



**Loughborough  
University**

**Request for Quotation (RFQ)  
for consultant/s to undertake Alternative Fuels Resources Assessment for  
Kenya**

**Ref: RFPAF0522**

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# 1. PREAMBLE

## INTRODUCTION

Quotations are invited for the provision of Consultancy services for the Alternative Fuels Assessment for the Kenya National Clean Cooking Strategy (KNCCS). This work is funded by the Rockefeller Philanthropy Advisors to support the Rapid Response Fund (RRF) call from the Kenyan Government.

The University's detailed requirements are defined in the Specification.

## BACKGROUND

### The University

Loughborough is one of the UK's leading universities, with an international reputation for research that matters, excellence in teaching, strong links with industry, and unrivalled achievement in sport and its underpinning academic disciplines.

### The Request

Earlier this year, the Kenyan government made a request under the Energy Transitions Council's Rapid Response Facility (RRF) for the international community to support its work on accelerating clean cooking access by collaborating in the development of a new Kenya National Clean Cooking Strategy (KNCCS), as well as a specific strategy for the previously neglected opportunities for electric cooking. The intention, according to the RRF request is to,

- Bring coherence to the sector;
- Improve decision making for all stakeholders;
- Bring clarity as to where the clean cooking investments are needed most.
- Enhance measures that promote stakeholder action towards the national goals for clean cooking

Loughborough University coordinated a response to this request, bringing together the UK FCDO's **Climate Compatible Growth (CCG)** programme (in collaboration with its sister programme, the **Modern Energy Cooking Services (MECS)** programme), **UKPACT** jointly leading a partnership with **AFD** and **EnDev(GIZ)** & **and the Rockefeller Philanthropy Advisors**. It outlined a programme of proposed cooperation that would help facilitate the development of a single coherent strategy covering all forms of cooking as well as the completion of the first ever national electric cooking strategy.

Specifically, the Ministry of Energy requested technical assistance on two specific topics:

- (a) Developing a **Kenyan National Clean Cooking Strategy (KNCCS)**, which will provide direction on the transition from reliance on woodfuel by

2028. The KNCCS will cover promotion of clean cooking technologies (e.g. electric cooking) and fuels (e.g. briquettes and pellets) for improved health and environmental sustainability.

- (b) Undertaking a **Nationwide Electric Cooking Strategy**, which will provide the baseline data on the status of electric cooking in the country.

In welcoming the collaborative response from the ETC spokes, the Ministry of Energy also requested several additional pieces of work. One of these requests was for a **“Resource assessment (supply and demand) study for alternative cooking fuels and technologies (fuelwood, charcoal, biodiesel, briquettes, pellets, agricultural waste, municipal waste).**

## 2. SPECIFICATION

### Introduction

Kenya has been a major voice in recent efforts to raise the international profile of clean cooking within both the energy access and decarbonisation agendas. Alongside its international advocacy, the Kenyan government has itself committed to achieving 100% clean cooking by 2028, one of the most ambitious clean cooking targets anywhere in the globe. Kenya reaffirmed its commitment to universal clean cooking in its Energy Compact on clean cooking launched at UNGA in September 2021. This work contributes to a body of studies to inform the KNCCS.

### Consultant Service Requirements

This assignment requires the services of a Kenyan consulting firm/ or consortium of firms to carry out a resource assessment (supply and demand) study for alternative cooking fuels and technologies (e.g. fuelwood, charcoal, biodiesel, bioethanol, briquettes, pellets, agricultural waste, municipal waste) in Kenya. Applicable organisations are those that have a registered office in Kenya, or international organisations that have had a registered office based in Kenya for the past five years. This work will involve a comprehensive assessment of the evidence base that can identify gaps, update where necessary and therefore widen the overall data available and provide an integrated understanding of the supply and demand of these alternative cooking fuels and technologies to feed into the design of the KNCCS.

Please be aware that:

- This strategy/study will contribute to the development of scenario planning as part of the KNCCS. Data collection should be conducted with that objective in mind.
- County level data is required but, where sub-county level data is available, this should be included in the reporting along with the date that it was generated.
- The timely sharing of data and drafts with the wider team conducting the KNCCS is essential to enable the preparation of the strategy.
- The consultant is expected to actively participate in the kick-off meeting hosted by the KNCCS team when work on the overarching strategy begins and to attend regular update

meetings convened by the KNCCS team to coordinate the parallel strands of work that are contributing to the overarching strategy.

