

REPUBLIC OF KENYA



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KENYA



Poverty Reduction Through Sustainable NRM



MINISTRY OF WATER, SANITATION AND IRRIGATION UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT

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MATCHING GRANTS OPERATIONS MANUAL FOR COMMON INTEREST GROUPS



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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
CSDS	County Director of Social Development
CFA	Community Forest Association
CFP	Call for Proposal
CID	Criminal Investigation Department
CIG	Common Interest Group
CPC	County Project Coordinator
CPCC	County Project Coordinating committee
CPFT	County Project Facilitating Team
DAP	Diamonium Phosphate
EACC	Ethics and Anti-Corruption Commission
EIA	Environnemental Impact Assessment
EMCA	Environnement Management Coordination Act
EMP	Environnement Management Plan
FBOs	Faith Based Organisations
FDA	Focal Development Area
FDACs	Focal Development Area committee
FFS	Farmer Field School
FM	Financial Management
FPF	Financial Procurement Form
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
IA	Implementation Agreement
IGAs	Income Generating Activities
IOA	Independent Oversight Agent
KALRO	Kenya Agricultural and Livestock Research Organization
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
MoWS&I	Ministry of Water, Sanitation and Irrigation
M&E	Monitoring and Evaluation
MA	Management Agreement
MOU	Memorandum of Understanding
NCD	New Castle Disease
NGOs	Non-Governmental Organization
NPK	Nitrogen Phosphorus and potassium
NRM	Natural Resources Management
OAG	Office of Auditor General
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
PLWDs	Persons Living 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 Catchment Natural Resources Management Project
USD	United states Dollars
VAT	Value Added Tax
WA	Withdrawal Application
WRA	Water Resources Authority
WRUA	Water Resource Users Association
WSTF	Water Sector Trust Fund
WUA	Water Users Association

Currency units, weights and measures

Currency Unit = Kenya Shilling (Kshs.)

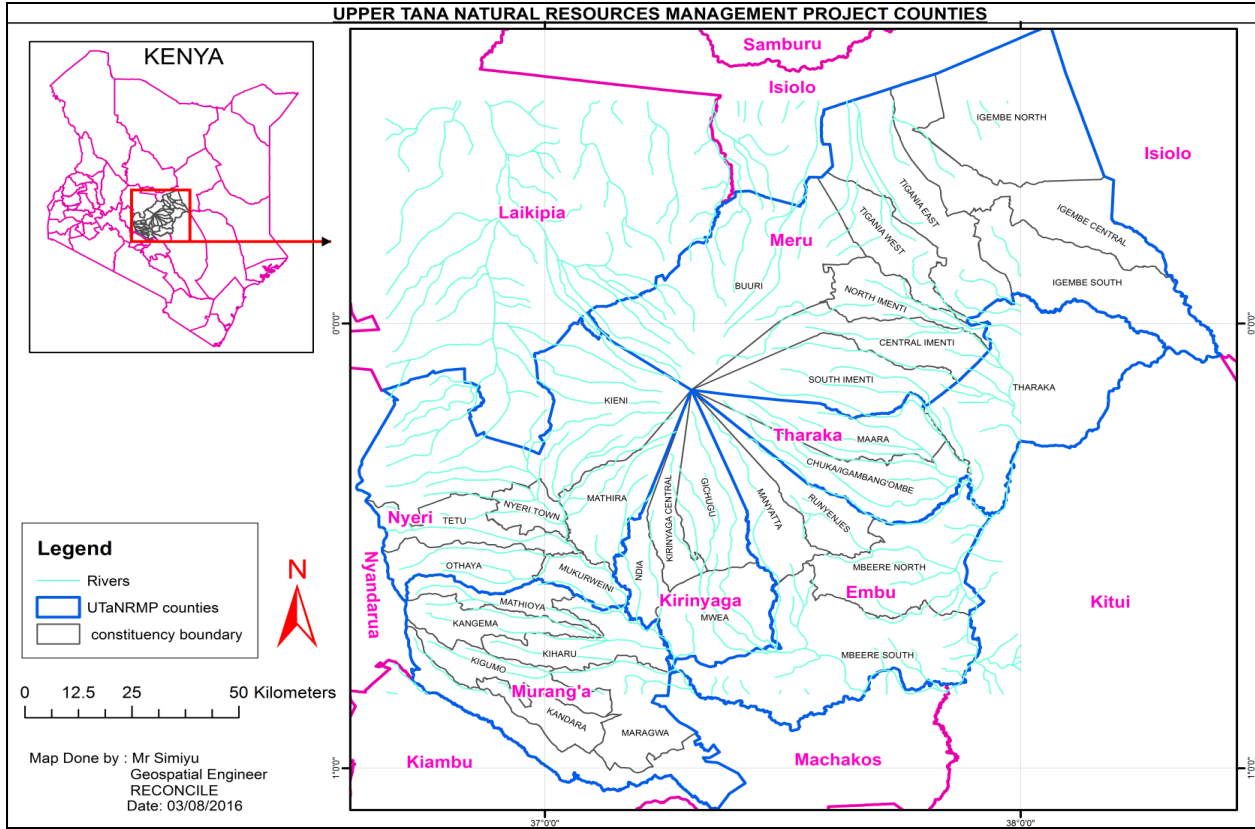
USD 1 = KSH 85.6

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

During implementation of UTaNRMP, financing of CIGs project proposals will be through two key windows namely: (i) Project Coordinating Team (PCT) and ii) Water Sector Trust Fund (WSTF) windows. This manual provides modalities, processes and procedures that will be applied for funding through PCT window. The preparation of this manual is guided by the Project Design Report, Loan Agreement as well as other GOK and IFAD policy documents. The manual has borrowed from experiences of other Community Driven Development (CDD) such as the World Bank funded Natural Resources Management Project. This manual is prepared with the specific purpose of providing a tool to clearly define the means through which the Sustainable Rural Livelihood and Sustainable Water and Natural Resources Management components will operate and achieve the expected outputs. The outline of this manual is as follows:

Chapter 1: Project Background

Chapter 2: Introduction to the Grants Manual

Chapter 3: Roles and Responsibilities of Institutions Implementing the Grants

Chapter 4: Matching Grants Financing, Governance, Accountability processes and Procedures

Chapter 5: Financial Management and Procurement

Chapter 6: Appendices

1.2 Project Background Information

The Upper Tana Catchment Natural Resources Management Project is a ten-year project (2012-2022) taking into consideration the additional funding and extension of the completion date by 30 months. The project is 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 Project **Development Objectives** 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. These objectives reflect the poverty-environment nexus.

The project area, which is the Upper Tana catchment, covers an area of 17,420 km². 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 Km². The project aims at poverty reduction targeting about 300,000 households (1,500,000 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, Riji), 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
1. Community Empowerment	• Rural communities empowered for sustainable management of natural resources
2. Sustainable Rural Livelihoods	• Natural resource-based rural livelihoods sustainably improved
3. 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
4. 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:

1. Communities with increased awareness of sustainable NRM,
2. Key community organizations with increased capacity to manage Natural Resources sustainably, and
3. 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. CIGs successfully 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 KALRO** (formerly **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.

Adoption of IGAs through CIG's- This is implemented by providing matching grants (30% by CIGs and 70% by the project). An Independent Oversight Agent will be competitively recruited to support PCT to: Appraise community project proposals (desk and field), monitor implementation and report on agreed milestones.

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 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 Water Resources – The activities address;

- i. Sustainable management of water resources: Support for development/review and implementation of Sub-Catchment Management Plans (SCMP) by WRUA's using grants channelled through WSTF and technical advice from WRA.
- 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 hotspot 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 focuses on:

- i. Rehabilitation of degraded forest reserves: Activities include capacity building of community groups in Participatory Forest Management, development/review and implementation of Participatory Forest Management Plan through WSTF, seedling production, enrichment planting of degraded forests, and the total replanting of degraded forest areas.
- ii. Efficient use of fuel wood: This includes fuel efficient stoves, biogas generators, bio-plants 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 Ecosystem

- iv. Soil and water conservation on farm lands: This is implemented through matching grants (30% beneficiaries and 70% Project) and also on-farm tree planting
- v. School Greening programme through the child adopt a tree principle

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 ensures 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) and County Project Facilitating Committee (CPFC) and Sub-County Implementing Teams (SCITs). At community level the structures include community-based institutions such as WRUAs, CFAs, FDACs and CIGs.

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 has developed a KM&L system that encompasses 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 GRANTS MANUAL

This manual provides an outline of the processes and procedures to be followed by Community Based Organizations such as Common Interest Groups in accessing, utilizing funds and accounting for project grants

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 matching grants
- ii. Support to community groups involved with natural resource management
- iii. Public transparency in relation to process and results
- iv. Categorization of Proposals
- v. Provision of Technical Support Notes (TSNs)

The categorization of proposals and provision of technical support notes will entail the following:

I. categorization of proposals:

Category A: covers the standard IGA activities which are short time in nature, contribute to food security/ nutrition, contribute to household income and improves NRM.

Category B: includes NRM Special activities which contributes to the overall environmental management, are long term in nature and covers a bigger geographical area.

II. Technical support notes

The TSNs gives guidance to CIGs in three main technical areas:

- i. Uniformity in costs
- ii. Clarity of proposal content
- iii. Expected outputs
- iv. Scope

The TSNs are covering **three** main IGA sectors:

- i. Crops and related enterprises
- ii. Livestock and related enterprises
- iii. Forestry

b) Empowerment and Equity.

- i) Empowerment of Community Based Organization (CBOs) and Community Interest Groups (CIGs). 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 of all approved proposed activities from the three proposal categories
- 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 Common Interest Groups and legal community Associations namely the FDACs
- 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: To ensure all proposals compete equally in relation to resource availability.
- ii. Shopping lists of single project options: Technical Support Notes (TSNs) will facilitate the preparation of frequently requested projects.
- iii. Mitigation measures against 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.

2.2 Grants Funding to CIGs

The project will provide matching grants to Common Interest Groups (CIGs) through Project Coordinating Team (PCT) to help them implement Income Generating Activities (IGAs) and environmental conservation activities upon submission of acceptable proposals. The grants will be output-based with release of funds being made in tranches upon the achievement of milestones specified in the grant’s agreement between the PCT and the CIGs. The CIGs will receive an initial advance of the grant amount, and will subsequently request for further payments as each milestone is reached, and a simple milestone report is submitted.

The PCT will engage the services of an Independent Oversight Agent (a private service provider) to verify the milestones reports before further financial releases are made. This milestone-based payment system is intended to strengthen accountability and transparency as well as reduce the administrative burden associated with cash advances whereby each advance has to be surrendered before the next disbursement is made. The beneficiary CIGs will be required to contribute 10-30% while the project will provide matching grants of 70%-90% depending on the category. On exceptional cases upon application by the very vulnerable members of the community, the project may support the activity up to 100%

All proposals must:

- a) Integrate environmental conservation such as tree planting, water harvesting, soil and water conservation or other conservation activities;
- b) Show how it will contribute to improved incomes and food/ nutrition security;
- c) Show, whenever relevant, how the following cross-cutting issues have been integrated in the proposal, implementation and monitoring;
 - i. Gender equality: Men and Women will participate in and benefit from the project;
 - ii. Good Governance: Projects are run in a transparent manner and that the Project Management Committee (s) (PMCs) is/are 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 persons living with disabilities (PLWDs)..
- d) Show that the proposed project has been collectively identified by the group and is a priority need;
- e) Show how the group will monitor the technical and financial aspects of implementation;
- f) Show 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 sectoral development agenda and progressively align to County Development Plans. Therefore, the relevant technical department/ institution must endorse on the Application Form that the proposed project is in line with the sector priorities.

The proposed project should not presently be supported by any other major development programme. Stalled projects due to lack of funds and which meet the eligibility criteria qualify for support. If the project stalled because of the following reasons the group may not be awarded a grant:

- Bankrupt, being wound up, or having their affairs administered by the courts;
- Convicted of an offence concerning their professional conduct;
- Guilty of professional misconduct;
- Non-compliant in fulfilling obligations relating to statutory payments payment of taxes etc;
- The subject of a judgment for fraud, corruption, involvement in a criminal activities or any other illegal activity; and
- Subject to a conflict of interest.

2.4 Financial Allocation and Eligibility Criteria

Depending on the category, 10% -30% community contribution of the total cost of the proposed project is required while the UTaNRMP will contribute 70%-90% of the total costs. On exceptional cases upon application by the very vulnerable members of the community, the project may support the activity up to 100%

2.4.1 Eligibility: Who may apply?

a) In order to be eligible for a grant, groups **must be**:

- i. Common Interest Groups (CIGs) registered under the relevant government agencies (Social services, Attorney General and Cooperatives);
- ii. Institutions Based CIGs: this includes schools and FBOs which must be registered with relevant government institutions.

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 (CIG officials) of an offence concerning their professional conduct;
- iii. Guilty of grave professional misconduct (CIG officials);
- iv. Noted not to fulfil their obligations relating to the payment of social security contributions or 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 grants per applicant:

- a) Group shall not submit more than one application;
- b) Group official shall not at the same time be official in another group applying for these grants;

2.4.4 Eligibility of costs

Eligible costs are those that may be taken into consideration for the grant. 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

To be eligible, costs 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 can be in cash, in kind or both. 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 another framework;
- 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 ADMINISTERING THE GRANTS

3.1 Overview of Institutional Relationships

A conceptual overview of the potential stakeholders involved in supporting the implementation of the matching grants to CIGs is provided below. This is followed by a brief presentation of the roles and responsibilities of the respective institutions.

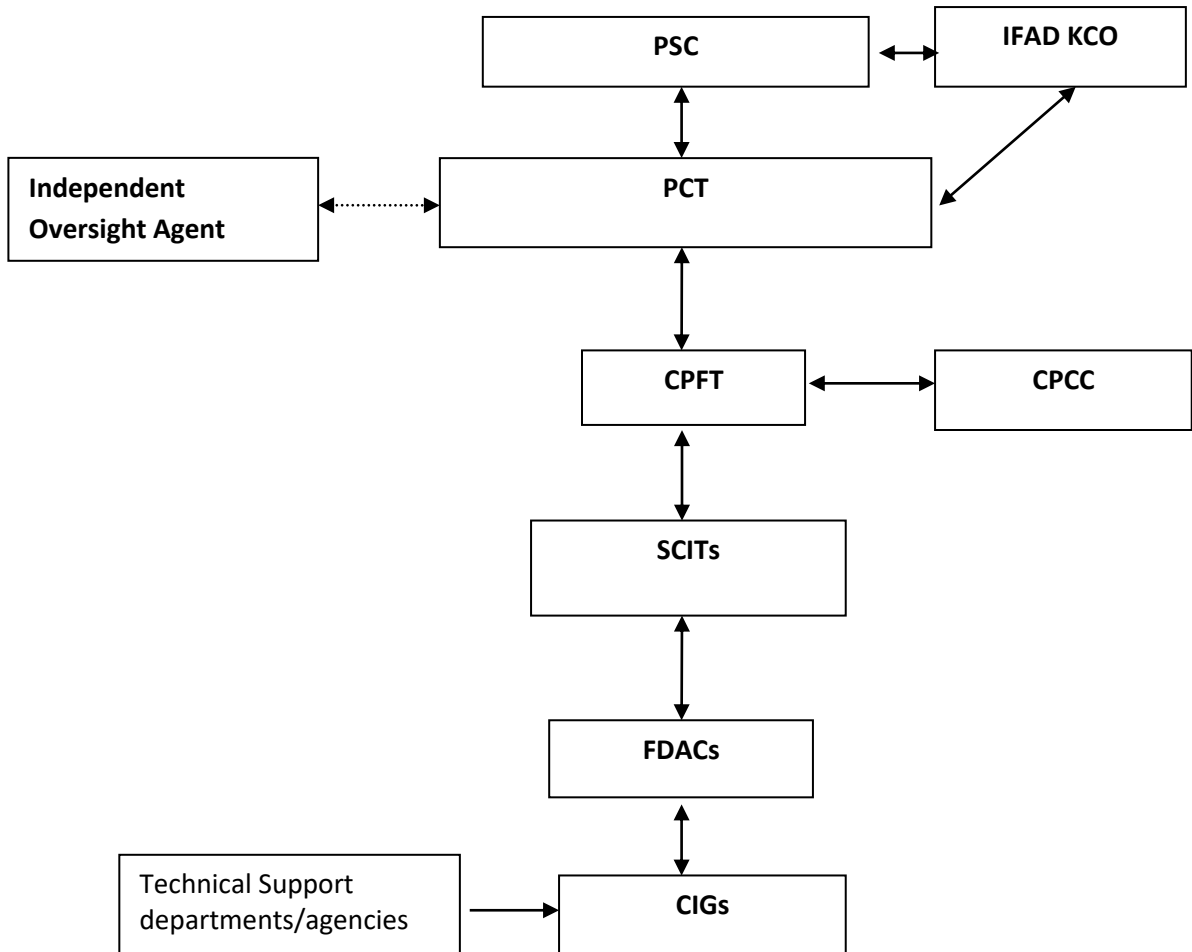


Figure 1: Institutions in Matching Grants Administration

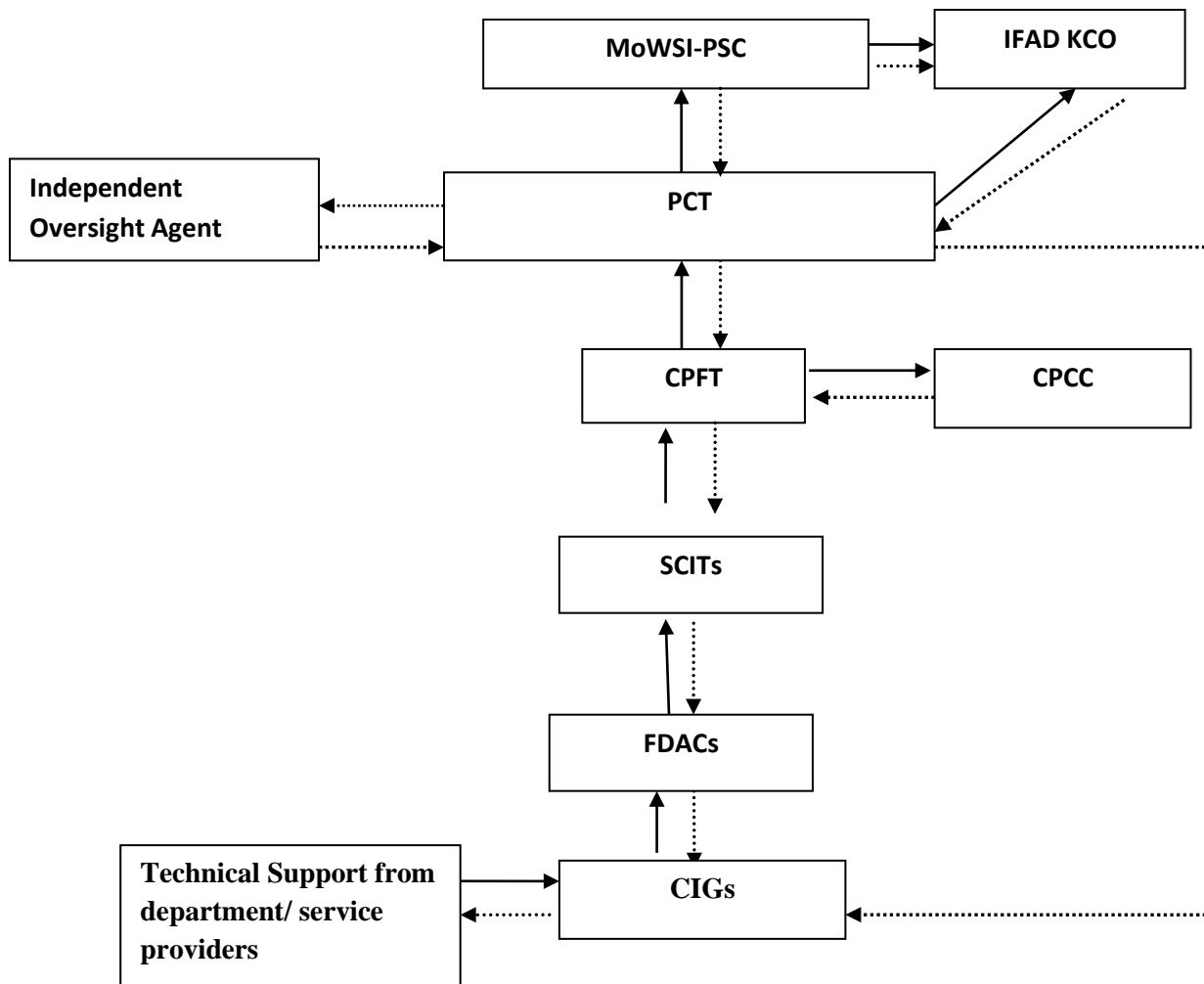


Figure 2: Flow of Information among the Institutions

3.2 Roles and Responsibilities of Common Interest Groups (CIGs)

The members of the respective CIGs are the direct beneficiaries. The CIGs are within Focal Development Areas. The CIG and its members are the recipients of financial grant resources provided to support Income Generating Activities for livelihood improvement and conservation of environment.

The CIGs 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) Procurement of goods 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. (Either monthly/quarterly/annually or as per milestones).

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

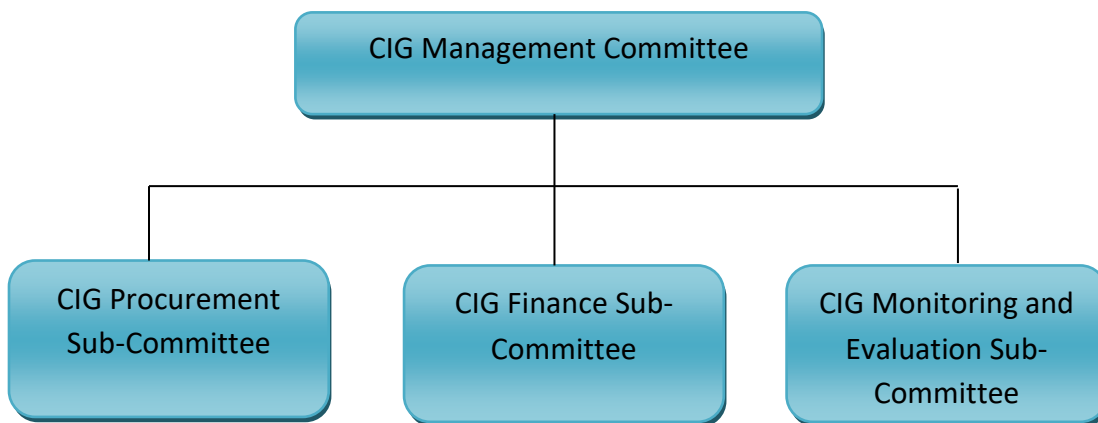


Figure 3: CIG Sub-Committees

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

3.2.1 The CIG Management Committee

The management committee is composed of the Chairperson and his/her deputy, treasurer, secretary and his/her deputy and 2 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, and that
- v. Ensuring that once they are informed that their CIG has been provisionally selected as a recipient of funds under the UTaNRMP matching grants, they will fulfill the requirements within the specified time and

- vi. Adhere to the activity (work) plan and budget.
- vii. Ensure all activities go beyond the implementation period

3.2.2 The CIG Procurement Sub-Committee

They are responsible for:

- i. Sourcing for suppliers of goods and services;
- ii. Requesting, receiving and analyzing/ evaluating quotations from not less than three suppliers;
- iii. Awarding or recommending evaluation results to the management committee;
- iv. Ensuring that items procured are of high quality and right quantities;
- v. Ensuring that items once procured are inspected, recorded, stored, issued and utilized;
- vi. Maintaining adequate records.

3.2.3 The CIG 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 CIG.
- ix. Fund raise for more funds to sustain the activities funded by the project

3.2.4 The CIG Monitoring and Evaluation Sub- Committee

The committee will be responsible for:

- i) Monitoring the use of funds and other inputs;
- 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 departments whose technical support to the CIG's is fundamental to the success of the implementation of the grants include:

- i. State Department of Agriculture;
- ii. State Department of Livestock
- iii. State Department of Cooperatives;

- iv. State Department of Water;
- v. Department of Irrigation;
- vi. State 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 Authority (WRA);
- xii. Kenya Agricultural and Livestock Research Organization (KALRO)

Each of the departments/agencies 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 sent to PCU in Embu and to office of the County Project Coordinator in the respective county

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 (CIG'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 CIG members,
- vi. Ensure sustainability of funded projects,
- vii. Continuously plan for the way forward on behalf of the community,
- viii. Accounting for monitoring funds received from UTaNRMP,
- ix. Ensuring financial resources are used for the planned activities by the CIGs,
- x. Monitoring implementation milestones and submitting quarterly reports to WRUAs/ CFAs and sub county/ county technical teams.

3.5 Sub- county Implementation Teams (SCITs)

Sub-County Implementation Teams (SCITs) is composed of Government technical departments/agencies charged with responsibilities of planning, overseeing implementation and monitoring project activities at the sub county level.

SCITs will be responsible for”

- i. Ensuring there is adequate mobilization and publicity of the matching grants
- ii. Technical support to CIG during proposal development
- iii. Screening to ensure the proposal are in line with County Integrated Development Plans (CIDPs)
- iv. Support implementation of the proposals that have been funded.
- v. Monthly monitoring of the implementation milestones and submitting reports CFPT

3.6 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 Veterinary Services; County Director of Livestock Production; County Director of Fisheries; County Director 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 available funds and requirement for the grants to ensure equity and fair geographical/enterprises distribution;
- ii. Receive and consolidate the county proposals;
- iii. Initial screening to ensure harmonization 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 CIGs through SCITs and FDACs;
- vi. Coordinating capacity building of the CIGs whose proposals have been approved;
- vii. Ensure all procurement process are adhered to as per grants manual
- viii. Undertaking risk management to mitigate against financial loss;
- ix. Monthly monitoring of the implementation milestones and submitting reports to PCT and CPCC.

3.7 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

CPC is composed of: county executive member responsible for: Water and Natural Resources (Chairperson,), County Commissioner, County Chief Officers/directors responsible for Agriculture, Livestock, Fisheries, Social services, Planning, Cooperatives, County Project Coordinator, WRUA representative, CFA representative and any other coopted members.

3.8 Project Coordinating Team (PCT)

PCT will be responsible for:

- i. Preparation and review of the grants manual;
- ii. Recruitment and signing of contract with the Independent Oversight agent;
- iii. Call for proposals;
- iv. Receiving of proposals and forwarding them to Independent oversight agent;
- v. Seeking relevant no objections from IFAD;
- vi. Disbursement of funds in a transparent manner;
- vii. Contracts and Implementation agreement
- viii. Monitoring of implementation milestones;
- ix. Coordinate capacity building activities;
- x. Ensuring information required by the CIGs is available using various media;
- xi. Compiling and disseminating relevant reports;
- xii. Maintaining a database of project implementation and sharing with all stakeholders;
- xiii. Periodic review of the Matching Grants Manual

3.9 Independent Oversight Agent

The agent will be responsible for:

- (i) Receive CIG proposals from the PCT
- (ii) Undertake desk review of the CIG proposals which includes screening, and review of the proposals as per the guidelines of the matching grants manual and rank them.
- (iii) Conduct field verifications and appraisals for proposals that qualify in the desk review stage as per the matching grants manual within defined timeframe.
- (iv) Ensure the selected projects not only address poverty reduction but are addressing environmental conservation.

