



**German Financial Cooperation with Kenya**

**Project: SUPPORT TO WASTEWATER MANAGEMENT AT  
LAKE VICTORIA SOUTH**

**Prequalification**

**for**

**Consulting Services for the Preparation of Detailed Design and Tender Documents, Assistance to PEA in Tendering and Contracting and Construction Supervision**

**Employer: Lake Victoria South Water Works Development Agency  
(LVSWWDA), Kenya**

**BMZ-No.: 2013 65 352**

**Tender No. LVSWWDA/KFW/ WWM/C-1/2022-R**

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## List of Content

<b>SECTION I – GENERAL PROVISIONS (GP) .....</b>	<b>3</b>
<b>SECTION II – SPECIAL PROVISIONS (SP) .....</b>	<b>14</b>
<b>SECTION III – APPLICATION FORMS.....</b>	<b>22</b>
Form 1– Declaration of Undertaking .....	22
Form 2 – Sample Declaration on Conflict of Interest and of Submitting a Proposal .....	25
Form 3 – Sample Declaration of Association .....	26
Form 4 – Financial Capacity Statement .....	27
Form 5 – Project Experience .....	28
Form 6 – List of Available Expertise and Human Resource Capacity .....	29
Form 6 continued.....	30
<b>SECTION IV – ELIGIBILITY CRITERIA.....</b>	<b>31</b>
<b>SECTION V – KFW POLICY – SANCTIONABLE PRACTICE – SOCIAL AND ENVIRONMENTAL RESPONSIBILITY.....</b>	<b>33</b>
<b>Annex1: Recommended structure for the prequalification bid.....</b>	<b>35</b>

# SECTION I – GENERAL PROVISIONS (GP)

## 1. GENERAL

### 1.1 SCOPE OF APPLICATIONS AND DEFINITIONS

- 1.1.1 In connection with the Invitation for Prequalification indicated in Section II, Specific Provisions (**SP**), the Employer, as defined in the **SP**, issues this Prequalification Document (“Prequalification Document”) to prospective Applicants (“Applicants”) interested in submitting applications (“Applications”) for prequalification to bid for the assignment described in SP 1.6.1.
- 1.1.2 The Employer as indicated in the **SP** has applied for or received financing (hereinafter called “funds”) from KfW Development Bank (hereinafter called “KfW”) towards the cost of the project named in the **SP**. The Employer intends to apply a portion of the funds to eligible payments under the Contract(s) resulting from the procurement process.
- 1.1.3 The following definitions apply:
- (a) “Affiliate(s)” means an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant
  - (b) “Applicable Law” means the laws and any other instruments having the force of law in the Employer’s country, or in such other country as may be specified in the **SP**, as they may be issued and in force from time to time.
  - (c) “Applicant(s)” means an entity or an association of entities (JV) that submits a set of documents as specified hereunder for being prequalified to submit a proposal.
  - (d) “Consultant” means a legally-established professional consulting firm or an entity that may provide or provides the Services to the Employer under a Contract. The term “Consultant” and “Applicant” are used in this document interchangeably.
  - (e) “Contract” means a legally binding written agreement signed between the Employer and the Consultant.
  - (f) “Day” means a calendar day.
  - (g) “Employer” means the contracting party that legally concludes the Contract for the Services with the selected Consultant notwithstanding the representation by KfW in case of an agency Contract<sup>1</sup>.
  - (h) “Government” means the government of the Employer’s country.
  - (i) “Guidelines” means Guidelines for the Procurement of Consulting Services, Works, Goods, Plant and Non-Consulting

<sup>1</sup> The term *Employer* in this document shall have the same meaning as the terms *Client* and *Project Executing Agency* in the Guidelines

Services in Financial Cooperation with Partner Countries available at [www.kfw-entwicklungsbank.de](http://www.kfw-entwicklungsbank.de).

- (j) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Employer for the performance of the Contract.
- (k) “Services” means the work to be performed by the Consultant pursuant to the Contract.
- (l) “Sub-Consultant” means an entity to which the Consultant intends to subcontract any part of the Services while remaining responsible to the Employer as contracting party during the performance of the Contract.
- (m) “Special Provisions (SP)” means an integral part of this Prequalification Document that is used to reflect specific country and project conditions to supplement the General Provisions. In case of conflict between the GP and the SP, the SP shall prevail.

## 1.2 SELECTION OF THE CONSULTANT AND PREQUALIFICA- TION PROCEDURE

- 1.2.1 To execute the project, the Employer intends to select one or several Consultants in accordance with the Guidelines. The evaluation committee of the Employer may be assisted by a Tender Agent or in exceptional cases a Tender Agent may conduct the entire tender procedure on behalf of the Employer. KfW’s monitoring and no-objection is not affected. The details are outlined in the **SP**.
- 1.2.2 This Prequalification Document sets out the prequalification procedure, including but not limited to the minimum requirements towards the experience and capabilities of the Applicants and the evaluation method. The Applicants who demonstrate to the Employer’s satisfaction that they have the experience and the capabilities to execute the project shall be shortlisted in accordance with GP 4.2.5 to participate in the subsequent tendering procedure.
- 1.2.3 The procurement process is the responsibility of the Employer. KfW shall verify that the procurement process is fair, transparent, economical, free of discrimination and according to the provisions in this document. KfW exercises its monitoring function on the basis of the contractual arrangements with the Employer and the Guidelines containing details for KfW’s approval and no objection to individual steps during the procurement process. No contractual relationship between KfW and any third party shall be deemed to exist other than with the Employer.

## 1.3 SANCTIONABLE PRACTICE

- 1.3.1 KfW requires compliance with its policy in regard to Sanctionable Practice as defined and set forth in Section V.
- 1.3.2 In further pursuance of this policy, Applicants shall permit and shall cause its agents to provide information and permit KfW or an agent appointed by KfW to inspect on site all accounts, records and other documents relating to bid submission and Contract performance (in the case of award), and to have them audited by auditors or agents appointed by KfW.

#### 1.4 ELIGIBLE APPLICANTS

- 1.4.1 An Applicant may be a firm that is a private entity, a government-owned entity — subject to Section IV – or a combination of such entities in the form of a Joint Venture (“JV”) under an existing JV Agreement or with the intent to enter into such an agreement supported by Declarations of Association. In the case of a JV, all members shall be jointly and severally liable for the execution of the Contract in accordance with the Contract terms. An Application may include Sub-Consultants, whose relationship with the Applicant is contractual, and who are not held jointly and severally liable for the execution of the Contract. The Applicant shall nominate an authorized representative who shall have the authority to conduct all business for and on behalf of the Applicant and any and all its members, if the Applicant is a JV, during the prequalification process, bidding (in the event the Applicant submits a bid) and during Contract execution (in the event the Applicant is awarded the Contract). Unless specified in the **SP**, there is no limit on the number of members in a JV. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal.
- 1.4.2 Applicants including their Affiliates and, in case of JVs, any of their members, may participate in only one Application. Sub-Consultants whose qualifications are used in the evaluation of at least one Application, pursuant to the Applicant’s request made in accordance with Form 2 (Declaration on Conflict of Interest and of Submitting a Proposal), may only participate in the respective Application. Sub-Consultants, whose qualifications are not used in the evaluation of any Application, may participate in more than one Application. Applications submitted in violation of this procedure will be rejected.
- 1.4.3 It is the Consultant’s responsibility to ensure that its staff, Joint Venture members, Sub-Consultants, agents (declared or not), sub-contractors, Service providers, suppliers and/or their employees meet the requirements on eligibility and conflict of interest as established hereunder.
- 1.4.4 KfW’s eligibility criteria for prequalification are described in Section IV, Eligibility Criteria.
- 1.4.5 An Applicant shall provide such evidence of eligibility satisfactory to the Employer, as the Employer shall reasonably request.
- 1.4.6 The materials, equipment and Services to be supplied under the Contract and financed by KfW may have their origin in any country subject to the restrictions specified in Section IV Eligibility Criteria, and all expenditures under the Contract will not contravene such restrictions.

