German Financial Cooperation with South Africa

Advanced Solid Waste Management Project

Invitation for Expression of Interest

for

Consultancy Services for
UMgungundlovu District Municipality UMDM
for Implementation of Advanced Solid Waste Management systems

UMgungundlovu District Municipality
Republic of South Africa

September 2013
INVITATION FOR EXPRESSION OF INTEREST

1. The Tenderer (§2) hereby invites qualified independent consultants to submit a prequalification document for consulting services required (see §3.). Funds have been earmarked for this project by the German Financial Cooperation with South Africa, provided through KfW Development Bank.

2. Tenderer
   KfW Bankengruppe
   LAc2
   Attn.: Mr. Bernhard Schenk
   Palmengartenstr. 5-9
   60325 Frankfurt/Main
   Germany
   Tel +49 69 7431 4108
   Fax +49 69 7431 3279
   Mob +49 177 3600299
   Email: bernhard.schenkExtern@kfw.de

3. Background Information
   During the bilateral negotiations between the Governments of South Africa and Germany in January 2006 it was agreed to develop within the financial cooperation an Advanced Integrated Solid Waste Management Programme AISWM. The main focus of the project will be the improvement of municipal infrastructure, in this case pre-treatment of municipal solid wastes prior to disposal to reduce the volumes of waste to be transported and disposed off at landfills. This treatment might comprise appropriate mechanical/biological treatment technologies or other suitable solutions. The application of climate change improvement measures also plays an important role in the development of the waste treatment measures and shall be assessed thoroughly.

   The Department of Environmental Affairs (DEA) is Project Execution Agency (PEA) of the Advanced Integrated Solid Waste Management Programme for South African Municipalities, supported by KfW Development Bank with grant funds provided by the German Government.

   The programme consists of two components, a municipal component to assist several municipalities and a national component to assist DEA.

   The municipal component focuses on the support to South African Cities to develop and implement Advanced Solid Waste Management Systems (ASWMS) aiming upon treatment of municipal waste before disposal.

   Two municipalities, uMgungundlovu District Municipality (UMDM) and Rustenburg Local Municipality (RLM) have been selected by DEA/KFW following the execution of Feasibility Studies to obtain further support in the development of advanced municipal waste management projects.
The national component focuses on support to DEA for developing a national information and knowledge dissemination programme as well as to supervise and administer project implementation of the municipal component via a Project Management Unit (PMU).

This invitation to request for Expressions of Interest is designated to the municipal component focusing on the implementation of an Advanced Waste Treatment System for Municipal Solid Waste for uMgungundlovu District Municipality, Kwazulu Natal.

**Consultant companies or consortiums interested in the tender for the services for the municipal component will not be allowed to participate in tenders related to services for the PMU.**

The objective of the consultancy service is the improvement of the general solid waste management (SWM) situation in UMDM with a strong focus on the implementation of advanced waste treatment systems in UMDM, to reduce negative environmental emissions from waste currently disposed without treatment at the landfills as sustainable implementation conditions for the municipality. A positive contribution to reduction of greenhouse gas emissions shall be provided by establishing collection at source in the urban areas of the district municipalities with separation of recyclables at a central Material Recovery Facility and a green waste composting facility.

4. **Requested Consultant services:**

The Tenderer is seeking to engage a qualified consultant with broad, preferably international experiences in the field of ASWM to elaborate the consultancy services. The Consultancy Services shall include inter-alia:

- Technical Assistance to UMDM regarding the improvement of the efficiency of its municipal SWM services;
  - Improvement and strengthening of organisational development
  - Improvement of waste information system
  - Improvement of the financial management system
  - Improvement of waste collection and transport services
  - Establishment and/or strengthening of separate collection/collection at source of material for re-use and recycling and composting
  - Establishment of operational schemes for organic waste separation and a facility for green waste treatment
  - Improvement of waste disposal operations
  - Community Participation and Public Relations
  - Training Measures

The consultancy for Accompanying Measures must be carried out in close cooperation with all relevant stakeholders. The duration of the project is estimated to be at maximum 3 years.

