



**MINISTRY OF TRANSPORT, INFRASTRUCTURE, HOUSING, URBAN DEVELOPMENT  
AND PUBLIC WORKS**  
**STATE DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**  
**SECOND KENYA INFORMAL SETTLEMENTS IMPROVEMENT PROJECT (KISIP2)**

**Credit No: 6759-KE**

**Terms of Reference**

**Consultancy Services for Development of  
Settlement Level Community Development Plans Including Sub-Action Plans on Socio-Economic  
Inclusion, Investment Selection, Crime and Violence Prevention, Disaster Management and Solid  
Waste Management in selected Informal Settlements in Kisumu & Kakamega Counties (11No.  
Settlements) Cluster 3**

**Contract No: KE-MOTI-245285-CS-QCBS**

July, 2021

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## 1. Introduction

The Government of Kenya has received a credit from the International Development Agency (IDA) towards financing of the Second Kenya Informal Settlements Improvement Project (KISIP2) and intends to apply part of the proceeds of the credit to procure **Consultancy Services for Development of Settlement Level Community Development Plans Including Sub-Action Plans on Socio-Economic Inclusion, Investment Selection, Crime and Violence Prevention, Disaster Management and Solid Waste Management in selected Informal Settlements in Kisumu and Kakamega Counties (IINo. Settlements) Cluster 3**, that seek to enhance social and economic inclusion of the targeted beneficiaries. The CDPs will include sub action plans on investment selection, disaster management, solid waste management, socio-economic, vulnerability and crime and violence, to offer technical assistance to the project.

The overall project development objective is to improve access to basic services and tenure security of residents in participating urban informal settlements and strengthen institutional capacity for slum upgrading in Kenya.

This Project, while concentrating on informal settlements, complements existing and past Urban operations in Kenya which address the Urban infrastructure deficit and Urban institutional challenges. It supports the Governments' affordable housing agenda as it seeks to complement the demand-side and supply-side operations to improve housing affordability.

The project has the following four components:

***Component 1: Integrated Settlement Upgrading.*** This component supports settlement upgrading through two main interventions classified under two sub-components:

***Subcomponent 1.1: Tenure regularization-*** coordinates regularization of tenure for people living on uncontested public lands whose process includes: Development of a local physical and land use development plan for the settlement which lays out land parcels and wayleaves for infrastructure like roads, drainage, walkways; Surveying with physical placement of beacons to demarcate the parcels as per the plan; Preparation list of beneficiaries and or issuance of letters of allotment based on the survey plan; and Issuance of titles.

***Sub-component 1.2: Infrastructure Upgrading***

Coordinates infrastructure investment portfolio whose menu includes: water and sanitation systems, storm water drainage, solid waste collection and settlement sorting, pedestrian walkways, cycle paths, roads, street and security lighting, vending platforms, public parks, and green spaces. It further includes investments related to prevention of crime and violence, including but not limited to community centers.

***Component 2: Socio-Economic Inclusion Planning***

This component supports community development plans to enhance social and economic inclusion, identifies beneficiaries who fit the eligibility criteria of government programs but are excluded and connects them appropriately, supports participatory crime and violence mapping, monitors the employment of local labor, carries out community capacity building and awareness raising for various project interventions including community-based solid waste management.

***Component 3: Institutional Capacity Development for Slum Upgrading***

This component supports institutional and policy development at national and county levels; develops a capacity building plan for national and county levels to implement the Strategy and to develop

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understanding of slum upgrading processes; also supports technical assistance, training, workshops and learning events, experience sharing and peer-learning activities with other counties, and other capacity building activities.

#### ***Component 4: Program Management and Coordination***

This component supports activities of the NPCT and the CPCTs related to national and county-level project management and coordination, including planning, surveying, engineering, fiduciary (financial management and procurement), safeguards compliance and monitoring, monitoring and evaluation (M&E), communication and community development.

### **2. Objective of the Consultancy**

The main objective of this assignment is to facilitate community-led development planning and socio-economic inclusion, and enhance the capacity of the communities to address their development challenges and vulnerabilities. Particularly the community development plans collectively seek to utilize high frequency spatial and socio-economic locally collected data to inform interventions geared towards inclusion, resilience and empowerment of the urban poor.

