



REPUBLIC  
OF  
KENYA



*Poverty Reduction Through Sustainable NRM*



Investing in rural people

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

**EXPRESSION OF INTEREST**

**For**

**CONSULTANCY SERVICES FOR THE FINAL ENVIRONMENTAL  
AND SOCIAL AUDIT OF UTaNRMP ACTIVITIES**

**Ref No: RFP NO. MWSI/UTaNRMP/RFP/001//2021-22**

**Date Issued: 21<sup>st</sup> December 2021**

# Foreword

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

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

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

**Reference Number: RFP NO. MWSI/UTaNRMP/RFP/001//2021-22**

**FOR**

**Consultancy Services for the Final Environmental and Social Audit of UTaNRMP Activities**

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

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

2. The REOI was advertised in MyGov pullout which appeared in the Daily Nation Newspaper of 21<sup>st</sup> December 2021.
3. The client now invites expressions of interest (EOIs) from legally constituted consulting firms (not individual consultants) (“consultants”) to undertake the Final Environmental and Social Audit of UTaNRMP activities. More details on these consulting services are provided in the preliminary terms of reference (PTOR) attached as **Annex 1**. The consultant may sub-contract selected activities provided that said services do will not exceed 20% of the total consultancy work.
4. Before preparing its EOIs, the consultant is advised to review the preliminary terms of reference attached as **Annex 1**, which describe the assignment and **Annex 2** that details the evaluation of the technical qualifications.
5. The consultant shall not have any actual, potential or reasonably perceived conflict of interest. A consultant with an actual, potential or reasonably perceived conflict of interest shall be disqualified unless otherwise explicitly approved by the Fund. A consultant including their respective personnel and affiliates are considered to have a conflict of interest if they a) have a relationship that provides them with undue or undisclosed information about or influence over the selection process and the execution of the contract, b) participate in more than one EOI under this procurement action, c) have a business or family relationship with a member of the client’s

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

board of directors or its personnel, the Fund or its personnel, or any other individual that was, has been or might reasonably be directly or indirectly involved in any part of (i) the preparation of this expression of interest, (ii) the selection process for this procurement, or (iii) execution of the contract. The consultant has an ongoing obligation to disclose any situation of actual, potential or reasonably perceived conflict of interest during preparation of the EOI, the selection process or the contract execution. Failure to properly disclose any of said situations may lead to appropriate actions, including the disqualification of the consultant, the termination of the contract and any other as appropriate under the IFAD Policy on Preventing Fraud and Corruption in its Projects and Operations<sup>2</sup>.

6. All consultants are required to comply with the Revised IFAD Policy on Preventing Fraud and Corruption in its Activities and Operations (hereinafter, “IFAD’s Anticorruption Policy”) in competing for, or in executing, the contract.
  - a. If determined that a consultant or any of its personnel or agents, or its sub-consultants, sub-contractors, service providers, suppliers, sub-suppliers and/or any of their personnel or agents, has, directly or indirectly, engaged in any of the prohibited practices defined in IFAD’s Anticorruption Policy or integrity violations such as sexual harassment, exploitation and abuse as established in IFAD’s Policy to Preventing and Responding to Sexual Harassment, Sexual Exploitation and Abuse<sup>3</sup> in competing for, or in executing, the contract, the EOI may be rejected or the contract may be terminated by the client.
  - b. In accordance with IFAD’s Anticorruption Policy, the Fund has the right to sanction firms and individuals, including by declaring them ineligible, either indefinitely or for a stated period of time, to participate in any IFAD-financed and/or IFAD-managed activity or operation. The Fund also has the right to recognize debarments issued by other international financial institutions in accordance with its Anticorruption Policy.
  - c. Consultants and any of their personnel and agents, and their sub-consultants, sub-contractors, service providers, suppliers, sub-suppliers and any of their personnel and agents are required to fully cooperate with any investigation conducted by the Fund, including by making personnel available for interviews and by providing full access to any and all accounts, premises, documents and records (including electronic records) relating to this selection process or the execution of the contract and to have such accounts, premises, records and documents audited and/or inspected by auditors and/or investigators appointed by the Fund.
  - d. Consultants have the ongoing obligation to disclose in their EOI and later in writing as may become relevant: (i) any administrative sanctions, criminal convictions or temporary suspensions of themselves or any of their key personnel or agents for fraud and corruption, and (ii) any commissions or fees paid or to be paid to agents or other parties in connection with this selection process or the execution of the contract. As a minimum, consultants must disclose the name and contact details of the agent or other party and the reason, amount and

