

Isiolo County Adaptation Fund

VERSION 2 | JANUARY 2014

Procedure Manual

This manual accompanies the Constitutions of the
County and Ward Committees.



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Abbreviations

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| WAPC | - Ward Adaptation Planning Committee |
| CAPC | - County Adaptation Planning Committee |
| IIED | - International Institute or Environment and Development |
| NGO | - Non-Governmental Organisation |
| ICAF | - Isiolo County Adaptation Fund |
| PCV | - Petty Cash Voucher |

Quick Reference Guide

Recommending updates to this manual

This manual contains the procedures of the ICAF and is for use by WAPCs, CAPC, IIED, other donors and auditors. Updates to this manual may be requested by following the procedure outlined in the Introduction.

The Committee Journal and public accountability

The Committee Secretary will have custody of a Committee Journal to record all activities and decision of the committee. The Committee Secretary will be responsible for keeping it updated and safe. The Journal cannot be borrowed or physically removed from the Secretary's custody but is a public document that should be made available for members of the public to view and copy when requested (including community members, county government and any other actors).

Operational Fund

The Committees will have a limited annual budget for Operational Funds as stated in the contract with IIED. The Operational Fund pays only for expenses to travel to and hold meetings of the Committees

The Treasurer manages the two aspects of the Operational Fund:

- the Bank Account
- Petty Cash

The Treasurer must utilise four key documents to make and receive payments:

- Bank Cash Book
- Petty Cash Book
- Cash Receipt Book
- Petty Cash Voucher

The Treasurer must conduct two monthly reconciliations for the Operational Fund:

- a Bank Account reconciliation
- a Petty Cash Reconciliation

The Treasurer will monitor the bank account and request installments as needed, up to the total annual limit.

Project Fund

Project funds are set by the County Committee and awarded by IIED to the Committee by a grant. The funds are held in IIED's bank account and paid by IIED directly to Service Providers, as an 'agent' for the Committees. Even though the funds are held by IIED, IIED cannot make payments without the written authorisation of the WAPC.

There are nine steps to managing the Project Fund:

- Step 1: WAPC consults community and designs proposals;
- Step 2: WAPC writes Project Proposals and Budgets;
- Step 3: Proposal documents presented at Inter-Ward meeting;
- Step 4: Approval by CAPC and IIED;
- Step 5: WAPC finds and contracts Service Providers;
- Step 6: IIED approval and contracting of Service Providers;
- Step 7: WAPC monitors progress and directs IIED to make payments;
- Step 8: WAPC completes budget report and directs IIED to make final payment;
- Step 9: WAPC reports to IIED on fulfilment and impact.

The Treasurer and Secretary are responsible for four key types of documents:

- Project Budget
- Tender documents and quotes
- Service Provider Contracts
- Project Budget Control Report

Value for Money

Attention is given throughout this manual to obtaining value for money. Value for Money is about maximising the impact of money spent to improve people's lives. Generally, it can be said to be achieved where:

- The proposed projects (activities and goods created) are of the required standard obtained at the lowest possible cost
- Project outputs deliver effective and sustainable outcomes for the community

The various processes and checks applied in the procurement process are designed to ensure that consideration is given to obtaining Value for Money in decision making and implementing projects.

Asset Management

The Secretary will maintain an Asset Register for any durable equipment costing more than Ksh130,000.

All assets purchased by the Committees should have a clear plan for maintenance to ensure that the asset provides maximum benefit to the community over time. Portable assets should adhere to the 10 key principles of asset management set out in this manual (Section 5).

Introduction

Purpose of the Manual

- These procedures are necessary for WAPCs and CAPC to administer and disburse operational funds, design project proposals, procure and contract contractors and to report to donors on the use of ICAF funds
- The procedural roles (calling meetings, making decisions, etc.) are outlined in the Committee constitutions. Detailed procedures are provided here
- This manual contains two parts:
 - a) Finance procedures for the Operational Fund, which will be used solely to meet the expenses of attending and holding Committee meetings; and
 - b) Procedures for designing and monitoring projects to be funded from the Project Fund

Users of the manual will include:

- The WAPC and CAPC members who are all involved directly in the implementation of the project cycle, the collection and processing of financial data, procurement, contracting and who will ensure conformity to the laid down procedures
- The CAPC Secretariat in coordinating the activities of the project
- IIED in implementing and monitoring the work of WAPCs, CAPC and the CAPC Secretariat
- Auditors (Internal / External) in establishing compliance and suitability

Manual Review and Update

The manual shall be periodically reviewed and updated to take into account new developments. The process for updating the manual is:

- a) The CAPC Secretariat will note proposals on possible changes to the manual and process as provided for in 1.3 below.
- b) In consultation with the WAPCs and the CAPC, the CAPC Secretariat will submit recommended changes (that relate to financial management) to IIED for review and approval.
- c) Where proposed changes to the manual are urgent and critical with the aim of preventing fraud, correcting mismanagement, removing an illegality, correcting an inconsistency or as an adherence to an approved donor contract, the changes should be provisionally approved by the CAPC Secretariat, and in 30 days be submitted to IIED for approval and annexed to the manual.
- d) The revised manual will be distributed to all WAPCs and CAPC and other relevant staff/offices.

Chapter 1:

Roles and responsibilities, and recommending changes to the ICAF process and procedures

1.1 - Introduction

This section highlights the roles of the various Committees, officials and members, and the process by which ICAF Committee members can request changes to the manual or any other aspect of the ICAF process.

1.2 - Roles and responsibilities

1.2.1 - CAPC Secretariat

The roles of the CAPC Secretariat are:

- a) Monitoring of financial transactions of CAPC and WAPCs
- b) Financial management capacity review and development within the project
- c) Consolidation of financial reports for transmission to IIED and other users
- d) Other coordination of financial activities of the project
- e) The CAPC Secretariat shall also provide general advice to both the WAPCs and the CAPCs, including on: -
 - Proposal development;
 - Budgeting;
 - Procurement;
 - Accounting and Financial Reporting;
 - Follow up on the progress of work carried out by Service Providers or other third parties; and
 - Final project report on fulfilment and impact.

1.2.2 - WAPC and CAPC Members

The roles of all WAPC and CAPC Members are:

- a) Participate in budgeting and budget monitoring
- b) Participate in proposal development (and additionally, approval of WAPC proposals for CAPC Members)
- c) Participate in procurement and contracting
- d) Monitoring the work of Service Providers
- e) Approval of project payments during Committee meetings
- f) Discussion and approval of WAPC/CAPC financial reports during Committee meetings
- g) Recommending improvements to the operation of the financial and project cycle framework.

1.2.3 - WAPC and CAPC Chairperson

The roles of Committee chairpersons are:

- a) Chair all meeting of the Committee and sign all minutes of such meetings
- b) Approval of payments by being signatory for all cheque payments and petty cash payments (Signs all cheques, cheque payment vouchers and petty cash vouchers).
- c) Approve all bank and cash reconciliations.
- d) Approval of financial reports after authorisation by the Committee.
- e) Supervision of the finances of the Committee as the overall head of the Committee

1.2.4 - WAPC and CAPC Secretaries

The roles of Committee secretaries are:

- a) Be responsible for updating and keeping safe the Committee Journal.
- b) Approval of payments by being signatory for all cheque payments (Signs all cheques and cheque payment vouchers)
- c) Writing and safe custody of accurate minutes of all deliberations in Committee meetings.
- d) Is in charge of assets of the project and, prepares and maintains the Asset Register
- e) Signatory to the above minutes

1.2.5 - WAPC and CAPC Treasurer

The roles of Committee treasurers are:

- a) Preparation and safe custody of all books of account (Petty Cash Book and the Bank Cash Book) and the cheque book.
- b) Approval of payments by being signatory for all cheque payments and petty cash payments (Signs all cheques, cheque payment vouchers and petty cash vouchers)
- c) In charge of petty cash (payment and safe custody of the cash)
- d) Advises Committee and participates in preparation of budgets
- e) Disseminates to members all financial information of the project
- f) Preparation and presentation of financial reports to the Committee,
- g) Presentation of finance reports to CAPC and other users after authorisation of the Committee and approval of the Chair Person.

1.2.6 - Service Providers

'Service Provider' refers to anyone contracted by the WAPC to implement the projects under the Fund.

1.2.7 - Technical Specialist

A 'Technical Specialist' refers to anyone who is engaged to assist with the design of proposals and Bills of Quantities, and during the tender and/or monitoring process.

1.3 - Recommending changes to the ICAF process and procedures

Members of Committees may request changes to any part of the ICAF process, including procedures on documentation, operational funds and the project cycle. IIED, as the donors ultimately responsible for the funds, will need to approve any changes relating to financial management and accountability, and may request the opinion of independent experts as necessary. To suggest changes, follow these steps:

- a) The Committee should send to the CAPC Secretariat a written recommendation, or the ICAF Secretariat can receive the recommendation verbally and record it in details. The recommendation should contain the following criteria:
 - The specific rule or procedure that the recommendation relates to, with reference to the relevant part of this Procedure Manual if relevant
 - An explanation of why the procedure should be changed with reference to specific events or examples
 - The alternative arrangement recommended by the Committee
- b) The CAPC Secretariat should present the recommendation at the next meeting of the CAPC, and advise on whether the recommendation would require IIED approval (e.g. if it relates to financial management and accountability).
- c) The CAPC should consider the recommendation and provide written approval where it accepts the recommendation.
- d) The CAPC Secretariat should advise the Ward Committees and IIED of the change.
- e) Where necessary, the CAPC Secretariat will make the relevant changes to the ICAF Manual and a new copy of the manual will be provided to committees.

Chapter 2:

The 'committee journal' and public accountability

Writing and storing written and visual documentation (i.e. photos) is integral to the success of the ICAF process. The benefits of good documentation include:

- Transparency of committee decisions and activities, and accountability to the community, County Government and sub-county actors;
- Building of lessons learned and developing good practice on devolved planning and finance; and
- Demonstrating due diligence and value for money to funders (including government actors and donors)

'Minuting' is the process of writing down and storing the details and decisions from a meeting or discussion. Minutes can be for formal meetings (for example the proceedings of meetings of the WAPCs and CAPC) as well as informal discussion and interactions (for example, discussions with service providers or other members of the community). For the ICAF project cycle, the key times for minute-taking are:

- During community consultation
- Any formal meetings of the committee, including tender evaluations and inter-ward meetings
- Negotiations with service providers
- Discussions with service providers during the implementation of projects
- During informal and formal monitoring of projects

Each of the Committees will be provided with a bound and durable book, the Committee Journal. The Committee Secretary will have custody of the Journal and will be responsible for keeping it updated and safe. The Journal cannot be borrowed or physically removed from the Secretary's custody but is a public document that should be made available for members of the public to view and copy when requested (including community members, county government and any other actors). There are three parts to minute taking for which the Committee Secretary is responsible, and the process of making the documents available to the community.

2.1 - Taking minutes in the Journal

To take the minutes of a meeting or discussion, follow these steps:

- a) Draw a line under the last entry in the Journal
- b) Write the time, date and location
- c) Write a short explanatory title for the meeting (for example, discussion with Service Provider X, or Consultation with X Community)
- d) Write the names of who is attending the meeting
- e) Write a brief explanation of what was talked about (for example, an agenda)
- f) Write any conclusions that were agreed on, or decisions that were made
- g) Write any 'action points' from the meeting (for example, things that need to be done next)

2.2 - Approving minutes in the Journal

The Journal should be presented at each formal meeting of the Committee and the Committee should review and approve the minutes. To do this, follow these steps:

- a) The Secretary should present to the rest of the Committee the minutes recorded since the last time the Committee approved the minutes. This could be done by either letting Committee members read the Journal or the one of the Committee Members could read the minutes aloud.
- b) The Committee should vote on whether the minutes provide an accurate record of proceedings.
- c) Where amendments to the minutes are made, the Secretary should:
 - i. draw a line under the last entry of the journal and write an explanation of the amendments, referencing the date of the previous entry being amended;
 - ii. write a note next to the previous entry being amended to indicate that it has been updated.
- d) The approval of the minutes should be recorded in the Journal itself, and the Committee Chair, Treasurer and one other member should sign to approve the minutes.

2.3 - Copying and storing the Journal

The Committee Secretary should regularly photocopy new entries to the Journal and send copies to the CAPC Secretariat. The Committee Secretary should keep the Journal in a safe place, free from moisture or anything that will damage the document (e.g. a ring binder in a filing cabinet).

2.4 - Making the Journal publicly available

The Journal is a public document and should be made available to the public when requested. The Journal cannot be borrowed or physically removed from the Secretary's custody but the Committee is obliged to allow members of the public to view the journal, and to allow members of the public to photocopy any part of the Journal. The Committee should pay for photocopying costs, where reasonable. Members of the public may also send requests directly to the CAPC Secretariat for copies of the Journal minutes sent to and stored by the CAPC Secretariat.

2.5 - Other accountability measures

In addition to the Committee Journal, the CAPC may agree to implement other accountability measures, such as Committee Officials presenting on and receiving feedback through public radio broadcasts and barazas.

2.6 - Complaints process

Where community members have a formal complaint against the conduct of the Committee, one of its members or any organisation involved in the ICAF process there are two avenues for complaint.