- Following completion of the Alternative Fuels Resource Assessment, the consultant will also need to support the KNCCS team to interpret and analyse their data to support of the development of the overarching strategy by providing feedback on working drafts of the KNCCS and attending workshops with officials.
- The consultant should also be aware of and ensure that they comply with data management regulation outlined by the Kenya Data Protection Act 2019 and the EU General Data Protection Regulation (GDPR).
- All data collected during this assignment should be disaggregated by gender and all reporting should include a specific section on Gender, Inclusivity and Social Inclusion (GESI).
- During this assignment, data should be drawn from and contributed to existing and emerging knowledge management platforms (e.g. WRI Clean Cooking Explorer, GIZ Clean Cooking Knowledge Platform).

As such, the consultant will deliver the following activities:

1. Coordinate with the KNCCS team and feed into the Kick-off Meeting for the overarching strategy development to ensure that clean cooking sector stakeholders are aware of the work that will be undertaken and can feed into the design of the study.
2. Conduct a review that will:
  - a. critically engage with the data collection envisaged under each of the studies currently being conducted to feed into the KNCCS; and
  - b. identify and critically assess the scope and quality of current sources of data on other cooking fuels and technologies not covered under the other RRF studies (fuelwood, charcoal, biodiesel, bioethanol, briquettes, pellets, agricultural waste and municipal waste).
3. On the basis of the above, the team will identify the most important data gaps facing the completion of the KNCCS and develop an effective strategy for overcoming them. Given the existence of the other sectoral studies, we anticipate that this will focus mainly on:
  - a. reviewing the ToRs for the other sectoral studies (see *Ongoing studies* section of the Appendix) and collaborating with the teams working on each study during implementation to stay aware of any gaps in data collection.
  - b. reviewing the evidence presented in the 2020 National Bioenergy Strategy, the 2020 Kenya Ethanol Cooking Fuel Masterplan and the 2019 Household Cooking Sector Study.
  - c. drawing data from and contributing data to existing and emerging knowledge management platforms (e.g. WRI Clean Cooking Explorer, GIZ Clean Cooking Knowledge Platform & SE4All Energy Planner).

- d. conducting primary data collection for sectors known to lack recent detailed resource assessment studies – these are anticipated to be areas such as biodiesel (the last study that we are aware of was conducted in 2008), briquettes, pellets, agricultural waste and municipal waste.

This data collection will be both quantitative and qualitative in nature and will be drawn upon (in conjunction with the findings of the other studies) to explore the geographical distribution of the range of cooking fuels and technologies in relation to the universal clean cooking access goal and their relevance to national decarbonisation targets. This work will be collated in a report to the Ministry of Energy, which will offer tabular representations of the options alongside more detailed textual analysis outlining a resource assessment of each fuel, geographical distribution, available technologies and climate implications to be delivered at the same time as the other studies.

4. Following the data collection, the team will support the Ministry in interpreting and analysing the data in support of the development of the KNCCS.
5. Consultants will be expected to attend workshops with officials (maximum of three).

### Supervision of the work

The Consultant will work under the direct and overall supervision of the MECS Research Director and the Director, Renewable Energy (Bioenergy Department) at the Kenyan Ministry of Energy. The consultant reports will be reviewed and approved by the Coordination Group overseeing the development of the KNCCS composed of partner representatives and chaired by the Director, Renewable Energy (Bioenergy Department).

### Deliverables

The key deliverables and payment schedule are listed below. Note, payment is made on approved deliverables.

Stage	Deliverable	Timeline (after signing contract)	Percentage
1	Submission and approval of inception report	3 weeks	30
2	Mid-term progress report	8 weeks	20
2	Submission and approval of the final resource assessment report	16 weeks	50
	<b>Total</b>		<b>100</b>

### Essential Requirements

Only applications from organisations either incorporated in Kenya with at least 5 years operation (supported by the Certificate of Incorporation and Tax Compliance Certificate) or overseas organisations that have had an incorporated office in Kenya for at least 5 years will only be accepted.

