MANUAL
FOR INSTITUTIONAL FRAMEWORK TO SUPPORT COMMUNTY DEVELOPMENT PLAN IMPLEMENTATION



REPUBLIC OF KENYA

Ministry of Lands, Public Works, Housing and Urban Development

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GLOSSARY

AFD	Agence Française de Développement
CBO	Community Based Organization
CDP	Community Development Project Plan
CIDP	County Integrated Development Plan
CFI	Call for Initiative
CPCT	County Project Coordination Team
CSO	Civil Society Organization
IDA	International Development Association
KISIP	Kenya Informal Settlements Improvement Project
MOU	Memorandum of Understanding
NPCT	National Project Coordination Team
O&M	Operations and Maintenance
PWD	Persons With Disabilities
SEC	Settlement Executive Committee
UFI	Urban Fabric Initiative

July 2024

A MANUAL FOR INSTITUTIONAL FRAMEWORK TO SUPPORT CDP IMPLEMENTATION

WHAT FOR?

- **detail the appropriate processes and procedures** for CDP development and implementation within KISIP2

- **provide frameworks** in which institutions engaged in CDP development and implementation may operate

- **streamline CDP development and implementation processes** across the NPCT and participating County Governments as sound practice

WHOM FOR?

NPCT, CPCTs, Implementing Agencies/Implementing Partner/ Operator, Beneficiary communities, Development Partners supporting similar projects, Civil Society Organizations intending to undertake similar projects, professionals in planning, community development and the built environment.

HOW TO?

The guidelines will be used by counties intending to implement CDPs under the guidance of NPCT with the support of AFD, World Bank or other development partners.

KISIP, AN OPPORTUNITY TO DEVELOP CDP

1. THE KISIP CONTEXT

Kenya continues to face rapid urbanization, with the urban population expected to reach 50 percent by 2050 (KISIP2 Project Operation Manual). This state of urbanization has been characterized by unmatched planning of the urban areas resulting to haphazard developments, insufficient infrastructure services, poor state of housing and increase in the number of people living in slums and inform settlements.

In 2011, the Government of Kenya, with the support of the World Bank and other Development Partners initiated the Kenya Informal Settlements Improvement Project (KISIP 1) to address the poor state of informal settlements in Kenya. The project development objective was to improve the living conditions of people living in informal settlements, and had the following four components :

2011-2020
KISIP 1

COMPONENT 1
Strengthening institutions and program management

COMPONENT 2
Enhancing land tenure security

COMPONENT 3
Investing in Infrastructure and service delivery

COMPONENT 4
Planning for Urban Growth

A second phase of the project, KISIP 2, commenced in 2020 with funding from IDA through the World Bank and AFD. KISIP 2 seeks to improve the living conditions of people living in informal settlements through the following components:

2020-
KISIP 2

COMPONENT 1
Integrated Settlement upgrading

1.1 Land Tenure Regularization
1.2 Infrastructure Upgrading

COMPONENT 2
Socio Economic Inclusion Planning

COMPONENT 3
Institutional Capacity Development for slum upgrading

COMPONENT 4
Program Management and Coordination

Following review and lessons from KISIP 1, which mainly focused on land tenure regularization and infrastructure upgrading, socio economic inclusion was introduced as a new component in KISIP 2.

This *component 2* will support activities aimed at addressing community needs for access to basic services and socio-economic inclusion.

2. THE COMPONENT 2, DEDICATED TO THE CDP

The interventions under the *component 2*, socio economic inclusion planning, include :

1.**Development of Community Development Plans**, at the Settlement level, through a participatory approach, to identify, profile and prioritize the developmental needs of the participating communities. Plan preparation goes through various stages : data collection, needs identification, plan preparation, plan validation. Plan preparation may be undertaken by the Government Agency involved (State Department for Housing and Urban Development or County Government) or by consultants/Civil Society Organization to support the process.

