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mazingira yetu | uhai wetu | wajibu wetu

NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY

REQUEST FOR PROPOSAL (RFP)

TITLE:

CONSULTANCY SERVICES FOR MID TERM EVALUATION OF THE ADAPTATION FUND PROGRAMME IN KENYA

REF: NEMA/RFP/008/2020-2021

(SELECTION OF CONSULTANCY FIRM)

CLOSING ON:
3RD MAY 2021
11.00AM.

Issued by NEMA 2021

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INTRODUCTION

1. This Standard Request for Proposals (SRFP) has been prepared for use by public entities in Kenya in the procurement of consultancy services and selection of consultants.

2. The SRFP includes Standard form of Contract for Large Assignments and small assignment which are for lump sum or time based payments.

3. A separate SRFP has been provided for selection of individual professional consultants.

4. The General Conditions of Contract should not be modified and instead the Special Conditions of Contract should be used to reflect the unique circumstances of the particular assignment. Similarly the information to consultants should only be clarified or amended through the Appendix to information to Consultants.

5. This SRFP document shall be used where a shortlist of consultancy firms already exist or has been obtained through a shortlist after an advertisement of Expression of Interest for Consultancy required.

SECTION I - INVITATION

Date 20th April 2021

Dear Sir/Madam,

RE: CONSULTANCY SERVICES FOR MID TERM EVALUATION OF THE ADAPTATION FUND PROGRAMME IN KENYA*)*

1.1 The National Environment Management Authority (NEMA) invites proposals to undertake Mid-Term Evaluation (MTE) of the Adaptation Fund (AF) financed project titled "Integrated Programme to Build Resilience and Adaptive Capacity of Vulnerable Communities to Climate Change in Kenya" implemented through the National Environment Management Authority, Kenya (NEMA-K) as the National Implementing Entity (NIE).

1.2 ***Objective of the Assignment***

The five main objectives of the MTE includes;

a) Assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document.
b) Identify strengths and weaknesses in the implementation.
c) Review the project's strategy, its risks to sustainability.
d) Assess the likelihood of the project achieving its objectives and delivering its intended outputs.
e) Provide recommendations on modifications to increase the likelihood of success.

1.3 ***Specific Tasks to be Undertaken***

Following the appropriate methodology, the Consultant will focus on the following four (4) critical tasks in carrying out the mid-term evaluation.

i. Review and Assess Program Strategy as detailed in the Terms of reference section.
ii. Review and Assess Progress towards Results and Impact as detailed in the Terms of reference section.
iii. Review and Assess Project Implementation and Adaptive Management to determine efficiency and effectiveness as detailed in the Terms of reference section.
iv. Review and Assess Program Sustainability as detailed in the Terms of reference section

1.4 *Duration of Assignment*

The entire consultancy will be for a maximum of 60 days over a period of 6 months. The Consultant will provide a workable work plan. *The consultant shall provide progress report to the Director General in writing in accordance with the approved Plan of Work. The key members of the Consultant's team shall not change throughout the duration of the consultancy. Any staff changes must be justified and will require the Authority's approval.*

1.5 The request for proposals (RFP) includes the following documents:

Section I	-	Letter of invitation
Section II	-	Information to consultants Appendix to Consultants information
Section III	-	Technical proposals
Section IV	-	Financial proposal
Section V	-	Terms of Reference
Section VI	-	Standard Forms

1.6 Bidders who download the RFP documents must forward their company details to; procurement@nema.go.ke in order to facilitate subsequent clarifications and/or addendum. The particulars should include Name of the Firm, Address, Telephone Number, Email and RFP Number and Category Description.

1.7 A non-refundable fee of KSh.1,000 will be charged if the same are obtained from our Procurement Office at NEMA Headquarters. In this case, the tender fee should be paid in banker's cheque or direct deposit to NEMA Revenue Account, KCB-KICC Branch, Account No. 1102298158. The bank deposit slip should then be submitted at our Cash Office in order to be issued with a receipt. Cash will not be accepted.

Yours sincerely

DIRECTOR GENERAL-NEMA

SECTION II – INFORMATION TO CONSULTANTS (ITC)

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SECTION II: - INFORMATION TO CONSULTANTS (ITC)

2.1 Introduction

2.1.1 The Client named the Appendix to "ITC" will select a firm among those invited to submit a proposal, in accordance with the method of selection detailed in the appendix. The method of selection shall be as indicated by the procuring entity in the Appendix.

2.1.2 The consultants are invited to submit a Technical Proposal and a Financial Proposal, or a Technical Proposal only, as specified in the Appendix "ITC" for consulting services required for the assignment named in the said Appendix. A Technical Proposal only may be submitted in assignments where the Client intends to apply standard conditions of engagement and scales of fees for professional services which are regulated as is the case with Building and Civil Engineering Consulting services. In such a case the highest ranked firm of the technical proposal shall be invited to negotiate a contract on the basis of scale fees. The proposal will be the basis for Contract negotiations and ultimately for a signed Contract with the selected firm.

