



REPUBLIC  
OF  
KENYA



Poverty Reduction Through Sustainable NRM



Investing in rural people

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

# Expression of Interest

For

## *SUPPLEMENTARY IMPACT ASSESSMENT SURVEY*

Ref No: EoI/01/2022-23

Issue Date: 21<sup>st</sup> June 2022

# Foreword

This document has been prepared by *Upper Tana Catchment Natural Resources Management Project* and is based on the 1<sup>st</sup> edition of the IFAD-issued standard procurement document for expression of interest available at [www.ifad.org/project-procurement](http://www.ifad.org/project-procurement). This bidding document is to be used for the procurement of services using **QCBS** in projects financed by IFAD.

IFAD does not guarantee the completeness, accuracy or translation, if applicable, or any other aspect in connection with the content of this document.

## Instructions to Consultants<sup>1</sup>

Reference Number: EoI/01/2022-23

### **CONSULTANCY SERVICES FOR SUPPLEMENTARY IMPACT ASSESSMENT SURVEY**

1. The *Government of Kenya (GoK)* has received *has received* financing from the International Fund for Agricultural Development (“the Fund” or “IFAD”) towards the cost of *Upper Tana Catchment Natural Resources Management Project (UTaNRMP)* (“the client” or “procuring entity”), and intends to apply part of the proceeds for the recruitment of consulting services, for which this REOI is issued.

The use of any IFAD financing shall be subject to IFAD’s approval, pursuant to the terms and conditions of the financing agreement, as well as IFAD’s rules, policies and procedures. IFAD and its officials, agents and employees shall be held harmless from and against all suits, proceedings, claims, demands, losses and liability of any kind or nature brought by any party in connection with *Upper Tana Catchment Natural resources Management Project*.

2. The client now invites expressions of interest (EOIs) from legally constituted consulting firms (not individual consultants) (“consultants”) to provide *Consultancy services in Supplementary IMPACT ASSESSMENT SURVEY*. More details on these consulting services are provided in the preliminary terms of reference (PTOR) attached as **Annex 1**. The consultant may sub-contract selected activities provided that said services do will not exceed 20% of the total consultancy work.
3. Before preparing its EOIs, the consultant is advised to review the preliminary terms of reference attached as **Annex 1**, which describe the assignment and **Annex 2** that details the evaluation of the technical qualifications.

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<sup>1</sup> This document refers to legally constituted consulting firms as “consultant”.

4. The consultant shall not have any actual, potential or reasonably perceived conflict of interest. A consultant with an actual, potential or reasonably perceived conflict of interest shall be disqualified unless otherwise explicitly approved by the Fund. A consultant including their respective personnel and affiliates are considered to have a conflict of interest if they a) have a relationship that provides them with undue or undisclosed information about or influence over the selection process and the execution of the contract, b) participate in more than one EOI under this procurement action, c) have a business or family relationship with a member of the client's board of directors or its personnel, the Fund or its personnel, or any other individual that was, has been or might reasonably be directly or indirectly involved in any part of (i) the preparation of this expression of interest, (ii) the selection process for this procurement, or (iii) execution of the contract. The consultant has an ongoing obligation to disclose any situation of actual, potential or reasonably perceived conflict of interest during preparation of the EOI, the selection process or the contract execution. Failure to properly disclose any of said situations may lead to appropriate actions, including the disqualification of the consultant, the termination of the contract and any other as appropriate under the IFAD Policy on Preventing Fraud and Corruption in its Projects and Operations<sup>2</sup>.
5. All consultants are required to comply with the Revised IFAD Policy on Preventing Fraud and Corruption in its Activities and Operations (hereinafter, "IFAD's Anticorruption Policy") in competing for, or in executing, the contract.
  - a. If determined that a consultant or any of its personnel or agents, or its sub-consultants, sub-contractors, service providers, suppliers, sub-suppliers and/or any of their personnel or agents, has, directly or indirectly, engaged in any of the prohibited practices defined in IFAD's Anticorruption Policy or integrity violations such as sexual harassment, exploitation and abuse as established in IFAD's Policy to Preventing and Responding to Sexual Harassment, Sexual Exploitation and Abuse<sup>3</sup> in competing for, or in executing, the contract, the EOI may be rejected or the contract may be terminated by the client.
  - b. In accordance with IFAD's Anticorruption Policy, the Fund has the right to sanction firms and individuals, including by declaring them ineligible, either indefinitely or for a stated period of time, to participate in any IFAD-financed and/or IFAD-managed activity or operation. The Fund also has the right to recognize debarments issued by other international financial institutions in accordance with its Anticorruption Policy.
  - c. Consultants and any of their personnel and agents, and their sub-consultants, sub-contractors, service providers, suppliers, sub-suppliers and any of their personnel and agents are required to fully cooperate with any investigation conducted by the Fund, including by making personnel available for interviews and by providing full access to any and all accounts, premises, documents and records (including electronic records) relating to this selection process or the execution of the contract and to have such accounts, premises, records and documents audited and/or inspected by auditors and/or investigators appointed by the Fund.