- (v) Ensure at least 1/3rd of the CIGs selected for funding belong to women, persons with disabilities, the youth and other vulnerable groups to enhance gender and social inclusion in project activities.
- (vi) Geo reference and map all the CIG activity sites to be funded;
- (vii) Give professional advice to the PCT on all proposals received and make recommendations for the proposals that qualify for funding with specific phases (implementation schedule) for funding after undertaking both the desk and field verification exercise;
- (viii) Prepare a phased implementation schedule for each of the qualifying CIG proposals to be funded- with clear activities and corresponding budgets
- (ix) Monitoring implementation milestones and recommending subsequent phase funding or any other action;
- (x) Ensure all CIG records are well kept including financial, procurement, and community contribution as per the manual.
- (xi) County IOA representative to attend monthly meetings with CPFT
- (xii) IOA Expert to hold monthly meetings with PCT
- (xiii) Undertaking risk management to mitigate financial loss;
- (xiv) Maintaining the database on the status of all proposals;
- (xv) Compiling progress reports as per the TOR
- (xvi) Compile a **completion report** covering the entire process

3.10 Project Steering Committee (PSC)

The PSC will be responsible for:

- i. Giving policy direction and guidelines on national development policies and priorities;
- ii. Reviewing, approving and making subsequent reviews of this grant's manual;
- iii. Periodic review of the PIM;
- iv. Reviewing and approving AWPBs;
- v. Ensuring the role and functions of the respective stakeholders are adhered to;
- vi. Overall performance of the project; and
- vii. Recommending to the donor any relevant implementation changes to ensure achievement of the project goal.

3.11 International Fund for Agricultural Development (IFAD)

The International Fund for Agricultural Development will be responsible for:

- i. Reviewing and approving this grants manual and any subsequent reviews;
- ii. Reviewing and approving AWPBs;
- iii. Giving various no objections and
- iv. Supervision and implementation support.

4 MATCHING GRANTS FINANCING, GOVERNANCE, ACCOUNTABILITY PROCESSES AND PROCEDURES

4.4 Introduction

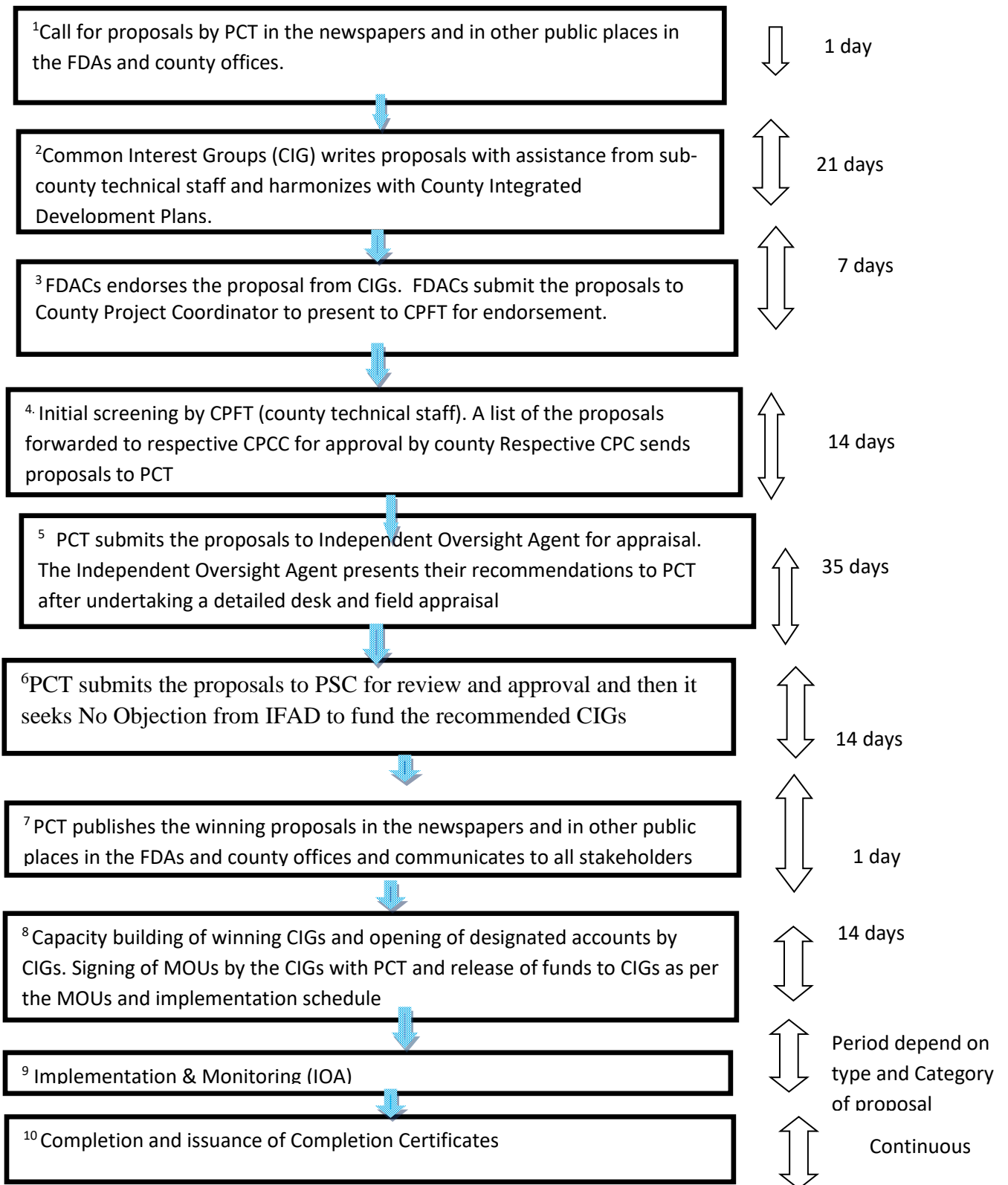
This chapter provides an overview of UTaNRMP Matching Grants financing, governance and accountability processes and procedures

4.2 Matching Grants Processes and Procedures

The matching grants scheme follows a defined pathway starting from when the CIGs 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 CIG project is undertaken by the various teams to ensure successful implementation and upon completion, a completion certificate is awarded to the CIG.

The process is as depicted in Figure 4 below:

Figure 4: Proposal Funding Process



Remarks: The total number of days for the preparatory phase i.e. step 1-8 is 98 days.

Explanatory notes to the Sequencing of Activities for Administration of the Grants

S/No	Activity	Sub activities	Time Frame (no of days)	Where
1	Call for proposal	PCT advertises in the media in a newspaper with nationwide coverage and also writes posters which are distributed to all chairpersons of FDAs and pinned in noticeboards in public place such as churches, chiefs office schools within the FDAs, sub county offices, county etc	1	PCT
2	CIGs write proposals	CIGs write proposal with technical input from relevant technical department for process of harmonization with County Integrated Development Plans	21	Focal Development Area
3	Endorsement of proposals by FDAC	FDAC verifies if the CIG falls within the FDA FDAC endorses the proposal as appropriate by signing and stamping with FDA rubber stamp	7	Focal Development Area
4	Endorsement and initial screening by county and sub county office	Receipt of proposal by CPC Initial screening done by CPFT to conform with CIDP Endorsement sub- county and county relevant staff Signing by County Project Coordinator of the proposals Presentation to CPCC for concurrence Forwarded to PCT by CPC	14	County and Sub county
5	Appraisal (both desk and field) by Independent Oversight Agent	PCT receives the proposal from the counties Records them and forwards to Independent Oversight Agent for appraisal (both desk and field) Independent Oversight Agent undertake detailed desk review for all the proposals	35	PCT and FDAs

		<p>received and generate a report of proposals suitable for field verification.</p> <p>Conducts field verification for proposals that have been qualified at desk review</p> <p>Compile a report of CIGs who have qualified for award of grants and present the report to PCT</p> <p>The report is discussed and consensus of the proposed CIGs to be awarded the grants</p>		
6	Approval by Project Steering Committee / IFAD	<p>PCT presents the report of recommended CIGs to PSC for approval</p> <p>The approved list is forwarded to IFAD for review and concurrence and no objection</p> <p>IFAD gives a no objection for the approved list</p>	14	Nairobi /IFAD office
7	Notification of successful and unsuccessful of grants awards in newspapers	<p>Publish the list of the winning CIGs in the newspapers.</p> <p>Send a list of successful and unsuccessful CIGs to all chairpersons of FDAs, CPC and DSDOs</p>	1	PCT
8	Capacity Building of the Successful CIGs	<p>Training is done to all successful CIGs at the county level on: administration of the grant's financial management, procurement and governance issues</p> <p>Groups open designated bank accounts</p> <p>Signing of IAs between PCT and CIG</p> <p>Funds are released based on milestones</p>	14	COUNTY
9	Implementation of the proposal	<p>CIG implements the approved projects</p> <p>Monitoring by IOA and recommendation for release of funds in tranches</p>	Maximum for one year for category A and B	FDA

10	Completion and award of completion certificate	Verification done by IOA, technical department and FDAC. The CIG is awarded a completion certificate	Continuous	IOA/FDA/ PCT
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4.2.1 Call for proposals from Common Interest Groups (CIG)

The advertisement will be posted in print media with national coverage, project website, posters and announcements through public Institutions’. Schools and Churches. This is to ensure general awareness amongst the FDACs, CIGs and general public of the opportunity existing to apply for the grants. Advertisement document will provide clarity to CIGs on:

- i. Eligibility criteria;
- ii. Prioritization criteria and their application;
- iii. Eligible activities;
- iv. CIGs Contributions;
- v. Funding levels, utilization and the consequences of misuse of funds;
- vi. Anticipated funding cycle.

It is anticipated that calls for proposals will be made once a year. The Calls for proposal will be public with clear deadlines. The draft advertisement and content of the media release are found in **Appendix 1, F1, Call for proposals**.

4.2.2 FDACs Level

The CIGs will present their proposals to respective FDAC for endorsement and ownership. The FDAC’s will forward to the respective County Project Coordinators through the SCITs. This stage is aimed at ensuring ownership by the FDACs, and counties

4.2.3 County Project Coordinator’s Office Level

The FDACs in liaison with SCITs will present the proposals to the County Project Coordinator for submission to respective CPFT members for endorsement. A list of the proposals categorizing thematic areas will be presented to CPCC for concurrence and the County Project Coordinators will submit the proposals to PCT

4.2.4 PCT Level

- i. Receive the proposals;
- ii. Submit the proposals to the Independent Oversight Agent for appraisal
- iii. Submits the proposals to PSC for review and approval
- iv. Seek “No objection from IFAD for the recommended proposals by the Independent Oversight Agent after securing PSC approval;

- v. Give a feedback to the successful CIG's and other stakeholders through advertisements in the public media;
- vi. Coordinate capacity building for the successful CIG's;
- vii. Implementation agreement signing between PCT and CIG's Disbursement of funds; and
- viii. Feedback to groups on rejected proposal through mass media and respective FDACs

4.2.5 Independent Oversight Agent Level

The PCT will present the proposals to a competitively recruited Independent Oversight Agent who will:

- i. Receive proposals from the PCT;
- ii. Carry out screening and desk review of proposals as per the guidelines in this manual;
- iii. Conducting field verifications and appraisals as per the guidelines in this manual;
- iv. Recommend and forward to PCT the proposals that qualify with specific phases for funding;
- v. Generate a database on all the proposals;
- vi. Forward to PCT all the rejected proposals.
- vii. Carry out monitoring of milestones-based activities, capacity build the groups and recommend tranche releases

4.2.6 IFAD level

The PCT will present the oversight recommendations to IFAD who will:

- i. Receive and review the recommendations;
- ii. Give "No objections" on the approved proposals for funding.

4.2.7 Training for Line Ministry/ Agency Staff

The Roll-Out training (refresher training annually) for the line Ministry/Agency staff, using a training module defining the schedule of related activities will be used (as provided in **Appendix 2, TM1**). The training includes:

- i. Eligibility criteria
- ii. Prioritization criteria and their application
- iii. Eligible activities
- iv. Roles and responsibilities of stakeholders
- v. Financing processes and levels

- vi. Governance framework and Risk mitigation plan
- vii. Cross cutting issues including HIV/AIDS, Gender and environmental conservation.

4.3 Categorization of CIGs Activities

There will be various categories of CIG projects to be funded under the matching grants category of the loan. All projects to be funded must contribute to improvement of NRM. The activities will vary in size, costs, type, and duration of implementation, similarity, uniqueness and complexity.

Category A: Standard IGA activities

Category B: NRM Special activities

Category A includes IGAs that contributes direct benefits to the households in terms of income and food security as well as contributing to NRM. These include: Poultry farming, Dairy improvement, Fish farming, Crop production, Tree nurseries, and support services to NRM activities, e.g. (Agro vet), Small stock improvement (e.g. Dairy goat,), bee keeping tree nurseries and emerging enterprises.

These activities will be supported through standardized Technical Support Notes (TSN) and other support notes that will help to standardize: items, units, unit costs and quantities. In relation to this category a simple “shopping list” of options with pre-defined quantities and unit costs is found in **Appendix 4 as Technical Support Notes**. The proposal should meet the minimum thresholds for IGAs in specific thematic areas. The “shopping lists” of options will be reviewed annually.

These activities will be funded in the ratio of 70% by the grant and 30% by CIGs. However, special consideration will be given to CIGs mainly composed of the **youth and vulnerable persons** (e.g. persons living with disability). These CIGs will be funded in the ratio of 90% by the grant and 10% being the CIG contribution because of the nature of their disability and their inability to raise the minimum requirement of 30% under this category. However, in special circumstances 10% community contribution may be waived on case by case basis depending on the level vulnerability.

Category B includes special NRM activities that have direct benefits to the CIGs but contribute to the overall environmental conservation. The benefits to the CIGs are long term in nature and cannot be pre-quantified. These activities require the efforts and participation of all members of the CIG e.g. Soil and water conservation, community NRM (River bank & road conservation, gully healing, eco toilets, energy saving technologies, hotspots conservation, and alternative energy sources).

These activities will be funded in the ratio of 90% by the grant and 10% by CIGs. The funding of proposals for this category will be on a case by case basis since it is a challenge to come up with standardized bill of quantities.

4.4 Eligibility Criteria

This section enumerates the criteria which CIGs must meet for them to be funded.

4.4.1 General Criteria

The CIGs must meet the following conditions:

- i. **Registration:** The CIG 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 CIG must have a minimum of **15 individual active members (each member representing a household)** to ensure that there are enough members for various sub committees and benefits are widespread. However, for the vulnerable category, a minimum of seven (7) members is acceptable.
- iii. **Names of Management Committee:** The CIGs must provide the names and signatures of not less than three of its management committee members when submitting the proposals.
- iv. **Line department/agency acknowledgment:** The proposals must be endorsed by the line technical department/agency.
- v. **Sub County social development officers** –the proposals must be endorsed by the sub county social development officers
- vi. **Bank account: the CIG must have a bank account** and attach a copy of the most recent bank statement covering the last six months.
- vii. The CIG must be from a FDA within the project area-which is specified in the call for proposals
- viii. The CIGs must give a statement that the proposal is not being funded by another agency;
- ix. The CIG members must not have been involved in any fraudulent activities.
- x. The CIG executive members must not have 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 CIGs must also meet the following conditions:

- i) Apply for the funding in a specified proposal forms;
- ii) Seek relevant technical advice with evidence of endorsement
- iii) The activity to be funded must be relevant to the UTaNRMP objectives;
- iv) Meet the specified CIG 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 CIG members with copies of their national identity cards attached

viii) ; **For centrally implemented projects, groups should have land lease agreement as a pre-financing condition**

ix) The CIG must be willing to abide by the provisions of the project;

x) **Provide Activity Business Plan: Attach a detailed business plan of the enterprise/activity to the proposal.**

4.4.3 Criteria for the subsequent Funding

The activities for subsequent funding should be based on value addition, up-scaling, market support, support services to NRM activities related to earlier funding.

The CIGs funded previously, can apply for the second funding if they meet the following:

- i. Must meet the general criteria under 4.4.1 above;
- ii. Must meet the criteria for first level funding as in 4.4.2 above;
- iii. Must have successfully implemented the activities of the first level funding and issued with a completion certificate; and
- iv. Must provide Activity Business Plan: Attach to the proposal a detailed business plan of proposed CIG enterprise/activity

4.5 CIG Activity Criteria for Funding

The activities under the UTaNRMP matching grants to CIG's should have positive impact on natural resources.

Table 4.1: Categories of Proposals

No	Category	Activity Characteristic
1	Category A- Standard IGA Activities	<ul style="list-style-type: none"> • Short time to implement (within 12 months) • Contribute to household incomes • Contribute to food security/Nutrition • Improves NRM • May be innovative in nature • Community contribution will be 30% of the total cost of the proposal and 10% for CIGs composed of youth and vulnerable persons (Refer to section 4.3) • In special circumstances, community contribution may be waived on case-by-case basis especially for selected vulnerable • <i>Funding ceiling of up to Kshs. 3.0 Million</i>

2	Category B- NRM Special activities	<ul style="list-style-type: none"> • Contribute to the overall environmental conservation. • The benefits to the CIGs are long term in nature and cannot be pre quantified • Requires participation of all CIG members • Covers a bigger geographical area • May be innovative in nature • Implementation period may be more than 12 months • <i>Funding ceiling of up to Kshs. 2.0 Million</i>
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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 and must be availed before the projects matching grants are availed to the CIG's.

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
 - iii. Materials
- } 20%

The community contribution for youth and vulnerable groups will be a minimum of 10% distributed as follows;

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

The respective contribution in terms of cash, labour and material will be determined on case to case basis and in some instances the project may support the proposal up-to 100% depending on the vulnerability of the group.

In cases where labour and materials cannot be raised due to the nature of the project, e.g. procurement of equipment's, CIGs will be required to contribute their 30% in Cash

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
 - iii. Materials
- } 7%

4.7 Appraisal Criteria

The desk and field proposal appraisal forms with Check List and Scoring by the Independent Oversight agent are shown in **appendix1, F3**.

The following conditions must be met:

4.7.1 Training

The successful CIGs will undergo initial intensive two days (2) trainings before release of funds. Before the CIGs implement the activities, **CIG officials** will undergo a training session on grants implementation modalities. The thematic areas to be covered in the CIG trainings includes: CIG induction on implementation modalities, Financial Management, Governance and procurement. The training modules are attached in the **appendix 2**.

4.7.2 Transfer of funds

The following conditions must be met by the CIGs before funds are disbursed:

- i) Open an UTaNRMP designated bank which bears both UTaNRMP and CIG name and submit the latest bank statement of the account (current account) showing their cash contribution.
- ii) The signatories of the designated account are the three CIG officials (chairperson, secretary and treasurer) and the sub- county social development officer who is a mandatory signatory
A template letter to be used while opening designated accounts for a CIG;
- iii) Activity implementation schedules and budget including training schedules are developed and shared with CIGs management;
- iv) Full Names, mobile and contact details of Chairperson, members of the Management Committee
- v) Formation of three sub-committees of Procurement, Finance and Monitoring and evaluation.
- vi) CIG postal and physical address, mobile number, and email addresses
- vii) Signed Implementation Agreement between the CIG and FDAC.
- viii) Signed Implementation Agreement / contract between the CIG and PCT.
- ix) All CIG members to participate in a launch barazas which will be done in the respective FDAs to all CIGs awarded the grants to sensitize them on grants conditions, implementation modalities and funding mechanisms for matching grants. The County and National Government representatives and line agencies will be invited to the occasion.

Once the agreements /contracts have been signed, PCT will prepare payment and transfer the funds either through cheque or EFT to respective CIGs accounts as per the agreed milestones (**Appendix F3.2**). All key relevant stakeholders (CPC, FDAC etc) will be informed when each tranche is given to the group to enhance transparency.

4.8 Implementation Modalities

4.8.1 Technical training

Technical training modules are attached in **Appendix 5** detailing the time schedules and curricula to be covered. The trainings will be undertaken concurrently with project implementation. The technical training budget will be part of the proposal.

The standard rate of remuneration for technical support in relation to all trainings (as per government rates) is:

- Kshs.1,500 per person per day
- Kshs.1,000 per day for vehicle fuel Kshs.600 per day for motorcycle fuel
- Kshs.750 per day for driver, if required
- Ksh.500 for fare refund in case there is no government transport (vehicle or motorcycle)
- Kshs.3,000 for Training materials (optional)

The type of technical support required will be naturally influenced by the nature of the activities proposed. The project has developed training curriculum for selected enterprises See appendix 5

4.8.2 Supervision and Monitoring

a. FDACs

The FDAC will be funded based on pre-determined milestone-based monitoring visits and will be allocated funds for supervision, monitoring and reporting. FDAC will be expected to carry out monitoring to the CIG as follows; number of mandatory visits is four (4) with a minimum of 5 members of FDAC at rate of Ksh.500 each per visit-This translates into Ksh.10,000 per FDAC per group. These funds will be sent to the respective FDACs by the PCT. The amount will be part of the project funds under matching grants category and not funds from CIG proposal.

This amount should be considered as revenue for services provided/to be provided in support of the implementation process. A separate bank account for receipt of the funds will be required. The fund utilization will be audited in accordance with the regular audit requirements of a legally registered organization. The FDACs are however required to prepare a monitoring plan and share with the PCT for concurrence before funds are disbursed. The FDAC will account for the funds through monitoring reports and signed payment schedules (name, position, ID No, Contact telephone, Signature and date)

b. Line Ministries/Departments

In addition to technical support the line ministries will be offering to the CIGs, they will also be required to carry out supervision and monitoring of CIG activities. Respective departments within the counties will be expected to include this activity in their budgets. The monitoring will be done on a monthly /quarterly basis or on case on case basis and reports submitted to the PCT.

c. Independent Oversight Agent

Supervision by the Independent Oversight Agent (IOA) will be done as per milestones in various proposals from the CIGs. The Independent oversight agent will be expected to have a copy of the implementation plan from each of the CIGs which will have been jointly prepared with clearly defined milestones. This activity will be important for synchronizing milestones to funds disbursement. All the reports will be forwarded to the PCT. The County based IOA staff will regularly brief the CPFT during their monthly meetings basis on the implementation status of the CIGs

The Independent Oversight Agent (IOA) will be briefing the PCT on monthly basis on the status of the implementation. Other mandatory meetings will be linked to key milestones including to inception report, desk and field appraisal report, agreed monitoring reports etc

d. Project Coordinating Team

The PCT will be monitoring and evaluating CIG 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 and the Independent Oversight agent. The PCT will be carrying out periodic supervision visits /studies/surveys to assess the progress towards achievement of project objectives.

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 grants.

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 Independent Oversight Agent. The format for the Completion Certificate is as shown in **Appendix 5, OF4: Completion Certificate**.

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

- i) The CIG 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) in liaison IOA with 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, CPFT and the independent oversight agent;
- iv) The endorsed completion certificate forms are forwarded to PCT for issuance of completion certificate; and

The Completion Certificate will be issued to CIGs in a public gathering organized by the FDAC/CPFT; Projects that have not been issued with a completion certificate within 1 month after the date of planned completion will be followed up by the Independent Oversight Agent/county staff.

4.11 Governance Framework

4.11.1 Transparency

All activities relating to the matching grants 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 grants to ensure that there is equity during application for the grants.

In order to ensure that the CIGs 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 and reduce the chances of collusion.

The project has developed detailed process and procedures for the CIGs to access the grants. These include; Call for proposals, eligibility criteria, screening, appraisal of proposals, public announcement of the successful proposals, funding mechanisms and implementation modalities through this matching grant manual which is a public document.

The project will issue Completion Certificate to the funded CIGs in a public function organized by the respective FDACs.

4.11.2 Accountability

The ownership and accountability of the grants to CIGs will be the sole responsibility of the respective CIG members. UTaNRMP will competitively procure an Independent Oversight

Agent that will appraise proposals, recommend funding, monitor and verify milestones in order to give an independent and professional opinions on grants administration.

Various stakeholders have been given clear roles and responsibilities in the administration of the matching grants. The CIGs will be funded in phases according to agreed milestones which will be verified by the Independent Oversight agent. The minimum number of CIG 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 and also ensure benefits reach as many beneficiaries as possible.

The CIGs will sign Implementation Agreement (IAs) with FDACs for implementation support and sign Implementation Agreement (IAs) with PCT for funding and acceptance of responsibility and liability for funds received. The CIG management will be held personally and collectively responsible for the funds received.

The FDACs will be funded to carry out M&E effectively and will be held responsible for the CIGs under their supervision in order to ensure that the funds received are properly spent and accounted for, in order to get value for money.

CPFT will be funded by the PCT to carry out supervision and monitoring of CIG 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 or an occurrence book 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 disbursement of the funds to CIGs upon signing of implementation agreement, contract management, recruitment and Supervision of Independent Oversight agent and backstopping of various implementing and monitoring agencies. No funds will be disbursed to the CIGs without professional recommendation from the oversight agent and no objection from IFAD. The PCT will also be responsible for accounting of project funds to the various financiers.

The project funds will be allocated fairly and competitively among the CIGs based on agreed criteria, affirmative action for different categories of groups (Vulnerable groups and youth) and conditions (e.g. contribution percentage 30/70% depending on category) and the allocation of funds 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 CIGs 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 for a period of over 10 years after project closure.

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

The CIGs will be funded in tranches as per the agreed milestones in the contract. The CIG milestones must be assessed by the Independent Oversight Agent before any subsequent tranches are released. FDACs will be carrying out monitoring visits to the CIGs to assess implementation progress as per agreed activity plans. The project funds will be audited by internal auditors at the counties and OAG. IFAD will continue to offer supervision and implementation support to the project.

Table 4.2: Summary of Risks and their mitigation measures

Nature of risk	Risk rating	Mitigation Measures	Action By:
Few proposals are received from CIGs	Low	Public announcements using both print, electronic media, public places (churches, schools, shows/ exhibitions) and sensitization barazas to announce the availability of the grants.	PCT
Too many proposals qualify for funding	Medium	Increase budgetary allocation Request for an increase of initial deposit in order to improve project liquidity. Reallocation of funds to category III in the event of low absorption in any other category.	Lead agency, Borrower & PCT Lead agency, Borrower & PCT
Nonexistent CIGs applying for funding	Medium	Eligibility criteria clearly set Endorsement by FDACs Endorsement by Sub County SDO s who	PCT FDACs

		are responsible for group registration Screening by line ministries/ agencies strengthened Field verification by oversight agent	Line ministries/ Agencies Independent Oversight Agent
Misuse of funds by CIGs	High	Training of the CIG on financial management and governance. Clear roles and responsibilities within the CIGs through formation of sub committees. Eligibility criteria provides track record of CIG for subsequent funding Monitoring and supervision by FDAC and the technical departments Funding by milestones Field verifications Public issuance of cheque to the CIGs where possible. CIG management held individually and collectively responsible for funds received. Imposing severe sanctions on funds misuse.	CPFT/ PCT Line ministries/ agencies and CIGs PCT FDAC PCT IOA /PCT PCT/ CIG management PCT/ CIG management PCT/CIG/FDAC
Misuse of funds by one CIG affects negatively the administration of matching grants in the project area.	Medium	Each CIG management is held individually and collectively responsible for funds received. Sub County SDO made a mandatory signatory of the designated account Stop further withdrawals from the affected CIG designated account. The FDAC are held collectively responsible to account for funds misused by any CIGs within them.	CIG Sub County SDO Sub County SDO FDACs

		PCT suspends any further funding to CIGs within the FDAC until the concerned CIG properly accounts for the loss.	PCT
Outputs for specific CIG activities not realized due to external factors (e.g. Weather, inflation, political instability)	Medium	CIGs to factor in weather pattern when scheduling their activity. Funding synchronized with seasons where possible Documentation of events and certification of same by technical line ministries/ agencies for possible subsequent funding.	CIGs PCT, Line ministries/ agencies & CIGs
CIG activities have 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 & Oversight agent CIG CIG
Delayed release of funds to the CIGs	Medium	Implementation activity plans and projected cash flow plans developed Prioritization of CIG activities Timely preparation of AIEs Timely preparation of SOEs, WAs Timely call for proposals	PCT and Oversight agent Oversight agent Lead agency PCT PCT
Misallocation of matching grants funds at the PCT	Low	Adherence to the approved work plans and the internal financial control mechanisms. Reviews by PSC/IFAD missions	PCT PSC/ IFA
Fund transfers to the beneficiaries' bank accounts based on weak systems. (The quality of reports, supporting documents, record keeping, asset security, project design);	High	Training of the CIG on financial management and governance. Sub County SDO to train on financial management	CPFT and PCT Sub County SDO

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, recording alterations or adjustments, and reconciling financial system transactions	High	Training of the CIG on project management and implementation Monitoring and supervision by FDAC and sub-county staff Support by technical department	CPFT and PCT FDAC Technical departments/ agencies
Lack of ethics and integrity by community representatives including political and administrative collusion interference.	High	CIG management trained on governance and management	PCT/ CIG management

4.11.5 Complaints Handling Mechanism

Apart from the internal mechanisms of handling complaints within the CIGs, FDAC, the project will establish a CPFT complaint sub-committee composed of: Social Development Office (Chair); County Project Coordinator and the relevant county implementing department/ agency from which the CIG 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 a 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 CIGs:

- a) Stop all the withdrawals from the CIG account by the Sub -County SDO;
- b) No further project proposals will be awarded or received from the CIGs in the respective FDA, where misappropriation is reported;

- c) PCT shall request the internal audit department at the county to audit and investigate the CIG and share the report with the CPFT and PCT complaints subcommittees;
- d) Recovery- the CIG 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

This chapter provides guidelines for planning and managing procurement and financial aspects by CIGs, and similar civil society groups benefiting from the project finances.