2.1.3 The consultants must familiarize themselves with local conditions and take them into account in preparing their proposals. To obtain first hand information on the assignment and on the local conditions, consultants are encouraged to liase with the Client regarding any information that they may require before submitting a proposal and to attend a pre-proposal conference where applicable. Consultants should contact the officials named in the Appendix "ITC" to arrange for any visit or to obtain additional information on the pre-proposal conference. Consultants should ensure that these officials are advised of the visit in adequate time to allow them to make appropriate arrangements.

2.1.4 The Procuring entity will provide the inputs specified in the Appendix "ITC", assist the firm in obtaining licenses and permits needed to carry out the services and make available relevant project data and reports.

2.1.5 Please note that (i) the costs of preparing the proposal and of negotiating the Contract, including any visit to the Client are not reimbursable as a direct cost of the assignment; and (ii) the Client is not bound to accept any of the proposals submitted.

2.1.6 The procuring entity's employees, committee members, board members and their relative (spouse and children) are not eligible to participate.

2.1.7 The price to be charged for the tender document shall not exceed Kshs.1,000/=.

2.1.8 The procuring entity shall allow the tenderer to review the tender document free of charge before purchase.

2.2 Clarification and Amendment of RFP Documents

2.2.1 Consultants may request a clarification of any of the RFP documents only up to seven [7] days before the proposal submission date. Any request for clarification must be sent in writing by paper mail, cable, telex, facsimile or electronic mail to the Client's address indicated in the Appendix "ITC". The Client will respond by cable, telex, facsimile or electronic mail to such requests and will send written copies of the response (including an explanation of the query but without identifying the source of inquiry) to all invited consultants who intend to submit proposals.

2.2.2 At any time before the submission of proposals, the Client may for any reason, whether at his own initiative or in response to a clarification requested by an invited firm, amend the RFP. Any amendment shall be issued in writing through addenda. Addenda shall be sent by mail, cable, telex or facsimile to all invited consultants and will be binding on them. The Client may at his discretion extend the deadline for the submission of proposals.

2.3 Preparation of Technical Proposal

2.3.1 The Consultants proposal shall be written in English language

2.3.2 In preparing the Technical Proposal, consultants are expected to examine the documents constituting this RFP in detail. Material deficiencies in providing the information requested may result in rejection of a proposal.

2.3.3 While preparing the Technical Proposal, consultants must give particular attention to the following:

(i) If a firm considers that it does not have all the expertise for the assignment, it may obtain a full range of expertise by associating with individual consultant(s) and/or other firms or entities in a joint venture or sub-consultancy as appropriate. Consultants shall not associate with the other consultants invited for this assignment. Any firms associating in contravention of this requirement shall automatically be disqualified.

(ii) For assignments on a staff-time basis, the estimated number of professional staff-time is given in the Appendix. The proposal shall however be based on the number of professional staff-time estimated by the firm.

(iii) It is desirable that the majority of the key professional staff proposed be permanent employees of the firm or have an extended and stable working relationship with it.

(iv) Proposed professional staff must as a minimum, have the experience indicated in Appendix, preferably working under conditions similar to those prevailing in Kenya.

(v) Alternative professional staff shall not be proposed and only one Curriculum Vitae (CV) may be submitted for each position.

2.3.4 The Technical Proposal shall provide the following information using the attached Standard Forms;

(i) A brief description of the firm's organization and an outline of recent experience on assignments of a similar nature. For each assignment the outline should indicate *inter alia,* the profiles of the staff proposed, duration of the assignment, contract amount and firm's involvement.

(ii) Any comments or suggestions on the Terms of Reference, a list of services and facilities to be provided by the Client.

(iii) A description of the methodology and work plan for performing the assignment.

(iv) The list of the proposed staff team by specialty, the tasks that would be assigned to each staff team member and their timing.

(v) CVs recently signed by the proposed professional staff and the authorized representative submitting the proposal. Key information should include number of years working for the firm/entity and degree of responsibility held in various assignments during the last ten (10) years.

(vi) Estimates of the total staff input (professional and support staff staff-time) needed to carry out the assignment supported by bar chart diagrams showing the time proposed for each professional staff team member.

(vii) A detailed description of the proposed methodology, staffing and monitoring of training, if Appendix "A" specifies training as a major component of the assignment.

(viii) Any additional information requested in Appendix "A".

2.3.5 The Technical Proposal shall not include any financial information.

2.4 Preparation of Financial Proposal

2.4.1 In preparing the Financial Proposal, consultants are expected to take into account the requirements and conditions outlined in the RFP documents. The Financial Proposal should follow Standard Forms (Section D). It lists all costs associated with the assignment including; (a) remuneration for staff (in the field and at headquarters), and; (b) reimbursable expenses such as subsistence (per diem, housing), transportation (international and local, for mobilization and demobilization), services and equipment (vehicles, office equipment, furniture, and supplies), office rent, insurance, printing of documents, surveys, and training, if it is a major component of the assignment. If appropriate these costs should be broken down by activity.

2.4.2 The Financial Proposal should clearly identify as a separate amount, the local taxes, duties, fees, levies and other charges imposed under the law on the consultants, the sub-consultants and their personnel, unless Appendix "A" specifies otherwise.

2.4.3 Consultants shall express the price of their services in Kenya Shillings.

2.4.4 Commissions and gratuities, if any, paid or to be paid by consultants and related to the assignment will be listed in the Financial Proposal submission Form.