5. **Services are to be provided by a team comprising of internationally experienced experts (project management experts, solid waste management experts, financial experts,**
economists, procurement experts, expert in municipal financing according to Municipal Finance Management Act of South Africa) and other professional and administrative support staff. Efficient management and backstopping services shall be made available.

6. Consultants are free to associate themselves with other firms to ensure that all required know-how and experience are available to them. The consultancy service shall be rendered by an internationally qualified consulting accompany. If international companies want to participate they have to form a consortium of International and South African Consulting Companies with the International Consultant as leading firm.

7. The prequalification document in English language shall have the following structure (please refer to Annexe 5) and content and shall be presented in the same sequence as shown below:

(i) **Covering Letter**, comprising the firm’s name, address, contact person, telephone, fax and email as well as if applicable mention the association for this project; signed by competent representative of firm.

(ii) **Presentations of firms** (maximum 10 pages), including clear **statements** of type, property and key task of the association, if applicable.

(iii) **Statements (in case of a consortium, to be provided by all members of the consortium):**

a) Declaration of **submitting a proposal** in case of being short-listed.

b) Statement on **affiliations** of any kind with other firms which may present a conflict of interest in providing the envisaged services.

c) In case of an **association** – the intended contractual arrangement with international and local firms, nominating the lead consultant and including letters of intent of participating firms (in case of local partners a fax copy of such letter of intend is sufficient).

d) Declaration to observe the **highest standard of ethics** during execution of the contract. Applicants should be aware that any fraudulent or corrupt activities disqualify them immediately from participation in the selection process and will be subject to further legal investigation. The said declaration shall be submitted and duly signed according to the form in Annex 1.

e) **Certified statement of financial capacity** of the lead consultant and all associated partners, if applicable showing the minimum annual turnover of at least 1.2 million € within the last 3 years (Balance sheet and profit and loss account of the last three years). In case of a consortium the lead consultant has to show minimum annual turnover of at least 0.75 million € within the last 3 years.

(iv) **List of project references.** Please provide up to 10 reference projects covering the last 5 years in order to assess your firm’s (or the other members in case of a consortium) experience. The reference projects must be strictly related to the envisaged services and will be evaluated according to the evaluation criteria of paragraph 13 (**experience of the firm**). For presentation of the reference projects use the form in annexe 2. Only reference projects using this form will be evaluated!
(v) Brief CVs (max. 2 pages per CV) of the **personnel proposed for backstopping and home office support**. Up to 3 CVs should only provide information that is relevant to the project.

(vi) **List of the consultant’s personnel** that is available for the envisaged services, divided in potential **key personnel** and **additional staff**. Please provide information about education, professional experience, regional experience, specific project-related expertise and years with the firm (use form in annexe 3). This list shall allow a judgement on the consultants’ **general ability** to provide the required personnel having the specific experience for the project in case of an offer. Personal belonging to the firm or having a long cooperation gets more points.

(vii) Use form in annex 4 to give an overview of the development of the structure of the staff resources.

Interested consultants are requested to submit concise and clear, but substantial documents and to adhere to the above structure. Non-compliance with this invitation or faulty information as well as non-submission of requested statements and declarations shall lead to non-qualification. Any surplus of information not specific to the material requested will be penalized.

8. The original and one (1) copy of the prequalification proposal in English language and all supporting documentation (in English), stamped and signed, shall be delivered as hardcopy and on CD-Rom to the Tenderer at the address specified above and not later than the date indicated in the advertisement. For timely delivery submission at the Tenderers address is decisive.

9. Two more English copies have to be sent to KfW office in Pretoria. Delivery by email will not be accepted and leads to rejection of the proposal.

