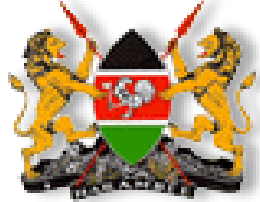


**REPUBLIC OF KENYA**



**KIAMBU COUNTY GOVERNMENT  
P.O. BOX 23 44 - 00900  
KIAMBU-KENYA**

**RFP NO. KCG/WEENR/RFP/008/2018/2019**

**CLOSING DATE & TIME:**

**12<sup>th</sup> NOVEMBER 2018 at 11.00 AM**

**(SELECTION OF CONSULTANTS)**

**STANDARD REQUEST FOR PROPOSALS (RFP)**

**CONSULTANCY FOR AUDIT OF WATER UTILITIES IN  
KIAMBU COUNTY**

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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 - LETTER OF INVITATION**

TO: *(Name and Address of Consultants)*

Date \_\_\_\_\_

Dear Sir/Madam,

RE: Human Resource, Financial and Asset Audit of Water Utilities

1.1 The Kiambu County Government invites proposals for the following consultancy services:

Kiambu County Government has embarked on a process of putting in place institutional and organizational framework that provide for adequate planning, managing and financing of water and sanitation services in keeping with its constitutional obligation of providing universal access to these services. In pursuit of this objective, the county government intend to recruit a consulting firm to undertake an in-depth audit of the hitherto eight Water Service Providers (WSPs) that were providing these services. The Audit will cover Human Resources, Water and Sewerage Assets, as well as Finance and commercial status of the eight utilities. The expected outputs of the consultancy will be;

- Recommendations on how the staff from the eight utilities will be integrated into one entity
- Updated county assets register for water and sewerage services and
- Recommendation on how the financial and commercial processes of the eight utilities will be consolidated

1.2 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 - Terms of Reference
- Section IV - Technical proposals
- Section V - Financial proposal
- Section VI - Standard Contract Form

1.3 Upon receipt, please inform us

- (a) that you have received the letter of invitation
- (b) whether or not you will submit a proposal for the assignment

Yours sincerely

*(Signature, name and title of procuring entity's official)*

1.

## **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 liaise 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 changed for the tender document shall not exceed Kshs.5,000/=
- 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 120 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,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” and be clearly marked, “**DO NOT OPEN, EXCEPT IN PRESENCE OF THE OPENING COMMITTEE.**”

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.

**Preliminary stage.**

The following will form **Mandatory evaluation criteria** to check on the responsiveness of bid.

<b>S.NO</b>	<b>EVALUATION CRITERIA</b>
1.	Copy of certificate of incorporation/Registration
2.	Copy of valid Tax Compliance Certificate.
3.	Copy of pin Certificate from KRA.
4.	Copy of current CR12 /CR13 Certificate.
5.	Duly filled confidential business questionnaire and duly signed by company Authorized directors.
6.	Dully filled form of tender stamped and signed by company authorized directors.
7.	Valid single business permits from any county Government for 2018.
8	Tender security of ksh 120,000.00 from an established Bank in Kenya, that is valid for 120 days

9	Submit a dully filled proposal submission form ,activity(work) schedule form, firm's references form
10	Submit one original and one copy of both technical and financial proposal properly bound and <b>MUST be sequentially stamped, numbered/ paginated and initialed on all pages including attachments. In case of any conflict between original and copy, original will prevail.</b>

## 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

### I. Technical Evaluation Criteria

The proposals shall be evaluated using the following criteria and score points:

ITEM	SUB-CRITERIA	MARKS
<b>Note:</b>		
<b>1. Signed CVs of the Team leader and Associate Consultants by each respective owner must be submitted together with certified copies supporting qualification</b>		

ITEM	SUB-CRITERIA	MARKS
<b>documents/certificates.</b>		
<b>FIRM</b>		
Firm's years since registration/incorporation	<ul style="list-style-type: none"> <li>○ Over 15 years (6 marks)</li> <li>○ 10-14 years (4 marks)</li> <li>○ 5-9 years (2marks)</li> <li>○ 0-4 years (0 marks)</li> </ul>	6
At least Three (3) similar assignments been conducted and completed in the last 5 years, attach contract/LSOs and their respective reference letters from clients, with letter head, stamped and duly signed by authorized officers	<ul style="list-style-type: none"> <li>○ More than 3 similar Assignments (6marks)</li> <li>○ 2 similar Assignments (4 marks)</li> <li>○ 1 similar assignment (2 marks)</li> </ul>	6
<b>Adequacy of the proposed methodology and work plan in responding to terms of reference.</b>		
Technical Approach and Methodology	Detailed explanation of how the consultant is going to map out/report on each of the 8 water utilities and their current human resource, financial standing and asset base and point out areas of possible improvement in each of the three mentioned parameters. The methodology is to be in terms of the scope and their linkage to expected outputs (3 marks for satisfactory explanation per parameter)	9
Work plan	A representation of the aforementioned methodology to be showcased and aided by clear flow charts showing critical activities and their expected outputs in	9

	diagrams with timelines (3 marks for satisfactory explanation per parameter)	
Organization and Staffing	<ul style="list-style-type: none"> <li>• The organizational structure (1 mark)</li> <li>• Composition of the Consultant's team: <ul style="list-style-type: none"> <li>○ list of the main disciplines of the assignment (1 mark)</li> <li>○ the key personnel/staff(1 mark)</li> <li>○ proposed support staff(1 mark)</li> <li>○ Filing of Staffing Form (1 mark).</li> </ul> </li> </ul>	5
<b>SUB-TOTAL POINTS (A)</b>		<b>35</b>
<b>KEY PROFESSIONAL STAFF QUALIFICATIONS AND COMPETENCE FOR THE ASSIGNMENT</b>		

<b>ITEM</b>	<b>Sub-criteria</b>	<b>Marks</b>
<b>a) Team Leader</b>  <i><b>NB:</b> attach C.V, certificates and testimonials / similar assignments conducted</i>	<ul style="list-style-type: none"> <li>• Academic <ul style="list-style-type: none"> <li>○ PHD in Finance or HR related (2marks)</li> <li>○ Masters in Finance or HR related(1 mark)</li> </ul> </li> </ul> Provide a certified copy of each certificate <ul style="list-style-type: none"> <li>• Experience <ul style="list-style-type: none"> <li>○ 15 and above years post masters degree (6marks)</li> <li>○ 10-14 years 4marks)</li> <li>○ 5 – 9 years (2marks)</li> <li>○ 0 -4 years (0 marks)</li> </ul> </li> <li>• Similar Assignment <ul style="list-style-type: none"> <li>○ More than 3 assignments 3 marks)</li> <li>○ 2-similar assignments (2 marks)</li> <li>○ 1 similar assignment (1mark)</li> </ul> </li> </ul>	11

<p><b>b)Human Resource Specialist</b></p> <p><i><b>NB:</b> attach C.V,certificates and testimonials / similar assignments conducted</i></p>	<ul style="list-style-type: none"> <li>• Academic <ul style="list-style-type: none"> <li>○ Masters degree in business/HR option(2 marks)</li> <li>○ Bachelors degree in business/HR option (1 mark)</li> </ul> </li> <li>Registered member of institute of human resource management (2mark)</li> <li>• Experience <ul style="list-style-type: none"> <li>○ 15 and above years post bachelors degree (6marks)</li> <li>○ 10-14 years 4marks)</li> <li>○ 5 – 9 years (2marks)</li> <li>○ 0 -4 years (0 marks)</li> </ul> </li> <li>• Similar assignments <ul style="list-style-type: none"> <li>○ More than 3 assignments 3 marks)</li> <li>○ 2-similar assignments (2 marks)</li> <li>○ 1 similar assignment (1mark)</li> </ul> </li> </ul>	13
<p><b>c) Finance specialist</b></p>	<ul style="list-style-type: none"> <li>• <b>Academic</b> <ul style="list-style-type: none"> <li>○ Masters degree in business/Finance (2</li> </ul> </li> </ul>	13