2.4.5 The Proposal must remain valid for 60 days after the submission date. During this period, the consultant is expected to keep available, at his own cost, the professional staff proposed for the assignment. The Client will make his best effort to complete negotiations within this period. If the Client wishes to extend the validity period of the proposals, the consultants shall agree to the extension.

2.5 **Submission, Receipt, and Opening of Proposals**

2.5.1 The original proposal (Technical Proposal and, if required, Financial Proposal; see para. 1.2) shall be prepared in indelible ink. It shall contain no interlineation or overwriting, except as necessary to correct errors made by the firm itself. Any such corrections must be initialed by the persons or person authorised to sign the proposals.

2.5.2 For each proposal, the consultants shall prepare the number of copies indicated in Appendix "A". Each Technical Proposal and Financial Proposal shall be marked **"ORIGINAL"** or **"COPY"** as appropriate. If there are any discrepancies between the original and the copies of the proposal, the original shall govern.

2.5.3 The original and all copies of the Technical Proposal shall be placed in a sealed envelope clearly marked "**TECHNICAL PROPOSAL**," and the original and all copies of the Financial Proposal in a sealed envelope clearly marked **"FINANCIAL PROPOSAL"** and warning: **"DO NOT OPEN WITH THE TECHNICAL PROPOSAL"**. Both envelopes shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address and other information indicated in the Appendix "ITC".

2.5.4 The completed Technical and Financial Proposals must be delivered at the submission address on or before the time and date stated in the Appendix "ITC". Any proposal received after the closing time for submission of proposals shall be returned to the respective consultant unopened.

2.5.5 After the deadline for submission of proposals, the Technical Proposal shall be opened immediately by the opening committee. The Financial Proposal shall remain sealed and deposited with a responsible officer of the client department up to the time for public opening of financial proposals.

2.6 Proposal Evaluation General

2.6.1 From the time the bids are opened to the time the Contract is awarded, if any consultant wishes to contact the Client on any matter related to his proposal, he should do so in writing at the address indicated in the Appendix "ITC". Any effort by the firm to influence the Client in the proposal evaluation, proposal comparison or Contract award decisions may result in the rejection of the consultant's proposal.

2.6.2 Evaluators of Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded.

2.7 Evaluation of Technical Proposal

2.7.1 The evaluation committee appointed by the Client shall evaluate the proposals on the basis of their responsiveness to the Terms of Reference, applying the evaluation criteria as follows

NO.	**SCORING CRITERIA**		**BIDDER'S SCORE**
	DESCRIPTION	**MAX. SCORE**	
1	Specific experience of the firm in performing similar assignments in the last five years	37	
2	Competence and capacity of the key staff for the assignment	41	
3	Understanding of the Terms of Reference (TORs)	22	
	TOTAL	**100**	

Each responsive proposal will be given a technical score (St). A proposal shall be rejected at this stage if it does not respond to important aspects of the Terms of Reference or if it fails to achieve the minimum technical score indicated in the Appendix "ITC".

2.8 Public Opening and Evaluation of Financial Proposal

2.8.1 After Technical Proposal evaluation, the Client shall notify those consultants whose proposals did not meet the minimum qualifying mark or were considered non-responsive to the RFP and Terms of Reference, indicating that their Financial Proposals will be returned after completing the selection process. The Client shall simultaneously notify the consultants who have secured the minimum qualifying mark, indicating the date and time set for opening the Financial Proposals and stating that the opening ceremony is open to those consultants who choose to attend. The opening date shall not be sooner than seven (7) days after the notification date. The notification may be sent by registered letter, cable, telex, facsimile or electronic mail.

2.8.2 The Financial Proposals shall be opened publicly in the presence of the consultants' representatives who choose to attend. The name of the consultant, the technical. Scores and the proposed prices shall be read aloud and recorded when the Financial Proposals are opened. The Client shall prepare minutes of the public opening.

2.8.3 The evaluation committee will determine whether the financial proposals are complete (i.e. whether the consultant has costed all the items of the corresponding Technical Proposal and correct any computational errors. The cost of any unpriced items shall be assumed to be included in other costs in the proposal. In all cases, the total price of the Financial Proposal as submitted shall prevail.

2.8.4 While comparing proposal prices between local and foreign firms participating in a selection process in financial evaluation of Proposals, firms incorporated in Kenya where indigenous Kenyans own 51% or more of the share capital shall be allowed a 10% preferential bias in proposal prices. However, there shall be no such preference in the technical evaluation of the tenders. Proof of local incorporation and citizenship shall be required before the provisions of this sub-clause are applied. Details of such proof shall be attached by the Consultant in the financial proposal.

2.8.5 The formulae for determining the Financial Score (Sf) shall, unless an alternative formulae is indicated in the Appgendix "ITC", be as follows:-
Sf = 100 X $^{FM}/_{F}$ where Sf is the financial score; Fm is the lowest priced financial proposal and F is the price of the proposal under consideration. Proposals will be ranked according to their combined technical *(St)* and financial *(Sf)* scores using the weights *(T*=the weight given to the Technical Proposal: *P* = the weight given to the Financial Proposal; *T* + *p* = I) indicated in the Appendix. The combined technical and financial score, S, is calculated as follows:- *S* = *St* x *T* % + *Sf* x *P* %. The firm achieving the highest combined technical and financial score will be invited for negotiations.

