And Beneficiaries

Lead agency;

Ministry of Water and Irrigation

<u>CIVIL WORKS MANUAL FOR COMMUNITY PROJECTS</u>

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List of Acronyms and Abbreviations

AIDS	Acquired Immuno-Deficiency Syndrome
AIEs	Authority to Incur Expenditure
AGM	Annual General Meeting
ATC	Agricultural Training Centre
AWPB	Annual Work Plan and Budget
CAPs	Community Action Plans
CAN	Calcium Ammonium Nitrate
CBK	Central Bank of Kenya
CBOs	Community Based Organization
CDD	Community Driven Development
CDSS	County Director of Social Services
CFP	Call for Proposal
CID	Criminal Investigation Department
WUA	Common Interest Group
CPC	County Project Coordinator
CPCC	County Project Coordinating committee
CPFT	County Project Facilitating Team
EACC	Ethics and Anti-Corruption Commission
EIA	Environnemental Impact Assessment
EMCA	Environnent Management Coordination Act
EMP	Environnent Management Plan
FBOs	Faith Based Organisations
FDA	Focal Development Area
FDACs	Focal Development Area committee
FFS	Farmer Field School
FM	Financial Management
GOK	Government of Kenya
HCDA	Horticultural Crops Development Authority
HDPE	High-density polyethylene
HIV	Human Immuno- Deficiency Virus
IFAD	International Fund for Agricultural Development
IFAD-KCO	International Fund for Agricultural Development-Kenya Country Office
IGAs	Income Generating Activities
IOA	Independent Oversight Agent
KARI	Kenya Agricultural Research Institute
KENAO	Kenya National Audit Office
KEPHIS	Kenya Plant Health Inspectorate services

KM&L	Knowledge Management and Learning
Kshs	Kenya Shillings
LPO	Local Purchase Order
LSO	Local Service Order
MD	Man Days
MKEPP	Mt Kenya East Pilot Project
MoEW&NR	Ministry of Environment, Water and Natural Resources
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NCD	New Castle Disease
NGOs	Non-Governmental Organization
NPK	Nitrogen Phosphorus and potassium
NRM	Natural Resources Management
PCT	Project Coordinating Team
PFM	Participatory Forest Management
PFMA	Public Finance Management Act
PIM	Project Implementation Manual
PMCs	Project Management Committee
PRA	Participatory Rural Appraisal
PSC	Project Steering Committee
PWDs	Persons with Disability
SCITS	Sub-County Implementation Teams
SCMP	Sub-Catchment Management Plans
SOEs	Statement of Expenditure
STF	Spanish Trust Fund
TOR	Terms of Reference
TSNs	Technical Support Notes
UTaNRMP	Upper Tana Natural Resources Management Project
USD	United states Dollars
VAT	Value Added Tax
WA	Withdrawal Application
WRMA	Water Resources Management Authority
WRUA	Water Resource Users Association
WSTF	Water Services Trust Fund
WUA	Water Users Association

Currency units, weights and measures

Currency Unit	=	Kenya Shilling (Kshs.)
USD 1	=	KSH 85.6
1 SDR	=	USD 1.55
1EURO	=	KSH 109.1951
Fiscal Year	=	1st July to 30th June

Map 1: Project Map
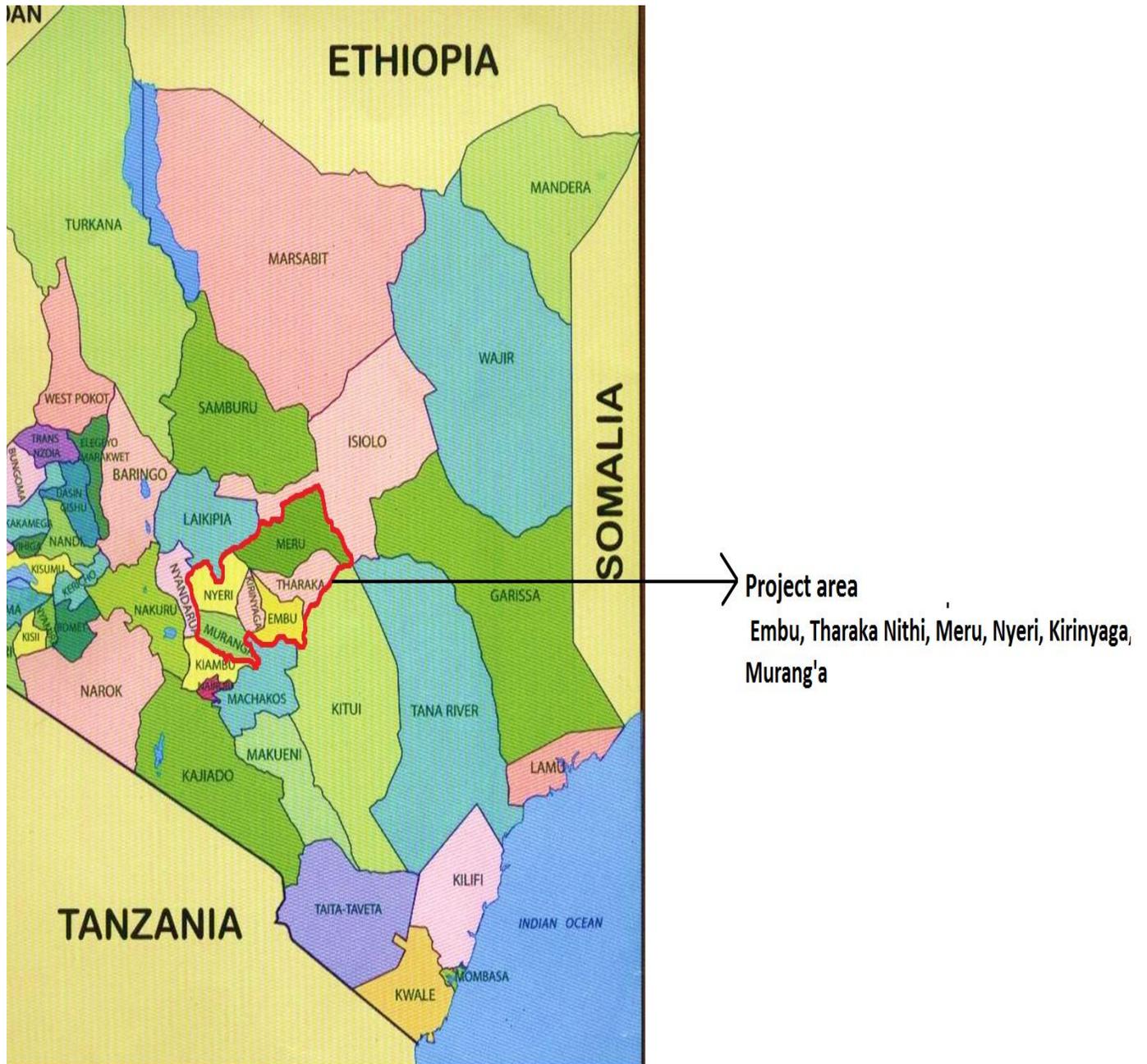
1.0   PROJECT BACKGROUND

1.1   Introduction

This manual provides modalities, processes and procedures that will be applied for funding civil works projects proposed by Community Based Organizations (CBOs) and Water Users Associations (WUAs). The project has four windows of funding namely: (i) Matching grants at Water Services Trust Fund (WSTF) which supports WRUAs to implement activities geared towards conservation of natural resources and are activities of public good, (ii) Matching grants at Project Coordinating Team (PCT) which supports Common Interest Groups(CIGs) proposals and the activities are income generating activities which are for private good in nature, (iii) the Civil Works window which supports activities of both public and private good in nature and (iv) cross-cutting window which provides for procurement of equipment and capacity building of staff and community. The preparation of this manual is guided by the Project Design Report, Loan Agreement, as well as relevant GOK and IFAD policy documents. The manual has borrowed from experiences of other Community Driven Development (CDD) such as the European Union funded Community Development Trust Fund,World Bank funded Natural Resources Management project, UTaNRMP CIGs Grant Manual and IFAD procurement guidelines. This manual is prepared with the specific purpose of providing a tool to clearly define the means through which the Sustainable Water and Natural Resources Management component will operate and achieve the expected outputs. The outline of this manual is as follows:

Chapter 1: Project Background

Chapter 2: Introduction to the Civil Works Implementation Manual

Chapter 3: Roles and Responsibilities of Institutions Implementing the civil works activities

Chapter 4: Civil works Implementation modalities, Governance, Accountability processes and Procedures

Chapter 5: Financial management and Procurement Guidelines.

Chapter 6: Appendices

1.2   Project Background Information

The Upper Tana Natural Resources Management Project (UTaNRMP) is an eight year project (2012-2020) funded by Government of Kenya (GOK), International Fund for Agricultural Development (IFAD), Spanish Trust Fund (STF) and the Local Community. The **goal** of the project is to "*contribute to rural poverty reduction in the Upper Tana river catchment*". This goal is being pursued via two **development objectives** which reflect the poverty-environment nexus namely:(i)

increased sustainable food production and incomes for poor rural households living in the project area; and (ii) sustainable management of natural resources for provision of environmental services.

The project area, which is the Upper Tana catchment, covers an area of 17,420 km^2. The project target area is 24 river basins and the tributaries of the four river basins formerly under MKEPP that drain into the Tana River. The area includes the Mt. Kenya and Aberdares National Parks and surrounding Forest Reserves.

The project area covers six counties namely; Embu, Tharaka Nithi, Meru, Nyeri, Kirinyaga and Murang'a. The Upper Tana catchment is home to 5.2 million people and is under heavy and growing population pressure with a population density of 300 per Km^2. The project aims at poverty reduction targeting about 205,000 households (1,025,000 people) whose livelihoods revolve around the use of the natural resources of Upper Tana catchment.

These include smallholder crop and livestock farmers, agro-pastoralists, fishers, rural traders, and community groups involved in natural resources management (NRM) and income generating activities. Special focus is on women and youth as well as other vulnerable groups within the above categories. The project will provide indirect benefits to the non-target groups in the Upper Tana catchment through services and enterprises linked with the project activities, as well as to populations outside the catchment who rely on water and hydro-electricity from the river system. Project interventions will be progressively implemented beginning with further work on the tributaries of the four (4) MKEPP river basins, twelve (12) priority river basins and then twelve(12) of the remaining twenty four (24) basins as follows;

Table 1.1: Project River Basins and their Tributaries

Tributaries of former Mt Kenya Pilot Project for NRM (MKEPP) River Basins (4)	**Ena** (Itimbogo, Thuura and Gangara) **Kapingazi/Rupingazi** (Kiye, Thambana, Itabua and Kathita), **Kathita** (Gaciuma/Kinyaritha, Kuuru, Riiji), **Kithinu/Mutonga** (Naka, Nithi, South Maara, North Maara and Thuci)
Twelve (12)High Priority River Basins for UTaNRMP	Maragua, Murubara, Nairobi, Ragati, Rujiweru, Rupingazi, SabaSaba, Thangatha, Thanantu, Thiba, Thika/Sasumua, Thingithu
Twelve (12) Other River Basins for UTaNRMP	Amboni/ Muringato, Iraru, Kayahwe, Chania, Mara, Mariara, Mathioya, Nyamindi, Ruguti, Rwamuthambi, Sagana, Ura

1.3   Project Components

The Implementation is through four components namely: Community Empowerment, Sustainable Rural Livelihoods, Sustainable Water Resources and Natural Resources Management and Project Coordination and Management. The planned outcomes are;

Component	OUTCOME
i. Community Empowerment	• Rural communities empowered for sustainable management of natural resources
ii. Sustainable Rural Livelihoods	• Natural resource-based rural livelihoods sustainably improved
iii. Sustainable Water and Natural Resource Management	• Land, water and forest resources sustainably managed for the benefit of the local people and the wider community and
iv. Project Management and Coordination	• Project effectively and efficiently managed

Component 1: Community Empowerment This component is designed to empower communities to sustainably manage natural resources. It aims at engaging communities to build their capacity to develop plans aimed at improving NRM while also improving their livelihoods, food security and nutrition. The component therefore supports capacity building at community level through mobilization and awareness raising, establishing and strengthening key community structures and institutions, and development and implementation of community action plans. The outputs of this component include:

 i.   Communities with increased awareness of sustainable NRM,
 ii. Key community organizations with increased capacity to manage Natural Resources sustainably, and
 iii. Community Action Plans for livelihood improvement and sustainable NRM.

Component 2: Sustainable Rural Livelihoods: This component aims at improving the incomes and living standards of the target group using interventions that are beneficial to the management of the natural resource base. The component's outputs include;

 i.   Agricultural packages adapted to various agro-ecological and socio-economic contexts; and

ii.   WUAs successfuly adopt or improve farm and/or non-farm income generating activities (IGAs).

The above outputs are achieved through the following sub-components;

i.   **Adaptive research and demonstrations led by KARI** - This includes On-farm trials and demonstrations, Soil fertility enhancement; and Seed multiplication and distribution. The Kenya Plant Health Inspection Services (KEPHIS) is responsible for regulatory oversight of seed multiplication and distribution while relevant government departments and service-providers are collaborators.

ii.   **Adoption of IGAs through WUA's** - This is implemented by providing matching grants (30% by WUAs and 70% by the project). The FFS extension approach will be used mainly to ensure the success of the IGA's over and above other extension methods including demonstrations, study tours and farmer-to-farmer training.

Component 3: Sustainable Water and Natural Resource Management: This component is designed to improve the sustainable utilization of water and other natural resources, mainly using community groups including the WRUAs WUAs and the CFAs. The outputs are:

i.   Water resources of the Upper Tana catchment sustainably managed; and
ii.   Sustainably managed forest and agricultural ecosystems.

The outputs are achieved through two sub-components namely;

(a)   **Sustainable management of Water Resources** – The activities address;
i.   Sustainable management of water resources**:** Support for design and implementation of Sub Catchment Management Plans (SCMP) by WRUA's using grants channelled through WSTF and technical advice from WRMA.
ii.   Community water development and management**:** Improve access to safe and clean water for domestic uses.
iii.   Water-saving irrigation technologies: Emphasis on improving irrigation efficiency by use of controlled intake structures, pipes and lined canals to reduce wastage.
iv.   Remedial works on environmental hotspots: This targets hotspots that contribute to silt loads and pollution to water. The project targets specific problem areas such as road embankments, borrow pits, quarries, denuded hilltops, coffee processing plants, eroding riverbanks, wetlands, springs and urban waste disposal facilities.

(b)   **Sustainable Management of Forest and Agricultural Ecosystems:** this sub-component will focus on:

i.   Rehabilitation of degraded forest reserves: Activities include capacity building of community groups in Participatory Forest Management, seedling production, enrichment planting of degraded forests, and the rehabilitation of degraded forest areas.
ii.   Efficient use of fuel wood: This includes fuel efficient stoves, biogas generators and charcoal kilns through matching grants, together with training in the manufacture and use of such equipment.
iii. Human-wildlife conflict: Construction of solar powered wildlife control barriers in Mt Kenya
iv.   Soil and water conservation on farm lands: This is implemented through matching grants (30% beneficiaries and 70% Project).

Component 4: Project Management and Coordination: The component is designed to ensure that the project is effectively and efficiently managed. The objective is to enhance management in implementation and coordination of project activities so as to assess progress made towards achieving project objectives and project impacts.

The key institutional structures that will ensure smooth running of the project starting at the policy level up to the implementation level include: the Project Steering Committee (PSC), Project Coordinating Team (PCT), County Project Coordinating Committee (CPCC), County Project Facilitating Committee (CPFC), Sub-County Implementing Teams (SCITs) at sub-county levels to support community based institutions such as WRUAs, CFAs, FDACs and WUAs.

The component has two sub- components namely:

i.   **Project Management**: This encompasses Coordination, Planning and financial management (disbursements, procurements and audits).

ii.   **Knowledge Management and Learning (KM&L):** The project will develop a KM&L system that will encompass five key pillars namely: Monitoring and Evaluation; Information Management; Communication; Innovation and Experimentation and Learning and Adaptation.

The expected outputs for the component are:

i.   Fully functional Governance, Management, Monitoring and Reporting systems, and

ii.   Knowledge about Natural Resources Management effectively managed and disseminated to stakeholders.

2.0 INTRODUCTION TO CIVIL WORKS IMPLEMENTATION MANUAL

The water resources management sub-component supports the following main activities:-

i. Implementation of sub-catchment management plans(SCMPs)

This is where Water Resources Users Associations (WRUAs) will be supported by the project to implement their SCMPs. The funds are based at Water Services Trust Fund (WSTF) and the groups must have developed plans for their catchment for implementation. WSTF is mandated to advertise for call for proposals.

ii. Community Water development and management

This is where the Water Users Associations (WUAs)/community groups and CBOs are assisted to Rehabilitate/upgrade their water sources, water conveyance systems or hotspots. The activities should be income generating in nature. These activities are supported by the PCT.

iii. Water Saving Irrigation technologies

CBOs/WRUAs /Community groups will be supported by the project to upgrade their existing irrigation systems to improve on their efficiencies. The support is through the PCT.

iv. Remedial works at hotspots

Point sources of water contamination occur in many parts of the project area.Under this sub-component the project will support the rehabilitation of those hot spots that require civil works.

This manual therefore provides an outline of the processes and procedures to be followed by Community Based Organizations and Water Users Associations in accessing, utilizing and accounting for project resources to be supported through the Project Coordinating Team.

2.1 Principles of the Manual

The following are the key principles of this manual:

a) Clarity / Open information provision/exchange

i. Clear definition of roles and responsibilities: Roles and responsibilities for all stakeholders involved in the planning and implementation of projects community based-civil works activities
ii. Support to community groups involved with civil works activities
iii. Categorization of Proposals
iv. Proposal guidelines.

