**REQUEST FOR PROPOSAL (TECHNICAL ASSISTANCE)**

<table>
<thead>
<tr>
<th>Technical Assistance Services Required:</th>
<th>Technical Assistance for Water Sanitation Service Providers (WSSPs) in Western Kenya</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Procurement:</td>
<td>Local Purchase Order or Subcontract</td>
</tr>
<tr>
<td>Type of Contract:</td>
<td>Firm Fixed Price</td>
</tr>
<tr>
<td>Term of Contract:</td>
<td>5 Months</td>
</tr>
<tr>
<td>Contract Funding:</td>
<td>USAID Kenya and East Africa</td>
</tr>
<tr>
<td>This Procurement supports:</td>
<td>USAID Western Kenya Sanitation Kenya</td>
</tr>
<tr>
<td>Submit Proposal to:</td>
<td><a href="mailto:bkarumba@wksproject.org">bkarumba@wksproject.org</a>; <a href="mailto:komeri@wksproject.org">komeri@wksproject.org</a></td>
</tr>
<tr>
<td>Date of Issue of RFP:</td>
<td>26th May 2023</td>
</tr>
<tr>
<td>Date Questions from Applicants Due:</td>
<td>8th June 2023</td>
</tr>
<tr>
<td>Virtual Bidders Conference (via Zoom)</td>
<td>Friday 9th June 2023 at 11.00 AM EA Time.</td>
</tr>
<tr>
<td>Responses will be posted</td>
<td>12th June 2023; RTI website <a href="http://www.rti.org.rfp">www.rti.org/rti</a></td>
</tr>
<tr>
<td>Date Proposal Due:</td>
<td>16th June 2023 before 23.59Hrs EA Time</td>
</tr>
<tr>
<td>Approximate Date Subcontract or Purchase Order Issued to Successful Bidder(s):</td>
<td>1st July 2023</td>
</tr>
</tbody>
</table>

**Method of Submittal:**

Email bkarumba@wksproject.org and copy to komeri@wksproject.org

Respond via e-mail with attached document in MS Word / pdf format.

The Bidder/Contractor agrees to hold the prices in its offer firm for 90 days from the date specified for the receipt of offers, unless another time is specified in the addendum of the RFP.

**Solicitation Number:** WKSP 2023/001

**Attachments to RFP:**

1. Attachment “A” – Commodity Specifications
2. Attachment “B” – Instructions to Bidders/Sellers
3. All PO Terms and Conditions are listed on our website at: [https://www.rti.org/sites/default/files/rti-purchase-order-terms-and-conditions-v1.16.pdf](https://www.rti.org/sites/default/files/rti-purchase-order-terms-and-conditions-v1.16.pdf), [http://www.rti.org/files/PO_FAR_Clauses.pdf](http://www.rti.org/files/PO_FAR_Clauses.pdf) or for commercial items: [http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf](http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf) (hereinafter the “Terms”). Contractor’s delivery of products, performance of services, or issuance of invoices in connection with this purchase order establishes Contractor’s agreement to the Terms. The Terms may only be modified in writing signed by both parties.

All bidders/sellers are responsible to carefully review each attachment and follow any instructions that may be relevant to this procurement.

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Attachment A
Commodity Specifications or Statement of Work

I. Background:

The USAID Western Kenya Sanitation Project (USAID WSKP) is a five-year project that aims to create a financially sustainable, transformative, replicable, and locally owned sanitation marketplace in eight target counties of western Kenya—Bungoma, Busia, Kakamega, Siaya, Kisumu, Homabay, Migori, and Kisii.

The project’s overall goal is a financially sustainable, transformative, replicable, and locally owned sanitation marketplace in the target counties of western Kenya. Ultimately, customers must be willing and able to pay for the products and services with the main aim to eliminate the need for subsidies or donor support.

The Project’s objectives to achieve this goal are:

i) Increased access to and uptake of market-based improved sanitation and FSM products and services

ii) Increased access to and uptake of market based improved MHM products and services at the household level, and,

iii) Strengthened policy and regulatory environments and increased capacity of County government officials to effect lasting change in sanitation management.