2.6.1 - Addressing public complaints with Ward committees directly

Where the complainant wishes to address their complaint directly with the WAPC, the process is as follows:

- a) The complainant should notify the Committee Secretary that they wish to present a complainant.
- b) The complainant should be given an opportunity to present their complaint in either written or verbal form to a meeting of the WAPC. The complaint should include the following information:
 - Contact details in case any clarification or explanation is required relating to the complaint
 - If the complaint is in relation to particular person or organisation, identify the focus of the complaint
 - Explain the complaint with reference to particular events, providing as much information as possible, including any documentary evidence or witnesses, so that the complaint is properly understood and verified
- c) Committee members should be given an opportunity to ask clarifying comments from the complainant.
- d) The Committee should consider the complaint and may vote to consider the matter in private.
- e) The Committee should publicly present their response to the complainant, along with any rectifying actions.
- f) The Committee Secretary should document the meeting and its outcome in the Committee Journal.
- g) Where the complainant is not satisfied, they may lodge a complaint with the County Committee (see below).

2.6.2 - Addressing public complaints by appealing to the County Committee

Complainants may appeal to the County Committee directly where they do not wish to present their complaint directly to the Ward committee or where they are not satisfied with a Ward Committee's response to a complaint. The process is as follows:

- a) The complainant should contact the CAPC Secretariat to notify them that they wish to present a complaint.
- b) The complainant should submit their complaint in writing to the CAPC Secretariat. Where this is not possible, the complainant should make their complaint verbally and the CAPC Secretariat should document the complaint in detail. The complaint should include the following information:
 - Contact details in case any clarification or explanation is required relating to the complaint
 - If the complaint is in relation to particular person or organisation, identify the focus of the complaint
 - Explain the complaint with reference to particular events, providing as much information as possible, including any documentary evidence or witnesses, so that the complaint is properly understood and verified
- c) The CAPC Secretariat should immediately forward the complaint to the CAPC Chairperson and IIED.
- d) At the next meeting of the County Committee, the complaint should be presented and considered by the County Committee. The Committee may vote to consider the matter in private.
- e) The County Committee should publicly present their response to the complainant, along with any rectifying actions.
- f) The CAPC Secretariat should document the response to the complaint and send a written response to the complainant and IIED.
- g) Where the complainant is not satisfied by the response of the County Committee, the complainant may seek other legal recourse.

2.6.3 - County Committee monitoring of complaints

The County Committee should have a standing agenda item where Ward representatives report any complaints considered by the Wards and any actions taken to satisfy the complaint.

2.6.4 - Informing the public of accountability and complaints processes

The WAPCs should agree and undertake measures to inform the public of the Committee Journal process and the formal complaint process.

Likewise, the CAPC Secretariat and CAPC Chairman should identify specific measures on how to ensure that communities and other actors are sufficiently informed of the Committee Journal process and the formal complaint process.

Chapter 3:

Operational fund financial procedures

3.1 - Introduction and difference between Operational and Project funds

Committees are awarded two separate types of funds:

- Operational Funds: this is a smaller sum of money, set by the County Committee and awarded by IIED to the Committee by a grant, sent directly to the Committee's bank accounts to cover travel and the expenses of holding meetings of the Committee
- Project Funds: project funds are larger sums of money, set by the County Committee and awarded by IIED to the Committee by a grant, that are held in IIED's bank account and paid by IIED directly to Service Providers, as an 'agent' for the Committees. Even though the funds are held by IIED, IIED cannot make payments without the written authorisation of the WAPC – control of the funds lies solely with the Committees

Project funds cannot be paid to WAPCs directly. The reasons for this are:

- In the initial stages of the ICAF, it strengthens the fundraising potential of the Committees by enabling them to cite to potential donors the use of IIED's well-established and vetted finance systems;
- It reduces the administrative burden on Committees by allowing the detailed high-level financial report to be produced by IIED's already-established accounting systems;
- It minimises the costs of setting up a sophisticated accounting system for each of the Committees, which would be made redundant when the ICAF is integrated with government structures. The Committees are essentially planning bodies, established with the aim of being integrated into government. In such a case the planning bodies themselves are unlikely to manage funds, which would instead be managed by the government's established financial system. IIED currently carries out this function as an interim measure and minimises costs in doing so

The procedures in this chapter of the manual apply to the Operational Fund. Procedures on the Project Fund are detailed in Chapter 4.

3.2 - How to distinguish between Operational and Project Funds

A simple question to distinguish between whether a cost should be paid from Operational or Project funds is: is the cost for a member of the Committee while conducting part of the project cycle?

If the answer is yes, then it should be paid from Operational Funds. All other costs, including any costs for anyone not on the Committee, should be paid from Project Funds following approval from the Committee.

3.3 - Types of transactions and documents for managing Operational Fund

There will be two types of transactions under the Operational Fund:

- a) Bank Transactions
- b) Cash Transactions (Petty Cash)

There are four key documents associated with the Operational Fund

- a) Bank Cash Book
- b) Petty Cash Book
- c) Cash Receipt Book
- d) Petty Cash Voucher

3.4 - 'Bank Cash Book' and the 'Petty Cash Book'

The Bank Cash Book and Petty Cash Book are used to record all the individual transactions in the bank account and petty cash. An example of a cash book is at Table 1.

Table 1: Sample Bank and Petty Cash Book

| Date | Description | Receipt Number | Payments (IN) | Payments (OUT) | Balance | Signature Treasurer | Signature Secretary | Signature Chairperson |
|--------------|-------------|----------------|---------------|----------------|---------|---------------------|---------------------|-----------------------|
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| Total | | | | | | | | |

The columns on this book are:

- **Date:** enter the date of the transaction
- **Description:** Describe as clearly as possible the reason for the received or paid amount, the person being paid to, and the project or meeting to which it relates
- **Receipt Number:** Indicate the document number that provides evidence of the transaction. A Cheque number for bank payments, a Petty Cash Voucher number for petty cash payments and a receipt number for amounts received
- **Payments (IN):** this is the column where you enter all receipts or deposits or interest (money in)
- **Payments (OUT):** this is the column where you enter all payment, withdrawals or bank charges (money out)
- **Balance:** this is the column that shows balance in the bank or petty cash after each transaction is recorded. It is calculated every time a transaction is entered in the Cash Book.
- **Signature Treasurer:** the signature of the Treasurer approving payments
- **Signature Secretary:** the signature of the Secretary approving payments
- **Signature Chairperson:** the signature of the Chairperson approving payments

3.5 - Bank Account Transactions

3.5.1 - The bank account

Each Committee will operate a bank account for the Operational Fund. Only the Chairperson, Secretary and Treasurer shall be signatories to the account.

3.5.2 - Receiving deposits, bank transfers or cheque payments “IN” to the bank account

Follow these steps to receive a deposit into the bank account

- The preferred method of receiving money into the bank account is by direct bank deposit, either electronically or in person. In such cases, the Treasurer shall obtain a hardcopy of the deposit notice or bank statement.
- If the deposit is in the form of a cheque, the Treasurer shall receive cheque from the payer and shall complete a receipt from the Cash Receipt Book.
- The Treasurer will then record the payment as an “IN” the Bank Cash Book.
- The Treasurer will then file the documents in chronological order.

3.5.3 - Authorising and paying “OUT” cheques or cash from the bank account

Follow these steps to make a payment from the bank account:

- a) The Treasurer must check the budget to ensure that the proposed expenditure is within budget and adheres to the expenses policy at Appendix I (see page. 34).
- b) If the withdrawal is for Petty Cash, skip to step (f) below. If the payment is a bank transfer to another account or business, proceed to step (c).
- c) For any purchase below Ksh50, 000, only one quote is needed. For any purchase of Ksh50, 000 multiple quotes must be sought in accordance with the Procurement Procedures in Chapter 4 (see page. 26).
- d) The Treasurer must check that the payee can provide a supporting document (e.g. invoices, receipts, signed contract etc. as applicable).
- e) The Treasurer will record the name, signature, ID number and telephone number of the payee on the supporting document, or another piece of paper.
- f) The Treasurer shall then enter the payment details in the Bank Cash Book.
- g) The Secretary and Chairperson will then check the supporting documents and, if satisfied, approve the payment by signing the Bank Cash Book.
- h) If the transaction is a cheque, the Treasurer will then write the cheque to the Payee, and the Treasurer, Chairperson and Secretary will all sign the cheque.

Note: No alterations shall be made on the cheques whatsoever. In case of mistakes, errors or other causes, it must be cancelled and reasons for the cancellation indicated on the face of the cancelled cheques. This shall then be filed alongside the other cheque counterfoils in its order. They shall not be discarded. If the transaction is a cash withdrawal, the treasurer will proceed to the bank to withdraw the cash.

- i) The Treasurer will then file the supporting documents and the contact details of the payee in a file in chronological order.

3.5.4 - Monthly reconciliation of the Bank Cash Book with bank statements

At the beginning of each month, the Treasurer should start a new page in the Bank Cash Book, and check the Bank Cash Book transactions of the previous month against the monthly statement from the bank. This is to ensure that the records maintained by the bank agree with the records maintained by the Committee.

Follow these steps to prepare a bank reconciliation:

- a) The Treasurer will get a copy of the bank statements for that month.
- b) The Treasurer will then compare the ‘IN’ and ‘OUT’ columns of the Bank Cash Book with the transactions on the statement.
- c) The Treasurer will then compare the closing balance on the bank statement with the Bank Cash Book balance at that date.
- d) If the amounts are not the same, the Treasurer will investigate the cause. Possible discrepancies are:
 - i. Deposits or withdrawals that have not yet appeared on the statement.
 - ii. Bank charges
 - iii. Bank interest
- e) The Treasurer will seek corrections from the bank or make changes to the Bank Cash Book. If the Treasurer needs to make a change to the Bank Cash Book, both the Secretary and the Chairperson must sign next to the change.

Note: At the end, the two balances MUST agree. Once the amounts and transactions on the statement and the Bank Cash Book are the same, the Treasurer should write the word ‘reconciled’ the last line for that month, in the far right hand column of the Bank Cash Book, and the Chairperson and Secretary should sign.

- f) Monthly reconciliations must be submitted to CAPC Secretariat.

3.6.2 - Receiving cash payments “IN” to petty cash

Follow these steps to receive cash:

- The Treasurer shall withdraw cash from the bank or receive a cheque from a payer and shall complete a receipt from the Cash Receipt Book.
- The Treasurer will then record the payment as an “IN” the Petty Cash Book.
- The Treasurer will then file the documents in chronological order.

3.6.3 - Authorising and paying “OUT” cash from petty cash

Follow these steps to make a payment from petty cash:

- The Treasurer must check the budget to ensure that the activity/service/good being paid for is within budget and adheres to the expenses policy at Appendix I.
- For any purchase below Ksh50,000, only one quote is needed. For any purchase of Ksh50, 000 multiple quotes must be sought in accordance with the Procurement Procedures in Chapter 4.
- If the payment is reimbursement for expenses, the Treasurer must check that the payee has provided a supporting document (e.g. invoices, receipts, signed contract etc. as applicable).

Note: Where there are no receipts to support payment, the spending member/payee must record this on the Petty Cash Voucher along with all details of expenditure. Such payments must adhere to the expense policy at Appendix I. An example is below.

Example of Petty Cash Voucher where no receipts are available

| Petty Cash Voucher | | Date |
|--|--------------|-------------|
| | | 25/02/2013 |
| For what required | Amount (Ksh) | |
| [INSERT FULL NAME] | | |
| CAPC Meeting Isiolo 25/02/2013 (No receipt because private travel) | | |
| Travel from Kinna to Isiolo | 1500 | |
| Travel from Isiolo to Kinna | 1500 | |
| | | |
| | TOTAL | 3000 |
| Signature: [SIGNATURE OF RECIPIENT] | | |
| Passed by:[NAME OF TREASURER] | | |

- If the payment being made is an advance, the Treasurer must record this in the description column of the **Petty Cash Book** (see below).
- The Treasurer will record the name, signature, ID number and telephone number of the payee on the supporting document, or another piece of paper.
- The Treasurer shall then enter the payment details in the **Petty Cash Book**.
- The Chairperson will then check the supporting documents and, if satisfied, approve the payment by signing the **Petty Cash Book**.
- The Treasurer will then file the documents in chronological order.
- If the payments is an advance, the Treasurer must follow up with the payee and ensure that the payee provides receipts for expenditure and returns any unspent cash (see next section). Receipts for advances should be noted in the **Petty Cash Book** and documents should be filed.

3.6.4 - Monthly reconciliation of the Petty Cash Book with bank statements

Each month the Treasurer should check that the actual cash available in the cash is the same as the balance in the Petty Cash Book.

Follow these steps to prepare a cash reconciliation:

- The Treasurer should count the cash in the petty cash.
- The Treasurer should compare the balance of the petty cash to the balance in the Petty Cash Book.
- If the amounts are not the same, the Treasurer will investigate the cause.
- If the Treasurer needs to make a change to the Bank Cash Book, the Treasurer, the Secretary and the Chairperson must sign.

Note: At the end, the two balance MUST agree.

- If the amounts are the same, the Treasurer should write the word 'reconciled' next to the last line in the far right hand column of the Petty Cash Book, and the Chairperson should sign.
- Monthly reconciliations must be submitted to CAPC Secretariat.

3.6.5 - Petty Cash Book illustration

Below is an example of a Petty Cash Book using a Case of Bamboo Ward Committee for the month of January, 2013:

- At the beginning of the month of January, 2013, there was no balance in their petty cash.
- On 9th January, 2013 they withdrew from the bank, cash of Kshs. 10,000/= for their petty cash and the Treasurer wrote receipt no 0001 from the Cash Receipt Book. On 26th January, 2013 they paid Kshs. 6,500/= to Ulinzi Hotel. The Treasurer prepared a Petty Cash Voucher No. 002 to recognize the transaction.
- On 27th January, 2013, they paid Kshs 2,500/= to Sericho buses using Petty Cash Voucher no 003.
- There were no other financial transactions relating to petty cash in that month.