Applications should demonstrate:

- A record of delivering high-quality, well-written outputs, while being able to meet budget and deadline requirements through good project management.
- A clear understanding of the aims of the assignment;
- A well-designed, realistic assessment of the tasks required to complete the assignment, including appropriate methods, partnerships and timelines. Applications should include the team structure for the assignment including profile and CVs of the core team.
- The capacity, knowledge and skills to carry out the assignment, demonstrating the arrangements for project management. This should be demonstrated by including information of at least 3 similar assignments (baseline studies & strategy development) in terms of type and magnitude. The provision of references, a copy of the Certificate of Completion and assignment details, including who the client was; the type of services; duration of implementation; budget & deliverables.
- Good knowledge of the Kenyan cooking sector with specific reference to eCooking, biogas and LPG, bioethanol, fuelwood, charcoal, biodiesel, briquettes, pellets, agricultural waste, municipal waste, institutions and businesses in cooking, consumer support to promote clean cooking, financing of the cooking sector.

**NB:** Consultants may apply as individuals or as a consortium but this should be expressed clearly in the proposal. All partners should be named and their respective roles highlighted.

The technical and financial proposal should be submitted as two separate documents, both must be legible (font size 11 or larger) and clearly formulated; and drawn up in English language. The latter should offer a lump sum price that covers all applicable costs.

### Procurement Timetable

This procurement process is intended to follow the timeline below:

1. Request for Quotation Issued	Monday 16 <sup>th</sup> May 2022
2. Deadline for Questions	Tuesday 31 <sup>st</sup> May 2022
3. Deadline for Quotation Responses	23:59 BST Sunday 5 <sup>th</sup> June 2022
4. Quotation Evaluation	Friday 10 <sup>th</sup> June 2022
5. Due Diligence Submission	23:59 BST Sunday 26 <sup>th</sup> June 2022
6. Contract Awarded	Friday 2 <sup>nd</sup> July 2022
7. Contract Strategy/Delivery Meeting	Tuesday 12 <sup>th</sup> July 2022
8. Contract completion date	Monday 28 <sup>th</sup> November 2022

Please note the University reserves the right to amend this timetable and steps 4 to 8 inclusive are provided for indicative purposes only.

### Questions



## Due Diligence & Safeguarding Questionnaire

Please note the following points before completing the questionnaire;

- Please complete this questionnaire honestly. Answering 'no' to a question does not automatically disqualify your organization from working with the programme. In each section you are invited to explain the answer you give. This explanation is important and will be given careful consideration during the assessment process.
- Providing false information on this questionnaire can result in the termination of any contract issued.
- There are **3 main sections to complete; background information, due diligence and Safeguarding**. All sections and sub-sections must be completed. If a question is not applicable to your organisation mark it N/A.
- All details provided in the questionnaire will be kept securely and managed in line with Loughborough University's Data Protection Policy. Details of the policy can be found at <https://www.lboro.ac.uk/admin/ar/policy/dpact/ludpp/>
- Please complete the checklist and sign the declaration at the end of the form. Forms returned without a signature will not be processed.
- Please include any supporting documents requested, making clear in the file name the name of the organisation/respondent and the question number it refers to.
- Please label your attached documents as follows: Organisation Name - Type of document – Question in DD form this relates to [e.g. LU -Audited accounts-Q3.4]



## Section A: Background information

Question	Response
1. Full name of organisation	
2. Address of Registered Office (including postcode or zip code)	
3. Is the organisation a legally registered entity?	<input type="checkbox"/> Yes: <b><i>Please provide a copy of the registration document</i></b> <input type="checkbox"/> No: please explain why the organisation is not legally registered
4. Company Registration Number	
5. Description of organisation (e.g. what the organisation does)	
6. Head of organisation (name and title)	
7. Name and contact details of main contact person for this Award	
8. Name and contact details of the person responsible for receiving legal notices	
9. If the organisation is a subsidiary of another body, will your parent company guarantee the awardee's contract performance as its subsidiary?	<input type="checkbox"/> Yes: Please provide details of the parent firm including company registration number. <input type="checkbox"/> No <input type="checkbox"/> N/A
10. Length of time in operation	
11. Status of organisation	<input type="checkbox"/> A Public Limited company <input type="checkbox"/> A Limited Company <input type="checkbox"/> A Company Limited by Guarantee <input type="checkbox"/> A Partnership <input type="checkbox"/> A Sole Trader <input type="checkbox"/> A Charity <input type="checkbox"/> A Franchise <input type="checkbox"/> A Small/Medium Sized Enterprise or SME <input type="checkbox"/> Other (e.g.: a Special Purpose Vehicle, Joint Venture Company etc.) Please specify .....
12. To the best of your knowledge, does any director or senior officer of the organisation have any personal or financial connection with any member of Loughborough University staff?	<input type="checkbox"/> Yes: please provide details of the individuals concerned and the nature of their relationship. <input type="checkbox"/> No