The specific objectives of assignment are to develop, for each selected informal settlement's:

- Socio-economic inclusion plans that target to ensure participation of the vulnerable members of communities is achieved in all the participating informal settlements; This will include identification of existing socio-economic opportunities within the settlement as barriers limiting their access.
- A toolkit for Crime and violence Prevention through Environmental Design (CPTED) investments including a strategy and guideline for their utilization
- Solid Waste Management (SWM) Plans based on solid waste management strategy developed under KISIP 1 and community consultations. The consultancy will also look at how income generating opportunities can be develop with a focus on supporting economic and livelihoods benefits of solid waste management.
- A community disaster preparedness and management plan to enhance the resilience of communities to potential disasters
- A community investment plan that prioritizes potential investments identified by the communities themselves through a consultative process

- 3. Content Scope:** The consulting firm is expected to develop CDPs to enhance social and economic inclusion of the target beneficiaries in the participating informal settlements. The CDPs which are to be developed through a participatory approach that engages the target beneficiaries, will seek to identify community socio-economic needs and recommend appropriate and feasible strategies for satisfying the identified needs. In developing the CDPs, the consulting firm is expected to review and use the findings of the socio-economic surveys conducted under component 1 of the project. The consulting firm is also expected to identify vulnerable households and link them to already existing socio-economic opportunities within the settlement as well as those provided through projects financed by the World Bank, National and County governments and other development partners.

The Community Development Plans will be composed of a suit of the following Action Plans:

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- a) Socio-economic inclusion plans
  - b) Community Investment plans
  - c) Crime and Violence Prevention Action Plan
  - d) Community Solid Waste Management Plans
  - e) Community Disaster Management Plans

The Consultancy will also develop a tool kit for Crime and Violence Prevention through Environmental Design (CPTED) investments including a strategy and guideline for their utilization.

#### **4. Tasks**

The main task to be carried out under this consultancy service, is the development of CDPs that is composed of a number of sub action plans addressing different thematic areas which collectively seek to enhance the socio-economic inclusion of the target beneficiaries in each participating informal settlement. The sub action plans include:

##### **A. Socio-economic Inclusion Plan**

Based on the review of existing socio-economic survey reports/plans and through a participatory process that engages target community, the consultants shall develop a socio-economic inclusion plan for each settlement. The plan should be quantifiable, cost-effective and implementable within the KISIP2 project. Specifically, this entails:

- Developing a socio-economic profile of each target community for each informal settlement
- Identifying the socio-economic needs of each target community including impacts of Covid-19 pandemic and recommend feasible measures for addressing the identified needs
- Identify potential socio-economic opportunities existing within each settlement and factors hindering their exploitation This will also include identification of barriers for accessing such opportunities and recommend appropriate measures for addressing the barriers
- Identify and map out existing safety nets projects/programmes and community initiatives
- Develop an eligibility criterion for participation in the socio-economic inclusion program
- Identify beneficiaries in liaison with the county PCT and community using existing census from the socio-economic report as well as ground verification
- Develop strategy of the linkage and guidelines of implementation of the same while ensuring a strengthened engagement mechanism among key stakeholders particularly between County(ies) and Community(ies).
- Create a basic database entailing details of the beneficiaries and socio-economic opportunity each has been linked to.
- Recommend relevant capacity development actions for enhancing exploitation/access the identified to economic opportunities that exists within the various informal settlements
- Outline activities to be implemented with clear output, timelines, responsible persons as well as financial resource requirement for implementation of the plan

##### **B. Community Solid Waste Management Plan**

Based on the existing solid waste management strategy developed under KISIP 1, the consulting firm will develop relevant and settlement-specific community solid waste management plans with a focus on supporting community awareness on settlement-level SWM practices, capacity building of community groups, and income-generating potential of SWM. Further, capacity development should primarily focus

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on organizing communities in groups/committees, community-led collection and management of waste and the O&M of drainage infrastructure.

The consultancy will specifically entail:

- Review and update the existing community solid waste management strategy developed under KISIP I
- Conduct community consultations and identify income-generating SWM opportunities in the settlements
- Determine institutional, capacity, technological, and other resource requirements necessary to sustainably and cost-effectively manage solid waste in the settlements by communities
- Prepare settlement-specific Solid Waste Management Plans
- Identify and appraise community-based groups involved in solid waste management at settlement level, and propose capacity building plan to enhance their work
- Develop simple management tools that can be used by community groups, including waste tracking and recording tools, monitoring tools, customer records, financial records etc.
- Identify activities within the strategy/plan which can be financed by KISIP 2, and for each activity to be financed by KISIP 2, develop a simple business plan to demonstrate the cost-effectiveness and sustainability.
- Outline activities to be implemented with clear output, timelines, responsible persons as well as financial resource requirement for implementation of the plan