<p><b>NB:</b> attach C.V, certificates and testimonials / similar assignments conducted</p>	<p>marks)</p> <ul style="list-style-type: none"> <li>○ Bachelors degree in business/Finance (1 mark)</li> <li>• Experience <ul style="list-style-type: none"> <li>○ 15 and above years post bachelors degree (6marks)</li> <li>○ 10-14 years 4marks)</li> <li>○ 5 – 9 years (2marks)</li> <li>○ 0 -4 years (0 marks)</li> </ul> </li> <li>• Similar assignments <ul style="list-style-type: none"> <li>○ More than 3 assignments 3 marks)</li> <li>○ 2-similar assignments (2 marks)</li> <li>○ 1 similar assignment (1mark)</li> </ul> </li> <li>• Registered member in institute of certified public accountants in Kenya (2 marks)</li> </ul>	
<p><b>d) Asset management specialist</b></p>	<ul style="list-style-type: none"> <li>• Academic <ul style="list-style-type: none"> <li>○ Masters ’s degree in Civil or Water Engineering (2 marks)</li> </ul> </li> </ul>	<p>13</p>
<p><b>NB:</b> attach C.V, certificates and testimonials / similar assignments conducted</p>	<ul style="list-style-type: none"> <li>○ Bachelors degree in civil or water Engineering (1 mark)</li> <li>• Experience <ul style="list-style-type: none"> <li>○ 15 and above years post bachelors degree (6marks)</li> <li>○ 10-14 years 4marks)</li> <li>○ 5 – 9 years (2marks)</li> <li>○ 0 -4 years (0 marks)</li> </ul> </li> <li>• Similar assignments <ul style="list-style-type: none"> <li>○ More than 3 assignments 3 marks)</li> <li>○ 2-similar assignments (2 marks)</li> <li>○ 1 similar assignment (1mark)</li> </ul> </li> <li>• Corporate member in the Institute of Engineers of Kenya (2 marks)</li> </ul>	
<p><b>SUITABILITY TO THE TRANSFER OF PROPOSALS</b></p>		
<p><b>ITEM</b></p>	<p><b>Sub-criteria</b></p>	<p><b>Mark s</b></p>

<p>Training.</p> <p><b>NB:</b> Give explanations on how training users is to be done and the various topics/modules under each of the three sub categories to ensure successful adoption of the proposals post contract implementation the County Government management</p>	<p>Suitability to the transfer of proposals program (5 marks for satisfactory explanation per parameter)</p> <ul style="list-style-type: none"> <li>• Human Resources Audit</li> <li>• Finance and commercial Audit</li> <li>• Asset management</li> </ul>	15
<b>SUB-TOTAL POINTS (B)</b>		<b>65</b>
<b>TOTAL POINTS IN TECHNICAL = (A+B)</b>		<b>100</b>

**To derive a bidder’s technical score to ascertain pass mark of 55 marks take;**

$$\frac{(A + B)}{100} \times 70$$

**Highest possible technical score as demonstrated in above workings in A+B is 70 marks.**

**The minimum Technical Points (TP) required to qualify for financial evaluation is 55 marks.**

The minimum technical score required to qualify for financial evaluation shall be **55 Marks.**

Financial proposals for bidders who do not attain the minimum score will be returned Unopened including bidders disqualified at preliminary’

All firms that score 55 marks and above will be termed qualified and their financial proposals will be opened.

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 Appendix "ITC", be as follows:-  
 $Sf = 100 \times \frac{FM}{F}$  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;  $T + p = 1$ ) indicated in the Appendix. The combined technical and financial score, S, is calculated as follows:-  $S = St \times T \% + Sf \times P \%$ . The firm achieving the highest combined technical and financial score will be invited for negotiations.

T is the weight given to the technical proposal which is 70 marks.  
P is the weight given to the financial proposal which is 30 Marks.

Note P + T will be equal to 100%

The individual consultant 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 30 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**

2.10.1 The 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.

2.10.2 The selected firm is expected to commence the assignment on the date and at the location specified in Appendix "A".

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**

2.11.1 Information 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**

2.12.1 The 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**

### **Note on the Appendix to Information to Consultants**

1. The Appendix to information to consultant is intended to assist the procuring entity in providing specific information in relation to corresponding claims in the information to consultants included in Section II and the appendix has to be prepared for each specific consultancy.
2. The Procuring entity should specify in the appendix information and requirements specific to the circumstances of the procuring entity, the assignment of the consultancy and the proposals evaluation criteria that will apply to the RFP Consultancy.
3. In preparing the appendix the following aspects should be taken into consideration.
  - (a) The information that specifies or complements provisions of Section II to be incorporated.
  - (b) Amendments of Section II as necessitated by the circumstances of the specific consultancy to be also incorporated
  - (c) Section II should remain unchanged and any changes or amendments should be introduced through the appendix.

## **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 and 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: \_\_\_\_\_  
\_\_\_\_\_

2.1.1 The method of selection is: \_\_\_\_\_

2.1.2 Technical and Financial Proposals are requested: Yes \_\_\_ No \_\_\_

The name, objectives, and description of the assignment are: \_\_\_\_\_  
\_\_\_\_\_

2.1.3 A pre-proposal conference will be held: Yes \_\_\_\_\_ No \_\_\_ [*if Yes, indicate date, time and venue*] \_\_\_\_\_  
\_\_\_\_\_

The name(s), address(es) and telephone numbers of the Client's official(s) are: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2.1.4 The Client will provide the following inputs: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2.1.5 (ii) The estimated number of professional staff months required for the assignment is; \_\_\_\_\_

(iv) The minimum required experience of proposed professional staff is: [*Insert title, number of years of professional experience, specific expertise*]  
\_\_\_\_\_  
\_\_\_\_\_

2.1.6 (vii) Training is a specific component of this assignment:  
Yes \_\_\_ No \_\_\_\_\_ [*If yes, provide appropriate information*]

(viii) Additional information in the Technical Proposal includes:  
\_\_\_\_\_

2.1.7 Taxes: [Specify firm's liability: nature, sources of information]:\_\_\_\_  
\_\_\_\_\_

2.5.2 Consultants must submit an original and \_\_\_\_\_[Insert number] additional copies of each proposal.  
\_\_\_\_\_

2.5.3 The proposal submission address is: \_\_\_\_\_ Information on the outer envelope should also include:\_\_\_\_\_

2.5.4 Proposals must be submitted no later than the following date and time:\_\_\_\_\_

2.6.1 The address to send information to the Client is:\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2.6.3 The minimum technical score required to pass[Insert number of points]:\_\_\_\_\_

2.7.1 Alternative formulae for determining the financial scores is the following:\_\_\_\_\_

The weights given to the Technical and Financial Proposals are:

T= \_\_\_\_\_ (0.80 to 0.90)

P= \_\_\_\_\_ (0.10 to 0.20)

2.9.2 The assignment is expected to commence on \_\_\_\_\_ [Insert date] at [Insert location] \_\_\_\_\_

*(Amend as necessary)*

### **SECTION III: - TECHNICAL PROPOSAL**

#### **Notes on the preparation of the Technical Proposals**

- 3.1 In preparing the technical proposals the consultant is expected to examine all terms and information included in the RFP. Failure to provide all requested information shall be at the consultants own risk and may result in rejection of the consultant's proposal.
- 3.2 The technical proposal shall provide all required information and any necessary additional information and shall be prepared using the standard forms provided in this Section.
- 3.3 The Technical proposal shall not include any financial information unless it is allowed in the Appendix to information to the consultants or the Special Conditions of contract.

**SECTION III - TECHNICAL PROPOSAL**

**2. Table of Contents**

	<b>Page</b>
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:		Clients contact person for the assignment.
Address:		No of Staff-Months; Duration of Assignment:
Start Date (Month/Year):	Completion Date (Month/Year):	Approx. Value of Services (Kshs)
Name of Associated Consultants. If any:		No of Months of Professional Staff provided by Associated Consultants:
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; \_\_\_\_\_

*(May be amended as necessary)*

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

---

On the Terms of Reference:

- 1.
- 2.
- 3.
- 4.
- 5.

On the data, services and facilities to be provided by the Client:

- 1.
- 2.
- 3.
- 4.
- 5.

**14.DESCRPTION 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)												Number of months	
			1	2	3	4	5	6	7	8	9	10	11	12		

Reports Due: \_\_\_\_\_

Activities Duration: \_\_\_\_\_

Signature: \_\_\_\_\_  
(Authorized representative)

Full Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

## 8. ACTIVITY (WORK) SCHEDULE

### (a). Field Investigation and Study Items

*[1<sup>st</sup>, 2<sup>nd</sup>, etc, are months from the start of assignment]*

	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	5 <sup>th</sup>	6 <sup>th</sup>	7 <sup>th</sup>	8 <sup>th</sup>	9 <sup>th</sup>	10 <sup>th</sup>	11 <sup>th</sup>	12 <sup>th</sup>	
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 down 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**

	Page
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		<hr/>

**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

## **1. Background**

Kiambu County has embarked on the process of putting in place institutional and organizational framework that provide for adequate planning, managing, regulating and financing of water and sanitation services in keeping with its constitutional obligation of providing universal access to these services. In pursuit of this objective, the county is in the process of consolidating into one utility the business processes of water services delivery that were hither being provided by eight WSPs. Every effort is being made to ensure a smooth transition process that will not compromise but rather ensures improvement and sustainability of water and sanitation services to customers.

