



REPUBLIC  
OF  
KENYA



Poverty Reduction Through Sustainable NRM



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

**REQUEST FOR EXPRESSION OF INTEREST FOR THE PERIOD 2020/21 and 2021/22 FYs**

The Government of Kenya has received financial assistance from the International Fund for Agricultural Development (IFAD) and the Spanish Trust Fund towards financing a ten year (2012-2022) Upper Tana Natural Resources Management Project. The goal of the project is to contribute to rural poverty reduction in the Upper Tana River Catchment through increased sustainable food production and incomes and sustainable management of natural resources for provision of environmental services. The Project Lead Agency is the Ministry of Water and Sanitation. The project area covers six counties namely: Embu, Meru, Tharaka Nithi, Nyeri, Kirinyaga and Murang'a.

The Project now invites eligible and qualified firms including those owned by Youth, Women and Persons with Disability (YWPD) to submit sealed applications for purposes of registration of suppliers of goods, works and Services for the period 2020– 2022 under the categories listed below.

<b>CATEGORY B – EXPRESSION OF INTEREST FOR CONSULTANCY SERVICES</b>		
	<b>ITEM DESCRIPTION</b>	<b>ELIGIBILITY</b>
EoI/01/2020-22	Preparation of Natural Resources Management Plans ( <b>Participatory Forest Management Plans</b> )	ALL
EoI/02/2020-22	Environmental and Social Impact Assessment /Environmental and Social Audit	ALL

A complete set of tender documents and submission details are available for downloading free of charge from UTaNRMP website [www.utanrmp.or.ke/downloads](http://www.utanrmp.or.ke/downloads). Prospective firms owned by women, youth and people with disabilities are encouraged to apply.

Completed pre-qualification documents **MUST** be submitted in plain sealed envelopes clearly marked **with each relevant category - Registration/EOI description and number and addressed to:**

The Project Coordinator,  
Upper Tana Natural Resources Management Project,  
P.O BOX 996-60100  
Tel: 254-68-2231376/2231517  
Email: [utanrmp@gmail.com](mailto:utanrmp@gmail.com); [www.utanrmp.or.ke](http://www.utanrmp.or.ke)  
**EMBU-KENYA**

and dropped in the Tender Box situated at the **reception of Upper Tana Natural Resources Management Project Offices situated on Embu–Meru road opposite Kangaru DEB Primary School** or posted so as to reach the above address on or before **25<sup>th</sup> August 2020 at 10:00 a.m.**

Opening will be on **25<sup>th</sup> August 2020 at 10:00 am** in the **UTaNRMP Documentation Centre**, but due to the prevailing Covid 19 pandemic, opening will not be done in the presence of bidders or their

representatives. However, bidders are requested to submit a valid email address through which acknowledgement of receipt of the documents will be communicated. **Electronic bids and late submissions will not be accepted regardless of the circumstances.**

**PROJECT COORDINATOR**

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

# **UTaNRMP EXPRESSION OF INTEREST DOCUMENT AND EVALUATION CRITERIA FOR CONSULTANCIES AND RELATED SERVICES FOR 2020-2022 FYs**

## **1.1. INTRODUCTION**

### **1.1.1. Scope of Qualification**

1. UTaNRMP intends to prepare list of eligible, competent & experienced consulting firms to conduct the above consultancies. The EoI process shall be conducted in an open and transparent process managed by UTaNRMP.
2. Tenderers intending to file an application in response to this EOI should submit an application together with the duly completed EOI document providing all the information required therein at the address mentioned in the EOI document within the time period specified in this invitation for EOI.
3. The EoI documents submitted by the Tenderers shall be evaluated on the basis of the evaluation criteria approved by UTaNRMP. The evaluation of joint venture consultants will be done in cumulative basis. Only a maximum of five (5) top ranked Tenderers obtaining at least 70 % marks in the EoI evaluation process shall be listed as selected consultants. The list of selected consultants will be notified in due course of time for the submission of Technical and Financial proposals. The Consultant(s) shall be selected in accordance with Quality and Cost Based Selection (QCBS) procedure.

### **1.1.2. Eligible Tenderers**

1. This Invitation for Expression of Interest (EOI) is open to interested and eligible local consulting firms or their joint venture registered in Kenya. In any case, the firms are not allowed to enter into more than one joint venture.
2. In order to be eligible, consulting firms should be registered in Kenya and should have valid Consultant registration, VAT registration and should have tax clearance certificate
3. In case of Joint Venture, the consultant shall submit Joint Venture Agreement duly signed & stamped with company seal by each member of JV & clearly mention the name of lead firm, role and responsibility of each member of joint venture, name and sample signature of the authorized signatories through attorney of power.
5. The Tenderers shall have a good professional reputation with demonstrated competency in successfully completing **each consultancy applied for** and should have a sound financial status.