Bamboo Ward Committee Petty Cash Book – ICAF Fund

| Date | Description | Reference Number | Amount Received (Kshs) | Amount Paid (Kshs) | Balance (Kshs) |
|--------------|--|------------------|------------------------|--------------------|----------------|
| 09/01/2013 | Cash Withdrawal | RCT0001 | 10,000 | 0 | 10,000 |
| 26/01/2013 | Ulinzi Stationers – Purchase of Stationery | RCT0002 | 0 | 6,500 | 3,500 |
| 27/01/2013 | Sericho Hardware – Payment for cement (Sericho Borehole) | CHQ 0002 | 0 | 2,500 | 1,000 |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| TOTAL | | | 10,000 | 30,000 | 220,000 |

3.7 - Reporting expenditure and requesting an instalment for Operational funds

The Committees will have a limited annual budget for Operational Funds as stated in the contract with IIED. IIED will disburse funds as requested by the Committees after submission of an Operational Grant Report.

Follow these steps to request an instalment from IIED:

- a) The Treasurer will monitor the bank balance and alert the Chairperson and Secretary when an additional instalment is needed.
- b) The Treasurer will submit to the CAPC Secretariat three items:
 - i. a copy of the latest bank statement
 - ii. copies of the pages from the Bank Cash Book and the Petty Cash Book since the last fund requests.
 - iii. the original receipts, invoice and petty cash voices for all expenditure since the last instalment.

Note: The Treasurer should make copies of the receipts to keep on file.

- iv. a request for the next instalment of Ksh200,000 signed by the Secretary, Chairperson and Treasurer.

Note: No single instalment can exceed Ksh200, 000.

- c) The CAPC Secretariat will submit the request to IIED for payment.

Note: It may take up to three weeks for IIED to pay an instalment so Committees will need to request funds in advance.

3.8 - Requesting additional allocations for operational funds or changes to the expense policy

Due to the variability of WAPC activities and projects, and seasonal conditions, the level of operational funds required by Committees may vary. Follow these steps if a Committee believes it requires additional operational funds or a change to the expense policy:

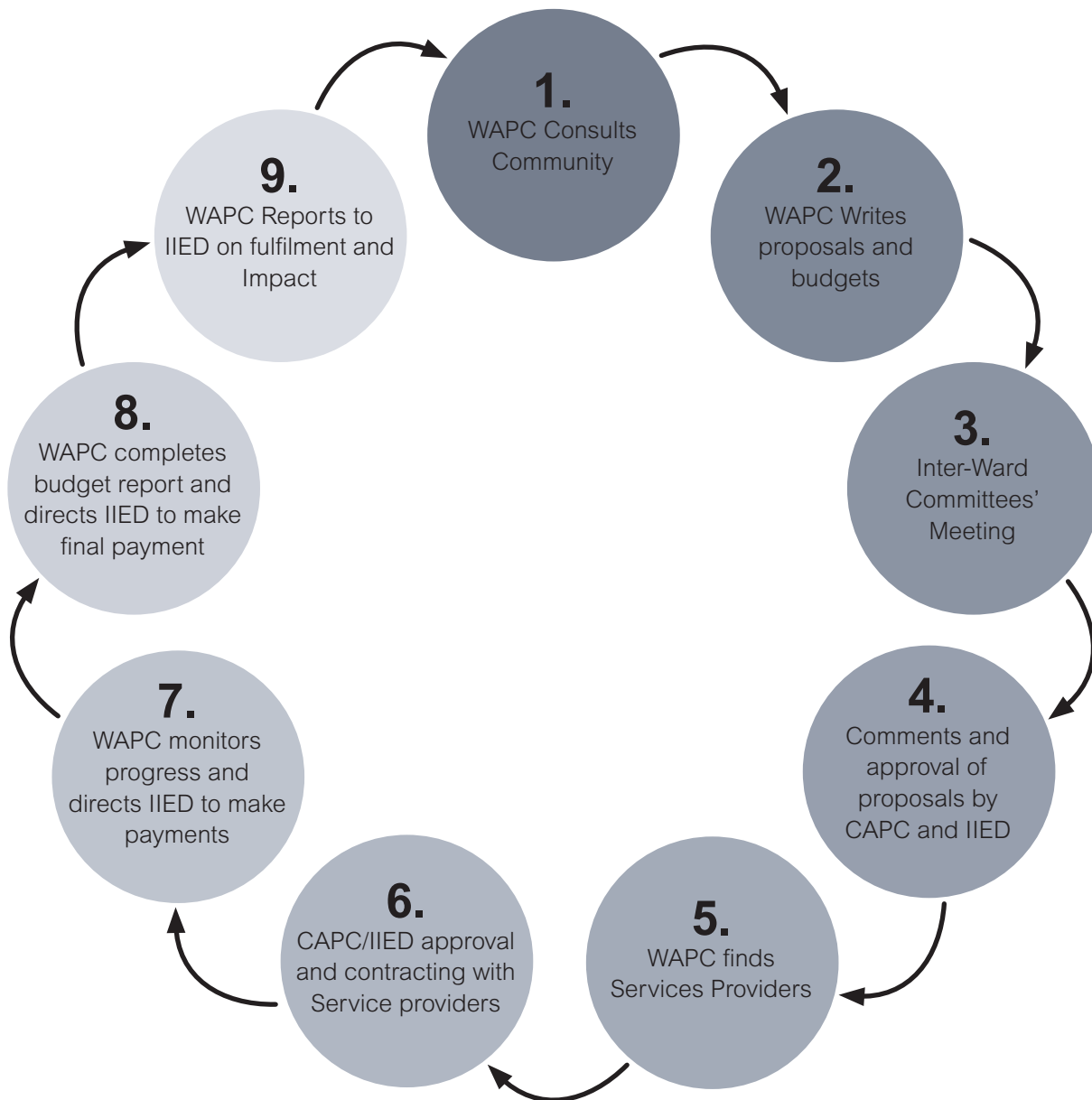
- a) The Committee will make a written request to the CAPC for the increased operational funds or changes to the expense policy. The request should include the following:
 - The reason additional funds are needed and description of how they will be spent
 - A demonstration of how the amount requested was calculated
- b) The request should be signed by the Chair and Treasurer of the Committee and sent to the CAPC Secretariat.
- c) The CAPC will consider the request paying attention to the validity of the request and the amount of funds available to ICAF, and will vote to approve or not approve the request. The result of the vote should be recorded in the CAPC meeting minutes.
- d) The CAPC Secretariat will communicate to IIED and WAPCs the results of the vote.
- e) If the additional funding is approved, the WAPC may make a request for an additional payment by following the steps at Section 3.5.

Chapter 4:

Project Fundfinancial Management and Procurement

4.1 - The ProjectCycle

The Climate Adaptation Fund Project Cycle involves a series of nine stages as charted below: -



These nine stages in the cycle are further described in the following table;

Table 2 - Tools, Responsibilities and Documentation for each Stage

| Stage in the Cycle | Tools | Responsibilities | Records/ Documentation/ Notes |
|--|--|---|---|
| 1. WAPC consults community and designs proposals | <ul style="list-style-type: none"> • Meetings with communities • Meetings with government officer and representatives • Resilience assessments • Resource maps • Seasonal Forecasts • Any other relevant reports | <ul style="list-style-type: none"> • WAPC | <ul style="list-style-type: none"> • Written record of consultations |
| 2. WAPC writes proposals and draws budgets | <ul style="list-style-type: none"> • Proposal Guidelines • Proposal self-assessment checklist • Criteria for funding guidelines • Support from government technical officers, NGOs | <ul style="list-style-type: none"> • WAPC | <ul style="list-style-type: none"> • Proposal, budget and written record of meetings. |
| 3. Inter-Ward meeting | <ul style="list-style-type: none"> • Community Workshop | <ul style="list-style-type: none"> • CAPC to organize and WAPC to take part | <ul style="list-style-type: none"> • Record of meeting |
| 4. Comments and approval by CAPC and IIED | <ul style="list-style-type: none"> • CAPC meeting • CAPC Approval form • Criteria for funding guidelines • Proposal | <ul style="list-style-type: none"> • WAPC submits final proposal • CAPC reviews • IIED reviews | <ul style="list-style-type: none"> • Records of meetings • Written CAPC and IIED approvals. |
| 5. WAPC find Service Providers | <ul style="list-style-type: none"> • Call for Proposals • Bid analysis form • Recommendation | <ul style="list-style-type: none"> • WAPC carries out evaluation process and recommendation | <ul style="list-style-type: none"> • Quotes • Meeting minutes • Written Committee recommendation |
| 6. IIED approval and contracting with Service Providers | <ul style="list-style-type: none"> • Service Provider contract • Initial payment under contract | <ul style="list-style-type: none"> • WAPC Secretary drafts contract • CAPC secretary seeks IIED approval | <ul style="list-style-type: none"> • Quotes • Written Committee recommendation • Service Provider contract • Invoices |
| 7. WAPC monitors progress of Service Providers and directs IIED to make payments | <ul style="list-style-type: none"> • Community monitoring • WAPC and CAPC meetings and field visits • Government monitoring meetings and field visits • Meetings and field visits, by independent evaluators | <ul style="list-style-type: none"> • WAPC. and ICAF Secretariat implement monitoring plan • CAPC conducts monitoring IIED payment | <ul style="list-style-type: none"> • Record of field visits, Service Provider Progress report, auditors' reports |
| 8. WAPC completes final project and budget report and directs IIED to make final payment | <ul style="list-style-type: none"> • Final evaluation inspections • Budget Control Report | <ul style="list-style-type: none"> • Service Provider sends invoices. • WAPC completes Budget Control report. • IIED payment | <ul style="list-style-type: none"> • Final project reports • Budget Control Reports • Progress reports |
| 9. WAPC reports to IIED on fulfilment and impact | <ul style="list-style-type: none"> • Fulfilment report • Independent Completion Evaluation | <ul style="list-style-type: none"> • WAPC reports to CAPC | <ul style="list-style-type: none"> • Fulfilment report |

4.2 - Step 1: WAPC consults community and designs proposals.

For consultation with the community, follow these steps:

- a) Committee members consult the community and government officers, and use the climate resilience assessments and resource mapping, to find possible projects for funding.
- b) The Secretary keeps a written record of all consultations and meetings.

4.3 - Step 2: WAPC writes proposals and budgets

4.3.1 - Writing a draft proposal

The Committee should follow the instructions in the 'ICAF Proposal Template'(Appendix II) to write its proposal. The proposals must:

- follow the Proposal Guidelines (see Box 1 below)
- meet the CAPC Approval Criteria (see Box 2 below)
- have a written record of the community consultation attached to the proposal
- refer to any technical documents by name
- include a clear 'project implementation plan' identifying which actors will implement each part of the project, including implementation of activities and management/receipt of funds
- include a clear project monitoring plan and indicators

Box 1. Proposal Guidelines

1. Explain the problem that project will address
2. Describe project activities and how they meet the funding criteria
3. Explain the results, benefits or changes you expect the project to achieve
4. How will you measure whether you have achieved your results?
5. Explain approximately how many people will benefit from this project
6. How much will the project cost?(Budget breakdown by activity)

Box 2. Approval Criteria

1. Must benefit many people
2. Must support economy, livelihoods or important services on which most people depend
3. Must be relevant to building resilience to climate change
4. Must encourage harmony, build relations and understanding
5. Must have been developed after consultation with all potential stakeholders
6. Must be viable, achievable and sustainable
7. Must be cost-effective and give good value for money

4.3.2 - Review by Technical Specialist, development of bills of quantities and estimate of project cost

After writing the draft proposal – and the Committee should have their proposal reviewed by a Technical Specialist¹ to do f things: 1) advise on the design and implementation plan, including health and safety issues; 2) to develop an accurate bill of quantities² (BQ); and 3) help estimate the cost of the project.

The Committee should follow these steps:

- a) The Committee should agree with the CAPC Secretariat on a suitable Technical Specialist to assist with the proposal.

Note: The first preference is for the Technical Specialist to be a technical officer with County Government, otherwise a private specialist may be engaged.

- b) Where there are costs to engage a Technical Specialist, the Committee should ask for a quote and may **fund this from the WAPCs project budget**³. To engage the Technical Specialist, the Committee should complete the 'Technical Services sub-contract' at Appendix III and send the signed contract along with an invoice to the CAPC Secretariat.

Note: Where the specialist is a salaried officer of County Government, the WAPC should only pay for expenses. Salaried County Government Officers should not be paid any fees.

- c) The Committee should consider the comments of the Technical Specialist and include the Bill of Quantities in the proposal.

4.3.3 - Budgeting

Next, the Committee should develop a high-level indicative budget including all project costs, all Technical Specialist costs (including any costs already incurred in proposal design) and any Technical Specialist monitoring costs.

To make a budget, follow these steps (see Table 3 for an example):

- a) Based on the BQ developed by the Technical Specialist, list the types of activities and resources needed to complete the project in the activity column. To do this, information should be gathered from one or several of these sources:-
- Quotes from possible Service Providers
 - Other previous recipients of similar services
 - Checking at credible shops and supermarkets
 - Consultation with relevant government offices, NGOs and other organizations with similar interests.
 - Invitation of an expert in a certain field during your planning and budgeting meetings

Note: No 'contingency' should be provided for in the budget. All activities should have costs attached to them.