In May 2018, the County Government launched Kiambu County Water and Sewerage Company (KCWSC) and it is the entity that is now mandated to provide water and sanitation services in the county. KCWSC has an interim Board of Directors and management that was appointed by the county government. In addition, the company has gotten the necessary registration by the registrar of companies and it is therefore gearing toward consolidating processes that were hitherto provided by the eight utilities. This will require the process to be well documented for purpose of accountability and at the same time, establishing the baseline data for the new entity.

Human capital in any organization is the most critical asset and consist of knowledge and skills held by persons that can be used to advance the objectives of the entity. In any organization, no matter the level of investment in terms of physical and technological assets, human knowledge and skills are required to accomplish anything. Therefore, human capital is a key element in improving assets of an organization. In that respect, the Kiambu County Government in its pursuit of improving the provision of water and sewerage services will undertake HR audit in the hitherto eight WSPs that were providing these services. The intention by the County Government is to determine the required HR capacity that is required to enhance the Water and Sewerage services in the county. The County Government will recruit a consulting firm that will designate an expert to undertake a Human resource study and determine the compliment of the personnel in the hitherto WSPs and evaluate the extent to which these staff are endowed in terms of knowledge, information, innovation, and creativity toward increasing customer's satisfaction and creating competitive advantage for the new organization.

Sustainability of any entity is dependent on sound financial management. In line with the foregoing, the Kiambu County Government intends to recruit a consulting firm who will designate an expert to study and audit the financial and commercial status of the seven utilities. The consultant will carryout an in-depth analysis of financial status of each utility and determine the customer base, revenue base, cash flow, ability to meet its operations and maintenance costs, and debt capacity and management of each WSP. The consultant will then give recommendation of how the financial and commercial processes will be consolidated.

Water production and distribution as well as waste water management are the core activities of any water utility. In line with the foregoing, the County Government aims

to study and identify the existing capacity for this purpose with a view of developing a strategy to enhance service delivery to all residents within Kiambu County. The intention is to recruit a consulting with a designated expert who will update the existing county asset register for water and sewerage services. The consultant will work with a selected team from the department of Water as well as from the hitherto WSPs. The selected team will be appointed by the Chief Officer Water, Energy, Environment and Natural Resources.

The consultancy is therefore in three broad areas namely;

- Human Resource Capital Audit
- Financial and Commercial Audit
- Water and Sewerage Physical Asset Audit

## **2. Human Resource Capital Audit**

### **Objective of the Study**

The objective of this study is to assess the individual WSP human resources capacity and redefine their reporting structure to fit within the new outfit. The consultant will carry out a comprehensive situational analysis in close collaboration with the hitherto eight WSPs management team who will be expected to provide the relevant information. The study will determine the following

#### **a) The current staff establishment and their reporting structure**

The consultant will in the first instance review the reporting structure of each WSP and determine gradings, competencies, and the establishment at each level. The consultant will then review the proposed Organisation structure of KCWSC and develop mechanism of integrating all gradings in the hitherto WSPs. Where available the consultant will review job descriptions and redefine them to fit to the new outfit.

#### **b) Review remuneration structures and confirm payroll expenses**

The consultant will review all available information on the payroll management and compile a report on remuneration structure for each WSP. The remuneration report will provide details for compensation in relation to the grading, years of service and competencies. To enable the hitherto WSPs to provide comprehensive information the consultant will develop a template that will be used in collecting the payroll data.

The consultant will propose a salary grading structure as one of the deliverables of this task. In addition, the consultant will develop a mechanism of integrating all payrolls of the hitherto WSPs.

#### **c) The available competencies and their deployment**

The consultant will review the available competencies in the hitherto WSPs and their deployment within the reporting structure. To enable the hitherto WSPs to provide comprehensive information the consultant will develop a template that will be used in collecting data on competencies and skills.

The deliverable of this task is a report detailing the available competencies and propose a framework for staff deployment in the new outfit.

**d) The capacity and skill gaps in the establishment**

The consultant will study and determine the capacity and skill gaps within the hitherto WSPs. The deliverable of this task is a report detailing the available capacity and their proposed distribution in the new outfit. The report will also provide information on skill gaps and where applicable excess compliments in the establishment. The consultant will then prepare a framework of transferring and merging the services of the existing staff to the new entity.

**Deliverables and Timeframe**

The Kiambu County Government will ensure the consultant is provided with the required information on timely basis and on that premises, it is estimated that the outlined services will take about 3months. The deliverables and timeframes are listed in the table here below.

Activities	Deliverables	Time-frame (Man-Days)
Task 1: Preparation of inception Report	Inception Report	5
Task 2: Analysis on current staff establishment and reporting Structure	Report on current staff establishment and organization structure	10
Task 3: Review remuneration structures and confirm payroll expenses	Report on grading structures and payroll expenses	20
Task 4: Analysis on competencies and deployment	Report on the available competencies and their deployment	25
Task 5: Identifying skills and capacity gaps	<ul style="list-style-type: none"> <li>• Report on skills and capacity gaps</li> <li>• Strategy for transferring and merging staff</li> <li>• Final Report</li> </ul>	30

### 3. Financial and commercial Audit

#### Objective of the Study

The objective of this study is to assess the financial and commercial position for each individual WSP and propose the consolidation process. The consultant will carry out a comprehensive situational analysis in close collaboration with the hitherto eight WSPs management team who will be expected to provide the relevant information. The study will determine the following

- The financial position of each utility as at 30<sup>th</sup> June 2018
- The customer base of each utility
- The situation of the existing systems

The consultant will then prepare a framework of transferring the financial assets to the new entity and merging of the financial and commercial systems.

#### Deliverables and Timeframe

The Kiambu County Government will ensure the consultant is provided with the required information on timely basis and on that premises, it is estimated that the outlined services will take about 3months. The deliverables and timeframes are listed in the table here below.

Activities	Deliverables	Time-frame
Task 1: Analysis on the financial position of all utilities	Report on financial position as at 30 <sup>th</sup> June 2018	Month 1 and 2
Task 2: Analysis of customer base	<ul style="list-style-type: none"> <li>• Report on customer base</li> </ul>	Month 1 and 2
Task 3: Identifying existing financial and commercial systems	<ul style="list-style-type: none"> <li>• Report on existing information management systems</li> <li>• Proposed framework for merging processes</li> </ul>	Month 3

### 4. Water and Sewerage Physical Asset Audit

#### Objective of the Study

The objective of this study is to update asset register for water and sewerage infrastructure in the county and assess their condition with a view of recommending how best they can be operated. The team will then prepare a framework of setting up a technical department in the new company which will be mandated to oversee the operations of the infrastructure.

## Deliverables and Timeframe

It will be ensured that the team is provided with the required information on timely basis and on that premises, it is estimated that the outlined services will take about 3months.

Activities	Deliverables	Time-frame (Man-days)
Task 1: Preparation of Inception Report	Inception Report	5
Task 2: Visit all water production and distribution Installations	<ul style="list-style-type: none"><li>• Updating of the Asset Register for water supply services</li><li>• Report on the status of water production and distribution infrastructures</li></ul>	30
Task 3: Visit all waste water treatment plants and sewer network	<ul style="list-style-type: none"><li>• Updating of the Asset Register for waste water management</li><li>• Report on the status of waste water treatment plants and sewer infrastructures</li></ul>	30
Task 4: Identifying capacity gaps within technical Department and propose reporting structure	<ul style="list-style-type: none"><li>• A Report on existing capacity in technical departments</li><li>• Proposed reporting structure for technical department in the new water utility</li><li>• Final Report</li></ul>	25

## 5. Required Experience

### Human Resource management Specialist

The assignment requires an individual with relevant expertise and experience in conducting institutional, technical and operational analysis of water utility management and operations, and in advising on public utility reforms, decentralization, including different modalities of private sector participation in Kenya. The Individual must also demonstrate either actual utility management experience or a long track record of advising governments and water utilities on different aspects of utility operations and reform. Proposed consultant should at the minimum have a Masters Degree in HRM field, with at least 15 years relevant experience. He/she must have specific expertise and experience in supporting institutional capacity development and change initiatives in water utilities. He/she must also have specific experience in organizational diagnosis (including behavior,

culture, structure, capabilities, tools, human resource, etc). Previous experience in the water sector will be an added advantage.