#### 1.5 CONFLICT OF INTEREST

- 1.5.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Employer’s interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.
- 1.5.2 Applicants shall be disqualified if they:
- (a) are an Affiliate controlled by the PEA or a shareholder controlling the PEA, unless the stemming conflict of interest has been

brought to the attention of KfW and has been fully resolved to the satisfaction of KfW;

- (b) have a business or a family relationship with a PEA's staff involved in the tender process or the supervision of the resulting Contract, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
- (c) are controlled by or do control another Applicant or are under common control with another Applicant, receive from or grant subsidies directly or indirectly to another Applicant, have the same legal representative as another Applicant, maintain direct or indirect contacts with another Applicant which allow them to have or give access to information contained in the respective applications, to influence them or influence the decisions of the PEA;
- (d) are engaged in a Services activity which, by its nature, may be in conflict with the assignment that they would carry out for the PEA;
- (e) were directly involved in drawing up the terms of reference or other relevant information for the tender process. This shall not apply to Consultants who have produced preparatory studies for the project or who were involved in a preceding project phase, insofar as the information they prepared, especially feasibility studies, was made available to all Applicants and the preparation of the terms of reference was not part of the activity;
- (f) were during the last 12 months prior to publication of the tender process indirectly or directly linked to the project in question through employment as a staff member or advisor to the PEA, and are or were able in this connection to influence the Award of Contract.

1.5.3 The Consultant has an obligation to disclose to the Employer any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Employer. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract.

## 1.6 REQUESTED SERVICES

1.6.1 A brief description of the requested consulting Services is presented in the **SP**.

# 2. CONTENTS AND PREPARATION OF THE APPLICATION

## 2.1 PREQUALIFICATION DOCUMENT AND COMMUNICATION

2.1.1 These Prequalification Documents consist of the sections indicated below, which should be read in conjunction with any Addendum issued in accordance with clause 2.6.

Section I - General Provisions (GP);  
Section II - Special Provisions (SP);  
Section III - Application Forms:  
Form 1: Declaration of Undertaking;

Form 2: Sample Declaration on Conflict of Interest and of Submitting a Proposal;

Form 3: Sample Declaration of Association;

Form 4: Financial Capacity Statement;

Form 5: Project Experience;

Form 6: List of Available Expertise and Human Resource Capacity;

Section IV - KfW Eligibility Criteria;

Section V - KfW Policy – Sanctionable Practice – Social and Environmental Responsibility.

2.1.2 Unless obtained directly from the Employer, the Employer accepts no responsibility for the completeness of the Prequalification Documents, responses to requests for clarification, or Addenda in accordance with GP 2.6. In case of any discrepancies, documents issued directly by the Employer shall prevail.

2.1.3 The Applicant is expected to examine all instructions, forms, and terms in the Prequalification Documents and to furnish with its Application all information or documentation as is required by the Prequalification Documents.

2.1.4 The Application, as well as all correspondence and documents relating to the Application exchanged between the Applicant and the Employer shall be in the language of this document. Any official documents presented in a different language shall be accompanied by a certified translation into the language of this document. The Employer reserves the right to verify the translation. In case of discrepancies the original document shall prevail.

2.1.5 All communication between the Employer and Applicants shall take place in writing. For the purposes of the prequalification document in writing shall mean communicated in written form (for example by post, e-mail or facsimile) and delivered with proof of receipt.

## **2.2 DOCUMENTS COMPRISING THE APPLICATION**

2.2.1 The Application submitted by the Applicant shall comprise the following:

(a) Application Letter, indicating the Applicant's name, address, telephone, fax and email. If the Applicant is a JV, the Application Letter shall also describe the form of association and list the JV members.

(b) A Power of Attorney authorizing the representative of the Applicant, designated in accordance with GP 1.4.1 to submit the Application on behalf of the Applicant. If the Applicant is a Joint Venture, the Power of Attorney shall be provided by the Lead Consultant nominated in the JV agreement or in the Declarations of Association, submitted in accordance with GP 2.2.1(d)(II). If the representative of the Applicant is the owner, member or director of the Applicant or the Applicant's Lead Consultant, if so nominated in accordance with GP 2.2.1(d)(II), a Power of Attorney shall not be necessary.

(c) Presentation of the Applicant (maximum 10 pages, no brochures). If the Applicant is a single entity, the presentation shall describe the Applicant's type of entity, ownership structure and organisation chart, as well as its main business areas as they apply to the project. If the Applicant is a JV, the presentation shall provide this information about each JV member as well as a description of the intended form of collaboration of the members within the JV.

(d) Statements and Declarations:

- I. Declaration of Undertaking in the format provided in Section III.
- II. Declaration on Conflict of Interest and of Submitting a Proposal in the format provided in Section III.
- III. If the Applicant is an existing JV, the Applicant shall submit a proof of the existing JV Agreement, indicating the Lead Consultant. If the Applicant is a JV, which the members intend to form for the purpose of executing the Contract, each member of the JV shall submit a Declaration of Association, indicating the Lead Consultant, in the format provided in Section III.
- IV. Statement on conflict of interest as per GP 1.5 is part of the declaration as per (d) ii. above. If the Applicant is a JV, separate statements shall be provided by each member of the JV.
- V. Financial Capacity Statement in the format provided in Section III and supported by the Applicant's balance sheets and profit and loss Statements. If the Applicant is a JV, separate statements, including the supporting Balance Sheets and Profit and Loss Statements, shall be provided by each member of the JV. All balance sheets and profit and loss statements shall be certified by a reputable auditor.
- VI. List of project references in the format provided in Section III. The number and timing requirements towards the project references shall be specified in the **SP**. The Employer reserves the right to contact the clients indicated in the references to ascertain the information provided by the Applicant.
- VII. List of Available Expertise and Human Resource Capacity in the format provided in Section III.

(e) Any other documentation required in the **SP**.

2.2.2 Applicants shall submit concise and clear, but substantial documents and adhere to the above structure. Any interlineations, erasures or overwriting shall be valid only if initialled by the Applicant's representative designated in accordance with GP 1.4.1.

## 2.3 COST OF BIDDING

2.3.1 All cost relating to the preparation of the Application, including but not limited to site visits, obtaining information, preparation and submission of the Application, shall be borne by the Applicant.



**2.4  
SIGNING OF THE  
APPLICATION AND  
THE NUMBER OF  
COPIES**

- 2.4.1 The Applicant shall prepare one original Application as described in GP 2.2 and clearly mark it “ORIGINAL”. All documents comprising the original Application shall be typed or written in indelible ink and shall be signed by the Applicant’s representative designated in accordance with GP 1.4.1. If the Applicant is a JV, the statements and declarations submitted by the members of the JV in accordance with GP 2.2.1(d)(II) – (VII) shall be signed by duly authorized officials, such as owners or directors of the respective members.
- 2.4.2 The Applicant shall prepare copies of the signed original Application and clearly mark each of them “COPY”. The number and type of copies of the Application shall be in accordance with the **SP**. In the event of any discrepancy between the original and the copies, the original shall prevail.
- 2.4.3. If electronic copies of the proposal are required in accordance with GP 2.4.2, they shall be presented as unalterable and printable PDF files on CD or DVD disks, marked accordingly.