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

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

currency of the commission or fee paid or to be paid. Failure to comply with these disclosure obligations may lead to rejection of the EOI or termination of the contract.

- e. Consultants are required to keep all records and documents, including electronic records, relating to this selection process available for a minimum of three (3) years after notification of completion of the process or, in case the consultant is awarded the contract, execution of the contract.
7. The Fund requires that all beneficiaries of IFAD funding or funds administered by IFAD, including the client, any consultants, implementing partners, service providers and suppliers, observe the highest standards of integrity during the procurement and execution of such contracts, and commit to combat money laundering and terrorism financing consistent with IFAD's Anti-Money Laundering and Countering the Financing of Terrorism Policy.<sup>4</sup>
8. **Procedure:** the selection process will be conducted using **Quantity and Cost Based Selection (QCBS)** as laid out in the IFAD Procurement Handbook that can be accessed via the IFAD website at [www.ifad.org/project-procurement](http://www.ifad.org/project-procurement). The client will evaluate the EOIs using the criteria provided in **Annex 2**. The shortlisted consultant(s) will be provided with the detailed TORs and asked to submit a detailed technical and financial offer. The evaluation will include a review and verification of qualifications and past performance, including a reference check, prior to the contract award.
9. Consultants may associate with other firms to enhance their qualifications but should indicate clearly whether the association is in the form of a joint venture and/or a sub-consultancy. In the case of a joint venture, all the partners in the joint venture shall be jointly and severally liable for the entire contract, if selected.
10. Any request for clarification on this EOI including the PTOR should be sent via e-mail to the address below not later than **29<sup>th</sup> December 2021**. The client will provide responses to all clarification requests by **4<sup>th</sup> January 2022**.
11. **Submission Procedure:** please submit your expression of interest using the forms provided for this purpose. Your EOI should comprise one (1) original copy of each EOI form annexed to this document. EOIs shall be submitted to the address below no later than **11<sup>th</sup> January 2022 at 11:00AM**

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

and dropped in the Tender Box situated at the reception of Upper Tana Catchment Natural Resources Management Project Offices situated on Embu–Meru road opposite Kangaru DEB Primary School or posted so as to reach the above address on or before **11<sup>th</sup> January 2022 at 11:00 a.m.**

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

Due to **Covid -19 protocols, tenderers will not be invited for a physical opening, however, the opening** will be through virtual platform. Tenderers are therefore requested to register with [utanrmp@gmail.com](mailto:utanrmp@gmail.com) **one day before opening** in order to be sent the link for the virtual opening meeting.

Late tenders will not be accepted regardless of the circumstances.

Yours sincerely,

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**PROJECT COORDINATOR  
UPPER TANA CATCHMENT NATURAL RESOURCES MANAGEMENT PROJECT  
FOR: PRINCIPAL SECRETARY, MINISTRY OF WATER, SANITATION AND  
IRRIGATION**

# Form EOI-1

## EOI Submission Form

*[Location, date]*

*[Authorized official]*

**Re: Consulting Services for the Final Environmental and Social Audit of UTaNRMP Activities**

**Ref: RFP NO. MWSI/UTaNRMP/RFP/001//2021-22**

We, the undersigned, declare that:

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

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

allegation of sexual harassment, sexual exploitation and abuse that comes to our attention during the selection process or the contract execution.