## **1.2. REQUEST FOR EXPRESSION OF INTEREST**

### **1.2.1. Clarification on EOI Documents**

A prospective Tenderer requiring any clarification on this EOI document may contact UTaNRMP during office hours in all working days before seven day prior to the deadline for submission of EoI application at the address hereunder.

The Project Coordinator,  
Upper Tana Natural Resources Management Project,  
P.O BOX 996-60100  
Tel: 254-68-2231376/2231517  
**EMBU-KENYA**

### **1.2.2. Amendment to EOI Documents**

1. At any time prior to the deadline for the submission of the EoI application, UTaNRMP may amend the EoI, for any reason, whether on its own initiative or in response to a clarification requested by Tenderer. Such amendments can be downloaded from the website [www.utanrmp.go.ke](http://www.utanrmp.go.ke)
2. UTaNRMP shall assume that the information contained in the amendment is taken into account by the Tenderer in its application.

### **1.3. PREPARATION OF THE EOI DOCUMENT FOR SUBMISSION**

#### **1.3.1. Documents for EOI**

The completed EOI documents to be submitted by Tenderers shall comprise of the following documents:

#### **Form Type Description/Content**

**Form A** Information Regarding Technical & Financial Capability of the Consulting Firm

**Form A- 1** Letter of Submission

**Form A-2** Joint Venture Information

**Form A-3** Commitment to Code of Ethics and Anti-Corruption Policy

**Form A-4** Eligibility Status

**Form A-5** Financial Capability of the Consulting Firm

**Form B** Experience of the Firms in last 10 years

**Form B-1** General Experience of the Firm in the area applied for

**Form B-2** Relevant Experience of the Firm in **the area applied for**

**Form C** Details of Proposed Key Professional Staffs to be deployed for Study

#### **1.3.2. Submission of EOI in Joint Venture**

The Consultants submitting EoI in joint venture shall furnish Joint Venture Agreement duly signed & stamped with company seal by each member of JV & clearly mention the name of lead firm, role and responsibility of each member of joint venture, name and sample signature of the authorized signatories through attorney of power.

#### **1.3.3. Cost of Preparation of EOI and Liability**

Tenderer shall bear all costs associated with the preparation and submission of the completed EOI document. UTaNRMP will, in no case, be responsible or liable for these costs, or have any other liability to any Tenderer, regardless of the conduct or outcome of the EOI process. UTaNRMP shall have no obligation to any Tenderer to reimburse any costs incurred in preparing a response to this EOI.

#### **1.3.4. Confidentiality of the Document**

If an Tenderer believes that any portion of the submittal is to be treated in confidence, he/she shall identify such information clearly in the submittal. UTaNRMP will make every effort to treat such documents in confidence as far as possible.

### **1.4. SUBMISSION OF EXPRESSION OF INTEREST (EOI)**

#### **1.4.1. Number of Copies of the EoI Application**

1. The Tenderer shall submit an original and one (1) extra copy of the completed EoI application clearly mentioning Original and Copy and number and name of the EoI applying for. In the event of any discrepancy between the original and the copy, the original shall govern.

#### **1.4.2. Sealing and Marking**

1. The Tenderer shall seal the original and copy of the completed EoI in separate envelopes, duly marking the envelopes as “Original” and “Copy”. These envelopes shall then be sealed in an outer envelope and marked as “Expression of Interest”. The inner as well as outer envelope shall clearly mention the name of assignment. The envelopes should also clearly indicate the name and address of the Tenderer.

2. The inner and the outer envelopes shall be addressed to:

The Project Coordinator,  
Upper Tana Natural Resources Management Project,  
P.O BOX 996-60100  
Tel: 254-68-2231376/2231517  
**EMBU-KENYA**

### **1.4.3. Deadline for Submission**

1. Duly completed EoI document must be submitted to UTANRMP at the address specified in Section 1.4.2 before **10:00 AM on 9th August 2020 at the reception of Upper Tana Natural Resources Management Project Offices situated on Embu –Meru road opposite Kangaru DEB Primary School.**

2. The completed EOI documents received by UTANRMP after the deadline set forth in Section 1.4.3 shall be considered late and shall be summarily rejected and returned unopened.

3. If the deadline specified herein falls on a government holiday, the deadline shall be extended automatically to the next working day at the same hour.