2. **Deployment of Digital Public Work**: Involvement of youth in the participatory collection, synthesis and presentation of spatial and social economic data to inform interventions related to inclusion, resilience, and empowerment.

3. **Implementation of the Community Development Plans**: Co-design and co-construction of identified projects with the communities, development of business models and transfer of business skills to the communities to ensure projects sustainability during operationalization and post project management phases.

What types of projects are included in this *component 2*?

Nairobi, Kisumu, Kakamega, Nakuru and Kilifi County Governments have developed CDPs in selected informal settlements for phase 1.

Main thematic areas covered by the component include solid waste management, crime and violence prevention, socio cohesion and economic empowerment, disaster risk management, climate adaptation and access to existing safety nets.

Projects prioritized by the communities include the following:

- **Small-scale social infrastructure** works, such as community centers, youth centers, day care centers, sports/ play fields and sports activities.

- **Small-scale technical infrastructure** works, responding to disaster risks and impacts such as creating and reinforcing drainages and riverbanks, drainage of stagnant water and remedies against natural hazards and other shocks and stressors.

- **Small-scale community-based solid waste management (SWM) initiatives,** such as waste collection and recycling centers.

- **Small-scale economic infrastructure,** such as *bodaboda* and market shades.

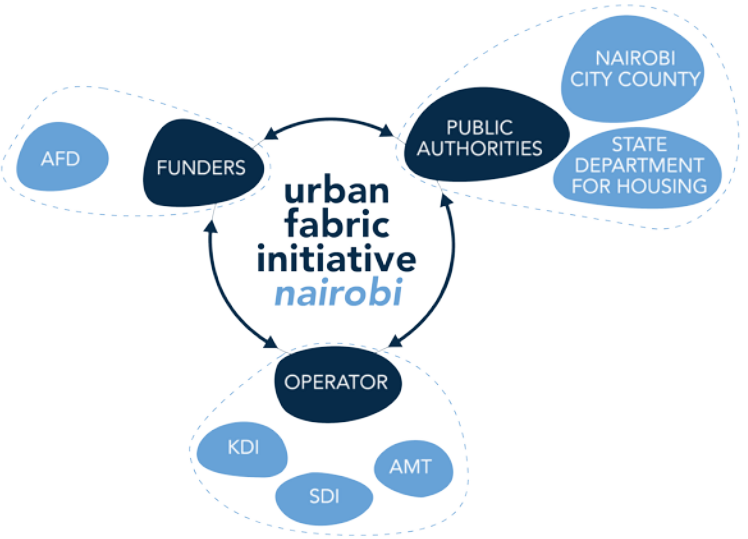
3. A CDP PILOT: THE URBAN FABRIC INITIATIVE

Urban Fabric Initiatives (UFI) are small-scale upgrading projects that address the social economic needs of communities, have lower investment costs compared to other infrastructure works, yet have great impact on livelihoods. The projects are funded by AFD and include upgrades in public space, social infrastructure and income generating projects and are linked to existing urban projects or can be totally new but complementary in nature. UFIs promote citizen participation by placing beneficiaries at the heart of the projects to ensure their needs are met and to facilitate projects sustainability. The projects are co-designed and co-constructed by citizens, government and other urban stakeholders and build on the resident's needs, ideas and innovation on how best to address their needs.



In Kenya, the UFI pilot is implemented under KISIP2 through an implementing agency (operator) that comprises of three consortium members:

- Kounkuey Design Initiative (KDI), as the lead,
- Slum Dwellers International Kenya (SDI-Kenya)
- Akiba Mashinani Trust (AMT)



This operator is implementing five projects, within three informal settlements in Nairobi City County:

City Carton	(1) Rehabilitation of green street towards the river, creation of recreation space and rehabilitation of existing public toilet.
Kayole Soweto	(2) PWD led sanitation (3) Rehabilitation of ICT Lab, Solid waste management, Green NMT alleys
Kahawa Soweto	(4) Health sanitation recovery (5) Play area

Objectives of Nairobi UFI:

1. **Create robust partnerships** between the NPCT, Nairobi City County Government, residents of the three informal settlements and other relevant stakeholders to co-design, co-construct and co-manage the projects.