**2.5  
CLARIFICATION OF  
PREQUALIFICA-  
TION DOCUMENT**

- 2.5.1 Applicants may request a clarification of the Prequalification Document until the deadline indicated in the **SP**. Any request for clarification shall be sent in writing or by standard electronic means to the address indicated in the **SP**. Responses shall be in writing or by standard electronic means and shall be sent to all prospective Applicants who have obtained the Prequalification Document directly from the Employer, including a description of the inquiry but without identifying its source, not later than ten (10) days prior to the deadline for the submission of Applications in accordance with GP 3.2.1.
- 2.5.2 If necessary, the Employer may send clarifications of the Prequalification Document to all prospective Applicants who have obtained the Prequalification Document directly from the Employer, not later than ten (10) days prior to the deadline for the submission of Application in accordance with GP 3.2.1.

**2.6  
AMENDMENT OF  
PREQUALIFICA-  
TION DOCUMENT**

- 2.6.1 At any time prior to the deadline for the submission of Applications but not later than ten (10) days before the submission date the Employer may amend the Prequalification Document by issuing an Addendum.
- 2.6.2 Any Amendment issued shall be part of the Prequalification Document and shall be communicated immediately in writing to all prospective Applicants who have obtained the Prequalification Document from the Employer.
- 2.6.3 To give Applicants reasonable time to take an Amendment into account in preparing their Applications, the Employer may, at its discretion, extend the deadline for the submission of Applications in accordance with GP 3.2.2.

## 3. SUBMISSION OF APPLICATIONS

### 3.1 SEALING AND IDENTIFICATION OF APPLICATIONS

- 3.1.1 The Applicant shall enclose the original and the copies of the Application in a sealed envelope that shall:
- (a) bear the name and address of the Applicant;
  - (b) be addressed to the Employer, in accordance with GP 3.2 below;
  - (c) bear the project title and/or tender number;
  - (d) bear the following words clearly visible „Not to be opened by the Postal Service - Prequalification for “ and the name of the assignment.
- 3.1.2 The Employer shall not be responsible for misplacement, losing or premature opening of the Application if the envelope is not sealed or marked in accordance with GP 3.1.1. The disposal of original late Applications shall be obligatorily documented in a late applications protocol, which shall be provided to KfW as part of the opening protocol prepared in accordance with GP 3.2.7 and to the entity, which has submitted the late Application.

### 3.2 DEADLINE FOR SUBMISSION OF APPLICATIONS, OPENING

- 3.2.1 Applicants may submit their Applications by mail, by courier or by hand, against confirmation of receipt. Applications shall be submitted by the Applicants at the address and no later than the deadline indicated in the **SP**. Any Application received by the Employer after the deadline shall be declared late and rejected, and promptly disposed of.
- 3.2.2 The Employer may, at its discretion, extend the deadline for the submission of Applications by amending the Prequalification Document in accordance with GP 2.6, in which case all rights and obligations of the Employer and the Applicants subject to the previous deadline shall thereafter be subject to the deadline as extended.
- 3.2.3 The preparation and the submission of the Applications is the responsibility of the Applicant and no relief or consideration can be given for errors and omissions.
- 3.2.4 If copies of the Application shall be sent to multiple addresses in accordance with GP 3.2.1, the timely receipt of the original Application in compliance with GP 3.2.1 shall be decisive for the timely submission of the Application.
- 3.2.5 The Employer's evaluation committee as detailed in **SP** 1.2.1 shall proceed with the opening of the Applications shortly after the submission deadline as indicated in the **SP** and establish and sign an opening protocol as per GP 3.2.7.
- 3.2.6 Unless otherwise agreed the Employer's evaluation committee shall be composed of at least three members. One member of the Evaluation committee shall not be staff from the Employer's administration or organisation.

- 3.2.7 At the opening of the Applications the following shall be recorded in the opening protocol: the name and business address of the Applicant or, in case of a Joint Venture, the name and business address of the Joint Venture, the name and business address of the lead member and the names and business addresses of all members; the presence or absence of the Declaration of Undertaking whether they have been received on time and sealed as per GP 3.1.1. and any other information deemed appropriate or as indicated in the **SP**.

## 4. EVALUATION-PROCESS OF THE PREQUALIFICATION DOCUMENTS

### 4.1 CONFIDENTIALITY

- 4.1.1 After the opening of the Applications and until the announcement of the prequalification results to the Applicants no communication of any type between the Applicants and the Employer, its staff or any other person involved in the evaluation is permitted except as specified under GP 4.3.
- 4.1.2 Information relating to the Applications, their evaluation and result shall not be disclosed to Applicants or any other persons not officially concerned with the prequalification procedure until the Employer notifies the Applicants of the prequalification results.

### 4.2 EVALUATION

- 4.2.1 The Employer shall reject an Application that is not substantially responsive to the requirements of this prequalification document. In particular, an Application failing to demonstrate that the Applicant fulfils the financial capability requirements set out in the **SP** or lacking the following documents shall be considered not substantially responsive:
- a) Declaration of Undertaking (Form 1)
  - b) Financial Capability Statements and supporting documentation as required (Form 4)
  - c) Declaration on Conflict of Interest and on Submitting an Application (Form 2)
  - d) Power(s) of Attorney authorizing the representative of the Applicant
  - e) If the Applicant is a JV, either proof of the existing Association Agreement or a Declaration of Association (Form 3)
- 4.2.2 The Employer shall evaluate the responsive Applications in terms of the prequalification criteria indicated in the **SP** and award each responsive Application a prequalification score of up to 100 points.
- 4.2.3 For the purposes of scoring individual prequalification sub-criteria in accordance with GP 4.2.3 the Employer shall apply the following qualitative approach to each criteria:
- a) 100% of the max. score: Excellent, no errors or omissions at all are noted. Exhaustive, conclusive, comprehensive, precise and further leading suggestion / idea / offering with respect to the sub-criterion.
  - b) 75% of the max. score: Good, minimal errors or omissions noted. Exhaustive, conclusive, comprehensive and precise with respect to the sub-criterion.
  - c) 50% of the max. score: Unsatisfactory, major errors or omissions noted not comprising the fulfilment of the sub-criterion, basically meets the requirement of the respective sub-criterion.
  - d) 25% of the max. score: Poor, major errors or omissions are noted comprising the fulfilment of the sub-criterion, substantially

deviates from or indicates misunderstanding of the requirement of the respective sub-criterion.

- e) 0 % of the max. score: Insufficient / Fail, does not meet the requirement of the respective sub-criterion at all or does not provide any information regarding the requirement of the sub-criterion.

4.2.4. The Employer shall reject an Application if,

(a) it has determined that the Application is nonresponsive in accordance with GP 4.2.1;

(b) it has awarded the Application a prequalification score, which is lower than the minimum prequalification score of 70 points out of 100. Depending on the nature of the assignment a minimum score may be applied not only to the overall score but also to the achievement of a sub-score dedicated to environmental, social, health and safety (ESHS) issues, if specified so in the Special Provisions (SP).

4.2.5 The Employer shall establish a shortlist of qualified Applications determined to be responsive and scoring higher than the minimum prequalification score. The number of Applicants to be invited is generally five (5) but could be increased up to eight (8) if required and subject to prior indication in the SP. However, if the number of prequalified Applicants exceeds this predefined number Applicants will be invited as per their ranking.

### **4.3 EMPLOYER'S RIGHT TO ACCEPT OR REJECT APPLICATIONS**

4.3.1 The Employer reserves the right to accept or reject any Application, and to annul the prequalification process and reject all Applications at any time, without thereby incurring any liability to the Applicants.

4.3.2 The Employer is not bound to select any Application.

### **4.4 NOTIFICATION OF PREQUALIFICATION AND PUBLICATION**

4.4.1 The Employer shall notify all Applicants in writing on the outcome of evaluation shortly after the finalisation of the evaluation.

4.4.2 In addition, the Employer shall publish the list of prequalified Applicants (including all JV members, if any) who will be invited to submit an Offer (prequalification-result notice), after KfW's No-Objection to the prequalification evaluation report on GTAI's website and in any other media in which the prequalification notice was published.