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

Name of Recipient	Address	Reason	Amount	Currency

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

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

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



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

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

*[Authorized signatory]*

*[Name and title of signatory]*

*[Name and address of firm]*

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

**Re: Consulting Services for Consultancy Services for the Final Environmental and Social Audit of UTaNRMP Activities**

**Ref: RFP NO. MWSI/UTaNRMP/RFP/001//2021-22**

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

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

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

**Maximum 10 pages**

## Form EOI-3

### Experience of the Consultant

**Re: Consulting Services for the Final Environmental and Social Audit of UTaNRMP Activities**

**Ref: RFP NO. MWSI/UTaNRMP/RFP/001//2021-22**

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

**Maximum 20 pages]**

Assignment name:	Approx. value of the contract (in current US\$):
Country: Location within country:	Duration of assignment (months):
Name of client:	Total No. of staff-months of the assignment:
Address, and contact details (including email address(es)):	Approx. value of the services provided by your firm under the contract (in current US\$):
Start date (month/year): Completion date (month/year):	No. of professional staff-months provided by associated consultants:
Name of associated consultants, if any:	Name of proposed senior professional staff of your firm involved and functions performed (indicate most significant profiles such as project director/coordinator, team leader):
Narrative description of project:	
Description of actual services provided by your staff within the assignment:	

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

**ANNEX 1**  
**PRELIMINARY TERMS OF REFERENCE**  
**FOR**

**Consulting Services for the Final Environmental and Social Audit of  
UTaNRMP Activities**

**1.0: INTRODUCTION AND PROJECT DESCRIPTION**

**1.1 Background to the Environmental and Social Audit**

This Environment and Social Audit is prepared as part of IFAD's requirements for social, environmental and climate procedures (SECAPs) for the ongoing Upper Tana Catchment Natural Resources Management Project (UTaNRMP).

At the project's design stage (2011), an ESIA and a SEA were undertaken and potential negative environmental, social and climate related impacts identified. An ESMF and an ESMP, including a Monitoring Plan were developed, and subsequently, the project was categorized as a Category A. An Environmental and Social Audit was conducted in 2018/19 financial year and was approved by NEMA.

In line with IFAD's procedures, a Final Environment and Social Audit of the project's ESIA will be undertaken in order to: identify any gaps or shortcomings with the earlier ESIA and to inform its revision if necessary; justify interventions already done and propose additional appropriate actions to mitigate negative or emerging concerns; and, evaluate the effectiveness (challenges, opportunities, adequacy of the capacity on the ground etc.) of the current ESMP and monitoring plan in addressing identified risks, with a view to strengthening them.

Additionally, for some sub-projects (e.g. rehabilitation or construction of small dams, small scale irrigation activities, drilling boreholes, the solar fence to control human wildlife conflicts, wetland rehabilitation or restoration, forest rehabilitation, domestic water supply, and large scale re-forestation, water laboratories and seed store) or key interventions that have specific Environmental Impact and Social Assessment and the Environmental Social Management Plans (ESMP), the Audit will assess adherence to the ESMPs.

This Final Environment and Social audit will inform the revision of the overall ESMP of the entire project, including its monitoring plan as the project comes to completion. The environment and social audit shall be undertaken in accordance with IFAD's (see IFAD's guidelines on environment and social audits) and NEMA's guidelines on environment and social audits.

The revised project ESIA and ESMP shall include among others: specific environmental, climate and social risks; risk classification and mitigation actions; responsible persons, timelines and budgets, environmental and social monitoring plan; grievance redress mechanisms if social conflicts are likely (taking into consideration existing formal or informal mechanisms and assessing their effectiveness, with a view to ensuring inclusiveness, accessibility, and transparency); full disclosure on IFAD's

website; Free, Prior and Informed Consent (FPIC) procedures met if relevant; and a biodiversity offsets plan (if necessary); including capacity development for project staff. If after the audit the project is revised to a Category B, some requirements cited above will not be necessary.