### **Financial Management Specialist**

The assignment requires an individual with relevant expertise and experience in conducting diagnostic analysis of financial position of water utilities, and in advising on public utility reforms, decentralization, including different modalities of private sector participation. Working experience in Kenya will be an added advantage. The Individual must also demonstrate either actual utility management experience or a long track record of advising governments and water utilities on different aspects of utility operations and reform. Proposed consultant should at the minimum have a master's Degree in financial management or Business administration with at least 15 years relevant experience. He/she must have specific expertise and experience in supporting institutional capacity development and information management in water utilities. He/she must also have specific experience in system diagnosis. Previous experience in the water sector will be an added advantage.

### **Water and Sewerage Asset management Specialist**

The assignment requires an individual with relevant expertise and experience in conducting institutional, technical and operational analysis of water utility management and operations, and in advising on public utility reforms, decentralization, including different modalities of private sector participation in Kenya. The Individual must also demonstrate either actual utility management experience or a long track record of advising governments and water utilities on different aspects of utility operations and reform. Proposed consultant should at the minimum have a master's degree in water engineering, with at least 15 years relevant experience. He/she must have specific expertise and experience on diagnostic analysis for operations of water and sewerage facilities. He/she must also have specific experience in workflow analysis/development for engineering organizations. Previous experience in the water sector will be an added advantage.

### **Team Leader**

The consulting firm will appoint a team leader with competencies of any of the three specialists. The appointed team leader, at the minimum, must meet the work experience and academic requirements of any of the above specialists.

## **6. Reporting Structure**

The Consultant will be reporting to the Project manager who will be appointed by the Chief Officer-WEENR. The Project manager will be working with a committee of four members appointed by the Chief Officer-WEENR.

The consultant will provide reports in four stages.

**Stage I:** An inception report that will detail programme of work and documentation of the agreed-on methodology of the tasks to be undertaken by the consultant. This report will be due after 14 days of signing of the contract.

**Stage II:** First Monthly progress report. This will detail the task undertaken and the extent of accomplishment. The report will also highlight any challenge being



experienced and the required interventions. This report will be due within 45 days after signing of the contract.

**Stage III:** Second Monthly progress Report and Draft Final Report. The monthly progress report will detail the tasks undertaken of the reporting period and extent of accomplishment. The draft final report will present the findings and recommendation of the study based on the objectives of the broad areas of the study. The Draft Final Report will be subjected to stakeholders’ validation. The consultant in liaison with the project manager will organise for a stakeholders’ workshop.

**Stage IV:** Final Report. The report will present validated findings and recommendations of the study.

### **7. Terms of Payment**

The consultant will arrange transport for the experts and their staff as well as computing, printing and communication facilities. The Study is proposed to be undertaken by a consulting firm who will deploy three experts together with necessary supporting staff and is estimated to take about 90days. This consultancy will be a lump sum contract. The lump sum will cover the basic consultancy fee that is based on the rates of man-day plus all incidental costs like transport within Kiambu County, computing facilities, communication and report compilation as well as printing. For ease of comparison the man-day rates of the experts should cover their required and necessary support staff.

A provision fee of KES 300,000 will be provided to be utilized as directed by the project manager to cover for consultant’s accommodation and transport when attending specially arranged Stakeholders workshop and seminars outside Kiambu County for presentation of the various reports of the Study.

The proposed payment schedule for the lump sum is detailed below.

<b>Study Stage</b>	<b>Deliverable Indicator</b>	<b>Percentage Paid</b>
Stage I	Inception Report	10%
Stage II	Approval of first monthly Progress report	20%
Stage III	Approval of Stakeholders’ Workshop Report	30%
Stage IV	Approval of Final Report	40%

The provision fee of KES 300,000.00 will be utilized by the consultant as directed by the Project manager. However, the consultant will be required to first spend from their own resources and reimbursement will be done on production of relevant documentations.

**SECTION VI:**  
**STANDARD FORMS OF CONTRACT**

- a. ANNEX I – LARGE ASSIGNMENTS (LUMP-SUM PAYMENTS)
  
- b. ANNEX II – LARGE AND SMALL ASSIGNMENTS (TIME - BASED PAYMENTS)

c. ANNEX III – SMALL ASSIGNMENTS (LUMP-SUM PAYMENTS)

**NOTES**

1. LARGE ASSIGNMENT \_\_\_\_\_Exceeding Ksh 5,000,000
2. SMALL ASSIGNMENT \_\_\_\_\_Not exceeding Ksh. 5,000,000
3. TIME BASED PAYMENT \_\_\_Time based fixed fee Exact duration of contract not fixed
4. LUMP-SUM PAYMENT \_\_\_\_\_Stated fixed contract sum.

**ANNEX I**

**REPUBLIC OF KENYA**

**S T A N D A R D F O R M O F C O N T R A C T**

**F O R**

# CONSULTING SERVICES

## Large Assignments (Lump- Sum payment)

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### **Special Notes**

1. The Lump-Sum price is arrived at on the basis of inputs – including rates – provided by the Consultant. The Client agrees to pay the Consultant according to a schedule of payments linked to the delivery of certain outputs, usually reports. Lump-sum contracts have the simplicity of administration, the Client having only to be satisfied with the outputs without monitoring the staff inputs and should be used for large Assignments in for example Design; Engineering; Supervision and Management Services; Master plans; Economic and Feasibility studies; and Surveys.
2. The Contract includes four parts: Form of Contract, the General Conditions of Contract, the Special Conditions of Contract and the Appendices. The Client using this standard contract should not alter the General Conditions. Any adjustment to meet any specific project features should be made only in the Special Conditions.

**(iii)**

**CONTRACT FOR CONSULTANT'S SERVICES**

**Large Assignments (Lump-Sum Payments)**

between

---

*[name of the Client]*

AND

---

*[name of the Consultant]*



Dated: \_\_\_\_\_*[date]*

(iv)

## I. FORM OF CONTRACT

### Large Assignments (Lump-Sum Payments)

This Agreement (hereinafter called the "Contract") is made the \_\_\_\_\_ day of the month of \_\_\_\_\_ [month], [year], between \_\_\_\_\_, [name of client] of [or whose registered office is situated at] \_\_\_\_\_ [location of office] (hereinafter called the "Client") of the one part AND

\_\_\_\_\_ [name of consultant] of [or whose registered office is situated at] \_\_\_\_\_ [location of office] (hereinafter called the "Consultant") of the other part.

WHEREAS

- (a) the Client has requested the Consultant to provide certain consulting services as defined in the General Conditions of Contract attached to this Contract (hereinafter called the "Services");
- (b) the Consultant, having presented to the Client that he has the required professional skills and personnel and technical resources, have agreed to provide the Services on the terms and conditions set forth in this Contract;

NOW THEREFORE the Parties hereto hereby agree as follows:

- 1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
  - (a) The General Conditions of Contract;
  - (b) The Special Conditions of Contract;
  - (c) The following Appendices: [**Note:** *If any of these Appendices are not used, they should be deleted from the list*]
    - Appendix A: Description of the Services
    - Appendix B: Reporting Requirements
    - Appendix C: Key Personnel and Sub consultants
    - Appendix D: Breakdown of Contract Price in Foreign Currency
    - Appendix E: Breakdown of Contract Price in Local Currency
    - Appendix F: Services and Facilities Provided by the Client

(v)

2. The mutual rights and obligations of the Client and the Consultants shall be as set forth in the Contract; in particular:
- (a) The Consultant shall carry out the Services in accordance with the provisions of the Contract; and
  - (b) the Client shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of \_\_\_\_\_ *[name of client]*

*[full name of authorised representative]* \_\_\_\_\_ *of Client's*

*[title]* \_\_\_\_\_

*[signature]* \_\_\_\_\_

*[date]* \_\_\_\_\_

For and on behalf of \_\_\_\_\_ *[name of consultant]*

*[full name of Consultant's authorized representative]* \_\_\_\_\_

*[title]* \_\_\_\_\_

*[signature]* \_\_\_\_\_

*[date]* \_\_\_\_\_

## II. GENERAL CONDITIONS OF CONTRACT

### 1. GENERAL PROVISIONS

#### 1.1 Definitions

Unless the context otherwise requires, the following terms whenever used in this Contract shall have the following meanings:

- (a) “Applicable Law” means the laws and any other instruments having the force of law in the Republic of Kenya as they may be issued and in force from time to time;
- (b) “Contract” means the Contract signed by the Parties, to which these General Conditions of Contract (GC) are attached together with all the documents listed in Clause 1 of such signed Contract;
- (c) “Contract Price” means the price to be paid for the performance of the Services in accordance with Clause 6 herebelow;
- (d) “Foreign Currency” means any currency other than the Kenya Shilling;
- (e) “GC” means these General Conditions of Contract;
- (f) “Government” means the Government of the Republic of Kenya;
- (g) “Local Currency” means the Kenya Shilling;
- (h) “Member”, in case the Consultant consists of a joint venture of more than one entity, means any of these entities; “Members” means all these entities, and “Member in Charge” means the entity specified in the SC to act on their behalf in exercising all the Consultant’s rights and obligations towards the Client under this Contract;
- (i) “Party” means the Client or the Consultant, as the case may be and “Parties” means both of them;

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- (j) “Personnel” means persons hired by the Consultant or by any Subconsultant as employees and assigned to the performance of the Services or any part thereof;
- (k) “SC” means the Special Conditions of Contract by which the GC may be amended or supplemented;
- (l) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A; and
- (m) “Sub consultant” means any entity to which the Consultant subcontracts any part of the Services in accordance with the provisions of Clauses 3 and 4.