Question	Response
13. Does the organisation have a designated bank account that will accept euros, pound sterling and/or US dollars?	<input type="checkbox"/> Euro <input type="checkbox"/> US dollar <input type="checkbox"/> Pound sterling

## Section B: Due Diligence

### 1: Governance structure

Question	Response
1.1 Please outline the organisation's strategy, mission or vision statement	
1.2 Please explain how the organisation ensures environmental sustainability and good waste management in the organisation  <i>(Stating that this does not apply to the organisation is not acceptable)</i>	
1.3 Please explain any processes in place to manage health and safety for the organisations staff and the people the organisation works with  <i>(Stating that this does not apply to the organisation is not acceptable)</i>	

### Section 2: Economic and financial standing

Where possible, the University will carry out an independent financial check on all partners using an appropriate software package.

Question	Response
2.1 Is the organisation ready and willing to carry out the activities planned under this contract/agreement?	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why the organisation is not ready to carry out the activities planned.
2.2a Are the accounts audited at least once per year?	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why the accounts are not audited at least once per year.
2.2b Please <b>send a copy</b> of at least one of the evidence's listed in order to demonstrate that the organisation has the financial strength required to carry out this contract.	<p><b>Please indicate which document/s are included in the due diligence submission;</b></p> <input type="checkbox"/> Audited accounts for the most recent two years <input type="checkbox"/> Statement of turnover, profit & loss account and cash flow for the most recent year of trading

Question	Response
	<input type="checkbox"/> Statement of cash flow forecast for the current year and a bank letter outlining the current cash and credit position  <input type="checkbox"/> Alternative means of demonstrating financial status if trading for less than a year
<p>2.3 Please explain the organisations accounting system, particularly how it allows for proper recording of financial transactions e.g. general ledger accounts, cash book/s, fixed assets register, accruals, pre-payments etc</p>	
<p>2.4 Are supporting documents (e.g. invoices, receipts) obtained for all costs?</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No: please explain why supporting documents are not obtained.
<p>2.5 Please explain the organisation’s financial control systems and processes (e.g. how is fraud prevented, theft of funds etc).</p> <p>Include details of any manuals the organisation has, and staff training done.</p>	
<p>2.6 The organisation is required to hold insurances.</p> <p>Please confirm which insurance the organisation already holds or will purchase prior to the contract being issued.</p> <p>We understand that in different countries the name of the insurance may differ from that in the UK. Please read the description for each type of insurance and choose the one most similar to the one/s available.</p>	<input type="checkbox"/> No insurances held: please explain why no insurances are held.  <p><b>Insurances for organisations with one employee or more:</b></p> <p><b>Essential:</b> Employer’s Liability Insurance</p> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Equivalent held: ..... <p><b>Please provide a copy of the insurance certificates</b></p> <p><i>This covers the Employer against claims from Employees arising from injuries caused by work-related activities for which the employer is legally responsible sustained during the period of indemnity. The obligation to ensure safety of employees applies wherever they are working (world-wide)</i></p> <p><b>Preferred:</b> Public Liability Insurance</p> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Equivalent held: ..... <p><b>Please provide a copy of the insurance certificates</b></p> <p><i>This covers the Employer against claims from third parties (e.g. claims from volunteers, visitors or the general public etc) arising from accidental bodily injury to them or accidental damage to their property for which the Employer is legally responsible, arising out of the business of the Employer. The cover will apply</i></p>