- b) Include in the activity column the costs of specialists for the development of the proposal and design of BQ (even if already incurred).
- c) Include in the activity column the costs of any Technical Specialists for monitoring (e.g. Quantity Surveyors)
- d) For each activity enter the total cost in the KSh 'Total' column.
- e) For each activity enter the explanation of how the figure was calculated in the 'Explanation' column.
- f) Where the cost is based on a quote or BQ, this should be attached to the proposal.

Note: It is highly important to include a detailed explanation of how the total was calculated, so that the CAPC and IIED can see and calculate it for themselves. Unclear explanations may result in additional questions from CAPC/IIED and may delay approval of the proposal.

Table 3: Sample Budget

| Bibi Water Plan Budget for Desiltation | | |
|---|---------------------|---|
| Activity | Total (Kshs) | Explanation |
| Project Costs | | |
| Fencing materials | 50,000 | Based on BQ |
| Desilting | 400,000 | Based on BQ |
| Inlet / Outlet Repair | 50,000 | Based on BQ |
| Repair of trough | 100,000 | Based on BQ |
| Fencing | 100,000 | 20 casuals for 10 days, based on past project |
| Official Opening / Launch | 50,000 | 100 people, based on quote from business |
| TOTAL | 750,000 | |

Budget Notes

1. Fencing (Code 1.6) shall be done using a combination of live hedge and barbed wire

¹ A technical specialist is someone who is qualified – though a recognised professional body - to give an informed and independent opinion about a technical issue

² A Bill of Quantities is a document used in the construction industry which materials, parts, and labour (and their costs) are itemized.

³ Where a Technical specialist has been engaged in good faith using proper procedures, the cost will be refunded by the CAPC, even if the project proposal may be rejected or delayed.

4.4 - Step 3: Proposal documents presented at Inter-Ward meeting

The CAPC Secretariat will organise an inter-ward meeting to discuss and refine the proposals. The Inter-Ward meeting should review proposals and check each proposal against the 'self-assessment checklist' at Appendix IV.

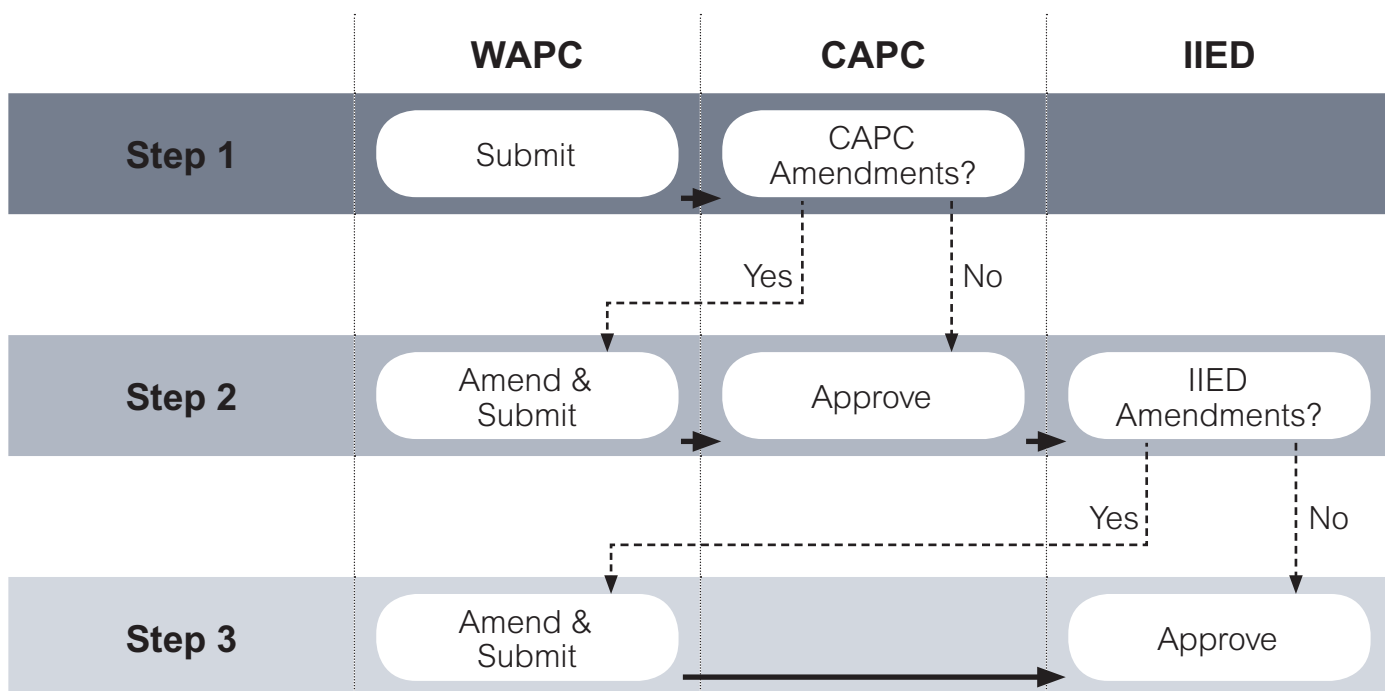
The CAPC Secretariat will take a written record of the meeting

4.4.1 - Finalising proposal

After the Committee has amended the proposal with comments from the Inter-Ward meeting the Committee should meet to complete the final version of the 'self-assessment checklist' at the front of the ICAF Proposal Template as a reflective exercise and to ensure that all criteria have been met.

4.5 - Step 4: Comments and approval by CAPC and IIED

The approval by CAPC and IIED follows three steps in accordance with the following diagram. The Committees may receive two rounds of comments on their proposals (one from the CAPC and one from IIED) before submitting a final proposal for approval.



In detail, the approval process follows these steps:

- After the proposal is approved by the WAPC, the WAPC will send an electronic copy to the CAPC Secretariat.
- At the next CAPC meeting, the Ward representative will present the proposal to the rest of the CAPC.
- The CAPC will consider if the proposal should be endorsed based on the Criteria for Funding by completing the 'CAPC Approval Checklist' (See Appendix V). Approvals should be signed off by the CAPC Chairperson
- Where the CAPC asks for amendments, the WAPC will edit the proposal and resubmit to the CAPC Secretariat.
- The CAPC Chairperson will consider if the amendments are sufficient, and if satisfied, will sign the final section on the 'CAPC Approval Checklist'.
- The CAPC Secretariat will send the proposal with the 'CAPC Approval Checklist' to IIED by email.
- IIED will consider the proposal and call a meeting between IIED and the CAPC Secretariat.
- IIED will provide all comments at the meeting which will be noted by the CAPC Secretariat in the 'IIED Approval Form' (See Appendix VI).
- The CAPC Secretariat will send any comments to the WAPC, after which the WAPC will edit the proposal and resubmit to the CAPC Secretariat.
- IIED will consider if the changes have been made and, if satisfied, will provide final approval by signing the 'IIED Approval Form'.
- The CAPC Secretariat will then advise the WAPC that the proposal has been approved.

4.6 - Step 5: WAPC finds and contracts Service Providers

4.6.1 - Advertising tenders and receiving bids

The Committee must get quotes for a company or organisation (a Service Provider) to implement the project by sending out a Call for Proposal notice. Bigger projects will require a greater number of quotes as per Table 5.

Table 5: Procurement Thresholds

| Cost of Good/Service (Kshs) | Number of Minimum Quotations | Approach to Seeking Quotation |
|-----------------------------|------------------------------|---|
| 1 – 49,999 | 1 | Direct purchase (single sourcing) |
| 50,000 – 99,999 | 2 | Targeted invitations to already known or new suppliers, not widely circulated |
| 100,000 – 249,999 | 3 | Targeted invitations to already known or new suppliers, not widely circulated |
| 250,000 – 499,999 | 4 | Targeted invitations to already known or new suppliers, widely circulated |
| 500,000 – and Above | At least 5, where possible | Open Tender, widely circulated |

Follow these steps to find supplier with a Call for Proposal (a 'Service Provider'):

- a) The Committee should discuss possible Service Providers and agree on how to get quotes. The Secretary should take a record of the discussion.
- b) The Committee should write a Call for Proposal and Tender invitation using the templates at Appendix VII.
- c) The Call for Proposal should be publicised in order to get the required number of quotes. Possible advertising methods include:
 - Posters in the market, shops, public halls and recreational centres
 - Radio
 - Public / Chief's "barazas"
 - Relevant National Government offices
 - Provincial Administration Offices
 - County Government Offices
 - Other Relevant NGOs' offices
 - Targeted invitations to known Service Providers
- d) The Committee should nominate a location for the 'Tender Box' where tenders will be sent. The Tender Box should not be opened until after the due date of the Tenders. The Tender box should be sealed in a way that any unauthorised access would be evident. For example, each Committee could use numbered seals, and meet to seal the box, record the seal numbers in the Journal, and on tender opening day the seals can be confirmed before breaking them.
- e) The Committee should then allow two weeks (14 days) for possible suppliers to return a written quote. The quote should include a detailed breakdown of costs, and the name, address and phone number of the supplier.

Note: If a close relative, friend or business associate of a Committee member, wishes to submit a quote for the work, the member must sign the 'Declaration of Interest' at Appendix VIII, and may not participate in choosing Service Providers. This means he or she should not be present in the meeting discussing the choice of service provider, or attend meetings with service providers including the tendering opening day meetings and other meetings with technical specialists or the CAPC.

- f) Applicants are to submit two sets of completed tender documents:
 - The original set shall be enclosed in plain sealed envelopes marked with Tender Name and Reference Number and deposited in the Tender Box;
 - A copy of all documents shall be enclosed in a plain sealed envelope marked with Tender Name and Reference Number and posted to the NDMA Office
- g) The Committee shall record in the Journal the name and phone number of all potential service providers who submit a bid, in order to help with inviting them to the tender opening day.

4.6.2 - Opening tenders

- a) After the due date, the Committee should invite all service providers that have applied to attend the tendering opening day, as well as other government planning officers who are involved or interested in the process.
- b) After the due date the seal on the Tender Box should be broken in the presence of the officials of the WAPC and the candidates or their representatives who choose to attend, and each of the tender envelopes opened.
- c) A WAPC Official shall open all envelopes one at a time and read out aloud: the name of the tenderer, the number and title of each document submitted; and the Tender Price.

Note. If at this point it becomes evident that a close relative, friend or business associate of a Committee member, wishes to submit a quote for the work, the member must sign the 'Declaration of Interest' at Appendix VIII, and may not participate in choosing Service Providers.

- d) A WAPC Official shall note in the meeting minutes the tenderer, the number and title of each document submitted; and the Tender Price.
- e) The WAPC Secretary will take custody of the documents for presentation at the Tender Evaluation meeting of the Committee.

4.6.3 - Choosing a Service Provider

- a) The Committee should consult with the CAPC Secretariat to identify a suitable Technical Specialist to review and advise on the tenders. The Technical Specialist is only present to provide advice and does not get to vote on the tenders. The Committee may override the advice of the specialist with justification. The Technical Specialist should declare any conflicts of interest (for example, if they or a close friend or relative has made a bid).
- b) After the deadline, the Committee should consider the quotes of the Committee

Note: The Committee should seek to receive the minimum number of quotes as per Table 5. If this is not possible, the Committee should make a written explanation to send to the CAPC Secretariat and IIED.

- c) The Committee should meet to evaluate the quotes using the Tender Evaluation form at Appendix IX. The Committee may also discuss issues or problems with choosing providers. Some problems and possible solutions are:
 - i. Quotes are above the Approved Budget. Possible solutions are:
 - Renegotiate with the supplier
 - Redesign the project
 - Raise funds from other donors
 - ii. Conflict of interest: a close relative, friend or business associate of a Committee member has submitted a quote for the work. Possible solutions are:
 - If the Committee member that submitted the application has declared a possible conflict of interest by signing the 'Declaration of Interest' at Appendix VIII, the Committee may consider the quote, but the Committee member who submitted the quote may not participate in choosing Service Providers
 - If the Declaration of Interest form has not been completed, the Committee may vote and agree that the application be set aside. The Secretary should note the decision in writing
- d) The Committee will make a decision to endorse the best quote.

Note: Before notifying the successful Service Provider the Committee must seek CAPC and IIED's approval of the quote and the subcontract (see next step).

- e) The Committee will submit to the CAPC Secretariat the completed Tender Evaluation form

4.7 - Step 6: IIED approval and contracting of Service Providers

The following steps should be followed before the successful Service Provider is notified:

4.7.1 - Drafting Service Provider subcontract, checking of tender documents and IIED approval

- a) The Secretary, with the support of the CAPC Secretariat, should draft a contract using the Service Provider Subcontract template at Appendix X.
- b) The Secretary should then submit to the CAPC Secretariat:
 - i. The Tender Evaluation form
 - ii. A draft Service Provider subcontract
- c) The CAPC Secretariat will check the Tender Evaluation form against the copy of documentation sent to the NDMA Office.
- d) If there are inconsistencies between the documentation recorded in the Tender Evaluation form and the documentation sent to the NDMA Office, the CAPC Secretariat will seek an explanation from the WAPC.
- e) If the documentation is ok, the CAPC Secretariat will forward the documents to IIED along with written confirmation that the tender documentation considered by the WAPC is consistent with the documentation sent to the NDMA Office.
- f) IIED will consider the documents and notify the CAPC Secretariat in writing.