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.

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 program 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 CIGs in Community Driven Development organizations and Common Interest Groups (CIGS). 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 and its relevance to Community Projects

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.

5.3.1 Matching grants for UTaNRMP CIGs

CIGs funded by UTaNRMP must meet the following conditions:

- i) Have valid registration certificate;

- ii) Comply with all guidelines, regulations, circulars or other forms of financial procedures in force by the project;
- iii) Abide by all internal control mechanisms put in place (operating through relevant committees – Finance, Procurement, Monitoring etc.);
- iv) Meet their obligations as they fall due e.g. pay suppliers within the stipulated period;
- v) Maintain up to date inventory records, update their financial records on a regular basis (once a week is recommended);
- vi) Perform monthly reconciliations of their bank and cash balances, prepare regular financial statements e.g. receipt and payment accounts, asset register etc.;
- vii) Review and discuss, on a monthly basis, the financial status of the organization during members' meetings;
- viii) 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 CIGs 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;
- iii) The CIG members and their decision makers will be personally and jointly held responsible and accountable for the use of project funds;
- iv) In case the project funds are not spent within the budgeted period, the funds shall continue to be spent on the agreed activities the following financial year;
- v) The project funds should be spent optimally i.e. to achieve value for money;
- vi) The CIG 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

For proper and effective Financial Management (FM) the 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, CIG 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 Financial Management. Respective Committees members will have 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 CIG 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 CIG project activities*).

The CIG 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 CIG 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 CIG own contribution) and the expected amounts.

It is proposed that CIGs be allowed to make variations in their budgets not exceeding 10% in any one budget line, so long as the total allocated grant is not exceeded without prior approval by the PCT.

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 funds for matching grants are expected from IFAD and GoK. It is a requirement that each CIG raises a minimum of 10%-30% or more of the total project costs depending on the category. This requirement may be waived in some special cases for youth and vulnerable members of the community. The waiver 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 CIG 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 Funds Flow and Bank Accounts

Funds flow refers to the entire process of channeling funds right from IFAD, through National treasury lead Ministry –Water, Sanitation and Irrigation (MWS&I) to the PCT account and ultimately to the designated community bank account. The funding of the respective groups falling within the focus of the CIGs will be provided in the form of direct grant financing based on the submitted and approved proposals by relevant authorities

The CIG shall open a **DESIGNATED BANK ACCOUNT** with a reputable commercial bank in the project area. 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 CIG shall not be immediate relative to the other.

The signatories shall not withdraw funds from the Project bank account without a committee minutes from a meeting consisting of 2/3 of the committee membership and a letter from the relevant government department.

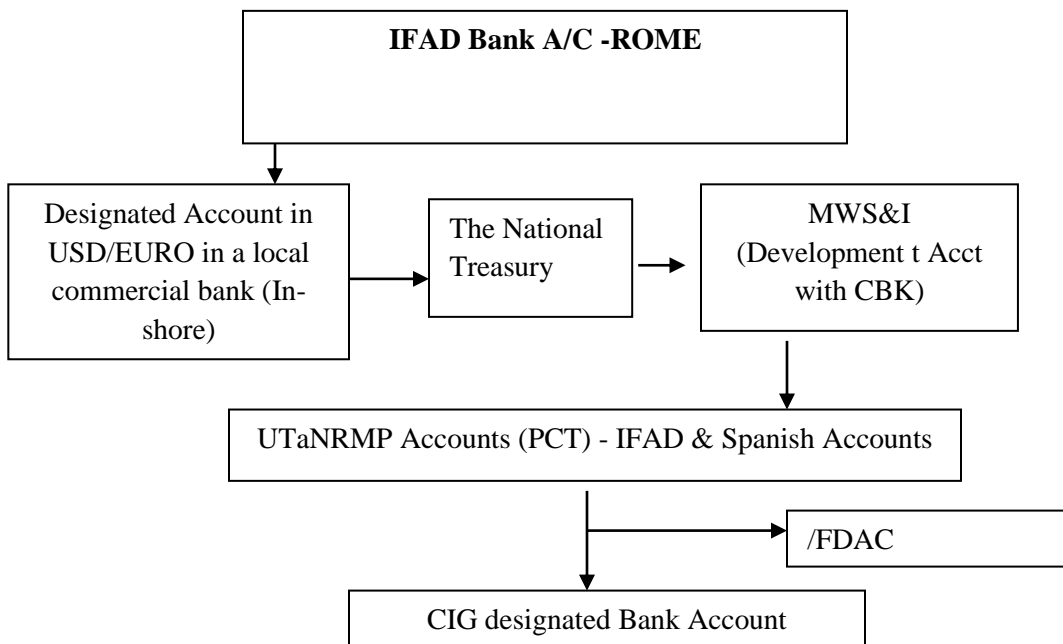


Figure 5: Flow of Matching Grant Funds

5.3.7 Payment of goods and services:

- i. The CIG can pay for the goods and services they have procured up to Kshs.400,000.
- ii. Any payment exceeding Kshs.400,000 will be paid to the supplier by the PCT upon receipt of certified documents from CIGs.

Financing contract signed with the CIGs will generally indicate how the funds are to be disbursed (e.g. tranches), percentage of the funding, the length of the implementation period, and the eligible (approved) activities for financing. Disbursement percentages will be indicated in the approved project proposals; contracts and the subsequent payments will be based on periodical progress reports and verified milestones. For sustainability of the project, it is expected that community contributions will continue.

5.3.8 Valuation of community contribution in kind

The valuation method to be applied on contributions in kind 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 accounting systems are expected to be basic and may be manual in nature. The treasurer is responsible for keeping and updating the accounting books and other financial records. Due to the nature of simple storage facilities available in the CIGs, the use of hard bound books is recommended 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:

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 CIG Treasurer shall keep receipts for all expenses in proper order and also issue a cash receipt for the funds received. Receipts should be numbered accordingly and be kept safely.

(For sample cash book see **Appendix 3, FPF 1**)

5.3.10 Payment Guidelines and Procedures

CIGs should pay their contractors, suppliers or service providers using the following procedures:

- i. The payment to be made exclusively for approved project activities based on budget allocation;
- ii. Ensure all necessary supporting documents including work contract, payment certificates approved by relevant committee, cash receipts, invoice, LPOs, LSOs, delivery notes etc are available and valid.
- iii. Payment vouchers will be prepared by the CIG 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 CIG 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 for money to be drawn from CIG accounts, cheques must be signed by the chairperson, Treasurer secretary and. Sub County SDOs who is mandatory signatory
- vi. CIGs 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. CIGs 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.

Note: As a general rule, payments made in cash will not exceed a value of Kshs.10,000.00. All payments exceeding Kshs.10,000 must be paid in cheque/EFT unless under special circumstances approved by the management committee and PCT –Embu.

5.3.11 Internal Controls

The capacity of the user groups to keep proper books of accounts and account for funds received and used is a pre-requisite to the management of grants. 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

- a. 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;
- b. Set up arrangements that accelerate the flow of funds or project implementation,
- c. Set a monitoring and evaluation system that integrates both financial and physical progress.
- d. Accountability should be in-built into the local governance system –publishing and publicizing of financial reports by CIG committees in most common local language;
- e. Undertaking internal audits of CIGs on a regular basis.
- f. Ensure security of vital documents by keeping them in filing cabinet or metal box.

5.3.12 Financial Reporting

Funds provided to communities are public resources and are subject to public accountability

Requirements:

Submission of financial reports will be prerequisite to subsequent disbursement. 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.

CIGs 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 CIG should be periodically reviewed by IOA, 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 CIG;

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 CIG. 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, land, farmland, business premises, 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 CIG 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 Community Project diary (Sample Community Project Diary see **Appendix 3, FPF 2**),

- Date of contribution
- Activity undertaken
- No of members who have participated
- Unit and Total costs (for labour conversion to monetary terms)
- Amount or Quantity of contribution

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 MoUs. 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 all bank accounts on a monthly basis and at the year end. c) Petty cash reconciliation statement for each month and at the end of the year. d) 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 grants 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 CIGS 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

CIGs will seek technical support from relevant technical government department. The cost of such services) will be included in the CIG'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 CIGs in the implementation of their project activities and is based on the idea that:

- Community development can only be achieved if the communities take direct

responsibility of their projects mitigating activities; and

- 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 projects;
- (ii) To facilitate CIGs 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 CIG as annexes.

5.4.3 Why a procurement Guide for CIGs?

A procurement guide ensures that:

- i) Resources needed to carry out the CIGs projects are procured with due attention to economy and efficiency (lower cost, best quality and timely availability);
- ii) CIG project activity 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 and services will be procured at a reasonable price and that the procurement planning process is of satisfactory status;
- iv) **Effectiveness** means that the goods and services will fulfil CIG objectives.

5.4.5 Procurement Process

Procurement should start once approval for funding to the CIG which also includes approval of the project that the CIG intends to undertake.

As part of the management structure, each CIG is expected to have a Management Committee, a

procurement Committee, a Finance Committee and a Monitoring and Evaluation Committee. The minimum number for each committee is three (3) and each member of the Management Committee will be required to join any of the other three.

5.4.5.1 Setting up a Procurement Sub-committee

CIGs should establish a Procurement Sub-committee responsible for procurement in their group. The composition of the sub committee is one(1) management committee member, and two (2) ordinary members.

This committee will be responsible for:

- a. Preparing a procurement plan and updating it regularly;
- b. Preparing technical specifications and terms of references (often very simple) for goods, works and services respectively;
- c. Adhering to the procurement steps defined in this manual;
- d. Opening of bids
- e. Keeping procurement records in proper order.
- f. Taking on charge of goods and services procured
- g. Issuing of goods

5.4.5.2 Selecting a procurement method

This will be guided by the financial/budget for each particular requirement as shown in Table 5.2 below:

Table 5.2: Procurement Thresholds

Threshold/Ceiling:	Use this method	Key activity
Up to Ksh10,000	Direct procurement or buy off the shelf directly from a seller. It should be within the Focal Development Area (FDA) jurisdiction where applicable	Shop around for the best price and keep a receipt
Between 10,001 to Kshs.400,000	Shopping method; use of a Request for Quotation (RFQ) with receipt of at least three quotations. Give at least 7 days for submission of bids. It should be within the sub-county jurisdiction where applicable	Obtain a minimum of 3 quotations from approved suppliers by CIG

Between Ksh.400,001 and 2,000,000	Local bidding advertisement with a wide-reaching audience. Give adequate time at least 14 days for submission of bids It should be within the county jurisdiction where applicable	Obtain a minimum of 5 quotations/bids from agreed suppliers by CIG. PCT's concurrence will be required before award.
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5.4.5.3 Preparing a Procurement Plan

Procurement planning is scheduling steps involved to procure goods and services. A procurement plan shows the items that will be required by a CIG and shows what will be procured and when and to meet which needs. To prepare a procurement plan each CIG will be required to engage its members in identifying their needs/requirements for their CIG for the next one year during the UTaNRMP AWPB planning cycle. The CIG takes into account these needs and prepares a plan showing what will be procured during the year/period for their CIG. It is important to note that any items not planned for will not be funded. The CIG proposals must have a procurement plan.

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 CIGs;
- iii. It simplifies the procurement process. All similar items are procured in one go 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 CIGs.

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 brings forward a consolidated list of resources required for the entire CIG. For convenience, all goods, services and works are grouped under the different tables. Once the tables are completed, a procurement plan is ready. Where capacity to store goods and suppliers exist, CIGs should buy in bulk.

5.4.5.4 Advertising

At the beginning, the Procurement Subcommittee should post a general advertisement to inform the community, as well as various suppliers and contractors about the business opportunities

offered in the CIG. Advertisement is necessary to:

- i. Inform everyone about the business opportunities available;
- ii. Promote transparency and accountability;
- iii. Generate competition to get the best prices.

There are many ways for advertisement. Some of the commonly used include: (i) posting of a notice in the public places including shopping areas, churches/mosque, community hall/centre, government office, etc.; (ii) community discussion groups, chief's barazas; (iii) use of local radio station; (iv) distribution of flyers; (v) local newspapers, etc.

5.4.6 Procurement steps

This section explains the necessary procurement process steps.

5.4.6.1 Preparation of Technical Specifications

A specification is simply a definite description of what is needed or wanted 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 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 Procurement Requisition:

The management committee will initiate procurement by use of a written procurement requisition form and forward to the procurement sub- committee for action (appendix 4, FPF 10). The procurement sub- committee will prepare detailed description of their requirements such as the Bill of Quantities (BQs), Specifications, Terms of Reference (ToRs) among others.

5.4.6.3 Preparation of Tender Documents

As far as possible, CIGs are encouraged to make use of GOK standard tender documents for each type of procurement. Assistance of the relevant departments of the Government should be sought especially in the preparation of tender documents for civil works, and other technically sophisticated projects. A tender register must be kept (Appendix 3, FPF 20) for reference. In case of need for supply of samples by bidders; a register of samples must also be kept (Appendix 3, FPF 21)

5.4.6.4 Advertising of Tender Documents

The CIG must advertise the tenders in order to give equal opportunity to all interested suppliers/ contractors/consultants in the area specifying the project/item description, required qualifications, closing and submission dates. **Under UTaNRMP funded procurements, tender documents should not be sold.**

5.4.6.5 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 CIG maintains a tender register. Tenders should be opened by a procurement committee and bidders' representatives who wish to attend should be allowed to attend and witness the process of opening.

5.4.6.6 Evaluation of Tenders:

Evaluation of bids is done by an Adhoc Evaluation Committee consisting of at least three members one of which must be from the procurement sub- committee. The evaluation should be conducted in the manner indicated in the tender documents and may be done under technical and or financial. The evaluation committee should prepare an evaluation report indicating the bidder who is recommended for contract award to the Management committee for adjudication and award.

5.4.6.7 Contract Award:

The Management committee should make its decision on whom to award the contract on the basis of all the available information (technical and combined evaluation reports). Awards should be made to the lowest evaluated bidder for standard off-the-shelf items, and to the best evaluated bidder (both technical and financial) for specialized items and for consulting services. Awards by management committee shall be final and binding unless successfully appealed against by the other bidder(s). The award should be mailed to or collected by the successful bidder.

5.4.6.8 Signing of Contract:

After the contract award by the management committee, 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 be signed by the CIG Chairperson, Secretary and Treasurer. A formal contract may not be necessary for contracts below Kshs.50,000. Signed Local Procurement/Service Orders which are also signed by the supplier shall be sufficient in this case. All contracts must be send to IOA through PCT for concurrence before signing. Any contract above Ksh.400,000 shall be sent to the PCT for payment

5.4.6.9 Performance of Contract

After the contract is signed the supplier/ contractor/consultant shall be responsible for executing the contract in accordance with the tender document and client's proposal, terms and conditions of the contract and the relevant committee shall be responsible for the management of the contract. If it becomes necessary during the execution of the contract to amend the order given to the supplier, then an Order Amendment Form (Appendix 3 FPF 24) must be filled and duly signed by the relevant CIG Committee but execution of the amendment will only be done after receiving a written approval from PCT.

5.4.6.10 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 appointed by the management. The committee will get assistance from the relevant technical department 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 CIG, 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 and
- h) Issue interim or completion certificates or goods recorded notes as appropriate and in accordance with the contract.
- 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.

- a. The complaint should be lodged with the CIG first;
- b. Government representatives for instance the County or Sub County Procurement Officer, the Chief and line ministry representative can also be approached and complaints lodged with them officially and in writing; and
- c. County Project Facilitating team members

If these initial and localized complaints fail to elicit action within seven (7) days upon submission, then the complainant/appellant has the right to take further actions through formal written complaints to various government agencies which include: -

- a. Project Coordinating Team;
- b. Public Procurement Oversight Authority (PPOA);
- c. Ethics and Anti-Corruption Commission (EACC); and
- d. Kenya Police Service (DCI)

Upon notification the PCT, will immediately start investigations and respond to the complainant within fourteen (14) days.

5.4.8 Procurement methods

Procurement methods are the rules about “**how to buy?**” resources. This section describes these rules and methods.

5.4.8.1 Direct procurement method

In the Direct Procurement method, the Procurement Subcommittee approaches a supplier/seller or service provider familiar to the community, to provide the goods or consultancy services. After negotiations, the item/service is procured (or a contract is signed, if needed) for the negotiated price.

This method is applied for all procurements that are **below** the financial threshold defined by the UTANRMP (see Table 5.2).

However, there may be instances when some good/service is required but its estimated financial value is **above** the threshold for direct procurement method. This situation may arise due to the following:

- a. The competitive methods cannot be used due to exceptional reason(s) like long distance which may bring about unnecessary delays, availability of goods/services, higher operating costs, sudden unforeseen needs etc;
- b. Only one consultant has the qualifications to carry out the assignment; or
- c. In cases of proprietary requirements, where only one supplier can provide the goods or equipment
- d. The assignment represents a natural or direct continuation of a previous contract awarded competitively, and the performance of the supplier or service provider has been satisfactory; or
- e. In cases of extreme urgency or emergencies.

The decision on the use of this method’s is made on the basis of strong and convincing justifications, and where it offers clear advantages over the competition. It is recommended that these justifications are provided in the CIG proposal. CIGs need to balance the need for use of direct procurement against the risk of lack of transparency and risk of lack of providing opportunities to other prospective suppliers/service providers who could have provided a better service at a lower cost.

5.4.8.2 Quotations based method

This method involves solicitation and receipt of at least three quotations (or proforma invoices) from different suppliers'/service providers. The steps involved in this method are presented below;

- a. Identify the item or the package of items to be procured from the procurement plan;
- b. Conduct the procurement process: This involves inviting quotations from at least three bidders approved by the CIG, giving them enough time to submit their quotations in a sealed envelope, evaluating the bids offered and costs, selecting a successful bidder and award.

The **advantages** of this method include getting value for money through competition, transparency and ease in accountability/audit and business opportunity for the suppliers'/service providers

5.4.8.3 Local bidding method

For purpose of this manual Local bidding refers to procurement within the region. This method is more elaborate than the quotations-based procurement method. It is applicable to higher value procurements and requires more experience. This method requires advertisement for the goods and services needed. Advertisement is done in order to give equal opportunity to all interested suppliers; inform everyone about the business opportunities available; promote transparency and accountability; and to generate competition to get the best prices.

The advertisement must specify the project/item description, required qualifications, closing and submission dates. This may be done by (i) posting of a notice in public places including shopping areas, churches/mosque, community hall/centre, government office, etc.; (ii) community discussion groups, chief's barazas; (iii) use of local radio station; (iv) distribution of flyers; (v) local newspapers, etc

All prospective bidders will be required to quote their prices and submit their bids in sealed envelopes. Opening of the bids is done in the presence of bidders who wish to attend, after which the CIG compares the services offered and costs, selects a successful bidder and awards.

5.4.9 Procurement record keeping and monitoring

CIG must keep procurement documents in proper order. They include:

- i. The procurement plan;
- ii. Proof of advertisement;
- iii. Copies of contracts signed;
- iv. All receipts;
- v. Payment record (voucher);
- vi. Record of items in storage.

- vii. Requisition forms by the procurement sub-committee approved by the executive committee
- viii. Returned quotations by bidders
- ix. Evaluation reports
- x. Inspection and acceptance reports
- xi. 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 CIG lacks the expertise to make an inspection, it may contact the nearest UTaNRMP office for assistance and help.

5.4.10 Store Keeping

Items procured or supplied for a project and relevant documents are the responsibility of the CIG 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 CIG should designate a person (storekeeper) who is responsible for the storage;
- iv. The storekeeper should keep a store record book (Appendix 3 FPF 19).

5.4.11 Use of project Equipment's

All Equipment's procured through projects funds must be used optimally to achieve the objective of the CIG but in case of underperforming, the project can repossess it and give it to another deserving group after ascertaining non-performance.

5.1.2 Conflict of Interest

In order to avoid conflict of interest, CIG members and their immediate relatives will not be allowed to participate in the supply of goods and services.

5.5 Inspection of books of accounts and all records

The CIGs must keep all records for a period of ten (10) years and make them available for inspection by PCT Secretariat, IFAD, or the appointed agents of the above- Internal and external auditors. The CIGs are required to maintain the following: - an inventory of tagged fixed assets

procured through the project, all approved proposals, all signed contracts, all minutes of the meetings. The CIG physical assets financed by UTaNRMP shall bear the name of UTaNRMP (GOK/IFAD) and identify the project as financed by UTaNRMP (GOK/IFAD).

5.6 Fund Misuse

It is important to recognize that when funds are misused, pre-determined steps/actions will be followed. The following steps should be taken:

- a) There should be written chronology of events by relevant institution (e.g. FDAC, CIG etc) describing the facts of the case, proposed way forward with copies to relevant parties including PCT, other GoK staff handling project issues and GoK security agents
- b) The communication should also be publicly displayed at the nearest public notice board (Chiefs) in the area of the CIG which includes action to be taken or taken and should not exceed 10 days
- c) In the absence of appropriate action, the PCT will call a meeting immediately after 10 days with the relevant parties;
- d) The meeting will define a list of actions to be taken within the period of one month. The CIG project will be formally placed in the category of “project under investigation”; No further applications shall be endorsed by the PCT from the FDA until the case is solved. This will be formally communicated to the respective parties; The Sub county SDO will freeze the CIG designated account has investigation progresses.
- e) The PCT will either require the respective CIG to return lost funds or start a legal process to recoup the lost funds

5.6.1 Penalty in the case of Fund Mis-use

In case of misuse of funds above, the sanctions and remedies provided for in 4.11.6 will apply.

5.6.2 Complaints Mechanism (general)

The PCT will establish:

- 1) A complaint registers and dedicated telephone line
- 2) A complaints / suggestions box. And
- 3) Telephone call which should recorded but follow-up with written complaint

Complaints being submitted to the PCT will be registered and introduced as an item on the agenda at the PCT monthly Meeting. The complaints box will be opened prior to the PCT meetings.

APPENDICES

APPENDIX 1: FORMATS AND SAMPLE CONTRACTS

F1: Call for Proposal Media Release

Upper Tana Natural Resources Management Project

Introduction

The Upper Tana Catchment Natural Resources Management Project is a ten-year project (2012-2022) taking into consideration the additional funding and extension of the completion date by 30 months. The project is 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 **Project Development Objectives** 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. These objectives reflect the poverty-environment nexus.

The project area is in the Upper Tana catchment which covers an area of 17,420 km² and includes 24 river basins and the tributaries of the four rivers formerly under MKEPP that drain into the Tana River as follows

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, Irapu, Kayahwe, Chania, Mara, Mariara, Mathioya, Nyamindi, Ruguti, Rwamuthambi, Sagana, Ura

The area covers six of Kenya’s 47 counties namely; Embu, Tharaka Nithi, Meru, Nyeri, Kirinyaga and Murang’a. The area includes the Mt. Kenya and Aberdares National Parks and surrounding Forest Reserves.

The project aims at poverty reduction targeting about 300,000 households (1,500,000 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. The project will also 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.

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

Call for Proposals / Media Release

The project will provide matching grants to Common Interest Groups (CIGs) through Project Coordinating Team (PCT) to help them implement Income Generating Activities (IGAs) upon **submission of acceptable proposals** using a Community Driven Development (CDD) approach.

The grants will be output-based with release of funds being made in tranches upon the achievement of milestones specified in the grant agreement between the PCT and the CIGs. The CIGs will receive an initial advance of the grant amount, and will subsequently lodge claims for further payments as each milestone is reached, and a simple milestone report is submitted. The PCT will engage the services of an Independent Oversight Agents (a private service provider) to verify the milestone reports before further financial releases are made. This milestone-based payment system is intended to strengthen accountability and transparency, as well as reduce the administrative burden associated with using accountable cash advances whereby each advance has to be acquitted surrendered before the next payment is made. The project activities funded under this window should be income generating, friendly to the environment and the natural resource base. They may include the following sectors among others:

- Agriculture/horticulture and related enterprises;
- Livestock production and related enterprises;
- Energy saving technologies including renewal energy.

Matching Grants

Matching grants will be provided up to a ceiling amount of **Kshs.2 (Two) Million in category A and B**. The CIG will be required to contribute 10%-30% while UTaNRMP will provide matching grants of up to a maximum 70%-90% of the Project proposal, except in Category B where the maximum is 90%. Special consideration will also go to **group of vulnerable persons and youth** which is funded up-to to a maximum of 90- 100%. Grants are to be provided for a range of activities to support livelihoods activities. In special circumstances, the project can fund such groups up to 100% on case by case basis

Eligibility

As a minimum, the CIG must be a registered as a community self-help group by a relevant government institution.

- Be an active group and have field activities and have been in operation for the last six months
- Have a bank account with a reputable financial institution
- Provide evidence of 1/3 (30% minimum) of the costs of the project as evidenced by such an amount in their bank account or a combination of labour/materials and cash.