2. **Support communities** to take lead in identifying their needs, selection of projects, design and construction.

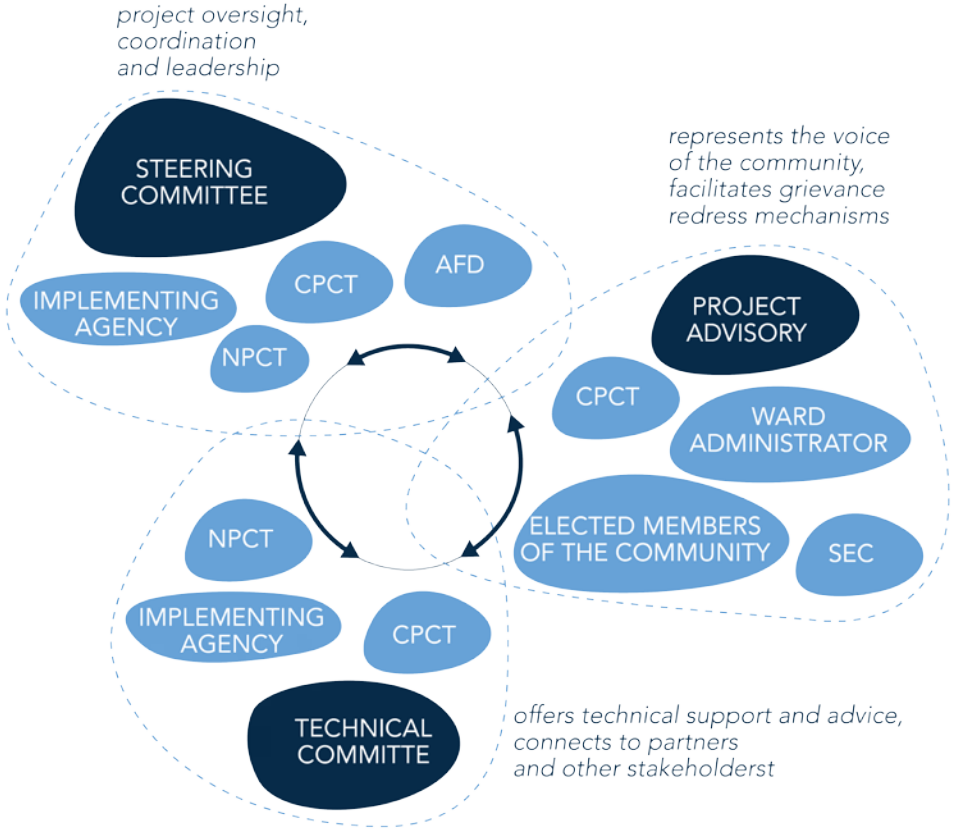
3. **Learn collaboratively** on participatory design and settlement upgrading approaches.

4. **Build capacity** of stakeholders moreso communties to test, design, and manage the collaborative approach in projects.

5. **Encourage collective action** among residents to create new opportunities and social justice action.

6. **Transform informal neighbourhoods** in Nairobi and prepare a future for UFI.

The governance structure of the Nairobi UFI comprises of:



The success of the Nairobi UFI pilot will propel the replication of similar UFIs across Kenya and serve as a guide to implementation of CDPs.



Dakar

Ouagadougou



GUIDELINES TO IMPLEMENT A CDP

1. LOGICAL FRAMEWORK

A logical framework will be developed for each project clearly describing the following:

- **Goal** of the project
- Project **Objectives**
- **Expected outputs and outcomes**
- **Activities** to be undertaken to achieve the output;
- **Resources** required to undertake the activities
- **Indicators** for success. It will be necessary to have specific baseline to enable measuring of success during and after the intervention.
- **Means of verifying** that the output has been achieved
- **Key milestones** in the short term, midterm and long term
- **Who is responsible** at each stage/ activity - key stakeholders, committees and the roles that they play.