4.7.2 - Final Approval of Service Provider

- a) After IIED approves the contract, the WAPC can then offer the successful applicant a contract. The Chairperson should sign the contract on behalf of the Committee with the provider also signing.
- b) The Secretary or Treasurer shall file the original contract and send a copy to the CAPC Secretariat.
- c) Where a deposit is required, the Service Provider shall raise an invoice. The Secretary or Treasurer shall file the original invoice and send a copy to the CAPC Secretariat.
- d) The CAPC Secretariat will then forward the invoice to IIED for payment.

4.8 - Step 7: WAPC monitors progress and directs IIED to make payments

The Committees should implement the monitoring plan approved in the project proposal and complete Project Monitoring Reports.

Where the Service Provider is judged to not be meeting the conditions of the contract, the Committee shall:

- Advise the CAPC Secretariat of any suspected misappropriation or diversion of funds or possible fraud or corruption relating to projects using telephone, physical visit, email or any other available communication means
- Take measures to ensure that the Service Provider meets the terms of the contract
- If the Service Provider continues to fail to meet its obligations, terminate the contract and seek to recoup the disbursed funds

4.8.1 - Payment to Service Providers

Where the Committee has completed the project monitoring in accordance with the project proposal, the committee should direct IIED to make the payment by following these steps.

- a) The Committee should request an invoice from the supplier in accordance with the next payment based on the contract terms.
- b) The Committee should check the invoice to make sure it adheres to the payments outlined in the contract.
- c) The Committee should send to the CAPC Secretariat the following:
 - The supplier invoice to be paid
 - All monitoring progress reports in accordance with the monitoring plan in the project proposal
 - A written approval of the payment signed by at least two of the Committee officials
- d) The CAPC Secretariat will check the documents and forward to IIED. IIED will review the documentation and, where the documentation is in order, process payments. IIED will advise the CAPC Secretariat when such payment has been made.

4.9 - Step 8: WAPC completes budget report and directs IIED to make final payment

After the final instalments have been paid to Service Providers, the Committees shall prepare a budget report on expenditure against the original proposal budget .To do this:

- a) The Treasurer will draw the budget report table (See Table 4). See Appendix XI for example.
- b) The Treasurer will then enter the budget amounts from the Approved Proposal Budget in the 'Budgeted' column.
- c) The Treasurer will check invoices paid by IIED and enter the actual amounts spent in the 'Actual Costs' column.
- d) The Treasurer will then calculate the total actual expenditure and deduct this from the total budget to find the Project Balance.
- e) The Treasurer will then calculate the variance by deducting the actual amount from the budget amount and inserting the result in the 'Variance' column.
- f) The Treasurer will insert a 'Comment' where there is any variance in the report. These should be as clear as possible.
- g) The Treasurer will then present the report for Committee discussion. If while monitoring the budget it is found that project costs are above the Approved Proposal Budget, the Committee should make a written explanation.
- h) The Secretary will then provide signed minutes approving the financial report and send the report to the CAPC Secretariat who will then enter the report in their system and provide a copy to IIED.

Table 4: Sample Budget Control Report

Report Date: ___ / ___ / ___ to ___ / ___ / ___

| Activity | Budgeted (Kshs) | Actual Costs (Kshs) | Variance (Kshs) | Comments |
|---------------|--------------------|------------------------|--------------------|----------|
| | | | | |
| | | | | |
| TOTALS | | | | |

4.10 - Step 9: WAPC reports to IIED on fulfillment and impact

On the completion of the set up or construction phase of the project, the Committee will meet to discuss next steps and any immediate impact of the project, including any ongoing monitoring. The Committee should submit a written report to the CAPC and IIED. The CAPC and/or IIED may request an independent evaluation of the project.

Chapter 5:

Asset Management

5.1 - Definition and General Guidelines

Assets are valuable items, including buildings, land improvements, furniture & fixtures, computers, equipment and vehicles used during implementation of the project. Assets are also final products of the project e.g. boreholes, Water pans, buildings etc. The Secretary or Treasurer must keep a record of all assets that cost more than Ksh 130,000.

5.2 - Maintenance of assets and principles for managing portable assets

All assets purchased by the Committees should have a clear plan for maintenance to ensure that the asset provides maximum benefit to the community over time. For stationary assets, such as fences or buildings, this simply requires a sustainable plan for funding of maintenance, which should be addressed in the proposal (see proposal template).

Where the asset is a portable asset (for example, motorbikes or some telecommunications equipment), a more thorough management framework is needed. The practicalities of managing portable assets will vary among projects, but all management plans should adhere to the following 10 key principles.

5.2.1 - Ten Key Principles for managing portable assets

1. Where Project Funds have been allocated for the maintenance of the asset, these funds need to be paid to a local organisation or Service Provider. As stated in Chapter 3, WAPCs cannot receive and manage Project Funds.
2. Assets should be kept in good working order in the long term.
3. Responsibility for the day-to-day management of assets must be given to an individual person, an 'Asset Custodian'. The Asset Custodian should be located where the assets are kept.
4. The assets should not be used for private use because private use will result in more wear-and-tear and shorten the life of the asset.
5. There must be sanctions for misuse of the assets that can be reasonably enforced by the WAPCs.
6. All use of assets should be recorded in written form (a log book or similar), including the locations travelled and the name of the asset user.
7. Users of the assets should sign 'liability acceptance forms' accepting liability for any damage to the asset while they are using it.
8. All assets must be recorded in an 'asset register'. See below.
9. There must be written receipts for any expenditure on maintenance, fuel and driver costs that has been included in approved budgets and subsequently charged to the project.
10. Log books, liability acceptance forms, asset register and receipts should be stored in a secure location and made available to IIED on request.

5.3 - Asset Register

To keep a record of the assets, follow these steps:

- a) At the beginning of the project, the Secretary or Treasurer should set up an **Asset Register** using the template at Appendix XII.
- b) When an asset is purchased for more than Ksh130,000, the Secretary or Treasurer should enter in the asset register a description of the item, serial number, total purchase value, date of purchase, source of funding, location and a 'custodian'(the person responsible for taking care of the asset).

Note 1: Assets that are immovable and belong to the community may be considered to be under the custody of a nominated official of the Committee.

Note 2: Assets purchased with project funds by Service Providers to implement the project should be registered in the name of the Committee. The Service Provider will be responsible for the safety of the asset.

- c) The Secretary or Treasurer should physically check assets at the end of every financial year to make sure that the asset register is accurate.

5.4 - Disposal of Property and Equipment

There may be two reasons why the Committee needs to dispose of valuable assets:

- The asset was needed for project implementation, but is not needed after implementation.
- The grant with a donor is coming to an end

To dispose of a valuable asset, follow these steps:

- a) Prepare a plan on how to dispose of the asset.

Note: For assets purchased by Service Providers with project funds to implement the project, the Service Provider shall have no role in deciding how to dispose of the asset.

- b) Submit the plan to the CAPC Secretariat and to IIED for approval.
- c) After approval, dispose of the asset through either sale, transfers to other projects or donations to other parties.
- d) The assets register shall be marked DISPOSED, SOLD or DONATED upon disposal with clear reference to the sale documents.

APPENDIX I

WFMC OPERATIONAL EXPENSES POLICY

Members are entitled to use funds to hold and travel to WAPC meetings in accordance with the following expense table. The travel expense amounts are maximum amounts based on the furthest distance likely to be travelled. Shorter journeys should incur a smaller expense.

All expenditures must be accounted for with receipts the purpose of the meetings and trips must be reported in the report at Appendix II.

All expenses must be receipted in accordance with the Petty Cash Procedures in the Isiolo County Climate Adaptation Fund Manual.

County level meetings

| Item | Unit | Amount (Ksh) | Receipt type |
|----------------------------|-----------------------|--------------|-------------------------------------|
| Travel from Ward to Isiolo | Per trip, per person | 3000 | Receipt for car hire, bus fare etc. |
| Overnight in Isiolo | Per night, per person | 2500 | Receipt from hotel |
| Meals | Per day, per person | 1500 | Receipts from businesses |

Ward level meetings - Oldonyiro Ward

| Item | Unit | Amount (Ksh) Estimate based on the furthest point | Receipt type |
|------------------------|-----------------------|--|-------------------------------------|
| Travel Within the ward | Per trip, per person | 3000 | Receipt for car hire, bus fare etc. |
| Overnight in Oldonyiro | Per night, per person | 500 | Receipt from hotel |
| Meals | Per day, per person | 1200 | Receipts from businesses |

Ward level meetings - Merti Ward

| Item | Unit | Amount (Ksh) Estimate based on the furthest point | Receipt type |
|------------------------|-----------------------|--|-------------------------------------|
| Travel Within the ward | Per trip, per person | 2000 | Receipt for car hire, bus fare etc. |
| Overnight in Merti | Per night, per person | 500 | Receipt from hotel |
| Meals | Per day, per person | 1200 | Receipts from businesses |

Ward level meetings - Sericho Ward

| Item | Unit | Amount (Ksh) Estimate based on the furthest point | Receipt type |
|------------------------|-----------------------|---|-------------------------------------|
| Travel Within the ward | Per trip, per person | 3000 | Receipt for car hire, bus fare etc. |
| Overnight in Sericho | Per night, per person | 500 | Receipt from hotel |
| Meals | Per day, per person | 1200 | Receipts from businesses |

Ward level meetings - Kinna Ward

| Item | Unit | Amount (Ksh) Estimate based on the furthest point | Receipt type |
|------------------------|-----------------------|---|-------------------------------------|
| Travel Within the ward | Per trip, per person | 1500 | Receipt for car hire, bus fare etc. |
| Overnight in Kinna | Per night, per person | 500 | Receipt from hotel |
| Meals | Per day, per person | 1200 | Receipts from businesses |

Ward level meetings - Garbatulla Ward

| Item | Unit | Amount (Ksh) Estimate based on the furthest point | Receipt type |
|-------------------------|-----------------------|---|-------------------------------------|
| Travel Within the ward | Per trip, per person | 1500 | Receipt for car hire, bus fare etc. |
| Overnight in Garbatulla | Per night, per person | 500 | Receipt from hotel |
| Meals | Per day, per person | 1200 | Receipts from businesses |

APPENDIX II

PROJECT PROPOSAL TEMPLATE

[INSERT WARD NAME] WARD PROJECT PROPOSAL

TITLE:

[INSERT TITLE]

PROPOSAL SUBMITTED BY:

[INSERT WARD NAME] WARD ADAPTATION PLANNING COMMITTEE

PROPOSAL SUBMITTED TO:

COUNTY ADAPTATION PLANNING COMMITTEE

PROJECT DURATION: [INSERT PROJECT DURATION]

OVERALL PROJECT COST: [INSERT PROJECT COST]

Ward Committee Contact name and contact details:

[insert committee contact person name and contact details]

Technical Specialist Reviewer name and contact details:

[insert technical specialist contact person name and contact details]

SELF-ASSESSMENT CHECKLIST

Please complete before submission to CAPC

| Criteria | Completed? Please tick |
|--|---------------------------|
| Does the proposal explain how it benefits many people? | |
| Does the proposal explain how it supports economy, livelihoods or important services on which most people depend? | |
| Does the proposal explain how it is relevant to building resilience to climate change? | |
| Does the proposal refer to technical documents by name (such as resilience assessments, resource mapping and other technical reports)? | |
| Does the proposal explain how it encourages harmony, build relations and understanding? | |
| Does the proposal refer to the consultation with all potential stakeholders? | |
| Is a <u>written record</u> of the community consultation attached to the proposal? | |
| Does the proposal explain the types of service providers and Technical Specialists that will be needed, and who will be sent the funds? | |
| Does the proposal consider health and safety risks to service providers and the community during and after the project implementation? | |
| Does the proposal explain how the outcomes of the project will be sustained after it is finished, and who will do this? | |
| Does the proposal explain how it is cost-effective and give good value for money? | |
| Has a Technical Specialist reviewed the proposal, designed any BQs and provided an estimate of costs? | |
| Is the name and contact details of the Technical Specialist included in the proposal? | |
| Does the proposal include a monitoring plan, including the use of Technical Specialists where necessary? | |
| Does the budget include a <u>high-level indicative budget</u> costs for these three items: 1) project activities; 2) Technical Specialists for proposal design (where necessary); and 3) Technical Specialists for monitoring (where necessary)? | |

1. INTRODUCTION

Write general background on the Ward

2. THE PROBLEM THE PROJECT WILL ADDRESS.

Explain the problem by referring to:

- a) Past events as a demonstration of the problem and its impacts
- b) The written record of community consultation. A copy or excerpts of the written record should be attached to the proposal.
- c) Any technical documents that demonstrate the problem including resilience assessments, resource mapping and other technical reports referred to by title

3. WHAT THE PROJECT WILL DO

Explain:

- a) How long the project is expected to take
- b) Each of the key steps in the project from start to finish
- c) How the assets or institutions from the project will be managed and sustained after the project is finished

4. RESULTS, CHANGES OR BENEFITS PROJECT WILL ACHIEVE

Explain:

- a) what changes will be caused by each of the activities explained under Section 3 including
 - i. improvements to the economy, livelihoods or important services on which most people depend
 - ii. building resilience to climate change
 - iii. encourages harmony, build relations and understanding
- b) how these changes will address the problem outline in Section 2.
- c) any extra benefits that the project will achieve

Are there any groups in the wider community that need special efforts to be involved in and benefit from the project?