### **1.4.4. Withdrawal of EOI document**

An Tenderer shall not be permitted to withdraw the EoI Application submitted by them...

## **1.5. PUBLIC OPENING OF SUBMITTED EOI DOCUMENT**

The EoI applications received by the due date and within the time specified shall be opened at **10:00 AM on 25th August 2020 in the UTaNRMP Conference room** in the presence of the Tenderer or their authorized representatives whosoever wish to attend.

Absence of the Tenderers or their authorized representatives, however, shall not obstruct or prevent the opening process in any way. The Tenderer's designated representative must bring a letter from the Tenderer stating that he/she is authorized to represent the Tenderer for the public opening of the EoI application. The Tenderers or their authorized representatives who are present at the time of opening shall sign in a register evidencing their presence.

## **1.6. EVALUATION PROCESS**

### **1.6.1. Evaluation of EOI Documents**

UTANRMP shall carry out evaluation of the EoI applications based on the approved evaluation criteria. In case of joint venture, the evaluation will be conducted collectively, for this purpose the relevant figures/numbers of each members of joint venture shall be added together to arrive at the joint venture's figures/numbers.

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

### **1.6.2. Screening of EOI document**

First of all screening of received EoI 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.

### **1.6.3. Evaluation of EOI document**

Evaluation of EOI document of eligible firms will be evaluated based on following criteria:

#### **1.6.4. Clarification during Evaluation by UTaNRMP**

1. During the evaluation, UTaNRMP may request the Tenderer for necessary clarifications.

The Tenderer shall furnish the necessary clarifications expeditiously by post/courier/fax/e-mail or by any other means of communication to UTaNRMP at the address given in Clause - 1.4.2.

2. Failure to provide information essential to evaluate the Tenderer's qualifications, or to provide timely clarifications or substantiation of the information furnished, UTaNRMP shall be at liberty to declare such bidder as non-responsive and reject his/her document.

#### **1.6.5. Rejection of EOI Document of Tenderer**

1. UTaNRMP reserves the right to accept or reject any or all EOI proposals with or without giving any reason whatsoever and is not liable for any losses to Tenderer due to such rejection.

2. Furnishing of false or wrong information, document or evidence by any firm or joint venture will result in rejection of the EOI document of the firm or their joint ventures.

#### **1.7. NOTICE OF RESULT OF EVALUATION**

All Tenderers irrespective of the qualification or disqualification will be notified in writing the result of qualification in due course of time. A Tenderer listed in the short-listing will be considered as qualified firm and will be invited to participate in the Request for Proposal process.

#### **1.8. APPLICATION IN JOINT VENTURE**

By submitting an EOI in joint venture, the Tenderer represents that, if qualified and if awarded the contract after the RFP process, the Tenderer with its constituent members shall be jointly responsible to perform the obligations of such contract.

#### **1.9. EVALUATION CRITERIA FOR THE EOI**

The evaluation criteria of EOI are given in Annex-1.

## **2. CONTENT OF EOI DOCUMENT AND INSTRUCTIONS TO THE TENDERER**

### **2.1 PREPARATION AND COMPLETENESS OF EOI APPLICATION**

The EOI document shall be structured in accordance with the outlines given in the EOI form and must contain accurate and complete information as requested in the EOI form. **The EOI document shall have no interlineations or overwriting, except as necessary to correct errors made by the Consulting Firm itself. Any such correction must be initialed by the person authorized to sign the application and stamped with the firm's seal.**

#### **2.1.1. General Information**

1. The Tenderer shall provide a Letter of Submittal with completed forms as provided in the Format "Form A to C" in the EOI document. All necessary information shall be presented to demonstrate the firm/joint venture's capability, experience and professionals to be deployed for the study.

2. The Tenderer shall enclose copies of registration certificate, tax clearance certificate, experience certificate or completion certificate, audit report of last three years and other relevant information as mentioned in this EOI document.

#### **2.1.2. Information Regarding Technical & Financial Capability of the Consulting Firm**

##### **Form A-1: Letter of Submission**

The Tenderer shall submit with the EOI a submittal letter with name and full contact information of the authorized representative. The letter shall be signed by an authorized person of the firm or lead firm in the joint venture and shall be stamped by the company's seal. The format of submittal letter is given in Form A-1 of the document EOI. The letter shall also include the number and name of EOI being applied for.

In such letter, the Tenderer shall provide a statement of its willingness and commitment to abide by all applicable laws, regulations, and other requirements in the execution of this study, if selected for the task.