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<sup>2</sup> The policy is accessible at [www.ifad.org/anticorruption\\_policy](http://www.ifad.org/anticorruption_policy).

<sup>3</sup> The policy is accessible at <https://www.ifad.org/en/document-detail/asset/40738506>.

- d. Consultants have the ongoing obligation to disclose in their EOI and later in writing as may become relevant: (i) any administrative sanctions, criminal convictions or temporary suspensions of themselves or any of their key personnel or agents for fraud and corruption, and (ii) any commissions or fees paid or to be paid to agents or other parties in connection with this selection process or the execution of the contract. As a minimum, consultants must disclose the name and contact details of the agent or other party and the reason, amount and currency of the commission or fee paid or to be paid. Failure to comply with these disclosure obligations may lead to rejection of the EOI or termination of the contract.
  - e. Consultants are required to keep all records and documents, including electronic records, relating to this selection process available for a minimum of three (3) years after notification of completion of the process or, in case the consultant is awarded the contract, execution of the contract.
6. The Fund requires that all beneficiaries of IFAD funding or funds administered by IFAD, including the client, any consultants, implementing partners, service providers and suppliers, observe the highest standards of integrity during the procurement and execution of such contracts, and commit to combat money laundering and terrorism financing consistent with IFAD's Anti-Money Laundering and Countering the Financing of Terrorism Policy.<sup>4</sup>
7. **Procedure:** the selection process will be conducted using QCBS as laid out in the IFAD Procurement Handbook that can be accessed via the IFAD website at [www.ifad.org/project-procurement](http://www.ifad.org/project-procurement). The client will evaluate the EOIs using the criteria provided in **Annex 2**. The shortlisted consultant(s) will be provided with the detailed TORs and asked to submit a detailed technical and financial offer. The evaluation will include a review and verification of qualifications and past performance, including a reference check, prior to the contract award.
8. Consultants may associate with other firms to enhance their qualifications but should indicate clearly whether the association is in the form of a joint venture and/or a sub-consultancy. In the case of a joint venture, all the partners in the joint venture shall be jointly and severally liable for the entire contract, if selected.
9. Any request for clarification on this EOI including the PTOR should be sent via e-mail to the address below [utarnmp@gmail.com](mailto:utarnmp@gmail.com) no later than 24<sup>th</sup> June 2022 11:00AM EAT. The client will provide responses to all clarification requests by 30<sup>th</sup> June 2022
10. **Submission Procedure:** please submit your expression of interest using the forms provided for this purpose. Your EOI should comprise one (1) original copy of each EOI form annexed to this document. EOIs shall be submitted to the address below **in a plain sealed envelope and clearly marked with the Eoi number and title should be addressed and sent to:**

The Project Coordinator,  
Upper Tana Catchment Natural Resources Management Project,

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<sup>4</sup> The policy is accessible at <https://www.ifad.org/en/document-detail/asset/41942012>.

P.O BOX 996-60100  
Tel: 254-68-2231376/2231517  
**EMBU**

or dropped in the Tender Box situated at the **main entrance to the EMBU West Water offices located** on Embu-Meru Road **opposite Kangaru DEB Primary School** or posted so as to reach the above address on or before **11:00 AM on 11<sup>th</sup> January 2022.**

Opening will be on **5<sup>th</sup> July 2022 at 11:00 a.m.** in the presence of bidders or their representatives who choose to attend in the **MKEPP Documentation Centre. Electronic bids and late submissions will not be accepted regardless of the circumstances.**