The logical framework will support data collection and information on the progress of implementation as well as the outputs of project implementation according to the expected results and assess change based on the baseline.

Schedule of meetings of the committees will also be agreed on and included in the log frame, in addition to information on when to undertake project reviews.

2. GENERIC PRINCIPLES

1. PEOPLE IS THE CENTER.

Projects identified under CDPs are small- scale cost effective projects but with great impact since they touch on people's socio and economic well-being. They are different from major infrastructure works undertaken under KISIP sub-component 1.2, as discussed in 1.1 above, since **they are people centered and focus on community services.**

2. COMMUNITY IS THE LEADER.

Communities are at the heart of the project life cycle through all steps of implementation: needs assessment, planning, plan validation, project identification and prioritization, co-design, co- construction, post project management. This is key to ensure projects sustainability and ownership.

3. COUNTY GOVERNMENTS ARE THE SUPPORT.

County Governments have a critical role in supporting communities in project identification and implementation processes. **CDPs need to be linked to the overall settlement development** (including physical plan), and incorporated in County Integrated Development Plans (CIDP) for synergy from other initiatives.

4. IMPLEMENTING PARTNER IS THE COORDINATOR.

An implementing partner preferably a Civil Society Organization (CSO) must ensure the link between communities and County governments to promote / document community engagement, knowledge, strengths, skills and innovations, and foster partnership model of service delivery in informal settlements. **The implementing partner will be responsible for CDP implementation.**

5. CBO ARE THE OPERATORS.

Community-based Organizations (CBOs) within the targeted settlement would become **the future operator of services developed under CDPs**. They will sign a MoU with the County Government to run the services under specific conditions. CBO must be supported in this role through capacity building activities provided by the implementing partner.

6. SHARING IS PERMAMENT.

CDPs implementation relies on the experience of **community led approaches and human centered design** as tested through the Urban Fabric Initiative (UFI) supported by AFD. Peer learning sessions will be proposed to benefit from feedbacks drawn from existing initiatives locally and globally.

7. INCLUSION IS PRIORITY.

A strong stakeholder engagement plan must be put in place to foster project co-design and avoid project capture by specific groups. The involvement of local leadership for political goodwill is another condition of success. Such plan must ensure the inclusion of PWDs, youths, aged, orphans and women.

8. SUSTAINABILTY IS ESSENTIAL.

The design of small scale infrastructure must be based on a **sustainable business model,** promoting income generating activities to cover operational expenses.

9. LOCAL RESOURCES ARE A MUST.

CDP implementation must promote the use of **local resources,** as skills, manpower and local materials, to ensure sustainability and reduce carbon footprint.

10. LEARNING IS NECESSARY

CDP implementations will be based on a **monitoring and evaluation** mechanism to measure progress and impact of the projects

3. PROCESS OF CDP IMPLEMENTATION

1 INCEPTION

· Mapping of communities and stakeholders.
· Revision of the CDP to extract data and relevant information.
· Set up of the main committees and development of their ToR.
· Kick off *baraza* / engagement with communities .

OUTPUT

· Inception report: project implementation roadmap and stakeholder engagement plan.

2 IDENTIFICATION

· Identification of potential projects and sites with community
· Identification of potential future operator (CBOs).
· Project prioritization based on a well-defined methodology.
A Call for Initiative, with advertisement, evaluation and award, could be used to select the CBOs responsible for implementing the projects on the various sites, and then managing them once delivered.
· Implementation of the due diligence process to confirm project and site eligibility.

OUTPUT

· Project identification report, confirming the site, the project and the potential future partner
· Signing of MOU between Community, implementing agency and County Government/Local authority.