**Form A-2: Joint Venture Information**

If the Tenderer applies EoI in joint venture, then Tenderer shall submit the joint venture information in Form A-2. The association between the Consulting Firms should be in the form of a joint venture only. The Joint Venture Agreement and Power of Attorney must be submitted with the EOI Application.

**Form A-3: Commitment of Code of Ethics and Anti-corruption Policy**

The Tenderer shall submit a statement stating that the Consulting Firm shall abide by the code of ethics and anti-corruption policy. This commitment to abide by code of ethics and anti-corruption policy shall be presented in Form A-3 of this EOI document

**Form A-4: Eligibility Status**

The Tenderer shall fill form A-4 and submit supporting documents to support the eligibility requirements(s). The supporting documents will be in the form of copies of valid registration certificate, VAT Certificate and Valid Tax Clearance. Companies owned by Youth, Women and people with disabilities will be required to submit the relevant registration documents with the Treasury or the County Governments where they are registered.

**Form A-5: Financial Capability of the Firm**

The financial capability of the consulting firm shall be presented in the prescribed Form A-5 of this EOI document. The financial status of the Consulting Firm shall be supported with audited reports for the preceding fiscal years. The financial capability of the Consulting Firm shall not be considered for evaluation if not supported by copies of authentic audit reports.

**2.1.3. Experience of the Firm in last ten years**

The consultant shall present general experience of the Consultant in specific and related consultancies in last ten years. The experience of the Consulting Firm shall be supported with evidence/proof in the form of experience certificates/completion certificates showing the dates of completion of the assignments, short description of assignment and value of the consulting assignments.

The experience of the Consulting Firm without evidence/proof shall not be considered for evaluation. In addition, only completed projects/assignments will be considered for evaluation. Ongoing projects/assignments unless substantially completed, will not be evaluated.

**2.1.3.1 General Experience of the Firm****Form: A & B – 1: General Experience of the specific area of interest**

General Experience of the Consultant in **the specific area of interest** having consulting fee more than 5 million Kenya shillings shall be presented in Form B -1 and Form B-2

**2.1.4. Details of Key Professional staff to be deployed for the Study****Form C**

The details of proposed key professional staff to be deployed for the study and their experience shall be presented in prescribed Form C. The proposed staffs should include professionals in areas such as Business Administration, Sociology, Gender studies, Community Development, Community Development, Social Work and Project Planning and Management. The professional staffs should have a minimum of three year of experience. Marks will be given only to the Professionals listed in details of professional staffs to be deployed for the study.





**FORM A-1**

**LETTER OF SUBMITTAL**

*[Letterhead of the Tenderer, In case of Joint Venture, of the Lead Firm)*

Date: .....

To:

The Project Coordinator,  
Upper Tana Natural Resources Management Project,  
P.O BOX 996-60100  
Tel: 254-68-2231376/2231517

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Sirs,

Being duly authorized to represent and act on behalf of .....

.....  
..... (hereinafter “the Tenderer”), and having reviewed and fully understood all the information provided in EOI, the undersigned hereby apply for qualification by UTANRMP as a consultant for conducting .....

**1.** UTANRMP and its authorized representatives are hereby authorized to verify the statements, documents, and information submitted in connection with the submitted EOI. This Letter will also serve as authorization to any individual or authorized representative of any institution referred to in the supporting information, to provide such information deemed necessary and requested by you to verify statements and information provided in this EOI, or with regard to the resources, experience, and competence of the Tenderer.

**2.** UTANRMP and its authorized representatives are authorized to contact any of the signatories to this letter for any further information.

**3.** This application is made in the full understanding that "All decisions by UTANRMP related to this EoI are final, binding and not subject to review". UTANRMP shall be under no obligation to inform the Tenderer of the reasons for its decisions or actions.

**4.** The Tenderer hereby provides willingness and commitment to abide by all applicable laws, regulations, and other requirements having the effect of law in the execution of this study, if selected.

**5.** All further communication concerning this EOI proposal should be addressed to the following person on behalf of the Tenderer and its constituents.

[Person & Designation]

[Company]

[Address]

[Phone, Fax, Email]

**6.** The undersigned declare that the statements made and the information provided in the duly completed EOI proposal are complete, true and correct in every detail.

Signed:

Name : .....

Designation : .....