KIW Pretoria  
Mr. Ihno Baumfalk  
P.O. Box 13732  
Hartfield  
0028  
Pretoria  
South Africa

Deadline for receipt of the prequalification documents is **October 28th, 2013, 16:00 hours**. Failure to respect these requirements will constitute a formal error and will result in the rejection of the tender. For timely delivery, receipt of the application by KfW is relevant.

10. All cost for obtaining information/data and preparation/submission of the prequalification document, etc. in relation with the prequalification shall be borne by the consultants.

11. At any time, the Tenderer either at its own initiative or in response to clarifications requested by an interested consultant may clarify this invitation. Such information shall be sent in writing by facsimile or e-mail to all parties, which have informed the Tenderer about their participation. All inquiries shall be sent exclusively to the tender agent, who will coordinate the answers with DEA/UMDM:

bernhard.schenkExtern@kfw.de  
Tel: +49 69 7431 4108 (**only** if problems with the email occur).
Clarification requests will only be accepted and answered up to 2 weeks before the official submission date.

12. It is planned to establish a short-list of not more than five prequalified consultants not later than four weeks after the submission date and to invite technical and financial proposals from these consultants.

13. The evaluation procedure for the prequalification process will follow the latest version of the „Guidelines for Assignment of Consultants in Financial Co-operation Projects“ (refer to homepage of KfW development bank www.kfw-entwicklungsbank.de). Only financially capable firms which have submitted the necessary statements (see § 7 iii) satisfying the set conditions will be evaluated. Specific evaluation criteria and their individual weight are presented in the following table:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Maximum Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Evidence of relevant experience gained by consultants during the past five years (experience of the firm)</td>
<td>40</td>
</tr>
<tr>
<td>1.1 Experience in handling similar solid waste projects (feasibility studies and similar complex projects)</td>
<td>25</td>
</tr>
<tr>
<td>1.2 Experience under various working-conditions in developing countries.</td>
<td>5</td>
</tr>
<tr>
<td>1.3 Experience with working-conditions in (South Africa or other Southern African countries, such as Botswana, Zambia, Mozambique, Namibia) preferably in the same sector.</td>
<td>10</td>
</tr>
<tr>
<td>2. Suitability for this specific project (experience of the available experts)</td>
<td>60</td>
</tr>
<tr>
<td>2.1 Assessment of available technical expertise specific to this project (refer to the listed key personnel)</td>
<td>30</td>
</tr>
<tr>
<td>2.2 Assessment of the personnel structure in regard to the tasks expected (additional personnel)</td>
<td>10</td>
</tr>
<tr>
<td>2.3 Assessment of the key personnel in permanent employment and always available to monitor the team and provide back-up services from the home office.</td>
<td>15</td>
</tr>
<tr>
<td>2.4 Form of the application documents: Are they complete, concise and related to the project?</td>
<td>5</td>
</tr>
</tbody>
</table>

14. After having completed the evaluation of the prequalification documents, a short-list consisting of five highest ranked Consultants or less scoring a minimum of 70 points will be established. Short-listed firms will be invited to submit a technical and financial proposal; firms not pre-qualified will be informed accordingly.

15. The Tenderer is not bound to select any consultant.

16. The preparation and the submission of the prequalification document is the responsibility of the applicant and no relief or consideration can be given for errors and omissions.

17. After opening the prequalification documents until preparation of the short-list of the qualified consultants, no communication of any type shall be entertained unless called for by the Tenderer.
Annexe 1: Declaration to Observe the Highest Standard of Ethics

Declaration of Undertaking

We underscore the importance of a free, fair and competitive procurement process that precludes abusive practices. In this respect we have neither offered nor granted directly or indirectly any inadmissible advantages to any public servant or other person nor accepted such advantages in connection with our bid, nor will we offer or grant or accept any such incentives or conditions in the present procurement process or, in the event that we are awarded the contract, in the subsequent execution of the contract. We also declare that no conflict of interest exists in the meaning of the kind described in the pertinent Guidelines⁴.