**PROJECT COORDINATOR**

**For: Principal Secretary, Ministry of Water, Sanitation and Irrigation**

## Form EOI-1

### EOI Submission Form

*[Location, date]*

*[Authorized official]*

### **Re: Consulting Services for SUPPLEMENTARY IMPACT ASSESSMENT SURVEY**

**Ref: EoI/01/2022-23**

We, the undersigned, declare that:

1. We are expressing our interest in providing the consulting services for the above-mentioned assignment and have no reservations to the REOI, the instructions to the consultants and any addenda thereto.
2. Our expression of interest is open for acceptance for a period of ninety (90) days.
3. Our firm, its associates, including any subcontractors or suppliers for any part of the contract, have not been declared ineligible by the Fund and have not been subject to sanctions or debarments under the laws or official regulations of the client's country or not been subject to a debarment recognized under the Agreement for Mutual Enforcement of Debarment Decisions (the "Cross-Debarment Agreement")<sup>5</sup>, beyond those declared in paragraph 9 of this EOI submission form.
4. We acknowledge and accept the IFAD Revised Policy on Preventing Fraud and Corruption in its Activities and Operations. We certify that neither our firm nor any person acting for us or on our behalf has engaged in any prohibited practices as provided in ITC Clause 6. Further, we acknowledge and understand our obligation to report to [anticorruption@ifad.org](mailto:anticorruption@ifad.org) any allegation of prohibited practice that comes to our attention during the selection process or the contract execution.
5. No attempt has been made or will be made by us to induce any other consultant to submit or not to submit an EOI for the purpose of restricting competition.
6. We acknowledge and accept the IFAD Policy on Preventing and Responding to Sexual Harassment, Sexual Exploitation and Abuse. We certify that neither our firm nor any person acting for us or on our behalf has engaged in any sexual harassment, sexual exploitation or abuse. Further, we acknowledge and understand our obligation to report

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<sup>5</sup> The Cross-Debarment Agreement was entered into by the World Bank Group, the Inter-American Development Bank, the African Development Bank, the Asian Development Bank and the European Bank for Reconstruction and Development, additional information may be located at: <http://crossdebarment.org/>.

to [ethicsoffice@ifad.org](mailto:ethicsoffice@ifad.org) any allegation of sexual harassment, sexual exploitation and abuse that comes to our attention during the selection process or the contract execution.

7. The following commissions, gratuities, or fees have been paid or are to be paid with respect to the selection process: *[Insert complete name of each recipient, its full address, the reason for which each commission or gratuity was paid and the amount and currency of each such commission or gratuity.]*

Name of Recipient	Address	Reason	Amount	Currency

(If none has been paid or is to be paid, indicate “none.”)

8. We declare that neither our consulting firm nor any of its directors, partners, proprietors, key personnel, agents, sub-consultants, sub-contractors, consortium and joint venture partners have any actual, potential or perceived conflict of interest as defined in ITC Clause 5 regarding this selection process or the execution of the contract. *[insert if needed: “other than the following:” and provide a detailed account of the actual, potential or perceived conflict].* We understand that we have an ongoing disclosure obligation on such actual, potential or perceived conflicts of interest and shall promptly inform the client and the Fund, should any such actual, potential or perceived conflicts of interest arise at any stage of the procurement process or contract execution.
9. The following criminal convictions, administrative sanctions (including debarments) and/or temporary suspensions have been imposed on our consulting firm and/or any of its directors, partners, proprietors, key personnel, agents, sub-consultants, sub-contractors, consortium and joint venture partners:

Nature of the measure (i.e., criminal conviction, administrative sanction or temporary suspension)	Imposed by	Name of party convicted, sanctioned or suspended (and relationship to the consultant)	Grounds for the measure (i.e., fraud in procurement or corruption in contract execution)	Date and time (duration) of measure

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If no criminal convictions, administrative sanctions or temporary suspensions have been imposed, indicate "none".

10. We acknowledge and understand that we shall promptly inform the client about any material change regarding the information provided in this EOI submission form.
11. We further understand that the failure to properly disclose any of information in connection with this EOI submission form may lead to appropriate actions, including our disqualification as consultant, the termination of the contract and any other as appropriate under the IFAD Policy on Preventing Fraud and Corruption in its Projects and Operations.
12. We understand that you are not bound to accept any EOI that you may receive.

