



State Department for Housing and Urban Development

MINISTRY OF LANDS, PUBLIC WORKS, HOUSING & URBAN DEVELOPMENT

Second Kenya Urban Support Program (KUSP2)

Project No.: P177048

Credit No.: 7349-KE; 7350-KE; IDA Grant Number E208-KE

Terms of Reference

for

Consultancy Services for Design, Preparation of Technical specifications and Bidding

documents for an electronic Grievance Redress Management (e-GRM) system

(Individual Consultant)

Contract No.: KE-MoTI-434503-CS-INDV

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Client:

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1. Background

The Kenya National Urban Development Policy (NUDP), formally launched in early 2016, envisions secure, well governed, competitive and sustainable urban areas and cities, and aims to facilitate sustainable urbanization through good governance and the delivery of accessible quality and efficient infrastructure and services. The Government in 2017 developed Kenya Urban Program (KenUP), a five (5) year program, as one of the programs to implement and operationalize aspects of the National Urban Development Policy with a clear focus on Kenya's urban areas. The total cost for the program was estimated at USD 1 billion.

Through its support to the urban sector in Kenya, the World Bank, in collaboration with the then Ministry of Transport, Infrastructure, Housing and Urban Development (MTIHU), prepared the Kenya Urban Support Program (KUSP) at a cost of USD300million, which supported the implementation of KenUP. KUSP became "effective" on 11th January 2018 and closed on 31st December 2023. The program established and strengthened urban management institutions through county governments through three windows: Window 1 at the National government through the Urban Development Department (UDD) of the State Department for Housing and Urban Development (\$30.3m). County governments received capacity-building funding through window 2 (\$22.2m). The bulk of the funding went into urban infrastructure through urban boards under window 3 (\$247.5m).

As the first phase of KenUP ended in 2022, the Government of Kenya developed the second Kenya Urban Programme (KenUP2) strategy which is a deliberate government-led process of coordinating and rallying various actors for a common goal/vision for the desired resource mobilization to fund the National Urban Development Policy (NUDP) strategies in the next cycle of 5 years, horizon from July 2022.

As a continuation of its support to the urban sector in Kenya, the World Bank, together with the State Department for Housing and Urban Development (SDHUD) in the Ministry of Lands, Public Works, Housing and Urban Development (MLPWHUD), has prepared the Second Kenya Urban Support Program (KUSP2) at a cost of USD 350million which will support the implementation of KenUP2.

KUSP2 will be implemented in 45 counties and 79 municipalities including 2 refugee hosting urban areas under the SDHUD in liaison with the Council of Governors (CoG) and the Department for Refugee Services (DRS). The Program Development Objective (PDO) is to strengthen the capacities of urban institutions to: -

- (i) improve the delivery and resilience of urban infrastructure and services
- (ii) enhance private sector engagement in urban planning, and
- (iii) support the transition of refugee camps into integrated host communities and refugee settlements.

The program objective will be achieved through five main result areas: RA1. Strengthened institutions for urban service delivery; RA2. Integrated planning for Inclusive and resilient urban areas; RA3. Inclusive and resilient urban infrastructure & services; RA4. Improved private sector engagement/involvement; and RA5. Improved integrated development between refugees and host communities.

The Government of Kenya, through SDHUD, now intends to use part of the KUSP2 funds to finance the Consultancy Services for Design, Preparation of Technical specifications and Bidding documents for an electronic Grievance Redress Management (e-GRM) system to facilitate efficient and timely management of the program related grievances.

2. Objective of the assignment

KUSP2 has been initiated in cognizance of the need for a proactive stakeholder interaction and enhanced grievance management by leveraging on the available technological advancements. The program implementation will involve various stakeholders including counties/municipalities, consultancy/contracting firms, Ministries, Departments and Agencies (MDA's), communities and individuals. SDHUD and the participating municipalities recognize notable challenges in receiving and processing program-specific grievances experienced during KUSP1 implementation. These include but are not limited to inconsistent,

poorly documented and maintained records related to grievances, and necessitates the need for a computerized grievance redress system that will provide an integrated platform for the uptake, recording, resolution and feedback on grievances related to the program.