3 CO-DESIGN

· Co-design workshops with different groups to define concept master plan, O&M plan business model, and preliminary design.
· Preparation of space design, cost estimates and tender documents.
· Definition of the construction strategy to
(i) identify and select local workers,
(ii) provide a skilled work supervision team,
(iii) propose a procurement strategy for works and/or materials,
(iv) define a work plan for implementation works.
· Design approval and works permission.

OUTPUT

· Co-design report with preliminary design and operation plan
· Construction framework
· Tender document

4 CO-CONSTRUCTION

· Procurement of works/material
· Contract award and handing over of sites
· Community Labour recruitment and training
· Co-construction of projects

OUTPUT

· Co-construction report

5 ACTIVATION

· Transfer of ownership from implementing partner to county government
· Activities to activate site with communities
· Development of an O&M handbook for the service operator
· Signing of the MoU between service operator and County Government and community

OUTPUT

· Handbook for operation and maintenance;
· MoU signed between service operator and County Government;
· Handover ceremony report with transfer of ownership.

6 OPERATING

· Capacity building activities for service operator to operate facilities
· Project monitoring and evaluation
· End of liability period for the implementing partner
· Project closure

OUTPUT

· Final report with a specific chapter on capacity building to the future service provider

4. SUMMARY OF KEY INSTITUTIONS AND STAKEHOLDERS IN CDP IMPLEMENTATION, THEIR ROLES AND RESPONSIBILITIES

NATIONAL PROJECT COORDINATION TEAM FOR KISIP 2

·**Contractual agency for implementing partners:**
NPCT will handle the procurement process to hire the implementing partners and will be responsible for contract management.

·**Provide guidelines for CDP implementation:**
NPCT will provide support to CPCT and implementing partners during project implementation. This will take the form of national workshop, working sessions with implementing partner, etc. They may take part of the technical committee. NPCT will nominate a focal point per county within the component 2 team.

·**Control quality, monitoring and evaluation:**
NPCT is responsible for the overall M&E of the program, with the support of CPCT. NPCT will be a member of the Steering Committee set up in each county and may participate in technical committees

·**Ensure Projects alignment to KISIP:**
components and Environmental and social safeguards

·**Procurement of materials, tools and equipment:**
NPCT will procure the materials, tools and equipment needed for the works and handover the items to the implementing partner for use in implementation of the works.

COUNTY PROJECT COORDINATION TEAMS FOR KISIP 2

·**CDP ownership:**
The CECM incharge of Housing and Urban and Development will be chair of the CDP steering committee, and the KISIP County Coordinator will be the chair of the technical committee. As the chairpersons in the two commitees, the CECM and KISIP2 County Coordinator will have to approve the different outputs and lead the project implementation process.

·**Facilitate technical discussion:**
the CPCT will have representatives in the technical committee to (i) identify, validate and reserve land, (ii) facilitate the stakeholder engagement process, (iii) review the co-design process, (iv) facilitate the approval process within the County Government, and (v) review the clauses and conditions of the service delivery contract (MoU with future operator).

·**Alignment with KISIP2 and CIDP:**
the CPCT shall ensure the alignment of CDP KISIP2 program and CIDP.

IMPLEMENTING PARTNERS

·**Glue to the entire process:**
The Implementing Partner works with all the institutions involved in the implementation of the CDPS, and also links all of them. At policy and monitoring level, the partner works closely with the NPCT, and with the CPCT and community organs at implementation level.

·**Setting up of governance structure:**
The Implementing partner will facilitate constitution of committees which include the steering committee, technical committee, project advisory committee and any other that may be found necessary during project implementation. The partner will also develop Terms of Reference for the committees and also facilitate meetings/ engagements within the committees and with each other. The implementing Partner will also facilitate development abd signing of MOUs to guide implementation and operations and maintenance.

·**Stakeholders coordination:**
Coordination of stakeholders will mainly be through the governance structure represented by the committees. All the key stakeholders will participate in respective committees.