*[Authorized signatory]*

*[Name and title of signatory]*

*[Name and address of firm]*

**Form EOI-2**  
**Organization of the Consultant**

**Re: Consulting Services for *SUPPLEMENTARY IMPACT ASSESSMENT SURVEY***

**Ref: EoI/01/2022-23**

*[Provide a brief description of the background and organization of your firm/entity and of each associated firm for this assignment. Include the organization chart of your firm/entity. The EOI must demonstrate that the consultant has the organizational capability and to carry out the assignment. The qualifications document shall further demonstrate that the consultant has the capacity to field and provide experienced replacement personnel on short notice. Key staff CVs are not required at the shortlisting stage.]*

Name of the firm	
Date of establishment	
Country of registration	
Full address of the firm	
Focal point: name, position, contact information (telephone, email):	Name:
	Tel:
	Email:
Number of branches in the country	
Country(ies) of operations with number of branches in each country	
Number of full-time employees	
Number of part-time employees	
Field(s) of expertise of the firm	
Number of professional staff with experience related directly to the assignment	

Subsidiary and associated companies ( <i>wherever applicable</i> ): (details in the following format to be provided for all associates) – (i) Name of the company (ii) Nature of business (iii) Address of the company (iv) Website of the company (v) Brief description of company (maximum of 120 words)	
Any other information that the consultant would like to add:	

**Maximum 10 pages**

**Form EOI-3**  
**Experience of the Consultant**

**Re: Consulting Services for *[insert assignment]***

**Ref: *[insert]***

*[Using the format below, provide information on each relevant assignment for which your firm, and each associate for this assignment, was legally contracted either individually as a corporate entity or as one of the major companies within an association, for carrying out consulting services similar to the ones requested under the preliminary terms of reference included in this EOI. The EOI must demonstrate that the consultant has a proven track record of successful experience in executing projects similar in substance, complexity, value, duration, and volume of services sought in this procurement.]*

***Maximum 20 pages]***

Assignment name:	Approx. value of the contract (in current US\$):
Country: Location within country:	Duration of assignment (months):
Name of client:	Total No. of staff-months of the assignment:
Address, and contact details (including email address(es)):	Approx. value of the services provided by your firm under the contract (in current US\$):

Start date (month/year): Completion date (month/year):	No. of professional staff-months provided by associated consultants:
Name of associated consultants, if any:	Name of proposed senior professional staff of your firm involved and functions performed (indicate most significant profiles such as project director/coordinator, team leader):
Narrative description of project:	
Description of actual services provided by your staff within the assignment:	

Name of Firm: \_\_\_\_\_

## **ANNEX 1**

### **PRELIMINARY TERMS OF REFERENCE**

#### **Consulting Services for *SUPPLEMENTARY IMPACT ASSESSMENT SURVEY***

##### **Background**

Through the period, various surveys and impact assessments have been conducted the latest being the Final Supplementary Impact Assessment Survey completed in May 2021. In this survey, 1283 sampled households were interviewed, Focus Group Discussion was conducted for 196 groups and 180 Key Informants were interviewed. Other surveys and assessments are as highlighted below.

In 2014, the Project established the benchmark for the performance indicators, through a baseline survey that resulted in the production of the baseline survey report. The baseline survey was conducted in 864 sampled households distributed in all the 28 river basins. Key Informant Interviews were conducted with 132 persons and 42 Focus Group Discussions held.

In 2015, the Project undertook a Results Impact Management System (RIMS) survey in line with requirement by IFAD based premised on its commitment to achieve intended results so as to guide the management strategy and implementation of the funded activities. The specific aim of the survey was to generate baseline information related to nutrition, food security, asset ownership, access to water and sanitation and subsequently provide a basis to measure project impact in terms of changes over time.

In 2017, the Project conducted a mid-term Supplementary Impact Assessment Survey to assess the extent the project interventions had contributed to changes in the quality of life (poverty reduction, improved food security and incomes and sustainable Natural Resource Management) of the beneficiary communities, compile lessons learnt and make key recommendations to improve project implementation. The outcome of the survey was aimed at informing the Mid-Term Review of the Project.

In 2019, the Project conducted a Rapid Impact Assessment on selected directly funded interventions to assess the extent to which outcomes and impacts had been achieved.