4.4.3 Applicants that have not been prequalified may write to the Employer to request, in writing, the grounds on which they were not qualified.

4.4.4 Upon such a request the Employer will inform such Applicants on the major shortcomings and weaknesses of their Application.

### **4.5 REQUEST FOR PROPOSAL**

4.5.1 Promptly after the notification of the results of the prequalification, the Employer shall invite the prequalified Applicants to submit their proposals.

## SECTION II – SPECIAL PROVISIONS (SP)

*(the references refer to the respective figures in the General Provisions)*

### 1.1.1 EMPLOYER

The Employer is the Lake Victoria South Water Works Development Agency (LVSWWDA), Kisumu, Kenya.

The project name and reference number are “Wastewater Management at Lake Victoria South” (BMZ-No.: 2013 65 352).

The prerequisites for disbursements for this assignment are not yet finalised. Any contractual commitment related to this tender procedure is subject to the readiness of disbursement of funds for this assignment.

### 1.2.1 SELECTION OF THE CONSULTANT

The evaluation committee shall be appointed in compliance in line with the Kenyan Public Procurement and Asset Disposal Act 2015 and its attendant Regulations (2020) immediately after the submission of the bids opening of the Technical Bids.

**The Tender Agent will assist the evaluation committee in the evaluation, clarification, negotiation and drafting of the Consultancy Contract.**

### 1.2.2 APPLICANTS

The following conditions shall apply to the engagement of Sub-Consultants by the Applicant: Sub-consultants may present only 2 references.

### 1.6.1 REQUESTED SERVICES

The Project concerns the improvement of waste water management in Kericho town and its selected urban centres and water supply in the towns of Kisii, Kericho and Kericho selected urban centres including Litein. The purpose of the Project is to contribute to the protection of Lake Victoria from pollution by improving the quality of wastewater discharged into the lake and catchment area. This is to contribute to the sustainable and equitable use of clean water and basic sanitation facilities by the population and to the protection of water resources.

Project duration is estimated to four years including one year of Defects Liability Period (DLP).

The estimated total Project cost underlying the Project appraisal is approximately EUR 20 million (excluding VAT and other charges during construction). The Loan amount is EUR 18 million. The counterpart contribution provided by the Republic of Kenya amounts to 10 % of the Project cost (approximately EUR 2 million). Where works, goods and services are financed from both the KfW loan and Republic of Kenya funds, disbursements will be made on an equal basis.

The following Project activities shall be financed from the Loan:

- Rehabilitation and expansion of the sewer network and construction of new sewer connections in Kericho town including works for connections on private grounds, in particular for domestic low income consumers;
- Rehabilitation and expansion of the sewerage treatment plant in Kericho;
- Establishment of a sludge treatment facility in Litein;
- Rehabilitation and expansion of the secondary and tertiary water supply network including construction of new water connections in Kisii town, Kericho town and selected Kericho urban centres;
- Improvement of Water Supply for Litein;
- Operation & Maintenance Equipment;
- Training of Water Service Providers and WASH-Campaign;
- Consulting Services.

The Implementation Consultant shall support the PEA in:

- elaborating all detailed designs and corresponding cost estimates for the Project activities; including a feasibility study confirming feasibility (technical, environmental, social and financial feasibility considering O&M costs related to sludge collection, transport, treatment and disposal) of the construction and operation of the sludge treatment facility in Litein;
- designing and assisting in the implementation of the Tender Process in compliance with (i) the Procurement Guidelines and (ii) the environmental and social standards in a consistent manner with the World Bank Environmental and Social Standards, the World Bank Group General and sector-specific EHS Guidelines as well as the Kenyan procurement legislation;
- the supervision of construction activities and supplies, taking-over procedures;
- project monitoring including time schedule, assistance in cost controlling and financial reporting; checking and certification of bills, invoices and withdrawal applications;
- preparation of reports;
- communication and visibility activities.

The Implementation Consultant will also support the local water service providers Gusii Water and Sanitation Company Ltd. (GWASCO) and Kericho Water and Sanitation Company Ltd. (KEWASCO) respectively in:

- capacity building towards the sustainable operation and maintenance of the financed infrastructure;
- developing a sewer connection strategy (including analysis of consumer groups; developing of a targeted approach; supporting the water service providers in data collection; and facilitation of activities, e.g. stakeholder engagement and sensitization campaigns).

In order to show the competencies of the bidding consulting companies shall present suitable references in the following fields:

- Design and supervision of rehabilitation and expansion of sewer networks and construction of new sewer connections

- Design and supervision of rehabilitation and expansion of the sewerage treatment plants
- Design and implementation of faecal sludge treatment plants including construction supervision
- Rehabilitation and expansion of the secondary and tertiary water supply networks
- Capacity development measures for water and sanitation utilities
- Implementation of investment projects with a volume above €15 million including procurement support and construction supervision
- Projects showing knowledge of KFW Development Bank implementation procedures

For the provision of services the following staff expertise is required, which shall be presented in the Application:

1. Team Leader with experience in Project management and leadership of teams of large scale investment projects with a volume of more than 15. Mio EUR
2. Hydraulics Engineer/Water Supply Engineers
3. Wastewater/Sludge Treatment Expert/Sanitation Engineers
4. Resident Engineers with experience in construction supervision
5. Procurement Experts
6. Electro-mechanical Experts
7. Structural Engineers
8. Institutional/Operation and Maintenance Experts

In the field of environmental and social management and health and safety the following staff expertise is required:

9. Environmental Experts for ESIA, ESPM, ESHS
10. Experts in preparation of Resettlement Action Plans, preferably with background in social science

Bidders are requested to present 4 staff in each requested field showing international and national professional expertise (2 international and 2 national experts).

### **2.2.1 DOCUMENTS COMPRISING THE APPLICATION**

Form 5: Specific experience of the Consultant (as a firm) relevant to the Assignment (References):

The Applicant shall prepare max. 10 project references of projects, which ended not earlier than 1.1.2013 (see general provisions 2.2.1(d)(VI) project references) In case of joint venture each member shall present at least 2 references. Sub-consultants may present up to 2 references.

For the submission of the application it is recommended to use the structure shown in annex 1.



#### 2.4.1 SIGNING OF THE APPLICATION AND THE NUMBER OF COPIES

Application documents shall be submitted as outlined in 3.2.1.

The soft copy must be a PDF file which is suitable for character recognition and which is searchable and unalterable (do not submit a scanned file).

#### 2.5.1 REGISTRATION FOR THE PURPOSE OF CLARIFICATION OF THE PREQUALIFICATION DOCUMENT

Clarifications may be requested not later than 14 days prior to the submission deadline as per SP 3.2.1.

For purposes of communication during the preparation of EOI, a Firm/Joint Venture /Association intending to submit EOI shall be required to pre-register its intent by an-email communication to the Employer through the addresses indicated below.

The e-mail shall clearly indicate the name of the firm (or one of the firms for JV or Association), name, position, e-mail and telephone contact of its contact persons. In case of a joint venture or association, at least one of the firms is required to pre-register the interest of the JV or Association.

Latest information about addenda or clarifications will be sent to pre registered Firms/Joint Ventures or Associations 8 days prior to submission of the EOI.