The project's ESIA will be subjected to IFAD's internal review and disclosure requirements. The draft and final ESIA reports, and other relevant documents must be disclosed in a timely and accessible manner at the quality assurance stage (or other stages) of the project. The monitoring of the project's ESMP will be done periodically based on the developed monitoring plan.

## **1.2 Background Information**

Upper Tana Catchment Natural Resources Management Project is a ten (10) year project (2012-2022) funded by Government of Kenya, International Fund for Agricultural Development (IFAD), Spanish Trust Fund and the Local community. The loan agreement was signed on 23rd May 2012 while the additional funding was signed on 13th July 2020 and came into force same day of signing. Project started its operations on the 12 high priority river basins and tributaries of the four (4) MKEPP river basins and later scaled up to the remaining 12 river basins as shown in table 1.

## **1.3 Project Goal and Objectives**

The goal of the project is to “contribute to reduction of rural poverty in the Upper Tana river catchment”. This goal is pursued via two development objectives which reflect the poverty-environment nexus:

- i. Increased sustainable food production and incomes for poor rural households living in the project area; and
- ii. Sustainable management of natural resources for provision of environmental services.

The objectives are in line with the Kenya's Vision 2030, Sustainable Development Goals, The 2011-25 IFAD Strategic Objectives, IFAD Kenya Country Strategic Opportunities Programme (COSOP) 2013-2018 and Agricultural Sector Development Strategy (ASDS) 2010-2020.

## **1.4 Project area and Target**

The project area is the Upper Tana catchment which covers an area of 17,420 km<sup>2</sup> and includes 24 river basins and the tributaries of the four rivers formerly under MKEPP that drain into the Tana River. The area covers six (6) counties (Embu, Tharaka Nithi, Meru, Nyeri, Murang'a and Kirinyaga). The project is also covering areas in the Mt. Kenya and Aberdares water towers covering the national parks and surrounding forest reserves. The area is under heavy and growing population pressure with an average of 300 inhabitants per km<sup>2</sup>.

The Upper Tana catchment is home to approximately 5.2 million people and is under heavy and growing population pressure. The project aims at poverty reduction targeting about 300,000 households (1,500,000 people) whose livelihoods revolve around the use of the natural resources of Upper Tana catchment. These include smallholder crop and livestock farmers, agro-pastoralists, fishers, rural traders, and community groups involved in Natural Resources Management (NRM) and income generating

activities. Special focus is on women and youth as well as other vulnerable groups within the above categories. The project also provides indirect benefits to the non-target groups in the Upper Tana catchment through services and enterprises linked with the project activities, as well as to populations outside the catchment who rely on water and hydro-electricity from the river system. Project interventions have been progressively scaled up beginning with further work on the tributaries of the four MKEPP river basins and 12 high priority river basins and later to the other remaining 12 basins as shown in Table 1

**Table 1: UTaNRMP River Basins**

Tributaries of the four (4) MKEPP River Basins	Ena (Itimbogo, Thura, Rwanjoga, Gangara) Kapingazi/Rupingazi (Kiye, Thambana, Nyanjara, Itabua, Kathita) Kathita (Ngaciuma, Kinyaritha, Kuuru, Riji) Kithinu/Mutonga (Naka, Nithi, Maara South, Maara north, Thuci)
High Priority River Basins for UTaNRMP (12)	Maragua, Murubara, Nairobi, Ragati, Rujiweru, Rupingazi, Saba Saba, Thangatha, Thanantu, Thiba, Thika/Sasumua, Thingithu
12 Other River Basins	Amboni/Muringato, Iraru, Kayahwe, Lower Chania, Mara, Mariara, Mathioya, Nyamindi, Ruguti, Rwamuthambi, Sagana and Ura.

Source: Source: Project Design Reports (February 2012)

### 1.5 Importance of the Upper Tana catchment

Tana River:

- Provides about 50% of the country's hydroelectric power;
- Provides about 27% of the total discharge of the country's rivers;
- Supplies about 95% of all the water used in the City of Nairobi. (Upper Tana- Nairobi Water Fund, a business case, 2015);
- Catchment includes 25% of Kenya's gazetted forests while Mt Kenya is classified as a World Heritage Site (UNESCO 1978).
- The Mt. Kenya is home to flora and fauna of international and national importance.