5. PROJECT ACHIEVEMENTS AND HOW TO MEASURE

Explain:

- a) Key indicators that will be measured during and after the project.
- b) How these will be measured
- c) Who will measure them
- d) When they will be measured

Summarise these in the table below

| Indicator | How it will be measured | Who will measure | When it will be measured |
|-----------|-------------------------|------------------|--------------------------|
| | | | |
| | | | |
| | | | |
| | | | |

6. PROJECT IMPLEMENTATION PLAN, HEALTH AND SAFETY, AND PROJECT SUSTAINABILITY

Explain the types of service providers that will implement each of the activities identified in Section 3 and any other implementation issues, including:

- a) The type of organization that will be sent the funds, to manage funds and buy any assets
- b) The type of Technical Specialists that will be needed for design and monitoring
- c) Any potential health or safety risks to service providers and the community during and after implementation.
- d) How the outcomes of the project will be sustained after it is finished, and who will do this

Summarise these in the table below

| Activity | Implementing actor | Who will receive and manage the funds from IIED? |
|----------|--------------------|--|
| | | |
| | | |
| | | |
| | | |

7. BENEFICIARIES AND VALUE FOR MONEY

Explain:

- a) The number of people that will benefit from the project
- b) The number of people that will have a better understanding of weather and climate information
- c) The different groups of people among which the project will encourage harmony, build relations and understanding

8. BUDGET AND BILL OF QUANTITIES

After consulting with a Technical Specialist:

- a) Include the bill of quantities in the proposal
- b) Draw a budget using the template from the ICAF manual that includes:
 - i. The costs of project activities estimated by the Technical Specialist and the Committee
 - ii. Any costs of Technical Specialist during the design of the proposal
 - iii. Any Technical Specialist costs for monitoring

APPENDIX III

CONTRACT FOR TECHNICAL SERVICES

Contract for technical services to [insert ward name] Ward Adaptation Planning Committee

Lead specialist name: [insert name]

Project Name: [insert project name]

Scope of Work / Deliverables: [describe the work and deliverables]

Deadline: [insert deadline]

Fee Value: The fee is for a total of [insert total fee] in accordance with the attached quote [attach quote]

Payments: Payments are to be made according the following schedule
[insert instalments in to table below]

| Instalment number | Amount | When payment is due |
|-------------------|--------|---------------------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Signed for WAPC

Signed by lead specialist

Name:

Name:

Bank Transfer Details / Request

| |
|----------------------------|
| Beneficiary details |
| Beneficiary Name: |
| Beneficiary Address: |
| Beneficiary Email: |
| Beneficiary Phone No.: |
| Bank details |
| Bank name: |
| Full Bank address: |
| Account number: |
| Account name: |
| Bank swift code: |
| Bank code: |
| Branch code: |
| Reference for transfer: |

Please ensure this section has been completed in full otherwise it may be returned to you which could delay payment being sent.

APPENDIX IV

SELF ASSESSMENT CHECKLIST FOR INTER-WARD MEETING

Criteria

Does the proposal explain how it benefits many people?

Does the proposal explain how it supports economy, livelihoods or important services on which most people depend?

Does the proposal explain how it is relevant to building resilience to climate change?

Does the proposal refer to technical documents by name (such as resilience assessments, resource mapping and other technical reports)?

Does the proposal explain how it encourages harmony, build relations and understanding?

Does the proposal refer to the consultation with all potential stakeholders?

Is a written record of the community consultation attached to the proposal?

Does the proposal explain the types of service providers and Technical Specialists that will be needed, and who will be sent the funds?

Does the proposal consider health and safety risks to service providers and the community during and after the project implementation?

Does the proposal explain how the outcomes of the project will be sustained after it is finished, and who will do this?

Does the proposal explain how it is cost-effective and give good value for money?

Has a Technical Specialist reviewed the proposal, designed any BQs and provided an estimate of costs?

Is the name and contact details of the Technical Specialist included in the proposal?

Does the proposal include a monitoring plan, including the use of Technical Specialists where necessary?

Does the budget include a high-level indicative budget costs for these three items: 1) project activities; 2) Technical Specialists for proposal design (where necessary); and 3) Technical Specialists for monitoring (where necessary)?

APPENDIX V

CAPC APPROVAL FORM

Ward name:

Project Title:

Project budget:

Duration:

| ICAF Project Criteria | CAPC Comments | Actions for WAPC |
|--|----------------------|-------------------------|
| 1. How many people will the project benefit? | | |
| 2. How does it support the economy, livelihoods or important services on which most people depend? | | |
| 3. How is it relevant to building resilience to climate change? | | |
| 4. How does it encourage harmony, build relations and understanding? Are there any groups in the wider community that need special efforts to be involved in and benefit from the project? | | |
| 5. Have all potential stakeholders been consulted? | | |
| 6. Is the project viable, achievable and sustainable? | | |
| 7. How is it cost-effective and how does it give good value for money? | | |
| Project design criteria | CAPC Comments | Actions for WAPC |
| 1. Has a specialist been consulted to design the proposal and provide BQs? | | |
| 2. Are there clear indicators with a clear monitoring plan? | | |
| 3. Is it clear what type of organisations will receive funds to implement the project? | | |
| Other Issues (e.g. cross-border implications, links to other initiatives, commitment from partners,...) | CAPC Comments | Actions for WAPC |
| Decision of CAPC at meeting | | |
| Confirmation from CAPC Chair that WAPC actions have been completed | | |

APPENDIX VI

IIED APPROVAL FORM



ISIOLO COUNTY ADAPTATION FUND PROJECT APPROVAL FORM

WAPC/CAPC Name: _____

Project Name: _____

Total Cost: _____

Committee Contact: _____

IIED Grant Code: _____

CAF Project Code: _____

Date Final Proposal Received: _____

| Proposal Development | IIED Comments | Actions for WAPCs |
|---|---------------|-------------------|
| Steps in project cycle followed? | | |
| Self-assessment checklist completed? | | |
| CAPC considered and approved? (review CAPC approval comments) | | |
| All CAPC comments certified as addressed in final proposal? | | |

| Budget | IIED Comments | Actions for WAPCs |
|---|---------------|-------------------|
| Budget clear and detailed | | |
| Technical specialists and monitoring included? | | |
| All budget items permissible | | |
| Total cost within grant amount (including other projects) | | |
| Other comments | | |

| Value for Money | IIED Comments | Actions for WAPCs |
|--|----------------------|--------------------------|
| Administrative costs permissible (alpha ratio; target 15%) | | |
| No. of people benefiting from project outcome | | |
| Lifetime of project benefits | | |
| Other comments | | |

| Implementation | IIED Comments | Actions for WAPCs |
|---|----------------------|--------------------------|
| Clear workplan | | |
| Clear implementation mechanism (project and financial management) | | |
| Other comments | | |

| |
|---|
| Additional IIED project manager comments |
|---|

WAPC Actions

Does the WAPC need to complete actions before final approval? Yes / No
(If so, return this form to the ICAF Secretariat)

2nd review by IIED

Has the WAPC completed the actions recommended by IIED? Yes / No

Final approval

Signature for IIED

Name:

Date:

APPENDIX VII

TENDER INVITATION AND CALL FOR PROPOSAL DOCUMENTS

'Committees should complete parts highlighted in yellow'

[insert ward name] WARD ADAPTATION PLANNING COMMITTEE

Invitation to tender

In 2009, the Ministry of State for Development of Northern Kenya and Other Arid Lands requested that IIED develop a pilot project to mainstream climate adaptation into county level planning in the ASAL regions of Kenya. Isiolo County was chosen as the site for the pilot project. This process was to culminate in the establishment of ward-level committee.

On 18th October 2012, an all-inclusive rigorous exercise of identifying, vetting and selecting persons for the committee spearheaded by the community and based on very open, transparent and stringent formula which encompassed: their past performance in public good initiatives, their moral standings and their capacity to be accountable in managing resources given to them. These criteria were applied successfully, resulting in the formation of this ward committee in [insert ward name] ward of Isiolo County. The Community Based Organization is [insert ward name] Ward Adaptation Planning Committee.

The [insert ward name] ward adaptation planning committee wishes to invite tenders from qualified and interested Service providers/Companies to bid for the following:

| No. | Tender Number | Item Description | Closing Date | Time |
|-----|---------------------|-----------------------|-------------------|-------------------|
| 1 | [insert tender no.] | [insert project name] | [insert due date] | [insert due time] |
| 2 | [insert tender no.] | [insert project name] | [insert due date] | [insert due time] |
| 3 | [insert tender no.] | [insert project name] | [insert due date] | [insert due time] |

Tender documents may be collected from the [insert location], Monday –Friday between [insert opening hours] or call the secretary through [insert phone number] upon payment of non-refundable fee of **2,000 kshs.**

The tender document can also be collected from office of the National Drought Management Authority (NDMA) (formerly Arid Lands Office) in Isiolo upon payment of non-refundable fee of 2,000 kshs in Cash and issued with a receipt and a numbered tender document.

Note: Service providers/Contractors are allowed to apply for the tender in whole or in parts thereof.

Two sets of completed tender documents are to be submitted:

- The original set shall be enclosed in plain sealed envelopes marked with Tender Name and Reference Number and deposited in the Tender Box at [insert location of Tender Box] as to addressed to:

The Chairman,

[insert ward name] **WARD ADAPTATION PLANNING COMMITTEE**

[insert WAPC address]

- A copy of all documents shall be enclosed in a plain sealed envelope marked with Tender Name and Reference Number and posted to the NDMA Office at [insert NDMA Office address]

To be received on or before the dates and time indicated above.

Enquiries can be sent to email: [insert WAPC contact email]

[insert Ward name] Ward Adaptation Planning Committee reserves the right to accept or reject all tenders either in whole or in part and is not bound to give reasons thereof.

Chairman,

[insert ward name] **WARD ADAPTATION PLANNING COMMITTEE**

[Insert Ward Name]

Ward Adaptation Planning Committee

Tender Number:

[Insert Tender Number]

[Insert Title of Project]

[Insert Month/Year]

[Insert Address Of Committee]

Invitation For Tender

Tender Reference No: [Insert]

The [insert Ward name] WAPC committee invites sealed tenders for [insert project name]

- 1.2 Interested eligible candidates may obtain further information and inspect tender documents at [Insert Ward Name] WAPC office [insert WAPC address] or the National Drought Management Authority (NDMA) (formerly Arid Lands office) office in Isiolo during normal working hours.
- 1.3 A complete set of tender documents may be obtained by interested candidates upon payment of a non-refundable fee of **Kshs. 2,000 (Two Thousand Kenya Shillings)** in cash payable to [insert Ward name] WAPC committee.
- 1.4 Prices quoted should be net inclusive of all taxes, must be in Kenya shillings and shall remain valid for 90 days from the closing date of tender.
- 1.5 Two sets of completed tender documents are to be submitted:
 - The original set shall be enclosed in plain sealed envelopes marked with Tender Name and Reference Number and deposited in the Tender Box at [insert location of Tender Box] as to be received on or before [insert due date and time]
 - A copy of all documents shall be enclosed in a plain sealed envelope marked with Tender Name and Reference Number and posted to the NDMA Office at [insert NDMA Office address]
- 1.6 The seal on the Tender Box will be broken and tenders will be opened immediately after the due date, in the presence of the officials of the [insert Ward name] WAPC officials and the candidates or their representatives who choose to attend at the above address, in the [insert room location where tenders will be opened]

[insert WAPC Chairman's name]

Chairman [insert Ward name] WAPC Committee

Note: The tenderer must comply with the following conditions and instructions and failure to do so is liable to result in rejection of the tender.

Part I - General Conditions

1. Definitions

- (a) **“Tenderer”** means any person or persons partnership firm or company submitting a sum or sums in the Bills of Quantities in accordance with the Instructions to Tenderers.
 - (b) **“Approved tenderer”** means the tenderer who is approved by the Employer.
 - (c) Any noun or adjective derived from the word **“tender”** shall be read and construed to mean the corresponding form of the noun or adjective **“bid”**. Any conjugation of the verb “tender” shall be read and construed to mean the corresponding form of the verb “bid.”
 - (d) **“Employer”** means [insert ward name] Ward Committees.
-

2. Eligibility and Qualification Requirements

- 2.1 This invitation to tender is open to all tenderers who are eligible as stated in the appendix.
 - 2.2 The procuring entity’s employees, committee members, board members and their relative (spouse and children) are not eligible to participate in the tender.
 - 2.3 To be qualified for award of Contract, the tenderer shall provide evidence satisfactory to the Employer of their eligibility and of their capability and adequacy of resources to effectively carry out the subject Contract. To this end, the tenderer shall be required to update the following information.
 - (a) Details of experience and past performance of the tenderer on the works of a similar nature within the past 2 years.
 - (b) The qualifications and experience of key personnel proposed for administration and execution of the contract, both on and off site.
 - (c) Major items of construction plant and equipment proposed for use in carrying out the Contract. Only reliable plant in good working order and suitable for the work required of it shall be shown on this schedule. The tenderer will also indicate on this schedule when each item will be available on the Works.
 - 2.4 To qualify for contract awards, the tenderer shall have the following:
 - a) Necessary qualifications, capability experience (e.g. certificate of work completion), services, equipment and facilities to provide what is being procured
 - b) Legal capacity to enter into a contract for procurement e.g registration certificate, certificate of incorporation, tax compliance certificate/VAT clearance certificate, business license and pin certificate
 - c) Shall not be insolvent, in receivership, bankrupt or in the process of being wound up and is not the subject of legal proceedings relating to the foregoing.
 - d) Shall not be debarred from participating in public procurement.
-

3. Cost of Tendering

- 3.1 The tenderer shall bear all costs associated with the preparation and submission of his tender and the Employer will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the tendering process.
- 3.2 The price to be charged for the tender document shall not exceed Kshs.2,000/=.
- 3.3 The procuring entity shall allow the tenderer to view the tender document free of charge before purchase.