Addenda/ clarifications will also be posted in the LVSWWDA website [www.lvswwda.go.ke](http://www.lvswwda.go.ke) and the Government Tender Portal [www.tenders.go.ke](http://www.tenders.go.ke) immediately they become available

The contact information for requesting clarifications is:

The Chief Executive Officer  
Lake Victoria South Water Works Development Agency  
P.O. Box 3325-40100  
**Kisumu, Kenya**

Email: [procurement@lvswwda.go.ke](mailto:procurement@lvswwda.go.ke),

copy to:

Email: [mmayi@lvswwda.go.ke](mailto:mmayi@lvswwda.go.ke)

and the Tender Agent Mr. Harald Heidtmann

Email: [tender.heidtmann@posteo.de](mailto:tender.heidtmann@posteo.de)

### 3.2.1 DEADLINE FOR SUBMISSION OF APPLICATIONS

- 1) **Two complete sets of EOI documents shall be submitted in parallel to the Employers Address in Kenya and Tender Agent address in Germany as specified here below.**

The original Application of one (1) hard copy and one (1) soft copy of the Application shall be submitted at the following address:

Chief Executive Officer  
Lake Victoria South Water Works Development Agency  
P.O. Box 3325 - 40100  
**Kisumu, Kenya**

The following e-mail address and telephone numbers are provided for courier purposes only:

Email: [procurement@lvswwda.go.ke](mailto:procurement@lvswwda.go.ke)

Phone: +254 (0) 57 202 5128

The original Application shall be submitted at the above address and registered at the Supply Chain Office, at the Ground Floor and be deposited in the tender box situated in the First floor, Lavictors House, LVSWWDA off Ring road, Milimani Kisumu on or before **1<sup>st</sup> September 2023 , 14.00** Hours East African Time.

**Note that the above address will be the controlling address and time for submission of bid documents.**

- 2) One (1) hard copy and one (1) soft copy of the Application shall be submitted to the tender agent at the following address:

Harald Heidtmann  
Apartment 301  
Freiland 10  
24937 Flensburg  
Germany

The following e-mail address and telephone numbers are provided for courier purposes only:

Tel.: +49 1579 2305 134

Email: [tender.heidtmann@posteo.de](mailto:tender.heidtmann@posteo.de)

The Application Documents shall be submitted at the above address at or before the date as indicated under 1 above which will be the deadline for submission of documents.

All soft copies shall be presented as unalterable and printable PDF file on a CD / DVD disk or USB flash drive, marked accordingly.

For purposes of communication during the preparation of EOI, a Firm/Joint Venture /Association intending to submit EOI shall be required to pre-register its intent by an-email communication to the Employer through the addresses indicated:

e-mail to: [procurement@lvswwda.go.ke](mailto:procurement@lvswwda.go.ke)

copy to: [mmayi@lvswwda.go.ke](mailto:mmayi@lvswwda.go.ke)

tender.heidtmann@posteo.de

#### 4. EVALUATION

4.2.1 The Applicant shall demonstrate the following financial capabilities:

Criterion	Requirement	Single Entity	Joint Venture			Submission Requirements
			All Parties Combined	Each Party	One Party	
Turn-over annually	Average turnover for the past 3 years (2020-2022): EUR 7,000,000	Must meet requirement	EUR 7,000,000	JV Partners: Must meet at least 1.0 mio.EUR	JV Leader: Must meet at least 6.0 mio.EUR	GP 2.2.1. d) V / Form 4
Current Ratio (asset / liabilities)	Current ratio > 1 (minimum current ratio – calculated as the average of the last three years, 2020-2022)	Must meet req.	Must meet each party	Must meet each party	Must meet each party	GP 2.2.1. d) V / Form 4

Only the JV-partners have to present the above requested documents but not the Sub-Consultants.

4.2.2 Responsive Application as per GP 4.2.1 will be evaluated in accordance with the following criteria and scoring system<sup>2</sup>.

Qualification criteria	Maximum Score
<b>1. Applicant's Experience</b>	<b>55</b>
<b>1.1 Experience in implementing similar projects</b> <ul style="list-style-type: none"> <li>• Design and supervision of rehabilitation and expansion of sewer networks and construction of new sewer connections (6 scores)</li> <li>• Design and supervision of rehabilitation and expansion of the sewerage treatment plants (6 scores)</li> </ul>	39

<sup>2</sup> In very specific cases a deviation from the qualification criteria and the scoring range might be justified subject to KfW's prior approval.

<ul style="list-style-type: none"> <li>• Design and implementation of faecal sludge treatment plants including construction supervision (6 scores)</li> <li>• Rehabilitation and expansion of the secondary and tertiary water supply networks (6 scores)</li> <li>• Capacity development measures for water and sanitation utilities (4 scores)</li> <li>• Implementation of investment projects with a volume above €15 million including procurement support and construction supervision (8 scores)</li> <li>• Projects showing knowledge of KfW Development Bank implementation procedures (3 scores)</li> </ul> <p>This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d) (VI).</p>	
<p>1.2 Experience with ESIA/ESHS studies.</p> <p>Experience shall be considered if it includes the following elements: (1) develop proposals in compliance with the environmental and social regulations and safeguards including a gap analysis between international and national safeguards, (2) preparation of ESHS plans, and (3) develop a framework for the Contractor's Environmental and Social Management Plan guided by the World Bank ESS (ESMP) and other plans such as Waste Management Plans and Environment, Health &amp; Safety Plans, Grievance Redress Mechanism, Labour Influx Management Plan, Child Protection Strategy, Stakeholder Engagement and Communication Strategy, among others</p> <p>This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d) (VI).</p>	6
<p>1.3 <i>Experience with working-conditions in the developing and transition countries.</i> This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d) (VI).</p>	5
<p>1.4 <i>Experience with working-conditions of the lead consultant in Kenya.</i> This sub-criterion is evaluated on the basis of the project references submitted in accordance with GP 2.2.1(d) (VI).</p>	5
<p><b>2. Applicant's Capabilities</b></p>	<b>40</b>
<p>2.1 <i>Qualitative assessment of the Applicant's available expertise:</i></p> <p>Assessment of available technical expertise specific to this project. The quality of the expertise appropriate for the project team profiles described in GP 1.6.1 (considering project activities and requested consultancy services as described), to which the Applicant has access. This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d) (VII), (see FORM 6.1).</p> <p>(Each field of expertise 3 scores)</p>	24

<p>2.2 <i>Qualitative assessment of Applicants available expertise regarding ESIA/ESHS requirements:</i></p> <p>Assessment of available technical expertise specific to this project. The quality of the expertise appropriate for the ESIA/ESHS requirements, to which the Applicant has access. This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d) (VII), (see FORM 6.1). (Each field of expertise 3 scores)</p>	6
<p>2.3 <i>Quantitative assessment of the Applicant's human resource capacity</i></p> <p>The extent to which the Applicant has access to personnel appropriate for the tasks described in GP 1.6.1. This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d) (VII), (see FORM 6.2).</p>	8.5
<p>2.4 <i>Quantitative assessment of the Applicant's ESIA/ESHS-experts</i></p> <p>The extent to which the Applicant has access to personnel appropriate for the tasks regarding ESIA/ESHS. This sub-criterion is evaluated on the basis of the list submitted in accordance with GP 2.2.1(d) (VII).</p> <p>The Consultant shall provide a socio-economic and environmental specialist who shall be adequately qualified and experienced in the respective fields and should be registered with the relevant professional bodies in Kenya.</p> <p>Master's in either Environmental Sciences, Environmental and Natural Resource Management, Social Studies, or related field At least 10 years' demonstrated experience in</p> <ol style="list-style-type: none"> <li>1. Carrying out Environmental and Social Impact assessments and preparing mitigation plans, in accordance with donor and national safeguards policies</li> <li>2. Carrying out social and economic studies (including Resettlement Action Plans)</li> <li>3. The water and sanitation sectors in Kenya</li> </ol>	1.5
<p><b>3. Is the Application concise and related to the project?</b></p>	<b>5</b>
<p><b>Overall Total Score</b></p>	<b>100</b>
<p>Applications below the minimum ESHS score of 50% concerning every item 1.2, 2.2 and 2.4 will be rejected.</p>	

4.2.5 After having completed the evaluation of the prequalification documents, a short-list consisting of the five (5) highest ranked Consultants or less scoring a minimum of 70 points will be established