·**Co-design:**
This entails design of projects identified by the community. The co-design stage may involve the entire community and not only the CBO / service operator. The local leadership including area chief, ward and sub county administrators are useful in mobilizing communities to participate in the co-design process. The co-design process supports translating identified community needs to visual solutions. In readiness for the construction phase, the implementing partner will compile a final list of investments based on technical feasibility and E&S screening

·**Co–implementation:**
Contractors are identified by the implementing agency to support construction of the projects. Communities are at the heart of co- implementation and provide unskilled labour and part of skilled labour if it's available in the community. Engagement of technical expertise to supervise projects: The implementing partner hires technical expertise to supervise the projects, in cases where the partner does not have adequate technical staff. The technical experts manage the contracts, supervise projects to ensure they are constructed within cost and time and also support in dispute resolution. They report to the implementing partner.

·**Training of communities – business development:** Training of communities in various aspects of project management and especially business development is critical as it supports them in creating a business model for their projects way before implementation through firming up of business plans and determining cost of services to ensure revenue for group and sustainability of the project. Capacity building in business development could be extended to beyond the group to encourage similar projects within the community for upscaling.

·**Project Monitoring, Evaluation and Learning:**
Although the implementing partner has in house monitoring capacity, the NPCT and CPCT have critical role to play in monitoring indicators throughout the project cycle, and the sale for the wider steering and technical committees where the two institutions also sit.

SERVICE OPERATOR (CBOS)

· **Link to the community:**
Projects to be implemented under CDPs and UFIs are anchored within active CBOs which serve as the link between the community and implementing partner. The CBOs are designated as Co-design workshop mobilizers and co-facilitators, thereby ensuring community participation in the workshops. Additionally, these groups represent the various settlements, ensuring that the project is inclusive and reflective of the realities of these communities.

· **Projects identification:**
A call for Initiative (CFI) process may be adopted to select the most suitable project to address community need. Such projects are already existing within the communities and implemented by CBOs, but requiring support for upscaling or improvement. The initial CDP ideas, including the project sites, may be submitted by the CBOs through the call for initiatives process. The implementing partner may thereafter work closely with the CBOs to ensure that the proposed interventions address the needs of the communities they represent.

· **Facilitate projects upscaling and replication:**
Lessons learnt from such projects, whether positive or negative facilitate replication and upscaling to address community needs. The CBOs will be responsible for maintenance, operations and management of the facilities developed ensuring that they are sustainable. Lessons from the whole CDP and UFI process from Site selection to post implementation will be key in future scale-ups.

COMMUNITIES

· **Community needs identification, validation and prioritization:**
The settlements are identified collaboratively between the NPCT, CPCT and Implementing partner. The process is guided by a set selection criteria. Communities are able to validate and prioritize the various needs and ideas put forward through a co-design process. Prioritization of projects is done based on constraints of space, time and available budget.

· **Conflict resolution:**
Conflicts are channeled through the advisory committee composed of the Grievance redress committee, local leadership and other community members. The conflicts raised are documented in the project Grievance book. Feedback on the resolution of the grievances is communicated to both the steering and technical committees.

· **Provision of labour:**
communities may be guaranteed work during the construction phase as an incentive for their participation in workshops and meetings during the co-design process. It is necessary that it is made mandatory for the contractors to hire unskilled and semi skilled labour from the respective communities.

· **Co-design with implementing partner:**
Through the co-design process, the community is able to validate the sites proposed by the CBOs, address any issues associated with these sites, and identify key stakeholders to be involved. They also participate in identifying community challenges, developing initial ideas, validating and prioritizing community needs, and reviewing the design proposals presented by the implementing partner.

·**Co-implementation**:
In readiness for the construction phase, the implementing partner will compiled a list of the workforce from the settlements by prioritizing individuals based on their frequency of workshop attendance. This process will involve using attendance sheets to ensure transparency and fairness in selecting the workforce for the implementation phase.