**1.2 Law Governing the Contract**

This Contract, its meaning and interpretation and the relationship between the Parties shall be governed by the Laws of Kenya.

**1.3 Language**

This Contract has been executed in English language which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.

**1.4 Notices**

Any notice, request, or consent made pursuant to this Contract shall be in writing and shall be deemed to have been made when delivered in person to an authorized representative of the Party to whom the communication is addressed or when sent by registered mail, telex, telegram or facsimile to such Party at the address specified in the SC.

**1.5 Location**

The Services shall be performed at such locations as are specified in Appendix A and, where the location of a particular task is not so specified, at such locations, whether in the Republic of Kenya or elsewhere, as the Client may approve.

**1.6 Authorized Representatives**

Any action required or permitted to be taken and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the SC.

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- 1.7 Taxes and Duties** The Consultant, Sub consultant[s] and their personnel shall pay such taxes, duties, fees and other impositions as may be levied under the Laws of Kenya, the amount of which is deemed to have been included in the Contract Price.

**2. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT**

- 2.1 Effectiveness of Contract** This Contract shall come into effect on the date the Contract is signed by both Parties or such other later date as may be stated in the SC.
- 2.2 Commencement of Services** The Consultant shall begin carrying out the Services thirty (30) days after the date the Contract becomes effective or at such other date as may be specified in the SC.
- 2.3 Expiration of Contract** Unless terminated earlier pursuant to Clause 2.6, this Contract shall terminate at the end of such time period, after the Effective Date, as is specified in the SC.
- 2.4 Modification** Modification of the terms and Conditions of this Contract, including any modification of the scope of the Services or the Contract Price, may only be made by written agreement between the Parties.
- 2.5 Force Majeure**
- 2.5.1 Definition** For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party and which makes a Party’s performance of its obligations under the Contract impossible or so impractical as to be considered impossible under the circumstances.
- 2.5.2 No Breach of Contract** The failure of a Party to fulfill any of its obligations under the Contract shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event (a) has taken all reasonable precautions, due care and reasonable alternative measures in order to carry out the terms and conditions of this Contract, and (b) has informed the other Party as soon as possible about the occurrence of such an event.

**2.5.3 Extension Of Time** Any period within which a Party shall, pursuant to this Contract complete any action or task shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

**2.5.4 Payments** During the period of his inability to perform the Services as a result of an event of Force Majeure, the Consultant shall be entitled to continue to be paid under the terms of this Contract, as well as to be reimbursed for additional costs reasonably and necessarily incurred by him during such period for the purposes of the Services and in reactivating the Service after the end of such period.

## **2.6 Termination**

**2.6.1 By the Client** The Client may terminate this Contract by not less than thirty (30) days' written notice of termination to the Consultant, to be given after the occurrence of any of the events specified in this Clause;

- (a) if the Consultant does not remedy a failure in the performance of his obligations under the Contract within thirty (30) days after being notified or within any further period as the Client may have subsequently approved in writing;
- (b) if the Consultant becomes insolvent or bankrupt;
- (c) if, as a result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) days; or
- (d) if the Consultant, in the judgement of the Client, has engaged in corrupt or fraudulent practices in competing for or in executing the Contract.

For the purpose of this clause;

“corrupt practice” means the offering, giving, receiving or soliciting of any thing of value to influence the action of a public official in the selection process or in Contract execution.

“fraudulent practice” means a misrepresentation of facts in order to influence a selection process or the execution of Contract to the detriment of the Client, and includes collusive practice among consultants (prior to or after submission of proposals) designed to establish prices at artificial non-competitive levels and to deprive the Client of the benefits of free and open competition.

- (e) if the Client in his sole discretion decides to terminate this Contract.

**2.6.2 By the Consultant** The Consultant may terminate this Contract by not less than thirty (30) days’ written notice to the Client, such notice to be given after the occurrence of any of the following events;

- (a) if the Client fails to pay any monies due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause 7 within sixty (60) days after receiving written notice from the Consultant that such payment is overdue; or
- (b) if, as a result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) days.

**2.6.3 Payment upon Termination** Upon termination of this Contract pursuant to Clauses 2.6.1 or 2.6.2, the Client shall make the following payments to the Consultant:

- (a) remuneration pursuant to Clause 6 for Services satisfactorily performed prior to the effective date of termination;
- (b) except in the case of termination pursuant to paragraphs (a) and (b) of Clause 2.6.1, reimbursement of any reasonable costs incident to the prompt and orderly termination of the Contract, including the cost of the return travel of the Personnel and their eligible dependents.



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### 3. OBLIGATIONS OF THE CONSULTANT

#### 3.1 General

The Consultant shall perform the Services and carry out his obligations with all due diligence, efficiency and economy in accordance with generally accepted professional techniques and practices and shall observe sound management practices, and employ appropriate advanced technology and safe methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as faithful adviser to the Client and shall at all times support and safeguard the Client's legitimate interests in any dealing with Sub consultants or third parties.

#### 1.2 Conflict of Interests

##### 3.2.1 Consultant (i) Not to Benefit from Commissions, Discounts, Etc.

The remuneration of the Consultant pursuant to Clause 6 shall constitute the Consultant's sole remuneration in connection with this Contract or the Services and the Consultant shall not accept for his own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or to the Services or in the discharge of his obligations under the Contract and the Consultant shall use his best efforts to ensure that his personnel, any sub consultant[s] and agents of either of them similarly shall not receive any such additional remuneration.

(ii) For a period of two years after the expiration of this Contract, the Consultant shall not engage and shall cause his personnel as well as his sub consultant[s] and his/their personnel not to engage in the activity of a purchaser (directly or indirectly) of the assets on which he advised the Client on this Contract nor shall he engage in the activity of an adviser (directly or indirectly) of potential purchasers of such assets.

(iii) Where the Consultant as part of the Services has the responsibility of advising the Client on the procurement

of goods, works or services, the Consultant will comply with any applicable

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procurement guidelines and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement shall be for the account of the Client.

**3.2.2 Consultant and Affiliates Not to be Otherwise Interested in Project**

The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and his affiliates, as well as any Subconsultant and any of his affiliates, shall be disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.

**3.2.3 Prohibition of Conflicting Activities**

Neither the Consultant nor his subconsultant[s] nor their personnel shall engage, either directly or indirectly in any of the following activities:

- (a) during the term of this Contract, any business or professional activities in the Republic of Kenya which would conflict with the activities assigned to them under this Contract; or
- (b) after the termination of this Contract, such other activities as may be specified in the SC.

**3.3 Confidentiality**

The Consultant, his subconsultant[s] and the personnel of either of them shall not, either during the term of this Contract or within two (2) years after the expiration of this Contract, disclose any proprietary or confidential information relating to the Project, the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

**3.4 Insurance to be Taken Out by the Consultant**

The Consultant (a) shall take out and maintain and shall cause any subconsultant[s] to take out and maintain, at his (or the subconsultants', as the case may be) own cost but on terms and conditions

approved by the Client, insurance against the risks and for the coverage, as shall be specified in the SC; and (b) at the Client's request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums have been paid.

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**3.5 Consultant's Actions Requiring Client's Prior Approval** The Consultant shall obtain the Client's prior approval in writing before taking any of the following actions;

- (a) entering into a subcontract for the performance of any part of the Services,
- (b) appointing such members of the personnel not listed by name in Appendix C ("Key Personnel and Subconsultants").