# SECTION III – APPLICATION FORMS

## Form 1– Declaration of Undertaking

### Declaration of Undertaking

Reference name of the Application/Offer/Contract: ("Contract")<sup>1</sup>

To: ("Project Executing Agency")

1. We recognise and accept that KfW only finances projects of the Project Executing Agency ("PEA")<sup>2</sup> subject to its own conditions which are set out in the Funding Agreement it has entered into with the PEA. As a matter of consequence, no legal relationship exists between KfW and our company, our Joint Venture or our Subcontractors under the Contract. The PEA retains exclusive responsibility for the preparation and implementation of the Tender Process and the performance of the Contract.
2. We hereby certify that neither we nor any of our board members or legal representatives nor any other member of our Joint Venture including Subcontractors under the Contract are in any of the following situations:
  - 2.1) being bankrupt, wound up or ceasing our activities, having our activities administered by courts, having entered into receivership, reorganisation or being in any analogous situation;
  - 2.2) convicted by a final judgement or a final administrative decision or subject to financial sanctions by the United Nations, the European Union or Germany for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;
  - 2.3) having been convicted by a final court decision or a final administrative decision by a court, the European Union, national authorities in the Partner Country or in Germany for Sanctionable Practice in connection with a Tender Process or the performance of a Contract or for an irregularity affecting the EU's financial interests (*in the event of such a conviction, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction*);
  - 2.4) having been subject, within the past five years to a contract termination fully settled against us for significant or persistent failure to comply with our contractual obligations during such Contract performance, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;
  - 2.5) not having fulfilled the applicable fiscal obligations with regard to the payment of taxes at the respective tax residence and in the country of origin of the PEA (contractors based in Annex 1 countries (<https://www.consilium.europa.eu/de/policies/eu-list-of-non-cooperative-jurisdictions/>) must submit a fully completed and legally countersigned declaration of tax conformity (Appendix1 to the Declaration of Undertaking) in addition to the Declaration of Undertaking at the time of award of the contract/contract review. This shall become an integral part of the contract. Failure to submit may result in exclusion from the awarding procedure. For contractors based in countries not listed as Annex I countries, only the Declaration of Undertaking must be submitted, and not the declaration of tax conformity);

<sup>1</sup> Capitalised terms used, but not otherwise defined in this Declaration of Undertaking have the meaning given to such term in KfW's "Guidelines for the Procurement of Consulting Services, Works, Goods, Plant and Non-Consulting Services in Financial Cooperation with Partner Countries".

<sup>2</sup> The PEA means the purchaser, the employer, the client, as the case may be, for the procurement of Consulting Services, Works, Plant, Goods or Non-Consulting Services.

- 2.6) being subject to an exclusion decision of the World Bank or any other multilateral development bank and being listed on the website <http://www.worldbank.org/debarr> or respectively on the relevant list of any other multilateral development bank (*in the event of such exclusion, the Applicant or Bidder shall attach to this Declaration of Undertaking supporting information showing that this exclusion is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction*); or
- 2.7) being guilty of misrepresentation in supplying the information required as condition to participation in this Tender Procedure.
3. We hereby certify that neither we, nor any of the members of our Joint Venture or any of our Subcontractors under the Contract are in any of the following situations of conflict of interest:
- 3.1) being an affiliate controlled by the PEA or a shareholder controlling the PEA, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
- 3.2) having a business or family relationship with a PEA's staff involved in the Tender Process or the supervision of the resulting Contract, unless the stemming conflict of interest has been brought to the attention of KfW and resolved to its satisfaction;
- 3.3) being controlled by or controlling another Applicant or Bidder, or being under common control with another Applicant or Bidder, or receiving from or granting subsidies directly or indirectly to another Applicant or Bidder, having the same legal representative as another Applicant or Bidder, maintaining direct or indirect contacts with another Applicant or Bidder which allows us to have or give access to information contained in the respective Applications or Offers, influencing them or influencing decisions of the PEA;
- 3.4) being engaged in a Consulting Services activity, which, by its nature, may be in conflict with the assignments that we would carry out for the PEA;
- 3.5) in the case of procurement of Works, Plant or Goods:
- i. having prepared or having been associated with a Person who prepared specifications, drawings, calculations and other documentation to be used in the Tender Process of this Contract;
  - ii. having been recruited (or being proposed to be recruited) ourselves or any of our affiliates, to carry out works supervision or inspection for this Contract;
4. If we are a state-owned entity, and compete in a Tender Process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations.
5. We undertake to bring to the attention of the PEA, which will inform KfW, any change in situation with regard to points 2 to 4 here above.
6. In the context of the Tender Process and performance of the corresponding Contract:
- 6.1) neither we nor any of the members of our Joint Venture nor any of our Subcontractors under the Contract have engaged or will engage in any Sanctionable Practice during the Tender Process and in the case of being awarded a Contract will engage in any Sanctionable Practice during the performance of the Contract;
- 6.2) neither we nor any of the members of our Joint Venture or any of our Subcontractors under the Contract shall acquire or supply any equipment nor operate in any sectors under an embargo of the United Nations, the European Union or Germany; and
- 6.3) we commit ourselves to complying with and ensuring that our Subcontractors and major suppliers under the Contract comply with international environmental and labour standards, consistent with laws and regulations applicable in the country of implementation of the Contract and the fundamental conventions of the International

Labour Organisation<sup>1</sup> (ILO) and international environmental treaties. Moreover, we shall implement environmental and social risks mitigation measures when specified in the relevant environmental and social management plans or other similar documents provided by the PEA and, in any case, implement measures to prevent sexual exploitation and abuse and gender based violence.

7. In the case of being awarded a Contract, we, as well as all members of our Joint Venture partners and Subcontractors under the Contract will, (i) upon request, provide information relating to the Tender Process and the performance of the Contract and (ii) permit the PEA and KfW or an auditor appointed by either of them, and in the case of financing by the European Union also to European institutions having competence under European Union law, to inspect the respective accounts, records and documents, to permit on the spot checks and to ensure access to sites and the respective project.
8. In the case of being awarded a Contract, we, as well as all our Joint Venture partners and Subcontractors under the Contract undertake to preserve above mentioned records and documents in accordance with applicable law, but in any case for at least six years from the date of fulfillment or termination of the Contract. Our financial transactions and financial statements shall be subject to auditing procedures in accordance with applicable law. Furthermore, we accept that our data (including personal data) generated in connection with the preparation and implementation of the Tender Process and the performance of the Contract are stored and processed according to the applicable law by the PEA and KfW.

Name: \_\_\_\_\_ In the capacity of: \_\_\_\_\_

Duly empowered to sign in the name and on behalf of<sup>2</sup>: \_\_\_\_\_

Signature:

Dated:

<sup>1</sup> In case ILO conventions have not been fully ratified or implemented in the Employer's country the Applicant/Bidder/Contractor shall, to the satisfaction of the Employer and KfW, propose and implement appropriate measures in the spirit of the said ILO conventions with respect to a) workers grievances on working conditions and terms of employment, b) child labour, c) forced labour, d) worker's organisations and e) non-discrimination.

<sup>2</sup> In the case of a JV, insert the name of the JV. The person who will sign the application, bid or proposal on behalf of the Applicant/Bidder shall attach a power of attorney from the Applicant/Bidder.



## Form 2 – Sample Declaration on Conflict of Interest and of Submitting a Proposal

### Declaration on Conflict of Interest and of Submitting a Proposal

Project (name and country):

Tender Ref./ Project ID:

We *[insert the name of the Applicant]* hereby declare that we are an independent Consultant and we, nor any member of the JV in which we are member, nor any Sub-Consultant listed below have a conflict of interest as per GP 1.5.

We hereby declare that in the event of being prequalified by the Employer, we shall submit a proposal, subject to the details of the tender documents.