Question	Response
	<p><i>on a worldwide basis wherever the Employer's activities are being undertaken.</i></p> <p><b>Preferred:</b> Professional Indemnity Insurance:</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Equivalent held: .....</p> <p><b>Please provide a copy of the insurance certificates</b></p> <p><i>This covers the Employer against claims made against the Employer during the period of insurance arising out of the conduct of the activities of the Employer caused by any:</i></p> <ol style="list-style-type: none"> <li><i>1. negligent act error or omission (for property damage, injury/death claims the cover is limited to those claims arising out of the provision of a professional service such as advice or design</i></li> <li><i>2. breach of warranty of authority or breach of trust</i></li> <li><i>3. infringement of copyright or patent right or trademark design rights or other intellectual property rights</i></li> <li><i>4. breach of confidential information</i></li> <li><i>5. breach of confidence</i></li> <li><i>6. dishonest or fraudulent act or omission on the part of the Employer</i></li> <li><i>7. libel and slander</i></li> <li><i>8. loss or damage to documents</i></li> </ol>
<p><b>For the following three questions, please answer if your role was as a supplier, an awardee or as an organisation in the supply chain.</b></p>	
<p>2.7. Has the organisation been involved in a contract that has been terminated or payment has been withheld because performance was not satisfactory in the last three years?</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes – as an awardee: Please explain what happened</p> <p><input type="checkbox"/> Yes – as a supplier: Please explain what happened</p> <p><input type="checkbox"/> Yes – as an organisation in the supply chain: Please explain what happened</p>
<p>2.8. Has the organisation withdrawn from a contract prematurely during the last three years?</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes – as an awardee: Please explain what happened</p> <p><input type="checkbox"/> Yes – as a supplier: Please explain what happened</p> <p><input type="checkbox"/> Yes – as an organisation in the supply chain: Please explain what happened</p>
<p>2.9. Has the organisation had to pay financial penalties or had payment deducted due to a failure to perform in accordance with contractual obligations in the last three years?</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes – as an awardee: Please explain what happened</p> <p><input type="checkbox"/> Yes – as a supplier: Please explain what happened</p> <p><input type="checkbox"/> Yes – as an organisation in the supply chain: Please explain what happened</p>

### Section 3: Professional and technical capacity

Question	Response
<p>3.1 Please provide details of <b>at least one</b> (preferably two) current or completed contracts that are similar in nature to the work the organisation will be doing under the MECS programme</p> <p>Loughborough University, as the lead of MECS may speak to the client listed to confirm the accuracy of the information provided. The University reserves the right to contact any or all these organisations for a reference.</p> <p><i>If you cannot provide these details, please explain why</i></p>	<p><u>Contract 1</u>            Customer organisation:            Contact name, tel. no., &amp; e-mail:            Contract start date:            Contract completion date:            Contract value:            Brief description of contract (max 150 words):</p> <p><u>Contract 2</u>            Customer organisation:            Contact name, tel. no., &amp; e-mail:            Contract start date:            Contract completion date:            Contract value:            Brief description of contract (max 150 words):</p> <p><b>Add others below if relevant</b></p>
<p>3.2 Please provide the names of <b>up to 3</b> people who will be responsible for managing the delivery of services under this award.</p>	<p><u>Person 1</u>            Name and Title            Position in organisation            Length of service with the organisation            Highest educational and/or professional qualification obtained:</p> <p><u>Person 2</u>            Name and Title            Position in organisation            Length of service with the organisation            Highest educational and/or professional qualification obtained:</p> <p><u>Person 3</u>            Name and Title            Position in organisation            Length of service with the organisation            Highest educational and/or professional qualification obtained:</p>
<p>3.3 Please explain what quality assurance, processes the organisation has in place to ensure the work under this contract/award will be delivered to a high standard.</p>	