II. Description of Activity/Service:

The water sector has undergone several reforms, the latest being the enactment and operationalization of the Water Act 2016. The new law aligned national water management and water services provision with the requirements of the Constitution of Kenya 2010 particularly on the clauses devolving water and sanitation services to the county governments. Service provision is fully devolved to the Counties that remain the owners of Water Service Providers (WSSPs). USAID WKSP seeks the services of a consultant to provide technical assistance (TA) in the areas of Governance, Operations and Maintenance of the county government owned WSSPs including but not limited to conducting comprehensive Capacity Assessments in the areas of Governance, Administration and Human resources, Financial Management, Management and Procurement, Information Technology, Program Management and development among others. The assessment will factor in some of the areas already suggested to WKSP by the various WSSPs including but not limited to strategic plans reviews and development, Policy reviews and development, designing of strategies on demand creation for sewer connectivity, Monitoring Evaluation and reporting systems, Technological advancement and innovations, Marketing and customer satisfaction processes among others. The activity is aimed at improving functionality and sustainability of the WSSPs.

The Key Tasks

i) Undertake a detailed institutional, policy and regulatory environment assessment and support the development of pro-poor policies and strategies based on WSSPs’ specific needs.

ii) Engagement with WSSPs Management and staff through desk top reviews to assess current staff capacity gaps and challenges.

iii) Prioritize key WSSP needs and develop joint capacity building plans for each WSSP with tools and materials to address existing gaps.

iv) Roll out of targeted capacity-building activities employing various approaches including but not limited to mentorship, coaching, and training among others.

v) Support the WSSPs to develop and test demand-creation strategies for adoption of improved sanitation technologies and sewer connectivity.
vi) Review existing monitoring frameworks to identify existing gaps and support the design and deployment of robust sanitation Monitoring, Evaluation and Reporting Systems for each WSSP.

vii) Review WSSP’s corporate strategies that align to county Water and Sanitation ambitions and plans as prioritized in the County Integrated Development Plans (CIDPs).

viii) Review existing and potential technology advancement and innovations including but not limited to GIS, ERP, monitoring apps for waste management, condominium sewers, and low-cost WATSAN systems among others.

ix) Identify financing gaps and opportunities that exist in the sector that the WSSPs can tap into to improve investment in sanitation.

**Expected Outputs**

i) Institutional capacity needs assessment reports and capacity building plans for each WSSP to address existing gaps among key staffs and boards (customer care, ERP, board roles and responsibilities, business sustainability services), research, policy dialogue etc.

ii) Pro-poor business strategies and plans developed to address existing policy/strategy gaps (strategic plans, safety plans, sanitation marketing plans, annual business plans etc.)

iii) Demand creation strategies for adoption of improved sanitation technologies including sewer connectivity developed for operationalization by the WSSPs.

iv) Report on reviewed GIS Maps, ERP, monitoring apps for waste management, condominium sewers and low-cost sanitation systems.

v) Monitoring, Evaluation and Reporting Systems aligned to WASREB KPIs are developed and deployed for each WSSP.

vi) Reviewed/revised WSSPs corporate strategies that are aligned to specific County Water and Sanitation ambitions and plans.

vii) Sustainability plans developed to ensure WSSPs are strong and self-sustaining.

viii) Pilot plans/strategies for low-cost, climate-friendly technologies specific to rural, peri-urban, and urban areas for increased affordability, reduced vulnerability and contribute the evidence base for resilient sanitation technologies/approaches.

ix) WSSP’s own Sanitation Investment Plans (SIPs).

To build knowledge and ensure sustainability in WSSPs investments, the Technical Assistance will focus on: Strengthening WSSP’s institutional and regulatory capacity; adoption of integrated approaches in collaboration with WKSP and other stakeholders and introduction of practical resilient and technical solutions to improve WSSP’s systems and performance.

The knowledge built under this TA will be widely disseminated among peers.