2.8.6 The tender evaluation committee shall evaluate the tender within 21 days of from the date of opening the tender.

2.8.7 Contract price variations shall not be allowed for contracts not exceeding one year (12 months).

2.8.8 Where contract price variation is allowed, the variation shall not exceed 10% of the original contract price

2.8.9 Price variation requests shall be processed by the procuring entity within 30 days of receiving the request.

2.9 Negotiations

2.9.1 Negotiations will be held at the same address as "address to send information to the Client" indicated in the Appendix "ITC". The aim is to reach agreement on all points and sign a contract.

2.9.2 Negotiations will include a discussion of the Technical Proposal, the proposed methodology (work plan), staffing and any suggestions made by the firm to improve the Terms of Reference. The Client and firm will then work out final Terms of Reference, staffing and bar charts indicating activities, staff periods in the field and in the head office, staff-months, logistics and reporting. The agreed work plan and final Terms of Reference will then be incorporated in the "Description of Services" and form part of the Contract. Special attention will be paid to getting the most the firm can offer within the available budget and to clearly defining the inputs required from the Client to ensure satisfactory implementation of the assignment.

2.9.3 Unless there are exceptional reasons, the financial negotiations will not involve the remuneration rates for staff (no breakdown of fees).

2.9.4 Having selected the firm on the basis of, among other things, an evaluation of proposed key professional staff, the Client expects to negotiate a contract on the basis of the experts named in the proposal. Before contract negotiations, the Client will require assurances that the experts will be actually available. The Client will not consider substitutions during contract negotiations unless both parties agree that undue delay in the selection process makes such substitution unavoidable or that such changes are critical to meet the objectives of the assignment. If this is not the case and if it is established that key staff were offered in the proposal without confirming their availability, the firm may be disqualified.

2.9.5 The negotiations will conclude with a review of the draft form of the Contract. To complete negotiations the Client and the selected firm will initial the agreed Contract. If negotiations fail, the Client will invite the firm whose proposal received the second highest score to negotiate a contract.

2.9.6 The procuring entity shall appoint a team for the purpose of the negotiations.

2.10 Award of Contract

2.10.1The Contract will be awarded following negotiations. After negotiations are completed, the Client will promptly notify other consultants on the shortlist that they were unsuccessful and return the Financial Proposals of those consultants who did not pass the technical evaluation.

2.10.2The selected firm is expected to commence the assignment on the date agreed.

2.10.3 The parties to the contract shall have it signed within 30 days from the date of notification of contract award unless there is an administrative review request.

2.10.4 The procuring entity may at any time terminate procurement proceedings before contract award and shall not be liable to any person for the termination.

2.10.5 The procuring entity shall give prompt notice of the termination to the tenderers and on request give its reasons for termination within 14 days of receiving the request from any tenderer.

2.10.6 To qualify for contract awards, the tenderer shall have the following:

(a) Necessary qualifications, capability experience, services, equipment and facilities to provide what is being procured.

(b) Legal capacity to enter into a contract for procurement

(c) Shall not be insolvent, in receivership, bankrupt or in the process of being wound up and is not the subject of legal proceedings relating to the foregoing.

(d) Shall not be debarred from participating in public procurement.

2.11 Confidentiality

2.11.1Information relating to evaluation of proposals and recommendations concerning awards shall not be disclosed to the consultants who submitted the proposals or to other persons not officially concerned with the process, until the winning firm has been notified that it has been awarded the Contract.

2.12 Corrupt or fraudulent practices

2.12.1The procuring entity requires that the consultants observe the highest standards of ethics during the selection and award of the consultancy contract and also during the performance of the assignment. The tenderer shall sign a declaration that he has not and will not be involved in corrupt or fraudulent practices.

2.12.2 The procuring entity will reject a proposal for award if it determines that the consultant recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.

2.12.3 Further a consultant who is found to have indulged in corrupt or fraudulent practices risks being debarred from participating in public procurement in Kenya.

Appendix to Information to Consultants

The following information for procurement of consultancy services and selection of consultants shall complement or amend the provisions of the information to consultants, wherever there is a conflict between the provisions of the information to consultants and the provisions of the appendix, the provisions of the appendix herein shall prevail over those of the information to consultants.

Clause Reference

2.1 The name of the Client is: **NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY**.

2.1.1 The method of selection is: **QUALITY AND COST BASED SELECTION.**

2.1.2 Technical and Financial Proposals are requested: **Yes**

2.1.3 A pre-proposal conference will be held: **No**

2.5.2 Consultants must submit **ONE ORIGINAL TECHNICAL PROPOSAL AND ONE COPY OF THE TECHNICAL PROPOSAL.ONE ORIGINAL FINANCIAL PROPOSAL AND ONE COPY OF FINANCIAL PROPOSAL.**

2.5.3 The proposal submission address is:

The Director General,
National Environment Management Authority,
Eland House, Popo Road, Off Mombasa Road,
P.O. Box 67839 – 00200.
NAIROBI.