### **C. Crime and Violence Prevention Action Plan**

The component seeks to reduce the risk of crime and violence within the informal settlement through the use of Crime Prevention through Environmental Design (CPTED) approach. The CPTED is viewed as a sustainable strategy for effective crime prevention and control. The approach asserts that the community, homeowners, planners, developers and architects can play a greater role in protecting the community and themselves from crime by integrating CPTED principles and concepts into the design and management of the physical environment. In this connection,

Under this task, the consultants will undertake participatory crime and violence mapping to identify hotspots which can be made safer through appropriate investments choices. Such infrastructure may entail energy efficient lightings, installation of gates, rehabilitation of public spaces, and others following the principals of crime prevention through environmental design. As such, in liaison with NPCT, County teams and participating communities, the consultants will design a toolkit for Crime prevention through Environmental Design (CPTED) investments, a strategy and utilization guidelines., This will specifically entail:

- Establish the type of violence and criminal activities that occur in this community including the frequency of occurrence.
- Establish the hotspot areas and some of the factors that predispose such areas for criminal activities (the why this site?)
- Identify some of the causes of violence and criminal activities and elaborate ways that the community is currently dealing with violence and criminal activities.

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- Identify who in the community is mostly involved in violence and criminal activities and the actions that would potentially help to dissuade such violence and criminal activities?
  - Analyze both quantitative and qualitative data about the settlement specific violence and criminal activities and outline strategies of how CPTED principles could be applied to solve it.
  - Identify any other additional environmental design actions need to be taken to address violence and criminal activity (software and hardware).
  - Identify potential stakeholders to support the CPTED within the settlements
  - Develop the CPTED strategy, toolkit and guidelines for it use. The strategy should outline the specific activities to be implemented with clear output, timelines, responsible persons as well as financial resource requirement for implementation of the CPTED plan

#### **D. Investment Selection and Prioritization Plan**

Through the review of the socio-economic survey report, existing county and national government plans as well as engagement of target beneficiaries, the consultants will develop the investment plan for each informal settlement. The investment plans seek to identify the existing gaps related to infrastructure that are necessary for provision of essential social service to the community. In doing this the plan will also seek to identify priority social service infrastructure that are necessary for enhance socio-economic wellbeing of the targeted beneficiaries. Specifically, the consultant will:

- Identify the social service infrastructure available in this community and map these out on a geospatial map
- Demonstrate the challenge of access to key infrastructural services spatially vis a vis population
- The status of the infrastructure currently available in the community working
- Highlight the infrastructural related challenges and opportunities that exists in the community
- Identify the measures currently put in place by the community in address some of infrastructural related challenges
- Identify priority community infrastructure needs and the specific area are they proposed for
- Establish the likely number of households to benefit from the priority infrastructure?
- Besides financing, highlight any other requirements that are necessary for providing the needed infrastructure
- Elaborate the strategy that will be put in place for sustaining the proposed infrastructure by the community including its operationalization
- What institutions involved in infrastructural development and management exists in the community (Institutional mapping and identification of potential partners)?
- Are there any planned infrastructural projects within the community by the national government or other development partners?
- Outline activities to be implemented with clear output, timelines, responsible persons as well as financial resource requirement for implementation of the plan

#### **E. Disaster Management Plan**

The consultants will develop a Disaster Management Plan (DMP) in close consultation with both the nation, county teams as well as key stakeholders. Consultation with the target community will also be a key element in the development of the DMP

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- Identify past, current, and potential hazards and disasters in the communities, their causes, and likelihood of occurrence
  - Classify the identified disasters based on their causes, likelihood of occurrence, and potential impacts on people, community assets/infrastructure, and livelihoods
  - Document past and potential impacts of disasters on people, community assets/infrastructure, and livelihoods.
  - Identify vulnerabilities that enhance the occurrence and impacts of the disasters
  - Document and analyze how the communities currently reduce, prepare, manage, cope with disasters
  - Identify the challenges faced by the communities in disaster management and how they have been addressed.
  - Identify the actions and investments required to prepare, reduce, and manage the disasters and reduce impacts on people, assets, infrastructure, and livelihoods.  
Develop a Community Settlement-Specific Disaster Management Plan with clear output, timelines, responsible persons as well as financial resource requirement for implementation of the plan

## 5. Deliverables

The Consultants shall prepare and submit the following main reports:

- a. **Inception Report** shall be submitted **2 weeks** after commencement of the consultancy service (3copies). The inception report shall outline the methodology of undertaking the assignment and full details of the Consultant's mobilization status. Details shall also be recorded of the date of payment of the advance payment, (if any), and thereby the Date of Effectiveness and commencement of the consultancy contract; the situation on-Site/in-country as compared to that envisaged in the Consultant's proposal and any changes proposed to the Terms of Reference as a result of the Consultant's findings; an updated work plan (including actual dates for submission of deliverables).
- b. The **draft CDPs for individual settlements** to be submitted **15 months** after commencement of the consultancy service. The draft reports shall outline the CDPs including the sub action plans for the different informal settlements. The draft report should also summarize the outputs in terms of findings, analysis of results and clear action planning including resource allocation for the various activities outlined for implementation.
- c. **Compiled Final Community Development Plans** that include all the sub action plans for each informal settlement to be submitted **18**
- d. **months** after commencement of the consultancy service.

## 6. Community Development Plans

In details, the Consultants shall prepare and submit the following sub-action plans and reports which shall culminate to settlement specific community development plans: -

- a) Socio-economic inclusion plans entailing: -
  1. Socio-economic profiles for each settlement
  2. Data Report for each settlement - on the existing safety net programmes and Potential opportunities, Complete list of eligible beneficiaries by gender
  3. Strategy Report for each settlement - on how the linkages to the SNP and potential opportunities will be done

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4. Report for each settlement with a basic database entailing details of the beneficiaries and socio-economic opportunity that each has been linked to.
    - b) Investment selection and prioritization action plan
    - c) Specific settlement-based community SWM Plans for each settlement highlighting the mechanism and guidelines for implementation
    - d) Toolkit, strategy and guidelines of utilization report for crime prevention through environmental design (CPTED) investments
    - e) Settlement specific Community Disaster Management Plans

The final documents shall be a compiled draft and final reports per County – These will form a comprehensive record of all deliverables per county. The Consultant shall submit the above-mentioned reports to the project coordinator duly bound in sequential manner with table of contents upfront and cover titles on the front cover.

## 7. Coverage

The scope of services is in eleven (11) Informal settlements in Kisumu & Kakamega Counties as per the tables in Annex 1 indicating specific settlements.

## 8. Duration

It is expected that the assignment will start upon signing the contract and will take a period of **18 months** from contract commencement date.

## 9. Deliverables/Outputs

The consultant shall submit the following reports. The specified copies of each of the listed reports shall be sent to the client.

<b>Outputs</b>	<b>Time schedules after signing the contract</b>	<b>Format of presentation</b>
Inception report including methodology to be adopted by the firm and timetable of the assignment, data collection tools, panel of experts and timelines for delivery of the various outputs including a schedule of payment	2 weeks	3 hard copies and 2 digital (CD & Email)
Draft Investment Selection and prioritization action plan	4 months	3 hard copies and 2 digital (CD & Email)
Data Report for each settlement - on the existing safety net programmes and Potential opportunities, Complete list of eligible beneficiaries by gender	6 months	3 hard copies and 2 digital (CD & Email)
Draft Socio-economic inclusion plan for each informal settlement	8 months	3 hard copies and 2 digital (CD & Email)
Specific settlement-based community SWM Plans for each settlement highlighting the mechanism and guidelines for implementation	9 months	3 hard copies and 2 digital (CD & Email)



Draft crime and violence prevention action plan for each informal settlement	10 months	3 hard copies and 2 digital (CD & Email)
Toolkit for Crime prevention through Environmental Design (CPTED) investments and a report on strategy and guidelines of utilization	12 months	3 hard copies and 2 digital (CD & Email)
Settlement specific Disaster Management Plan	13 months	3 hard copies and 2 digital (CD & Email)
Draft Compiled Community Development Plans	15 months	3 hard copies and 2 digital (CD & Email)
Compiled final Community Development Plans that include all the sub action plans for each informal settlement	18 months	4 hard copies and 2 digital (CD & Email)

The above timelines are indicative only, and the Consultant is expected to present a detailed work plan with timelines at inception based on the methodology.

**10. Communication/Language**

All reports and communications related to this assignment shall be in the English Language and all reports shall conform to a format agreed with client, including an executive summary, a table of contents, standard cover sheet with date and project details, submittal letter showing those copied and actual date of submission. All reports and communications will be sent directly to the project coordinator/client in the number and form specified.

**11. Monthly Progress Reports**

The consultant shall provide a comprehensive progress reports for each calendar month on the first week of the subsequent month until the end of the project and/or as per instructed by the client. The report shall include milestones, meetings held, field activities, challenges faced, recommendations and any other relevant details.