The proposal guide lines gives directions to CBOs/WUAs in five main technical areas:
i. Clarity of proposal content
ii. Expected outputs

iii. Scope
iv. Bill of quantities

b) Empowerment and Equity.
   i) Empowerment of Community Based Organization (CBOs) and Water Users Associations (WUAs). The manual places the community/community groups at the centre of their own development activities and managers of their own destiny.
   ii) Equity of funding across the project area.
   iii) Equity through detailed transparent eligibility criteria. Detailed eligibility criteria for ensuring equity for and the participation of all within a designated group. One element of the prioritization criteria being the determination of how the resources provided and benefits accrued are enjoyed by all the members of the group.
   iv) Strong institutional support links: Clear links between CBOs, WUAs and the respective technical departments and other stakeholders.
   v) Contribution at community level: Community contribution by providing labour, local materials and cash being criterion for eligibility.

c) Transparency and Accountability
   i. Clear eligibility criteria.
   ii. Public transparency in relation to process and results
   iii. Fiduciary risk: Detailed means provided to reduce risks of absconding and corruption while maintaining respective roles.
   iv. Budget Item: Separation of funds to facilitate clear audit/ trail and funds follow up.
   v. Efficient and effective service provision in supporting the community groups and their respective associations. The most effective means of service support, provision clarification on who to determine the most relevant service provider and the means of selection and engagement.
   vi. Complaints mechanism: A complaint mechanism to be established together with the process used to register, review and respond to complaints.
   vii. Public transparency in relation to process and result

2.2   Civil Works support to CBO and WUAs

The UTaNRMP will provide resources in terms of materials and technical support to Community Based Organization and Water users Associations (WUAs) through Project Coordinating Team (PCT) to help them implement civil works activities upon submission of acceptable proposals. The grants will be output-based and will be implemented according to the agreed Implementation Agreement between the CBO/WUA and UTaNRMP.

The beneficiary CBO/WUAs will be required to contribute a minimum of 30% while the project will provide resources to a maximium70% depending on the project proposal. On exceptional cases upon application by the very vulnerable members of the community or projects that are public in nature (eg remedial works on hotpots), the project may support the activity up to 90%.

All proposals must:

a) Provide a response to climate change mitigation and resilience
b) Integrate environmental conservation such as tree planting, water harvesting, soil and water conservation or other conservation activities;
c) Demonstrate how the proposal will contribute to improved incomes and food/ nutrition security;
d) Demonstrate, whenever relevant, how the following cross-cutting issues have been integrated in the planning, implementation and monitoring;

i. Gender equality and social inclusion: how Men, Women, youth and vulnerable groups will participate in and benefit from the project;
ii. Good Governance: That Projects are run in a transparent manner and that the Project Management Committee (s) (PMCs) is accountable and engages the project beneficiaries throughout the different stages of project implementation;
iii. Prevention of HIV/AIDS and improvement of livelihoods of people living with HIV/AIDs;
iv. Participation and non-discrimination of vulnerable groups, such as orphans, elderly and people with physical challenges.

e) Demonstrate that the proposed project has been collectively identified by the group and is a priority need;
f) Demonstrate how the group will monitor the technical and financial aspects of implementation;
g) Demonstrate how the outputs will be sustained after completion of the funded proposal.

2.3 Integration of Groups' proposals with Government Development Policies

The proposed community projects must be in line with the relevant national sectorial development agenda and progressively align to County Integrated Development Plans (CIDP). Therefore, the relevant technical department/ institution/agency must endorse the Application Form ensuring that the proposed project is in line with the sector priorities as guided by county and national policies.

The proposed project should not presently be funded by any other major development programme. Stalled/incomplete projects and which meet the eligibility criteria qualify for support.

2.4 Eligibility Criteria

2.4.1 Eligibility:

a) In order to be eligible for support under civil works window, groups **must be**:

i. Community Based Organizations (CBOs) registered under the relevant government agencies (either Social Development, Attorney General or Cooperatives);

ii.   Water Users associations (WUAs) registered under the relevant government agencies (either Social development, Attorney General or Cooperatives);

iii. The CBOs and WUAs must have been registered for the last six months.

b) The groups are not eligible if they are or have been:

  i.   Bankrupt, being wound up, or having their affairs administered by the courts;
  ii.   Convicted (CBO/WUA officials) of an offence concerning their professional conduct;
  iii. Guilty of grave professional misconduct (WUA officials);
  iv.   Noted not to fulfil their obligations relating to the payment of the payment of taxes;
  v.   The subject of a judgment for fraud, corruption, involvement in a criminal organization or any other illegal activity; and
  vi.   Subject to a conflict of interest.

In the "Declaration of Applicant", applicants must declare that they do not fall into any of the situations mentioned in 'b' above. The Declaration of Applicants must be **completed and signed**; otherwise the application may be excluded.

2.4.2   Monitoring and Evaluation:

Applicants should include in their full proposal appropriate measures for monitoring the implementation of the proposed project activities

2.4.3   Number of applications and proposals per applicant:

  a) CBO/WUA shall not submit more than one application;
  b) CBO/WUA officials shall not be official in another group applying for this support;

2.4.4   Eligible cost/expenditure

Eligible costs/expenditure is that may be taken into consideration for the civil works support. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on costs to be incurred in the implementation of the project. Eligible costs must be supported by authentic and verifiable documents.

Eligible costs

Eligible must meet all the following criteria:

  i.   They are incurred during the implementation of the proposal;
  ii.   Must be indicated in the estimated overall budget of the proposal;

iii. Must be necessary for the implementation of the proposed project;

iv. They are identifiable and verifiable, in particular being recorded in the accounting records of the group and determined according to the applicable accounting standards of Kenya; and

v. Must be reasonable, justified and comply with the requirements of sound financial management.

Community Contributions

The contribution by the community should either be in cash, materials and labour or all. In such cases, the value of such contributions must not exceed;

i. Either the costs actually borne and duly supported by accounting documents; and

ii. Costs generally accepted based on existing market rates.

If the applicant proposes co-financing in kind, this must be included in the budget of the Proposal Application.

Ineligible costs as per the proposal

The following costs are not eligible:

i. Provisions for losses or debts;

ii. Interest owed;

iii. Items already financed in by other development partners;

iv. Purchases of land or buildings;

v. Credit to third parties;

vi. Top-ups and salaries, whether from the applicant or its partner;

vii. Administrative overhead costs (utility costs, Rent, etc)

3.0 ROLES AND RESPONSIBILITIES OF INSTITUTIONS IMPLEMENTING CIVIL WORKS ACTIVITIES

3.1 Overview of Institutional Relationships

This provides a conceptual overview of the potential stakeholders involved in supporting the implementation of the civil works activities. This is followed by a brief presentation of the roles and responsibilities of the respective institutions.

i. Line Ministries/Departments

In addition to technical support that the line ministries/agencies will be offering to the CBO/WUAs, they will also be required to carry out supervision and monitoring of CBO/WUAs activities. The monitoring will be done on a continous basis and reports submitted to the PCT.

ii. Project Coordinating Team

The PCT will be monitoring and evaluating CBO/WUA activities regularly and make timely decisions on the administration of grants, document and share lessons learnt with stakeholders. The PCT will also monitor and evaluate the performance of FDACs.
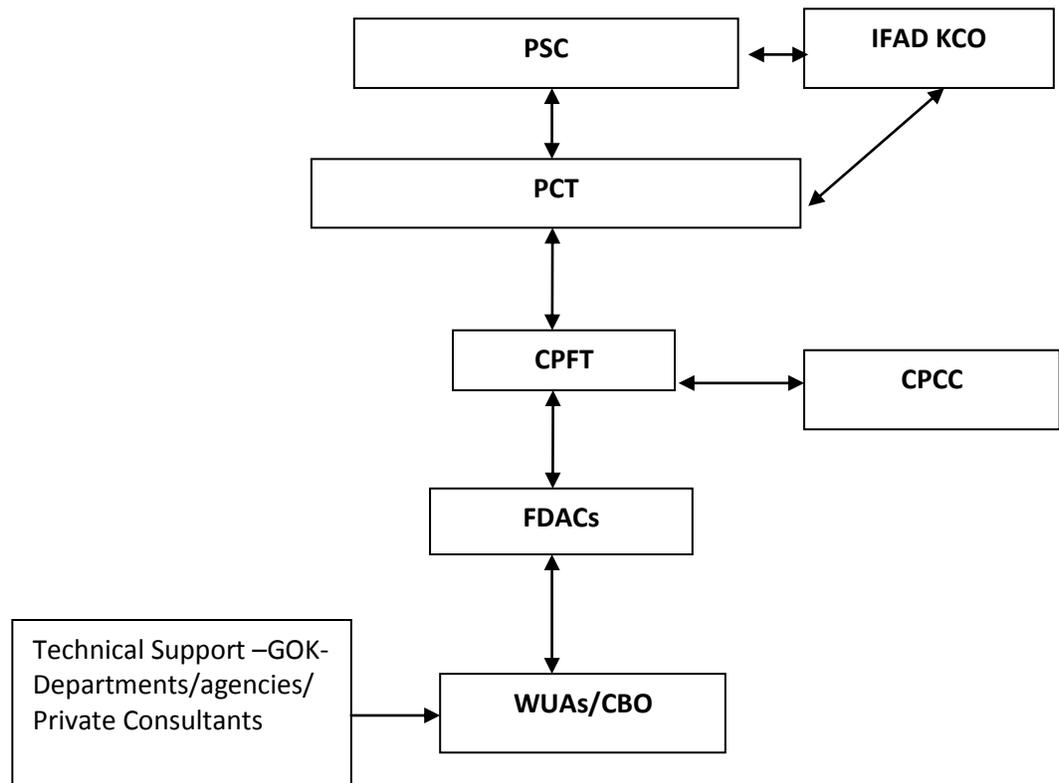
Figure 1: Institutions in project's community civil works activities
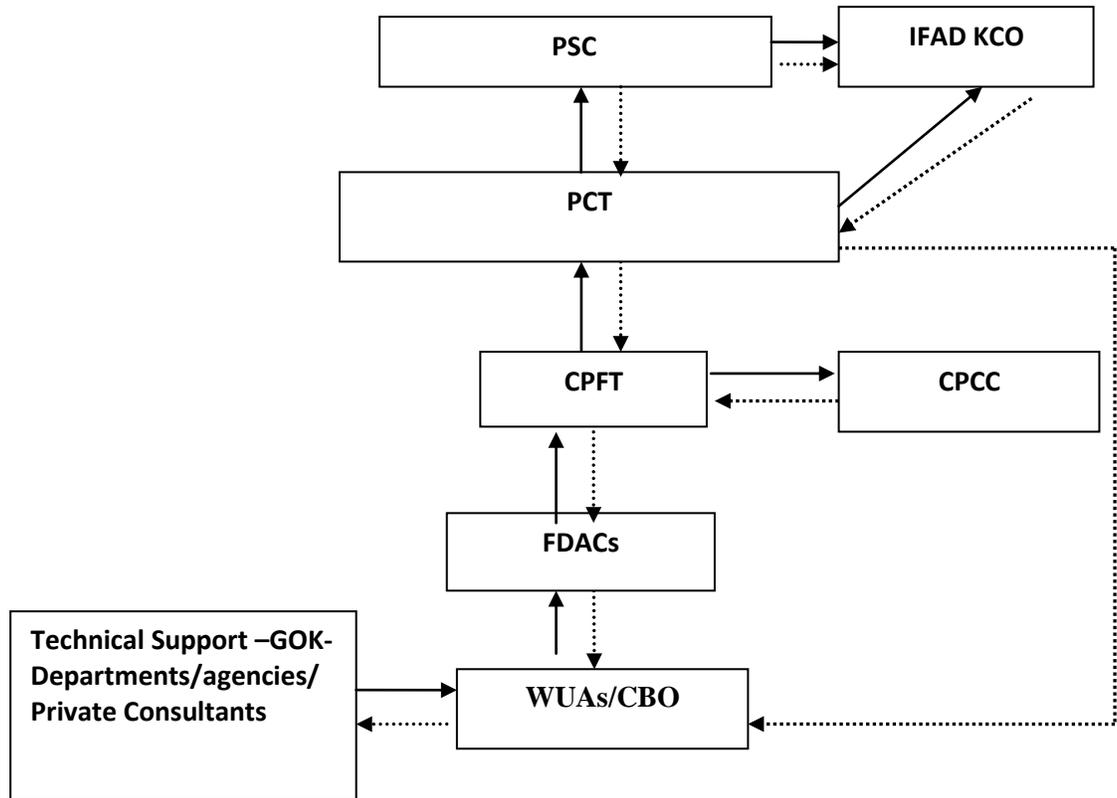
Figure 2: Flow of Information among the Institutions

3.2   Roles and Responsibilities of CBOs/ (WUAs)

The members of the respective CBO/WUAs are the direct beneficiaries. The CBO/WUAs are represented in the respective WRUAs and CFAs. The CBO/WUAs and its members are the recipients of resources provided to support Water Resources Management and conservation of environment.

The CBO/WUAs are responsible for:
   i)   Electing their officials as per their by-laws and constitution;
   ii) Attending all meetings and contribute to the activities of the group in accordance with its by-laws and constitution;
   iii) Writing proposals for funding;
   iv) Ensuring that the required community contribution is provided;
   v)   Participation in the Procurement of goods, works and services;
   vi) Accounting for financial and material resources;
   vii) Implementing the activities in accordance with the rules specified within this manual;

viii) Attending trainings as required by this manual;

ix) Monitoring the activities of the group and preparing regular reports as required by this manual (Per agreed milestones).

The management structure of the CBO/WUAs will reflect the structure presented below referring support the separation of roles and responsibilities to ensure necessary checks and balances in support of transparency

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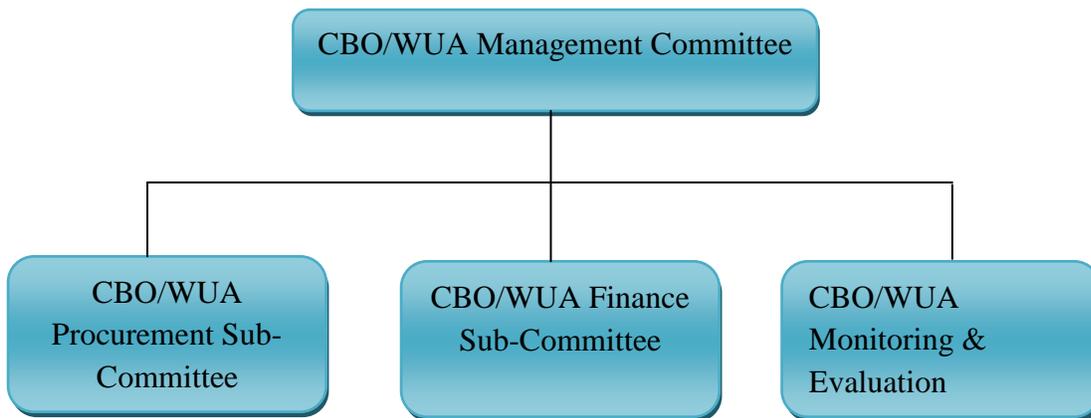
Figure 3: WUA Sub Committees

Each of the subcommittee has its own roles and responsibilities, which are defined below:

3.2.1   The CBO/WUA **Management Committee**

The management committee is composed of the Chairperson and his/her deputy, treasurer, secretary and his/her deputy and a few committee members.

Their responsibilities include:

i.   Ensuring group meetings are held as per their by-laws and constitution;

ii.   Overall oversight and management of the funded activities;

iii.   Approval of budget;

iv.   Ensuring funds received are properly accounted for and there is value for money.

v.   Ensuring that once they are informed that their CBO/WUA has been provisionally selected as a recipient of support under the UTaNRMP matching grants for a civil works activity, they will fulfill the requirements within the specified time;

vi.   Adhere to the activity (work) plan and budget;

vii.   Ensure operation and maintenance manual is adhered to sure sustainability.

3.2.2 The CBO/WUA Procurement Sub-Committee

They are responsible for:

    i.   Participation in the procurement of goods, works and services;
    ii.   Ensuring that items procured are of high quality and right quantities;
    iii.   Ensuring that items once procured are inspected, recorded, stored, issued and utilized;
    iv.   Maintaining adequate records.

3.2.3 The CBO/WUA Finance Sub-Committee

They will be responsible for:

    i.   Preparing the itemized budget;
    ii.   Authorizing all financial transactions;
    iii.   Giving independent reports on the usage of funds during group meetings,
    iv.   Prudent financial book keeping;
    v.   Safety of bank account and cash balances; and documents
    vi.   Ensuring that all financial records are up to date to facilitate any audits;
    vii. Preparation of a statement of the accounts on a monthly basis;
    viii. Ensuring that the information relating to the utilization of funds, amounts paid and to whom, are available to the members of the CBO/WUA;
    ix.   Fund- rise for more funds to sustain the activities funded by the project.

3.2.4 The CBO/WUA Monitoring and Evaluation Sub- Committee

The committee will be responsible for:

    i)   Monitoring the use of funds and other resources;
    ii) Ensuring implementation milestones are on schedule;
    iii) Ensuring high standards of works and services;
    iv) Providing independent reports as required;
    v) Ensuring all information including that which is relevant to the other sub-committees is publicly available, discussed and displayed.

3.3 Key Technical Departments/Service Providers

A number of key relevant departments whose technical support to the CBO/WUA is fundamental to the success of the implementation of the civil works activity include but not limited to:

    i.   Department of Agriculture;
    ii.   Department of Livestock;
    iii.   Department of Cooperatives;
    iv.   Department of Water;
    v.   Department of Irrigation;
    vi.   Department of Fisheries;
    vii. Department of Social Development;

viii.   National Environment Management Authority (NEMA);

  ix.   Kenya Forest Service (KFS);

   x.   Kenya Wildlife Service (KWS);

  xi.   Water Resource Management Authority (WRMA);

 xii.   Kenya Agricultural and Livestock Research Organization (KALRO);

xiii.   Private consultants.

As the case may be, each of the service providers will be responsible for:

   i.   Providing technical advice and know how as appropriate in relation to the scope and content of the proposed project activities;

  ii.   Acknowledging / endorsing the proposals in the application process;

 iii.   Providing support, including technical advice at all stages of activity implementation; and

 iv.   Reporting on the progress of the funded activities including funds utilization- the reports should be to the PCT and the County Project Coordinator.

3.4   Focal Development Area Committees (FDACs)

The FDAC is a community representatives committee elected to oversee the planning, implementation, monitoring and Evaluation of UTaNRMP activities within a Focal Development Area. The FDA's are sub-sets of WRUA's with a population of 800-1200 Households.

The roles of FDACs include:

   i.   Mobilizing communities (CBO/WUA's) within the FDA to write proposals in conformity with the developed Community Action Plan;

  ii.   Endorsing the written proposals;

 iii.   Coordinating implementation of all project activities,

 iv.   Keeping minutes and records of all their meetings and proceedings,

  v.   Conflict resolution within the CBO/WUA members,

 vi.   Ensure sustainability of funded projects,

 vii.   Continuously plan for the way forward on behalf of the community,

viii.   Ensuring availed resources are used for the planned activities by the CBOs/WUA's,

  ix.   Monitoring implementation milestones and submitting quarterly reports to WRUAs/ CFAs and sub county/ county technical teams.