2.5.4 Information on the outer envelope should include:
THE CONSULTANCY TITLE, REFERENCE NUMBER AND PROPER LABEL I.E TECHNICAL PROPOSAL/FINANCIAL PROPOSAL/ORIGINAL/COPY.
ALL FINANCIAL PROPOSALS MUST BEAR THE NAME OF THE APPLYING FIRM TO ENABLE THE PROCESS OF RETURNING THEM TO THE APPLICANT INCASE THE TECHNICAL PROPOSAL IS UNSUCCESSFUL.
SEALING OF THE ENVELOPES:
CONSULTANTS MUST SUBMIT ONLY ONE OUTER ENVELOPE.INSIDE THE ENVELOPE THEY SHOULD ENCLOSE THE TECHNICAL AND FINANCIAL PROPOSALS ALL IN SEPARATE ENVELOPES AND LABALLED AS INSTRUCTED ABOVE.
THE OUTER ENVELOPE SHOULD BE ADDRESSED TO
The Director General,

National Environment Management Authority,
Eland House, Popo Road, Off Mombasa Road,
P.O. Box 67839 – 00200.
NAIROBI
AND
BEAR THE RFP NUMBER AND TITLE AND A STATEMENT DO NOT OPEN **BEFORE 3RD MAY 2021 AT 11.00A.M.**

2.5.4 Proposals must be submitted no later than the following date and time: **3RD MAY 2021 AT 11.00A.M.**

2.6.3 The minimum technical score required to pass *70%*
2.7 *Technical Evaluation of the proposals.*

1. Mandatory Requirements.

No.	***Description***
1	Attach a copy of company/Firm registration Certificate
2	Attach a copy of valid tax compliance certificate/Exemption certificate
3	Attach a copy of current CR12 dated 2020 or 2021
4	Duly filled and signed Technical submission form in the format provided in this document
5	Duly filled and signed declaration form S.D 1 form in the format provided in this document
6	Duly filled and signed declaration form S.D 2 form in the format provided in this document

NB:
Failure for any bid to meet all the mandatory Requirements will render the bid non-responsive and will not qualify to proceed to Technical and Financial Evaluation.

2. Technical evaluation criteria.

NO.	**SCORING CRITERIA**		**BIDDER'S SCORE**
	DESCRIPTION	**MAX. SCORE**	
1	Specific experience of the firm in performing similar assignments in the last five years	37	
2	Competence and capacity of the key staff for the assignment	41	
3	Understanding of the Terms of Reference (TORs)	22	
	TOTAL	**100**	

NB:
This section will be scored out of 100 points and will determine the technical score. The Pass mark is 70/100. Bidders who score below this will not progress to Financial Evaluation.

No.	Evaluation Criteria	Max. Score/criteria	Score by evaluator	Remarks
1	Specific experience of the firm in performing similar assignments in the last five years	**37**		
a	At least 7 years of experience in the design, implementation, monitoring and evaluation of projects by the bidding Firm. (1mark for each year)	7		
b	5 assignments on mid-term review for similar projects, National Level Projects(6mk for each)	30		
2	**Competence and capacity of the key staff for the assignment**	**41**		
a	The team leader should have a postgraduate degree in Development Studies, Environment and natural resources management, Climate change, biological and agricultural sciences, Organizational Development, Finance Management or other closely related discipline with Seven Years' Experience.(3marks for each year of experience)	21		
b.	At least two support consultants who must have a minimum of a postgraduate degree in Development Studies, Environment and natural resources management, Climate change, biological and agricultural sciences, Organizational Development, Finance Management or other closely related discipline with five year experience (2marks for each year of experience) ***(****Attach copies of CVs, academic and professional qualifications/certificates*	20		

	and testimonials of the following key personnel proposed for the assignment to demonstrate qualifications, competencies and experience to undertake the assignment)			
3	**Understanding of the Terms of Reference (TOR)**	**22**		
a.	Adequacy and clarity of the proposed methodology: • Clarity of scope of work • Clearly explained procedure/process ***(11 mk for each)***	22		

2.7.1 The weights given to the Technical and Financial Proposals are:

T=___________ (0.80)/80%

P=___________ (0.20)/20%

SECTION III - TECHNICAL PROPOSAL

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1. Technical proposal submission form

2. Firms references

3. Comments and suggestions of consultants on the Terms of reference and on data, services and facilities to be provided by the procuring entity

4. Description of the methodology and work plan for performing the assignment

5. Team composition and Task assignments

6. Format of curriculum vitae (CV) for proposed Professional staff

7. Time schedule for professional personnel

8. Activity (work schedule)

1. TECHNICAL PROPOSAL SUBMISSION FORM

[_______________ *Date*]

To:______________________[*Name and address of Client)*

Ladies/Gentlemen:

We, the undersigned, offer to provide the consulting services for __________________ _______________________________[*Title of consulting services*] in accordance with your Request for Proposal dated ______________________[*Date*] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal, [and a Financial Proposal sealed under a separate envelope-*where applicable*].

We understand you are not bound to accept any Proposal that you receive.

We remain,

Yours sincerely,

_______________________________*[Authorized Signature]:*

________________________________*[Name and Title of Signatory]*
:
_________________________________*[Name of Firm]*
:
_________________________________*[Address:]*

2. FIRM'S REFERENCES

Relevant Services Carried Out in the Last Five Years
That Best Illustrate Qualifications

Using the format below, provide information on each assignment for which your firm either individually, as a corporate entity or in association, was legally contracted.