The key objective of this assignment is therefore to establish a web-based (electronic) system for receiving and managing program-specific grievances, i.e., an e-GRM system; and to provide a multi-faceted platform for receiving stakeholder feedback on the program activities. The e-GRM will enhance complaints handling efficiency, and serve as an alternative avenue for stakeholders to seek redress through the multiple uptake channels presented by the system.

3. Scope of the consulting services and specific tasks

3.1 Scope of consulting services

The scope of activities to be undertaken under the consultancy include the following tasks:

Task 1: e-GRM system design; a robust internal software platform that allows for receiving, recording, analysing and reporting on program-specific complaints from the stakeholders, including project-affected persons, program beneficiaries, local communities, civil society organizations, etc. It is expected that the e-GRM may be integrated with the program website allowing for an alternative channel for stakeholders to lodge complaints through the website and to disseminate the GRM reports to a range of stakeholders;

Task 2: Preparation of Technical specifications with detailed description of the hardware and software requirements necessary to ensure the system's optimal performance of the tasks in 1 above, and

Task 3: Preparation of Bidding documents and Schedule of cost estimates for the e-GRM system in line with the Bank's procurement guidelines.

Task 4: Technical backstopping to the system development, testing and commissioning by the selected service provider

The tasks are further described in detail below:

3.2 Specific Tasks

3.2.1 Task 1: Develop and operationalize a digitalized Grievance Redress mechanism (e-GRM) system

The consultant will develop a software platform that will facilitate the NPCT and implementing counties/municipalities to receive, record, investigate, analyse, resolve and close-out grievances related to KUSP2 activities. The e-GRM should build on experiences of KUSP1 and align with existing local pathways (formal and informal), for resolving complaints. These may include oral, written, and electronic notification. The e-GRM will encompass all steps relevant to managing program-related complaints, and include multiple channels for submitting grievances, acknowledging receipt of complaints, determining escalation pathways and time frames, determining responsibilities, determining reporting requirements, and developing appropriate methods for providing feedback.

Subsequently, the e-GRM system may be linked to the KUSP2 website, providing an additional uptake channel through which beneficiaries, project-affected persons, and other stakeholders can register project-related complaints and compliments. The system will register and track these complaints to their resolution and will send out status alerts to ensure timely resolution, where practically feasible, within (30) days of recording. The system should leverage on Artificial Intelligence (AI) advancements to enable automated

analysis of recorded cases, generation of status reports and prediction of emerging trends for strategic planning purposes.

Specific activities to be completed under this task include, but not limited to, the following:

- a. An assessment of the existing GRM structures and processes at the SDHUD, the Council of Governors (CoG) and sampled Municipalities (Tala-Kangundo, Kikuyu, Kajiado, Embu, Nakuru, Kisumu, Eldoret, Kakamega, Nyamira and Bomet) to identify gaps and best practices to inform design of the e-GRM system, including opportunities for automation and integration.
- b. Development of a software platform with appropriate features and functionality for recording and managing project related complaints with multiple pathways. At the minimum, the consultant must ensure that the e-GRM platform will have features for performing the following functions related to grievance management:
 - i. Receiving and recording grievances (step 1),
 - ii. Initial acknowledgment and response (step 2),
 - iii. Verification, Investigation, and recommendation of the grievance redress action (step 3); i) Verification: check for eligibility of complaint in terms of genuineness and relevance; (ii) Investigation: collect basic information, collect, and preserve evidence, analyse to establish facts, and compile report; (iii) Redress action; based on the findings determine the next steps and make recommendations.
 - iv. Communicating response/Feedback to the complainant (step 4)
 - v. Complainant's Response (step 5)
 - vi. Appeals process (step 6)
 - vii. Grievance closure (step 7)
 - viii. Monitoring and Evaluation (step 8): (i) Track grievances and assess progress made to resolve them; (ii) Analysis of trends in complaints/grievances management such as the categories/nature of grievances recorded, number of grievances resolved, average time to resolve the grievance, percentage of complainants satisfied, complaints pending resolution, and/or referred or escalated.
 - ix. Access level and permissions management to ensure there is controlled access and privacy both at the municipality and national levels.
 - x. Provision of an optional software integration interface to allow for automated submission of complaints from the municipalities where a capable application exists.
- c. Integration of Grievance management features including dates, categories, locations, evidence upload (pictures, videos, audio and documents), contact details, assigning of grievances to a committee or individual, tagging on prioritization, resolve process (actions considered, and communicated, communication dates, resolution status, action status and reporting)
- d. Integration of a comprehensive and user friendly dashboard to enable the system users access key highlights of the registered grievances (overall, and segregated by municipality, nature, status, etc.)