### 1.6 Threats to Upper Tana Catchment

The Upper Tana catchment has experienced considerable land degradation and a drastic reduction of surface water availability during the dry season, and poor water quality during the wet season mainly due to high silt loads. This has been attributed to:

- High population density in this fragile ecosystem;
- Small and diminishing landholdings due to the growing population;
- Low crop yields due to erosion and soil fertility depletion;
- Rural households poorly linked to markets and services;

- Reduction of tree cover both in the forest reserve and in the farmlands. The reduced tree cover, inappropriate land use practices in the farmlands and overgrazing in the pastoral lowlands have resulted into increased soil erosion rate and hence higher sediment load for the Tana River and its tributaries.

### 1.7 Rationale for UTaNRMP

The rationale for the project is based on the nexus between rural poverty and ecosystem health in a densely populated and environmentally fragile watershed of critical national and global significance. The high prevalence of rural poverty contributes to environmental degradation which in turn reduces sustainable livelihood opportunities; as well as creating negative environmental externalities including forest degradation, human-wildlife conflicts, encroachment in water sources and reduced availability and quality of water to downstream users. The project recognizes the need to arrest the rapid loss of the life-supporting functions of the Tana River ecosystem arising from forest degradation, inappropriate agricultural practices, and overgrazing, which have triggered decreasing water recharge, increasing soil erosion that contributes to a high sediment load in the rivers and electricity generating dams. These same factors contribute to the persistently high levels of rural poverty; and also have serious consequences for power supply, the supply of water to the City of Nairobi and other urban areas, the availability of water for irrigation, livestock production, fisheries, domestic purposes as well as threatening livelihoods.

## 2.0 OBJECTIVES OF THE FINAL ENVIRONMENTAL AND SOCIAL AUDIT FOR UTaNRMP ACTIVITIES

The objective of the Final Environmental and Social Audit of UTaNRMP Activities is to provide qualitative and quantitative information of environmental effects from project interventions, status of environmental management plans (EMP) implementation, and propose way forward for sustainability of all implemented projects. The audit will identify environmental and social issues that may have arisen due to the project activities including developing Environmental Management Plans for activities that did not have EIA but required the same. The environmental audit will target specific project activities within the 24 river basins and the tributaries of 4 former MKEPP river basins in the counties of Embu, Tharaka Nithi, Meru, Nyeri, Kirinyaga and Murang'a. The area includes the Mt. Kenya and Aberdares National Parks and surrounding Forest Reserves.

**Table 2: UTaNRMP River Basins- Environmental Audit Area**

Tributaries of former Mt Kenya East Pilot Project for NRM (MKEPP) River Basins (4)	Ena (Itimbogo, Thuura and Gangara) Kapingazi/Rupingazi (Kiye, Thambana, Itabua and Kathita), Kathita (Gaciuma/Kinyaritha, Kuuru, Riiji), Kithinu/Mutonga (Naka, Nithi, South Maara, North Maara and Thuci)
Twelve (12) High Priority River Basins for UTaNRMP	Maragua, Murubara, Nairobi, Ragati, Rujiweru, Rupingazi, Saba Saba, Thangatha, Thanantu, Thiba, Thika/Sasumua, Thingithu



Twelve (12) Other River Basins for UTaNRMP	Amboni/ Muringato, Iraru, Kayahwe, Chania, Mara, Mariara, Mathioya, Nyamindi, Ruguti, Rwamuthambi, Sagana, Ura
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The audit will establish the following:

- i. The level of compliance to the Environmental Management Plans (EMP's) derived from Environmental and Social Impact Assessments for various activities with the aim of improving/revising the existing EMP's. In addition, new EMP's should be developed for project activities where EIA was not conducted but requires the same.
- ii. Environmental and social effects (positive and negative) from project interventions and subsequent technology adoptions with the aim of recommending what needs to be done to mitigate negative effects as positive effects are up scaled
- iii. The community coping mechanisms from the environmental effects