*[Insert the following text if the Application includes one or several Sub-Consultants, whose qualifications should be considered by the Employer in the pre-qualification process:*

“We request that the qualifications of the following Sub-Consultant(s) shall be considered by the Employer in the pre-qualification process,

*[List Sub-Consultants here]*

If short-listed, we undertake to submit a proposal that includes all of the above Sub-Consultants.”]

*[Signature of the authorised representative of the Applicant, designated in accordance with GP 1.4.1]*

**Form 3 – Sample Declaration of Association****Declaration of Association**

Project (name and country):

Tender Ref./ Project ID:

We hereby declare our intent to associate with the following firms for the purpose of forming a Joint Venture:

*[Insert the names of the other JV members here]*

*[Insert the name of the Lead Consultant]* shall be the Lead Consultant.

We hereby confirm that we have not associated with any other firms for the purposes of this assignment and that we will not submit an application separately from the firms listed above. Further, we understand that if a Consultant appears as an associate in more than one Application, all Applications in which the Consultant appears shall be disqualified.

In the event that this JV is awarded a Contract, we shall perform the Services in the composition and in the form of cooperation described above.

*[Signature of the authorised representative of the Applicant, designated in accordance with GP 1.4.1]*

### Form 4 – Financial Capacity Statement

*[This table is provided for illustrative purposes only. Adjust the table to reflect the financial capability requirements set out in accordance with GP 4.2.1]*

Financial data	2 years before last year <sup>i</sup> <specify> EUR	Year before last year <sup>5</sup> <specify> EUR	Last year <sup>5</sup> <specify> EUR	Average <sup>ii</sup> EUR
Annual turnover <sup>iii</sup>				
Current assets <sup>iv</sup>				
Current liabilities <sup>v</sup>				
Current ratio (current assets/current liabilities)	Not applicable	Not applicable	Not applicable	

If annual accounts are not yet available for the last year, please provide latest estimates or provisional figures. Figures in all columns must be calculated on the same basis to allow a direct, year-on-year comparison to be made (or, if the basis has changed, please provide an explanation of the change as a footnote to the table).

Natural persons without balance sheet shall provide appropriate information. **N/A**

<sup>i</sup> Last year = last accounting year for which the entity's accounts have been closed.

<sup>ii</sup> Amounts entered in the 'Average' column must be the mathematical average of the amounts entered in the three preceding columns of the same row.

<sup>iii</sup> The gross inflow of economic benefits (cash, receivables, other assets) generated from the ordinary operating activities of the enterprise (such as sales of goods, sales of Services, interest, royalties, and dividends) during the year.

<sup>iv</sup> A balance sheet account, that represents the value of all assets that are reasonably expected to be converted into cash within one year in the normal course of business. Current assets include cash, accounts receivable, inventory, marketable securities, prepaid expenses and other liquid assets that can be readily converted to cash.

<sup>v</sup> A company's debts or obligations that are due within one year. Current liabilities appear on the company's balance sheet and include short term debt, accounts payable, accrued liabilities and other debts.

### Form 5 – Project Experience

One project reference shall **not exceed one page**.

Ref no:	Project title							
Name of legal entity (declaring Consultant)	Project Country	Overall project value incl. Investment measures and Cons.Services (EUR)*	Proportion carried out by the legal entity (%)*	Provided staff input (person months)	Name of client	Origin of funding	Dates (start/end)	Name of JV members, if any
...	...	...	...	...	...	...	...	...
Detailed description of project (background, objectives and main activities)						Services provided by the legal entity for the project		
...						...		

\* If the overall project value refers to overall project cost including Consulting Services please indicate the consulting fee separately. The portion carried out by the legal entity refers to that figure.

## Form 6 – List of Available Expertise and Human Resource Capacity

### 1. Access to Expertise Required for the Assignment

Complete the list below to demonstrate the extent to which you have access (internally / externally) to expertise required for this assignment / for the project team profiles described in GP / SP 1.6.1. Include home-office project management / administration and back-stopping personnel. Include freelance personnel and Sub-Consultant staff, if applicable (see Declaration in Annexe I). Do not attach CVs as no detailed evaluation of candidates for the project team shall be carried out at the prequalification stage. The Applicant shall not present a potential project team. The focus is on access and availability to project relevant expertise. It is understood that prequalified Applicants are not required to include staff named below into the proposal.

**Please present two experts with international and two with national expertise for each requested profile in SP 1.6.1, who will be assessed.**

Description of each expert **is limited to 10 lines** in A4-format (portrait).

Name	Project team profile / areas of required expertise as per GP / SP 1.6 <sup>1</sup>	Education/Degree	Years of Professional Experience	Relationship with / Years within the Applicant <sup>2</sup>	Country/Regional Experience	Relevant Project References (Description of project-related experience)	Languages

<sup>1</sup> The project team profiles should be identical to the project team profiles listed in GP / SP 1.6.1. The information provided in the “Education/Degree” and “Relevant Project References) should demonstrate that the expert’s core specialization is appropriate for the respective project profile.

<sup>2</sup> For freelance experts (e.g. with retainer Contracts or formal agreements) indicate “FE” and how long the expert has been associated with the Applicant. For Sub-Consultant staff indicate “Sub”. Staff from affiliated firms of the Applicant shall be considered as Sub-Consultant staff.

**Form 6 continued****2. Human Resource Capacity**

Complete the list below to demonstrate the permanent staff available in the areas of expertise required in this assignment as described in GP / SP 1.6.1. The focus here is on the Applicants human resource capacity and breadth in relation to the required expert Services.

*[To avoid misunderstanding insert a separate sheet for each JV members here]*

Departments / Divisions in the firm relevant to the project team profile / areas of required expertise as per GP / SP 1.6.1	Staff		Total staff appropriate for the specialisation
	Permanent staff in the Applicants firm	Freelance staff	
Available staff in Water Supply/Sanitation/Sewage Disposal			
Total staff number of the Applicant			

Please substantiate above statements with an organizational chart(s) of the firm or the relevant parts of the firm.

## Section IV – Eligibility Criteria

### Eligibility in KfW-Financed Procurement

1. Consulting Services, Works, Goods, Plant and Non-Consulting Services are eligible for KfW financing regardless of the country of origin of the Contractors (including Subcontractors and suppliers for the execution of the Contract), except where an international embargo or sanction by the United Nations, the European Union or the German Government applies.
2. Applicants/Bidders (including all members of a Joint Venture and proposed or engaged Subcontractors) shall not be awarded a KfW-financed Contract if, on the date of submission of their Application/Offer or on the intended date of Award of a Contract, they:
  - 2.1 are bankrupt or being wound up or ceasing their activities, are having their activities administered by courts, have entered into receivership, or are in any analogous situation;
  - 2.2 have been
    - (a) convicted by a final judgement or a final administrative decision or subject to financial sanctions by the United Nations, the European Union and/or the German Government for involvement in a criminal organisation, money laundering, terrorist-related offences, child labour or trafficking in human beings; this criterion of exclusion is also applicable to legal Persons, whose majority of shares are held or factually controlled by natural or legal Persons which themselves are subject to such convictions or sanctions;
    - (b) convicted by a final court decision or a final administrative decision by a court, the European Union or national authorities in the Partner Country or in Germany for Sanctionable Practice during any Tender Process or the performance of a Contract or for an irregularity affecting the EU's financial interests, unless they provide supporting information together with their Declaration of Undertaking (Form available as Appendix to the Application/Offer which shows that this conviction is not relevant in the context of this Contract and that adequate compliance measures have been taken in reaction;
  - 2.3 have been subject within the past five years to a Contract termination fully settled against them for significant or persistent failure to comply with their contractual obligations during Contract performance, unless this termination was challenged and the dispute resolution is still pending or has not confirmed a full settlement against them;
  - 2.4 have not fulfilled applicable fiscal obligations regarding payments of taxes either in the country where they are constituted or the PEA's country;
  - 2.5 are subject to an exclusion decision of the World Bank or any other multilateral development bank and are listed in the respective table with debarred and cross-debarred firms and individual available on the World Bank's website or any other multilateral development bank unless they provide supporting information together with their Declaration of Undertaking which shows that this exclusion is not relevant in the context of this Contract or
  - 2.6 have given misrepresentation in documentation requested by the PEA as part of the Tender Process of the relevant Contract.
3. State-owned entities may compete only if they can establish that they (i) are legally and financially autonomous, and (ii) operate under commercial law. To be eligible, a state-owned

entity shall establish to KfW's satisfaction, through all relevant documents, including its charter and other information KfW may request, that it: (i) is a legal entity separate from their state; (ii) does not currently receive substantial subsidies or budget support; (iii) operates like any commercial enterprise, and, inter alia, is not obliged to pass on its surplus to their state, can acquire rights and liabilities, borrow funds and be liable for repayment of its debts, and can be declared bankrupt.