Duration

The projects are to be completed within a **12 months'** time frame. However, exception will be on projects in Category B

Deadline

The deadline for submission of the duly signed proposal by respective County Project Coordinators to Project Coordinating Team (PCT) office- Embu is on forty second (42nd) day from the date of advertisement. **(21 days for CIGs to write proposals, Seven (7) days for endorsement by FDACs and Fourteen (14) days for review by CPFT/SCITs and CPCC).**

Application forms and enquiries

Application forms and matching grants guidelines are available at the following offices and **are not for sale.**

i. **Project Coordinating Team Offices-**

Upper Tana Catchment Natural Resources Management Project (UTaNRMP)

P.O. Box 996 -60100. Tel +254-68-2231376 **Email: utanrmp@gmail.com**

Embu

Website: www.utanrmp.or.ke

ii. **County Offices**

County Project Coordinator

Embu County

Embu West -Water Offices

P.O Box 542-60100

Embu

County Project Coordinator

Nyeri County

National Government Regional Offices

P.O Box 1343

Nyeri

County Project Coordinator

Tharaka Nithi County

Meru South -Water Offices

P.O Box 263-60400

Chuka

County Project Coordinator

Murang'a County

Murang'a -WRA sub- region office

P.O Box 460

Murang'a

County Project Coordinator

Meru County

Next to Meru WRA Sub –Region Office

P.O Box 1152

Meru

County Project Coordinator

Kirinyaga County

Kirinyaga WRA Sub-Region Office

P.O Box 360

Kerugoya

iii. **County and Sub-County Social Development Offices in the following counties;**

Embu Nyeri

Tharaka Nithi

Murang'a Meru

Kirinyaga

iv. All Chair Persons of Focal Development Areas Committees (FDACs)

F2: PROPOSAL FORMAT



REPUBLIC
OF
KENYA



Poverty Reduction through Sustainable NRM



Investing in rural people

**MINISTRY OF WATER, SANITATION AND IRRIGATION
UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT
(UTaNRMP)**

P.O. Box 996-60100 EMBU

Tel: 068-2231376

E-mail: utanrmp@gmail.com

Matching Grants Proposal Application Form (THIS FORM IS NOT FOR SALE) 2020/21

For official Use only	
Name of the Common Interest Group (CIG):	
Proposal Reference No:	
Category Applied for:	
Date Received:	

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. **The proposal from the CIGs must be either bound or spiral bound***

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, Sub-County SDO and ward extension staff 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 CIG	
CIG Registration No.	
Contact Address	
Date of Registration	
Type of registration/registered with	
Number of CIG members (Men, Women)	
Number of households (Minimum number must be 15)xxxx	
County	
Sub-County	
Constituency	
Ward	
River Basin	
FDA	
Nearest trading centre	
Has the CIG being funded by UTANRMP earlier	If Yes.... When No.....

xxxx – Members must not be couples

Details of the CIG Executive Committee

Name of Chairperson	
Telephone number of Chairperson	
Duration in office -xxx	
Name of Secretary	
Telephone number of Secretary	
Duration in office-xxx	
Name of Treasurer	
Telephone number of Treasurer	
Duration in office xxx	

xxx; provide evidence. Minutes of the last meeting when election were held

Details of the FDAC Executive Committee

Name of Chairperson	
Telephone number of Chairperson	
Signature	
Name of Secretary	
Telephone number of Secretary	
Signature	
Name of Treasurer	
Telephone number of Treasurer	
Signature	

CIG Bank Details

Bank Name	
Branch Name	
Branch Code	
Account Name	
Account Number	

CIG Account Signatories

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

B. Proposed Project Information**Proposal General Information**

Name of the proposed project	
Category of the project applied for (*)	
Duration of the proposed project	
Requested (IFAD) funding (Ksh.)	
CIG contribution (Kshs.) (actual)	
Total cost of the project (Kshs.)	
% of CIG contribution to project cost	
Project Direct Beneficiaries	
Number of Women:	
Number of Men:	
Number of Youth:	M.....F.....
Number of the Elderly:	M.....F.....
Number of vulnerable people	M.....F.....
Others (specify):	
Total number of beneficiaries	

xxxx For Category –see Grants Manual section 4.5

Detailed Proposal Information

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

Background information that led to the formulation of the Project

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

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****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

ii) Goal and Objectives of the proposed project (1/2 page)

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

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

vi) **CIG members involvement and participation (2 pages)**
CIG engagement in project initiation, formulation, planning, implementation and operation

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How will the following monitor the project progress?

- CIG members
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- Executive committee

- Sub-committees

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

- FDAC

- Line ministries/Departments/ Agencies

- Project Coordination Team

- Others

Organizational structure of the CIG

Financial and Implementation capacity of the CIG

Describe past experience of the CIG in managing and implementing similar project

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Describe past experience of the CIG in managing financial resources

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vii) Sustainability mechanisms

Describe financial sustainability: financing and financial management of follow-up activities, sources of revenue for covering all future operating and maintenance costs

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

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Describe environmental sustainability: Provide mitigation measures for clean and healthy environment, Availability of Environmental Impact Assessment report and mechanisms put in place to implement Environmental Management Plans and future Environmental Audits.

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viii) Indicative activity schedule (Action plan)

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ix) Budget

The budget will be prepared as per respective category. As a guide see Technical Support Notes (TSN) in appendix 4 of the grants manual to assist in budget preparation.

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BUDGET SUMMARY

Activity	Total Budget Ksh	Donor Contribution Ksh	Community Contribution Ksh

NB: Community contribution (cash) must be deposited in designated bank account within thirty (30) days after launch baraza

x) Proposal certified by CIG

Name	Position	Signature	Date

CIG official Stamp.....

xi) Proposal Endorsement by other Stakeholders

Level	Name	Signature and stamp	Date
Line technical Department/ Agency (Ward or Sub County)			
FDAC			
Sub County SDO			
County Head of department/Agency			
PCT			

C: Attachment to this Proposal

The following copies of documents must be attached:

- i) CIG registration certificate(current)
- ii) Signed CIG members list (name, ID number and signature)
- iii) Attach copies of members identity cards
- iv) Minutes approving this proposal
- v) Financial report (Recent bank statement, Recent Financial statement, Bank/cashbook reconciliation statement – among others)
- vi) Drawings/Bill of Quantities or any documents required for implementation
- vii) Sketch map showing location of the CIG.
- viii) CIG Constitution
- ix) Minutes of the most recent full CIG members general meeting
- x) Business plan
- xi) Project design
- xii) Baseline data for all members -Use **F 5.9** Template /form provided

F3: Desk and Field Appraisal Guidelines

Proposal Check List and Scoring

F3.1 Oversight Team 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 CIG	
Request for Funds Number	The code number to be given by the CPC. Each county to be allocated a code by the PCT e.g. 001 for Nyeri .1 st group to be 00101
County	
Sub-County	
River Basin	
FDA	

Eligibility Criteria

Item	Answer (Yes/No)	Comments
Is CIG within UTaNRMP Project area?		
Has CIG been appraised before by UTaNRMP?		
Was the previous appraisal successful?		
Has technical support been sought by the CIG?		
Proposal Form – complete & signed by CIG Officials		
Proposal Form - Endorsement by FDAC		
Proposal Form Endorsement by the CPFT		
Proof of Registration - Certificate of Registration		
Katiba/ Constitution		
Minutes of meeting recommending writing of proposal		
Activity/ Business Plan (refer to FPF 9)		
Sketch Map indicating Location of CIG		
Detailed Budget of proposed activity indicating the percentage of community contribution		
Members Register		
Bank statement (covering the last 6 months)		
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 expected outputs address stated problems? (Relevance)		
To what extent will the proposed activities result in desired outputs? (Appropriateness)		
Gauge whether the timeframe is reasonable and whether the project is viable		
To what extent do the proposed activities meet eligibility criteria?		
Sub-Total out of 12		
Environment issues		
To what extent do the proposed activities address issues of natural resource management?		
To what extent does the proposal address Environmental issues		
Sub-Total out of 18		
Management		
To what extent has the CIG been able to successfully implement other activities?		
Is CIG Management Committee properly elected? (Yes=5 No=1)		
Sub-Total out of 10		
Implementation Capacity		
To what extent are the relevant stakeholders' collaborations addressed by the proposal?		
Are proposed activities reasonable given CIG implementation capacity?		
Are the relevant technical personnel involved in the development of the proposal? If Yes, which departments/agencies?		
Sub-Total out of 15		
Sustainability		
What are the sustainability mechanism put in place for 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?		
How do the CIGs plan to plough back profits		
Sub-Total out of 20		
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?				
Sub-Total out of 15				
Project Monitoring				
To what extent are the proposed outputs well defined?				
Are the activities well defined? (Specific, Measurable, Achievable, Realistic and Time Bound) (Yes=5 No=1)				
Sub-Total out of 10				
GRAND TOTAL out of 100				
General Comments				
Recommendation	Answer (Yes/No)	Comments		
Application Accepted for field verification				
Application Rejected				
Appraisal Team				
No	Name	Position	Date	Signature
Endorsement by the team leader:				
Name:				

F3.2 Oversight 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 CIG.*
3. *The CIG to provide all necessary original documents relevant to the proposal*

General information

Name of CIG	
Request for Funds Number	
County	
Sub-County	
River Basin	
FDA	
Date of Field Verification	

Documents to be availed during Field Appraisal	Available Yes 1/No -0	Remarks
Copy of Proposal – complete & signed by CIG officials		
Proof of Registration – Certificate of Registration current		
Katiba/Constitution of the CIG		
Minutes of meetings for the last 6 months including the ones where proposal was approved		
CIG business Plan		
Sketch map indicating the activity site		
Detailed activity Budget (copy of proposal)		
Members Register and identity card		
Immediate past Public Funding Progress Report (If any)		
Financial report		
Sub Total (Max 10 marks)		

Review of Application

Scoring Criteria	Answer Refer to individual marks per question	Comments
Are all contact details correct? Max 2 marks		
Are members aware of problems/objectives/proposed solutions as stated in proposal including budget and contributions? Max 8		

Are members aware of proposed activities and their contributions? max 4		
Does the proposed solution in the proposal practically address the CIG problems? (Relevance) max 4		
Review implementation timeframe with members. Is the timeframe reasonable? max 2		
Are the members aware of the community action plan max 3		
Sub Total (Max 23)		
Management		
Have officials been constitutionally elected?		
Does the management committee meet as per constitution to handle CIG affairs?		
Is there good attendance at the CIG meetings? <i>-Is Quorum met in all meetings as per Constitution/by-laws? Reference is 6 months</i>		
Do CIG 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 CIG by-laws or constitution?		
Sub Total (Max 12)		
Implementation Capacity		
Are proposed activities reasonable given CIG implementation capacity? Max 5		
Are the relevant technical personnel involved in the development of the proposal? If Yes, which departments/agencies? max 4		
Any evidence in implementing projects (either physical and records) Max 6		
Sub – Total 15		
Sustainability		
Are the beneficiaries aware of their roles as stated in the proposal? Max 4		
Any mechanism for sustaining the project after implementation (business plan, max 4		
Do they have a plan on how to share the benefits (Max 4)		
Sub – Total (Max 16)		
CIG Record Keeping Updated		
Minutes of Meetings and Members Register		
Receipt books Stores book		
Financial records		
Sub – Total (Max 6)		
Financial Management		
Are members aware of the budget?		
Is budget reasonable for proposed activities?		
Is community cash contribution achievable?		
Does CIG have proper financial accounting arrangements?		
Sub – Total (Max 8)		

Project Monitoring		
Are proposed activities well identified and understood by members?		
Is there a reasonable plan for progress monitoring?		
Past reports on monitoring of group projects		
Sub – Total (Max 6)		

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

CIG Members and Stakeholders Consulted During Field Appraisal

NO	NAME	ID	POSITION	SIGNATURE	DATE

Appraisal Team

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

NB. A sketch map of each FDA need to be provided by the CPC to IOA to help weed out groups outside the FDA during ground truthing.

Eligibility Criteria for Subsequent Funding
General Information

Name of CIG	
Request for Funds Number	
County	
Sub-County	
River Basin	
WRUA/CFA	
FDA	
Name of the project 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 funded activities, in terms of value addition, expansion or support services to the earlier funded activity? (Yes/No)	

Review of Immediate Past UTaNRMP Funding 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 CIG since the previous funding? (Yes/No)		
Is the current CIG Management Committee democratically elected as per the constitution? (Yes=5 No=1)		
How is Gender representation within the CIG management committee? <i>Give actual figures in the comments.</i>		

To what extent does the proposal address the needs of the vulnerable members in the CIG (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 CIGs 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?		
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 120		
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:				

F3.3: Oversight Appraisal Team Subsequent Funding 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 CIG*
3. *The CIG to provide all necessary original documents relevant to the proposal*

General information

Name of CIG	
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 CIG		
Minutes of meetings & AGM		
CIG business Plan		
Sketch map indicating the activity site		
Members Register		
Proof of earlier funding and progress report		
Bank statements		
<i>Review ANSWER column. Are there any NO answers? Examine the issue and decide required action for application.</i>		

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 CIG problems? (Relevance)		
Review implementation timeframe with members. Is the timeframe reasonable?		
Management		
Has there been any change in management of the CIG since the previous funding?		
Is the current CIG Management Committee democratically elected as per the constitution?		
Is there gender representation within the CIG management committee? <i>Give actual figures in the comments. (Except for CIGs which are exclusively for one gender)</i>		
Does the proposal address the needs of the vulnerable members in the CIG (HIV/AIDS, PWDs, Chronically ill, elderly, very poor)		
Does the management committee meet to handle CIG affairs as per the constitution?		
Is there good attendance at the CIG meetings? <i>-Is Quorum met in all meetings as per Constitution/by-laws?</i>		
Do CIG meetings adhere to resolutions as per the minutes?		
Is the management structure as outlined in the constitution adhered to?		
Implementation Capacity		
Does CIG have a track record of project implementation?		
Are proposed activities reasonable given CIG 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?		

CIG 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 CIG have proper financial accounting arrangements?		
Does CIG have proper procurement arrangements?		
Project Monitoring		
Are proposed milestones well identified and understood by members?		
Is there a reasonable plan for progress monitoring?		

<i>Review ANSWER column. Are there any NO answers? Examine the issue and decide required action for application.</i>		
General Comments		
Recommendation	Answer (Yes/No)	Comments
Proposal Recommended for funding		
Proposal rejected		

CIG Members and 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:				

F3.4: Milestone Based Payment System.

The project will fund the activities of the micro-project through a milestone based system where the micro-project activities will be classified into sequential clusters. Each milestone will be paid after the independent oversight agent certifies that the agreed activities have been undertaken and forward the same to PCT for payment with the necessary supporting documents.

The following is the format for payment of subsequent milestone

Name of The CIG Group				
Project Name				
Total Cost of The Project				
Milestone one (1)	Activities for each milestone one (1)	Cost per activity	Total due	Achievement
Milestone two (2)	Activities for each milestone two (2)	Cost per activity	Total due	Achievement

Milestone Three (3)	Activities for each milestone one (1)	Cost per activity	Total due	Achievement
Milestone Four (4)	Activities for each milestone one (1)	Cost per activity	Total due	Achievement

Independent oversight agent

I certify that the CIG has completed all activities in milestone and recommended funds transfer to fund the subsequent milestone activities

Name Title

SignatureDate

Recommendation by PCT

Name Title

SignatureDate

F4: Sample Contracts

F 4.1: UTaNRMP and Common Interest Groups



REPUBLIC
OF
KENYA



Poverty Reduction through Sustainable NRM



IFAD

Investing in rural people

MINISTRY OF WATER, SANITATION AND IRRIGATION

CIG MATCHING GRANTS IMPLEMENTATION AGREEMENT

Between

**UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT
(UTaNRMP) OF P.O. BOX 996-60100 EMBU**

And

.....COMMON INTEREST GROUP

FROMFDA

Dated:

UTaNRMP and Common Interest Groups

1. Purpose

This CIG Matching Grants Implementation Agreement between the Upper Tana Catchment Natural Resources Management Project and the Common Interest Group is a formal document spelling out the terms of agreement, roles and responsibility and timeframe. Each party should maintain a copy of the agreement in a safe place for reference.

2. The Parties

This agreement (Hereinafter referred to as “Implementation Agreement”) is made between;

A. The _____ **Common Interest Group** within
_____ Focal Development Area,
_____ River Basin, _____ County whose registered
office address is P.O. _____, Tel _____

And;-

B. Upper Tana Catchment Natural Resources Management Project (UTaNRMP)
P.O Box 996-60100 Embu whose registered office is at Kangaru Area along Embu-
Meru Road within Embu Town.

3 Attachments to this Implementation Agreement

- i. The CIG approved project proposal
- ii. Detailed Activity implementation plan and budget.
- iii. The UTaNRMP Matching Grants Manual and appendices to Common Interest Groups- *this includes any amendments to the manual*

IT HAS THEREFORE BEEN AGREED AS FOLLOWS:

4 Financing arrangement

The Upper Tana Catchment Natural Resources Management Project will release a sum of Ksh
(Figures) _____ (in words)

_____ Kenya shillings to the designated
account

Account Name _____

Bank account No _____

Branch Name _____

belonging to _____ Common Interest Group to
implement the activities as per the approved project proposal and agreed milestones .

5 Milestones Funding

- i. Unless otherwise indicated below, the disbursement /funds release will be made as per agreed milestones upon verification and recommendation by the **Milestone Monitoring Team based at the county under the direction of the county directors.**
- ii. Notwithstanding the above, the amount as relates to the project milestones are provided as follows:

Milestone No	Milestone Description	Period	Amount (Kshs)

6 Conditionalities

- i. The Laws of Kenya requires that for the CIG to be recognised, it must be registered with relevant Government institution with a current certificate. The CIG must therefore be registered and have a current certificate from the department responsible for Social Development/Cooperatives.
- ii. The CIG must have a Constitution with clear roles and responsibilities.
- iii. The CIG management must be democratically elected and registered as per their Constitutions.
- iv. No Funds will be withdrawn from the designated account **without CIG minutes authorizing the same, a letter from the technical officer in charge of the group and approved /endorsed by the local officer responsible for Social Development who shall also be a Mandatory signatory to the CIG accounts under UTaNRMP.**
- v. All Income Generating Activities (IGA) funded by the grants **must be sustained beyond** the project period.
- vi. **A technical staff responsible** for technical support to the CIG must sign this implementation agreement and **their respective county directors**

The pre-financing conditions must be met fully not more than thirty days (30days) after the launch baraza

7 Terms of agreement, roles and responsibility of the Parties

7.1 UTaNRMP

- i. The Upper Tana Catchment Natural Resources Management Project will avail the funds as per the milestones upon advice by the **County Director responsible for the**

group in conjunction with Milestone Monitoring Team.

- ii. UTaNRMP will administer this agreement as per agreed milestones

7.2 The CIG

- i. The CIG will open a Designated Bank Account specifically for UTaNRMP funds in a reputable Commercial Bank acceptable to UTaNRMP Project Coordination Team
- ii. The CIG management/members will attend all required trainings modules before the grants are released to them.
- iii. The CIG will adhere to the agreed milestones as per the project proposal. *A detailed implementation plan with clear milestones must be signed with UTaNRMP-PCT and County Directors.*
- iv. The CIG will cooperate with the **Milestone Monitoring Team** during the milestones verification missions.
- v. The CIG will avail all documents to Government officers and any other relevant authority on request
- vi. The CIG cash contribution should be in the Designated Bank account within *one month from the date of the Launch Baraza/meeting.*
- vii. The CIG will maintain all documents in safe custody for at least 10 years after UTaNRMP completion date
- viii. The CIG will be responsible to request the technical support staff to initiate issuance of the Completion Certificate in liaison with **Milestone Monitoring Team**

7.3 Default clauses

- i. All funds released by the project must be used for the intended purpose as per the agreed budgets and milestones.
- ii. Any case reported of misuse /misappropriation will lead to cancelation of this agreement and recovery process initiated from the group.
- iii. *The CIG Signatories to this contract binds themselves individually and collectively to refund the funds in case of any misappropriation.*
- iv. *If any agreed milestone is not implemented within agreed timeframe, extension will only be for two weeks and if this is not done, UTaNRMP will discontinue financial support to the CIG and recover the disbursed funds.*

8 Conflict Resolution

- i. The Parties will act in good faith at all times during the life of this agreement
- ii. In case of misunderstanding, the parties will endeavour to amicably clear issues through dialogue and arbitration when and if necessary
- iii. The relevant Laws of Kenya will apply during the execution of this implementation Agreement.

9 Validity of this Implementation Agreement

This agreement takes effect upon signing by both parties and ends after **project closure (2020)** but the project documents must be kept safely by the Common Interest Group for at

least ten (10) years after Upper Tana Catchment Natural Resources Management project (UTaNRMP) closure.

10 Corrupt or fraudulent practices

- i. The CIG is required to observe the highest standards of ethics during implementation of the activity.;
- ii. If the project determines that the CIG engaged in corrupt or fraudulent practices during the appraisal and implementation period, the agreement will be cancelled and will be debarred from participating in future project activities.

SIGNATORIES:

1 Upper Tana Catchment Natural Resources Management Project

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

Designation----- Official stamp

For: Upper Tana Catchment Natural Resources Management Project

Witness

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

2. (Name of CIG)..... COMMON INTEREST GROUP

We the undersigned certify that we are individually and collectively responsible for the funds received by the CIG

NameID No.....Signature..... Date.....

Chairperson

NameIDNo.....Signature..... Date.....

Treasurer

NameIDNo.....Signature..... Date.....

Secretary

Witness

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

3: Witnesses and commitment

(a) Technical Support Staff

I certify that I am personally responsible for supporting the group on all issues related to the funded project activities including technical, financial, community contribution and procurement **matters until completion.**

NameDesignationP/No.....Signature.....Date.....

Official stamp.....

(b) County Director Responsible for the group:

- (i) I certify that the department/agency will support the implementation of the funded proposal and ensure sustainability.

NameDesignationP/No.....Signature.....Date.....

Official stamp.....

In case the County Director has reasons why the CIG should not be supported, please indicate.....

.....

NameDesignationSignature..... .. Date.....

Official stamp.....

F 4.2: UTaNRMP and Independent Oversight Agent



REPUBLIC
OF
KENYA



Poverty Reduction Through Sustainable NRM



Investing in rural people

**MINISTRY OF WATER, SANITATION AND IRRIGATION
UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT
(UTaNRMP)**

P.O. Box 996-60100 EMBU

Tel: 068-2231376

E-mail: utanrmp@gmail.com

AGREEMENT

CONTRACT AGREEMENT

DATED..... DAY OF 20....

BETWEEN

UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT

P.O. BOX 996 60100 EMBU

AND

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

**CONSULTANCY SERVICES TO CARRY OUT COMMUNITY PROPOSAL APPRAISALS
(BOTH DESK & FIELD), IMPLEMENTATION, MONITORING AND EVALUATION AS AN
INDEPENDENT OVERSIGHT AGENT- FIRMS SELECTION.**

CONTRACT NO .UTANRMP/.....

Dated:

Consultant's Services: Lump-Sum Contract

Preface

1. This standard contract for Consulting Services has been prepared by World Bank for use by its borrowers and their implementing agencies (referred to hereafter as Clients) when they hire a consulting firm (referred to hereinafter as the Consultant) to provide services paid on lump-sum basis. In such cases, the use of this contract is mandatory for contracts financed partly or wholly by the Bank with cost estimate above the threshold for ICB.
2. The Contract includes four parts: the Form of Contract, the General Conditions of Contract, the Special Conditions of Contract, and the Appendices. The Client using this standard contract should not alter the General Conditions. Any adjustment to meet project features should be made only in the Special Conditions.
3. Lump-sum contracts are normally used when definition of the tasks to be performed is clear and unambiguous, when the commercial risk taken by the Consultant are relatively low, and when therefore such Consultant are prepared to perform the assignment for an agreed predetermined lump-sum price. Such price is arrived at on the basis of inputs - including rates - provided by the Consultant. The Client agrees to pay the Consultant according to a schedule of payments linked to the delivery of certain outputs, for example reports.

CONTRACT FOR CONSULTANTS' SERVICES

Lump-Sum

RFP NO.UTANRMP/..... ~ CONSULTANCY SERVICES TO CARRY OUT COMMUNITY PROPOSAL APPRAISALS (BOTH DESK &FIELD), IMPLEMENTATION, MONITORING AND EVALUATION AS AN INDEPENDENT OVERSIGHT AGENT~ FIRMS SELECTION.

BETWEEN

UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT

P.O. BOX 996 60100 EMBU

AND

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

Dated: _____

I. Form of Contract

LUMP-SUM

This CONTRACT (hereinafter called the “Contract”) is made the *[day]* day of the month of *[month]*, *[year]*, between, on the one hand, **UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT (“UTaNRMP”)**, a Project under the Ministry of Water, Sanitation and Irrigation of the Government of Kenya and having its principal place of business at Post Office Box Number 996-60100, Embu (hereinafter called the “Client”) and, on the other hand, a joint venture/consortium/association consisting of the following entities, each of which will be jointly and severally liable to the Client for all the Consultant’s obligations under this Contract, namely,

.....

.....

(hereinafter called the “Consultant”).]

WHEREAS

- (a) the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the “Services”);
- (b) the Consultant, having represented to the Client that it has the required professional skills, and personnel and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
- (c) the Client has received a loan from the International Fund for Agricultural Development (hereinafter called IFAD) towards the cost of the Services and intends to apply a portion of the proceeds of this loan to eligible payments under this Contract, it being understood (i) that payments by IFAD will be made only at the request of the Client and upon approval by IFAD, (ii) that such payments will be subject, in all respects, to the terms and conditions of the agreement providing for the loan , and (iii) that no party other than the Client shall derive any rights from the agreement providing for the loan [or credit] or have any claim to the loan proceeds;

NOW THEREFORE the parties hereto hereby agree as follows:

- 1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
 - (a) The General Conditions of Contract;
 - (b) The Special Conditions of Contract;
 - (c) The following Appendices:
 - Appendix A: Description of Services

II. General Conditions of Contract

1. GENERAL PROVISIONS

1.1 Definitions Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:

(a) “Applicable Law” means the laws and any other instruments having the force of law in the Government’s country, or in such other country as may be specified in the Special Conditions of Contract (SC), as they may be issued and in force from time to time.

(b) “Bank” means the International Bank for Reconstruction and Development, Washington, D.C., U.S.A., or the International Development Association, Washington, D.C., U.S.A.

(c) “Consultant” means any private or public entity that will provide the Services to the Client under the Contract.

(d) “Contract” means the Contract signed by the Parties and all the attached documents listed in its Clause 1, that is these General Conditions (GC), the Special Conditions (SC), and the Appendices.

(e) “Contract Price” means the price to be paid for the performance of the Services, in accordance with Clause 6;

(f) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GC 2.1.

(g) “Foreign Currency” means any currency other than the currency of the Client’s country.

(h) “GC” means these General Conditions of Contract.

(i) “Government” means the Government of the Client’s country.

(j) “Local Currency” means the currency of the Client’s country.

(k) “Member” means any of the entities that make up the joint venture/consortium/association, and “Members” means all these entities.

(l) “Party” means the Client or the Consultant, as the case may be, and “Parties” means both of them.

(m) “Personnel” means persons hired by the Consultant or by any Sub-Consultants and assigned to the performance of the Services or any part thereof.

(n) “SC” means the Special Conditions of Contract by which the GC may be amended or supplemented.

(o) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.

(p) “Sub-Consultants” means any person or entity to whom/which the Consultant subcontracts any part of the Services.

(q) “In writing” means communicated in written form with proof of receipt.

**1.2 Law
Governing
Contract**

This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law.

1.3 Language

This Contract has been executed in the language specified in the SC, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.

1.4 Notices

1.4.1

Any notice, request or consent required or permitted to be given or made pursuant to this Contract shall be in writing. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent to such Party at the address specified in the SC.

1.4.2

A Party may change its address for notice hereunder by giving the other Party notice in writing of such change to the address specified in the SC.

1.5 Location

The Services shall be performed at such locations as are specified in Appendix A hereto and, where the location of a particular task is not so specified, at such locations, whether in the Government’s country or elsewhere, as the Client may approve.

**1.6 Authority
of Member in
Charge**

In case the Consultant consists of a joint venture/ consortium/ association of more than one entity, the Members hereby authorize the entity specified in the SC to act on their behalf in exercising all the

Consultant's rights and obligations towards the Client under this Contract, including without limitation the receiving of instructions and payments from the Client.

1.7 Authorized Representatives

Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the SC.

1.8 Taxes and Duties

The Consultant, Sub-Consultants, and their Personnel shall pay such indirect taxes, duties, fees, and other impositions levied under the Applicable Law as specified in the SC, the amount of which is deemed to have been included in the Contract Price.

1.9 Fraud and Corruption

If the Client determines that the Consultant and/or its Personnel, sub-contractors, sub-consultants, services providers and suppliers has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices, in competing for or in executing the Contract, then the Client may, after giving 14 days' notice to the Consultant, terminate the Consultant's employment under the Contract, and the provisions of Clause 2 shall apply as if such expulsion had been made under Sub-Clause 2.6.1(c).