**3.6 Reporting Obligations** The Consultants shall submit to the Client the reports and documents specified in Appendix A in the form, in the numbers, and within the periods set forth in the said Appendix.

**3.7 Documents prepared by the Consultant to Be the Property of the Client** All plans, drawings, specifications, designs, reports and other documents and software submitted by the Consultant in accordance with Clause 3.6 shall become and remain the property of the Client and the Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents and software to the Client together with a detailed inventory thereof. The Consultant may retain a copy of such documents and software. Neither Party shall use these documents for purposes unrelated to this Contract without the prior approval of the other Party.

#### 4. CONSULTANT'S PERSONNEL

**4.1 Description of Personnel** The titles, agreed job descriptions, minimum qualifications and estimated periods of engagement in the carrying out of the Services of the Consultant's Key Personnel are described in Appendix C. The Key Personnel and Subconsultants listed by title as well as by name in Appendix C are hereby approved by the Client.

- 4.2 Removal and/or Replacement Of Personnel** (a) Except as the Client may otherwise agree, no changes shall be made in the Key Personnel. If for any reason beyond the reasonable control of the Consultant, it becomes necessary to replace any of the Key Personnel, the Consultant shall provide as a replacement a person of equivalent or better qualifications.

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- (b) If the Client finds that any of the Personnel have (i) committed serious misconduct or have been charged with having committed a criminal action, or (ii) the Client has reasonable cause to be dissatisfied with the performance of any of the Personnel, then the Consultant shall, at the Client's written request specifying the grounds thereof, provide as a replacement a person with qualifications and experience acceptable to the Client.
- (c) The Consultant shall have no claim for additional costs arising out of or incidental to any removal and/or replacement of Personnel.

## **5. OBLIGATIONS OF THE CLIENT**

### **5.1 Assistance and Exemptions**

The Client shall use his best efforts to ensure that he provides the Consultant such assistance and exemptions as may be necessary for due performance of this Contract.

### **5.2 Change in the Applicable Law**

If after the date of this Contract, there is any change in the Laws of Kenya with respect to taxes and duties which increases or decreases the cost of the Services rendered by the Consultant, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties and corresponding adjustments shall be made to the amounts referred to in Clause 6.2 (a) or (b), as the case may be.

### **5.3 Services and Facilities**

The Client shall make available to the Consultant the Services and Facilities listed under Appendix F.

## 6. PAYMENTS TO THE CONSULTANT

### 6.1 Lump-Sum Remuneration

The Consultant's total remuneration shall not exceed the Contract Price and shall be a fixed lump-sum including all staff costs, Subconsultants' costs, printing, communications, travel, accommodation and the like and all other costs incurred by the Consultant in carrying out the

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Services described in Appendix A. Except as provided in Clause 5.2, the Contract Price may only be increased above the amounts stated in Clause 6.2 if the Parties have agreed to additional payments in accordance with Clause 2.4.

### 6.2 Contract Price

- (a) The price payable in foreign currency is set forth in the SC.
- (b) The price payable in local currency is set forth in the SC.

### 6.3 Payment for Additional Services

For the purposes of determining the remuneration due for additional services as may be agreed under Clause 2.4, a breakdown of the lump-sum price is provided in Appendices D and E.

### 6.4 Terms and Conditions of Payment

Payments will be made to the account of the Consultant and according to the payment schedule stated in the SC. Unless otherwise stated in the SC, the first payment shall be made against the provision by the Consultant of a bank guarantee for the same amount and shall be valid for the period stated in the SC. Any other payment shall be made after the conditions listed in the SC for such payment have been met and the Consultant has submitted an invoice to the Client specifying the amount due.

### 6.5 Interest on Delayed Payment

Payment shall be made within thirty (30) days of receipt of invoice and the relevant documents specified in Clause 6.4. If the Client has delayed payments beyond thirty (30) days after the due date hereof, simple interest shall be paid to the Consultant

for each day of delay at a rate three percentage points above the prevailing Central Bank of Kenya's average rate for base lending .

## **7. SETTLEMENT OF DISPUTES**

**7.1 Amicable Settlement** The Parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Contract or its interpretation.

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**7.2 Dispute Settlement** Any dispute between the Parties as to matters arising pursuant to this Contract that cannot be settled amicably within thirty (30) days after receipt by one Party of the other Party's request for such amicable settlement may be referred by either Party to the arbitration and final decision of a person to be agreed between the Parties. Failing agreement to concur in the appointment of an Arbitrator, the Arbitrator shall be appointed by the Chairman of the Chartered Institute of Arbitrators, Kenya Branch, on the request of the applying party.

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## **III. SPECIAL CONDITIONS OF CONTRACT**

**Number of GC Amendments of and Supplements to Clauses in the**

1.1(i) The Member in Charge is \_\_\_\_\_ [name of Member]

1.4 The addresses are:

Client: \_\_\_\_\_  
Attention: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Telex; \_\_\_\_\_  
Facsimile: \_\_\_\_\_

Consultant: \_\_\_\_\_  
Attention: \_\_\_\_\_  
Telephone; \_\_\_\_\_  
Telex: \_\_\_\_\_  
Facsimile: \_\_\_\_\_

1.6 The Authorized Representatives are:

For the Client: \_\_\_\_\_

For the Consultant: \_\_\_\_\_

2.1 The date on which this Contract shall come into effect is(\_\_\_\_\_) [date].

**Note:** The date may be specified by reference to conditions of effectiveness of the Contract, such as receipt by Consultants of advance payment and by Client of bank guarantee

2.2 The date for the commencement of Services is \_\_\_\_\_ [date]

2.3 The period shall be \_\_\_\_\_ [length of time].

**Note:** Fill in the period, eg, twenty-four (24) months or such other period as the Parties may agree in writing.

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3.4 The risks and coverage shall be:

(i) Professional Liability \_\_\_\_\_

(ii) Loss of or damage to equipment and property \_\_\_\_\_

6.2(a) The amount in foreign currency or currencies is \_\_\_\_\_  
[Insert amount].

6.2(b) The amount in local Currency is \_\_\_\_\_ [Insert amount]

6.4 Payments shall be made according to the following schedule:

**Note:** (a) This sample Clause should be specifically drafted for each Contract and the following installments are indicative only; (b) if the payment of foreign currency and of local currency does not follow the same schedule, add a separate schedule for payment in local currency; and (c) if applicable, detail further the nature of the report evidencing performance, as may be required, e.g., submission of study or specific phase of study, survey, drawings, draft bidding documents, etc., as listed in Appendix B, Reporting Requirements. In the example provided, the bank guarantee for the repayment is released when the payments have reached 50 percent of the lump-sum price, because it is assumed that at that point, the advance has been entirely set off against the performance of services.

- Twenty (20) percent of the Contract Price shall be paid on the commencement date against the submission of a bank guarantee for the same.
- Ten (10) percent of the lump-sum amount shall be paid upon submission of the inception report.
- Twenty-five (25) percent of the lump-sum amount shall be paid upon submission of the interim report.
- Twenty-five (25) percent of the lump-sum amount shall be paid upon submission of the draft final report.
- Twenty (20) percent of the lump-sum amount shall be paid upon approval of the final report.
- The bank guarantee shall be released when the total payments reach fifty (50) percent of the lump-sum amount.

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## IV. Appendices

### APPENDIX A – DESCRIPTION OF THE SERVICES



*Give detailed descriptions of the Services to be provided, dates for completion of various tasks, place of performance for different tasks, specific tasks to be approved by Client, etc.*

#### **APPENDIX B – REPORTING REQUIREMENTS**

*List format, frequency, and contents of reports; persons to receive them; dates of submission; etc. If no reports are to be submitted, state here “Not applicable.”*

#### **APPENDIX C– KEY PERSONNEL AND SUBCONSULTANTS**

*List under: C-1 Titles [and names, if already available], detailed job descriptions and minimum qualifications of Personnel and staff-months for each.*

*C-2 List of approved Sub consultants (if already available); same information with respect to their Personnel as in C-1.*

#### **APPENDIX D – BREAKDOWN OF CONTRACT PRICE IN FOREIGN CURRENCY**

*List here the elements of cost used to arrive at the breakdown of the lump-sum price – foreign currency portion:*

- 1. Monthly rates for Personnel (Key Personnel and other Personnel).*
- 2. Reimbursable expenditures.*

*This appendix will exclusively be used for determining remuneration for additional services.*

#### **APPENDIX E – BREAKDOWN OF CONTRACT PRICE IN LOCAL CURRENCY**

*List here the elements of cost used to arrive at the breakdown of the lump-sum price – local currency portion.*

- 1. Monthly rates for Personnel (Key Personnel and other Personnel).*
- 2. Reimbursable expenditures.*

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*This appendix will exclusively be used for determining remuneration for additional services.*

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# **ANNEX II**

**SAMPLE CONTRACT FOR CONSULTING  
SERVICES**

**LARGE ASSIGNMENTS  
AND  
Small Assignments**

Time-Based Payments

**SAMPLE CONTRACT FOR CONSULTING SEVICES  
SMALL ASSIGNMENTS  
TIME-BASED PAYMENTS**

**CONTRACT**

This Agreement [hereinafter called "the Contract"] is entered into this \_\_\_\_\_  
[Insert starting date of assignment], by and between \_\_\_\_\_  
[Insert Client's name] of [or whose registered office is situated at/  
\_\_\_\_\_ [insert Client's address]/(hereinafter  
called "the Client") of the one part AND

\_\_\_\_\_ [Insert Consultant's name] of [or whose registered  
office is situated at] \_\_\_\_\_ [insert Consultant's  
address]/(hereinafter called "the Consultant") of the other part.