### III. Deliverables and Timelines:

<table>
<thead>
<tr>
<th>Task</th>
<th>Deliverable</th>
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</table>
| **WSSP’s Institutional Capacity**  
  i. Complete a desktop review of reports and information regarding the performance of the 8 WSSPs over the past 5 years.  
  ii. Identify strengths and weaknesses of the WSSPs in the context of the mandate under which they operate.  
  iii. Identify and assess factors (binding constraints) that potentially limit the performance of the WSSPs. Among others, the review should consider a) service coverage and customer connectivity, (b) strategic direction and | i. Detailed assessment report for each WSSP indicating among others; factors constraining specific WSSPs from delivering effective, efficient, and sustainable services, identified capacity gaps and weaknesses to be addressed through long-term capacity support including preliminary conclusions etc.  
 ii. Detailed policy and regulatory gaps analysis and necessary pro poor policies and plans to address existing gaps. |
plans, (c) human resources and capacity, (d) service continuity and reliability, (e) quality of services delivered, (f) asset management planning and practices, (h) governance structure, (i) financial management and performance, (k) service affordability, and (l) service provider community perceptions.

iv. Conduct in-field verification of the strengths, weaknesses, and binding constraints of WSSPs through site inspections, interviews with key stakeholders, and review of their performance records and strategic plans.

v. Assess the capacity of WSSPs to provide sustainable and universally accessible sanitation services to their target customers and recommend areas where the respective WSSPs will benefit from capacity strengthening over the short, medium, and longer term.

vi. Conduct institutional analyses and preparation of climate-resilient and carbon-neutral investment plans, ensuring that both plans align closely with the government’s WSS sector strategy and associated investments.

vii. Jointly with WSSPs/WKSP develop prioritized capacity building plans based on the assessment results.

viii. In consultation with WKSP, roll out prioritized capacity building activities and technical assistance.

### Sanitation Operations and Maintenance

i. Hold meetings and discussions with the various WSSPs management on O&M opportunities and constraints.

ii. Hold an O&M practices workshop, to be attended by senior management and operational personnel to (a) review existing O&M practices, (b) identify and evaluate key deficiencies, and (c) outline O&M improvement initiatives and actions for further consideration.

iii. Based on the desk review, and in-field reconnaissance, evaluate the status, constraints, and opportunities relating to WSS system O&M, and through consideration of best practice, devise short-, medium-, and long-term improvement initiatives for stakeholders’ further consideration.

iv. Develop planning-level options for climate-adaptive and sustainable O&M funding for WSSPs.

| iii. Capacity Building plan outlining key areas for each WSSP. |
| iv. Regular update to WKSP on the progress. |
| v. Capacity building modules and reports |
| vi) O&M Report outlining recommended short-, medium-, and long-term actions to improve O&M practices progressively |
| vii) O&M plans including climate resilient and sustainability plans |
Duration of the Assignment

The assignment will run for a period of 5 months (maximum), commencing July 2023. The consultant must be available for regular update meetings with USAID-WKSP.

IV. Special Terms and Conditions:

1. Only the proposals that meet all the requirement above will be considered for award
2. Proposals should be denominated in local currency (Kenya Shillings)
3. Indicate the proposed delivery timelines

V. Application Guidance:

Proposal Requirements. All contractors will submit a proposal which contains offers for all services included in this RFP. All information presented in the proposal will be considered during RTI's evaluation. Failure to submit the information required in this RFP may result in contractor's offer being deemed non-responsive. Contractors are responsible for submitting offers, and any modifications, revisions, or withdrawals, so as to reach RTI's office designated in the RFP by the time and date specified in the RFP. Any offer, modification, revision, or withdrawal of an offer received at the RTI office designated in the RFP after the exact time specified for receipt of offers is “late” and may not be considered at the discretion of the RTI Procurement Officer. The Contractor's proposal shall include the following:

a. The solicitation number:
b. The date and time submitted:
c. The name, address, and telephone number of the seller (bidder) and authorized signature of same:
d. Validity period of Proposal:
e. A technical description of the services being offered in sufficient detail to evaluate compliance with the requirements in the solicitation.
f. Past performance information, when included as an evaluation factor, to include recent and relevant contracts for the same or similar items and other references (including points of contact with telephone numbers, and other relevant information)
g. Special Note: The contractor, by his response to this RFP and accompanying signatures, confirms that the terms and conditions associated with this RFP document have been agreed to and all of its attachments have been carefully read and understood and all related questions answered.

VI. Financial Proposal Guidance:

Financial proposal with a detailed price breakdown taking into consideration the scope and sites of the assignment. The Financial Proposal shall include consultant fees proposes to provide the services (excluding travel expenses, printing etc) and shall be in the Local Currency.