3.5   County Project Facilitation Teams (CPFT)

County Project Facilitation Teams is composed of Government technical departments/agencies charged with responsibilities of planning, overseeing implementation and monitoring project activities at the county level.

CPFT is composed of County Project Coordinator; County Ecosystem Conservator; County Director of Water Services; County Director of Environment; County Director of Agriculture;

County Director of Social Development, County Director of Planning; County Director of Veterinary Services; County Director of Livestock Production; County Director of Fisheries; County Commissioner of Cooperatives; County Accountant- National Government and County Auditor- National Government.

CPFT will be responsible for:

   i.   Ensuring there is adequate mobilization and publicity of resources and requirement for the assistance to ensure equity and fair geographical/enterprises distribution;

   ii.   Receive and consolidate the county proposals;

  iii.   Screening of activities within the county to avoid duplication of activities from different stakeholders;

   iv.   Forward their recommendations to PCT and inform CPCC;

   v.   Communicating the approved proposals to the respective WUAs through FDACs;

   vi.   Coordinating capacity building of the WUAs whose proposals have been approved;

  vii.   Quarterly monitoring of the implementation milestones and submitting reports to PCT and CPCC.

3.6   County Project Coordination Committee

County Project Coordination Committee is the county policy organ responsible for:

   i.   Giving policy direction on county development priorities to all stakeholders;

   ii.   Harmonization of activities within the county to avoid duplication of activities from different stakeholders'

  iii.   Approving county AWPBs.

CPCC is composed of: County executive committee member (chair); County Chief Officers/ directors Responsible for: Water, Environment, Agriculture and Livestock, Fisheries, Social development(National), Planning, Cooperatives, County Project Coordinator, NEMA, KWS, KFS and WRMA, any other co opted members.

3.7   Project Coordinating Team (PCT)

The PCT is the technical Secretariat of UTaNRMP. PCT will be responsible for:

   i.   Preparation and review of the civil works manual;

   ii. Call for proposals;

  iii. Receiving of proposals;

   iv. Formation of technical appraisal committee from relevant departments to carry out desk and field appraisal. The committee will be composed of representative of the respective technical departments, PCT, CPCs and the Ministry of Water and Irrigation Headquarters;

   v.   Contracts and MOU's management;

vi.   Monitoring of implementation milestones;

vii. Coordinate capacity building activities;

viii. Ensuring information required by the CBOs/WUAs is available using various media;

ix. Compiling and disseminating relevant reports;

x. Maintaining a database of project implementation and sharing with all stakeholders;

xi. Periodic review of Civil works Manual.

3.8   Project Steering Committee (PSC)

The PSC is the policy level arm of UTANMP with representatives from all the Ministries implementing the project. The PSC is chaired by the Principal Secretary of the Lead Agency namely the Ministry of Water and Irrigation**.** The PSC will be responsible for:

i. Giving policy direction and guidelines on national development policies and priorities;

ii. Periodic review of this manual;

iii. Reviewing and approving AWPBs;

iv. Ensuring the role and functions of the respective stakeholders are adhered to;

v. Overall performance of the project; and

vi. Recommending to the donor any relevant implementation changes to ensure achievement of the project goal.

3.9   International Fund for Agricultural Development (IFAD)

The International Fund for Agricultural Development will be responsible for:

i. Reviewing and approving this civil works manual and any subsequent reviews;

ii. Reviewing and approving AWPBs;

iii. Giving the required no objections; and

iv. PeriodicSupervision and implementation support.

4.0 CIVIL WORKS IMPLEMENTATION MODALITIES, GOVERNANCE, ACCOUNTABILITY PROCESSES AND PROCEDURES

4.1 Introduction

This chapter provides an overview of how UTaNRMP community managed civil works activities are to be implemented i.e. Processes and procedures, governance and accountability

4.2 Civil works activities, Processes and Procedures

The community civil works activities follow a defined pathway starting from when the CBO/WUAs develop their proposals. The proposals pass through several stages, each with its own role and relevance to the ultimate successful implementation. It is estimated that it will take 100 days before a successful proposal finally gets the green light to enter the implementation stage. Once implementation commences, monitoring of the CBO/WUAs project is undertaken by the various teams to ensure successful implementation and upon completion, a completion certificate is awarded to the CBO/WUAs.

The process is as depicted in Figure 4 below.

[1]Call for proposals by PCT in the newspapers and other public places	1 day
[2] CBO/WUAs prepares detailed designs and proposals which are in harmony with County Integrated development Plans with assistance of technical personnels	30 days
[4]The screening is done by the CPFTwho forward a list of proposals to CPCC for endorsement.	7 days
[5]Respective CPC sends proposals to PCT for onward transmission to technical appraisal committee	2 days
[6]The technical appraisal committee submits its recommendations to PCT for after desk and field appraisal	30 day
[7]PCT seeks No Objection from IFAD to implement the recommended proposals.	14 days
[8]PCT publishes the winning proposals and communicates to all stakeholders	1 days
[9]Signing of Implementation Agreement by the CBO/WUAs with PCT	1days
[10]Implementation and monitoring of the activity as per the Implementation Agreement	Duration depends on the type of project
[11]Completion and issuance of Completion Certificates	Continuous

Figure 4: Proposal implementation Process

Table 4.1: Explanation of the flow chart for implementation process

No.	Main activity	activities	Time frame(days)	Where
1	Call for proposals by PCT in the newspapers and other public places	The PCT advertises in two newspapers with national coverage. Posters are also placed in public places including schools, chief's offices and Sub-County offices within the FDAs.	1	PCT
2	CBO/WUA prepares proposals	CBO/WUA prepares, detailed technical designs, proposals with assistance of technical personnel. The proposals should be aligned to the respective CAPS and county CIDP plans	30	Focal development areas
3	Endorsement of the proposals by FDAC	The FDAC, verifies that the CBO/WUA is situated in their area of jurisdiction and the issue is proposed in the community action plans. The FDAC endorses the proposal as appropriate by signing and putting FDA rubber stamp	7	Focal Development Areas
4	Initial screening by the CPFT and CPCC approval	Initial screening is done by the CPFT to ensure that the proposals are aligned with the respective county IDPs and harmonize with other proposals from the other development partners in the county to avoid double dipping.. Endorsement by county project coordinator who also Summarizes the proposals and submits the list of the proposals to the CPCT for approval	14	County

| 5 | Receipt of proposals by PCT from the counties | PCT receives the proposals from the county

Constitutes a technical appraisal committee composed of officers from the relevant Departments(Water and Irrigation), CPCs and PCT and Ministry of water and irrigation representative(s)

Hands over the proposals to the appraisal committee for **desk and field appraisal** | 3 | PCT |
|---|---|---|---|---|
| 6 | Desk and Field appraisal | The technical Appraisal Committee undertakes a detailed desk review for all the proposals and generates a list of those qualified for field verification

Conducts a field verification of the proposals viability.

Compiles a recommendation report. | 14 | Appraisal committee |
| 7 | PSC Approval | Review and approval of the approved proposals based on civil works manual and,PDR and loan Agreement. | | |

7	IFAD NO Objection	PCT Submits those the proposals IFAD for no objection to implement the proposals	14	IFAD Country Office
8	Publish the winning list of WUAS	PCT communicates the winning list of WUAs through newspapers and through a letter to the WUAs/CPCs and FDAC	1	PCT
9	Signing of the M.OU between the WUA and the PCT	Groups' deposits 10% cash contribution in designated accounts.

Signs an Implementation Agreement with UTaNRMP | 1 | CBO/WUA and PCT |
| 10 | Implementation and Monitoring | Implementation is undertaken as per the signed Implementation agreement. supervision is undertaken by the respective technical department. Monitoring is undertaken by the CPC, Respective County staff and PCT. | Duration of implementation depends on the size of the project and mode of implementation agreed upon | CBO/WUA and PCT |
| 11 | Completion and issuance of Completion Certificates | This will be done after the project is complete and the group has been trained on Operation and maintenance of the system. | Continuous process since the projects will not be completed at the same time | PCT |

4.3   Categorization of CBO/WUAs Activities

There will be various categories of CBO/WUAs projects to be funded under the civil works category of the loan. All projects to be funded must adress to improvement of Natural Resources Management (NRM) , climate change mitigation and resilience. The activities will vary in size, costs, type, and duration of implementation, similarity, uniqueness and complexity.

Category A: Direct beneficial activities which are private in nature
Category B: NRM Special activities which are public in nature

Category A includes activities that contribute direct benefits to the households in terms of income, social and food security as well as contributing to NRM. These include: rehabilitation/development of alternative water sources e.g. springs, shallow wells, boreholes and small scale community managed dams (maximum 50,000 m^3), improvement of intakes, upgrading of small scale irrigation projects(maximum 100 hectares), demonstration on roof water harvesting and remedial works on hot spots.

These CBOs/WUAs will be required to procure the services of qualified technical personnel who will assist them to come up with detailed technical requirements for the project. The group then writes a proposal to be assisted and attaches the detailed technical drawings, the design and bill of quantities of the proposed activity.
The private goods nature of activities will be funded in the ratio of maximum of 70% by the UTaNRMP and minimum of 30% by CBO/WUAs. However, special consideration will be given to CBO/WUAs mainly composed of the **youth and** vulnerable **persons** (e.g. visually impaired, physically challenged, hearing impaired). These CBO/WUAs will be funded in the ratio of 90% by the project matching grants and 10% being the CBO/WUAs contribution because of the nature of their disability and their inability to raise the minimum requirement of 30% under this category.

Category B includes special NRM activities that have no direct benefits to the WUAs but contribute to the overall environmental conservation(public goods in nature). The benefits to the CBO/WUAs are long term in nature and cannot be pre-quantified. These activities require the efforts and participation of all members of the CBO/WUA e.g. civil works on Soil and Water conservation, community NRM (River bank & road conservation and gulley healing). These are activities aimed at remedial works on hot spots. These activities will be funded in the ration of 90% by the project matching grants and 10% by CBO/WUAs. These groups will be required to procure the services of qualified technical personnel who will assist them to come up with detailed designs and drawings and othertechnical requirements for the activity proposed. The group then writes a proposal to be assisted with implementation of the activity.

4.4   Eligibility Criteria
This section enumerates the criteria which CBO/WUAs must meet for their proposal to be funded.

4.4.1   General Criteria
The CBO/WUA must meet the following conditions:

i.   **Registration:** The CBO/WUA must be registered with a government institution and have a current registration certificate. The group must have been in existence for the last six months.
ii. **Current Membership:** The CBO/WUA must have a minimum of 15 individual members to ensure that there are enough members for various sub committees and benefits are widespread.
iii. **Members of respective FDAC:** The CBO/WUA must be within an FDAin the project area
iv. **Names of Management Committee:** The CBO/WUA must provide the names and signatures of not less than three of its management committee members when submitting the proposals.
v.   **Line department/agency acknowledgment:** The proposals must be endorsed by the line department/agency.
vi. **Bank account: the** CBO/WUA **must have a bank account** and attach a copy of the most recent bank statement.
vii. The CBO/WUA must give a statement that the proposal is not being funded by another agency;
viii. The CBO/WUA members must not have been involved in any fraudulent activities.
ix. The CBO/WUA executive members must be persons of integrity issues as per chapter six (6) of The Constitution of Kenya (2010).

4.4.2   Criteria for First level funding

Apart from the criteria outlined in section 4.4.1, the CBO/WUA must also meet the following conditions:

i)   Apply for the funding in a specified project proposal forms;
ii) Seek relevant technical advice;
iii) The activity to be funded must be relevant to the UTaNRMP objectives;
iv) Meet the specified CBO/WUA contribution;
v)   Endorsement by the relevant community institutions;
vi) The proposed activity must be within the specified category of ceilings;
vii) The proposal must be endorsed by all CBO/WUA members with copies of their national identity cards attached;
viii) The CBO/WUA must be willing to abide by the provisions of the project;

4.4.3   Criteria for the subsequent Funding

The main criteria for subsequent funding will be the completion certificate issued for successful completion of activities in the 1st level funding In addition, the WUAs/CBOs funded previously, can apply for the second funding if they meet the following:

i.   Must meet the general criteria under 4.4.1above;
ii. Must meet the criteria for first level funding as in 4.4.2 above;

iii.   Must provide Activity implementation Plan**:** Attach to the proposal a detailed
        implementation plan of proposed CBO/WUA enterprise/activity.
iv.   Must attach a copy of completion certificate for project under the earlier funding.

4.5   CBO/WUA Activity Criteria for Funding

The activities under the UTaNRMP matching grants to CBO/WUAs should have positive impact
on natural resources.

Table 4.2: Categories of Proposals

No	Category	Activity Characteristic
1	Category A: WUA activities	- Implement period (one to three years)depending on size and complexity - Contribute to household incomes, social benefits - Contribute to food security/Nutrition, hygiene - Improves NRM - May be innovative in nature - Community contribution will be 30% of the total cost of the proposal. Examples are :- Development/Rehabilitation of springs, Development/Rehabilitation of shallow wells, Development/Rehabilitation of boreholes, Development/Rehabilitation of dams, Development/Rehabilitation of intakes and domestic water projects, Development/Rehabilitation/upgrading of Irrigation projects, *.Funding ceiling of up to Kshs. 50.0 Million* *These activities will have community contribution minimum level of 30%*
2	Category B- NRM Special activities(CBOs)	- Contribute to the overall environmental conservation. - The benefits to the widespread and long term in nature and cannot be pre quantified - Requires participation of all CBO/WUA members - Covers a bigger geographical area - May be innovative in nature - Implementation period may be more than 12 months The activities will mainly be remedial works on hotpots e.g. degraded hills, road sides, river banks , springs and wetlands.

| | | • *Funding ceiling of up to Kshs. 5.0 Million* |
| | | • *These activities will have community contribution minimum level of 10%* |

4.6   Community Contributions

Community contribution will vary according to the categories. Community contribution will be in form of

i.   Cash
ii. Unskilled and skilled labour
iii. Materials
iv. Combination of all cash, skilled and unskilled labour and materials.

The contributions must be quantified in the proposal.

Category A: The community contribution for this category will be a minimum of 30% distributed as follows;

i.   Cash-10%
ii. Unskilled and skilled labour } 20%
iii. Materials

The respective contribution in terms of cash, labour and material will be determined on case by case basis and in some instances the project may support the proposal up-to 90% depending on the vulnerability of the group.

Category B: The community contribution for this category will be a minimum of 10% distributed as follows;

i.   Cash- 3%
ii. Unskilled and skilled labour } 7%
iii. Materials

4.7   Appraisal Criteria

The desk and field proposal appraisal forms with Check List and Scoring by the technical appraisal committee are shown in **appendix1, F3.**
The following conditions must be met:

4.7.2 Conditions for implementation

The following conditions must be met by the CBO/WUA before any assistance is availed:-

i) The latest bank statement of the UTaNRMP designated bank account showing their cash contribution;

ii) Activity Implementation Plan in;

iii) Full Names, mobile and contact details of: Chairperson, members of the Management Committee and members of the various sub-committees (Procurement, Monitoring and Finance);

iv) Community Groups' postal and physical address, mobile number, and email addresses;

v) Signing an MOU between the CBO/WUA and UTaNRMP

4.8 Implementation Modalities

4.8.1   Trainings

Trainings will be budgeted by the respective department as per the government rates. The type of technical support required will be naturally depend on the nature of the activities proposed. The trainings will vary between nine to fifteen sessions depending on the nature of the project proposal.

4.8.2   Supervision and Monitoring

i.   FDACs

A total of 3% of the cost of all funded proposals by CBO/WUA will be allocated to respective FDACs for supervision, monitoring and reporting.

The funds will be provided as a per the proposals in the FDA. The amount will be part of the project funds under civil works category and not funds from CBO/WUA proposal.

This amount should be considered as facilitation for services provided/to be provided in support of the implementation process. A separate bank account for receipt of this fund will be required. The fund utilization will be audited in accordance with the regular audit requirements of government. The FDACs are however required to prepare a monitoring plan and share with the PCT for concurrence before funds are disbursed.

4.9 Annual Case Studies

The PCT will continuously document case studies to help in lessons learning. Reference **Appendix 1, F5, F5.7 and F 5.8** (Lesson learnt and case study templates) will provide valuable insight into the process supporting improvements to the matching grants system. The case study

will flag out cross-cutting issues touching on gender, HIV/AIDS, environment, transparency and accountability, service delivery, empowerment and equity among others. This will also inform the decisions PCT will make regarding the administration of civil works category.

4.10   Award of Completion Certificate

A project is deemed to be complete when a Certificate of Completion has been issued by PCT with the recommendation from the respective county Department /Agency The format for the Completion Certificate is as shown in **Appendix 5, OF4:** Completion Certificate.

The process of issuing and submitting the Completion Certificate is as follows:

   i)   The CBO/WUA sends a request for final inspection of its project to relevant technical office(s) supervising the implementation with copies to FDACs;
   ii) The relevant technical office(s) carries out the inspection and fills the Completion Certificate forms once certified that the outputs have been achieved;
   iii) The Completion Certificate forms are endorsed by FDACs, respective department and CPC;
   iv) The endorsed completion certificate forms are forwarded to PCT for issuance of completion certificate; and

   (v) The Completion Certificate will be issued to CBO/WUAs in a public gathering organized by the CPC and FDAC.

4.11   Governance Framework

4.11.1 Transparency

All activities relating to civil works manual will be implemented in open and transparent manner. The activities to be funded will originate from the Community Action Plans (CAPs) developed through the PRA process to address the community felt needs. All the communities and stakeholders within the project river basins will be sensitized on the availability of support to ensure that there is equity during application for the support.

In order to ensure that the CBO/WUAs are involved in project cycle (Initiation, planning, implementation, monitoring and Evaluation) UTaNRMP will use barazas, churches, mosques, print and electronic media targeting intended beneficiaries. This will ensure enhanced disclosure of information to all interested groups to ensure participation.

The project has developed detailed processes and procedures for the CBO/WUA to access the project resources. These include; Call for proposals, eligibility criteria, screening, appraisal of proposals, public announcement of the successful proposals, funding mechanisms and implementation modalities through this civil works manual which is a public document.

4.11.2 Accountability

The ownership and accountability of the suport to CBO/WUA will be the sole responsibility of the respective CBO/WUA members.

Various stakeholders have been given clear roles and responsibilities in the administration of project resources. The CBO/WUA will be funded in phases according to agreed milestones which will be verified by the respective monitoring teams. The minimum number of CBO/WUA members is set at 15 members to ensure that respective sub committees (Finance, Procurement, Monitoring and Evaluation) are independent and have enough members to check the executive.