Should any personnel of the Consultant be determined to have engaged in corrupt, fraudulent, collusive, coercive, or obstructive practice during the execution of the Contract, then that personnel shall be removed in accordance with Sub-Clause 4.2.

1.9.1

Definitions

For the purposes of this Sub-Clause, the terms set-forth below are defined as follows:

(i) "corrupt practice" is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party¹;

(ii) "fraudulent practice" is any act or omission, including a misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an

¹ "Another party" refers to a public official acting in relation to the selection process or contract execution. In this context, "public official" includes Bank staff and employees of other organizations taking or reviewing procurement decisions.

obligation²;

(iii) “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party³;

(iv) “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁴;

(v) “obstructive practice” is

(aa) deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation; or

(bb) acts intended to materially impede the exercise of the bank’s inspection and audit rights provided for under Clause 3.8.

² A “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

³ “Parties” refers to participants in the selection process (including public officials) attempting to establish bid prices at artificial, non competitive levels.

⁴ A “party” refers to a participant in the selection process or contract execution.

1.9.2 Measures to be Taken

(vi) will cancel the portion of the loan allocated to a contract if it determines at any time that representatives of the Borrower or of a beneficiary of the loan were engaged in corrupt, fraudulent, collusive or coercive practices during the selection process or the execution of that contract, without the Borrower having taken timely and appropriate action satisfactory to the Bank to remedy the situation;

(vii) will sanction a Consultant, including declaring the Consultant ineligible, either indefinitely or for a stated period of time, to be awarded a Bank-financed contract if it at any time determines that the Consultant has, directly or through an agent, engaged in corrupt, fraudulent, collusive or coercive practices in competing for, or in executing, a Bank-financed contract;

1.9.3 Commissions and Fees

The Client will require the successful Consultants to disclose any commissions or fees that may have been paid or are to be paid to agents, representatives, or commission agents with respect to the selection process or execution of the contract. The information disclosed must include at least the name and address of the agent, representative, or commission agent, the amount and currency, and the purpose of the commission or fee.

2. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

2.1 Effectiveness of Contract

This Contract shall come into effect on the date the Contract is signed by both Parties or such other later date as may be stated in the SC. The date the Contract comes into effect is defined as the Effective Date.

2.2 Commencement of Services

The Consultant shall begin carrying out the Services not later than the number of days after the Effective Date specified in the SC.

2.3 Expiration of Contract

Unless terminated earlier pursuant to Clause GC 2.6 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the SC.

2.4 Modifications or Variations

Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party shall give due consideration to any proposals for

modification or variation made by the other Party.

2.5 Force Majeure

2.5.1 Definition For the purposes of this Contract, “*Force Majeure*” means an event which is beyond the reasonable control of a Party and which makes a Party’s performance of its obligations under the Contract impossible or so impractical as to be considered impossible under the circumstances.

2.5.2 No Breach of Contract The failure of a Party to fulfil any of its obligations under the contract shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event (a) has taken all reasonable precautions, due care and reasonable alternative measures in order to carry out the terms and conditions of this Contract, and (b) has informed the other Party as soon as possible about the occurrence of such an event.

2.5.3 Extension of Time Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

2.5.4 Payments During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant shall be entitled to continue to be paid under the terms of this Contract, as well as to be reimbursed for additional costs reasonably and necessarily incurred by them during such period for the purposes of the Services and in reactivating the Service after the end of such period.

2.6 Termination

2.6.1 By the Client The Client may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause GC 2.6.1. In such an occurrence the Client shall give a not less than thirty (30) days’ written notice of termination to the Consultant, and sixty (60) days’ in the case of the event referred to in (e).

(a) If the Consultant does not remedy a failure in the performance of their obligations under the Contract, within thirty (30) days after being notified or within any further period as the Client may have subsequently approved in writing.

- (b) If the Consultant becomes insolvent or bankrupt.
- (c) If the Consultant, in the judgment of the Client has engaged in corrupt or fraudulent practices in competing for or in executing the Contract.
- (d) If, as the result of Force Majeure, the Consultant are unable to perform a material portion of the Services for a period of not less than sixty (60) days.
- (e) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract.
- (f) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GC 8 hereof.

2.6.2 By the Consultant

The Consultants may terminate this Contract, by not less than thirty (30) days' written notice to the Client, such notice to be given after the occurrence of any of the events specified in paragraphs (a) through (c) of this Clause GC 2.6.2:

- (a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GC 7 hereof within forty-five (45) days after receiving written notice from the Consultant that such payment is overdue.
- (b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) days.
- (c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GC 8 hereof.

2.6.3 Payment upon Termination

Upon termination of this Contract pursuant to Clauses GC 2.6.1 or GC 2.6.2, the Client shall make the following payments to the Consultant:

- (a) payment pursuant to Clause GC 6 for Services satisfactorily performed prior to the effective date of termination;(b) except in the case of termination pursuant to paragraphs (a) through (c), and (f) of Clause GC 2.6.1, reimbursement of any reasonable cost incident to the prompt and orderly termination of the Contract, including the cost of the return travel of the Personnel and their eligible dependents.

3. OBLIGATIONS OF THE CONSULTANT

3.1 General

3.1.1 Standard of Performance The Consultant shall perform the Services and carry out their obligations hereunder with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as faithful advisers to the Client, and shall at all times support and safeguard the Client's legitimate interests in any dealings with Sub-Consultants or third Parties.

3.2 Conflict of Interests The Consultant shall hold the Client's interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

3.2.1 Consultants not to Benefit from Commissions, Discounts, etc. The payment of the Consultant pursuant to Clause GC 6 shall constitute the Consultant's only payment in connection with this Contract or the Services, and the Consultant shall not accept for their own benefit any trade commission, discount, or similar payment in connection with activities pursuant to this Contract or to the Services or in the discharge of their obligations under the Contract, and the Consultant shall use their best efforts to ensure that the Personnel, any Sub-Consultants, and agents of either of them similarly shall not receive any such additional payment.

3.2.2 Consultant and Affiliates not to be Otherwise Interested in Project The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, as well as any Sub-Consultants and any entity affiliated with such Sub-Consultants, shall be disqualified from providing goods, works or services (other than consulting services) resulting from or directly related to the Consultant's Services for the preparation or implementation of the project.

3.2.3 Prohibition of Conflicting Activities The Consultant shall not engage, and shall cause their Personnel as well as their Sub-Consultants and their Personnel not to engage, either directly or indirectly, in any business or professional activities which would conflict with the activities assigned to them under this Contract.

- 3.3 Confidentiality** Except with the prior written consent of the Client, the Consultant and the Personnel shall not at any time communicate to any person or entity any confidential information acquired in the course of the Services, nor shall the Consultant and the Personnel make public the recommendations formulated in the course of, or as a result of, the Services.
- 3.4 Insurance to be Taken Out by the Consultant** The Consultant (a) shall take out and maintain, and shall cause any Sub-Consultants to take out and maintain, at their (or the Sub-Consultants', as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage, as shall be specified in the SC; and (b) at the Client's request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums have been paid.
- 3.5 Consultant's Actions Requiring Client's Prior Approval** The Consultant shall obtain the Client's prior approval in writing before taking any of the following actions:
- (a) entering into a subcontract for the performance of any part of the Services,
 - (b) appointing such members of the Personnel not listed by name in Appendix C, and
 - (c) any other action that may be specified in the SC.
- 3.6 Reporting Obligations**
- (a) The Consultant shall submit to the Client the reports and documents specified in Appendix B hereto, in the form, in the numbers and within the time periods set forth in the said Appendix.
 - (b) Final reports shall be delivered in CD ROM in addition to the hard copies specified in said Appendix.
- 3.7 Documents Prepared by the Consultant to be the Property of the Client**
- (a) All plans, drawings, specifications, designs, reports, other documents and software submitted by the Consultant under this Contract shall become and remain the property of the Client, and the Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Client, together with a detailed inventory thereof.
 - (b) The Consultant may retain a copy of such documents and software. Restrictions about the future use of these documents, if any, shall be specified in the SC.
- 3.8 Accounting,** 3.8.1 The Consultant shall keep, and shall cause its Sub-consultants to

Inspection and Auditing

keep, accurate and systematic accounts and records in respect of the Contract, in accordance with internationally accepted accounting principles and in such form and detail as will clearly identify relevant time changes and costs.

3.8.2 The Consultant shall permit, and shall cause its Sub-consultants to permit, the Bank and/or persons appointed by the Bank to inspect its accounts and records relating to the performance of the Contract and the submission of the Proposal to provide the Services, and to have such accounts and records audited by auditors appointed by the bank if requested by the bank. The Consultant's attention is drawn to Clause 1.9.1 which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under Clause 3.8 constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility pursuant to the Bank's prevailing sanctions procedures.).

4. CONSULTANT'S PERSONNEL

4.1 Description of Personnel

The Consultant shall employ and provide such qualified and experienced Personnel and Sub-Consultants as are required to carry out the Services. The titles, agreed job descriptions, minimum qualifications, and estimated periods of engagement in the carrying out of the Services of the Consultant's Key Personnel are described in Appendix C. The Key Personnel and Sub-Consultants listed by title as well as by name in Appendix C are hereby approved by the Client.

4.2 Removal and/or Replacement of Personnel

(a) Except as the Client may otherwise agree, no changes shall be made in the Key Personnel. If, for any reason beyond the reasonable control of the Consultant, such as retirement, death, medical incapacity, among others, it becomes necessary to replace any of the Key Personnel, the Consultant shall provide as a replacement a person of equivalent or better qualifications.

(b) If the Client finds that any of the Personnel have (i) committed serious misconduct or have been charged with having committed a criminal action, or (ii) have reasonable cause to be dissatisfied with the performance of any of the Personnel, then the Consultant shall, at the Client's written request specifying the grounds thereof, provide as a replacement a person with qualifications and experience acceptable to

the Client.

(c) The Consultant shall have no claim for additional costs arising out of or incidental to any removal and/or replacement of Personnel.

5. OBLIGATIONS OF THE CLIENT

- 5.1 Assistance and Exemptions** The Client shall use its best efforts to ensure that the Government shall provide the Consultant such assistance and exemptions as specified in the SC.
- 5.2 Change in the Applicable Law Related to Taxes and Duties** If, after the date of this Contract, there is any change in the Applicable Law with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties, and corresponding adjustments shall be made to the amounts referred to in Clauses GC 6.2 (a) or (b), as the case may be.
- 5.3 Services and Facilities** The Client shall make available free of charge to the Consultant the Services and Facilities listed under Appendix F.

6. PAYMENTS TO THE CONSULTANT

- 6.1 Lump-Sum Payment** The total payment due to the Consultant shall not exceed the Contract Price which is an all-inclusive fixed lump-sum covering all costs required to carry out the Services described in Appendix A. Except as provided in Clause 5.2, the Contract Price may only be increased above the amounts stated in Clause 6.2 if the Parties have agreed to additional payments in accordance with Clause 2.4.
- 6.2 Contract Price**
- (a) The price payable in foreign currency/currencies is set forth in the SC.
- (b) The price payable in local currency is set forth in the SC.
- 6.3 Payment for Additional Services** For the purpose of determining the remuneration due for additional services as may be agreed under Clause 2.4, a breakdown of the lump-sum price is provided in Appendices D and E.

**6.4 Terms and
Conditions of
Payment**

Payments will be made to the account of the Consultant and according to the payment schedule stated in the SC. Unless otherwise stated in the SC, the first payment shall be made against the provision by the Consultant of an advance payment guarantee for the same amount, and shall be valid for the period stated in the SC. Such guarantee shall be in the form set forth in Appendix G hereto, or in such other form, as the Client shall have approved in writing. Any other payment shall be made after the conditions listed in the SC for such payment have been met, and the Consultant has submitted an invoice to the Client specifying the amount due.

**6.5 Interest on
Delayed Payments**

If the Client has delayed payments beyond fifteen (15) days after the due date stated in the Clause SC 6.4, interest shall be paid to the Consultant for each day of delay at the rate stated in the SC.

**7. GOOD
FAITH7.1 Good
Faith**

The Parties undertake to act in good faith with respect to each other's rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

8. SETTLEMENT OF DISPUTES

**8.1 Amicable
Settlement**

The Parties agree that the avoidance or early resolution of disputes is crucial for a smooth execution of the Contract and the success of the assignment. The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Contract or its interpretation.

**8.2 Dispute
Resolution**

Any dispute between the Parties as to matters arising pursuant to this Contract that cannot be settled amicably within thirty (30) days after receipt by one Party of the other Party's request for such amicable settlement may be submitted by either Party for settlement in accordance with the provisions specified in the SC.

III. Special Conditions of Contract

(Clauses in brackets { } are optional; all notes should be deleted in final text)

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
{1.1(a)}	The words “in the Government’s country” are amended to read “Kenya.”
1.2	Applicable law: Kenyan law
1.3	The language/s is: English.
1.4	<p>The addresses are:</p> <p>Client: Upper Tana Catchment Natural Resources Management Project, P.O. Box 996, Embu - Kenya</p> <p>Attention: Project Coordinator</p> <p>E-mail: utanrmp@gmail.com</p> <p style="text-align: center;">Consultant:</p> <p style="text-align: center;">.....</p> <p>Attention :</p> <p>Website: _____</p> <p>E-mail:</p>
{1.6}	The Member in Charge is:
1.7	<p>The Authorized Representatives are:</p> <p>For the Client: Project Coordinator</p> <p>For the Consultant:</p>
1.8	The Client warrants that the Consultant, the Sub-Consultants and the Personnel shall be exempt from (or that the Client shall pay on behalf of the Consultant, the Sub-Consultants and the Personnel, or shall reimburse the Consultant, the Sub-Consultants and the Personnel for) any indirect taxes,

	<p>duties, fees, levies and other impositions imposed, under the Applicable Law, on the Consultant, the Sub-Consultants and the Personnel in respect of:</p> <p>(a) any payments whatsoever made to the Consultant, Sub-Consultants and the Personnel (other than nationals or permanent residents of the Government's country), in connection with the carrying out of the Services;</p> <p>(b) any equipment, materials and supplies brought into the Government's country by the Consultant or Sub-Consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn there from by them;</p> <p>(c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client;</p> <p>(d) any property brought into the Government's country by the Consultant, any Sub-Consultants or the Personnel (other than nationals or permanent residents of the Government's country), or the eligible dependents of such Personnel for their personal use and which will subsequently be withdrawn there from by them upon their respective departure from the Government's country, provided that:</p>
	<p>(1) the Consultant, Sub-Consultants and Personnel, and their eligible dependents, shall follow the usual customs procedures of the Government's country in importing property into the Government's country; and</p> <p>(2) if the Consultant, Sub-Consultants or Personnel, or their eligible dependents, do not withdraw but dispose of any property in the Government's country upon which customs duties and taxes have been exempted, the Consultant, Sub-Consultants or Personnel, as the case may be, (i) shall bear such customs duties and taxes in conformity with the regulations of the Government's country, or (ii) shall reimburse them to the Client if they were paid by the Client at the time the property in question was brought into the Government's country.</p>
2.2	The date for the commencement of Services is contract signature date
2.3	The time period shall be
{3.7 (b)}	Neither Party shall use these documents and software for purposes unrelated

	to this Contract without the prior written approval of the other Party.
6.2(a)	The amount in foreign currency or currencies is <i>N/A</i>
6.2(b)	The amount in local currency is
6.4	<p>The account is</p> <p>.....</p> <p>.....</p> <p>Payments shall be made according to the following schedule:</p> <p>(a) The above payments shall be made within thirty (30) days of delivery of the agreed milestones and upon presentation of a valid invoice to the client by the consultant</p>
6.5	The interest rate is: 1% point above CBK prevailing rates
8.2	<p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <p>1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three arbitrators, in accordance with the following provisions:</p> <p>(a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to Institute of Arbitrators of Kenya for a list of not fewer than five nominees and, on receipt of such list, the Parties shall alternately strike names there from, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, Institute of Arbitrators of Kenya shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one arbitrator, and these two arbitrators shall jointly appoint a third</p>

	<p>arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by Institute of Arbitrators of Kenya</p>
	<p>(c) If, in a dispute subject to Clause SC 8.2 1.(b), one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the Kenya Institute of Arbitrators to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p> <p>2. <u>Rules of Procedure.</u> Except as stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.</p> <p>3. <u>Substitute Arbitrators.</u> If for any reason an arbitrator is unable to perform his function, a substitute shall be appointed in the same manner as the original arbitrator.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs (a) through (c) of Clause SC 8.2 1 hereof shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant’s home country or of the home country of any of their Members or Parties or of the Government’s country. For the purposes of this Clause, “home country” means any of:</p> <p>(a) the country of incorporation of the Consultant or of any of their Members or Parties];</p>
	<p>5. <u>Miscellaneous.</u> In any arbitration proceeding hereunder:</p> <p>(a) proceedings shall, unless otherwise agreed by the Parties, be held in</p> <p>(b) the <i>English</i> language shall be the official language for all purposes; and</p> <p>(c) The decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any</p>

	objections to or claims of immunity in respect of such enforcement.
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IV. Appendices

F 4.3: CIGs and Contractors/ Service Providers

a) Sample Contract for Works

Name and Address of CIG _____

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

It has been agreed as follows:

Clause 1 - Contract Objectives

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

Name of Micro project.....

Located at.....the village of

The works assigned to the contractor consist of:

[*a detailed explanation or reference to a description/design/list of quantities in an attachment*]

Clause 2 - Subcontracting

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

Clause 3 - Control of the Work Execution

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

Clause 4 - Responsibility

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

Clause 5 - Time Limit for the Work Execution

The whole work should be completed withinmonths from the date of the signature of the contract.

Clause 6 - Liquidated Damages

In the event that works specified in the contract are not completed on schedule, the contractor shall be subject to a penalty of 1/1000 of the price of the works ordered per calendar day of delay, except in the case of force majeure, that would need to be confirmed by a Government’s technician appointed by the authorities of the [name of CIG].

Clause 7 - Interim Receipt

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

Clause 8 - Final Receipt

The final receipt will be acknowledged in a report of the Committee of [name of CIG], who may seek the prior opinion of a Government technician appointed by the authorities responsible for the implementation of the UTaNRMP.

Clause 9 - Amount of the Contract

The amount of the contract is Kshs.....

Clause 10 - Schedule of Payments

The schedules of payments are:

[An example]

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

Clause 11

This agreement is signed as follows:

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

(a) Names of CIG Representatives:

Signature: _____ Date _____

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

Signature _____ Date _____

b) Sample Order and Contract for Services

Name and Address of CIG _____

To: [Name of the Director and firm which has won the contract]

Address:

.....

Subject: Supply of [Specify such as studies, technical assistance, consulting, and supervision services] Services

The [Name of CIG] would like to place an order for the supply [specify services such as studies, technical assistance, consulting, supervision etc] services....., in conformity with your bid offer No. Of....., attached, specifying the assignment and prices of the services for whose procurement you successfully competed...

1. Content and Progress of the Assignment

The study and its progress will be in accordance with the terms of reference attached to this document.

2. Amount of the Contract

The amount of the contract [or rate per day and number of days] is fixed at [Kescurrency units] and is not subject to revision during the contract period.

3. Time Limit and Submission of Report

The time limit for the completion of the services is scheduled for (Days, weeks or months) from the date of the approval of this invoice letter by the consultant or consulting firm.

This approval should take place in the maximum time limit of 15 days from the date of signing of this order/contract.

Your firm will submit an edited interim report (5 copies) to the [name of CIG] at the end of the field work.

Five (5) copies of the final edited report will be submitted to the [name of CIG] two weeks after its review of the interim report. At the same time, one copy will be submitted to [or similar] for information.

It is agreed that the [name of CIG] will be allowed 30 days for the review of the interim report. After that time limit, the interim report may be considered as final if no comments for amendments or otherwise are received from the CIG.

4. Liquidated Damages

In case of delay beyond the period specified in the contract, you [your firm] are subject to a penalty of 1/1000 of the price of the studies per calendar day of delay. However, the ceiling of these penalties is 10% of the total amount of the contract. In case the 10% ceiling is exceeded, the [name of CIG] reserves the right to terminate this order/contract.

5. Schedule of Payment

The amounts which are due will be paid in the following manner:

___% at the countersigning of this letter of order, for advance payment [the amount of this advance should in no circumstance exceed 30% of the total amount].

___% of the amount of the invoice upon issuance of the interim receipt.

___% of the amount of the invoice upon issuance of the final receipt.

6. Review and Approval of the Contract

This document will become effective only after it has been signed by both parties and reviewed and approved by the technical staff appointed by the Government

Names of CIG Representatives: _____

Signatures: _____ Date _____

Read and accepted by:

For the Service Provider

Name and position of Representative: _____

Signature(s):-_____

Attachments:

- i) Description of Services
- ii) Work Program
- iii) Breakdown of Costs

b) Contract Form for Supply of Goods

THIS AGREEMENT made the _____ day of _____ 20 _____ between [*name of CIG*] of [*address*] (hereinafter called “the Procuring entity) of the one part and [*name of tenderer*] of [*address*] (hereinafter called “the tenderer”) of the other part;

WHEREAS the Procuring entity invited tenders for certain goods] and has accepted a tender by the tenderer for the supply of those goods in the sum of [*contract price in words and figures*] (hereinafter called “the Contract Price).

NOW THIS AGREEMENT WITNESSES AS FOLLOWS:

1. In this Agreement words and expressions shall have the same meanings as are respectively assigned to them in the Conditions of Contract referred to:
2. The following documents shall be deemed to form and be read and construed as part of this Agreement viz:
 - (a) The Tender Form and the Price Schedule submitted by the tenderer
 - (b) The Schedule of Requirements
 - (c) The Technical Specifications
 - (d) The General Conditions of Contract
 - (e) The Special Conditions of contract; and
 - (f) The Procuring entity’s Notification of Award
3. In consideration of the payments to be made by the Procuring entity to the tenderer as hereinafter mentioned, the tender hereby covenants with the Procuring entity to provide the goods and to remedy defects therein in conformity in all respects with the provisions of the Contract

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

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

Signed, sealed, delivered by _____ the _____ (for the Procuring entity

Signed, sealed, delivered by _____ the _____ (for the tenderer in the presence of _

F4.4 Sample Contract for Consultancy Services

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

CONTRACT FOR CONSULTING SERVICES

SMALL ASSIGNMENTS

LUMP-SUM PAYMENTS

CONTRACT

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

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

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

1. Services

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

2. Term

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

3. Payment

A. Ceiling

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

B. Schedule of Payments

The schedule of payments is specified below:¹

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

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

C. Payment Conditions

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

4. Project Administration

A. Coordinator

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

B. Reports.

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

5. Performance Standards

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

6. Confidentiality

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

7. Ownership of Material

Any studies, reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.²

8. Consultant not to be engaged in Certain Activities

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

9. Insurance

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

10. Assignment

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

11. Law Governing Contract and Language

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

12. Dispute Resolution⁴

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

For the Client

for the Consultant

Signed by _____

Signed by _____

Title: _____

Title: _____

List of Annexes

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

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

Annex C: Consultant's Reporting Obligations [define what reports MICRO PROJECT will submit]

Footnotes:

1. Modify, in order to reflect the output required, as described in Annex C.
2. Restrictions about the future use of these documents and software, if any, shall be specified at the end of paragraph 7.
3. The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant

agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

4. In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 12: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

F5: Project Progress Report Formats

F 5.1: CIG Monitoring and Evaluation Committee to FDAC

Date of this report						
Name of CIG						
Name of FDAC supporting the CIG						
Name of the project						
Category						
Outputs						
Target outputs	Outputs achieved as of last report			Outputs achieved during the reporting quarter		
Project cost & Expenditure						
Total project cost	Expected community contribution	Actual community contribution	Expected funds from UTaNRMP	Actual funds received from UTaNRMP	Cumulative expenditure	Balance at reporting date
Issues encountered during Implementation stage.						

F 5.3: SCIT to CPFT

Sub county Period of reporting (Q1, Q2, Q3 & Q4).....

Sub county	FD A	CIG	Category	Type of project	Intended outputs (work plan)	Funding from UTaNR MP (Kshs)	CIG contribution (Kshs)	Additional Funding (Kshs)	Total Project Cost (Kshs)	Cumulative Expenditure	summary of achievements realized as of last report	Summary of achievements this quarter	Project implementation status (%)	Remarks

.....
 SCIT Chairperson

.....
 SCIT Secretary

Rating Scale

- Below 50% - Poor,
- 50% - 70% - Good
- 70%-100%- Very Good.

F5.5 Oversight Agent to PCT

County	FD A	Name of CIG	Category	Type of project	Intended outputs (work plan)	Funding from UTaNRM P (Kshs)	CIG 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

F 5.6: Summary Report by PCT

County	Category	Budget	Disbursement	Cumulative Expenditure	Expenditure this half	comments

F 5.7 Lessons Learnt Template

Total length of report: 2-3 pages. (Refer to the descriptions of the template elements at the end of document when necessary)

CIG Name		
Project Title		
Component		
County		
Sub-County		
Date	Project beginning	
	Recording Lessons Learned	
Project Description and Key Lessons-Learned		
Category	Classify the lesson(s) learned into one of the project's knowledge management areas e.g. <ul style="list-style-type: none"> ○ Financial management ○ Procurement ○ Leadership/Group Management ○ Training/Capacity Building ○ Project Management ○ Time Management/Scheduling ○ Communication ○ Extraneous factors 	
Brief description of project	A short description of the project should be provided here. <ul style="list-style-type: none"> ○ What were the issues the project tried to address? ○ What solutions the project tried to offer? ○ What were its major outputs? ○ How different is the project from similar ones you have implemented before or knew about 	
Key project successes	Please describe what has worked well. <ul style="list-style-type: none"> ○ What have been the key successes of this project? ○ What (conditions/factors) is owed to this success? 	
Project shortcomings and solutions	What have been the main challenges of this project? <ul style="list-style-type: none"> ○ What have been the main challenges/ shortcomings/ unforeseen circumstances of this project? (provide a detailed narrative) ○ Why/How did these challenges/ shortcomings/ unforeseen circumstances come to be (your analysis) 	

	<ul style="list-style-type: none"> ○ How were they overcome (if they were). ○ If not yet overcome, are they worth fixing? (Situational/Cost-benefit analysis) ○ If so, how can they be fixed? How can they be stop from happening again? ○ Were the project results attained? If not, what changes need to be made to achieve these results in the future?
Lessons learned	<p>Please think about and describe the key lesson(s) learned from this project.</p> <ul style="list-style-type: none"> ○ What could have been done differently/ better? ○ What would you recommend to improve future programming or for other similar projects elsewhere ○ What mistakes should be avoided if the initiative were to be replicated? ○ How easy would it be to replicate the successes in a different context/ country? <p>Provide any other relevant information</p>
Follow-up Actions	Indicate whether or not follow-up action is necessary

Project Information	
ID	A unique ID 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 CIG
Telephone	
Name (Report writer)	
Ministry/Dept/Agency	
Designation	
Telephone	
Report Submission Date	Date of submission of the report

F 5.8 Case Study Template

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

Chapter Title	Chapter Guide
Introduction and Justification	<input type="checkbox"/> Brief description and any relevant background information which would assist in the understanding of the case study. <input type="checkbox"/> Purpose and expected use of the case study <i>Detailed background information (e.g. project action plan/ logical framework) to be included in an annex</i>
The issue (s) being addressed	<input type="checkbox"/> The problem being addressed by the intervention <ul style="list-style-type: none"> ○ <i>Identify the problem</i> ○ <i>How was the problem identified?</i> ○ <i>Was the process for identifying the problem effective?</i> <input type="checkbox"/> List the issues resolved and/or outstanding which need to be addressed related to this case study. <input type="checkbox"/> For the outstanding issues whom should take action to resolve them and why.
Methodology	<input type="checkbox"/> How was the process carried out? (Describe the process of selecting the case and data collection sources, as well as how data was collected.) <input type="checkbox"/> What assumptions are there (if any)? <input type="checkbox"/> Any limitations? <input type="checkbox"/> What instruments were used to collect data? (To be included in the appendix.) <input type="checkbox"/> What sample(s) is/are being used? <input type="checkbox"/> Over which period of time was data collected?
Steps Taken to Address the Problem	<input type="checkbox"/> A description of how the project sought to address the challenge <ul style="list-style-type: none"> ○ <i>What was done (activities/ interventions/inputs), where, by whom, for whom?</i>
The Results	<input type="checkbox"/> 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	

F 5.9 Baseline data Template

a) Membership

Age	No of members	Male	Female
18-35			
36-45			
46-55			
56-65			
Above 65			

b) Current land holding

Area	No of members	Ownership A=inherited B= purchase C=rented	% Area under crop
0-1 acre			
1.1-2acres			
2.1 -5 acres			
5.1-10 acres			
Above 10acres			

c) Main economic activities for members

S/ No	Member name	Sources of income				
		Income from Farm	Formal Employment	Self- employed	Pensioner	Others specify
1						
2						
3						
4						
5						
6						

7						
8						
9						
10						
11						
12						
13						
14						
15						

d) Crop enterprise

No .	Member Name	Household Size (Watu wangapi kwa nyumba)	Crop type Food crops (pick 2 crops per member)	Productivity Bags /acre	Cash crop (2 Main crops)	Productivity	Amount sold in the last season	Income earned during last season
1			1..... 2.....	1..... 2.....	1..... 2.....	1..... 2.....		
2								
3								
4								
5								
6								
7								
8								

f) Baseline NRM interventions status among members

Type of NRM intervention	No of members	Species
Woodlot		
No of Boundary & farm trees		
No of fodder trees		
Type of NRM intervention	No of members	Length (total)
Grass strips		...metres
Stone trash		...metres
Cut Off drains (COD)		...metres
Terraces		...metres
Retention ditches		...metres
Others specify		

Average number of on-farm trees per member _____

g) Baseline on housing and asset ownership

Asset/equipment	No. of members Owning
Permanent house (stone houses)	
Semi-permanent houses (Cemented floor)	
Temporary houses (earth floor)	
Tractor	
Cart (Oxen)	
Knapsack Sprayer	
Chaff cutter	
Wheelbarrow	
Plough(Oxen)	
Slasher/jembe/shovels/panga/fork	
Cars	
Motorcycle	
Bicycle	
Smart Phones	
Television	
Radio	
Water tanks with over 2,500 litres capacity	

h) Literacy level for members

Highest level of education	No of members	
Primary school		
Secondary		
College /universities		

F 5.10 Benefit Sharing Plan –

(To be part of CIGs records for updating every time there is a recipient)

Date of this benefit sharing Plan: (dd/mm/yyyy): _____

Name of CIG _____ **Funded activity** _____

Membership (Total..... Females Males.....); Youth (Total..... Females Males.....); Vulnerable (Total..... Females Males.....)