The Project is in its 23<sup>rd</sup> month since extension of the 30 months and has implemented activities funded under the Additional Financing. To assess the extent to which outcomes and some impacts have been realized through this Additional Financing, the Project plans to conduct a **Supplementary Impact Assessment Survey(SIAS)**. In addition, there will be assessment related to some interventions and socio-economic parameters with a bearing on the Initial Financing but require to be validated. The analysis of the assessment will be presented per river basin by county and overall Project area as applicable.

#### Objective of the Supplementary Impact Assessment Survey

Resulting from Project implementation mainly under Additional Financing and to some extent Initial Financing, various outputs have been realized and indicative outcomes and impacts have been observed among benefiting communities. To complement the Final Supplementary Impact Assessment Survey completed in May 2021, the Project will conduct the Supplementary Impact Assessment Survey (SIAS) to establish the extent to which the project's interventions have had intended and unintended outcomes in the livelihoods of the target communities and Natural Resources Management in the Project area. This assessment will mainly be guided by the envisaged Project Development Objective and outcomes as stipulated in the Project's Logical Framework.

The Supplementary Impact Assessment Survey will capture attributes of project implementation as relates to relevance, efficiency, effectiveness, sustainability, lessons learnt and innovations. This will inform future related interventions as well as project designs.

The objective of the Supplementary Impact Assessment Survey is to: assess the extent to which specific Project interventions have:

- i) Establish the changes in the natural resource-based rural livelihoods of targeted households in the specific Project interventions;
- ii) Examine the extent to which Land, water and forest resources are sustainably managed for the benefit of local people and the wider community;
- iii) Assess the extent to which communities are empowered for sustainable management of natural resources;

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- iv) Determine the extent to which the Project has been effectively and efficiently managed;

The assessment will also:

- i) Identify successful approaches and innovations that can be replicated, lessons learnt and sustainability mechanisms put in place;
- ii) Include mapping of all sampled Project interventions using the GIS technology.

Based on the findings, the indicators' matrix (outputs, outcomes and impacts) will be presented as part of the SIAS report

## ANNEX 2

### Qualification and Evaluation Criteria

The evaluation of Eol documents will be done in two stages (i) Screening of Eol documents of all firms; and (ii) Evaluation of Eol document of eligible firms

#### **Screening of EOI document**

First of all screening of received Eol document for eligibility will be done. The basic criteria for the eligibility of Tenderers are as follows:

#### **Eligibility Requirement**

- i Valid Registration Certificate
- ii VAT Certificate
- iii Valid Tax compliance
- iv Commitment of Code of Ethics and Anti-Corruption Policy

#### **Additional Requirement for Joint Venture Firms**

- i Joint Venture Agreement between the JV Partners and a Power of Attorney
- Tenderer(s) failing to submit above basic criteria shall be disqualified and will not be considered for evaluation. The failing to meet eligibility criteria by any member of joint venture will result into the disqualification of joint venture application.

***Bidders who will pass the eligibility requirements criteria will have their bids evaluated as below: -***

Item	Criteria	Points
For specific experience, evidence shall include successful experience in the execution of <b>5 projects</b> of a similar nature and scope of works during the <b>last 10 years</b> .		
<b>A.</b>	<b>General experience</b>	<b>30</b>
i	General experience: Firm has been in existence for 10 years	15
	10 years or more	15
	8-9	12
	6-7	8
	3-5	5
	1-2	2
ii	<b>Verifiable Average Annual Turnover of Kshs. 15,000,000 for the last 3 consecutive years – 2019, 2020, 2021</b>	15
	<b>Kshs. 15,000,000 and above</b>	15
	<b>Kshs. 10,000,000-14,999,999</b>	10
	<b>Kshs 7, 000,000- 9,999,999</b>	5
	<b>Less than Kshs. 7,000,000</b>	0
<b>B.</b>	<b>Specific experience</b>	<b>70</b>

i	Specific Experience in undertaking five baseline survey, IMPACT ASSESSMENT SURVEY, or completion survey	50
	10 marks for each relevant experience to a maximum of 5	50
iii	Five Positive recommendations	20
	Four marks for each positive recommendations to a maximum of 5	20
	<b>Total Points</b>	<b>100</b>
	<b>Minimum points required to pass</b>	<b>70 points</b>

**A maximum of 6 bidders who attain 70 points or above shall be pre-qualified and invited to submit bids**