The CBO/WUA will sign Implementation Agreement with FDACs for implementation support and sign Implementation Agreement with PCT implementation and acceptance of responsibility and liability for resources received.

- The FDACs will be funded to carry out M&E effectively and will be held responsible for the CBO/WUA under their supervision in order to ensure that the resources received are properly utilised and accounted for, in order to get value for money.

CPFT will be funded by the PCT to carry out supervision and monitoring of CBO/WUA activities to ensure effectiveness and efficiency in utilization of funds. CPFT feedback will be send to PCT for timely decision making and necessary backstopping. A register indicating the type of technical advice given to a group by the technical officers will form part of the monitoring.

PCT will be responsible for the management of project funds in terms of procurement of works, goods and services. The PCT will also be responsible for accounting of project funds to the various financiers.

The project resources will be allocated fairly and competitively among the CBOs/WUAs based on the developed CAPs and conditions (e.g. contribution percentage 30/70% depending on category) and the allocation of resources and their utilization must be within approved AWPB.

4.11.3 Fiduciary Aspects

Fiduciary risk means the risks of monies being misused when funds are transferred from one party to another for a specifically agreed purpose. All parties must ensure that the party

receiving the funds, in this case the CBO/WUAs will ensure that the following conditions are met:

i) The funds are used properly and accounted for;
ii) The funds are used for the intended purpose;
iii) The use of funds results in value for money;
iv) That the accounting records and related transactions are maintained.

The capacity of the CBO/WUAs to keep proper books of accounts and account for funds received and used is a pre-requisite to the development of proper financial systems which empowers the groups to receive funds and manage their own development. Emphasis will be placed on ensuring the provision of necessary tools and systems which support accountability.

4.11.4 Reduction of Fiduciary risks

The project will ensure that the CBO/WUAs are capacity built on financial management skills to ensure proper record and book keeping which will lead to prudent utilization of project funds. The CBO/WUAs will have an independent financial subcommittee which will ensure prudent utilization of funds.

The CBO/WUAs will be supported as per the agreed milestones in the Implementation Agreement. The CBO/WUA milestones must be assessed by the respective technical offices and FDACs before any subsequent support is given. FDACs will be carrying out monitoring visits to the CBOs/WUAs to assess implementation progress as per agreed activity plans. The project funds will be audited by internal auditors at the counties and Kenya National Audit Office (KENAO). IFAD will continue to offer supervision and implementation support to the project.

Table 4.3: Summary of Risks and their mitigation measures

Nature of risk	Risk rating	Mitigation Measures	Action By:
Few proposals are received from CBO/WUA	Low	Public announcements using both print, electronic media, public places (churches, schools, shows/exhibitions) and sensitization barazas to announce the availability of the assistance. Posters will be availed to all FDAC during the call for proposals	PCT
Too many proposals qualify for funding	Medium	Reallocation of funds to category III in the event of low absorption in any other category.	Lead agency, Borrower & PCT

Nonexistent CBO/WUA applying for funding	Medium	Eligibility criteria clearly set	PCT
		Endorsement by FDACs	FDACs
		Screening by line Departments/ agencies	Line ministries/Agencies
		Field verification by appraisal committee	
Misuse of funds by CBO/WUA	High	Training of the CBO/WUA on financial management and governance.	CPFT/ PCT
		Clear roles and responsibilities within the CBO/WUA through sub committees.	Line ministries/ agencies and CBO/WUA
		Eligibility criteria provides track record of CBO/WUA for subsequent funding	PCT
		Monitoring and supervision by FDAC and	FDAC and PCT
		Field verifications	
		WUA management held individually and collectively responsible for funds received.	Appraisal committee
		Imposing severe sanctions on funds misuse.	PCT/ CBO/WUA management
			PCT
Misuse of funds and other resources by the CBO/WUA	Medium	Each CBO/WUA management is held individually and collectively responsible for funds received.	CBO/WUA
		PCT suspends any further assistance to the CBO/WUA until the concerned WUA properly accounts for the loss and re-imburses the loss.	Social Services Department
		PCT Suspends any other funding to the	FDACs

		FDAC and the monitoring funds used to recover the loss.	
			PCT
Outputs for specific CBO/WUA activities not realized due to external factors (e.g. Weather, inflation, political instability)	Medium	CBO/WUA to factor in weather pattern when scheduling their activity. Documentation of events and certification of same by technical line departments/ agencies for possible subsequent funding.	CBO/WUAs PCT, Line ministries/agencies & CBO/WUAs
WUA activities has negative environmental impact	Medium	Check schedule 2 of EMCA 2009 during appraisal stage. Undertake EIA where required and develop Environmental Management Plan. Implement the EMP and undertake Environmental Audits	CPFT &CBO/WUA
Delayed release of project resources/materials to the CBO/WUA	Medium	Implementation activity plans and projected cash flow plans Prioritization of CBO/WUA activities Timely preparation of SOEs, WAs Timely call for proposals	PCT Lead agency PCT PCT
Misallocation of project resources at the PCT	Low	Adherence to the approved work plans and the internal financial control mechanisms. Reviews by PSC/IFAD missions	PCT PSC/ IFAD
Community groups lack the necessary capacity to effectively discharge project duties leading to one person doing everything e.g. recording transactions into the books of accounts, authorizing transactions, receiving or expending funds,	High	Training of the CBO/WUA on project management and implementation Monitoring and supervision by FDAC Support by technical department	CPFT and PCT FDAC Technical departments/ agencies

recording alterations or adjustments, and reconciling financial system transactions			
Lack of ethics and integrity by community representatives including political and administrative collusion interference.	High	CBO/WUA management trained on governance and management	PCT/ CBO/WUA management

4.11.5 Complaints Handling Mechanism

Apart from the internal mechanisms of handling complaints within the CBO/WUAs, FDACs, , the project will establish a CPFT complaint subcommittee composed of: Social Development Office (Chair); County Project Coordinator and the relevant county implementing department/ agency from which the CBO/WUA with the complaint falls and any other co-opted member up to a maximum of five (5).

In addition, a copy of all the complaints reported at the County Complaints Subcommittee shall be forwarded to the PCT for information and relevant action. The PCT shall set up complaints box and register where complaints will be dropped and registered. PCT will establish an ad hoc sub-committee to handle all the complaints

4.11.6 Sanctions and Remedies

These are the actions that will be taken when funds are reported or suspected to have been misused by the CBO/WUA:
   a) Stop all the withdrawals from the CBO/WUA account by the Sub -County SDO;
   b) No further project proposals will be awarded or received from the CBO/WUA in the respective FDA until all the funds/ materials lost are re-embursed;
   c) PCT shall request the internal audit department at the county to audit and investigate the CBO/WUA and share the report with the CPFT and PCT complaints subcommittees;
   d) Recovery- the CBO/WUA account signatories will be required to refund the misappropriated funds within 2 weeks after audit;
   e) If the funds are not paid within the stipulated time, FDAC monitoring funds will be used to recover the loss; and
   f) Prosecution of culpable culprits.

4.12   Alterations and amendments to this manual

This manual is a living document and will from time to time be reviewed to support its effective and efficient application. Once approved by the PSC and IFAD, the manual will be posted on the project website. Any contextual changes to this manual shall be approved by PSC and IFAD as may be necessary and the revised version (bearing month and year) shall be posted on the project website as well as making it available for public distribution.

5.0 FINANCIAL MANAGEMENT AND PROCUREMENT GUIDELINES

This chapter provides guidelines for planning and managing procurement and financial aspects by CBO/WUA, and similar civil society groups benefiting from the project resources.

5.1 Introduction

The aim of this chapter is to: Provide the basic financial and procurement guidelines for use by various stakeholders who are managing the community projects; put in place systems and policies that will safeguard the projects resources/assets; simplify the process of procuring and producing financial information/reports; enhance the financial and operational performance; improve accountability to all external parties including government, IFAD, auditors and other stakeholders; enhance Community members' participation in applying scarce resources; prepare the beneficiaries for long-term financial sustainability and provide a reference material for community members and other interested parties. It is important to note that this manual proposes that the CBO/WUA should contribute atleast10 percent cash contribution (depending on the category) for the proposed activity which the group must account for. This Chapter therefore discusses processes and procedures that the groups will utilise the cash contributions.

5.2 General Provisions

Community members shall not only choose local development activities to be funded, but they will also be directly engaged in the management of programme funds and implementation processes. It is envisaged that such engagements will lead to more effective community organization, with developed capacity for community planning and management, and the improvement of relationships with government and other development agencies.

These guidelines on procurement and financial procedures and processes are meant to present procurement and financial management perspective. In this case, the users include CBO/WUA in Community Driven Development organizations and Community Based Organization (CBO)/Common Interest Groups (WUAS). It brings together good practices on procurement and financial management from on-going programs and presents the procedures and methods in a simple language.

This part of the manual is a "living document", to be updated continually on the basis of experience on the ground and to be used by anyone involved in projects/ programs who find them useful.

5.3 Financial Management Guidelines

The main purpose of the Financial Management guidelines is to provide simple tools to monitor, protect the financial, legal obligations and well-being of the Community Driven Project. The guidelines set out procedures for handling project finances, recording of financial information and ensuring that internal controls are well maintained. This manual is part of the training the CBO/WRUA will undergo through for sustainable development

5.3.1   MINIMUM UTaNRMP FINANCIAL MANAGEMENT REQUIREMENTS

CBO/WUAs supported by UTaNRMP must meet the following conditions:

i)   Comply with all guidelines, regulations, circulars or other forms of financial procedures in force by the project;

ii) Abide by all internal control mechanisms put in place (operating through relevant committees – Finance, Procurement, Monitoring etc.);

iii) Meet their obligations as they fall due e.g. pay suppliers within the stipulated period;

iv) Maintain up to date inventory records, update their financial records on a regular basis (once a week is recommended);

v) Perform monthly reconciliations of their bank and cash balances, prepare regular financial statements e.g. receipt and payment accounts, asset register etc.;

vi) Review and discuss, on a monthly basis, the financial status of the organization during members' meetings;

vii) Present financial reports to the entire group during Annual General Meetings (AGM)

5.3.2   UTaNRMP Community Project Financial Management Principles

In order to achieve the objectives of effective financial management, the following principles should be observed:

i) The funds will be allocated fairly and competitively among the CBO/WUA based on agreed CAPs and other conditions as stated in this manual.

ii) The allocation of funds and their utilization must be within approved AWPB and approved proposals;

iii) The CBO/WUA members and their decision makers will be personally and jointly held responsible and accountable for the use of Project resources;

iv) In case the project resources are not spent within the financial year period, the resources shall continue to be spent on the agreed activities the following financial year as far as the proposal is still valid.

v) The project resources should be spent optimally i.e. to achieve value for money;

vi) The CBO/WUA members should be involved in all financial decision making before funds are committed (e.g. through meetings which should be evidenced by minutes and relevant committees); and

vii) There should be in place strong internal control system enforceable by procedures, regulations and rules acceptable by all stakeholders.

5.3.3 Financial Management tools

Proper and effective Financial Management (FM) process must be supported by necessary tools. Some of these tools are, rules and regulations, AWPB and M&E systems, Budgets, procurement plans, approved Community Action Plan, CBO/WUA constitution, registration documents, the finance and procurement manual, bank and cash reconciliations, internal and external audit reports, fixed assets register, Financial reports (monthly, quarterly, annual), evaluation reports, etc are necessary tools for effective FM. Respective Committees members will be trained on the above tools.

5.3.4 Budgeting

Budget is an estimate of the amount of money or other resources, including materials and labour that a CBO/WUA plans to raise and spend for a set purpose over a given period of time. The budget should be Specific, Measurable, Achievable, Realistic and Time bound (SMART). Comparison of actual vs. budget is done after the end of every period. *(Consider the budget as a tool you can use to gauge the success of your WUA project activities).*

The CBO/WUA needs the budget so as to determine the resources it will require (from their own contribution and outside) in order to achieve its objectives and also for preparing funding request to cover expected expenditure. In order to prepare a useful budget, involve all WUA members who must ask themselves the following questions:

i) Are the objectives of this project a priority? This must be in line with CAP objectives.
ii) What specific activity (ies) will be required to attain these objectives? List key activity (ies) to be undertaken during the targeted period.
iii) What resources will be required to enable us accomplish these activities? Identify the labour, and other inputs to be procured/ required for each activity to be carried out.
iv) What is the cost of these resources? Cost all the activities and inputs listed above and summarize.
v) Where can we source for the funding? Identify all sources of funds (Development partners, financial institutions and WUA own contribution) and the expected amounts.

The Expenditure control forms will be updated monthly by the treasurer and reviewed by the Chairperson of the Monitoring committee.(For Sample Expenditure control forms see Appendix 3, FPF 5).

5.3.5 Community Contribution

The project resources are expected from IFAD and GoK. It is a requirement that each CBO/WUA raises a minimum of 30% (10%) or more of the total project costs depending on the

category. This requirement may be varied in some special cases for youth and vulnerable members of the community. The variation will be considered on case by case basis. Other forms of contributions include labour, materials, or other resources depending on the nature of the project. It is expected that each CBO/WUA will keep proper and verifiable records of all such contributions in a Community Contribution diary. The finance subcommittee (comprising of Chairperson and at least 2 members) is responsible for maintaining the Community Contribution diary.

5.3.6   CBO/WUA Bank Account

The CBO/WUA shall open a **DESIGNATED BANK ACCOUNT** with a reputable commercial bank in the project area. This is the account which the CBO/WUA will channel their cash contribution. This account must ONLY be for activities related to implementation of the proposed project. The signatories should include Chairperson, Treasurer and the Secretary and a **mandatory signatory being a sub-county social development officer**. The signatories from the CBO/WUA shall not be immediate relative to the other.

UTaNRMP shall fund the CBO/WUA by paying for materials and technical support. The signatories shall not withdraw funds from the designated bank account without a committee minutes from a meeting consisting of 2/3 of the committee membership.

5.3.7   Payment of Goods, Works and Services:

i.   Any payment of goods, works and services will be paid to the supplier by the PCT and CBO/WUA based on the agreed implementation agreement. The implementation agreement will indicate how the resources will be procured, paid for and utilized, the length of the implementation period, and the eligible (approved) activities for supporting. For sustainability of the project, it is expected that community contributions will continue for operation and maintenance of the completed project.

5.3.8   Valuation of other community contribution

The valuation method to be applied on other contributions (materials and labour) will be output-based (.e.g. length of water piping laid) or input-basis (unskilled labour hours) depending on the nature of the activity.

5.3.9   Accounting

The treasurer is responsible for keeping and updating the accounting books and other financial records. The CBO/WUAs, are expected to use hard bound books as they are durable. Cash books will be used to record all financial transactions in a simplified way. Each cash book has a receipts and payments side with the following details. The CBO/WUAs will account for the

community contribution while the PCT will account for the project contribution through the normal government financial management system.

Receipts Side
The receipts side of the cash book will include the following details
- Date
- Details from whom funds have been received
- Receipt number
- Amount received

Payments Side
On the payment side, details will include
i. Date of the transaction
ii. The payee (person or organization that is being paid)
iii. Payment voucher number(reference no)
iv. Cheque number
v. Amount paid out

Receipts
The CBO/WUA Treasurer shall keep receipts for all expenses in proper order and also issue a cash receipt for the funds received. Receipts should be arranged accordingly and be kept safely. (For sample cash book see **Appendix 3, FPF 1**)

5.3.10 Payment Guidelines and Procedures
CBO/WUAs should pay their contractors, suppliers or service providers using the following procedures:
i. The payment to be made exclusively for approved project activities.
ii. Ensure all necessary supporting documents including work contract, payment certificates approved by relevant committee, cash receipts, invoice and purchase orders.

iii. Payment vouchers will be prepared by the CBO/WUA treasurer for all payments.   (Sample payment voucher see **Appendix 3, FPF 3**)

iv. Once the payment vouchers are ready, they will be passed on to the CBO/WUA Chairperson for review and approval.

v. Cheques will only be drawn once the payment vouchers have been approved, and sent to the various signatories for signature. Payment should only be by cheque except for payments that are Ksh.10, 000 and below. Cheques must be signed by the chairperson, Treasurer and secretary for cash withdraws.

vi. CBO/WUAs should strictly use payment vouchers for reimbursable cost such as transport, lunch and technical support services expenses.

vii. All expenditures are entered in the books of accounts and updated after every transaction

viii. Monthly Bank statements are collected and reconciled with cash book

ix. CBO/WUAs should provide monthly financial reports.

How to effect payment

As to "when" payments are made, one of the following methods should be used:

i. ***Payments on delivery of goods or completion of services***. The total payment is done when goods/services has been delivered, inspected and accepted as per the contract.

ii. ***Installment payments***. This is a phased payment which should be made to the supplier/service provider only in accordance with the signed contract.

5.3.11 Internal Controls

The capacity of the user groups to keep proper books of accounts and account for funds contributed and used is a pre-requisite to the management of project resources. Emphasis will be placed on ensuring the development and provision of necessary tools and systems which support accountability. Some of the weakness associated with community projects are weak accounting systems, in adequate financial management capacity and political interference.

In order to mitigate the above weaknesses, the following measures will be put in place

i. A constant review of processes and transactions by relevant bodies so that risks of loss, fraud, inaccuracies or errors are noted at all levels, and measures put in place to eliminate or minimize them;

ii. Set up arrangements that accelerate the flow of funds or project implementation,

iii. Set a monitoring and evaluation system that integrates both financial and physical progress;

iv. Accountability should be in-built into the local governance system – publishing and publicizing of financial reports by CBO/WUA committees in most common local language;

v. Undertaking internal audits of CBO/WUAs on a regular basis;

vi. Ensure security of vital documents by keeping them in filing cabinet or metal box.

5.3.12 Financial Reporting

Funds contributed by the CBO/WUA members are public resources and are subject to public accountability.

Requirements:
Submission of financial reports will be prerequisite to subsequent support. Financial reports should show total actual receipts and expenditures compared against budget, with separate summaries of the sources of cash, available cash balances, related expenditures and variances.

CBO/WUA should also prepare report on all assets and liabilities for the investment. Accompanying the financial report should be a simple narrative report on the physical progress of the project. Reports produced by CBO/WUA should be periodically reviewed by the technical officers, CPFT and PCT.