## Section 4: Equality

Question	Response
4.1 Does the organisation, as an employer, comply with all statutory obligations to staff and applicants for employment under national equality legislation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p><b>The following sections are split into two – please choose the most appropriate section for the organisation</b>  <b>Section 4A – for organisations with a written equality policy or equivalent</b>  <b>Section 4B – for organisations without a written equality policy or equivalent</b></p>	
<p><b>4A - for organisations with a written equality policy or equivalent</b></p> <p><input type="checkbox"/> Policy/equivalent document attached</p> <p>Title of document: .....</p>	
<p>4.2 Does the policy or equivalent document address the following?</p> <p>(a) Recruitment, selection, training, promotion, discipline and dismissal</p> <p>(b) Discrimination, harassment, and victimisation (and it is made clear that these are disciplinary offences within the organisation)</p> <p>(c) Modern slavery (defined as slavery, servitude, forced or compulsory labour and human trafficking)</p> <p>(d) Identification of the senior position with responsibility for the policy and its effective implementation</p> <p>(e) How the document is communicated to staff</p> <p>(f) It covers both employees and service users</p>	<p>If yes, note the page number where this item is included in the policy/ equivalent document. If not please explain why the item is not included.</p> <p><input type="checkbox"/> Yes: On page number .....   <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number .....   <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number .....   <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number .....   <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number .....   <input type="checkbox"/> No: please explain why</p> <p><input type="checkbox"/> Yes: On page number .....   <input type="checkbox"/> No: please explain why</p>
4.3 How is the policy/ equivalent document implemented in your organisation's <u>recruitment</u> practices? (e.g. do staff responsible for recruitment receive additional, focused or special training? - please specify content of any training provided and mode of training e.g. face to face, online etc).	

Question	Response
4.4 Does the organisation work with volunteers or temporary/casual staff in any capacity (e.g. survey enumerators).	<input type="checkbox"/> Yes: Please describe the equality training the organisation provides for these staff to protect themselves and the people they interact with.  <input type="checkbox"/> No volunteers/casual staff
<b>4B - for organisations without a written equality policy or equivalent</b>	
4.2 Please explain how the organisation ensures equality within hiring and staff management practices. All points (a- e) must be addressed.	(a) Recruitment, selection, training, promotion, discipline and dismissal  (b) Discrimination, harassment, and victimisation (and it is made clear that these are disciplinary offences within the organisation)  (c) Modern slavery (defined as slavery, servitude, forced or compulsory labour and human trafficking)  (d) Do these statements on equality (a-c) cover both employees and services users?  <input type="checkbox"/> Yes: both  <input type="checkbox"/> Only staff: Please explain why they do not cover service users/partners/people the organisation interacts with  (e) The senior staff member responsible for overseeing equality is (provide name/position).....
4.3 How are staff made aware of the organisation's position on equality (Please specify content of any training provided and mode of training e.g. face to face, online etc).	
4.4 Does the organisation work with volunteers or temporary/casual staff in any capacity (e.g. survey enumerators).	<input type="checkbox"/> Yes: Please describe the equality training the organisation provides for these staff to protect themselves and the people they interact with.  <input type="checkbox"/> No volunteers/casual staff

## Section 5: Procurement and asset management

Question	Response
5.1 Does the organisation have guidelines/a policy/a set of instructions for procurement that are available to all staff?	<input type="checkbox"/> Yes, document attached Title of document: ..... <input type="checkbox"/> No: Please explain how the organisation ensures procurement is completed transparently and rigorously.
5.2 Does the organisation solicit competitive bids for major procurements?  (In the UK a major procurement is £50,000 or above)	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why
5.3 Does the organisation have threshold amounts for obtaining multiple bids or quotes?  (e.g. single source for a contract value under £10,000; 3 quotes for a contract value under £25,000 etc.)	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why
5.4 Is an assets register maintained?  (An asset register records all the assets your organisation has, this could be IT equipment, software, machinery, prototypes etc etc)	<input type="checkbox"/> Yes: Updated every ..... weeks/months/years ( <i>delete as appropriate</i> ) Last physical inventory of assets was (date)..... <input type="checkbox"/> No asset register: Please explain why
5.5 Please explain how the organisation will protect project assets (e.g. any assets bought through the award/contract).	

## Section 6: Compliance with relevant legislation, regulation, rules, policies and procedures

Question	Response
6.1 Does the organisation confirm compliance with all national legislation, regulations, rules, policies and procedures affecting the organisation and its activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No: please explain why it does not confirm compliance with all national legislation, regulations, rules, policies and procedures affecting the organisation and its activities.
6.2 Please explain how the organisation ensures compliance and remains updated with all national legislation, regulations, rules, policies and procedures (e.g. who is responsible for ensuring compliance, retention of legal counsel etc)	