## Section V – KfW Policy – Sanctionable Practice – Social and Environmental Responsibility

### 1) Sanctionable Practice

The PEA and the Contractors (including all members of a Joint Venture and proposed or engaged Subcontractors) must observe the highest standard of ethics during the Tender Process and performance of the Contract.

By signing the Declaration of Undertaking the Contractors declare that (i) they did not and will not engage in any Sanctionable Practice likely to influence the Tender Process and the corresponding Award of Contract to the PEA's detriment, and that (ii) in case of being awarded a Contract they will not engage in any Sanctionable Practice.

Moreover, KfW requires to include in the Contracts a provision pursuant to which Contractors must permit KfW and in case of financing by the European Union also to European institutions having competence under European law to inspect the respective accounts, records and documents relating to the Tender Process and the performance of the Contract and to have them audited by auditors appointed by KfW.

KfW reserves the right to take any action it deems appropriate to check that these ethics rules are observed and reserves, in particular, the rights to:

- (a) reject an Offer for Award of Contract if during the Tender Process the Bidder who is recommended for the Award of Contract has engaged in Sanctionable Practice, directly or by means of an agent in view of being awarded the Contract;
- (b) declare misprocurement and exercise its rights on the ground of the Funding Agreement with the PEA relating to suspension of disbursements, early repayment and termination if, at any time, the PEA, Contractors or their legal representatives or Subcontractors have engaged in Sanctionable Practice during the Tender Process or performance of the Contract without the PEA having taken appropriate action in due time satisfactory to KfW to remedy the situation, including by failing to inform KfW at the time they knew of such practices.

KfW defines, for the purposes of this provision, the terms set forth below as follows:

<b>Coercive Practice</b>	The impairing or harming, or threatening to impair or harm, directly or indirectly, any person or the property of the person with a view to influencing improperly the actions of a person.
<b>Collusive Practice</b>	An arrangement between two or more persons designed to achieve an improper purpose, including influencing improperly the actions of another person.
<b>Corrupt Practice</b>	The promising, offering, giving, making, insisting on, receiving, accepting or soliciting, directly or indirectly, of any illegal payment or undue advantage of any nature, to or by any person, with the intention of influencing the actions of any person or causing any person to refrain from any action.
<b>Fraudulent Practice</b>	Any action or omission, including misrepresentation that knowingly or recklessly misleads, or attempts to mislead, a person to obtain a financial benefit or to avoid an obligation.

**Obstructive Practice** Means (i) deliberately destroying, falsifying, altering or concealing evidence material to the investigation or the making of false statements to investigators, in order to materially impede an official investigation into allegations of a Corrupt Practice, Fraudulent Practice, Coercive Practice or Collusive Practice, or threatening, harassing or intimidating any Person to prevent them from disclosing their knowledge of matters relevant to the investigation or from pursuing the investigation, or (ii) any act intended to materially impede the exercise of KfW's access to contractually required information in connection with an official investigation into allegations of a Corrupt Practice, Fraudulent Practice, Coercive Practice or Collusive Practice.

**Sanctionable Practice** Any Coercive Practice, Collusive Practice, Corrupt Practice, Fraudulent Practice or Obstructive Practice (as such terms are defined herein) which is unlawful under the Financing Agreement.

## 2) **Social and Environmental Responsibility**

Projects financed in whole or partly in the framework of Financial Cooperation have to ensure compliance with international Environmental, Social, Health and Safety (ESHS) standards (including issues of sexual exploitation and abuse and gender based violence). Contractors in KfW-financed projects shall consequently undertake in the respective Contracts to:

- (a) comply with and ensure that all their Subcontractors and major suppliers, i.e. for major supply items comply with international environmental and labour standards, consistent with Applicable Law and regulations in the country of implementation of the respective Contract and the fundamental conventions of the International Labour Organisation<sup>9</sup> (ILO) and international environmental treaties and;
- (b) implement any environmental and social risks mitigation measures, as identified in the environmental and social impact assessment (ESIA) and further detailed in the environmental and social management plan (ESMP) as far as these measures are relevant to the Contract and implement measures for the prevention of sexual exploitation and abuse and gender-based violence.

## Annex 1

### Recommended structure for the prequalification bid

It is recommended to submit documents in the following sequence. Please note that this document only provides an overview. Each applicant is required to follow the instructions of the general provisions and the special provisions, which in all cases will be decisive for the evaluation of proposals.

Application letter

The application letter shall indicate the applicant's name, address, telephone, fax and email. If the applicant is a joint-venture (JV), the Application Letter shall also describe the form of association and list the JV members.

For reference please see section 2.2.1 (a) GP

Power of attorney

A power of attorney authorizing the representative of the applicant, designated in accordance with GP 1.4.1 to submit the application on behalf of the applicant.

For reference please see Section 2.2.1 (b) GP

Presentation of the applicant

Max 10 pages.

The presentation shall describe the applicant's type of entity, ownership structure and organisation chart, as well as its main business areas as they apply to the project. If the applicant is a JV, the presentation shall provide this information about each JV member as well as a description of the intended form of collaboration of the members within the JV.

The applicant may also describe in this section why the applicant or the JV has the required core competencies to conduct services.

For reference please see Section 2.2.1 (c) GP

Declaration of association (Form 3)

Signed declaration of association of **all JV members** meeting the requirements of GP 1.4.1 ff. (Form 3)

A declaration of association is not required for subcontracted consulting companies, which work on a contractual basis with the lead consultant (GP 1.4.1).

Declaration on conflict of interest in submitting a proposal (Form 2)

Please note the form shall name the intended sub-consultants, which shall perform services for the Applicant and which shall be considered for evaluation.

Declaration of undertaking (Form 1)

Signed declaration of undertaking by the Lead Consultant (Form 1).

Financial capacity statements (Form 4)

Form 4 is to be filled by **all JV members**. For required capacities please see 4.2.1 of the special conditions:

No information of sub-consultants is required

Proof of financial capacity

Certified balance sheets, and profit and loss statements from **all JV members**. For required years please see 4.2.1 of the special conditions.

For reference please see section GP 2.2.1.d(v).

Documents shall be approved by a reputable external auditor. Copies are sufficient.

Project references (Form 5)

Projects references showing the required expertise according to the evaluation grid. For the minimum and maximum number of references please see section 2.2.1 of the special conditions.

Available expertise (Form 6-1)

The filled list shall show expertise according to the evaluation grid

Available ESIA/ESHS expertise (Form 6-1)

The filled list shall show ESIA / ESHS expertise according to evaluation grid

Human resources capacity (Form 6-2)

This form shall describe the general capacity to provide the required expertise for the conduction of services in the requested fields

ESIA/ESHS human resources capacity (Form 6-2)

This form shall describe the capacity to provide the required expertise in the field of ESIA/ESHS for the conduction of services