County _____ **Sub-county** _____ **Constituency** _____

Ward _____ **River basin** _____ **FDA** _____

Year the CIG was funded _____ **Number of members with Cows/Dairy Goats-** ____

Number yet to get Cows /Dairy Goats ____; **Timeline to have reached all members:**

Month _____ **Year** _____

Benefit sharing approach agreed during review _____

Process of determining line-up of recipients-----

Required cash to reach remaining members of group ksh _____ **Number of months to reach remaining members** _____

Describe resource mobilization plan-----

No.	Member name	Gender M/F	Age Bracket A=18-35 B=36-45 C=46-55 D=56-65 E= Above 65	Tick if vulnerable	When expected to benefit		Actual time benefited	
					Month	Year	Month	Year
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								

For more members group to add an extra sheet

F 6: Sample Implementation Agreement (IAs)

F 6.1 : FDAC and CIGs

Implementation Agreement between Focal Development Area Committee (FDAC) and Common Interest Group

(Hereinafter referred to as “The IA”)



REPUBLIC
OF
KENYA



Poverty Reduction Through Sustainable NRM



MINISTRY OF WATER, SANITATION AND IRRIGATION

**UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT
(UTaNRMP)**

IMPLEMENTATION AGREEMENT

BETWEEN

.....

FOCAL DEVELOPMENT AREA COMMITTEE

and

.....

COMMON INTEREST GROUP

IMPLEMENTATION AGREEMENT BETWEEN

FDAC) and CIG

(Hereinafter referred to as “The IA”)

Date:

Parties:

This IA is made between:

The Common Interest Group (*Name*) Within
FDA in..... River Basin in Sub-County of..... County

and

The Focal Development Area Committee ofFDA within
..... River Basin in Sub-County in..... county.

Hereinafter referred to as “**The Parties**”

FOR COOPERATION IN RELATION TO THE IMPLEMENTATION AND MONITORING OF COMMON INTEREST GROUPS ACTIVITIES FUNDED UNDER THE UPPER TANA CATCHMENT NATURAL RESOURCE MANAGEMENT PROJECT (UTaNRMP) MATCHING GRANTS WITHIN THE FOCAL DEVELOPMENT AREA

WithinFocal Development Area, or otherwise a definition of the area hereinafter referred as **the FDA**

1.0 Preamble

1.1 The Focal Development Area Committee-FDAC

- i. The FDAC is a community representative’s committee elected to oversee the planning, implementation, monitoring and Evaluation of UTaNRMP activities within a Focal Development Area.
- ii. The FDA’s are sub-sets of WRUA’s or CFA whichever is applicable with a population of 800-1200 Households
- iii. The activities within an FDA are contained within the Community Action Plan (CAP) developed through the Participatory Rural Appraisal (PRA) Process. The PRA is aimed at flagging out community felt needs.
- iv. The CAP’s from various FDA’s are used to develop respective Annual Work plans and Budget (AWPB) for respective Counties and ultimately for UTaNRMP and the Lead Agency/Ministry
- v. The FDAC is elected for a period of 3 years and registered under department Social Development.

1.2 The Common Interest Group-CIG

- i. A Common Interest Group (CIG) is a community-based organization working together for a common purpose.
- ii. A common interest group is normally formed to answer to a common problem or need within the members of the group
- iii. A CIG aims at pooling resources individually and collectively to accomplish their common purpose
- iv. A CIG is essentially a Self-Help Group
- v. A CIG Must be registered with the Department of Social Development. However, in strict legal terms, CIG's are not legal entities

1.3 Upper Tana Catchment Natural Resources Management Project

- i. The Upper Tana Catchment Natural Resources Management Project is a ten-year project (2012-2022) 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 km² and targets a population 300,000 households (1,500,000 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 four 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: UTaNRMP River Basins

Tributaries of former Mt Kenya Pilot Project for NRM (MKEPP) River Basins (4)	<ol style="list-style-type: none"> 1. Ena (Itimbogo, Thuura and Gangara) 2. Kapingazi/Rupingazi (Kiye, Thambana, Itabua and Kathita), 3. Kathita (Gaciuma/Kinyaritha, Kuuru, Riiji), 4. 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

- 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 IA is to develop a common understanding on clear roles and responsibilities for FDAC and the CIG implementing funded activities under the UTaNRMP Matching Grants
- ii. The shared purpose is to manage the natural resources within the basin, improve the livelihoods of their members through NRM friendly income generating activities thereby reducing poverty, and improve food security and conserving the environment.

3.0 Duration and Effective Date

This IA shall be valid for the entire micro project implementing period. This IA will become effective on date of signing, or as otherwise indicated in this IA.

4.0 Conditionalities

- i. The Laws of Kenya requires that for the Self-Help Group CIG to be recognised, it must be registered with social services with a current certificate. All the CIG's and FDAC's must therefore be registered and have a current certificate from the department responsible for Social Development
- ii. The FDAC and CIG must have a Constitution with clear roles and responsibilities.
- iii. The FDAC and CIG must be democratically elected and registered as per their respective Constitutions.

5.0 Obligations of the Parties

5.1 FDAC

- i. FDAC will endorse all project proposals from CIG's within their areas of jurisdiction. This requires that the FDAC official endorsing the documents write his/her name, position, signature and affixes an FDAC stamp with a date.

- ii. The FDAC will regularly monitor the activities of the CIG's funded through the UTaNRMP Matching grants. ***A detailed monitoring plan must be agreed with the CIG before funds are released from UTaNRMP.***
- iii. The FDAC in consultation with the CIG management will write monthly/quarterly reports on the implementation status of the CIG activities and forward the same to the County Project Coordinator and PCT. ***This does not stop the FDAC from informing the CPFT and PCT of any misgivings on the operations of a CIG at any time.***
- iv. UTaNRMP will train the CIG management on Participatory Monitoring and Evaluation

5.2 The CIG

- i) The CIG will be responsible for writing project proposals once the "Calls for Proposals" are done, ensure endorsement by respective FDAC and the before the Screening at County level. The CIG should seek technical guidance from line agencies technical staff or private service providers.
- ii) The CIG management/members will attend all required trainings modules before the grants are released to them
- iii) The CIG will adhere to the agreed milestones as per the project proposal. ***A detailed implementation plan with clear milestones must be agreed with independent appraisal agent (a private service provider procured by UTaNRMP), milestone monitoring team and shared with FDAC.***
- iv) The CIG management will be responsible for the administration of the financial contract signed with UTaNRMP management.
- v) The CIG will avail documents required by FDAC in order to monitor the agreed milestones.
- vi) The CIG will facilitate the activities of Independent Oversight Appraisal Team during the milestones verification missions.
- vii) The CIG will be responsible to request the County Project Coordinator 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 MA
- ii. In case of misunderstanding, the parties will endeavour to sort issues through dialogue and arbitration when and if necessary
- iii. The relevant Laws of Kenya will apply when arbitration becomes necessary

7.0 Suspension of this IA

- i. Either of the parties may request to suspend this IA through writing to the other party
- ii. A one-month notice will be given before any suspension takes effect.

Signatories:

**(Name of FDA)..... FOCAL DEVELOPMENT AREA
COMMITTEE**

NameSignature..... Date.....

Chairperson

NameSignature..... Date.....

Secretary

NameSignature..... Date.....

Treasurer

Witness

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

(NAME OF CIG) COMMON INTEREST GROUP

NameSignature..... Date.....

Chairperson

NameSignature..... Date.....

Secretary

NameSignature..... Date.....

Treasurer

Witness

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

F 6.2 FDAC and UTaNRMP

Implementation Agreement between Focal Development Area Committee and Upper Tana Catchment Natural Resources Management Project (UTaNRMP)

(Hereinafter referred to as “The IA”)

Date:

Parties:

THIS IA is made between:

1. The **Focal Development Area Committee** ofFDA within River Basin In Sub-County inCounty.
2. **Upper Tana Catchment Natural Resources Management Project (UTaNRMP) P.O Box 996-60100 EMBU** whose registered office is at Kangaru Area along Embu- Meru Road within Embu Town.

Hereinafter referred to as “**The Parties**”

FOR COOPERATION IN RELATION TO THE MONITORING OF COMMON INTEREST GROUPS ACTIVITIES FUNDED UNDER THE UTaNRMP’s MATCHING GRANTS WITHIN THE FOCAL DEVELOPMENT AREAS

WithinFDA, or otherwise a definition of the area hereinafter referred as **the FDA**

PREAMBLE

UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT

- i) The Upper Tana Catchment Natural Resources Management Project is a ten- year project (2012-2022) 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 km² and targets a population of 300,000 households (1,500,000 people) in six counties of Embu, Tharaka Nithi, Meru, Nyeri, Kirinyaga and Murang’a. The area includes the Mt. Kenya and Aberdare’s National Parks and surrounding Forest Reserves
- iv) Project interventions are along 24 river basins. Implementation started in four former MKEPP river basins and 12 priority river basins upon which the other 12 river basins were covered.

Table 1: UTaNRMP River Basins

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

V 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 outcomes of these components are as follows;

Component	Outcome
<ul style="list-style-type: none"> Community Empowerment 	<ul style="list-style-type: none"> Rural communities empowered for sustainable management of natural resources
<ul style="list-style-type: none"> Sustainable Rural Livelihoods 	<ul style="list-style-type: none"> Natural resource-based rural livelihoods sustainably improved
<ul style="list-style-type: none"> Sustainable Water and Natural Resource Management 	<ul style="list-style-type: none"> Land, water and forest resources sustainably managed for the benefit of the local people and the wider community
<ul style="list-style-type: none"> Project Management and Coordination 	<ul style="list-style-type: none"> Project effectively and efficiently managed

THE FOCAL DEVELOPMENT AREA COMMITTEE-FDAC

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

- iii) The activities within an FDA are contained within the Community Action Plan (CAP) developed through the Participatory Rural Appraisal (PRA) Process. The PRA is aimed at flagging out community felt needs.
- iv) The CAP's from various FDA's are used to develop respective Annual Work plans and Budget (AWPB) for respective Counties and ultimately for UTaNRMP and the Lead Agency/Ministry
- v) The FDAC is elected for a period of 3 years and registered under the Department of Social Development.

2.0 PURPOSE

- i) The main purpose of this IA is to develop a common understanding on clear roles and responsibilities for UTaNRMP and FDAC on the administration of the Matching Grants to Common Interest Groups within the jurisdiction of the FDAC.
- ii) The shared purpose is to manage the scarce, finite and valuable water resource within the sub-catchment through a concerted effort, reducing poverty through sustainable NRM income generating activities, improve food security and conserve the environment.
- iii) Once signed, UTaNRMP will allow the FDAC to assume certain roles in the monitoring of CIG activities funded from UTaNRMP's Matching Grants within the FDAC's area of jurisdiction.

3.0 DURATION AND EFFECTIVE DATE

This IA will be valid for the period of 5 years. This IA will become effective on signing, or as otherwise indicated in this IA.

4.0 CONDITIONALITIES

- i) The FDAC must be democratically elected and registered with the Social Development Department
- ii) The FDAC must have a Constitution with clear roles and responsibilities.

5.0 OBLIGATIONS OF THE PARTIES

5.1 The FDAC

- i) The FDAC will endorse all project proposals from CIG's within their areas of jurisdiction. This requires that the FDAC official writes his/her name, position, signature and affixes an FDAC stamp with a date.
- ii) The FDAC will regularly monitor the implementation of activities of the CIG funded through the Matching grants. *A detailed monitoring plan must be agreed with PCT before funds are released.*
- iii) The FDAC will write quarterly reports on the implementation status of the CIG activities and forward the same to the County Project Coordinator with a copy to PCT. *This does not stop the FDAC from informing the CPC and PCT of any misgivings on the operations of a CIG at any time.*
- iv) The FDAC must open a designated bank account with a reputable Bank acceptable to UTaNRMP management for all the monitoring funds from UTaNRMP
- v) The FDAC must account for the all funds received from UTaNRMP

5.2 UTaNRMP

- i) The UTaNRMP will facilitate the FDAC to undertake the monitoring activity by providing Ksh 1000,0 per funded CIG within their boundaries.
- ii) UTaNRMP will train the FDAC management on Participatory Monitoring and Evaluation

6.0 GOVERNANCE

- i. The Monitoring funds to the FDAC will be used specifically for CIG activity monitoring and no other purpose
- ii. The FDAC officials will endeavour to adhere to the agreed monitoring plan
- iii. The FDAC officials signing this IA commit themselves to ensure no monitoring funds are misused otherwise they will be held personally and collectively responsible.

7.0 CONFLICT RESOLUTION

- i. The Parties will act in good faith at all times during the duration of this IA
- ii. In case of misunderstanding, the parties will endeavour to sort issues through dialogue and arbitration when and if necessary
- iii. The relevant Laws of Kenya will apply when arbitration becomes necessary

8.0 SUSPENSION OF THIS IA

- i. Either of the parties may request to suspend this IA through writing to the other party
- ii. A one month notice will be given before any suspension takes effect.

SIGNATORIES:

1. UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT

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

Designation-----

For: Upper Tana Catchment Natural Resources Management Project

Witness

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

2. (FDA Name)..... FOCAL DEVELOPMENT AREA COMMITTEE

NameSignature..... Date.....

Chairperson

NameSignature..... Date.....

Treasurer

NameSignature..... Date.....

Secretary

Witness

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

APPENDIX 2: TRAINING MODULES

TM1: Staff Training Schedule: Line Ministry Personnel Training Module

Introduction	Line Ministries will be giving support to CIGs implementing livelihood projects. The induction will cover in details the roles and responsibilities of all the participating stakeholders. The provisions of all TSN will be elaborated on by PCT. The induction will be conducted in within the regions for all the six Counties namely; Nyeri, Murang'a and Kirinyaga, Meru, Tharaka Nithi and Embu counties.		
Objective	<ul style="list-style-type: none"> To familiarize the Line Ministries/agencies with the Contents of matching grants manual. Enable them to acquire skills that will enrich their ability to offer support to CIGs undertaking livelihood improvement projects To enhance line ministries/agencies personnel with technical skills for managing UTaNRMP livelihood improvement projects. 		
Target group	The target group will comprise of; A) County Staff: Agriculture, Social Development, Water/Irrigation, Planning and Finance, Livestock/Veterinary, Fisheries, Cooperative, Forestry, NEMA, KWS, Sub-Regional WRMA. B) Sub-County Staff: Agriculture, Social Development, Water/Irrigation, Planning and Finance, Livestock/Veterinary, Fisheries, Cooperative, Forestry.		
Materials Needed	Matching Grants Manual for each participant		
Venue	Government Institutions.		
Co-coordinator	PCT		
The Programme	DAY 1		
Time	Topic	Resource person	Responsible person
8.00-830	Registration	PCT	
8.30 -9.00	<ul style="list-style-type: none"> Introduction Workshop objectives Official opening 	PCT Staff	
9.00 - 10.30	<ul style="list-style-type: none"> Overview of UTaNRMP Principles used in developing the manual 	PCT Staff	
10.30 – 11.00	HEALTH BREAK		

11.00 -1.00	Roles and responsibility of stakeholders <ul style="list-style-type: none"> • CIG • FDAC • Line Ministries • CPFT/CPCC • PCT • Independent Oversight Agent • PSC • IFAD 	PCT	
1.00-2.00	LUNCH BREAK		
2.00-3.00	<ul style="list-style-type: none"> • Introduction to funding project cycle- Process & Procedures • Categorization of CIGs Activities highlights Category A: Standard IGA activities Category B: NRM Special activities 	PCT	
3.00-4.30	Details of eligibility criteria of ; <ul style="list-style-type: none"> • General criteria • Criteria for First level funding • Criteria for the subsequent Funding • CIG Activity Criteria for Funding • Community Contributions 	PCT	
4.30-5.00	TEA BREAK		

DAY 2

Time	Topic	Resource person	Responsible person
8.00-8.30	Recap of day one		
8.30-10.30	Conditions to be met before funds disbursement <ul style="list-style-type: none"> • Training • Opening of designated accounts • Milestones for funding • Contract signing Implementation modalities <p>(a) Technical training</p> <p>(b) Supervision and Monitoring-. <ul style="list-style-type: none"> • FDACs and CIG sub committees • Line Ministries /Agencies • Independent Oversight Appraisal Team </p> <p>(c) Monitoring and Evaluation by</p>	PCT	

	PCT (d) Other activities <ul style="list-style-type: none"> • Annual case studies • Completion certificate 		
10.30.11.00	TEA/COFFEE BREAK		
11.00-1.00	Financial management <ul style="list-style-type: none"> • Introduction • Financial principles • Financial management tools • Community Contribution • Funds Flow and bank accounts Accounting		
1.00-2.00	LUNCH BREAK		
2.00-4.00	Governance issues <ul style="list-style-type: none"> • Transparency • Accountability • Fiduciary Aspects • Identification and reduction of Fiduciary risks • Complaints Handling Mechanism • Sanctions and Remedies • Alterations and amendments to this manual 		
4.00-4.30	<i>TEA/COFFEE BREAK</i>		
4.30-6.00	Community procurement <ul style="list-style-type: none"> • Introduction • Principles of procurement • Setting up a Procurement Sub-committee • Procurement methods • Procurement steps • Contract management • Integrity issues /penalties 		

DAY 3

Time	Topic	Resource person	Responsible person
8.00-8.30	Recap for day 2		
8.30 -10.30	Introduction to technical Support notes <ul style="list-style-type: none"> • Agriculture and related enterprises • Value addition • Unique and special activities 		

10.30-11.00	TEA/COFFEE BREAK		
11.00-12.00	Livestock TSN		
12.00-1.00	Forestry TSN		
1.00-2.00	LUNCH BREAK		
2.00-3.00	CROSS CUTTING ISSUES <ul style="list-style-type: none"> • Gender • HIV/AIDS /Vulnerable Persons 		
3.00-4.30	WAY FORWARD		
4.30-5.00	TEA BREAK		

TM 2: FDAC Induction Training

Introduction	The Umbrella association that will supervise the CIGs who qualify for livelihood improvement projects funds through matching grants will be inducted by the various relevant Line Ministries/Agencies(CPFT)	
Objective	The objective of the induction will be to enlighten the leaders on; <ul style="list-style-type: none"> • Roles and responsibilities of CIGs and FDAC, line ministries /PCT/oversight appraisal team/other stakeholder • The livelihood improvement project applications process and procedures • Financial and procurement procedures • Roles and responsibilities of various actors and stakeholders 	
Target group	The target group will comprise of leaders selected from various FDAC (members of the executive committee)	
DURATION	ONE DAY	
Time	Topic	Responsible person Time
8.00-8.30	<ul style="list-style-type: none"> • Registration 	
8.30-9.30am	<ul style="list-style-type: none"> • Introduction • Objectives of the training • Opening Remarks by PC and Project overview 	
9.30-10.30am	Administration of matching grants <ul style="list-style-type: none"> • Roles and responsibility of stakeholders • Introduction to funding project cycle- Process &Procedures 	

	<ul style="list-style-type: none"> • Categorization of CIGs Activities highlights • Eligibility criteria • Community Contributions • MOUs with CIGs and FDACs 	
10.30-11.00 am	TEA BREAK	
11.00-1.00pm	<ul style="list-style-type: none"> • Introduction of Financial Management /Transparency • Accountability • Fiduciary Aspects Identification and reduction of Fiduciary risks) • Funds flow 	
1.00-2.00	LUNCH BREAK	
2.00-2.45pm	Introduction to procurement process/methods	PO
2.45-3.45pm	Governance issues Conflict management resolutions Complaints Handling Mechanism Sanctions and Remedies	

Sample Activity Budget

Induction budget	Item description	Itemized cost	Total
	Accommodation		
	Transport refund		
	Facilitators accommodation		
	Stationery		
	Hall hire		
	Teas /Water		
Expected Output	Well sensitized FDACs on matching grants operations.		

TM 3: Financial and Governance Training

Introduction	<ul style="list-style-type: none"> The governance and management training is a very crucial tool to improve group leadership and governance. Financial record keeping and proper procurement process is a prerequisite for improved group 	
OBJECTIVE	<ul style="list-style-type: none"> To enable CIGs Executive committee members, acquire governance and management skills To enlighten the CIGs Executive committee members on proper record and modalities of ensuring transparency and accountability. 	
Target group	CIGs Executive committee members (CIGS with successful proposals)	
Number	20 CIGS leaders /301 FDA X 5 members /per group	
Venue	Government Institution	
Materials	Matching Grants Manual, Financial, Procurement and Management	
Facilitators	CPFT-Lead facilitator CG&SD Coordinator	
Timetable		
Time	DAY1	Responsible person
8.00-8-300	Registration	
8.30-10.30	<ul style="list-style-type: none"> Introduction Overview of UTaNRMP Objectives of the training Administration of matching grants 	
10.30-11.00	TEA BREAK	
11.00-1.00	<ul style="list-style-type: none"> Group constitution Leadership Conflict management 	
1.00-2.00	LUNCH BREAK	
2.00-5.00	<ul style="list-style-type: none"> Roles of leaders. Procedures for meeting Community contribution/ computation 	
5.00 -5.30	TEA BREAK	
DAY 2		
8.00-8-15	Recap	
8.15-11.00	<ul style="list-style-type: none"> Introduction to financial management. Financial record keeping. 	

	<ul style="list-style-type: none"> • Expenditure control • Fiduciary Aspects 	
11.00-11.30	TEA BREAK	
11.00-1.00	<ul style="list-style-type: none"> • Procurement of goods and services 	
1.00-2.00	LUNCH BREAK	
2.00-3.00	<ul style="list-style-type: none"> • Procurement of goods and services continued 	
3.00-4.30	<ul style="list-style-type: none"> • Monitoring and evaluation. • Report writing 	
4.30-5.00	Way forward	
5.00-5.30	TEA BREAK	

Activity Budget

The budget is based on assumption that the training will cover CIGs per financial year

Induction budget	Item description	Itemized cost	Total
	Accommodation	10 CIGs X70FDAs X6 Members X 4 days X 2,000	33,600,000
	Transport refund	4200X1000	4,200,000
	Facilitators accommodation	5X5000X 40 sessions	1,000,000
	Stationery	4200	420,000
	Hall hire	2000X40	80,000
	Teas /Water	4200X300	1,260,000
			40,560,000
Expected Output	Well sensitized CIGs on matching grants operations, Governance issues and good financial management.		

Non Residential training

Induction budget	Item description	Itemized cost	Total
	Accommodation	10 CIGs X70FDA X6 Members X 3 days X 500	6,300,000
	Transport refund	4200 X200	840,000
	Facilitators accommodation	1500X 70 sessions*5 officers	525,000

	Drivers	70*750	52,500
	Fuel	70*1000	70,000
	Stationery	4200	420,000
	Hall hire	2000X40	80,000
	Teas /Water	4200X300	1,260,000
			9,547,500
Expected Output	Well sensitized CIGs on matching grants operations, Governance issues and good financial management.		