The e-GRM should:

- i. Improve the turnaround time and facilitate the responsiveness of the NPCT in receiving, recording, investigating, resolving, and reporting on program-related complaints and grievances.
- ii. Enhance identification, implementation, and evaluation of appropriate and mutually acceptable redress actions to the reasonable satisfaction of the parties.
- iii. Provide affected persons an easily accessible avenue to lodge complaints or seek response to concerns that are related to the program; and,

- iv. Register and track complaints to their resolution and ensure that all SEA-SH related complaints are addressed separately, tracked, and resolved or referred for further action where required while ensuring due privacy.
- v. Monitor and evaluate the grievance resolution process.
- vi. Send automatic alerts/reminders, through e-mail, to actors on pending complaints whose resolution period is about to end.

3.2.2 Task 2: Technical Specifications and System Requirements for the e-GRM

The consultant will prepare a schedule of the System requirements and detailed Technical specifications necessary to enable the e-GRM's optimal performance of the above tasks including the system's Operation & Maintenance manuals. This should include specifications for a Content Management System (CMS) to meet the program's unique requirements to ensure effective content management, ease of management by program administrators, publish and update of materials.

Additionally, the consultant will develop schedules for the following tasks to be implemented by the system developer during system development and after its commissioning:

- a. Training and knowledge transfer to the client's selected personnel
- b. Monitoring and updates – this will involve post-deployment support for a period of 6 months to allow for bug fixes, updates, and technical assistance to address any issues or questions that may arise. A service-level agreement (SLA) specifying the support response time and resolution timeframes will be developed.

3.2.3 Task 3: Preparation of Bidding documents

The consultant will prepare a complete procurement documents using the relevant World Bank's Standard Procurement Documents. These will be accompanied by a confidential schedule of Cost estimates for the proposed e-GRM system and related services.

3.2.4 Task 4: Technical backstopping

The consultant will, during the system development, testing and commissioning period, be expected to provide technical backstopping on behalf of the client for the purposes of quality assurance and compliance with the system specifications.

4 Duration and location of the assignment

The consulting services assignment will be for an overall period of seven (7) calendar months from contract commencement date and implemented in two (2) phases. Phase 1 will be for a period of four (4) months (Lump-sum contract) for the Design, preparation of Technical specifications, Bidding documents and Cost estimates. It is intended that thereafter the provision of the services will be retained (Phase 2) for a further three (3) months (Time-based contract) during which the consultant shall provide technical backstopping to the system development, testing and commissioning as per the Service Level Agreement (SLA) to be agreed upon during negotiation. This second phase of the assignment will become effective upon commencement of the Service Provider's contract.

5 Reporting requirements and Timelines for deliverables

The Consultant will report to the KUSP2 Coordinator through the appointed consulting services contract supervisor.

The consulting services contract deliverables and expected timelines are as tabulated below:

Table 5.1(a) Reporting requirements and Timelines for deliverables (Phase 1- Lump Sum)

No.	Deliverable	Timelines for submission of Deliverables after contract commencement date	Format of presentation of Deliverables
1.	Inception report	2 weeks	1 hard copy and 1 soft copy in pdf format
2.	Design strategy report (Including findings on assessment of existing systems and processes, with the proposed e-GRM system design options)	6 weeks	1 hard copy and a soft copy in pdf format
3.	Draft e-GRM system design (wireframe)	10 weeks	1 hard copy and 1 soft copy in pdf format
4.	a) Final e-GRM system design (wireframe) with schedule of Requirements and Technical specifications	12 weeks	1 hard copy and 1 soft copy in pdf format of each
	b) Draft Procurement document		
5.	System Operation & Maintenance manuals	14 weeks	1 hard copy and 1 soft copy in pdf format
6.	Final Procurement document including system requirements (software & hardware), Technical specifications, Schedule of cost estimates, and Training schedules	16 weeks	1 hard copy and 1 soft copy in pdf format