Assignment Name:	Country
Location within Country:	Professional Staff provided by Your Firm/Entity(profiles):
Name of Client: assignment.	Clients contact person for the
Address:	No of Staff-Months; Duration of Assignment:
Start Date (Month/Year): Services (Kshs) (Month/Year):	Completion Date Approx. Value of
Name of Associated Consultants. If any: Consultants:	No of Months of Professional Staff provided by Associated
Name of Senior Staff (Project Director/Coordinator, Team Leader) Involved and Functions Performed:	
Narrative Description of project:	
Description of Actual Services Provided by Your Staff:	

Firm's Name: ___________________________________

Name and title of signatory; ______________________

3. COMMENTS AND SUGGESTIONS OF CONSULTANTS ON THE TERMS OF REFERENCE AND ON DATA, SERVICES AND FACILITIES TO BE PROVIDED BY THE CLIENT.

<u>On the Terms of Reference:</u>

1.

2.

3.

4.

5.

<u>On the data, services and facilities to be provided by the Client:</u>

1.

2.

3.

4.

5.

4. DESCRIPTION OF THE METHODOLOGY AND WORK PLAN FOR PERFORMING THE ASSIGNMENT

5. TEAM COMPOSITION AND TASK ASSIGNMENTS

1. Technical/Managerial Staff

Name	Position	Task

2. Support Staff

Name	Position	Task

6. FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

Proposed Position: ____

Name of Firm: ____

Name of Staff: ____

Profession: ____

Date of Birth: ____

Years with Firm: ____________________ Nationality: ________________

Membership in Professional Societies: ______________________________

Detailed Tasks Assigned: ____

Key Qualifications:

[Give an outline of staff member's experience and training most pertinent to tasks on assignment. Describe degree of responsibility held by staff member on relevant previous assignments and give dates and locations].

Education:

[Summarize college/university and other specialized education of staff member, giving names of schools, dates attended and degree[s] obtained.]

Employment Record:

[Starting with present position, list in reverse order every employment held. List all positions held by staff member since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments.]

Certification:

I, the undersigned, certify that these data correctly describe me, my qualifications, and my experience.

____ Date: _______________

[Signature of staff member]

____ *Date;* _____________

[*Signature of authorised representative of the firm*]

Full name of staff member: ____

Full name of authorized representative: _____________________________________

7. TIME SCHEDULE FOR PROFESSIONAL PERSONNEL

Name	Position	Reports Due/ Activities	Months (in the Form of a Bar Chart) 1	2	3	4	5	6	7	8	9	10	11	12	Number of months

Reports Due: _________

Activities Duration: _________

Signature: ________________________
(Authorized representative)

Full Name: ________________________

Title: ______________________________

Address: ___________________________

8. ACTIVITY (WORK) SCHEDULE

(a). Field Investigation and Study Items

[1st,2nd,etc, are months from the start of assignment)

	1st	2nd	3rd	4th	5th	6th	7th	8th	9th	10th	11th	12th	
Activity (Work)													
________________													
________________													
________________													
________________													

(b). Completion and Submission of Reports

Reports	Date
1. Inception Report	
4. Interim Progress Report (a) First Status Report (b) Second Status Report	
3. Draft Report	
4. Final Report	

SECTION IV: - FINANCIAL PROPOSAL.

Notes on preparation of Financial Proposal

4.1 The Financial proposal prepared by the consultant should list the costs associated with the assignment. These costs normally cover remuneration for staff, subsistence, transportation, services and equipment, printing of documents, surveys etc as may be applicable. The costs should be broken done to be clearly understood by the procuring entity.

4.2 The financial proposal shall be in Kenya Shillings or any other currency allowed in the request for proposal and shall take into account the tax liability and cost of insurances specified in the request for proposal.

4.3 The financial proposal should be prepared using the Standard forms provided in this part

SECTION IV - FINANCIAL PROPOSAL STANDARD FORMS

Table of Contents

1. Financial proposal submission Form

2. Summary of costs

3. Breakdown of price/per activity

4. Breakdown of remuneration per activity

5. Reimbursables per activity

6. Miscellaneous expenses

1. FINANCIAL PROPOSAL SUBMISSION FORM

________________*[Date]*

To: ______________________________________

____

____

[Name and address of Client]

Ladies/Gentlemen:

We, the undersigned, offer to provide the consulting services for (____________) *[Title of consulting services]* in accordance with your Request for Proposal dated (__________________) *[Date]* and our Proposal. Our attached Financial Proposal is for the sum of (____) *[Amount in words and figures]* inclusive of the taxes.