## ANNEX 2

### Qualification and Evaluation Criteria

The evaluation of EoI documents will be done in two stages (i) Screening of EoI documents of all firms- *Eligibility Criteria*; and (ii) Evaluation of Technical and Financial Capability

#### **i. ELIGIBILITY**

**Under Eligibility Requirement the following will be checked on a Yes/No basis on the issues indicated below:-**

	Description	Status (Yes/No)	Remarks
i	Valid Registration Certificate/Incorporation (of each member of JV, in case of JV.)		
ii	Valid Tax Compliance certificate (Each member of JV, in case of JV.)- will be verified on the KRA TCC Checker		
iii	EOI submission form fully filled and signed		
iv	Valid NEMA certificate for the Firm		
v.	Signed and sealed Power of Attorney		
v	Signed and sealed Joint Venture (JV) Agreement between the JV Partners and Power of Attorney signed & sealed by each member of JV, in case of JV		

Note: Where the applicant is a JV, a list of the proposed members of the JV and the proposed Leader of the consortium and the roles of each member shall be clearly stated

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

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

#### **Joint Venture Information**

If the EOI is being submitted in Joint Venture, provide Joint Venture Information using format below:

-

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

*Note:*

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

Attachment	Yes/No
Joint Venture Agreement-Duly signed by partners	
Power of attorney of the signatory (ies) of the Tenderers	

**Firms must pass all the eligibility criteria in order to proceed to the technical and financial capability stage.**

## ii. TECHNICAL AND FINANCIAL CAPABILITY

### 1. Financial Status

The evaluation will take into consideration the following: -  
**FINANCIAL STATUS**

Description	Amount(Kshs)
Total assets	
Total liabilities	
Current liabilities	
Current assets	
Current credit resources	

Description	Fiscal Year – 1	Fiscal Year – 2	Fiscal Year–3	Average Annual
Turnover (Kshs)				

{Note: Average annual turnover of last three years will be considered for evaluation. Audited Financial Reports for 2018-19, 2019-20 and 2020-21 should be submitted}

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

**The information here will be used to evaluate the firm at technical stage.**

### 2. Technical Evaluation of EOI document

*Below are the criteria related to required qualifications and experience of the firm, relevant to this assignment. The qualifications and experience of key experts shall not be included in the shortlisting criteria as the shortlisted firms will be asked to submit a detailed technical and financial proposal which is then negotiated.*

**NB: Bidders are informed that a maximum of six (6NO) firms scoring 70% marks or more will be shortlisted for this consultancy.**

		Marking	Weight
A	<b>Capability of the firm</b>		
	<b>I</b>	<b>General Experience - Number of years the firm has been in existence</b>	<b>15</b>
	i	≥ 10 years	100%

	ii	5-9 years	75%	<b>15</b>
	iii	1- 4 years	50%	
	iv	<1 year	0%	
	<b>II</b>	<b>Average Annual Turnover in KES. for last three years (supported by Audited Financial Statements for the last 3 years)</b>		
	i	≥ KES 10 Million	100%	
	ii	KES 5- KES 9.9 Million	75%	
	iii	KES 1- 4.9 million	50%	
	iv	< KES. 1 Million	0	
<b>B</b>	<b>I</b>	<b>General Experience of the firm in consultancy Services on NRM based ESA</b>	<b>50</b>	<b>50</b>
	i	Has undertaken one or more consultancies	100%	
	ii	Has not undertaken any consultancy	0%	
	<b>II</b>	<b>Recommendations and Letters of reference demonstrating the capability of the firms in successful completion of assignments (These shall be verified by the Project)</b>	<b>20</b>	<b>20</b>
	i	≥ 5 positive relevant recommendations	100%	
	ii	3 to 4 positive relevant recommendations	75%	
	iii	1 to 2 positive relevant recommendations	50%	
	iv	No relevant recommendation	0%	