VII. Submission information:

Technical and Financial Proposals (together with documents listed below) shall be submitted in the format provided and completed in English and may not be more than ten (10) pages (excluding cover page, executive summary (1 page max). For a proposal to be considered all documents listed below should be submitted in electronic copy to bkarumba@wksproject.org and komeri@wksproject.org (with RFP number WKSP 2023/001 in email subject line as a reference).
VIII. Other required documentation:

a) Business Registration certificate
b) Business License
c) Copy of KRA PIN certificate
d) Past performance referral letters for previously performed similar work.
e) CVs of key personnel, management and technical, who will oversee the project, and
f) Organizational profile

IX. Eligibility Requirements:

Organizational Capacity and Personnel

The applicant should provide a brief description of the overall organizational (financial and technical) capacity and governance structure to be employed to effectively deliver the assignment. The applicant should further describe the technical capabilities, number, and roles/responsibilities of the bidder’s proposed key personnel. The applicant should name the key technical personnel that will be involved in the activities and provide their signed CVs. Where two organizations team up for synergy, a teaming agreement outlining the unique skills and roles of each firm should be availed, highlighting the lead firm for contractual purposes. The distribution of the level of effort to the key personnel should be presented in the following format.

<table>
<thead>
<tr>
<th>Title of key personnel</th>
<th>Name of proposed individual</th>
<th>Assigned tasks</th>
<th>Level of effort in man-days</th>
</tr>
</thead>
</table>

Past Performance

The applicant should describe their organization’s experience in related work in the WASH sector. The bidder should describe its previous assignments in relation to:

(i) Conducting comprehensive capacity assessments of institutions / organizations and development of the capacity.
(ii) Demonstrable experience/work around WASH innovations and fostering of technologies and solutions.
(iii) Experience working with Counties.
(iv) Relevant experience conducting a needs assessment.

Other desirable competencies include:

(i) Excellent interpersonal skills, including strong professional communication ability, are required.
(ii) Advocacy and networking skills with a broad range of stakeholders including government, private sector, civil society, NGOs and international cooperation.
(iii) Openness to working collaboratively with a diverse team.
(iv) Experience working in a role to build the capacity of others.
X. Evaluation and Award Process:

The RTI Procurement Officer will award an agreement contract resulting from this solicitation to the responsible Seller (bidder) whose offer conforms to the RFP will be most advantageous to RTI, price and other factors considered. The award will be made to the Seller representing the best value to the project and to RTI. For the purpose of this RFP, price, delivery, technical and past performance are of equal importance for the purposes of evaluating and selecting the “best value” awardee. RTI intends to evaluate offers and award an Agreement without discussions with Sellers. Therefore, the Seller’s initial offer should contain the Seller’s best terms from a price and technical standpoint. However, RTI reserves the right to conduct discussions if later determined by the RTI Procurement Officer to be necessary.

The evaluation factors will be comprised of the following criteria:

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) TECHNICAL – Proposal satisfies or exceed the specifications described in RFP Attachment A.</td>
<td>50</td>
</tr>
<tr>
<td>(b) PAST PERFORMANCE - Seller can demonstrate his/her capability and resources to provide the items/services requested in this solicitation in a timely and responsive manner.</td>
<td>20</td>
</tr>
<tr>
<td>(c) DELIVERY. Consultant provides the most advantageous delivery schedule for the proposed activities.</td>
<td>10</td>
</tr>
<tr>
<td>(d) PRICE. Lowest evaluated ceiling cost proposal. Reasonableness, economy and cost efficient.</td>
<td>20</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100</td>
</tr>
</tbody>
</table>

XI. Questions Concerning the Procurement.

All questions in regard to this RFP to be directed to bkarumba@wksproject.org and komeri@wksproject.org. The cut-off date for questions is 8th June 2023.

Bidders Conference
We will be hosting a Bidders conference regarding this opportunity via Zoom on Friday 9th June 2023 at 11.00 AM EA Time. To join in for this meeting please use the meeting link details below:

https://rtiorg.zoom.us/j/97424098985?pwd=U09ma0k0ZmNvVEdOVVqSkdLV1hjUT09

Password: 838339
By signing this attachment, the bidder confirms he has a complete understanding of the specifications and fully intends to deliver the required services and comply with the above listed specifications.