Public presentations of financial statements should also be done to enable beneficiaries scrutinize the use of funds. The following are the minimum financial records required for each CBO/WUA;

Cash Book: This book lists all of the receipts and payments made into and out of a particular designated bank account and should be updated per transaction.

Reconciliation Statements: The bank reconciliation statement compares the cash book balances against the bank statements and lays out the items that constitute the differences and should be done on monthly basis**.** (For sample Reconciliation Statements see **Appendix 3, FPF7**)

Statement of Source and uses of Funds: The preparation of periodic statements on the state of funds received and expenses incurred (simplified SOEs) is important tool in managing the resources of each CBO/WUA. The statements should be prepared on a monthly, quarterly and annual basis. A signed copy of these statements will also be forwarded to the PCT not later than two weeks after the end of the month, quarter or year to which they relate to (Sample statement of source and use of funds see **Appendix 3, FPF6**)

Asset Register: These may include livestock, boreholes and wells, farmland, business premises, irrigation machinery and so on purchased through grants. In order to maintain a proper and up to date record of all these assets, it is a requirement that each CBO/WUA keeps an asset register. A hard bound book or spreadsheet can be used for this purpose, and will include serial numbers (for machinery and equipment), date of purchase, purchase price, location, state of the asset and disposal dates. During the general members meetings, the treasurer will be required to provide an update on any changes that have occurred in the asset list.

Community Contribution Diary: This book will be used to record the community contribution. The following details will be recorded in the diary (Sample Community Contribution diary see **Appendix 3, FPF 2**)

<ol type="i">
Date of contribution
Amount or Quantity of contribution
Unit and Total costs
Project achievements

5.3.13 Auditing

To ensure accountability, communities should be encouraged to undertake their own audits in order to meet the requirements contained in the financing implementation agreements. The audits may be undertaken, at the request by PCT under special circumstances. By encouraging communities to undertake audits, governance and accountability are fostered.

5.3.14 Audit Checklist
A checklist of records and other documentation, which may be requested by the auditor, are provided below;

Table 5.1: Audit Check List

Ref	Group of Records	Description of Item
A	Primary Records	a) Cash book/petty cash book up-to-date to the year end. b) File of invoices/vouchers for all items of expenditure. c) File or book of receipts for all moneys received (or transferred). d) Bank statements, paying-in slips and cheque books
B	Summaries and reconciliation statements	a) Summary of all receipts and payments by budget. b) Bank reconciliation statements for designated accounts at the end of period. c) Inventory sheets
C	Schedules	a) Schedule of creditors (money owed by the organization). b) Schedule of debtors (money owing to the organization). c) Schedule of grants or other income due. d) List of resources received, or expected to be received. e) Fixed assets register.

D	Other information	a) A letter from bankers to confirm balances (requested by auditors). b) List of all WUAs/CBOs committees and their membership. c) Funding agreements, contracts and correspondence with donors.
E	Financial Reports	a) Previous year audit report where applicable. b) Monthly, quarterly and annual income and expenditure statements made to members and partners.

5.3.15 Technical Assistance

CBO/WUAs will seek technical support from relevant technical government department. The cost of such services will be included in the CBO/WUA's project proposal.

5.4 Procurement

5.4.1 Introduction to procurement management

Procurement may be defined as the process of acquiring or getting by purchase, hire purchase, hire, license, tenancy or by any other legal means-goods, works and services for an organization.

Procurement is a function that will support CBO/WUAs in the implementation of their project activities and is based on the idea that:

i. Community development can only be achieved if the communities take direct responsibility of their projects development and management; and

ii. The role of government and other agencies is to provide facilitative support.

This process requires to be done in a transparent and cost effective manner which facilitates the implementation of a project.

5.4.2 Use of this procurement manual

This manual shall be used:

(i) To understand procurement management for community managed civil works projects;

(ii) To facilitate CBO/WUA in managing procurement activities for their projects and

(iii) As a training resource document.

In order to achieve the above, this section of the manual aims to:

(i) Introduce key procurement concepts;

(ii) Present procurement procedures in a simplified way; and

(iii) Provide necessary forms and formats that can be used by a CBO/WUA as annexes.

5.4.3 Why a procurement Guide for CBO/WUAs?

A procurement guide ensures that:

i) Resources needed to carry out the CBO/WUAs projects are procured with due attention to economy and efficiency (lower cost, best quality and timely availability);

ii) CBO/WUA project activity and UTaNRMP funds are used to pay for resources needed; and

iii) All suppliers have an equal opportunity to compete.

5.4.4 Procurement Principles (GOK and IFAD)

The following key aspects of procurement process are generally common to the Government and other donor procurement procedures:

i) **Transparency, fairness and fraud prevention** are important so that everyone will know that funds are being honestly spent and accounted for;

ii) **Equal opportunity** ensures that the suppliers/sellers are provided with equal opportunity;

iii) **Economy and efficiency** (value for money) means that goods, works and services will be procured at a reasonable price and that the procurement planning process of is of satisfactory status;

iv) **Effectiveness** means that the goods, works and services will fulfil CBO/WUAs objectives.

5.4.5 Procurement Process

This section describes the procurement process and methods applicable to CBO/WUA projects. Understanding this section is necessary to properly carry out the procurement activities under the CBO/WUA. This manual proposes three levels of procurement. The first level is procurement of goods, works and services which are less than Kshs.10, 000.00 which will be done at the CBO/WUA level (CBO/WUA will use their 10% cash contribution for this level); the second level of procurement will be for procurement of goods, works and services of up to Kshs. 5,000,000.00 which will be done at the County level(funds will be disbursed to the counties to undertake this procurement) and the third level will be for procurement of goods, works and services above Kshs. 5,000,000.00 which will be at the PCT level. Table 5.2 below indicates the thresholds within which each level of procurement will be done.

5.4.5.1 Setting up a Procurement Sub-committee

CBO/WUAs should establish a Procurement Subcommittee responsible for procurement in their group. The composition of the sub committte is one(1) management committee member, and two (2) ordinary members.

This committee will work closely with the technical department be involved with:

i. Preparing a procurement plan and updating it regularly;

ii. Preparing technical specifications and terms of references (often very simple) for goods, works and services respectively;

iii. Opening of bids

iv. Keeping procurement records in proper order.

v. Taking on charge of goods, works and services procured

vi. Issuing of goods

5.4.5.2 Selecting a procurement method

In general, the choice of the procurement method depends on the financial value of the goods, works and services to be procured. A **Financial Threshold/Ceiling** has been set by the UTaNRMP depending on type/ category of activity being financed.

Note that UTANRMP may revise these from time to time. Procurement thresholds are given in Table 5.2 below. **It should however be noted that PCT may facilitate procurement of several community proposals to shorten the procurement process and payment of taxes**

Table 5.2: Procurement Thresholds

Threshold/Ceiling:	Use this method	Key activity
Up to Ksh10,000	Buy off the shelf from a seller (low threshold procurement). It should be within the Focal Development Area (FDA) jurisdiction where applicable	The CBO/WUA to Shop around for the best price and keep a receipt.
Between Ksh. 10,001 and 5,000,000	Invite quotations. Give adequate time at least 7 days for amounts of up to Kshs. 500,000.00 and at least 14 days for amounts of above 500,000.00 for submission of bids.	Obtain a minimum of 3 quotations/bids from approved pre-qualified suppliers by County.
Ksh 5,000,001 and Kshs. 20,000,000.00	Invite bids from pre- qualified suppliers	Obtain quotations/bids from a minimum of five approved pre-qualified suppliers by PCT
Kshs. 20,000,001 and above	National Open Tender.	Advertise in two newspapers of nationwide circulation by PCT.

5.4.5.3 Preparing a Procurement Plan

Procurement planning is scheduling steps involved to procure goods, works and services. A procurement plan shows the items that will be required by a CBO/WUA and shows what will be procured and when and to meet which needs. The procurement plan should be included in the proposal and can be reviewed during the implementation.

a)   Packaging

When preparing the procurement plans, all related procurement items covered by the budget will be grouped and prepared into procurement packages. The procurement items will be grouped into goods, works, non-consulting services and consulting services. Procurement packaging has several advantages:

i. It offers a better business chance to the sellers to supply in bulk;

ii. Items procured in packages often result in lower unit cost – therefore cost savings to CBO/WUAs;

iii. It simplifies the procurement process. All similar items are procured together for a period. This reduces the hassle involved in buying similar things intermittently; and

iv. It reduces overhead costs such as frequent advertising, bookkeeping and logistics to CBO/WUAs.

b)   Procurement Plan preparation

Once packaging is done, the remaining individual items and packages should be recorded in the tables presented in Annex 4, FPF 11. This is a consolidated list of resources required for the entire CBO/WUA planned activities.

5.4.5.4 Procurement Requisition:

The management committee will be involved in the initiation of the procurement. The CBO/WUA committee will be involved in preparation of detailed description of their requirements such as the Bill of Quantities (BQs), Specifications, Terms of Reference (ToRs) among others in the preparation of their proposal.

5.4.5.5 Advertising

PCT/County will advertise for prequalification of suppliers in two dailies of national circulation from which a shortlist of suppliers will be selected based on a preset criteria. Advertisement is necessary to:

i.   Inform everyone about the business opportunities available;
ii. Promote transparency and accountability.

5.4.6   Procurement steps
This section explains the necessary procurement process steps.

5.4.6.1 Preparation of Technical Specifications
A specification is a broad description that expresses in effective terms what is required for use by the user.
Technical specifications referred to in tender documents will be prepared in liaison with relevant technical departments in order to ensure procurement of quality goods, works and services. Specifications shall be based on relevant characteristics and/or performance requirements while references to brand names, catalogue numbers, or similar classifications shall be avoided.

5.4.6.2 Preparation, Submission and Opening of Tenders:
Tenders are to be received and opened in the manner stated in the tender documents and for the purpose of receiving tender bids, each CBO/WUA will be invited during tender opening.

5.4.6.3 Evaluation of Tenders:
Technical evaluation will be undertaken as stated in the tender document. During the Evaluation of bids a representative of the CBO/WUA will be invited to participate.

5.4.6.4 Contract Award:
The decision on who to award will be made by each respective County Service Coordinating Unit Tender Committee for contract values of up to Kshs.5, 000,000. Contract awards above this threshold will be awarded by the PCT based on the advice of the Embu County Service Coordinating Unit Tender Committee. The respective CBO/WUA will be informed of the decision of each respective tender committee.

5.4.6.5 Signing of Contract:
After the contract award, the contract shall not be signed until after 7 days after the notification of contract award. The contract shall be deemed to be formed when it is signed by both parties. All Contracts will up to Kshs. 5,000,000.00 be signed by the County Project Coordinator and witnessed by CBO/WUA representative while those above Kshs. 5,000,000.00 will be signed by the Project coordinator and witnessed by a CBO/WUA representative. Signed Local Procurement/Service Orders which are also signed by the supplier shall be sufficient in this case.

5.4.6.6 Performance of Contract

After the contract is signed the supplier/ contractor/consultant shall be responsible for implementing the contract in accordance with the tender document and client's proposal, terms and conditions of the contract and the relevant committee and the respective technical officer shall be responsible for the management of the contract.

5.4.6.7 Receipt, Inspection and Acceptance

On the delivery of goods, works or services an ad hoc inspection and acceptance committee of not less than three members including a representative of the CBO/WUA and an officer from the respective technical department will be appointed to:-

a) Immediately inspect and where necessary test the items involved;
b) Inspect and review the goods, works or services in order to ensure compliance with the terms and specifications of the contract;
c) Accept or reject on behalf of the CBO/WUA, the delivered goods, works or services.
d) Ensure that the correct quantity has been received.
e) Ensure that the goods, works or services meet the technical standards defined in the contract;
f) Ensure that the goods, works or services have been delivered or completed on time or that any delay has been noted and acted on;
g) Ensure that all required manuals or documentation have been received;
h) Issue interim or completion certificates or goods recorded notes as appropriate and in accordance with the contract; and
i) Sign all the relevant documentation

The Inspection and Acceptance Committee must sign the Inspection and Acceptance Certificate (**Appendix 3, FPF 16).** Once works and services are completed by the contractor, a Completion Certificate must be signed (Appendix 3 FPF 25 and FPF 26).

5.4.7   Procurement Appeals Procedures

Those appealing against decisions have several avenues for redress. The Appellant should put his/her complaints in writing and should attach copies of the relevant documents.

i. The complaint should be lodged with the respective tender committee first;
ii. Project Coordinating Team;
iii. Public Procurement Oversight Authority (PPOA).
iv. Ethics and Anti-Corruption Commission (EACC); and
v. Kenya Police Service (CID)

5.4.8   Procurement record keeping and monitoring

CBO/WUA must keep procurement documents in proper order. They include:

    i.   The procurement plan;

   ii.   Proof of advertisement;

  iii.   Request for Quotations/Tender;

  iv.   Tender/Quotation opening register;

   v.   Evaluation reports;

  vi.   Copies of contracts signed;

 vii.   All receipts;

viii.   Record of items in storage;

  ix.   Requisition forms by the procurement sub-committee approved by the executive committee;

   x.   Received quotations/tender documents;

  xi.   Inspection and acceptance reports;

 xii.   Adjudication and award reports.

A representative of the UTaNRMP, from time to time, will check records to ensure that the procedures described in this manual are followed and records are kept in proper order as part of the normal UTaNRMP process of ensuring that project funds are used appropriately.

The representatives may also ask the Procurement Subcommittee to show where a procured good or service has been used.   Before a payment is made to a supplier or service provider, the Procurement Subcommittee should inspect and certify that the goods/services are in acceptable condition. When the CBO/WUA lacks the expertise to make an inspection, it may contact the nearest UTANRMP office for assistance and help.

5.4.9   Store Keeping

Items procured or supplied for a project and relevant documents are the responsibility of the WUA procurement sub- committee:

   i.   The procurement sub-committee should undertake appropriate measures in storing items, such as, allocating a secure room or storage area under lock and key;

  ii.   If needed, a watchman should safeguard the stored supplies;

 iii.   The CBO/WUA should designate a person (storekeeper) who is responsible for the storage;

 iv.   The storekeeper should keep a store record book (Appendix 3 FPF 19).

MINISTRY OF WATER AND NATURAL RESOURCES
UPPER TANA NATURAL RESOURCES MANAGEMENT PROJECT (UTaNRMP)
P.O. Box 996-60100 EMBU, Tel: 068-2231376, E-mail: utanrmp@gmail.com

CALL FOR PROPOSALS FOR FUNDING FROM:

COMMUNITY GROUPS/WATER USERS ASSOCIATIONS (WUAs) /COMMUTY BASED ORGANISATIONS (CBOs) FROM THE PROJECT FOCAL DEVELOPMENT AREAS (FDAs) TO DEVELP/ REHABILITATE WATER SOURCES, WATER CONVEYANCE SYSTEMS(DOMESTIC /IRRIGATION) OR REHABILITATE HOTSPOTS

1. BACKGROUND

Upper Tana Natural Resources Management Project is an eight year project (2012-2020) funded by Government of Kenya, International Fund for Agricultural Development (IFAD), Spanish Trust Fund and the Local community. The **goal** of the project is to **"*contribute to reduction of rural poverty in the Upper Tana river catchment"*.** This goal is pursued via two **development objectives** which reflect the poverty-environment nexus namely (i) increased sustainable food production and incomes for poor rural households living in the project area; and (ii) sustainable management of natural resources for provision of environmental services.

The project is being implemented in the Upper Tana catchment along 24 river basins and the **tributaries** of the four (4) river basins under Mt Kenya Pilot Project(MKEPP) and UTaNRMP river basins are as follows:-

Tributaries of the Mt. Kenya East Pilot Project for NRM (MKEPP) River Basins (4)	**Ena**(Itimbogo, Thuura and Gangara) **Kapingazi/Rupingazi**(Kiye, Thambana, Itabua and Kathita), **Kathita** (Gaciuma/Kinyaritha, Kuuru, Riiji), **Kithinu/Mutonga**(Naka, Nithi, South Maara, North Maara and Thuci)
Twelve (12) High Priority River Basins for UTaNRMP	Maragua, Murubara, Nairobi, Ragati, Rujiweru, Rupingazi, SabaSaba, Thangatha, Thanantu, Thiba, Thika/Sasumua and Thingithu

Twelve (12) Other River Basins for UTaNRMP	Amboni/Muringato, Iraru, Kayahwe, Chania, Mara, Mariara, Mathioya, Nyamindi, Ruguti, Rwamuthambi, Sagana and Ura

The project area is in six counties namely; Embu, TharakaNithi, Meru, Nyeri, Kirinyaga and Murang'a and the area includes the Mt. Kenya and Aberdares National Parks and surrounding Forest Reserves. Project implementation is through four components namely: Sustainable Water Resources and Natural Resources Management, Sustainable Rural Livelihoods, Community Empowerment and Project Coordination and Management. **The Project Lead Agency is the Ministry of Water and Irrigation.**

2. PROJECT FUNDING MODALITIES

The project has two main community funding Modalities:-
  i.   Grants to common interest groups through Project Coordinating Unit.
  ii.   Grants Water Resources Users Associations through Water Services Trust Fund.

3. SUSTAINABLE MANAGEMENT OF WATER RESOURCES SUB- COMPONENT
  This project's sub- component supports the following main activities:-

v.   Implementation of sub-catchment management plans(SCMPs)

This is where Water Resources Users Associations (WRUAs) will be supported by the project to implement their SCMPs. The funds are based at Water Services Trust Fund (WSTF) and the groups must have developed plans for their catchment for implementation. WSTF is mandated to advertise for call for proposals.

vi.   Community Water development and management

This is where the Water Users Associations (WUAs)/community groups and CBOs are assisted to Rehabilitate/upgrade their water sources, water conveyance systems or hotspots. The activities should be income generating in nature. These activities are supported by the PCT.

vii.   Water Saving Irrigation technologies
CBOs/WRUAs /Community groups will be supported by the project to upgrade their existing irrigation systems to improve on their efficiencies. The support is through the PCT.

viii.   Remedial works at hotspots
Point sources of water contamination occur in many parts of the project area.Under this sub-component the project will support the rehabilitation of those hot spots that require civil works.

3. PROPOSALS

Community groups requesting for assistance from Upper Tana Natural Resources under the water resources management sub-component should include:-

  a) Community water development. These activities are:-
  i. Rainwater harvesting and storage including water pans and dams
  ii.   Rehabilitation of boreholes, shallow wells and springs,
  iii. Rehabilitation of (common) intakes /devises and community domestic water supply systems
  b) Water - Saving Irrigation technologies
     These activities include:-
  i. Upgrading of water conveyance systems and improvement of Water application systems in order to improve efficiencies.
  c) Remedial works at hot spots
     The activities include rehabilitation of road embankments; borrow pits, quarries, and denuded hilltops, and eroded riverbanks, wetlands, springs.