WHEREAS, the Client wishes to have the Consultant perform the Services [hereinafter  
referred to as "the Services", and

WHEREAS, the Consultant is willing to perform the said Services,

NOW THEREFORE THE PARTIES hereby agree as follows:

**1. Services** (i) The Consultant shall perform the Services specified in  
Appendix A, "Terms of Reference and Scope of Services,"  
which is made an integral part of this Contract.

(ii) The Consultant shall provide the reports listed in Appendix B,  
"Consultant's Reporting Obligations," within the time periods  
listed in such Appendix and the personnel listed in Appendix  
C, "Cost Estimate of Services, List of Personnel and Schedule  
of Rates" to perform the Services.

**2. Term** The Consultant shall perform the Services during the period  
commencing \_\_\_\_\_ [Insert start date] and continuing  
through to \_\_\_\_\_ [Insert completion date] or any other  
period(s) as may be subsequently agreed by the parties in writing.

**3. Payment** A. Ceiling

For Services rendered pursuant to Appendix A, the Client  
shall pay the Consultant an amount not to exceed a ceiling of  
\_\_\_\_\_ [Insert ceiling amount]. This amount has been  
established based on the understanding that it includes all of  
the Consultant's costs and profits as

**(i)**

well as any tax obligation that may be imposed on the  
Consultant. The payments made under the Contract  
consist of the Consultant's remuneration as defined in sub-  
paragraph (B) below and of the reimbursable expenditures as  
defined in sub-paragraph (C) below.

B. Remuneration

The Client shall pay the Consultant for Services rendered at the rate(s) per man/month spent (or per day spent or per hour spent, subject to a maximum of eight hours per day) in accordance with the rates agreed and specified in Appendix C, "Cost Estimate of Services, List of Personnel and Schedule of Rates".

C. Reimbursables

The Client shall pay the Consultant for reimbursable expenses which shall consist of and be limited to:

- (i) normal and customary expenditures for official road and air travel, accommodation, printing and telephone charges; air travel will be reimbursed at the cost of less than first class travel and will need to be authorized by the Client's coordinator;
- (ii) such other expenses as approved in advance by the Client's coordinator.

D. Payment Conditions.

Payment shall be made in Kenya shillings unless otherwise specified not later than thirty {30} days following submission of invoices in duplicate to the Coordinator designated in Clause 4 herebelow. If the Client has delayed payments beyond thirty (30) days after the date hereof, simple interest shall be paid to the Consultant for each day of delay at a rate three percentage points above the prevailing Central Bank of Kenya's average rate for base lending.

The parties shall use their best efforts to settle amicably all disputes arising out of or in connection with this Contract or its interpretation.

**4. Project Administration**

A. Coordinator

The Client designates \_\_\_\_\_  
[Insert name] as Client's Coordinator; the Coordinator shall be responsible for the coordination of activities under the Contract, for receiving and approving invoices

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for payment and for acceptance of the deliverables by the Client.

B. Timesheets.

During the course of their work under this Contract, including field work, the Consultant's employees

providing services under this Contract may be required to complete timesheets or any other document used to identify time spent as well as expenses incurred, as instructed by the Project Coordinator.

C. Records and Accounts

The Consultant shall keep accurate and systematic records and accounts in respect of the Services which will clearly identify all charges and expenses. The Client reserves the right to audit or to nominate a reputable accounting firm to audit the Consultant's records relating to amounts claimed under this Contract during its term and any extension and for a period of three months thereafter.

**5. Performance Standard**

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

**6. Confidentiality**

The Consultant shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

**7. Ownership of Material**

Any studies, reports or other material, graphic, software or otherwise prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.

**8. Consultant Not to be Engaged in Certain Activities**

The Consultant agrees that during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant shall be disqualified from providing goods, works or services (other than the Services or any continuation thereof) for any project resulting from or closely related to the Services.

**9. Insurance**

The Consultant will be responsible for taking out any appropriate insurance coverage.

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- 10. Assignment** The Consultant shall not assign this Contract or Subcontract any portion thereof without the Client's prior written consent.
- 11. Law Governing Contract and Language** The Contract shall be governed by the Laws of Kenya and the language of the Contract shall be English Language.
- 12. Dispute Resolution** Any dispute arising out of this Contract which cannot be amicably settled between the parties, shall be referred by either party to the arbitration and final decision of a person to be agreed between the parties. Failing agreement to concur in the appointment of an Arbitrator, the Arbitrator shall be appointed by the chairman of the Chartered Institute of Arbitrators, Kenya branch, on the request of the applying party.

FOR THE CLIENT

Full name; \_\_\_\_\_

Title: \_\_\_\_\_

Signature; \_\_\_\_\_

Date; \_\_\_\_\_

FOR THE CONSULTANT

Full name \_\_\_\_\_

Title: \_\_\_\_\_

Signature; \_\_\_\_\_

Date; \_\_\_\_\_

Appendix A: Terms of Reference and Scope of Services

Appendix B: Consultant's Reporting Obligation

Appendix C: Cost Estimate of Services, List of Personnel and Schedule of Rates

### **APPENDIX C**

Cost Estimate of Services, List of Personnel and Schedule of Rates.

(1) Remuneration of Staff

	Name	Rate (per month/day/hour in currency)	Time spent(number of month/day/ hour)	Total (currency)
(a) Team Leader				
(b)				
(c)				
				Sub-Total (1)

(2) Reimbursables

	Rate	Days	Total
(a) Air Travel			
(b) Road Transportation			
(c) Per Diem			
			Sub-Total (2)

TOTAL COST \_\_\_\_\_



Physical Contingency \_\_\_\_\_

CONTRACT CEILING \_\_\_\_\_

(vi)

# **ANNEX III**

# **SAMPLE CONTRACT FOR CONSULTING SERVICES**

**Small Assignments**  
Lump-sum payments

**SAMPLE CONTRACT FOR CONSULTING SERVICES  
SMALL ASSIGNMENTS  
LUMP-SUM PAYMENTS**

**CONTRACT**

This Agreement, [hereinafter called "the Contract"] is entered into this \_\_\_\_\_ [Insert starting date of assignment], by and between \_\_\_\_\_ [Insert Client's name] of [or whose registered office is situated at] \_\_\_\_\_ [insert Client's address] (hereinafter called "the Client") of the one part AND

\_\_\_\_\_ [Insert Consultant's name] of [or whose registered office is situated at] \_\_\_\_\_ [insert Consultant's address] (hereinafter called "the Consultant") of the other part.

WHEREAS the Client wishes to have the Consultant perform the services [hereinafter referred to as "the Services"], and

WHEREAS the Consultant is willing to perform the said Services,

NOW THEREFORE THE PARTIES hereby agree as follows:

- 1. Services**
- (i) The Consultant shall perform the Services specified in Appendix A, "Terms of Reference and Scope of Services," which is made an integral part of this Contract.
  - (ii) The Consultant shall provide the personnel listed in Appendix B, "Consultant's Personnel," to perform the Services.
  - (iii) The Consultant shall submit to the Client the reports in the form and within the time periods specified in Appendix C, "Consultant's Reporting Obligations."

**2. Term** The Consultant shall perform the Services during the period commencing on \_\_\_\_\_ [Insert starting date] and continuing through to \_\_\_\_\_ [Insert completion date], or any other period(s) as may be subsequently agreed by the parties in writing.

**(i)**

**3. Payment**

A. Ceiling  
For Services rendered pursuant to Appendix A, the Client shall pay the Consultant an amount not to exceed \_\_\_\_\_ [Insert amount]. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant.