We also underscore the importance of adhering to minimum social standards ("Core Labour Standards") in the implementation of the project. We undertake to comply with the Core Labour Standards ratified by the Republic of South Africa.

We will inform our staff about their respective obligations and about their obligation to fulfil this declaration of undertaking and to obey the laws of the Republic of South Africa.

We also declare that our company/all members of the consortium has/have not been included in the list of sanctions of the United Nations, nor of the EU, nor of the German Government, nor in any other list of sanctions and affirm that our company/all members of the consortium will immediately inform the client and KfW if this situation should occur at a later stage.

We acknowledge that, in the event that our company (or a member of the consortium) is added to a list of sanctions that is legally binding upon the client and/or KfW, the client is entitled to exclude our company/the consortium from the procurement procedure and, if the contract is awarded to our company/the consortium, to terminate the contract immediately if the statements made in the Declaration of Undertaking were objectively false or the reason for exclusion occurs after the Declaration of Undertaking has been issued.

_____________  _______________  ________________________________
(Place)         (Date)            (Name of company)

______________________________
(Signature(s))

⁴ See "Guidelines for the Assignment of Consultants in German Financial Cooperation" and "Guidelines for the Award of Contracts for Supplies and Services in German Financial Cooperation"
## Annexe 2: List of Project References

Please complete the format below for presenting your reference projects. Use one table per reference!

<table>
<thead>
<tr>
<th>Ref no: 1</th>
<th>Project title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of legal entity (consultant)</td>
<td>Project Country</td>
</tr>
<tr>
<td>...</td>
<td>...</td>
</tr>
</tbody>
</table>

Detailed description of project (background, objectives and main activities)

Services provided **by the legal entity** for the project

| ... | ... |

<table>
<thead>
<tr>
<th>Ref no: 2</th>
<th>Project title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of legal entity (consultant)</td>
<td>Project Country</td>
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<td>...</td>
<td>...</td>
</tr>
</tbody>
</table>

Detailed description of project (background, objectives and main activities)

Services provided **by the legal entity** for the project

| ... | ... |
### Annexe 3: Personnel List

Please complete the format below for presenting your project relevant personnel resources. Use one line per person! Backstoppers should not be included in this list!

<table>
<thead>
<tr>
<th>Nr.</th>
<th>Name</th>
<th>Position in the firm</th>
<th>Education / Degree</th>
<th>Project relevant expertise / projects</th>
<th>Years of professional experience</th>
<th>Years with the firm*</th>
<th>Country experience</th>
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* For associated free lance experts (e.g. with retainer contracts or formal agreements) complete column with “FE”
Annexe 4: Structure of Consultant’s Staff Resources

Only mention technical experts (engineers, economists etc.). Administrative or other support staff must not be included!

<table>
<thead>
<tr>
<th>Staff resources</th>
<th>Year before last</th>
<th>Last year</th>
<th>This year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total staff</td>
<td>Staff relevant to this study</td>
<td>Total staff</td>
</tr>
<tr>
<td>Permanent staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other staff*</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Permanent staff as a proportion of total staff (%)</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
</tbody>
</table>

* such as free lance consultants or associated staff (with contracts)
Annexe 5: Structure of Consultant’s Expression of Interest

Table of content

1. Covering letter

2. Presentation of the firms and the nature of the association (if applicable)

3. Statements and declarations
   3.1. Declaration of submitting a proposal
   3.2. Statement of no conflict of interest / of affiliation /
   3.3. Declaration of association (if required)
   3.4. Declaration to observe the highest standard of ethics
   3.5. Certified statement of financial capacity

4. Project references

5. Personnel
   5.1. List of consultant’s personnel
   5.2. Personnel structure (potential key personnel and additional staff)
   5.3. CVs of personnel proposed for backstopping and home office support