All the above stated activity fields should have been identified in the respective Community Action Plans of the respective Focal Development Area in which the group WUAs/community groups/CBOs is located.

The CBO/WUA/community group may seek for technical support from relevant Government/Department/Agency when preparing technical aspect of the proposal/attachment to the proposal

4. **FUNDING**
The WUA will be required to contribute 30% of the total proposal cost while UTaNRMP will provide assistance to a maximum of 70% of the total proposal cost, except in rehabilitation of hotspots where the maximum assistance from UTaNRMP is 90%. An implementation agreement will be signed between UTaNRMP and the successful group/WUA/CBO specifying on the mode of implementation arrangement

5. **ELIGIBLE FDAs**
The proposals should come from the following 1st and 2nd level FDAs.

S/No	River Basin	Name of the FDA	FDA Level
1	Thangatha	Lower Thangatha	1st
		Mauthini -Kanjoro	1st
		Kunati	1st
		Kithanga	2nd
		Gathiri	2nd
		Ntoroni- Irunduni	2nd
		ThangathaUwezo	2nd
		Muthinto	2nd
2	Thanantu	Kithiga	1st
		Kereria -Gatunga	1st
		Nkumbo	1st

		BaraimuKiorimba	1st
		Kiega	2nd
		Michimikuru	2nd
		KirimaNtigiri	2nd
		Kiamagogo	2nd
		Mwamko	2nd
		Magi	2nd
		Matakiri -	2nd
3	Rujiweru	Mutethia	1st
		Nthambiro	1st
		Kimka	1st
		Kindani	2nd
4	Thingithu	Ntugi –Ibote	1st
		Karocho -Gakurungu	1st
		Nkuene	1st
		Kondaki	1st
		Kiija	1st
		Kiama	1st
		Kiria	2nd
		Kathangune	2nd
		Tumaini	2nd
		Chomu	2nd
		Muchoki	2nd
5	EnaThura	MattaThura	1st
		Upper Thura	2nd
		ItiraThura	2nd
		ThuraKwaAndu A Mbogo	2nd
		Njeruri	2nd
		KiogoraThura	2nd
		Lower Thura	2nd
	Ena (Gangara)	Gangara	1st
	Ena (Itimbogo)	Matururi	1st
		Karago	2nd
	Ena(Rwanjoga)	Upper Rwanjoga	2nd
		Kamitaari	2nd
6	Mutonga (North Maara)	Gankungo	1st
		3K- Iruri	1st
		NkumboMwangaza	2nd
		Kiakanku	2nd
		Kambo	2nd
		Kithima	2nd
		Giamboma	2nd

	Mutonga (SouthMaara)	Ikakika	1st
		Mwekinga	2nd
		Inanduru	2nd
		Kimugwi	2nd
	Mutonga(Nithi	Kaka	1st
		Kagika	2nd
		Upper Nithi	2nd
	Mutonga (Thuci)	Lower ThuchiKamaindi	1st
		Kamukima	1st
		IshiaraThuci	1st
		Mukuria	1st
		KamwimbiThuci	2nd
		Kaiga	2nd
		Muthuma	2nd
		Thuma	2nd
		Kyeni /Kiangagwa	2nd
		Thuchi /Gitwa	2nd
		Nguthi	2nd
	Mutonga (NAKA)	Riancege	2nd
		Maringani	2nd
		Kamuimu	2nd
		Kimwe	2nd
		Riancege	2nd
7	Kathita (Riiji)	Ngwata	1st
		Mwirumba	2nd
		Runyweka	2nd
	Kathita (Ngaciuma)	Karwangichu	1st
		Runkuruu	2nd
		Kiruka	2nd
	Kathita (Kuuru)	Nchura	1st
		Kuuru-Kirimiri-Kieru	2nd
		Nthacio	2nd
	Kathita (Kinyaritha	Kambereu	1st
8	Nairobi	Kaluna	1st
		Munyu	1st
		Kimanga	1st
		Kigaki	1st
9	**Thiba**	Kiumbu	1st
		Marurumo	1st
		Nduini	1st
		Mikarara	1st
		Karia	1st

		Thiba	2nd
		Marura	2nd
		Kaki	2nd
		Wamumu-Kiamanyeki	2nd
		RugaRwaKimi	2nd
		Thumaita Central	2nd
		Ndikaki	2nd
		Kimbetha	2nd
		Kariko /Thaita West	2nd
		Kathare/Kirumba	2nd
		Mukarara	2nd
		Gakika	2nd
10	**Rupingazi**	Marurumo	1st
		Romu	1st
		Runyange (Kiiye)	1st
		Kangengi (Kiiye)	2nd
		Mugambaciura	1st
		Upper Rupingazi	1st
		Runyatha	1st
		Lower Rupingazi	1st
		Kathaka	2nd
	Rupigazi (Itabua)	Upper Itabua	1st
		Lower Itabua	1st
11	Murubaara	5K	1st
		Kanyakima	2nd
		Gathigiriri	2nd
		Rwaraka	2nd
12	Ragati	Gikumbo	1st
		Kangocho	1st
		Kakamara	1st
		Kiamwangi	1st
		Ragati 1(Githimusa)	1st
		Ragati 2 (Githara)	1st
		Karuru	2nd
		Muga	2nd
		Triple G	2nd
		Nyarungu	2nd
		Kianguka	2nd
13	Maragua	Mugagaki	1st
		Makikaka	1st
		KangemaAberdare	1st
		Komika	1st
		Upper Maragua	1st

		bridge	
		Munuga	1st
		Ndugagaki	2nd
		Yamika	2nd
		Muthithi	2nd
		Mugumoini	2nd
		Kiruga	2nd
		Lower Kinyona	2nd
		Kinyona	2nd
		Irati	2nd
		Giitaga	2nd
		Lower Karurumo	2nd
14	Thika	Ndakaini and Kigoro	1st
		Mung'aria	1st
		Sakiuki	1st
		Gitiri-Njaini	1st
		Muchoki	2nd
		Mukiuki	2nd
		Mbuguti	2nd
		Gagaki	2nd
		Kariara	2nd
		Ngurueini	2nd
		Ithiru South	2nd
		Ngelelya	2nd
		Ithanga	2nd
		Nanga	2nd
		Kakuzi	2nd
		Githumu	2nd
		Kagira	2nd
		Ngararia	2nd
		Kigumo	2nd
		Githima	2nd
		Makomboki	2nd
15	Sabasaba	Mugaa	1st
		Sawaka	1st
		Kamangu	1st
		Sabasaba	1st
		Kagaki	2nd
		Gakaga	2nd
		Githembe	2nd
		Mugumoini	2nd
		Mamamuga	2nd
		Kamahuha	2nd
		Kibage	2nd

		Gakangu	2nd
		Lower Kambiti	2nd
		Karimara	2nd

6. **ELIGIBILITY CRITERIA**

The civil works Manual provides relevant eligibility criteria and all the requirements. As a minimum the applicant must be registered as a community group or cooperative society by a relevant government institution .In addition the group must:-

   i.   Be an active group (with up to date registration) and have been in existence for minimum of 6 months since registration;

   ii.   Have a bank account with a Commercial Bank;

   iii.   Provide evidence of 1/3 (30% minimum) of the costs of the project as evidenced by such an amount in their bank account or access to credit lines, or a combination of labour/materials and cash;

   iv.   Be based at the Project Focal Development Area (FDA) listed above and proposal endorsed by Focal Development Area Committee (FDAC), relevant Water Resource Users Associations (WRUAs);

   v.   Proposal has met all the legal/statutory requirement for implementation;

   vi.   Applied using the prescribed form.

7. **INELIGIBLE PROPOSALS – proposal will not be eligible if:**

   i.   The group is bankrupt or insolvent, being wound up, or having their affairs administered through the courts;

   ii.   WUA/CBO/Community groups officials have been convicted of an offence concerning their professional conduct;

   iii.   The WUA/CBO/Community groups have been found guilty of grave professional misconduct;

   iv.   The group has not fulfilled its obligations relating to the payment of statutory contributions or taxes;

   v.   The group or its officials are subject of a judgment for fraud, corruption, involvement in a criminal organization or any other illegal activity; and

   vi.   The group or their officials are subject to a conflict of interest or conflicting activities;

   vii.   The activity is not among the ones in this advert.

NB: Submission of proposal by WUA/CBO/ community group is not a guarantee the proposal will be funded.

8. **DURATION**

The proposed projects are to be completed at least in **three years**

DEADLINE

The call for proposal deadline is **----------------------------**(**30days from the date of the Call for Proposals**)

9. **APPLICATION FORMS AND ENQUIRIES**

Application forms, grants guidelines and manual are available at the following offices and are not for Sale.

i. **Project Coordinating Unit Offices-**
   Upper Tana Natural Resources Management Project (UTaNRMP)
   P.O. Box 996 -60100. Tel +254-68-2231376
   Embu
   Email: utanrmp@gmail.com Website: www.utanrmp.or.ke

ii. **County Offices**

County Project Coordinator	County Project Coordinator
Embu County	Nyeri County
Embu West -Water Offices	Tana Water Services Board building
P.O Box 542	P.O Box 1343
Embu	**Nyeri**
County Project Coordinator	County Project Coordinator
Tharaka Nithi County	Muranga County
Meru South -Water Offices	Muranga -WRMA sub region office
P.O. Box 263-60400	P.O. Box 460
Chuka	**Muranga**
County Project Coordinator	County Project Coordinator
Meru County	Kirinyaga County
Next to Meru WRMA sub–region office	Kirinyaga WRMA sub region office
P.O. Box 1152	P.O. Box 360
Meru	**Kerugoya**

iii. **County and Sub-County Social Development,Irrigation and Water Offices**

Embu	Nyeri	Kirinyaga
Tharaka Nthi	Muranga	Meru

iv. **All chairpersons of Focal Development Areas (FDAs)**

<div align="center">

Project Coordinator
Upper Tana Natural Resources Management Project (UTaNRMP)
For: Principal Secretary
Ministry of Water and Irrigation

</div>

F2: Proposal Format

Civil Works activities Proposal Application Form (THIS FORM IS NOT FOR SALE)

For official Use only	
Name of the Water users associationsCBO/(WUA):	
Proposal Reference No:	
Category Applied for *:*	
Date Received at CPCs office:	

Instructions

*Please read this application form and information document on the __Call for Proposals (CFP) guidelines__ carefully before you fill this proposal application form. The application forms should be filled in **English**. Filling this form is __not a guarantee__ that your project will be funded.*

Requirements

1. *The application form for proposal is only to be filled and submitted by applicants who meet the general and specific criteria as indicated in the "call for proposals".*

2 *It is important to attach all the required documents as a proof that all the requirements have been met.*

3 *All proposals must be endorsed by the FDAC, WRUA before they are submitted to the County Project Coordinator's office.*

I, the County Project Coordinator of………………………County confirm that the proposed project as stated in this Proposal Application Form is in line with the objectives and priorities of the Upper Tana Natural Resources Management project.

Name:

Date:

Signature:

Official Stamp:	

A.   General Information

Name of the CBO/WUA	
CBO/WUA Registration No.	
Contact Address	
Date of Registration	
Type of registration/registered with	
Number of CBO/WUA members (Men, Women)	
County	
Sub-County	
River Basin	
CBO/WRUA	
FDA	
Nearest trading centre	

Details of the CBO/WUA Executive Committee

Name of Chairperson	
Telephone number of Chairperson	
Duration in office	
Name of Secretary	
Telephone number of secretary	
Duration in office	
Name of Treasurer	
Telephone number of Treasurer	
Duration in office	

Details of the FDAC Executive Committee

Name of Chairperson	

Telephone number of Chairperson	
Name of Secretary	
Telephone number of secretary	
Name of Treasurer	
Telephone number of Treasurer	

CBO/WUA Bank Details

Bank Name	
Branch Name	
Branch Code	
Account Name	
Account Number	

CBO/WUA Account Signatories

Signatory 1	
Name(Full Names)	
ID number	
Signatory 2	
Name(Full Names)	
ID number	
Signatory 3	
Name(Full Names)	
ID number	

B.   Proposed Project Information
Proposal General Information

Name of the proposed project	
Category of the project applied for (A or B)	
Duration of the proposed project	
Requested(IFAD) funding (Kshs.)	
CBO/WUA contribution (Kshs.)	
Total cost of the project (Kshs.)	
% of CBO /WUA contribution to project cost	
Project Direct Beneficiaries: Number of Women:	

Number of Men:	
Number of Youth[1]:	
Number of the Elderly[2]:	
Number of vulnerable people [3]	
Others (specify):	
Total number of beneficiaries	

Detailed Proposal Information

i) Description of the project and its Effectiveness** (1 page)

Background information that led to the formulation of the Project

Describe the possibilities for replication or extension of the Project outputs in other communities or individuals (multiplier effects)

**Effectiveness: The extent to which the objectives of a development intervention were achieved, or are expected to be achieved or measure of the actual or likely attainment of project objectives

1. Youth is any person who is 35 years and below

2. Elderly is any person who is 65 years and above

3. Vulnerable is any person who is physically disadvantaged.

ii) Goals and objectives of the proposed project (½ page)

iii) Main project milestones*** and related activities of the proposed project (½ page)
The milestones should be Specific, Measurable, Achievable, realistic and Time bound

*** Milestones is a logical flow of activities

iv) Expected Outputs**** (½ page)
The outputs should be Specific, Measurable, Achievable, realistic and Time bound

****The tangible results achieved due to the implementation of project activities

v)   Relevance***** of the proposed project in addressing poverty and natural resource issues in the area (½ page)

Relevance***** is a measure of the project strategy and activities to the needs of the group or overall goal of the group

 vi) CBO/WUA members involvement and participation (2 pages)

CBO/WUA engagement in project initiation, formulation, planning, implementation and operation

How will the following monitor the project progress?

- CBO/WUA members

- Executive committee

- Sub committees

Specify the role and participation in the proposed Project of the various stakeholders

- FDAC

- WRUA

- Line ministries/ Agencies

- Project Coordination Team

- Others

Organizational structure of the CBO/WUA

vii) **Financial and Implementation capacity of the CBO/WUA**

Experience of the CBO/WUA to manage and implement this project

Experience of the CBO /WUA in managing financial resources

viii) **Sustainability mechanisms**
Financial sustainability: financing and financial management of follow-up activities, sources of revenue for covering all future operating and maintenance costs

Institutional sustainability: organizational structures which will allow the results of the Project to continue being in place after the end of the Project

Environmental sustainability: availability of Environmental Impact Assessment report and mechanisms put in place to implement Environmental Management Plans and future Environmental Audits.

ix)   Indicative activity schedule

Attach the activity schedule

x)   Budget

The budget will be prepared as per respective category. See Technical Support Notes (TSN) in appendix 4 to assist in budget preparation.

xi)   Proposal certified by CBO/WUA

Name	Designation	Signature	Date

WUA official Stamp……………………………………

xii)   Proposal Endorsement by other Stakeholders

Level	Name	Signature and stamp	Date
Line Department/ Agency			
FDAC			
CPFT			
PCT			

C: Attachment to this Proposal

The following copies of documents should be attached:

i)   CBO/WUA registration certificate

ii) Signed CBO/WUA members list (name, ID number and signature)

iii) Minutes approving this proposal

iv) Financial report (Recent bank statement, Recent Financial statement , Bank/cashbook reconciliation statement – among others)

v)   Drawings/Bill of Quantities or any documents required for implementation

vi) Sketch map showing location of the CBO /WUA.

vii) CBO/WUA Constitution

viii) Minutes of the most recent full CBO/WUA members general meeting

ix) Project design

x)   All statutory requirement to implement the project e.g. water permit, way leave, EIA, etc.

F3: Desk and Field Appraisal Guidelines

Proposal Check List and Scoring –

Desk Proposal Appraisal Instructions

> i. *Read application carefully*
>
> ii. *Check adequacy (completeness) of Application/Request for Funds*
>
> iii. *Follow checklist to establish whether quality & content of proposal is acceptable*
>
> iv. *Recommend what is the next action required on this Application/Request for Funds.*

General information

Name of CBO/WUA	
Request for Funds Number	
County	
Sub-County	
River Basin	
CBO/WRUA	
FDA	

Eligibility Criteria

Item	Answer (Yes/No)	Comments
Is CBO/WUA within UTaNRMP Project area?		
Has CBO/WUA been appraised before?		
Has technical support been sought by the CBO/WUA?		
Proposal Form – complete & signed by CBO/WUA Officials		
Proposal Form - Endorsement by FDAC		
Proposal Form Endorsement by Line Agencies		
Proof of Registration - Certificate of Registration		
Katiba/ Constitution		
Minutes of meetings & AGM		
Activity/ Business Plan		
Sketch Map indicating Location of CBO/WUA		
Detailed Budget of proposed activity		
Members Register		
Financial report		
Does the proposal meet all the legal requirements .e.g EIA, Way leave, water permit etc.		
Review ANSWER column. Are there any NO answers? Examine the issue and decide required action for application.		