Question	Response
<p>6.3 Does the organisation have a policy/statement or equivalent document on anti-corruption and anti-bribery? It should address the following;</p> <ul style="list-style-type: none"> <li>a) Anti-corruption</li> <li>b) Enforcement of the anti-corruption policy</li> <li>c) Anti-bribery</li> <li>d) Enforcement of the anti-bribery policy</li> </ul>	<p><input type="checkbox"/> Yes</p> <p>Title of document.....</p> <p><input type="checkbox"/> Document attached</p> <ul style="list-style-type: none"> <li>(a) Anti-corruption is referred to on page number .....</li> <li>(b) Enforcement of the anti-corruption policy is referred to on page number.....</li> <li>(c) Anti-bribery is referred to on page number.....</li> <li>(d) Enforcement of the anti-bribery policy is referred to on page number.....</li> </ul> <p><input type="checkbox"/> No: please explain why there is no document on anti-corruption and bribery.</p>
<p>6.4 Do staff receive training on the anti-bribery and anti-corruption measures in place? ((Please specify content of any training provided and mode of training e.g. face to face, online etc).</p>	<p><input type="checkbox"/> Yes: type of training .....</p> <p><input type="checkbox"/> No: please explain why there is no training</p>
<p>6.5 Is the organisation linked to any political activity?</p>	<p><input type="checkbox"/> Yes: please explain the nature of this activity</p> <p><input type="checkbox"/> No</p>

## Section 7: Data management

Question	Response
<p>7.1 Does the organisation have a policy/statement/guideline on good data management?</p>	<p><input type="checkbox"/> Yes, document attached</p> <p>Title of document.....</p> <p><input type="checkbox"/> No: please explain why</p>
<p>7.2 Do staff receive training on good data management? (Please specify content of any training provided and mode of training e.g. face to face, online etc).</p>	<p><input type="checkbox"/> Yes: type of training .....</p> <p><input type="checkbox"/> No: please explain why</p>
<p>7.3 Please explain the systems and processes used to keep data held by the organisation secure, especially if the data is confidential and/or sensitive.</p>	
<p>7.4 Does the organisation provide, transfer or sell data to third parties for any reason?</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes: please provide further explanation</p>

## Section C: Safeguarding

### Principles of Safeguarding

The safeguarding principles that underpin our due diligence process are as follows;

- Do no harm
- Organisations have a safeguarding duty of care to any people we work with, staff and volunteers, including where downstream partners are part of delivery. This includes people who are not directly involved in the programme but who may be vulnerable to abuse as a result of the activities of the programme.
- All people shall be treated equally, irrespective of race, gender, religion/or not, sexual orientation or disability
- Everyone has the responsibility for safeguarding
- Act with integrity, be transparent and accountable
- All activity is done in the best interests of any person involved
- A child is defined as someone under the age of 18 regardless of the age or majority/consent in country.

### Section 1: Safeguarding processes and procedures

Question	Response
<p>The following sections are split into two – please choose the most appropriate section for the organisation  <b>Section 1A – for organisations with a written safeguarding policy or equivalent (e.g. if safeguarding is covered in a staff handbook, manual, guidelines, code of conduct etc).</b>  <b>Section 1B – for organisations without a written safeguarding policy or equivalent</b></p>	
<p style="text-align: center;"><b>1A - for organisations with a written safeguarding policy or equivalent (e.g. if safeguarding is covered in a staff handbook, manual, guidelines, code of conduct etc).</b></p> <p><input type="checkbox"/> Policy/equivalent document attached                      Title of document: .....</p> <p>Who is the designated safeguarding officer or focal point for safeguarding issues?            Name:            Position:            Email:</p>	
<p>1.1 Does the policy or equivalent document address the following;</p>	<p>Commitment to safeguarding:  <input type="checkbox"/> Yes: On page number .....    <input type="checkbox"/> No: please explain why</p> <p>Zero-tolerance  <input type="checkbox"/> Yes: On page number .....    <input type="checkbox"/> No: please explain why</p> <p>Bullying and harassment  <input type="checkbox"/> Yes: On page number .....    <input type="checkbox"/> No: please explain why</p> <p>Sexual exploitation  <input type="checkbox"/> Yes: On page number .....    <input type="checkbox"/> No: please explain why</p> <p>Sexual abuse</p>