For and on behalf of (Name of Tenderer:

or Lead Firm in the joint venture)

**FORM A- 2: JOINT VENTURE INFORMATION**

If the EOI is being submitted in Joint Venture, provide Joint Venture Information

	NAME OF FIRM	Postal Address, TEL, FAX and E-mail	NAME OF CONTACT PERSON	TELEPHONE OF CONTACT PERSON
1	Lead Firm			
2	Partner Firm			
3				

*Note:*

*1. Provide duly signed and stamped joint venture agreement and power of attorney of the signatories by each member in the JV.*

Attachment	Yes/No
Joint Venture Agreement	
Power of attorney of the signatory (ies) of the Tenderers	

**FORM A-3: COMMITMENT TO CODE OF ETHICS AND ANTI-CORRUPTION POLICY.**

Provide the firm's written commitment to code of ethics and anti-corruption policy and a mechanism to monitor the adherence to these policies

**FORM A-4: ELIGIBILITY STATUS**  
 Fulfillment of Eligibility Requirements

Description	Status (Yes/No)	Remarks
Valid Registration Certificate (of each member of JV, in case of JV.)		
VAT Certificate (of each member of JV, in case of JV.)		
Valid Tax clearance certificate (Each member of JV, in case of JV.)		
Self Declaration as per Form A-3		
Joint Venture (JV) Agreement between the JV Partners and Power of Attorney signed & sealed by each member of JV, in case of JV		

**FORM A-5: Financial Status****FINANCIAL CAPABILITY**

Full name of the Consulting Firm:

**FINANCIAL STATUS**

<b>Description</b>	<b>Amount(Kshs)</b>
Total assets	
Total liabilities	
Current liabilities	
Current assets	
Current credit resources	

<b>Description</b>	<b>Fiscal Year – 1</b>	<b>Fiscal Year – 2</b>	<b>Fiscal Year–3</b>	<b>Average Annual</b>
Turnover (Kshs)				

{Note: Average annual turnover of last three years will be considered for evaluation. Supporting documents (Audited Report) should be submitted}

**Note: Provide similar information for each member in case of joint venture.**

**FORM –B-1****GENERAL EXPERIENCE OF THE FIRM IN SPECIFIC AREA OF INTEREST**

No	Name of Project	Client Name and Address	Consulting fee	Year of Completion	Brief Description of relevant work carried out
1					
2					
3					
4					
5					
6					
7					

*Note: Each experience of the firm shall be supported with its evidence/proof of experience/ completion certificates showing date of completion of the assignment. The experience of the firm without evidence/proof or experience certificate will not be considered for evaluation purpose. Further firms are informed to attach letters of recommendations for the completed assignments.*

Date:

Signature &amp; Designation of Tenderer:

Seal of the Firm

Annex-1

**The Evaluation Criteria for Evaluation of EOI Documents**

**A. Eligibility Criteria**

	<b>Eligibility Criteria</b>	<b>Status (yes/no)</b>
1	Valid Registration Certificate	
2	VAT Certificate	
3	Valid Tax clearance certificate	
4	Commitment of Code of Ethics and Anti-corruption Policy	
5	Joint Venture Agreement in case of Joint Venture	

**B. Evaluation Criteria**

		<b>Marking</b>	<b>Weight age</b>
	<b>Capability of the firm</b>	<b>30</b>	
<b>A</b>	<b>I Years' of experience in consultancy (years)</b>		<b>15</b>
	i >10	100%	
	ii 5 to 10	75%	
	iii <5	50%	
	<b>II Average Annual Turnover in Kshs. for last three years</b>		<b>15</b>
	>10 million	100%	
	million	75%	
< 5 million	50%		
<b>B</b>	<b>I Experience of the firm in the last 10 years</b>	<b>50</b>	
	<b>General Experience of the firm in Specific area of consultancy applied for</b>		<b>50</b>
	i > 5 projects	100%	
	ii 3 to 5 projects	75%	
	iii < 3 projects	50%	
	<b>I</b>	<b>20</b>	<b>20</b>
	i >5 positive recommendations	100%	
	ii > 3 to 5 positive recommendations	75%	
	iii < 3 positive recommendations	50%	

**Note:**

- a) In case of joint venture, evaluation of capability Average Annual Turn Over and experience of firm will be done collectively. For this purpose the relevant figures/numbers of the each members of joint venture shall be added together to arrive at the joint venture's figures/numbers. However, evaluation of year of experience will be done individually.
- b) The experience of the firm shall be supported with evidence/proof of experience/ completion certificates showing date of completion of the project/assignment. The experience of the firm without evidence/proof or experience certificate will not be considered for evaluation.
- c) The information furnished by the Firm(s) in EOI document should be realistic. If any discrepancies/faults are found, legal action shall be taken as per prevailing rules and regulations.
- d) Only a **minimum** of four and **maximum** of seven (7) top ranked firms obtaining at least 70 % marks in the EOI evaluation process will be short listed for any one consultancy.