4. Site Visit

- 4.1 The tenderer is advised to visit and examine the Site and its surroundings and obtain for himself on his own responsibility, all information that may be necessary for preparing the tender and entering into a contract. The costs of visiting the Site shall be the tenderer's own responsibility.
 - 4.2 The tenderer and any of his personnel or agents will be granted permission by the Employer to enter upon premises and lands for the purpose of such inspection, but only upon the express condition that the tenderer, his personnel or agents, will release and indemnify the Employer from and against all liability in respect of, and will be responsible for personal injury (whether fatal or otherwise), loss of or damage to property and any other loss, damage, costs and expenses however caused, which but for the exercise of such permission, would not have arisen.
 - 4.3 The Employer shall organize a site visit at a date to be notified. A representative of the Employer will be available to meet the intending tenderers at the Site.
 - 4.4 Tenderers must provide their own transport. The representative will not be available at any other time for site inspection visits.
 - 4.5 Each tenderer shall complete the Certificate of Tenderer's Visit to the Site, whether he in fact visits the Site at the time of the organized site visit or by himself at some other time.
-

Preparation of Tenders

5. Language of Tender

- 5.1 The tender and all correspondence and documents relating to the tender exchanged between the tenderer and the Employer shall be written in the English language. Supporting documents and printed literature furnished by the tenderer with the tender may be in another language provided they are accompanied by an appropriate translation of pertinent passages in the above stated language. For the purpose of interpretation of the tender, the English language shall prevail.
-

6. Documents Comprising the Tender

- 6.1 The tender to be prepared by the tenderer shall comprise:
 - a) The form of tender
 - b) Confidential business questionnaire
 - c) The priced Bill of Quantity and Schedule.
-

7. Tender Prices

- 7.1 All the insertions made by the tenderer shall be made in INK and the tenderer shall clearly form the figures. The relevant space in the Form of Tender and Bills of Quantities shall be completed accordingly without interlineations or erasures except those necessary to correct errors made by the tenderer in which case the erasures and interlineations shall be initialled by the person or persons signing the tender.
 - 7.2 The tenderer shall not attach any conditions of his own to his tender. The tender price must be based on the tender documents. The tenderer is not required to present alternative construction options and he shall use without exception, the Bills of Quantities as provided, with the amendments as notified in tender notices, if any, for the calculation of his tender price.
-

8. Currencies of Tender and Payment

- 8.1 Tenders shall be priced in Kenya Shillings or any other convertible currency
-

9. Tender Validity

- 9.1 The tender shall remain valid and open for acceptance for a period of ninety (90) days from the specified date of tender opening or from the extended date of tender opening whichever is the later.

Submission of Tenders

10. Sealing and Marking of Tenders

- 10.1 The tenderer shall seal the original and copy of the tender in separated envelopes, duly marking the envelopes as "ORIGINAL" and "COPY". The envelopes shall then be sealed in an outer envelope.
 - 10.2 The inner and outer envelopes shall be addressed to the Employer at the address stated in the Appendix to Instructions to Tenderers and bear the name and identification of the Contract stated in the said Appendix with a warning not to open before the date and time for opening of tenders stated in the said Appendix.
 - 10.3 The inner envelopes shall each indicated the name and address of the tenderer to enable the tender to be returned unopened in case it is declared "late", while the outer envelope shall bear no mark indicating the identity of the tenderer.
 - 10.4 If the outer envelope is not sealed and marked as instructed above, the Employer will assume no responsibility for the misplacement or premature opening of the tender. A tender opened prematurely for this cause will be rejected by the Employer and returned to the tenderer.
-

11. Deadline for Submission of Tenders

- 11.1 Tenders must be received by the Employer at the address specified and on the date and time specified in the Letter of Invitation.
 - 11.2 Tenders delivered by hand must be placed in the "tender box" provided in the office of the Employer.
 - 11.3 Proof of posting will not be accepted as proof of delivery and any tender delivered after the above stipulated time, from whatever cause arising will not be considered.
 - 11.4 The Employer may, at his discretion, extend the deadline for the submission of tenders through the issue of an Addendum, in which case all rights and obligations of the Employer and the tenderers previously subject to the original deadline shall thereafter be subject to the new deadline as extended.
 - 11.5 Any tender received by the Employer after the prescribed deadline for submission of tender will be returned unopened to the tenderer.
-

Award of Contract

12. Award criteria

- 12.1 The Employer will award the Contract to the tenderer whose tender is determined to be substantially responsive to the tender documents and who has offered the lowest evaluated tender price subject to possessing the capability and resources to effectively carry out the Contract Works.
 - 12.2 The Employer reserves the right to accept or reject any tender, and to annul the tendering process and reject all tenders, at any time prior to award of Contract, without thereby incurring any liability to the affected tenderers or any obligation to inform the affected tenderers of the grounds for the Employer's action.
 - 12.3 The Employer reserves the right at the time of contract award to increase or decrease the number of projects originally specified in the schedule of projects without any change in unit price or other terms and conditions.
-

13. Notification of Award and signing of contract

- 13.1 Prior to the expiration of the period of tender validity prescribed by the Employer, the Employer will notify the successful tenderer by cable, telefax or telex and confirmed in writing by registered letter that his tender has been accepted. This letter (hereinafter and in all Contract documents called "Letter of Acceptance") shall name the sum (hereinafter and in all Contract documents called "the Contract Price") which the Employer will pay to the Contractor in consideration of the execution and completion of the Works as prescribed by the Contract.
- 13.2 Within fourteen [14] days of receipt of the form of Contract Agreement from the Employer, the successful tenderer shall sign the form and return it to the Employer.
- 13.3 The parties to the contract shall have it signed within 30 days from the date of notification of contract award unless there is an administrative review request.
- 13.4 A tenderer who gives false information in the tender document about is qualification or who refuses to enter into a contract after notification of contract award shall be considered for debarment from participating in future public procurement.

Part II – Special Conditions

1.0 Defects Liability Period

The Defects Liability Period is **Twelve Months**.

2.0 Operation and Maintenance Manuals

Operation and Maintenance Manuals shall be in **English language**.

3.0 General Obligations

3.1 The following facilities will be provided by the Employer: **NONE**.

3.2 The facilities will be provided at the following rates: N/A

4.0 Contractor Equipment

The following items of Contractor's Equipment will be provided free of charge by the Employer for the Contractor's use: **None**.

5.0 Price Variation

Contract price variation **shall not be allowed**.

6.0 Delayed Payment

There shall be no interest on delayed payment.

7.0 Customs and Import Duties

The Contractor shall pay for customs, import duties and taxes in consequence of the importation of the items.

8.0 Duty of Care

In implementing the project the Contractor shall discharge its duty of care to both its employees and the communities where the project is located in accordance with Kenyan health and safety law, including appropriate risk assessments, adequate information, instruction, training and supervision, and appropriate emergency procedures.

9.0 Arbitration

The rules of arbitration shall be those contained in the Arbitration Act of the Laws of Kenya.

Part III – Tender Forms

(A) FORM OF TENDER

TO:[Name of Employer] [Date].....
.....[Name of Contract]

Dear Sir

1. In accordance with the Conditions of Contract, Specifications, Drawings and Bills of Quantities for the execution of the above named Works, we, the undersigned offer to construct, install and complete such Works and remedy any defects therein for the
sum of Kshs. [Amount in figures]
Kenya Shillings [Amount in words]
2. We undertake, if our tender is accepted, to commence the Works as soon as is reasonably possible after the receipt of the Project Manager’s notice to commence, and to complete the whole of the Works comprised in the Contract within the time stated in the Appendix to Conditions of Contract.
3. We agree to abide by this tender until **90 days from tender closing date** [Insert date], and it shall remain binding upon us and may be accepted at any time before that date.
4. Unless and until a formal Agreement is prepared and executed this tender together with your written acceptance thereof, shall constitute a binding Contract between us.
5. We understand that you are not bound to accept the lowest or any tender you may receive.

Dated this day of 20.....

Signature in the capacity of duly authorized to
sign tenders for and on behalf of[Name of Employer]
of[Address of Employer] Witness;

Name.....

Address.....

Signature

Date.....

(B) CONFIDENTIAL BUSINESS QUESTIONNAIRE

You are requested to give the particulars indicated in Part 1 and either Part 2 (a), 2 (b) or 2 (c) and 2 (d) whichever applies to your type of business. You are advised that it is a serious offence to give false information on this Form.

Part 1 – General Business Name

..... Location of business premises;
Country/TownPlot No
Street/Road
Postal Address
Tel No
Nature of Business.....
Current Trade Licence No.....
Expiring date
Maximum value of business which you can handle at any time: Ksh.....
Name of your bankers
Branch.....

Part 2 (a) – Sole Proprietor

Your name in full
Age.....
Nationality.....
Country of Origin *Citizenship details

Part 2 (b) – Partnership

Partnership name.....
Give details of partners as follows: Name in full Nationality Citizenship Details Shares
1
2
3

Part 2(c) – Registered Company: Private or public

Name of Company.....
State the nominal and issued capital of the Company- Nominal Kshs.....
Issued Kshs.....
Give details of all directors as follows: Name in full . Nationality. Citizenship Details*. Shares.
1
2
3
4

Part 2(d) – Interest in the Firm:

Is there any person / persons in (Name of Employer)
who has interest in this firm?
Yes/No (Delete as necessary) I certify that the information given above is correct
Print Name.....
Signature
Date
* Attach proof of citizenship

(C) PREAMBLE TO BILL OF QUANTITIES

The Bill of Quantities shall form part of the Contract Documents and is to be read in conjunction with the Instructions to Tenderers, Specifications and Drawings.

The brief description of the items in the Bill of Quantities is purely for the purpose of identification, and in no way modifies or supersedes the detailed descriptions given in the conditions of Contract and Specifications for the full direction and description of work and materials. The Quantities set forth in the Bill of Quantities are estimated and provisional, representing substantially the work to be carried out, and are given to provide a common basis for tendering and comparing of Tenders. There is no guarantee to the Contractor that he will be required to carry out all the quantities of work indicated under any one particular item or group of items in the Bill of Quantities.

Errors will be corrected by the Employer for any arithmetic errors in computation or summation as follows:

Where there is a discrepancy between amount in words and figures, the amount in words will govern; and Where there is a discrepancy between the unit rate and the total amount derived from the multiplication of the unit price and the quantity, the unit rate as quoted will govern, unless in the opinion of the Employer, there is an obviously gross misplacement of the decimal point in the unit price, in which event the total amount as quoted will govern and the unit rate will be corrected. If a Tenderer does not accept the correction of errors as outlined above, his Tender will be rejected.

The objectives of the Bills of Quantities are; to provide sufficient information on the quantities of Works to be performed to enable tenders to be prepared efficiently and accurately; and when a Contract has been entered into, to provide a priced Bills of Quantities for use in the periodic valuation of Works executed. In order to attain these objectives, Works should be itemized in the Bills of Quantities in sufficient detail to distinguish between the different classes of Works, or between Works of the same nature carried out in different locations or in other circumstances which may give rise to different considerations of cost. Consistent with these requirements, the layout and content of the Bills of Quantities should be as simple and brief as possible.

Bills of Quantities

[insert Bills of Quantities from approved proposal with Ksh amounts removed]

APPENDIX VIII

DECLARATION OF INTEREST IN PROJECT

Interest declaration and conflict of interest in procurement procedure matters

I [enter committee member's name] hereby declare that I, or a person closely associated with me, have a business interest in the selection of a supplier for implementation of project [write project title]. I agree that, in the case of this project, I shall not participate either formally or informally in the Committee deliberations and decisions for selecting a supplier.

Name.....

Signature.....

Position in the WAPC.....

Date.....

APPENDIX IX

WAPC TENDER EVALUATION FORM

ISIOLO CLIMATE ADAPTATION FUND (ICAF) BID ANALYSIS FORM

Process

1. In accordance with the Committee constitutions and ICAF finance manual, before considering the tenders, all Committee members must confirm that they have no personal interest with any of the service providers⁴. In case of interest, affected Committee members cannot participate in the bidding process. Details must be recorded in Part 1 below.
2. The names of the Committee members eligible to consider quotes should be entered in Part 2.
3. The eligible Ward Adaptation Planning Committee (WAPC) members should consider each quote against the criteria in Part 3 and record the conclusions. Advice on solving problems is in the ICAF Finance Manual.
4. If there is less than the number of quotes as required by the ICAF Finance Manual, the committee must explain why.
5. Record the Committee's final recommendation in Part 4. The Chairperson, Secretary and Treasurer of Ward Adaptation Planning Committee must sign these are true record of the committee decision.
6. Attach to this form the original tender documents.
7. **Before** notifying the successful service provider, the Committee should draft a subcontract using the template in the ICAF Finance Manual and submit to the CAPC and IIED. Please note that the bid analysis form and the subcontract need to be approved by the CAPC and IIED **before** the service provider is notified.
8. Depending on the method agreed on and used(simple majority, average score or any other) marks awarded should be arrived at by consensus.

Part 1 - Statement of interests

Are there any conflicting interests to be declared by committee members? If so, please record the committee members' names here. They are not eligible to participating in the bidding process. State "None" if there are no conflicting interests to be declared?