B. Schedule of Payments

The schedule of payments is specified below (Modify in order to reflect the output required as described in Appendix C.)

Kshs \_\_\_\_\_ upon the Client's receipt of a copy of this Contract signed by the Consultant;

Kshs \_\_\_\_\_ upon the Client's receipt of the draft report, acceptable to the Client; and

Kshs \_\_\_\_\_ upon the Client's receipt of the final report, acceptable to the Client.

Kshs \_\_\_\_\_ Total

C. Payment Conditions

Payment shall be made in Kenya Shillings unless otherwise specified not later than thirty [30] days following submission by the Consultant of invoices in duplicate to the Coordinator designated in Clause 4 herebelow. If the Client has delayed payments beyond thirty (30) days after the due date hereof, simple interest shall be paid to the Consultant for each day of delay at a rate three percentage points above the prevailing Central Bank of Kenya's average rate for base lending.

**4. Project Administration**

A. Coordinator.

The Client designates \_\_\_\_\_ *[insert name]* as Client's Coordinator; the Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables by the Client and for receiving and approving invoices for payment.

B. Reports.

The reports listed in Appendix C, "Consultant's Reporting Obligations," shall be submitted in the course of the

**(ii)**

assignment and will constitute the basis for the payments to be made under paragraph 3.

**5. Performance**

The Consultant undertakes to perform the Services with

- Standards** the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.
- 6. Confidentiality** The Consultant shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.
- 7. Ownership of Material** Any studies, reports or other material, graphic, software or otherwise prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.
- 8. Consultant Not to be Engaged in certain Activities** The Consultant agrees that during the term of this Contract and after its termination the Consultant and any entity affiliated with the Consultant shall be disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.
- 9. Insurance** The Consultant will be responsible for taking out any appropriate insurance coverage.
- 10. Assignment** The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent.
- 11. Law Governing Contract and Language** The Contract shall be governed by the laws of Kenya and the language of the Contract shall be English Language.
- 12. Dispute Resolution** Any dispute arising out of the Contract which cannot be amicably settled between the parties shall be referred by either party to the arbitration and final decision of a person to be agreed between the parties. Failing agreement to concur in the appointment of an Arbitrator, the Arbitrator shall be appointed by the chairman of the Chartered Institute of Arbitrators, Kenya branch, on the request of the applying party.

(iii)

FOR THE CLIENT

FOR THE CONSULTANT

Full name; \_\_\_\_\_ Full name; \_\_\_\_\_

Title: \_\_\_\_\_ Title: \_\_\_\_\_

Signature; \_\_\_\_\_ Signature; \_\_\_\_\_

Date; \_\_\_\_\_ Date; \_\_\_\_\_

**(iv)**

## **LIST OF APPENDICES**

Appendix A: Terms of Reference and Scope of Services

Appendix B: Consultant's Personnel

Appendix C: Consultant's Reporting Obligations



**LETTER OF NOTIFICATION OF AWARD**

Address of Procuring Entity

\_\_\_\_\_  
\_\_\_\_\_

To: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

RE: Tender No. \_\_\_\_\_

Tender Name \_\_\_\_\_

This is to notify that the contract/s stated below under the above mentioned tender have been awarded to you.

\_\_\_\_\_  
\_\_\_\_\_

1. Please acknowledge receipt of this letter of notification signifying your acceptance.
2. The contract/contracts shall be signed by the parties within 30 days of the date of this letter but not earlier than 14 days from the date of the letter.
3. You may contact the officer(s) whose particulars appear below on the subject matter of this letter of notification of award.

*(FULL PARTICULARS)* \_\_\_\_\_

\_\_\_\_\_

SIGNED FOR ACCOUNTING OFFICER

**REPUBLIC OF KENYA**  
**PUBLIC PROCUREMENT ADMINISTRATIVE REVIEW BOARD**

APPLICATION NO.....OF.....20.....

BETWEEN

.....APPLICANT

AND

.....RESPONDENT (*Procuring Entity*)

Request for review of the decision of the..... (*Name of the Procuring Entity*) of  
.....dated the...day of .....20.....in the matter of Tender No.....of  
.....20...

**REQUEST FOR REVIEW**

I/We.....,the above named Applicant(s), of address: Physical  
address.....Fax No.....Tel. No.....Email ....., hereby request the Public  
Procurement Administrative Review Board to review the whole/part of the above mentioned  
decision on the following grounds , namely:-

- 1.
- 2.
- etc.

By this memorandum, the Applicant requests the Board for an order/orders that: -

- 1.
- 2.
- etc

SIGNED .....(Applicant)

Dated on.....day of ...../...20...

---

**FOR OFFICIAL USE ONLY**

Lodged with the Secretary Public Procurement Administrative Review Board on ..... day of  
.....20.....

SIGNED  
**Board Secretary**

# Form of Tender

To:

Date \_\_\_\_\_

TENDER NO: TENDER NO. KCG/RFP /WEENR/008/2018/2019

TENDER NAME: CONSULTANCY FOR AUDIT FOR WATER UTILITIES IN KIAMBU COUNTY

Gentlemen and/or Ladies:-

Having examined the Tender documents including Addenda No. (Insert numbers)..... The receipt of which is hereby duly acknowledged, we the undersigned, offer to provide soil testing, analysis and mapping Services under this tender in conformity with the said Tender

Document for the sum of  
(Figures)

.....

(Words)

.....

.....

.....

.....

[Total Tender amount in words and figures]

or such other sums as may be ascertained in accordance with the Schedule of Prices attached herewith and made part of this Tender.

We undertake, if our Tender is accepted, to provide the Service in accordance with the conditions of the proposal.

We agree to abide by this Tender for a period of .....[number] days from the date fixed for Tender opening of the Instructions to Tenderers, and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

This Tender, together with your written acceptance thereof and your notification of award, shall constitute a Contract between us subject to the signing of the contract by both parties.

We understand that you are not bound to accept the lowest or any tender you may receive.

Dated \_\_\_\_\_ day  
this \_\_\_\_\_ of \_\_\_\_\_ 2017

\_\_\_\_\_  
[Signature]

\_\_\_\_\_  
[In the capacity of]

Duly authorized to sign tender for and on behalf of

You are requested to give the particular indicated in Part 1 and either Part 2(a), 2(b), or 2c)

Whichever applies to your type of business

You are advised that it is a serious offence to give false information on this Form.

Part

General: Business Name.....

Location of business premise.....

Plot No. ....Street/Road.....

Postal Address ..... Tel. No. ....Fax .....

Email .....

Nature of business .....

Registration Certificate No.....

Maximum value of business which you can handle at any one time Kshs.....

Name of your bankers .....

Branch.....

Part 2(a) – Sole Proprietor:

Your name in full.....Age .....

Nationality.....Country Of origin .....

Citizenship details.....

Party 2(b) – Partnership

Give details of partners as follows

Name	Nationality	Citizenship Details	Shares
1.....			
2.....			
3.....			
4.....			
5.....			

Part 2(c) – Registered Comprehensive:

Private or public.....

State the nominal and issued capital of the comprehensive –

Nominal Ksh.....

Issued Ksh.....

Give details of all directors as follows

Name	Nationality	Citizenship Details	Shares
------	-------------	---------------------	--------

1.....

2.....

3.....

4.....

5.....

Date..... Signature of Tenderer.....

If a citizen, indicate under “Citizenship Details” whether by Birth, Naturalization or Registration

To: ..... [Name County Government of Kiambu]

WHEREAS ..... [Name of tenderer]

(Hereinafter called “the tenderer”) has undertaken, in pursuance of Contract No.

[Reference number of the contract] dated .....to supply

.....[description of soil testing, analysis and mapping services] (Hereinafter called “the Contract”)

AND WHEREAS it has been stipulated by you in the said Contract that the tenderer shall furnish you with a bank guarantee by a reputable bank for a sum specified therein as security for comprehensive liance with the Tenderer’s performance obligations in accordance with the Contract

AND WHEREAS we have agreed to give the tenderer a guarantee:

THEREFORE WE hereby affirm that we are Guarantors and responsible to you, on behalf of the tenderer, up to a total of.....[amount of the guarantee in words and figures], and we undertake to pay you, upon your first written demand declaring the tenderer to be in default under the Contract and without cavil or argument, any sum of money within the limits

of.....[Amount of guarantee] as aforesaid,

Without your needing to prove or to show grounds or reasons for your demand or the sum specified therein.

This guarantee is valid until the day of

20

Signature and seal of the Guarantors

[Name of bank of financial institution]

[Address]

A

[Date]