APPENDIX 3: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 DIARY

To be filled by the CIG secretary

a) COMMUNITY CONTRIBUTIONS (Skilled Work)

Date	Activity	No. of People			Average Hours worked	Total Hours Worked	cost per Hour	Total cost	Work done (Achievement)
		Female	Male	Total					

b) COMMUNITY CONTRIBUTIONS (Unskilled Work)

Date	Activity	No of People			Average hours worked	cost per hour	Total Ksh.	Work Done (Achievement)
		Female	Male	Total				

c) COMMUNITY CONTRIBUTIONS (CASH)

Date	Activity	No. of People/Contribution				Total Contribution	Remarks
		Female	Amount	Male	Amount		

d) COMMUNITY CONTRIBUTIONS (Materials and Transport)

Date	Activity	Materials (Estimate)			Cost of Transport (where applicable)	Total	Remarks
		Type	Quantity	Cost			

e) CONTRIBUTIONS FROM OTHER SOURCES

Date	Name of Contributor/Donor	Type of Contribution	Quantity	Estimated Value Kshs.	Remarks

f) MONTHLY SUMMARY CONTRIBUTIONS

Month	Community Labour/skilled and unskilled (Kshs)	Community Materials & Transport (Kshs)	Community Cash (Kshs)	Total community contribution (Kshs)	Other sources contributions (Kshs)	Total (Kshs)
January 20-						
February						
March						
April						
May						
June						
July						
August						

September						
October						
November						
December						
Totals						

g) EARLY SUMMARY CONTRIBUTIONS

Year	Major Activity	Community Labour (skilled and unskilled) (Kshs)	Community Materials/transport (Kshs)	Community Cash (Kshs)	Other sources Contributions (Kshs)	Totals

h) CONTRIBUTIONS TOWARDS PROJECT OPERATIONS AND MAINTENANCE (Sustainability)

INCOME SOURCES

Date	Income		Total (Cumulative)
	Sources of Funds	Amount	

i) CONTRIBUTIONS TOWARDS PROJECT OPERATIONS AND MAINTENANCE (Sustainability)

EXPENDITURES

Date	Purpose	Amount spent	Balance

j) TECHNICAL OFFICERS MONITORING VISIT (To be filled by supervising officer))

Date	Name of officer	Designation/Organization	Purpose of Visit	Comments

FPF 3: Payment Voucher

Cash/Cheque

Name of CIG: _____

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 Recipient _____

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 CIG 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 CIG: _____

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

CIG 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

CIG Name: _____ **as at** _____ **20** _____

Description	Kshs.	Kshs.
Balance per Bank Statement		XXXX
Less: Unrepresented cheques (Payments in cashbook not appearing on bank statement) <u>Payee Dated</u> a) _____ b) _____	(XXXX)	
Less: Receipts in Bank statements not recorded in cashbook <u>Source Dated</u> 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: Business Plan Format

Item	Description
Business Summary	<ul style="list-style-type: none">• Statement of the proposed business• Indicate benefits from the business
Internal and external assessment	<ul style="list-style-type: none">• Ability of the CIG to undertake the enterprise• Measures to mitigate risks/challenges
Business growth path	<ul style="list-style-type: none">• Quantify the annual benefits• Indicate the sales targets over the project period
Action plan	<ul style="list-style-type: none">• Outline activities to achieve the targets• Indicate the market for your product?
Financial outlay	Forecasted financial statement should give predictions on how the business will fare financially over a given time span. Required <ul style="list-style-type: none">• Should provide complete and accurate production cost information• costs associated with regulatory and licensing requirements (both start-up and periodic renewals)• Marketing costs and a good estimate of predicted sales volume
Monitoring and Evaluation	Plans must be made to monitor the organization's success. <ul style="list-style-type: none">• How will the attainment of goals be measured?• What criteria will be used to evaluate the level of the organization's success?• What are the boundaries of these criteria i.e., how close to ideal business conditions will be considered acceptable
Sustainability	<ul style="list-style-type: none">• Indicate the continuity of the enterprise

FPF 10: 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 11: 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
_____	_____	_____
_____	_____	_____
_____	_____	_____

FPF 12: Request for Quotation Form

Name of CIG _____ CIG Stamp _____

Quotation No _____ Date _____

Quotation for Purchase of _____

To: Name and address of the Supplier _____

You are invited/requested to submit quotation for the items listed below so as to reach the CIG offices at _____ on or before _____ at 10.00 am.

Qualification requirements include submission of copies of certificate of incorporation/registration and valid tax compliance.

Please note that this is not an order and that your quotation shall clearly indicate all costs including unit price, VAT, discounts, transportation, installation, training on operation of the machines, commissioning etc.

Delivery is of essence and you are requested to **clearly indicate delivery time in weeks.**

Specifications were provided by: **Name** _____ **Designation** -----**Sign** _____ **Date** –

Item No	Detailed description of goods/services	Unit of issue	Quantity required	Unit price in Kshs	Total cost in Kshs	Delivery Period- weeks	Remarks

For Official Use Only

Supplier's Signature		Opened By: Name		Designation	Signature
		1			
Stamp		2			
		3			
		4			
Date		Date		Time	

Conditions

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

Instructions

1. All entries shall be typed or written in indelible ink. Mistakes must not be erased but should be crossed out and corrections be made and Initialled by the person signing the quotation.
2. Quote each item separately, and in units as specified.
3. Ensure that each item quoted for has its technical specifications attached (e.g. electrical or diesel operated, power rating- single or three phase, production per hour etc.)
4. This form must be signed by a competent person and where possible rubber stamped.
5. Each quotation should be submitted separately in a sealed envelope with the quotation number endorsed on the outside. Descriptive literature or samples of the items offered may be forwarded with the quotation.
6. If you do not wish to quote, please endorse the reason on this form and return it, otherwise your name may be deleted from the buyer's mailing list for the items issued hereon.

FPF 13: Award notification form

No. _____

Date: _____

Following the quotation for Supply and delivery of _____, you are hereby awarded the supply and delivery of the listed goods/services at the indicated prices as you had quoted as per our minute no. _____ of _____

Ordered From: _____

Delivery to:by date.....

	DESCRIPTION OF ITEM	QUANTITY	UNIT COST	TOTAL COST
TOTAL (Kshs)				

Total Cost In Words Kshs.: _____

.....

CHAIRMAN

TREASURER

I/D NO

I/D NO

Supplier's acceptance: I, _____ agree to supply the above mentioned goods/services to the CIG by _____

Signed _____ date _____

Distribution of Copies

1. One copy (original) signed and send to the CIG
2. One copy(duplicate) signed and send to UTaNRMP
3. One copy retained by Supplier(triplicate)

CONDITIONS APPLICABLE TO THIS AWARD NOTIFICATION

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. CIG 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 CIG in writing.
3. Deliveries must be made within the accepted delivery period bidden for and specified in this order unless agreement has been reached and written confirmation given of the alteration. If the delivery of the goods is not effected within this period, this order may be cancelled without cost to CIG 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 CIG 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 CIG 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 14: Inspection & Acceptance Certificate

We the undersigned have inspected the goods/materials under listed, and we confirm that they are as per our specifications.

	Item Description	Unit	Quantity	Total cost

We recommend payment for the goods/materials to _____ (supplier) at a cost of Kshs. _____

	Name	ID No.	Position	Signature
1				
2				
3				

FPF 15: Goods Received Note

Receipt No: _____

Name and address of CIG: _____

Receiving official of CIG: _____

Name and 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 16: Goods Issue Note

ISSUE NOTE No: _____

Name and address of CIG: _____

Issuing official of CIG: _____

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 20: BUDGET TEMPLATE FOR CATEGORY 'B' ACTIVITIES

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 distributed 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	Milestones	Item¹ Description	Unit	Quantity	Unit Cost	Total cost	UTaNRMP funding	Community Contribution
Training								
Contractors/Suppliers	Name of contractor			Services Offered				

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 21: 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 three years add the implementation activities for that period.

FPF 22 :Order Amendment Form

Name and address of CIG: _____

Name and of address of Supplier: _____ LPO No. _____

Item Description _____

Original Work Start Date _____ Total Contract Amount _____

Percentage of work done to date _____ percentage work done _____

Requested amendment _____ Estimated Cost of amendment _____

Estimated new Total cost _____

Reasons for amending _____

Expected completion date _____

Request made by _____ Designation _____ Date _____

APPROVAL

The above request has been approved/not approved for the following reasons;

By:

Name _____ Position _____ Date _____

Name _____ Position _____ Date _____

Name _____ Position _____ Date _____

FPF: 23; Inspection and Acceptance Certificate

Name and address of CIG: _____

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 24: Certificate of Final Completion

Project No.				
Project				
Owner(CIG):				
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: _____

FPF 25: Letter to open designated UTaNRMP/CIG account
REPUBLIC OF KENYA



MINISTRY LABOUR AND SOCIAL PROTECTION
STATE DEPARTMENT FOR SOCIAL DEVELOPMENT

Email:

Department of Social Development
.....**County**

P.O. Box

Date:

The Manager,

.....Bank

.....

REF: OPENING OF DESIGNATED CURRENT ACCOUNT FOR:.....GROUP

This is to certify that the above group is registered with the Department of Social Development Registration .No Datedand has received grants from Upper Tana natural Resources management project which is funded by government of Kenya and International fund for Agricultural Development (IFAD)to implement Income Generating activities and NRM activities . One of the pre-conditions for receiving the grants is opening a current account bearing both the group name and project name in short form – UTaNRMP.

The group minutes authorizing the officials to open the above account is attached for your reference.

The following will be the bank Signatories to the account.

S/No	Name	Position	ID Number	Contact	Signature
1					
2					
3					
4	Sub County Social Development Officer Name				

NB:

The Sub County Social Development Officer named above is a mandatory signatory to this account.as

Ensure they have minutes countersigned and stamped from the department and withdrawal letter. A call to verify whether the withdraw is authentic is required for any transactions

This is therefore to request you to facilitate the group to open the current account

Sub County Social Development Officer

.....**Sub -County**

APPENDIX 4: TECHNICAL SUPPORT NOTES

(LIST IS NOT EXHAUSTIVE)

The notes will be used by CIG in the proposal preparation to ensure Standardization of proposal in term of Units, Range /scope of proposal, Minimum (economic level) quantities, Ensure quality materials and goods, Budget minimization, Prices stabilization and the enterprises are market driven, These are samples Budgets and CIG are requested to use them as guide in budgeting especially the number of members and quantities requested

TSN 1: TISSUE CULTURE BANANA PRODUCTION

Name of the project	Tissue Culture Banana Production					
Relevance to the UTaNRMP	<ul style="list-style-type: none"> a. Contributes to Food security b. Contributes to livelihood improvement through income generation c. Contributes Carbon sequestration through increased tree cover d. Contributes to Soil and water conservation 					
Expected benefits to members	<ul style="list-style-type: none"> a. Members trained on banana production and marketing b. Increased income for individual members c. Improved access to Food and good nutrition 					
Outputs to achieved in 12 months	<ul style="list-style-type: none"> a. Orchards established per member b. At least 100 bunches produced by each member c. All members trained on husbandry and marketing 					
Conditions	<ul style="list-style-type: none"> a. The CIG must have a minimum of 15 members from 15 households. b. The CIG must be registered with the relevant government institution 					
Bill of quantities for quarter Acre	Item	Specification	Unit	Quantity	Rate Ksh	Total amount Ksh
	Planting materials	Banana suckers	No	1500	120	180,000
	Fertilizer	NPK	KG	375	80	30,000
	Pesticides	Lump				30,000
	Manure		Debe	1500	100	150,000
	Transport for manure & suckers		trips	30	2500	75,000
	Labour cost	Land preparation	md	60	300	18000
		Digging holes	holes	1500	100	150,000
		planting	md	30	300	9000
		weeding	md	30	300	9,000
		harvesting	md	75	300	22,500
						673,500
	Roof catchment Water harvesting Water pan	Gutters				5000
	Excavation (10m x8m x1.5m)	M ³	120	350	42000	

	Fence posts-	no	20	800	16000
	Chain link	rolls	2	3500	7000
	HDP Liner (0.5mm)	M ²	120	400	48000

	Sub-total					448,000
Training	Item	specifications	Unit	Quantity	Rate	Total amount
	Trainer	allowance	Days	13	1500	19,500
	Transport- Vehicle/ motorcycle	Fuel	litres	100	100	10,000
	Driver	allowance	Days	13	750	9750
	Sub –total					39,250
3 training sessions are for DSDOs to train on governance including conflicts						

NB: Reliable source of water required

Total Budget for the Project (To be filled by officials of the CIG)

Item description	Item	Unit	Quantity	Rate Ksh	Total amount Ksh
Materials					
Transport					
Training	Training	Training topics	11		39,500
TOTAL BUDGET					
FINANCING					
Financier	List of activities	Total cost of the proposed activities	% of project cost	Remarks	
UTaNRMP Contribution					
CIG Contribution					
TOTAL					
FUNDING FOR IMPLEMENTATION					
PHASE ONE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE TWO	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE THREE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				

TSN 2: UPLAND ARROWROOT PRODUCTION

Name of the	Upland Arrowroot Production					
Relevance to the UTaNRM	<ul style="list-style-type: none"> a. Contributes to Food security b. Contributes to livelihood improvement through income generation c. Contributes to conservation of the riparian land by farming away from it 					
Expected benefits to	<ul style="list-style-type: none"> a. Increased income b. Improved food security c. All members trained on upland arrowroot production 					
Outputs to achieved in	<ul style="list-style-type: none"> a. Arrowroot beds established by each member b. All farmers trained on upland arrowroot production 					
Conditions	<ul style="list-style-type: none"> a. The CIG must have a minimum of 15 members and from different households b. The CIG must be registered with the relevant government institution 					
Bill of quantities 100m² trench	Item	Specification	Unit	Quantity	Rate Ksh	Total amount Ksh
	Polythene sheet	1000 gauge	M ²	1500m ²	100	150,000
	Planting material	suckers	no	7875	10	78750
		manure	wheelbarrows	no	300	50
	Labour	Trench excavation mixing, planting watering	md	750	250	187,500
	Water harvesting fittings	Pipes etc				30,000
		gutters				75,000
		Hose pipe		450m	100	45,000
	Water pan excavation	4mx4mx1.5m (24m ³)	m ³	360	350	126,000
	Liner	8mx8m- gauge 1000- 500microns	m ²	960	200	192,000
	Fencing	Posts-2.5m long and 15cm diameter	No.	135	400	54000
	Barbed wire	Roll	No.	15	5000	75,000
	Chain link	Rolls	No.	30	3500	105,000
	Nails	Assorted	kg	15	200	3000
	Sub-total					1,136,250
Training	Item	specifications	Unit	Quantity	Rate Ksh	Total amount Ksh
	Trainer	allowance	Days	13	1500	19,500
	Transport-Vehicle/	Fuel	litres	100	100	10,000
	Driver	allowance	Days	13	750	9750
	Sub –total					39,250
3 training sessions are for DSDOs to train on governance including conflicts						

Total Budget for the Project (To be filled by officials of the CIG)

Budget					
Item description	Item	Unit	Quantity	Rate Ksh	Total amount Ksh
Materials					
Transport					
Training	11 days training	Training topics	11	3431	37,750
TOTAL BUDGET					1,173,750
FINANCING					
Financier	List of activities	Total cost of the proposed activities		% of project cost	Remarks
UTaNRMP Contribution					
CIG Contribution					
TOTAL					
FUNDING FOR IMPLEMENTATION					
PHASE ONE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE TWO	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE THREE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				

TSN 3: DAIRY COW ENTERPRISE

Name of the project	Dairy Cattle Rearing					
Relevance to the UTaNRMP	<ul style="list-style-type: none"> a. Supporting livelihoods through Income Generating Project based on natural resources b. Contributes to food security and nutrition 					
Expected benefits to members	<ul style="list-style-type: none"> a. CIG Members to receive training on dairy cattle b. Members share proceeds of the enterprise c. Enhanced production, nutrition and health d. Increased soil fertility through availability of manure 					
Outputs to be achieved in 12 months	<ul style="list-style-type: none"> a. 12 Dairy unit constructed b. 12 In calf cows c. 12 Calves born 					
Conditions	<ul style="list-style-type: none"> a. The CIG must have a minimum of 15 members and b. The CIG must be registered with the relevant government institution c. 12 in-calf Heifer procured from reputable breeding farm d. Must show evidence of at least ½ acre of fodder per member 					
Bill of quantities.	Item	Specification	Unit	Quantity	Rate Kshs	Total amount Kshs
	Dairy cow	In Calf Cow less than 3yrs old	No.	15	100,000.00	1,500,000.
		Zero grazing unit (see specification)	No.	15	50,000.00	750,000.
	Equipment	Milking Can Aluminum	10kgs	15	800.00	12,000
	Drugs	Dewormers	50Mls Bottles	15	200.00	3,000
		Acaricides	50Mls Bottles	15	250.00	3,750
	Feeds	Dairy meal	Bags (50kg)	15	2,200.00	33,000
		Mineral salts	Blocks (2kg)	15	400.00	6,000
		Hay	Bales (12Kg)	180	200.00	36,000
		Hay Barn	No.	15	4,000.00	60,000
	Transport			Lump sum		30,000
	Planting materials	Fodder cuttings & seeds	LS	15	1,000.00	15,000.00
	Total					2,448,750
Training	Item	Specification	Unit	Quantity	Rate (Kshs)	Amount (Kshs)
	Trainer	Allowance	Days	13	1,500.00	19,500

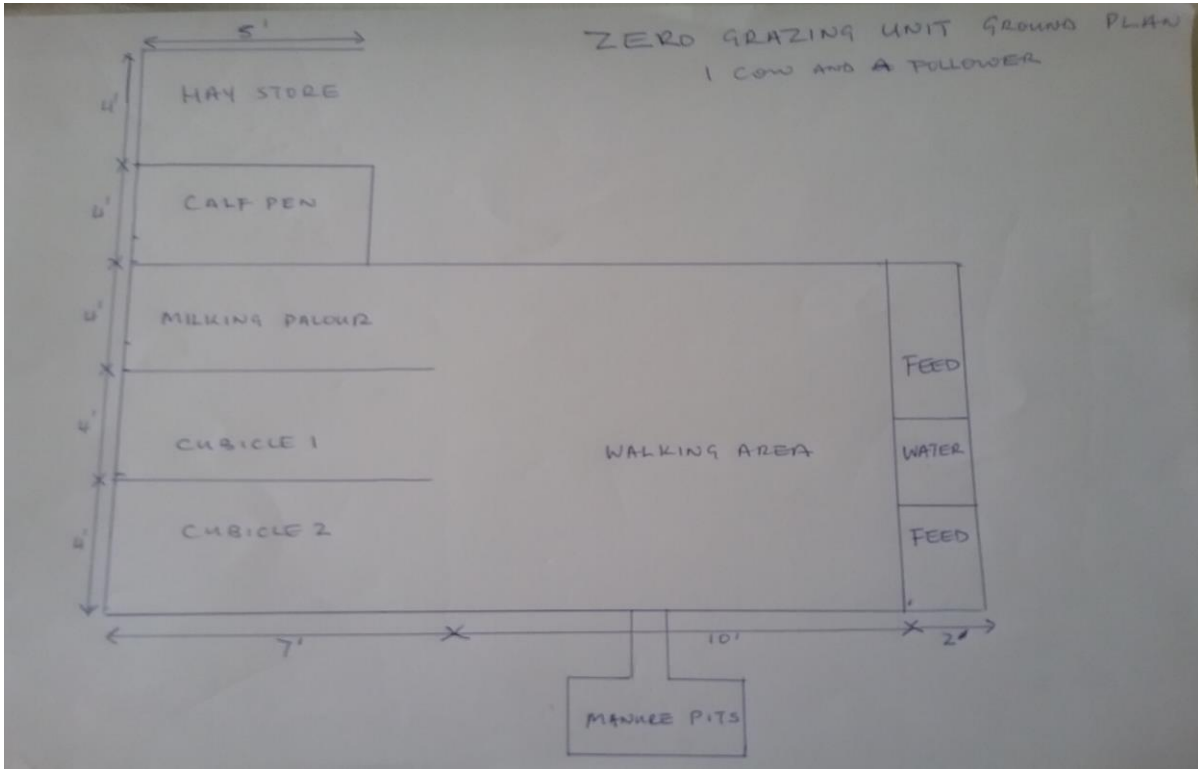
	Transport	Fuel	Its	13	1,000.00	13,000.00
	Driver	Allowance	Days	13	750.00	9,750.00
	Sub total					42,250
3 training sessions are for DSDOs to train on governance including conflicts						
2 sessions for Soil & water Conservation						
8 sessions training on Dairy Cow Farming						

Total Budget for the Project (To be filled by officials of the CIG)

Budget					
Item Description	Item	Unit	Quantity	Rate Kshs	Total amount Kshs
Materials					
Transport					
Training	13days training	Training topics	13	3,250.00	42,250.00
TOTAL BUDGET					
FINANCING					
Financier	List of activities	Total cost of the proposed activities		% of project cost	Remarks
UTaNRMP Contribution					
CIG Contribution					
TOTAL					
FUNDING FOR IMPLEMENTATION					
PHASE ONE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE TWO	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE THREE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				

Livestock Structure

Zero Grazing unit (1 mature cow, follower Milking shed Milk parlour and hay Barn)



Material List

	Item Description	Quantity	Unit cost	Total Cost
1.	Posts 4 Inches Diameter, 8Ft. long (No.)	14	350.00	4,900.00
2.	Iron Sheet Gauge 32, 3m long (No.)	9	700.00	6,300.00
3.	Timber (3 x 2) (Fts)	212	25.00	5,300.00
4.	Hard Core (Pick Ups)	2	2,000.00	4,000.00
5.	Sand (Pick Up)	2	3,000.00	6,000.00
6.	Ballast (Pick Ups)	2	3,000.00	6,000.00
7.	Building stones (Fts)	65	40.00	2,600.00
8.	Cement (bags 50Kg)	12	650.00	7,800.00
9.	Timber (6 x 1) (Fts)	144	25.00	3,600.00
10.	Timber (2 x 2) (Fts)	200	20.00	4,000.00
11.	Roofing Nails (Kg)	1	200.00	200.00
12.	Ordinary Nails (Kg)	4	120.00	480.00
			Sub total	51,180.00

TSN 4 :DAIRY GOAT

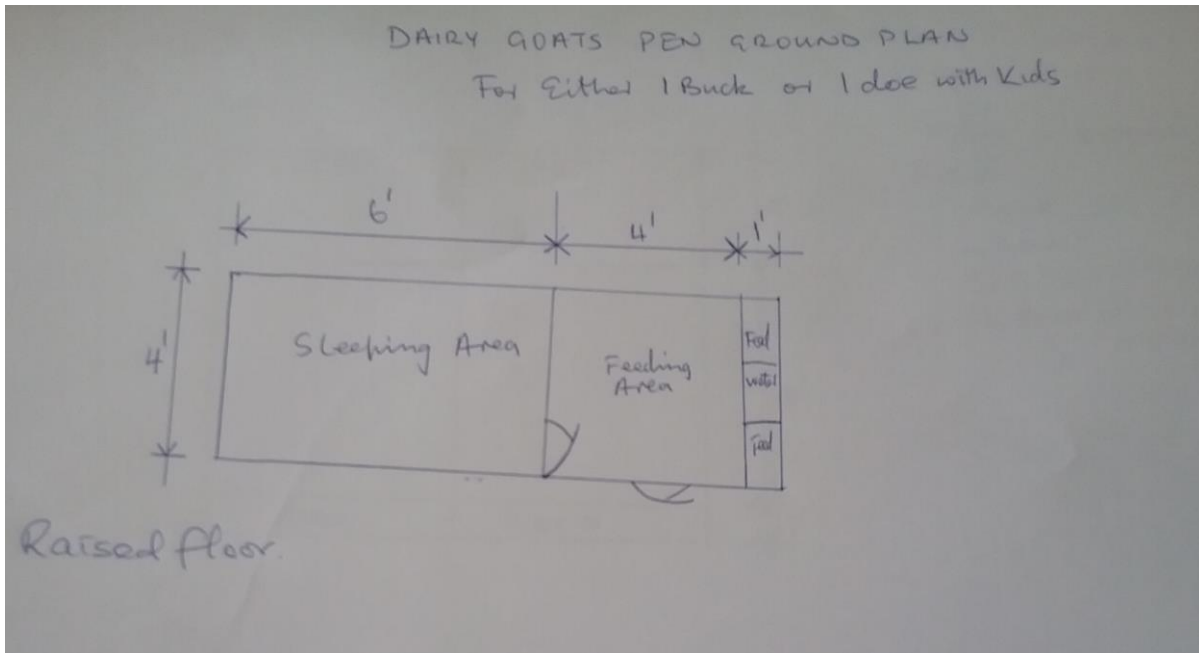
Name of the project	Dairy Goat Rearing					
Relevance to the UTaNRMP	<ul style="list-style-type: none"> a. Supporting Livelihoods through income generating project based on Natural Resources b. Contributes to food security and nutrition 					
Expected benefits to members	<ul style="list-style-type: none"> a. Enhanced food security, nutrition and income b. Improved soil fertility through manure application c. All CIG members trained on dairy goat production and management d. All members to share in proceeds of the enterprise 					
Outputs to achieved in 12 months	<ul style="list-style-type: none"> a. One Buck procured for the CIG b. One Doe procured for each member c. Each member to have constructed a Dairy Goat unit d. At least one kid per Doe 					
Conditions	<ul style="list-style-type: none"> a. The CIG must have a minimum of 15 members and b. The CIG must be registered with the relevant government institution c. Group members to register with relevant Dairy Goat association d. Each member to Establish Fodder/Pasture plot e. Each member to undertake the necessary Soil and Water Conservation Measures 					
Bill of quantities	Item	Specification	Unit	Quantity	Rate Kshs	Total amount Kshs
	Goats	Buck (Registered, Age 12 – 18 months old)	No.	1	20,000.00	20,000.00
		Doe (Registered, 12 – 24 Months old)	No.	15	15,000.00	270,000.00
	Houses /Pens	Buck	No	1	19,820.00	19,820.00
		Doe	No	15	19,820.00	297,300.00
	Drugs	Dewormers	50Mls bottle	16	150.00	2,400.00
		Acaricides	20Mls bottle	16	100.00	1,600.00
		Vaccines	Mls	16	400.00	6,400.00
	Feed Supplements	Dairy Meal	50kg	16	2,500.00	40,000.00
	Fodder production	Planting materials (Fodder trees, Bracharia, Rhodes, Sweet Potato Vines)	Packages	16	2,000.00	32,000.00
	Minerals	Block	2 kg	16	300.00	4,800.00
	Transport	To Fetch Goats	trips	lump sum	20,000.00	20,000.00

	Equipments	20Lts Knapsack	No.	3	2,000.00	6,000.00
		Milking Cans (Aluminium)	No.	15	500	7,500.00
		Sub-total				727,820.00
Training	Item	Specification	Unit	Quantity	Rate (Kshs)	Amount (Kshs)
	Trainer	Allowance	Days	13	1,500 .00	19,500.00
	Transport	Fuel	Days	10	1,000.00	10,000.00
	Driver	Allowance	Days	13	750 .00	9,750
	Stationary		Lump sum	1	3,000	3,000.00
	Sub total					42,250.00
<p>3 training sessions are for DSDOs to train on governance including conflicts 2 sessions for Soil & water Conservation 8 sessions training Dairy Goat production</p>						

Total Budget for the Project (To be filled by officials of the CIG)

Budget					
Item Description	Item	Unit	Quantity	Rate Kshs	Total amount Kshs
Materials					
Transport					
Training	13days training	Training Topics	13	3,250.00	42,250.00
TOTAL BUDGET					
FINANCING					
Financier	List of activities	Total cost of the proposed activities		% of project cost	Remarks
UTaNRMP Contribution					
CIG Contribution					
TOTAL					
FUNDING FOR IMPLEMENTATION					
PHASE ONE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE TWO	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE THREE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				

Dairy Goat Budget for 1 dairy goat and its kids or 1 Buck



	Item Description	Quantity	Unit cost	Total Cost
1.	Posts 9Ft, 4inches (No.)	10	350.00	3,500.00
2.	Timber (3 x 2) (No.)	48	25.00	1,200.00
3.	Timber (2 x 2) (Fts)	240	20.00	4,800.00
4.	Timber (6 x 1) (Fts)	260	20.00	5,200.00
5.	Off Cuts (No)	10	100.00	1,000.00
6.	Iron Sheets Gauge 32, 2.5M (No.)	4	600.00	2,400.00
7.	Roofing nails (Kg)	½	200.00	100.00
8.	Ordinary nails 3 inches (Kg.)	3	120.00	360.00
9.	Ordinary nails 4 inches (Kg.)	3	120.00	360.00
10	Hinges (No.)	2	100.00	200.00
11.	Latches (No.)	2	50.00	100.00
12	Padlock (No.)	1	600.00	600.00
			Sub Total	19,820.00