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

Part 2 - Committee members eligible to consider the bids

Record names of committee members who will evaluate the bids submitted.

- 1.....
- 2.....
- 3.....
- 4.....
- 5.....
- 6.....
- 7.....
- 8.....
- 9.....
- 10.....
- 11.....

⁴Where a committee member (or their immediate families) have professional or personal relationships with service providers, other than those relating directly to the committee.

Part 3 - Evaluation/Analysis and Recommendation

Ward Name _____

Name of the Service Provider (Company) _____

Category tendered/project _____

Date of Evaluation _____

1. Level 1 -Preliminary

| Attachments provided | Tick if provided | Comments (if any) |
|--|-------------------------|--------------------------|
| Registration Certificate or Certificate of incorporation | | |
| Business License | | |
| VAT Clearance Certificate | | |
| Tax Compliance Certificate | | |
| Audited Books of Account or Bank statement for at least one year, certified by the bank | | |
| Is there any additional documents provided? If yes, list them down. 1. 2. 3. | | |
| Has the service provider satisfied the preliminary level requirements? Give reason/s? | | |
| Is the provider qualified to go to the next level? | | |
| What is the Recommendation? | | |

Note: Evaluation will continue to level 2 only when the service provider has satisfied the committee at the preliminary.

2. Level 2 -Technical (Maximum score 60%)

| Factors to consider (give an outline description of the following for each supplier) | Scores | Comments |
|--|--|----------|
| <p>1. Experience Score - 20% (5% for each question under experience)</p> | <p>Is there experience in similar work? If yes, is there proof of this? (Certificate of completion of work should be provided)</p> | |
| | <p>The experience is for how many years? (satisfactory experience is 2 years going up)</p> | |
| | <p>Any experience working in ASAL region?</p> | |
| | <p>Community's or Committees Previous experience with provider?</p> | |
| <p>2. Suitability (In reference to Service provider's profile/CV or Committee's previous experience with the service provider) Score - 20%(10% for each of the question)</p> | <p>Do the personnel possess the required/ necessary qualifications and expertise to carry out what is being procured?</p> | |
| | <p>Does the service provider possess or have means to access required/necessary services, equipment and facilities to provide what is being procured? Does the service provider possess the means to manage and health and safety risks associated with the implementation of the project?</p> | |
| <p>3. Quality (looking at the bill of quantities, materials /equipment to be used by Service provider and any other proof of quality vis a vis quoted prices and work plan/Number of days to deliver the services) Score - 20% (10% for each question)</p> | <p>Is the tenderer able to deliver on the services requested without compromising on quality?</p> | |
| | <p>Do you approve the work plan/ number of days service provider will take to deliver the services?</p> | |
| <p>4. Extra / unexpected benefits Score 10%</p> | <p>Any extra benefits the service provider is offering at no cost?</p> | |
| Subtotal for level 2 | | |
| <p>Has the service provider satisfied technical level requirements? Give reason/s?</p> | | |
| <p>Is the provider qualified to go to the next level</p> | | |
| <p>What is the Recommendation?</p> | | |

Note: Evaluation will continue to level 3 only when the service provider has satisfied the committee at level 2. If the service provider/applicant has scored 49% and below, then he/she automatically gets disqualified.

1. Level 3 - Financial (Maximum score 30%)

| Give an outline description of the following for each supplier: | Record the price | Scores | Comments (if any) |
|--|------------------|--------|-------------------|
| 1. In reference to WAPC budget and Bill of quantities vis a vis Service provider's a. Cost (including VAT) b. Proof of quality c. Work Plan Do you consider Service provider's quoted price a competitive offer? | | | |
| Subtotal for level 3 | | | |
| What is the Recommendation? | | | |

Part 4: Grand Total

Level 1 Subtotal _____

Level 2 Subtotal _____

Grand total (%) _____

Note: Remember to fill the subtotals (for level 2 and 3) and the grand total against service provider's name in the Service Providers ranking form.

Part 5 - Decision

(This part will be filled after evaluating all applications and finalised on Service Providers ranking form)

| | |
|---|--|
| Decision Made | |
| Indicate any follow up that needs to be made -by whom and by when | |

Part 6 - Authorisation / Approval

1) Ward Adaptation Planning Committee authorisation of Bid Analysis Form:

| | Name | Signature | Date |
|-----------|-------------|------------------|-------------|
| Chairman | | | |
| Secretary | | | |
| Treasurer | | | |

2) County Adaptation Planning Committee CAPC authorisation of Bid Analysis Form:

| | Name | Signature | Date |
|-------------|-------------|------------------|-------------|
| Chairperson | | | |

3) IIED Project Manager authorisation of Bid Analysis Form:

| | Name | Signature | Date |
|-----------------|-------------|------------------|-------------|
| Project Manager | | | |

APPENDIX X

SERVICE PROVIDER CONTRACT TEMPLATE

'Committees should complete parts highlighted in yellow'

Isiolo county climate resilience fund contract

Project Name:

This document sets out the terms of the grant agreement between the [insert ward name] Ward Adaptation Planning Committee (the Committee) [insert WACP address] and the [insert name and address] (the Service Provider).

Contract number: [insert]

1. Contract Period

The commencement date for the work will be on [insert date]. The nominal end date for the contract will be on [insert date].

The contract period will expire on satisfactory completion of the work as certified by the Committee.

2. Key individuals

The Service Provider will report to all members of the Committee, including the Chairperson [insert name of Chairperson], and will notify the Committee Secretary [insert name of Secretary] of all administrative and financial issues.

The nominated person responsible on behalf of the Service Provider is [insert name and email address]

3. Terms of Reference and

The Service Provider agrees to complete the task agreed in the workplan and budget approved by the Committee at Appendix I to this contract.

4. General Conditions

The Service Provider will supply the labour force and equipment necessary for the work.

The Service Provider will personally be in charge of the works and co-ordinate with the Committee to ensure smooth running of the project.

The Service Provider shall ensure that work is completed to a high standard, that the Committee inspects the construction as it progresses stage by stage, and that approvals are obtained prior to proceeding further with the works.

The Committee may request a hold to the works where it considers changed circumstances have introduced a risk to the approved design or implementation of the work. If in the opinion of the Committee, the work is delayed through any cause not under the control of the Service Provider, the Committee shall make a fair and reasonable extension of time for completion of the works.

Notwithstanding the above, if the Service Provider shall fail or neglect to complete the works on or before the date stated in Clause 1 hereof or by any extension of time approved by the Committee, the Contractor hereby accepts liability for extra costs for every week or part of a week during which the completion is delayed.

In implementing the project the Service Provider shall discharge its duty of care to both its employees and the communities where the project is located in accordance with Kenyan health and safety law, including appropriate risk assessments, adequate information, instruction, training and supervision, and appropriate emergency procedures.

Injury to persons: The Service Provider shall be liable for and shall indemnify the Committee against all loss, claims or proceedings whatsoever whether arising in common Law or any Acts of Parliament of the Government of Kenya in respect of personal injuries to persons whether in his employment or not, arising out of or in the course of the execution of the contract and against all costs and charges incurred in relation to the investigation or settling of such claims.

Injury to property: The Service Provider shall be liable for and shall indemnify the Committee in respect of any liability, loss, claim or proceedings and for any injury or damage whatsoever arising out of or in the course of the execution of the contract works to any property, real or personal due to any negligence, or omission or default of himself, his agent or his servants or of any sub-contractor or to any circumstances within his control.

The Service Provider shall secure the due performance of these indemnities by forthwith entering into proper and sufficient policies of insurance.

Any works or assets shall be insured by the Service Provider.

The Service Provider shall make good at his own expense any defects, shrinkage and other faults which may appear within 6 months from the completion of the works arising in the opinion of the Committee from materials not in accordance with the contract.

The Service Provider will attempt in good faith to negotiate a settlement to any claim or dispute between them arising out of or in connection with this Contract.

Any dispute, controversy or claim arising out of or relating to this agreement, or the breach, termination or invalidity thereof, shall be referred to arbitration in accordance with the Arbitration Act, 1995 and shall be conducted under the Rules of the Chartered Institute of Arbitrators of the United Kingdom, Kenya Branch. The number of arbitrators shall be one (1). In the event of failure to agree between the parties on the choice of arbitrator, the Chairman for the time being of the Chartered Institute of Arbitrators of the United Kingdom, Kenya Branch shall appoint the arbitrator under its rules. The proceedings shall take place in Nairobi. The decision of the arbitrator shall be final and binding on both parties.

The Service Provider undertakes not to make any payments which contravene Kenyan law including the Anti-Corruption and Economic Crimes Act, 2003. In the regard the Service Provider undertakes not to offer, promise, give, request, receive or agree to receive bribes, nor offer, promise or give a bribe.

4. Contract and Budget

The Contract is for a total of [insert amount]. This amount is inclusive of all taxes.

5. Payment Schedule and Deliverables

A total of 90 per cent of the contract amount will be payable according to the following schedule:

- 1) [insert amount of first instalment] in advance for Phase 1 of the workplan after signature of this contract and provision of an invoice. (This payment cannot exceed 50% of the total contract amount).
- 2) [insert amount of second instalment] for Phase 2 of the project after submission of an invoice, receipts, a progress report, and after the Committee approves the next payment.
- 3) (Add as many instalments as are necessary).
- 4) [insert amount of final instalment] after submission of an invoice, receipts a progress report, and after the Committee considers that the project will be completed. (The final payment must be at least 10% of the total contract amount).

Retention: the Committee will retain 10 per cent of the contract amount until 6 months after the completion of the project in case of faulty works or the need for repairs due to poor workmanship. The committee will only pay the retention less any costs due to faulty works or poor workmanship incurred within the 6 months.

The Committee endeavours to pay all instalments within 30 days of approval of payments.

6. Banking and Transfer arrangements

Bank transfers will be made electronically to the bank account nominated by the Service Provider at Appendix II to this contract.

The Service Provider is responsible for all local bank charges and taxes.

7. Reports, Records and Disclosure

The Committee reserves the right to audit all transactions either directly or through a nominated representative.

The Service Provider agrees to submit to the Committee an invoice for each Phase accompanied by receipts and a progress report.

8. Intellectual / Publishing rights

The Committee and the Service Provider agree that all intellectual property rights whatsoever owned by either the Committee or the Service Provider prior to the commencement of the Agreement (“Background IPR”) and any intellectual property rights developed under this Agreement (“Foreground IPR”) shall remain the property of that party.

Each party grants to the other:

- An irrevocable, royalty-free, non-exclusive licence to use any Background IPR owned by that party which is necessary for the use or development of the Foreground IPR;
- An irrevocable, perpetual, royalty-free, non-exclusive licence to use the Foreground IPR for any non-commercial use.]

The appendices to this contract form part of the contract.

On behalf of the Committee:

| | |
|-----------------------|------|
| | |
| Chairperson Signature | Date |

On behalf of Service Provider:

| | |
|-----------|------|
| | |
| Signature | Date |

APPENDICES

1. PROJECT PROPOSAL, WORKPLAN AND BUDGET

2. BANK TRANSFER DETAILS OF SERVICE PROVIDER

Service Provider Contract Appendix I - Project proposal, workplan and budget

Summary

Project Title: _____

Project Phases

Complete table with phases of the project and the payment for each phase

| Project Phase | Description | Amount |
|---------------|--------------|--------|
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| | TOTAL | |

Service Provider budget and detailed workplan

Attach proposal and budget developed by the Committee and the quote or other tender documents submitted by the successful Service Provider

Service Provider Contract Appendix II Bank Transfer Details/ Request

(complete Service Provider bank details)

| |
|----------------------------|
| Beneficiary details |
| Beneficiary Name: |
| Beneficiary Address: |
| Beneficiary Email: |
| Beneficiary Phone No.: |
| Bank details |
| Bank name: |
| Full Bank address: |
| Account number: |
| Account name: |
| Bank swift code: |
| Bank code: |
| Branch code: |
| Reference for transfer: |

Please ensure this section has been completed in full otherwise it may be returned to you which could delay payment being sent.

APPENDIX XI

BUDGET CONTROL REPORT EXAMPLE

WARD CLIMATE ADAPTATION PLANNING COMMITTEE Project Budget Control Report

Quarter from ____/____/____ to ____/____/____

| Activity | Total Budget (Kshs) | Actual Costs (Kshs) | Variance (Kshs) | Comments |
|--|------------------------|------------------------|--------------------|-------------|
| Procurement and gathering of materials | 50,000 | 49,580 | 420 | completed |
| Clearing the area of bushes (20 casuals 10 days) | 100,000 | 100,200 | -200 | completed |
| Desilting | 400,000 | 398,450 | 1,550 | completed |
| Inlet / Outlet Repair | 50,000 | 25,000 | 25,000 | in progress |
| Repair of trough | 100,000 | 25,435 | 74,565 | in progress |
| Fencing (20 casuals 10 days) | 100,000 | 0 | 100,000 | not started |
| Official Opening / Launch | 50,000 | 0 | 50,000 | not started |
| Personnel | 100,000 | 56,000 | 44,000 | |
| TOTAL | 950,000 | 654,665 | 295,335 | |

APPENDIX XII

ASSET REGISTER

Complete for all items with a purchase value of more than Ksh 130,000

| Identification Information (serial number etc.) | Date of Purchase | Description (make and model numbers) | Total Purchase value | Funding Source | Location | Responsible Person / Organisation |
|---|-------------------------|--|-----------------------------|-----------------------|-----------------|--|
| | | | | | | |
| | | | | | | |
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