We remain,

Yours sincerely,

_____________________________*[Authorized Signature]*

:

_____________________ *[Name and Title of Signatory]:*

_______________________ *[Name of Firm]*

______________________ *[Address]*

2. SUMMARY OF COSTS

Costs	Currency(ies)	Amount(s)
Subtotal Taxes Total Amount of Financial Proposal		___________________

3. BREAKDOWN OF PRICE PER ACTIVITY

Activity NO.: ______________________	Description:________________________
Price Component	Amount(s)
Remuneration Reimbursables Miscellaneous Expenses Subtotal	 ______________________________

4. BREAKDOWN OF REMUNERATION PER ACTIVITY

Activity No. ________________________________ Name:______________________

Names	Position	Input(Staff months, days or hours as appropriate.)	Remuneration Rate	Amount
Regular staff				
(i)				
(ii)				
Consultants				
Grand Total			______________	

5. REIMBURSABLES PER ACTIVITY

Activity No: ________________________________ Name:______________________

No.	Description	Unit	Quantity	Unit Price	Total Amount
1.	Air travel	Trip			
2	Road travel	Kms			
3.	Rail travel	Kms			
4.	Subsistence Allowance	Day			
	Grand Total				

6. MISCELLANEOUS EXPENSES

Activity No. ______________________________ Activity Name: _______________________

No.	Description	Unit	Quantity	Unit Price	Total Amount
1.	Communication costs____ _________________________ (telephone, telegram, telex)				
2.	Drafting, reproduction of reports				
3.	Equipment: computers etc.				
4.	Software				
	Grand Total				______________

SECTION V: - TERMS OF REFERENCE

NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY

(NEMA)

TERMS OF REFERENCE (TOR) FOR MID TERM EVALUATION OF THE ADAPTATION FUND PROGRAMME IN KENYA

'Integrated Programme to Build Resilience and Adaptive Capacity of Vulnerable Communities to Climate Change in Kenya'.

FUNDED BY THE ADAPTATION FUND BOARD

APRIL 2021

1. Introduction

These Terms of Reference (ToRs) are for the Mid-Term Evaluation (MTE) of the Adaptation Fund (AF) financed project titled "Integrated Programme to Build Resilience and Adaptive Capacity of Vulnerable Communities to Climate Change in Kenya" implemented through the National Environment Management Authority, Kenya (NEMA-K) as the National Implementing Entity (NIE).

2. Programme Background

The **"Integrated Programme to Build Resilience and Adaptive Capacity of Vulnerable communities to Climate Change in Kenya"** is funded by the Adaptation Fund. The project started on January 2016 and is in its fourth year of implementation. The programme is implemented by NEMA as the National Implementing Entity (NIE), three (3) Executing Entities, and seven (7) sub-Executing Entities.

The overall objective of the programme is to enhance resilience and adaptive capacity to climate change for selected communities in Kenya. The Programme cuts across several sectors most vulnerable to climate change: Agriculture and food security, water resources management, coastal zone management, and disaster risk reduction.

The program has the following five components:

Component 1: Enhancing climate resilience for improved food security in selected counties

Component 2: Improving climate resilient water management systems to enhance food security in selected counties

Component 3: Increase resilience to climate change of shoreline and mangrove ecosystem in Kenyan coastal zone

Component 4: Disaster risk reduction and increasing preparedness among vulnerable communities

Component 5: Strengthening capacity and knowledge management for programme implementation and climate change adaptation.

3. Objectives of the Mid Term Evaluation (MTE)

The objectives of the MTE will be to:

f) Assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document.
g) Identify strengths and weaknesses in the implementation.
h) Review the project's strategy, its risks to sustainability.
i) Assess the likelihood of the project achieving its objectives and delivering its intended outputs.
j) Provide recommendations on modifications to increase the likelihood of success.

4. Approach and Methodology

The Consultant shall provide evidence-based information that is credible, reliable and useful. The Consultant is expected to:

a) Review all relevant sources of information including documents prepared during the preparation phase (i.e. AF Concept, AF Proposal, Environmental & Social Safeguard Policy, the Project Document, project reports including Project Performance Reports/PPRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the consultant considers useful for this evidence-based review).
b) Engage the NIE, the Executing entities and sub-entities, and other stakeholders in a collaborative and participatory approach.
c) Conduct field missions to all or some of the program sites

5. Detailed Scope of Work

In carrying out the mid-term evaluation, the Consultant will focus on the following four (4) critical tasks:

Task 1: Review and Assess Program Strategy

The Consultant will consider the following aspects of program strategy:

Project design:

- Review the problem addressed by the project and the underlying assumptions.
- Assess the design of the project and the coherence of its strategies, activities, as well as interlinkages within the components.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results.
- Review how the project addresses country priorities and ownership.
- Review decision-making processes.
- Review the extent to which relevant gender issues were raised in the project design.

Results Framework/Logframe:

- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Examine if broader development and gender aspects of the project are being monitored effectively.

Task 2: Review and Assess Progress Towards Results and Impact

The consultant will:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix.
- Compare and analyze the AF Results Tracker within the Project Performance Report (PPR) at the Baseline with the one completed right before the Midterm Evaluation.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- Review the aspects of the project that have already been successful and identify ways in which the project can further expand these benefits.
- Assess the project's log-term impact on institution building

Task 3: Review and Assess Project Implementation and Adaptive Management to determine efficiency and effectiveness.

The Consultant will evaluate the following aspects:

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document.
- Assess the adequacy and appropriateness of the project implementation modalities that have been put in place
- Assess the effectiveness of responsibilities and reporting lines as well as decision making processes and recommend areas of improvement.
- Assess the effectiveness of changes made in the course of program implementation.
- Review the quality of execution of the Executing Entities and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?