Table 5.2(b) Reporting requirements and Timelines for deliverables (Phase 2- Time Based)

No.	Deliverable	Timelines for submission of Deliverables	Format of presentation of Deliverables
1	Monthly Progress Reports on Technical backstopping and quality assurance during system development and commissioning	10 days after end of reporting month	1 hard copy and 1 soft copy in pdf format
2	Final Completion Report	14 days after completion of the assignment	1 hard copy and 1 soft copy in pdf format

6 Payment schedule

Payment to the consultant will be made upon approval of the deliverables as detailed below. Any eligible and approved reimbursable expenses shall be paid upon submission and approval of relevant verifiable supporting documentation and receipts.

Table 6.1(a) Payment schedule (Lump sum)

No.	Deliverable	Timelines after contract commencement	Percentage of the contract sum (Lump Sum)
1.	Inception report	2 weeks	10%
2.	Design strategy report	6 weeks	20%
3.	Draft e-GRM system design	10 weeks	30%
4.	Final Bidding document, Cost estimates, and Operations & Maintenance manual	16 weeks	40%

Table 6.1(b) Payment schedule (Time-based)

No.	Deliverable	Timelines after contract commencement	Percentage of the contract sum (Time Based)
1.	Monthly Progress Reports on Technical backstopping during system development and commissioning	10 days after end of reporting month	75% spread uniformly over the entire time based contract period
2.	Final Completion Report	14 days after completion of the assignment	25%

7 Minimum requirements for the Consultant's qualifications and experience

The Consultant should have the following minimum qualifications and experience:

- i. At least a Master's degree in either Computer science, IT or other relevant related discipline from a university recognised in Kenya, with certification in Cyber Security (e.g. CISA, CISM, GSLC, CCISO).
- ii. Must demonstrate a general experience of at least 10 years in website and software solutions development,
- iii. At least 7 years' specific experience in PHP, AJAX, Java Script, HTML (including version 5), CSS (including version 3) scripting and coding languages and standards, use and configuration of Word Press CMS, MySQL Database, PostgreSQL and Apache web server applications and successful execution of at least 3no. assignments of similar nature in scope and complexity in the last five (5) years.

8 Management and accountability of the assignment

The State Department for Housing and Urban Development in the Ministry of Lands, Public Works, Housing and Urban Development is the Client for these services. The Principal Secretary, SDHUD has appointed a Program Coordinator to whom the Consultant will report on all contractual matters.

The Client will be responsible for all payments to the consultant once the deliverables have been accepted and cleared for payment by the appointed consulting services contract supervisor. The Consultant will report on all technical matters to the supervisor and will work in close collaboration with his/her team. The client may assign relevant staff to work with the consultant for purposes of capacity building and knowledge transfer.

9 Obligations of the Client

The Client will provide the following support to the Consultant:

- a) All available relevant documentation such as the Project Appraisal Document, reports, Program Operation Manual, etc.
- b) Key stakeholder contacts
- c) Introductory letters to key stakeholders to facilitate access to relevant information and records.
- d) Facilitate liaison with other program implementing partners.

10 Obligations of the Consultant

The Consultant shall be responsible for the provision of own computer with requisite software to perform the assignment tasks, own transport, insurance, communication, and other associated costs.

11 Confidentiality, propriety rights of Client in reports and records.

All the reports, data, and information developed, collected, or obtained from the implementing agencies, client and other Institutions during this exercise shall belong to the client. No use shall be made of them without prior written authorization from the client.

At the end of the Services, the consultant shall relinquish all data, manuals, reports and information (including the database, codes, and related documentation) to the client and shall make no use of them in any other assignment without prior written authority from the client.