**12. Final Completion Report**

Tasks for each settlement will be considered complete once all the above listed outputs have been submitted, checked and approved by the relevant institutions and found to be in accordance with the provisions of the contract.

**13. Expertise Requirements from the Firm.**

The Consultants shall be well qualified and experienced professionals as required and appropriate for completion of the exercise. They should possess necessary resources to undertake works of such nature including equipment and software required (this will be inspected before signing of contract). The consulting firm must also have local experience of this type of assignments. The key professionals shall personally carry out (with any assistance of junior staff deemed appropriate) the services as described in this TOR. The key experts to be provided by the Consultants for this assignment are as follows: -

**a. Team Leader/Principal Consultant**

1. Master’s Degree in Development Studies, Social Sciences, Socio – Economics, or related degree in the field area.
2. A minimum of Ten (10) years of professional experience in preferably Socio-economic surveys and research or similar assignments; demonstrate at least five (5) of which

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working with donors and/or government partners and other stakeholders in informal settlement projects.

3. Be registered with relevant professional bodies.
4. Proven Experience in Project Management of similar assignments to the tasks.
5. Must be conversant with the relevant laws and regulations pertaining the project implementation
6. Ability and proven experience in multi-tasking, in taking initiative, working effectively under pressure and as member of a team
7. Effective interpersonal skills and ability to diplomatically handle sensitive situations with different stakeholders
8. Must be versed with computer applications specifically MS Office software and contract/project management software (Ms Project).
9. Be able to perform any other relevant duty assigned by the client

**b. Sociologist/Community Development**

1. Post Graduate Degree in Community Development, Sociology, Planning, Project Management or any similar degree.
2. At least five (5No.) years' demonstrable experience of similar assignment in urban informal settlements including community mobilization, organization and empowerment as well as data collection and analysis.
3. Must be conversant with the relevant laws and regulations pertaining the project implementation
4. Ability and proven experience in multi-tasking, in taking initiative, working effectively under pressure and as member of a team
5. Effective interpersonal skills and ability to diplomatically handle sensitive situations with different stakeholders
6. Must be versed with computer applications specifically MS Office software

**c. Solid Waste Management Expert/Environmental**

1. Post Graduate qualification in an Environment or Natural Resources Management field, with ten (10) years relevant experience in solid waste management,
2. Registered with the relevant professional body and the National Environmental Management Authority (NEMA) as EIA Lead Expert or Associate.
3. Demonstrable experience in solid waste management as well as conversant with the policy, legal and institutional framework for waste management in Kenya
4. Experience in designing innovative solid waste management solutions for urban informal settlements is highly desirable.

**d. Statistics Expert/Monitoring and Evaluation**

1. Degree in statistics, Monitoring and Evaluation, Mathematics or related degree
2. Over 5 years' experience in data collection and analysis/ census, or conducting monitoring and evaluation in projects.
3. Demonstrate ability to collect and package data using statistical packages.

**e. Disaster Risk Management Expert**

1. Degree in Disaster and Risk Management related field
2. At least 10 years demonstrable experience in disaster and risk management, 2 of them at policy level

**f. GIS Expert.**

1. Bachelor Degree in Geospatial information (GIS)
2. Must have worked as a GIS specialist for at least five (5) years in a planning and surveying environment and has experience in database creation.
3. Must be a member of the Institution of Surveyors of Kenya (ISK) or equivalent body.

**14. Responsibilities of the Client**

The Client will provide to and collaborate with the Consultant in making sure that relevant documents to the project are available subject to the extent of availability of such information e.g.

- KISIP II Project Appraisal Document (PAD)
- Available socio-economic reports and data for the settlements to the extent of their availability
- Environmental and Social Management Framework
- Provide any other relevant information.

The Client will also facilitate the Consultant's access to Government Departments

**15. Responsibilities of the Consultant**

The Consultant shall be responsible for the provision of all the necessary resources to carry out the services such as international travel, project transportation for visits in counties, subsistence allowances, accommodation, information technology, and means for communications, reporting materials, insurance and any other required resources.

The consultant is expected to undertake activities that will ensure that outputs are consistent with the professional and legal requirements. All outputs will be presented using modern techniques/technology. It is also required that the data is generated through a consultative process that guarantees authenticity and ownership.

**ANNEX 1**

List of Settlements - Cluster 3

<b>County</b>	<b>Name of Settlement</b>
Kisumu	Bandani
	Kibuye
	Manyatta A
	Manyatta B
	Muhoroni
	Nyawita
Kakamega	Amalembe
	Jua Kali
	Mjini
	Lukoye
	Shibale