Project-level Monitoring and Evaluation Systems:

- Review the effectiveness of the monitoring and evaluation system in place.
- Review the appropriateness of the monitoring tools currently being used.
- Assess the sufficiency and effectiveness of the resources allocated to monitoring and evaluation.

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil AF reporting requirements (i.e. how have they addressed poorly-rated PPRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review the effectiveness of both internal and external project communication with stakeholders.

Task 4: Review and Assess Program Sustainability

The consultant shall:

- Assess if the policies, strategies adopted by the Program are sustainable in the long term.
- Assess how the local institutional capacity and structures have been prepared for the post project situation.
- Validate whether the risks identified in the Project Document and the PPRs are the most important and whether the risk ratings applied are appropriate and up to date.

- Assess the following risks to sustainability: financial, socio-economic, institutional framework and sustainability, and environmental risks.

6. Expected Deliverables

The expected deliverables of this assignment are;

a) Inception Report outlining the proposed methodology and detailed work plan, 5 days after signing of contract.
b) Draft Final Report, 21 days after signing of contract.
c) Final Report, 14 days after receipt of comments from NIE

7. Specifications/Qualifications of the Consultancy

This will be either an individual Consultant or firm. The consultant is expected to have the following qualifications:

a) **Academic background:** A postgraduate degree in Development Studies, Environment and natural resources management, Climate change, biological and agricultural sciences, Organizational Development, Finance Management or other closely related discipline.

b) **General Experience:** At least 7 years of experience in the design, implementation, monitoring and evaluation of projects.

c) Competencies and corporate values:

- Excellent knowledge of the English language (both spoken and written) and excellent communication Skills.
- Good knowledge on environmental governance, organizational management, grant management and climate change issues in Kenya
- Demonstrated understanding of issues related to gender; experience in gender sensitive evaluation and analysis.
- Demonstrable analytical skills.
- Ability to produce written outputs/reports clearly and concisely
- Good knowledge of GCF Policies, procedures, Governance instrument, and accreditation processes.
- Knowledge and / or familiarity with the social dynamics in Kenya
- Ability to work well with Government Agencies

8. Reporting/ Coordination

The Consultant shall be responsible to the Director General, NEMA for reporting and outputs. However, day to day technical supervision of the Consultant will be by the NIE.

The payment for the Consultancy is a lump sum, including airfare tickets, local travel costs, accommodations and daily subsistence allowances. The consultant will be responsible to make the necessary travel arrangements for the MTE. The consultant will cover the travel cost and per dim. The Project Team will be responsible for liaising with the MTE consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

The payment modalities shall be structured as follows:

10% of payment upon approval of the final MTE Inception Report
40% upon submission of the draft MTE report
50% upon finalization of the MTE report

9. Duration

The entire consultancy will be for a maximum of 60 days over a period of 6 months. The Consultant will provide a workable work plan.

SECTION VI:

STANDARD FORMS OF CONTRACT

FORM SD1.

SELF DECLARATION THAT THE PERSON/TENDERER IS NOT DEBARRED IN THE MATTER OF THE PUBLIC PROCUREMENT AND ASSET DISPOSAL ACT 2015.

I, ……………………………………, of Post Office Box …………………………….. being a resident of ………………………………… in the Republic of ……………………………. do hereby make a statement as follows:-

1. THAT I am the Company Secretary/ Chief Executive/Managing Director/Principal Officer/Director of ………………………………………….. (insert name of the Company) who is a Bidder in respect of Tender No. ………………….. for ……………………(insert tender title/description) for ……………………(insert name of the Procuring entity) and duly authorized and competent to make this statement.

2. THAT the aforesaid Bidder, its Directors and subcontractors have not been debarred from participating in procurement proceeding under Part IV of the Act.

3. THAT what is deponed to hereinabove is true to the best of my knowledge, information and belief.

…………………………………. ………………………………

(Title) (Signature) (Date)

Bidder Official Stamp

FORM SD2

SELF DECLARATION THAT THE PERSON/TENDERER WILL NOT ENGAGE IN ANY CORRUPT OR FRAUDULENT PRACTICE.

I, ……………………………………of P. O. Box ………………………. being a Resident of ………………………………… in the Republic of ………………. do hereby make a statement as follows:-

1. THAT I am the Chief Executive/Managing Director/Principal Officer/Director of ………… ………………………… (insert name of the Company) who is a Bidder in respect of Tender No. ………………… for ……………………(insert tender title/description) for ………………(insert name of the Procuring entity) and duly authorized and competent to make this statement.

2. THAT the aforesaid Bidder, its servants and/or agents /subcontractors will not engage in any corrupt or fraudulent practice and has not been requested to pay any inducement to any member of the Board, Management, Staff and/or employees and/or agents of ……………………(insert name of the Procuring entity) which is the procuring entity.

3. THAT the aforesaid Bidder, its servants and/or agents /subcontractors have not offered any inducement to any member of the Board, Management, Staff and/or employees and/or agents of ……………………(name of the procuring entity)

4. THAT the aforesaid Bidder will not engage /has not engaged in any corrosive practice with other bidders participating in the subject tender

5. THAT what is deponed to hereinabove is true to the best of my knowledge information and belief.

……………………………… ……………………… ………………………

(Title) (Signature) (Date)

Bidder's Official Stamp