·**Co-management:**
The UFI facilities will be co-managed between the County Government represented by the CPCT and the CBOs. The roles of each partner will be clearly detailed in the Operations MoU.

DEVELOPMENT PARTNERS

·**Project funding:**
Funding by Development partners is through grant or loan. Loans are mainly through Government while grants may come through government or the implementing partner. The development partner may fund the entire project or fund part while the rest is funded by Government or other organizations including the implementing partner.

·**Best practice:**
A critical role of the development partner is sharing of best practices in similar projects considering their wide scope of global experience. This ensures that positive lessons are upscaled while the project also avoids pitfalls experienced in other projects of similar nature.

·**Oversight through steering committee:**
Development Partners also provide oversight through the steering committee that provides approval of critical stages and monitors progress of implementation.

OTHER POTENTIAL IMPLEMENTING PARTNERS

·**Regulatory service providers:**
Other institutions like Kenya Urban Roads Autority (KURA), National Environment Management Authority (NEMA), Nairobi Water and sewerage Company, Athi Water, Kenya Railways etc. may also support similar projects through issuing right of use of land close to the settlements or by supporting provision of infrastructure and services under their jurisdiction.

·**Media:**
The media is key in publicity. Negative publicity deters project implementation while positive publicity promoted project ownership and sensitization hence facilitating upscaling in other areas.

·**Political leadership:**
Members of the County Assembly, Members of Parliament, Senators, Governors and other political leaders within the settlements areas also have critical roles to play in community mobilization, mobilization of finance and support to project implementation in line with development plans of the areas



5. ROLES OF THE 3 MAIN COMMITTEES

STEERING COMMITTEE

· **Coordinate and implement the projects:**
ensuring alignment with the budgets, work plans and procurement plans.

· **Project Oversight:**
The Steering Committee will provide general project oversight. The SC will meet quarterly to consider approval requests and progress reports submitted by the Implementing Agency.

· **Offer Strategic Direction:**
The Steering committee is key in developing, supervising and validating critical project milestones in line with the principles and values agreed upon between the Implementing Agency, NPCT, CPCT and AFD. The SC is also the link between the project and other strategic partners and assists in unlocking bottlenecks hindering project progress.

· **Facilitate Approvals and Permissions:**
The SC will also consider and approve proposals for the development of the projects.

· **Lead in coordination and communication:**
The SC with the support of the UFI Operator will ensure efficient dialogue and sharing of information with all stakeholders.

TECHNICAL COMMITTEE

· **Project plan development and implementation:**
Contribute to the day to day implementation of the project based on work plan and expected outputs, coordination of technical departments and stakeholders with a role to play in the projects, resolution of technical matters to ensure results.

· **Technical Support:**
Provide Technical Support based on their area of expertise to the Steering Committee and to the larger project implementation team. They will also be an important link between the various stakeholders. The Technical team will also ensure compliance with the necessary law and standards.

· **Monitoring Evaluation and Learning:**
Contribute to MEL throughout the project. Develop and continuously review the MEL strategy. Support data collection and documentation of the project. Review project progress and adopt an adaptive learning approach

· **Capacity Building:**
Provide a platform for peer learning and capacity building amongst members and with the community.

PROJECT ADVISORY

· **Represents the community:**
ensure that community needs are identified, addressed and that the project is inclusive of all residents, local institutions, including representation from marginalized groups, PWDs, women, youth and older persons.

· **Project oversight:**
Ensures that prioritized projects and needs are implemented as planned. Also ensures that there is communication on the project to and from the community

· **Ambassadors of the projects:**
Act as the voice of the project to the community and vice versa and facilitate a safe environment for the project team. They also serve as the link between the project team and local leadership.

· **Facilitates community engagement:**
through mapping of community stakeholders and provision of platform for engagement and grievance redress mechanisms

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