Review of Request For Funding

Scoring Criteria	Scoring out of Five (5) 5-V.Good 4-Good 3-Moderate 2-Poor 1-V.poor	Comments
To what extent do the proposed activities integrated with other natural resources?		
To what extent do the expected outputs address stated problems? (Relevance)		
To what extent will the proposed activities result in desired outputs? (Appropriateness)		
Gauge whether the timeframe is reasonable		
To what extent do the proposed activities meet eligibility criteria?		
To what extent does the proposal address EIA issues where required?		
Sub-Total out of 30		
Management		
To what extent has the CBO/WUA been able to successfully implement other activities?		
Is WUA Management Committee properly elected? **(Yes=5 No=1)**		
How is gender representation within the CBO/WUA management committee? **G*ive actual figures in the comments.***		
To what extent does the proposal address the needs of the vulnerable members in the CBO/WUA (HIV/AIDS, PWDs, Chronically ill, elderly, very poor)		
Sub-Total out of 20		
Implementation Capacity		
Has adequate technical support been factored in? **(Yes=5 No=1)**		
To what extent are the relevant stakeholders' collaborations addressed by the proposal?		
Sub-Total out of 10		
Sustainability		
Is the role of the members of the CBO/WUAs included in the proposal? **(Yes=5 No=1)**		
To what extent is the community contribution factored in the proposal as per category?		
To what extent is sustainability issues covered in the		

proposal?		
Sub-Total out of 15		
Proposed Budget		
Is budget within funding thresholds as per category? **(Yes=5 No=1)**		
To what extent is the budget adequate for the proposed activities? (Efficiency)		
To what extent is the community contribution reasonable & achievable?		
To what extend does the community contribution surpass the minimum as per the category?		
Sub-Total out of 20		
Project Monitoring		
To what extent are the proposed outputs well defined?		
Are the milestones well defined? (Specific, Measurable, Achievable, Realistic and Time Bound) **(Yes=5 No=1)**		
Sub-Total out of 10		
GRAND TOTAL out of 105		
General Comments		

Recommendation	Answer (Yes/No)	Comments
Application Accepted for field verification		
Application Rejected		

Appraisal Team

No	Name	Position/Designation	Date	Signature
Endorsement by the team leader: **Name:**				

Appraisal Team Field Verification

Materials

1. Application & supporting documents
2. Desk appraisal form
3. Field appraisal form

Instructions

1. *Read application and desk appraisal form carefully.*
2. *Meet with management committee, including members of the WUA.*
3. *The WUA to provide all necessary original documents relevant to the proposal*

General information

Name of CBO/WUA	
Request for Funds Number	
County	
Sub-County	
River Basin	
WRUA	
FDA	
Date of Field Verification	

Documents to be availed during Field Appraisal	Available/Not Available	Remarks
Copy of Proposal – complete & signed by WUA officials		
Proof of Registration - Certificate of Registration		
Katiba/Constitution of the CBO/WUA		
Minutes of meetings & AGM		
CBO/WUA implementation plan		
Sketch map indicating the activity site		
Detailed activity Budget		
Members Register		
Immediate past Public Funding Progress Report (If any)		
Financial report		

Review of Application

Scoring Criteria	Answer (Yes/No)	Comments
Are all contact details correct?		
Are members aware of problems/objectives/proposed solutions as stated in proposal?		
Are members aware of proposed activities?		
Does the proposed solution in the proposal practically address		

the CBO/ WUA problems? **(Relevance)**		
Review implementation timeframe with members. Is the timeframe reasonable?		
Management		
Is there gender representation within WUA management committee?-*If yes give actual figures in the comments*		
Have officials been constitutionally elected?		
Does the management committee meet as per constitution to handle CBO/WUA affairs?		
Is there good attendance at the WUA meetings?-*Is Quorum met in all meetings as per Constitution/by-laws?*		
Do CBO/WUA meetings adhere to resolutions as per the minutes?		
Is the management structure as outlined in the constitution adhered to?		
Are meetings held as per the CBO/WUA by-laws or constitution?		
Implementation Capacity		
Does CBO/WUA have a track record of project implementation?		
Are proposed activities reasonable given /CBO/WUA implementation capacity?		
Is the project technically and physically feasible		
Are the relevant technical personnel involved in the development of the proposal? If Yes, which departments/agencies?		
Sustainability		
Are the beneficiaries aware of their roles as stated in the proposal?		
Is the Community Contribution factored in the proposal reasonable and affordable in the long run?		
Are all the environmental factors considered in the EMP		
Are cost /benefit analysis realistic		
CBO/WUA Record Keeping		
Minutes of Meetings		
Receipt book		
Stores book		
Members Register		
Bank statements		
Books of Accounts		
Record of Community Contribution		
Financial Management		
Are members aware of the budget?		
Is budget reasonable for proposed activities?		
Is community cash contribution reasonable & achievable?		
Does CBO/WUA have proper financial accounting arrangements?		

Does CBO/WUA have proper procurement plan?		
Does the procurement sub-committee in place		
Project Monitoring		
Are proposed milestones well identified and understood by members?		
Is there a reasonable plan for progress monitoring?		
Does the group have business plan (for income generating activities-category A)		

Review ANSWER column. Are there any NO answers? Examine the issue and decide required action for application.

General Comments		

Recommendation	Answer (Yes/No)	Comments
Application Accepted		
Application Rejected		

CBO/WUA Members and relevant Stakeholders Consulted during Field Appraisal

NO	NAME	ID	POSITION	SIGNATURE	DATE

Appraisal Team

No	Name	Position	Date	Signature
Endorsement by the team leader: **Name:**				

Eligibility Criteria for Subsequent support
General Information

Name of CBO/WUA	
Request for Funds Number	
County	
Sub-County	
River Basin	
WRUA	
FDA	
Name of the project previously funded	
Objective of funding	
Activities funded	
Completion Certificate No. (Attach copy)	
Immediate past funding (Kshs.):	
UTaNRMP funding (Kshs.)	
Community Contribution (Kshs.)	
Total Cost (Kshs.)	
Expenditure (Kshs.)	
% Expenditure of total funding	
Name of the proposed project	
Objective (s)	
Activities	
Is the current proposal related to the previous supported activities, in terms of value addition, expansion or support services to the earlier funded activity? (Yes/No)	

Review of Immediate Past UTaNRMP support Financial Report

Scoring Criteria	Answer (Yes/No)	Comments
Financial Statement available and correct		
Expenditure statement available and correct		
Bank/cash reconciliation statement available and correct		
Copies of bank statements		
List of all procurements		
Report on evaluation of tenders		
Have the financial report been scrutinized and found to be in order?		

Review of Immediate Past UTaNRMP Funding Progress Report

Scoring Criteria	Scoring out of Five (5) 5-V.good 4-Good 3- Moderate 2-Poor 1-V.poor	Comments
To what extent has the outputs been achieved?		
Gauge the adherence to Implementation time frames (Timeliness)		
How well were the outputs geared towards achieving the objectives/addressing the stated problems? (Relevance)		
To what extent have the outputs resulted to the desired impacts? (Effectiveness)		
To what extent were the outputs achieved with the allocated budget? (Efficiency)		
To what extent have the activities been implemented in collaboration with other relevant stakeholders?		
Sub-Total out of 30		

Review of Proposal

Criteria Scoring	Scoring out of Five (5) 5-V. Good 4-Good 3- Moderate 2-Poor 1-V. Poor	Comments
To what extent do the expected outputs address stated problems? (Relevance)		
To what extent will the proposed activities result in desired outputs? (Appropriateness)		
Gauge whether the timeframe for implementing the project is reasonable		
To what extent does the proposal address EIA issues where applicable?		
Sub-Total out of 20		
Management		
Has there been any change in management of the CBO/WUA since the previous funding? *(Yes/No)*		
Is the current CBO/WUA Management Committee democratically elected as per the constitution? **(Yes=5 No=1)**		

How is Gender representation within the CBO/WUA management committee? **Give *actual figures in the comments.***		
To what extent does the proposal address the needs of the vulnerable members in the CBO/ WUA (HIV/AIDS, PWDs, Chronically ill, elderly, very poor)		
Sub Total out of 15		
Implementation Capacity		
Has adequate technical support been factored in? **(Yes=5 No=1)**		
To what extent are the relevant stakeholders' collaborations been addressed by the proposal?		
Sub-Total out of 10		
Sustainability		
Is the role of the members of the CBO/WUAs included in the proposal? **(Yes=5 No=1)**		
To what extent is the community contribution factored in the proposal as per category?		
To what extent is sustainability covered in the proposal?		
Has the project meet all the legal requirement		
Sub-Total out of 15		
Proposed Budget		
Is budget within funding thresholds as per category? **(Yes=5 No=1)**		
To what extent is the budget adequate for the proposed activities? (Efficiency)		
To what extent is the community contribution reasonable & achievable?		
To what extent does the community contribution surpass the minimum as per the category?		
Sub-Total out of 20		
Project Monitoring		
To what extent are the proposed outputs well defined?		
Are the milestones well defined? (Specific, Measurable, Achievable, Realistic and Time Bound) **(Yes=5 No=1)**		
Sub-Total out of 10		
Total out of 125		
General Comments		

Recommendation	**Answer (Yes/No)**	**Comments**
Proposal accepted for field verification		
Application rejected		

Appraisal Team

No	Name	Position	Date	Signature
Endorsement by the team leader: **Name:**				

Appraisal Team Subsequent Support Field Verification

Materials

1. Original Proposal & supporting documents
2. Desk appraisal forms
3. Field appraisal forms

Instructions

1. *Read application and desk appraisal forms carefully.*
2. *Meet with management committee, including members of the WUA*
3. *The WUA to provide all necessary original documents relevant to the proposal*

General information

Name of CBO/ WUA	
Request for Funds Number	
County	
Sub-County	
River Basin	
WRUA/CFA	
FDA	
Date of Field Verification	

Documents to be availed during field appraisal	Available/Not Available	Remarks
Copy of application		
Proof of Registration – Current Certificate of Registration		
Katiba/Constitution of the CBO/WUA		
Minutes of meetings & AGM		
CBO/WUA business Plan		
Sketch map indicating the activity site		
Members Register		
Proof of earlier funding and progress report		
Bank statements		
Review ANSWER column. Are there any NO answers? Examine the issue and decide required action for application.		

Review of the application

Scoring Criteria	Answer (Yes/No)	Comments
Are all contact details correct?		
Are members aware of problems/objectives/proposed solutions as stated in proposal?		
Does the proposed solution in the proposal practically address the CBO/WUA problems? **(Relevance)**		
Review implementation timeframe with members. Is the timeframe reasonable?		
Management		
Has there been any change in management of the CBO/WUA since the previous funding?		
Is the current CBO/WUA Management Committee democratically elected as per the constitution?		
Is there gender representation within the WUA management committee? *Give actual figures in the comments. (Except for WUAs which are exclusively for one gender)*		
Does the proposal address the needs of the vulnerable members in the WUA (HIV/AIDS, PWDs, Chronically ill, elderly, very poor)		
Does the management committee meet to handle CBO/WUA affairs as per the constitution?		
Is there good attendance at the CBO/WUA meetings?-*Is Quorum met in all meetings as per Constitution/by-laws?*		
Do CBO/WUA meetings adhere to resolutions as per the minutes?		
Is the management structure as outlined in the constitution adhered to?		
Implementation Capacity		
Does CBO/WUA have a track record of project implementation?		
Are proposed activities reasonable given CBO/WUA implementation capacity?		
Are the relevant technical personnel involved in the development of the proposal? If Yes, which departments/agencies?		
Sustainability		
Are the beneficiaries aware of their roles as stated in the proposal?		

Is the Community Contribution factored in the proposal reasonable and affordable?		
CBO/WUA Record Keeping		
Minutes of Meetings		
Receipt book		
Stores book		
Members Register		
Bank statements		
Books of Accounts		
Record of Community Contribution		
Financial Management		
Are members aware of the budget?		
Is budget reasonable for proposed activities?		
Is community contribution reasonable & achievable?		
Does CBO/WUA have proper financial accounting arrangements?		
Does CBO/WUA have proper procurement arrangements?		
Project Monitoring		
Are proposed milestones well identified and understood by members?		
Is there a reasonable plan for progress monitoring?		

Review ANSWER column. Are there any NO answers? Examine the issue and decide required action for application.

General Comments		
Recommendation	**Answer (Yes/No)**	**Comments**
Proposal Recommended for funding		
Proposal rejected		

CBO/WUA Members and relevant Stakeholders Consulted During Field Appraisal

No	Name	ID	Organization	Position	Signature	Date

Appraisal Team

No	Name	Position	Date	Signature
Endorsement by the team leader: **Name:**				

F4: Project Progress Reporting Formats

F 4.1: CBO/WUA Monitoring and Evaluation Committee to FDAC

Date of this report	
Name of CBO/WUA	
Name of FDAC the CBO/WUA is falling under	
Name of the project	
Category	
Intended outputs	
Money received from UTaNRMP	
Total CBO/WUA contribution	
Total project budget	

Summary of the milestones realized as of last report
Milestone implementation Progress details as of this quarterly (3 months) reporting against targets .e.g. Trenched 10 KM against a target of 15 KM
Expenditure details per milestone as of this quarterly (3 months) reporting against targets
The Cumulative **expenditure** and the **balance** as of this reporting date
Issues (Challenges and lessons learnt) encountered during Implementation stage.
Steps taken in solving the challenges Encountered
General Remarks

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

Summarized Project Progress Report: Category A and B

F 4.2: FDACs TO CPFT and CPT

Name of FDA………………………………

Name of CBO/ WUA	Cate gory	Type of Project (spring, borehol e, dam etc.)	Intended outputs (work plan milestone)	Funding from UTaNRM P (Kshs)	WUA contri bution (Kshs)	Total Project budget (Kshs)	Cumulat ive Expendi ture	summary of the achieved milestones (physical Progress) as of last report	Achieved Physical Progress details (per milestone) as of this quarterly reporting	Project implementati on status (Good , Medium, Problematic)	Complet e (yes/no)	Remarks

F4.3 CPFT to PCT

County	WRUA/CFA	FDA	Name of CBO/WUA	Category	Type of Project (spring, dam, shallow well etc.)	Intended outputs (work plan milestones)	Funding from UTaNRMP (Kshs)	WUA contribution (Kshs)	Total Project budget (Kshs)	Cumulative Expenditure	summary of the Progress realized as of last report	Progress details as of this quarterly reporting	Project implementation status (Good , Medium, Problematic)	Complete (yes/no)	Remarks

F4.4: Lessons Learnt Template from CPFT

Total length of report: 2-3 pages.

Refer to the descriptions of the template elements at the end of document when necessary

WUA Name		
Project Title		
Component		
County		
Sub-County/District		
Date	**Project beginning**	
	Recording Lessons Learned	
Project Description and Key Lessons-Learned		

Category		o Classify the lesson(s) learned into one of the project's knowledge management areas e.g.
		     o Financial management
		     o Procurement
		     o Leadership/Group Management
		     o Training/Capacity Building
		     o Project Management
		     o Time Management/Scheduling
		     o Communication
		     o Extraneous factors

Brief description of project		A short description of the project should be provided here.
		     o What were the issues the project tried to address?
		     o What solutions the project tried to offer?
		     o What were its major outputs?
		     o How different is the project from similar ones you have implemented before or knew about

Key project successes		Please describe what has worked well.
		     o What have been the key successes of this project?
		     o What (conditions/factors) is owed to this success?

Project shortcomings and solutions		What have been the main challenges of this project? o What have been the main challenges/ shortcomings/ unforeseen circumstances of this project? (provide a detailed narrative)

	o Why/How did these challenges/ shortcomings/ unforeseen circumstances come to be (your analysis)
	o How were they overcome (if they were).
	o If not yet overcome, are they worth fixing? (Situational/Cost-benefit analysis)
	o If so, how can they be fixed? How can they be stop from happening again?
	o Were the project results attained? If not, what changes need to be made to achieve these results in the future?
Lessons learned	Please think about and describe the key lesson(s) learned from this project.
	o What could have been done differently/ better?
	o What would you recommend to improve future programming or for other similar projects elsewhere
	o What mistakes should be avoided if the initiative were to be replicated?
	o How easy would it be to replicate the successes in a different context/ country?
	Provide any other relevant information
Follow-up Actions	Indicate whether or not follow-up action is necessary

Project Information	
ID	A unique identification number number used to identify the lesson learned in the lesson learned log
Name	Name of the individual who identified the lesson(s) learned
Position	Position in WUA
Telephone	
Name (Report writer)	
Ministry/Dept/Agency	
Designation	
Telephone	
Report Submission Date	Date of submission of the report

F4.5: Case Study Template by the CPFT

The template below will be used to capture the annual case studies.

Chapter Title	Chapter Guide
Introduction and Justification	❒ Brief description and any relevant background information which would assist in the understanding of the case study. ❒ Purpose and expected use of the case study *Detailed background information (e.g. project action plan/ logical framework) to be included in an annex*

The issue (s) being addressed	❒ The problem being addressed by the intervention
	   o *Identify the problem*
	   o *How was the problem identified?*
	   o *Was the process for identifying the problem effective?*
	❒ List the issues resolved and/or outstanding which need to be addressed related to this case study.
	❒ For the outstanding issues whom should take action to resolve them and why.

Methodology	❒ How was the process carried out? (Describe the process of selecting the case and data collection sources, as well as how data was collected.) ❒ What assumptions are there (if any)? ❒ Any limitations? ❒ What instruments were used to collect data? (To be included in the appendix.) ❒ What sample(s) is/are being used? ❒ Over which period of time was data collected?
Steps Taken to Address the Problem	❒ A description of how the project sought to address the challenge o *What was done (activities/ interventions/inputs), where, by whom, for whom?*
The Results	❒ What were the results of intervention, particularly the significant or unique results?
The Challenges and How They were Met	This focuses on challenges/ difficulties encountered and what was done to overcome them.
Beyond Results	Are the results mentioned above sustainable? Why or why not?
Lessons Learned	Briefly describe what you would do differently and what lessons you would share with others undertaking a similar project.
Conclusion	List any relevant acknowledgements and references
Appendices	

UPPER TANA Natural Resources Management and Community Based Organisation(CBO) /Water Users Associations (WUAs)

(Hereinafter referred to as "The IMPLEMENTATION AGREEMENT")

Date:

   A) Parties:

This IMPLEMENATION AGREEMENT is made between:

1. **The Community Based Organisation(CBOs) /Water Users Associations (***Name***)** ……………………….
Within ……………………… FDA in …………….. River Basin in ………………… Sub-County in ……………………..
County

2. **Upper Tana Natural Resources Management Project . P.O Box 996 Embu.**

Hereinafter referred to as **"The Parties"**

**FOR COOPERATION IN RELATION TO THE IMPLEMENTATION AND MONITORING OF ………………………….
(Name of the project)**

Within ……………………..…………Focal Development Area, or otherwise definition of the area hereinafter
referred as **the FDA**,

Preamble

The CBO/WUA in full executive Committee

   i.   The committee is a community representative committee elected to oversee the planning,
         implementation, monitoring the proposed project.

ii.   The activities are contained within the Community Action Plan (CAP) developed through the Participatory Rural Appraisal (PRA) Process within the FDA.

iii. The proposal will be funded through the civil works category where the following activities are viable for assistance:- rehabilitation/development of springs, shallow wells, dams, boreholes, hotspots and upgrading of irrigation technologies.

Water Users Association (The WUA)/community based organisation

i.   A CBO/WUA is a community based organization working together for a common purpose of Conserving, management and utilizing water for domestic or economicl use.

ii.   A CBO/WUA is normally formed to respond /address felt common problem or need within the members of the group

iii. A CBO/WUA aims at pooling resources individually and collectively to accomplish their common purpose

iv.   A CBO/WUA Must be registered with the relevant government department or agency.