TSN 5: LOCAL IMPROVED POULTRY REARING

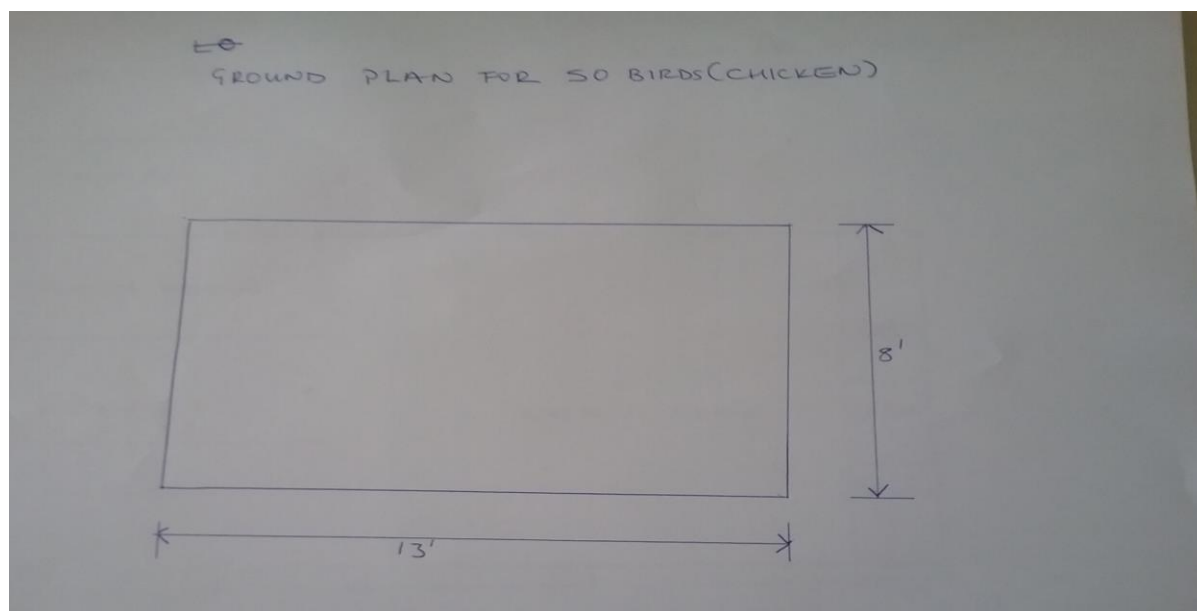
Name of the project	Local improved Poultry Rearing (Kari Kienyeji)					
Relevance to the UTaNRMP	<ul style="list-style-type: none"> a. Supporting Livelihoods through income generating project based on Natural Resources b. Contributes to food security and nutrition 					
Expected benefits to members	<ul style="list-style-type: none"> a. Enhanced food security, nutrition and income b. Improved soil fertility through manure application c. All CIG members trained on poultry production and management d. All members to share the proceeds 					
Outputs to achieved in 12 months	<ul style="list-style-type: none"> a. 7 birds procured for each CIG member 7x15= 105 birds b. 50 birds house Constructed for each member c. At least 30 birds raised per farmer 					
Conditions	<ul style="list-style-type: none"> a. The CIG must have a minimum of 15 members and b. The CIG must be registered with the relevant government institution 					
Bill of quantities	Item	Specification	Unit	Quantity	Rate Kshs	Total amount Kshs
	Hens (improved Kienyeji)	One month	No	300	1,000.00	300,000.00
	Improved Kienyeji Cockerels	2 Month	No.	30	1,000.00	30,000.00
		Drinkers	No.	15	350.00	5,250.00
		Feeders	No.	30	400.00	12,000.00
	Housing	House	No.	15	21,160.00	317,000.00
	Feeds	Layers	Bags (50kg)	45	2,400.00	108,000.00
	Vaccines			Lumpsum		20,000.00
	Transport			Lumpsum		15,000.00
		Sub-total				
Training	Item	Specification	Unit	Quantity	Rate (Kshs)	Amount (Kshs)
	Trainer	Allowance	Days	13	1,500.00	19,500.00
	Transport	Fuel	Its	10	1,000.00	10,000.00
	Driver	Allowance	Days	13	750.00	9,750.00
	Stationary			Lump sum	3,000.00	3,000.00
		Sub total				

3 training sessions are for DSDOs to train on governance including conflicts	
2 sessions for Soil & water Conservation	
8 sessions technical training on poultry	

FINANCING				
Financier	List of activities	Total cost of the proposed activities	% of project cost	Remarks
UTaNRMP Contribution				
CIG Contribution				
TOTAL				

FUNDING FOR IMPLEMENTATION		
PHASE ONE	MILESTONES –Description of activities	Total Amount Kshs
	TOTAL	
PHASE TWO	MILESTONES –Description of activities	Total Amount Kshs
	TOTAL	
PHASE THREE	MILESTONES –Description of activities	Total Amount Kshs
	TOTAL	

Poultry Unit (50 Kienyeji Chicken) 8Ft X 13Ft.



Materials List

	Item Description	Quantity	Unit cost	Total Cost
1.	Timber 3 x 2 (Fts)	226	25.00	5,650.00
2.	Timber 6 x 1 (Fts)	426	25.00	10,650.00
3.	Iron Sheet 3m, Gauge 32 (No.)	6	700.00	4,200.00
4.	Wire Mesh (No.)	2	200.00	400.00
5.	Chicken Wire (3m x1m)	3	100.00	300.00
6.	Roofing Nails (Kg.)	1	200.00	200.00
7.	Ordinary Nails (4inches) (Kg)	2	120.00	240.00
8.	Ordinary Nails (3inches) (Kg)	2	120.00	240.00
9.	Ordinary Nails (2.5 inches) (Kg)	4	120.00	480.00
10.	Latches (No.)	1	100.00	100.00
11.	Hinges (4 inches) (Pair)	1	100.00	100.00
12.	Padlock (No.)	1	600.00	600.00
			Sub	23,160.00

TSN 6: INSTITUTIONAL ENERGY SAVING STOVES

Name of project	Fuel Efficient Jikos for Institutions (e.g. Schools, Churches, etc.) or private homes (domestic options)					
Relevance to the UTaNRMP	1. Contributes to Tree and forest conservation through reducing demand for fuel wood, cost saving technology 2. Contributes to carbon sequestration indirectly					
Expected benefits to members	a. All institution trained on installation and use of fuel efficient jikos; b. The institution act as training venue to other stakeholders on energy conservation					
Outputs to achieved in 12 months	a. All Fuel Efficient Jikos procured and installed in the institutions and are operational b. Institutional members trained					
Conditions	a. Institution must be registered with relevant authority b. All jikos must be made with vermiculite heat resistant lining and fire bricks c. All sufurias must be made with stainless steel Bills of Quantities					
Bills of quantities (Fifteen woodlots)	Item	Specification	Unit	Quantity	Rate	Total
	Installation In Situ (includes stove, frames, linings, chimney, sufuria and lid made from stainless steel	15 litres Jiko	Item		20,400	20,400
		50 litres jiko	Item		80,000	80,000
		100 Litres Jiko	Item		140,000	140,000
		200 Litres Jiko	Item		200,000	200,000
		250 Litres Jiko	item		240,000	240,000
		Platform construction			10000	10000
Training	Item	Specification	Unit	Quantity	Rate (Kshs)	Amount (Kshs)
	Trainer	Allowance	Days	13	1,500	19,500
	Transport	Fuel	Days	10	1,000	10,000
	Driver	Allowance	Days	13	750	9,750

	Stationary	Assorted	No	Lump sum	4,000	3,000
	Sub total					42,250
3 training sessions are for DSDOs to train on governance including conflicts						

Total Budget for the Project (To be filled by officials of the CIG)

Budget					
Item description	Item	Unit	Quantity	Rate Kshs	Total amount Kshs
Materials					
Transport					
Training	13 days training	Training topics	13	3,250	42,250
TOTAL BUDGET					
FINANCING					
Financier	List of activities	Total cost of the proposed activities		% of project cost	Remarks
UTaNRMP Contribution					
CIG Contribution					
TOTAL					
FUNDING FOR IMPLEMENTATION					
PHASE ONE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE TWO	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				
PHASE THREE	MILESTONES –Description of activities			Total Amount Kshs	
	TOTAL				

TSN 8; COMMERCIAL FRUIT TREES FARMING SAMPLE FOR AVOCADO GROWING

Name of the project	Commercial Avocado Growing					
Relevance to the UTaNRMP	<ul style="list-style-type: none"> a. Contributes to Food security b. Contributes to livelihood improvement through income generation c. Contributes Carbon sequestration through increased tree cover d. Contributes to Soil and water conservation 					
Expected benefits to members	<ul style="list-style-type: none"> a. Members trained on avocado production and marketing b. Increased income for individual members c. Improved access to Food and good nutrition 					
Outputs to be achieved in 12 months	<ul style="list-style-type: none"> a. Orchards established per member b. At least 50 grafted trees established per member c. All members trained on husbandry and marketing 					
Conditions	a. The CIG must have a minimum of 15 members from 15 households.					
Bill of quantities for quarter Acre	Item	Specification	Unit	Quantity	Rate	Total amount
	Planting materials	Avocado seedlings	No	1500	120	180,000
	Fertilizer	NPK	Kg	100	70	7,000
		CAN	Kg	100	50	5,000
	Pesticides	Lump	various			30,000
	Manure	Manure	tons	120	2000	240,000
	Transport for manure & seedlings		trips	20	2000	40,000
	Labour cost	Land preparation	md	60	300	18,000
		Digging holes	holes	1500	30	45,000
		planting	md	30	300	9000
		weeding	md	30	300	9,000
		harvesting	0	75	300	0
	Fencing(optional)	Fence posts-	no	300	400	120,000
		Chain link	rolls	45	3500	157,500
		Nails	kg	45	150	6750
		Sub-total				

Training	Item	specifications	Unit	Quantity	Rate	Total amount
	Trainer	allowance	Days	13	1500	19,500
	Transport- Vehicle/ motorcycle	Fuel	litres	100	100	10,000
	Driver	allowance	Days	13	750	9750
	Sub –total					39,250
3 training sessions are for DSDOs to train on governance including conflicts						

Total Budget for the Project (To be filled by officials of the CIG)

Item description	Item	Unit	Quantity	Rate Ksh	Total amount Ksh
Materials					
Transport					
Training	Training	Training topics	11		39,500
TOTAL BUDGET					
FINANCING					
Financier	List of activities	Total cost of the proposed activities	% of project cost	Remarks	
UTaNRMP Contribution					
CIG Contribution					
TOTAL					
Funding for Implementation					
PHASE ONE	Milestones –Description of activities			Total Amount Kshs	
	Total				
PHASE TWO	Milestones –Description of activities			Total Amount Kshs	
	Total				
PHASE THREE	Milestones –Description of activities			Total Amount Kshs	
	Total				

APPENDIX 5: CURRICULUM FOR MAJOR ENTERPRISES

These are guidelines to support technical support while training the common interest groups

CUR1: CURRICULUM FOR COMMUNITY EMPOWERMENT

S/N	Main Topic	Sub Topic	Time Frame	Sequence	Learning Outcome
1	Introduction	Review of all the previous records kept by the groups.	3 hrs	1	Concept of records keeping among the members reviewed.
2	Effective Constitution	-Constitution Development. -Operationalize constitution (by laws and enforcement) Technical aspects	3 hrs	2	Skills on constitution development, operationalization and enforcement acquired.
3	Record keeping	-Minutes Writing -Cash Book. Procurements records	3 hrs	3	Skills on minute writing and simple cash book acquired.
4	Community Contribution tool.	-Computation of the community contribution. -procurement - Ownership & sustainability at Household levels.	3 hrs	4	Skills on community contribution computation, procurement and sustainability acquired.
5	Group Dynamics	-Group development -Conflict Management -Ownership & Sustainability at Household (resource mobilization & linkages) -cross cutting issues (gender & persons living with disability PLWD, mainstreaming and HIV/AIDS)	3 hrs	5	Skills on group dynamics, conflict management and sustainability acquired.

CUR2: CURRICULUM ON DAIRY CATTLE PRODUCTION

S/ No	Main Topic	Sub Topics	Time Frame	Sequence	Learning Outcomes
1	Introduction	<ul style="list-style-type: none"> • Importance of dairy cow/ Benefits • Commercial dairy farming requirements 	1 hours	1	Knowledge on dairy cow benefits acquired
2	Dairy cow breeds	<ul style="list-style-type: none"> • Common breeds and their characteristics • Choice of breed 	1 hours		Farmers gain knowledge on best breeds
3	Dairy Cow Housing	• Importance of housing	3hrs	2	Skills on housing construction acquired
		• Types of houses			
		• Construction & design			
		• Equipment's required			
		• Welfare considerations			
• Demonstration on housing construction					
4	Feeds & feeding management	• Feed requirements	2 hrs	3 & 4	Farmer Knowledge on dairy cow feeding improved
		• Feeding materials & practices			
		• Feed supplements			
		• Ration formulation			
		• Fodder production, conservation & utilization	2hrs		
		• Fodder demonstrations			
5	Dairy cow breeding	• Selection of breeding heifer	3 hrs	5	Farmers gain knowledge on fertility management
		• Heat signs & Fertility management			
		• Mating /A.I service.			
		• Care of in-calf heifer/cow			
6	Calf rearing	• Calf rearing& housing	1½hr	6	• Calf rearing and weaning skills acquired
		• Weaning			
7	Health management	• A healthy cow Versus sick cow	3 hrs	7	Disease control and prevention skills acquired
		• Common diseases & their control			
		• External and Internal			

		parasites and their control <ul style="list-style-type: none"> • Manure disposal & management • Bio-security measures 			
8	Routine practices	<ul style="list-style-type: none"> • Identification and registration • Hoof trimming • Disbudding 	1 hr	8	Routine management skills acquired
9	Dairy cow products, by-products, value addition and marketing	<ul style="list-style-type: none"> • Clean milk production • Value addition (Milk collection & bulking) 	2 hrs	9	Quality product and market access skills acquired
10	Record keeping	<ul style="list-style-type: none"> • Importance of records • Types of records • Gross margin analysis 	2 hrs	10	Tracking performance knowledge enhanced
11	Soil Conservation	<ul style="list-style-type: none"> • Importance of soil conservation • Soil conservation measures 	2 hrs	11	Conserved farms Improved farm productivity
12	Governance by DSDO	<ol style="list-style-type: none"> Effective constitution Record keeping Community contribution tool Group dynamics 	6Hrs	3Sessions	Cohesive CIGs

CUR3: CURRICULUM FOR DAIRY GOATS

S/ No	Main Topic	Sub Topics	Time Frame	Sequence	Learning Outcomes
1	Introduction	Importance of dairy goats	1 hr	1	Understand value of keeping dairy goats
		Economics of dairy goat production.			
2	Dairy goat breeds	Common breeds and their characteristics. Choice of breed.	1hr	2	Make informed choice
3	Dairy goat Housing	Importance of housing	1 hr	3	Farmers acquire skills on housing to improve goat productivity
		Types of houses	2 hrs		
		Equipment required			
		Construction & design Demonstration on construction.			
4	Dairy goat breeding	Selection of breeding doe and buck	1 hr	4	Enhanced fertility and production of goats
		Heat signs & Fertility management	1 ½ hrs		
		Mating /service Care of pregnant doe			
5	Kid rearing	Care for kids	1½hr	5	Skills in kid rearing to ensure high survival rates acquired
		Kid identification			
		Weaning and selection for milk production			
6	Feeds & feeding management	Feed requirements.	2hrs	6	Knowledge on feeds and feeding acquired by farmers
		Feeding practices			
		Feed supplements feed ration			
		Fodder production, conservation & utilization	2 hrs	7	Skills on fodder management acquired
7 7	Health management	A healthy goat vs a sick goat	3 hrs	8	Farmers acquire knowledge on

		Common goat diseases & control.			common diseases and their control
		External and Internal parasites and their control			
8	Husbandry practices	Identification & registration.	2hrs	9	Routine management skills acquired by farmers
		Dehorning/ debudding.			
		Hoof trimming			
		Castration			
9	Goat Products and marketing	Clean milk production	1hr	10	Farmers acquire skills on maximizing quality & market access
		Value addition			
		Manure disposal			
10	Record keeping.	Importance of records types of records	1 hr		Skills in tracking performance acquired
		Gross margin analysis			
11	Soil Conservation	Importance of soil conservation Soil conservation measures	2 Hrs	11	Conserved farms Improved farm productivity
12	Governance by DSDO	a. Effective constitution b. Record keeping c. Community contribution tool d. Group dynamics	6Hrs	3Sesions	Cohesive CIGs

CUR 4: CURRICULUM ON COMMERCIAL TC BANANA PRODUCTION

S /No	Main Topic	Sub Topics	Time Frame	Sequence	Learning Outcomes
1	Introduction to TC Banana production	a. Importance b. Economic benefits	2hr	1	Acquired knowledge on the enterprise
2	Banana propagation	a. Climatic conditions b. Types /varieties c. propagation methods <ul style="list-style-type: none"> • conventional • tissue culture 	2hr	2	New varieties established
3	Soil and water conservation	Causes and effects of soil loss Conservation methods Laying/establishment of structures	3hrs	4	Well conserved farms
4	Orchard establishment	a. Spacing b. Hole digging c. Transplanting	3HR	3	Well established banana orchard
5	General management	a. Irrigation b. Nutrition /Fertilization c. Weeding d. De-suckering e. Leaf pruning f. Bunch covering g. propping	2hr	4	Improved yields
6	Pest and diseases	a. Major pests and their control b. Major diseases and their control.	2hrs	5	Pest and disease free products
7	Harvesting	Post-harvest practices Harvesting methods Grading and sorting	3hrs	6	Reduced post-harvest losses Increased marketability
8	Gross margin and Marketing of products/ Produce and value addition	a) Markets and marketing. b) Banana gross margin c) Value addition for products	3hrs	7	Improved income
9	Governance by DSDO	a. Effective constitution b. Record keeping c. Community contribution tool d. Group dynamics	6Hrs	3Sesions	Cohesive CIGs

CUR 5: CURRICULUM ON COMMERCIAL AVOCADO GROWING

S /No	Main Topic	Sub Topics	Time Frame	Sequence	Learning Outcomes
1	Introduction to Avocado	c. Importance d. Economic benefits	2hr	1	Acquired knowledge on the enterprise
2	Avocado propagation	d. Climatic conditions e. Types /varieties f. Nursery management g. propagation methods <ul style="list-style-type: none"> • conventional • grafting 	2hr	2	New varieties established
3	Soil and water conservation	a) Causes and effects of soil loss b) Conservation methods c) Laying/establishment of structures	3hrs	4	Well conserved farms
4	Orchard establishment	a. Spacing b. Hole digging & manure /fertilizer application c. Transplanting	3HR	3	Well established avocado orchard
5	General management	a) Irrigation b) Nutrition /Fertilization c) Weeding d) Pruning and Fruits care	2hr	4	Improved yields
6	Pest and diseases	a. Major pests and their control b. Major diseases and their control.	2hrs	5	Pest and disease free products
7	Harvesting	Post-harvest practices Harvesting methods Grading and sorting	3hrs	6	Reduced post-harvest losses & Increased marketability
8	Contract farming /export markets	Contract management Conditions to meet for export market	2hrs	7	
9	Gross margin and Marketing of products/ and value addition	a. Markets and marketing. b. Avocado gross margin c. Value addition for avocado	3hrs	8	Improved income
10	Governance by DSDO	a. Effective constitution b. Record keeping c. Community contribution tool d. Group dynamics	6Hrs	3Sesions	Cohesive CIGs

CUR 6: CURRICULUM ON IMPROVED KIENYENJI (POULTRY) PRODUCTION

S/N o.	Main Topic	Sub Topic	Time Frame	sequence	Learning Outcomes
1	Introduction	Importance of indigenous poultry. Economics of local poultry.	2 hrs	1	Understand value of keeping improved local poultry
2	Breeding	Selection of breeding birds	2½ hrs	2	Make informed choice Enhanced fertility
		Egg selection for hatching Synchronization of incubation			
		Brooding management			
3	Poultry Housing & equipment	Importance of housing	½ hrs	3 & 4	Farmers acquire skills on housing to improve productivity
		Types of houses			
		Construction & design	2 hrs		
		Equipments required	½ hr		
4	Feeds, Feeding & Nutrition	Importance of feeding poultry	2 hrs	5	Knowledge on proper feeding
		Types of feeds			
		Feeding formulation			
		Examples of homemade rations			
5	Health management	A healthy bird versus sick bird	4 hrs	6 & 7	Disease & pest management skills acquired
		Common poultry diseases & their control			
		Vaccinations			
		External & Internal parasites and their control. Biosecurity measures			
6	Record keeping.	Importance of records Types of records. Gross margin analysis	2 hrs	8	Skills in tracking performance acquired
7	Soil Conservation	Importance of soil conservation Soil conservation measures	2 Hrs	9	Conserved farms Improved farm productivity
8	Governance by DSDO	a) Effective constitution b) Record keeping c) Community contribution tool d) Group dynamics	6Hrs	3Sesions	Cohesive CIGs

CUR 7: CURRICULUM ON INSTITUTIONAL ENERGY SAVING JIKOS

S/N o	Main Topic	Sub-Topics	Time Frame	Sequence	Learning Outcomes
1	Introduction	<p>a. objectives of constructing institutional stoves</p> <p>b. Advantages of institutional stoves</p> <p>c. Economic aspects (payback)</p>	Two hours	1	Appreciate importance of institutional stoves
2	Factors to consider when preparing to build the improved institutional stoves	<p>a. Shelter</p> <p>b. Tools</p> <p>c. Stove Construction materials</p> <p>d. Cost of materials</p> <p>e. Material purchase & source</p>	Two days	2	Bill of quantities
3	Step to follow when building the Mobile improved institutional stove	<p>a. Mapping out the stove position</p> <p>b. Preparation of materials</p> <p>c. Building the stove</p> <p>d. Finishing the stove</p> <p>e. Fitting the firewood shelf</p>	Two days	3	BQ
4	Construction	a. Constructing institutional stoves by trainee	Two days	4	Constructed stove
5	Demonstration	a. Constructing institutional stoves by trainee	Two days	5	Attain skills and constructed mobile stoves

CUR 8: CURRICULUM ON UPLAND ARROWROOTS

S /No	Main Topic	Sub Topics	Time Frame	Sequence	Learning Outcomes
1	Introduction to upland arrowroots	a. Importance b. Economic benefits	2hr	1	Acquired knowledge on the enterprise
2	Upland arrowroots propagation	a. Climatic conditions b. Types /varieties c. propagation methods	2hr	2	New varieties established
3	Soil and water conservation	a. Causes and effects of soil loss b. Conservation methods c. Laying/establishment of structures	3hrs	3	Well conserved farms
4	Upland arrowroots establishment	a. Excavation of the sunken basin b. Soil /manure /mixing c. Spacing d. Transplanting	3hrs	4	Well established avocado orchard
5	Construction of Water pan for upland arrowroots Minimum 24M ³	a. Specification for water pans and procurement of the water pan liner b. Layout & Excavation of the water pan c. Lining of the water pan	3hrs	5	Well laid and lined water pan
6	General management	a. Nutrition /Fertilization b. Weeding c. Watering /frequency	3hrs	6	Improved yields
7	Pest and diseases	a. Major pests and their control b. Major diseases and their control.	2hrs	7	Pest and disease-free products
8	Harvesting	a. Post-harvest practices b. Harvesting methods c. Grading and sorting	3hrs	8	Reduced post-harvest losses & increased marketability
9	Gross margin and Marketing of products and value addition	d. Markets and marketing. e. Upland arrowroots gross margin f. Value addition upland arrowroots	3hrs	9	Improved income
10	Governance by DSDO	a. Effective constitution b. Record keeping c. Community contribution tool d. Group dynamics	6Hrs	3Sessions	Cohesive CIGs

APPENDIX 6: 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 CountyDate/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 matching grants. 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 the County 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 complainantID/NOTel No
Relationship with the group.....Name of Group.....Date of the report
2. FDA.....
3. Sub –CountyCounty.....

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: _____ (CIG name)

Having signed the respective contract no.....On

___ / ___ / ___ to implement.....

Has on ___ / ___ / ___ completed the aforesaid project to the full satisfaction of all stakeholders as per the contract.

FDAC Chairperson

Name
ID/No
Signature
Date

WRUA/ CFA Chairperson

Name
ID/No
Signature
Date.....

Line Ministry/Agency

Name
Designation.....
ID/No
Signature
Date.....

Project Coordinating Team

Name
Designation.....
ID/No
Signature
Date.....

OF 4: Completion Certificate

 <p>REPUBLIC OF KENYA</p>	 <p>UPPER TANA NATURAL RESOURCES MANAGEMENT PROJECT UTANRMP</p> <p><i>Poverty Reduction through Sustainable NRM</i></p>	 <p>IFAD Investing in rural people</p>
<p>MINISTRY OF WATER AND IRRIGATION UPPER TANA NATURAL RESOURCES MANAGEMENT PROJECT (UTaNRMP)</p>		
<p>COMPLETION CERTIFICATE</p>		
<p>THIS IS TO CERTIFY THAT</p>		
<p>..... (NAME OF CIG)</p>		
<p>HAS SUCCESSFULLY COMPLETED IMPLEMENTATION OF PROJECT REF NO:..... FROM ----- TO -----</p>		
<p>IN FOCAL DEVELOPMENT AREA OF..... RIVER BASIN IN COUNTY</p>		
<p>..... PROJECT COORDINATOR UPPER TANA NATURAL RESOURCES MANAGE- MENT PROJECT (UTANRMP)</p>		<p>..... MANAGING DIRECTOR INDEPENDENT OVERSIGHT AGENT</p>
<p>SN:.....</p>		

PROJECT ACTIVITIES IMPLEMENTED

- 1.
- 2.
- 3.
- 4.

TOTAL FUNDING
UTANRMP (DONOR)
COMMUNITY CONTRIBUTION

OF 5: Terms of Reference for the Independent Oversight Agent

In line with the objectives and guidelines for the matching grants manual, the project will hire a consulting firm whose main tasks will include:

A: Preparatory Activities

- (a) Prepare an annual activity plan to be shared with PCT;
- (b) Adequately familiarize with the Project documents including Project Design Report, Project Implementation Manual and Matching Grants manual for common interest groups among other documents;

B: Appraisal -Desk and Field Verification

- a. Receive CIG proposals from the PCT and undertake desk review of the CIG proposals which includes screening, and review of the proposals as per the guidelines of the matching grants manual and rank them
- b. Conduct field verifications and appraisals for proposals that qualify in the desk review stage as per the matching grants manual within defined timeframe.
- c. Ensure the selected projects not only address poverty reduction but are addressing environmental conservation.
- d. Ensure at least 1/3rd of the CIGs selected for funding belong to women, persons with disabilities, the youth and other vulnerable groups to enhance gender and social inclusion in project activities.
- e. Geo reference and map all the CIG activity sites to be funded;
- f. Give professional advice to the PCT on all proposals received and make recommendations for the proposals that qualify for funding with specific phases (implementation schedule) for funding after undertaking both the desk and field verification exercise;
- g. Prepare a phased implementation schedule for each of the qualifying CIG proposals to be funded- with clear activities and corresponding budgets.
- h. Undertake launch workshops for the winning CIGs to agree on the milestones and sign implementation and management agreement between PCT and CIG.

C: Monitoring and Capacity Building

- a. Conduct/carry out regular field visits to monitor implementation of the agreed milestones of the funded activities and make recommendations on actions required including subsequent phase funding;
- b. Undertake capacity building including technical, procurement and financial management to the CIGs during monitoring in liaison with relevant technical staff at the county /sub county and ward level;
- c. Undertake risk management to mitigate against project financial loss;
- d. Undertake field visits to ascertain CIG projects completion and recommend award of completion certificate.
- e. Develop and maintain a database on the status of all funded CIGs

D: Reporting

- a. Compile and share progress reports including status, quarterly, biannual, and annual reports among others on activities funded through the matching grant from PCT.
Develop a criteria for ranking the CIGs according to performance, compile and document the best three implemented CIG project per county in report (both hard and soft) or documentary
- b. County IOA representative to hold monthly meetings with CPFT Hold monthly meetings with PCT Ensure at least 1/3 of the funded groups report outcomes in the final report.
Compile lessons learnt and case studies with a view to enhancing knowledge management and enriching the matching grants manual; Assist CIGs to compute community contribution