Signature:  
Title:  
Date:
Attachment “B”
Instructions to Bidders/Sellers

1. **Procurement Narrative Description:** The Buyer (RTI) intends to purchase commodities and/or services identified in Attachment A. The Buyer intends to purchase the quantities (for commodities) and/or services (based on deliverables identified in a Statement of Work). The term of the Ordering Agreement shall be from Award Date to the Delivery date of the Offeror unless extended by mutual agreement of the parties. The Buyer intends to award to a single “approved” Contractor based on conformance to the listed specifications, the ability to service this contract, and selling price. We reserve the right to award to more than one bidder. If an Ordering Agreement is established as a result of this RFP, Contractor understands that quantities indicated in the specifications (Attachment A) are an estimate only and RTI does not guarantee the purchase quantity of any item listed.

2. **Procuring Activity:** This procurement will be made by Research Triangle Institute (RTI International), located at Milimani Kisumu, Kenya who has a purchase requirement in support of a project funded by USAID Kenya/East Africa

RTI shall award the initial quantities and/or services and any option quantities (if exercised by RTI) to Seller by a properly executed Purchase Order as set forth within the terms of this properly executed agreement.

3. **Notifications and Deliveries:** Time is of the essence for this procurement. Seller shall deliver the items or services no later than the dates set forth in the contract that will be agreed by both parties as a result of this RFP. The Seller shall immediately contact the Buyer’s Procurement Officer if the specifications, availability, or the delivery schedule(s) changes. Exceptional delays will result in financial penalties being imposed on Seller.

4. **Documentation:** The following documents will be required for payment for each item:
   (a) A detailed invoice listing Purchase Order Number, Bank information with wiring instructions (when applicable)
   (b) All relevant product/service documentation.

5. **Payment Terms:** Refer to RTI purchase order terms and conditions found in https://www.rti.org/sites/default/files/rti-purchase-order-terms-and-conditions-v1.16.pdf, http://www.rti.org/files/PO_FAR_Clauses.pdf, or http://www.rti.org/files/PO_FAR_Clauses_Commercial_Items.pdf. Payment can be made via wire transfer or other acceptable form. Sellers may propose alternative payment terms and they will be considered in the evaluation process.

6. **Alternative Proposals:** Sellers are permitted to offer “alternatives” should they not be able to meet the listed requirements. Any alternative proposals shall still satisfy the minimum requirements set forth in Attachment A Specifications.

7. **Inspection Process:** Each item shall be inspected prior to final acceptance of the item. All significant discrepancies, shortages, and/or faults must be satisfactorily corrected and satisfactorily documented prior to delivery and release of payment.

8. **Award Notice.** A written notice of award or acceptance of an offer, mailed or otherwise furnished to the successful Contractor within the time acceptance specified in the offer, shall result in a binding contract without further action by either party.
9. **Validity of Offer.** This RFP in no way obligates RTI to make an award, nor does it commit RTI to pay any costs incurred by the Seller in the preparation and submission of a proposal or amendments to a proposal. Your proposal shall be considered valid for 90 days after submission.

10. **Representations and Certifications.** Winning Contractors under a US Federal Contract are required to complete and sign as part of your offer RTI Representations and Certifications for values over $10,000.

11. **Anti-Kick Back Act of 1986.** Anti-Kickback Act of 1986 as referenced in FAR 52.203-7 is hereby incorporated into this Request for Proposal as a condition of acceptance. If you have reasonable grounds to believe that a violation, as described in Paragraph (b) of FAR 52.203-7 may have occurred, you should report this suspected violation to the RTI’s Ethics Hotline at 1-877-212-7220 or by sending an e-mail to ethics@rti.org. You may report a suspected violation anonymously.

12. **The John S. McCain National Defense Authorization Act for fiscal year 2019 - section 889.** RTI cannot use any equipment or services from specific companies, or their subsidiaries and affiliates, including Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, and Dahua Technology Company (“Covered Technology”). In response to this request for proposal, please do not provide a quote which includes any Covered Technology. Any quote which includes Covered Technology will be deemed non-responsive. Additionally, if the United States Government is the source of funds for this RFP, the resulting Contractor shall not provide any equipment, system, or service that uses Covered Technology as a substantial or essential component.

**Acceptance:**

Seller agrees, as evidenced by signature below, that the seller’s completed and signed solicitation, seller’s proposal including all required submissions and the negotiated terms contained herein, constitute the entire agreement for the services described herein.

By: *(Seller Company Name)*

Signature: __________________________________________________________

Title: _______________________________________________________________

Date: _______________________________________________________________