Upper Tana Natural Resources Management Project(UTaNRMP0

i.   The Upper Tana Natural Resources Management Project is an eight year project (2012-2020) funded by Government of Kenya, International Fund for Agricultural Development (IFAD), Spanish Trust Fund and the Local community.

ii.   The **goal** of the project is to "*contribute to reduction of rural poverty in the Upper Tana river catchment"*. This goal is pursued via two **development objectives** which reflect the poverty-environment nexus namely (i) increased sustainable food production and incomes for poor rural households living in the project area; and (ii) sustainable management of natural resources for provision of environmental services.

iii. The project covers an area of 17,420 km^2 and targets a population of 205,000 households (1,025,000 people) in six counties of Embu, Tharaka Nithi, Meru, Nyeri, Kirinyaga and Murang'a. The area includes the Mt. Kenya and Aberdares National Parks and surrounding Forest Reserves with their Forest Stations

iv.   Project interventions will be along 24 river basins. Implementation will start in five former MKEPP river basins and 12 priority river basins for the first 4 years upon which the other 12 river basins will be covered.

Table 1.1: UTaNRMP River Basins

MKEPP River Basins (5)	Ena, Kapingazi/Rupingazi, Kathita, Kithinu/Mutonga, Tungu
High Priority River Basins for UTaNRMP (12)	Maragua, Murubara, Nairobi, Ragati, Rujiweru, Rupingazi, Saba Saba, Thanagatha, Thanantu, Thiba, Thika/Sasumua, Thingithu
Other River Basins	Amboni/ Muringato, Iraru, Kayahwe, Lower Chania, Mara, Mariara, Mathioya, Nyamindi, Ruguti, Rwamuthambi, Sagana, Ura

v   *Project Component;- The Implementation is through four components namely: Community Empowerment, Sustainable Rural Livelihoods, Sustainable Water Resources and Natural Resources management and Project Coordination and Management. The outcomes of these components are as follows;*

Component	Outcome
a) Community Empowerment	• Rural communities empowered for sustainable management of natural resources
b) Sustainable Rural Livelihoods	• Natural resource-based rural livelihoods sustainably improved
c) Sustainable Water and Natural Resource Management	• Land, water and forest resources sustainably managed for the benefit of the local people and the wider community
d) Project Management and Coordination	• Project effectively and efficiently managed

2.0   Purpose

i.   The main purpose of this Implementation Agreement is to develop a common understanding on clear roles and responsibilities for **UTaNRMP** and the **WUA** implementing supported activities.

ii.   The shared purpose is reduction of poverty through NRM and climate change mitigation and resilience activities, thereby reducing poverty, improve food security and conserving the environment.

3.0 Duration and Effective Date

This implementation agreement will be valid for the period of implementation of …….. Months This This implementation agreement will become effective on date of signing, or as otherwise indicated in this MOU agreed by the two parties.

4.0   Conditionalities

i. The Laws of Kenya requires that for the CBO/WUA to be recognised, it must be registered with social services with a current certificate. All the CBO/WUA's must therefore be registered and have a current certificate from the department responsible for Social Services

ii. The **CBO/WUA** must have a Constitution with clear roles and responsibilities for all members and officials.

iii. The **Name OF CBO/WUA** must be democratically elected and registered as per their respective Constitutions.

5.0   Obligations of the Parties

5.1   CBO/WUA Committee

i.   The CBO/WUA committee will regularly monitor the activities of the project funded through the UTaNRMP. *A detailed monitoring plan must be agreed with the WUA before resources are committed by UTaNRMP*.

ii.   The committee in consultation with the respective technical officer will write quarterly reports on the implementation status of the project activities and forward the same to PCT.

iii.   UTaNRMP will train the WUA's management on financial management, procurement and Participatory Monitoring and Evaluation.

5.2 The CBO/WUA

i.   The CBO/WUA management/members will attend all required trainings modules designed by the UTaNRMP

ii.   The CBO/WUA will adhere to the agreed milestones as per the project proposal. *A detailed implementation plan with clear milestones must be agreed with WUA.(see annex 1:a generic implementation milestone table) During the implementation phase the community will*

contribute 30%(thirty percent) of the total project cost which will be distributed as follows:- Cash contribution-Minimum 10%,materials and labour – minimum 20%.

iii. Upper Tana natural resources on the other hand will contribute materials and skilled labour of maximum amount of 70% of the proposed project cost.

iv. The CBO/WUA management will be responsible for the administration this implementation agreement with UTaNRMP management.

v. The CBO/WUA will be responsible to request the respective technical officer to initiate the Project Completion Certificate process.

6.0   Conflict Resolution

i. The Parties will act in good faith at all times during the duration of this **implementation agreement**

ii. In case of misunderstanding, the parties will endeavour to address issues through dialogue and arbitration when and if necessary

iii. The relevant Laws of Kenya will apply when arbitration becomes necessary

Signatories:

1. (Name of WUA)---

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

Chairman

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

Treasurer

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

Secretary

Witness

(Name) ……………………….. Designation……………….. Signature…………….

2. UPPER TANA NATURAL MANAGEMENT PROJECT

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

Project Coordinator/County Project Coordinator

Witness

(Name) ……………………….. Designation……………….. Signature…………….

APPENDIX 2: FINANCE AND PROCUREMENT FORMS

FPF 1: Cashbook (list of receipts and payments)
Receipts

Month: _____

Date	Received From	Receipt Number	Amount (Kshs.)	Type of Income

Prepared By: _____   **Signature:**_____   **Date:**_____

Treasurer

Checked by: _____   **Signature:**_____   **Date:**_____

Chair Monitoring Committee

Payments

Month: _____

Date	Payee	Payment Voucher Number	Cheque No.	Amount (Kshs.)	Expense Type

Prepared By: _____   **Signature:**_____   **Date:**_____

Treasurer Checked by: _____   Signature:_____

Date:_____

Chair Monitoring Committee

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 monitoring committee 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.

FPF 2: Community Contribution Book (to be prepared by CBO/WUA secretary)

Name and address of WUA: _____

        _____

Project Name:_____

Type of Contribution (e.g. litres of water, labour hours)

Date	Contributors Name	ID./ No.	Type of contribution	Quantity	Unit cost (Kshs)	Total Cost (Kshs)	Contributor's Signature/thumb print

Prepared by:_____   Date:_____

Approved by:_____   Date:_____

Authorized by:_____   Date:_____

FPF 3: Payment Voucher

<div align="center">

<u>Cash/Cheque</u>

</div>

Name of WUA: _____

Date:_____   Voucher Number:_____

Payee name_____

_____

Payee Address: _____

Payment Details:_____

_____

_____

Cheque No:_____

Amount in figures Kshs:_____

Amount in words Kshs._____

_____

Prepared by: _____	**Signature**_____	**Date**_____
Reviewed by: _____	**Signature**_____	**Date**_____
Authorized by:_____	**Signature:**_____	**Date** _____
Name of Receipient_____		
Signature of Recipient _____**Date** _____		

FPF 4: 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 all expenditures must have a receipt, the WUA 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	Quantity	Total cost
			TOTAL COST Kshs.		

Signature/Thumb print of the business/seller:

_____

**FPF 5:	Budget Control Form**

Name and address of CBO/WUA:	_____

Project Name:_____

Month:_____

Budget Ref.	Original Budget Amount (Kshs.)	Amount Spent by end of previous Month (Kshs.)	Balance at end of previous month (Kshs.)	Balance Available end of last month (Kshs.)	Expenditure this month (Kshs.)	Balance end of this month (Kshs.)
1						
2						
3						
TOTALS						

Prepared by:_____	Date:_____

　　　　　Treasurer

Approved by_____	Date:_____

　　　　　Chairperson

Authorized by:_____	Date:_____

　　　　Chair Monitoring Committee

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

FPF 6: STATEMENT OF SOURCE AND USE OF FUNDS

CBO/WUA Name:_____

Period Covered: _____

Project Financing Sources	Budget Amount (Kshs.)	Actual Spent (Kshs.)	Variance (Kshs.)
UTaNRMP PROJECT			
Other external project funding			
Community Contribution			
Total Financing			
Less Uses of funds:			
1.			
2.			
Total funds spent			
Net Cash Flow			
Net Cash available at end of period Cash in hand Cash at bank			
Total closing Balance			

Prepared by:_____   Date:_____

       Treasurer

Approved by:_____   Date:_____

       Chairperson

Authorized by:_____   Date:_____

       Chair Monitoring Committee

Note: This form must be filled in and signed by the 10th day of the end of the period to which it relates, preferably quarterly.

FPF 7: Bank Reconciliation Statement

CBO/WUA Name:_____ **as at** _____20_____

Description	Kshs.	Kshs.
Balance per Bank Statement		**XXXX**
Less: Unrepresented cheques (Payments in cashbook not appearing on bank statement) Payee Dated a)_____ _____ b)_____ _____	(XXXX)	
Less: Receipts in Bank statements not recorded in cashbook Source Dated a)_____ _____ b)_____ _____	(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
Approved by:_____   Date:_____
            Chairperson
Authorized by:_____   Date:_____

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

FPF 8: Petty Cash Voucher

PETTY CASH VOUCHER
ORGANIZATION NAME……………………………………………………………….. Date ……………………….   Amount …………………………………   Name……………………………………………………………………………………..   Item Description………………………………………………………………………… ………………………………………………………………………………………… …………………………………………………………………………………………   Purpose………………………………………………………………………………….   Category………………………………………………………………………………….   Recommended by: …………………………………………………………………………   Approved by…………………………………………………………………………………..   Received by……………………………………………………………………………………..

FPF 9: Procurement Requisition Form

No: _____

Date: _____

TO: _____ _____ _____	**From:** _____ _____ **Approved by** _____

Please procure the following items on our behalf.

No.	Description of goods/services	Quantity	Previous Supplier (if known)	Price or estimated cost	Account/vote Number
	Quotation No…. Contract /tender No………….		LPO/LSO…...... Prepared by…………….		Remarks:…

FPF 10: Procurement Plan

a). For goods (Materials, equipment and supplies)

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

Signatures of the Procurement Subcommittee members:

Name   Signature   Date

_____   _____   _____

_____   _____   _____

b). 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

_____ _____   _____

_____ _____   _____

_____ _____   _____

c). For Civil Works (construction, repairs, reconstruction)

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

Signatures of the Procurement Subcommittee members:

Name   Signature   Date

_____   _____   _____

_____   _____   _____

_____   _____   _____

TOTAL				

TOTAL COST IN WORDS
Kshs:_____

Note: Our payment terms are strictly 30 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 WUA
3. Sent to Stock Control and Accounts Dues for notation and then to Receipts to await delivery of goods. Attached to Receipt Voucher and invoice for payment purposes.
4. Book copy for control purpose

I acknowledge receipt of this order
Name of Supplier (and rubber stamp)   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/ WUA 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/WUA in writing.

3. Deliveries must be made within the accepted delivery period bidded 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/WUA 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/WUA 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 WUA 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 30 days are automatically void.

FPF 11: Inspection & Acceptance Certificate

	LPO/LSO/CONTRACT REF No _____DATE_____
FROM:_____	DELIVERY REF NO._____ DATE_____
_____	GOODS RECEIVED NOTE REF No. _____DATE_____

We the undersigned, confirm that we have performed the assignment diligently and issued this inspection and acceptance certificate for the procurement object indicated below:

NO	DESCRIPTION OF ITEM	QUANTITY	UNIT COST	TOTAL COST	REMARKS

We confirm that the goods can be received and accepted as per the remarks above append our signatures

Signed:

1. Name: _____Designation:_____ Signature: _____Date:____

2. Name: _____Designation:_____ Signature: _____Date:____

3. Name: _____Designation:_____ Signature: _____Date:____

4. Name: _____Designation:_____ Signature: _____Date:____

FPF 12: Goods Received Note

Receipt No: _____

Name and address of CBO/WUA: _____

Receiving official of CBO/WUA: _____

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:_____

FPF 13: Goods Issue Note

ISSUE NOTE No: _____

Name and address of CBO/WUA:_____

Issuing official ofCBO/WUA: _____

Date Of Supply	Description	Quantity	Unit Price	Value
TOTAL				

GOODS HAVE BEEN CERTIFIED AS CORRECT ISSUES.

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

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

FPF 14: 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: _____

FPF 15: Tender Register

Procuring Entity: _____

Tender No._____

Number allocated to tender	Item Description	Unit of issue	Total Quantity	Date of commencement	Closing date	Remarks

FPF 16: Register of Samples

Procuring entity………………………

Unit……………………….

Registered no.	Date received	Reference no.	Unit received	Company	When sent to tender committee	Date returned to candidate	Signature of candidate	Remarks

FPF 17: BUDGET TEMPLATE FOR CATEGORY A AND B

ITEM	DESCRIPTION							
Nature of project								
Relevance to poverty reduction and natural resources management	Supporting livelihoods through Income Generating Project based on natural resources (Provide additional points)							
Benefits to be shared within and beyond group	All members to be trained on _____; All members to share in proceeds of enterprise (either through sharing of products or money raised) (Provide additional ways in which benefits will be shared)							
Implementation milestones	List the implementation milestones and their outputs							
Bill of Quantities	**Mile-stones**	**Item[1] Description**	**Unit**	**Quantity**	**Unit Cost**	**Total cost**	**UTaNRMP funding**	**Community Contribution**
TOTAL								

1. Item description should be as detailed as possible. Should include materials; labour (both skilled and unskilled), equipments, installations and cost of technical supervision.

FPF 18: WORKPLAN

Schedule of Activities	YEAR 1												YEAR 2										
	M 1	M 2	M 3	M4	M 5	M 6	M 7	M	M 9	M10	M 11	M 12	M 1	M 2	M 3	M4	M 5	M 6	M 7	M10	M 9	M10	M 11	M 12

For projects whose implementation period is more than two years add the implementation activities for that period.

FPF 19: Inspection and Acceptance Certificate

Name and address of CBO/WUA:

_____

Name and of address of Supplier:

_____

No.	Item Description	Quantity	Unit Price	Value	Remarks on Condition of goods
TOTAL					

We confirm having inspected the goods described above and append our signatures below:

Name of Member:_____ Signature:_____ Date:_____

Name of Member:_____ Signature:_____ Date:_____

Name of Member:_____ Signature:_____ Date:_____

FPF 20: Certificate of Final Completion

Project No.
Project
Owner(CBO/WUA):
Contractor:
Engineer:

Agreement Date:
Notice to Proceed Date:
Contractual Substantial Completion Date as modified by Change Orders:
Actual Substantial Completion Date:
Contractual Final Completion Date as modified by Change Orders:

The Work to which this Certificate applies has been inspected by authorized representatives of Owner, Contractor, and Engineer, the contract been completed and the Work of the Contract is hereby declared to be Finally Complete in accordance with the Contract Documents on:

_____
Date of Final Completion

This Certificate does not constitute an acceptance of any Work not in accordance with the Contract Documents nor is it a release of Contractor's obligation to complete the Work in accordance with the Contract Documents. The Warranty for all Work completed subsequent to the date of Substantial Completion expires one year from the date of this Final Acceptance.

Executed by Authorized technical person on: _____

By: _____

Contractor accepts this Certificate of Final Completion on: _____

By: _____

Owner accepts this Certificate of Final Completion on: _____

By: _____

APPENDIX 3: OTHER FORMS

OF 1: Complaints Register

This register will be filled and submitted on monthly basis by the **County Project Coordinators (CPC)** to **Project Coordinating Team (PCT) Embu.**

Name of County …………………………………Date/Month……………………………

S/No	Nature /Details of the complaint	Disputes resolved and by which office	Pending /forwarded to PCT for action	Contact information (complainant/group)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Total no of disputes resolved……………………………..

Total no of disputes forwarded…………………………………Date ……………………………

Total number of disputes under investigation……………....................................

OF 2: Complaints Form
Good governance and transparency are key pillars in implementing the projects funded under the civil works manual. All stakeholders are encouraged to report any disputes and funds misuse (commission, collusion and omission) to the relevant authorities' complaints boxes i.e. **office of theCounty Project Coordinator, Sub-County Office of Gender and Social Development and Project Coordinating Team (UTaNRMP).**

The complaint(s) are supposed to be lodged officially through a prescribed form as shown below (**Attach relevant documents**)

1. Name of the complainant ………………………ID/NO ……………………..Tel No ……………….Relationship with the group………………………………………Name of Group……………………………Date of the report ……………..……

2. FDA…………………………… ………….COUNTY…………………

    SUB –COUNTY ……………………

Nature of dispute	Description of the complaint	Which other office have you reported	What action was taken by who& when	Recommended action
Funds Misuse				
Corruption				
Leadership				
Implementation delays				
Non-disclosure of information				
Lack of meetings				
Others				

OF3: Completion Certificate Form

This is to certify that: _____ (WUA name)

Having signed the respective implementation agreement……………………….. ……………….On

____/____/____to implement……………………………………………………

Has on ____ /____/_____completed the aforesaid project to the full satisfaction of all stakeholders as per the implementation agreement

FDAC Chairperson
Name ……………………………………………………………………
ID/No ………………………………………………………………….
Signature …………………………………………………………………
Date …………………………………………………………………

Line Ministry/Agency
Name ……………………………………………………………………
Designation…………………………………………………………………….
ID/No …………………………………
Signature ……………………..
Date……………………………

Project Coordinating Team
Name ……………………………………………………………………
Designation…………………………………………………………………….
ID/No …………………………………
Signature ……………………..
Date……………………………

REPUBLIC OF KENYA

Poverty Reduction through Sustainable NRM

IFAD INTERNATIONAL FUND FOR AGRICULTURAL DEVELOPMENT

MINISTRY OF WATER AND IRRIGATION
UPPER TANA NATURAL RESOURCES MANAGEMENT PROJECT (UTaNRMP)

COMPLETION CERTIFICATE
THIS IS TO CERTIFY THAT

_____

A COMMON INTEREST GROUP

HAS SUCCESSFULLY COMPLETED IMPLEMENTATION OF _____. REF NO: _____
DURING 2014/2015 FINANCIAL YEAR
IN _____FOCAL DEVELOPMENT AREA(FDA)OF _____
RIVER BASIN IN _____.

……………………………………………………………… .

PROJECT COORDINATOR
UPPER TANA NATURAL RESOURCES
MANAGEMENT PROJECT (UTaNRMP)

……………………………………………………………… . .

MANAGING DIRECTOR
AGRICOM CONSULTANTS LTD
INDEPENDENT OVERSIGHT AGENT (IOA)