Question	Response
	<p><input type="checkbox"/> Yes: On page number ..... <input type="checkbox"/> No: please explain why</p> <p>Record keeping on safeguarding issues  <input type="checkbox"/> Yes: On page number ..... <input type="checkbox"/> No: please explain why</p> <p>Disciplinary procedures for safeguarding incidents  <input type="checkbox"/> Yes: On page number ..... <input type="checkbox"/> No: please explain why</p> <p>Referral mechanism  <input type="checkbox"/> Yes: On page number ..... <input type="checkbox"/> No: please explain why</p>
<p>1.2 How is training for staff, including volunteers and temporary or casual workers, provided on the safeguarding policy or equivalent document. (Please specify content of any training provided and mode of training e.g. face to face, online etc).</p>	
<p>1.3 Through the activities under this award/contract, are you going to be working with children or vulnerable adults?</p> <p>A child is defined as anyone below 18 years of age, regardless of national definitions.</p> <p>Vulnerable adults include those with disabilities (physical and learning), those in a position of weakness e.g. a female headed household, prisoners, refugees, minorities etc</p>	<p><b>Children (below 18 years of age):</b></p> <p><input type="checkbox"/> Yes: <b>Attach a copy of the safeguarding policy for working with children</b></p> <p><input type="checkbox"/> No</p> <p><b>Vulnerable adults:</b></p> <p><input type="checkbox"/> Yes: <b>Attach a copy of the safeguarding policy for working with vulnerable adults</b></p> <p><input type="checkbox"/> No</p> <p>If the organisation is going to be working with children, vulnerable adults or both as part of this award/contract and no policy is available the organisation is required to submit a separate statement outlining in detail how the children and/or vulnerable adults will be protected from any kind of harm (physical, mental, psychological, sexual, harassment, intimidation etc)</p>
<p>1.4 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved been cleared/vetted through a nationally recognised process? (e.g. a police check).</p>	<p><input type="checkbox"/> Not applicable</p> <p><input type="checkbox"/> Yes – all staff vetted: Please explain the process followed</p> <p><input type="checkbox"/> No – only some staff vetted: Please explain why only some staff are vetted</p> <p><input type="checkbox"/> No staff vetted: Please explain why no staff are vetted</p>

Question	Response
<p>1.5 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved received training on working with children/vulnerable adults?</p>	<p><input type="checkbox"/> Not applicable</p> <p><input type="checkbox"/> Yes - All staff trained: please explain the training received</p> <p><input type="checkbox"/> No – only some staff trained: Please explain why only some staff are trained</p> <p><input type="checkbox"/> No training given: Please explain why no staff are trained</p>
<p><b>1B - for organisations without a written safeguarding policy or equivalent</b></p>	
<p>1.1 Please explain how the organisation ensures staff and the people it works with are protected from harm through a commitment to the following statements. All points (a- g) must be addressed.</p>	<p>(a) Commitment to safeguarding</p> <p>(b) Commitment to a Zero-tolerance approach to any form of bullying, harassment or sexual exploitation</p> <p>(c) Commitment to a safe environment free from bullying and harassment</p> <p>(d) Commitment to a safe environment free from sexual harassment, exploitation or abuse</p> <p>(e) Referral mechanism for staff or those outside the organisation to raise concerns on safeguarding issues</p> <p>(f) Record keeping on safeguarding issues</p> <p>(g) Disciplinary procedures for safeguarding incidents</p>
<p>1.2 How does the organisation make staff, including volunteers and temporary or casual workers, aware of the organisation’s position on safeguarding? (training completed - specify content and mode e.g. through a code of conduct etc).</p>	
<p>1.3 Through the activities under this award/contract, are you going to be working with children or vulnerable adults?</p> <p>A child is defined as anyone below 18 years of age, regardless of national definitions.</p> <p>Vulnerable adults include those with disabilities (physical and learning), those in a position of weakness e.g. a female headed household, prisoners, refugees, minorities etc</p>	<p><b>Children (below 18 years of age):</b></p> <p><input type="checkbox"/> Yes: <b>attach a copy of the safeguarding policy for working with children</b></p> <p><input type="checkbox"/> No</p> <p><b>Vulnerable adults:</b></p> <p><input type="checkbox"/> Yes: <b>attach a copy of the safeguarding policy for working with vulnerable adults</b></p> <p><input type="checkbox"/> No</p> <p>If the organisation is going to be working with children, vulnerable adults or both as part of this award/contract and no policy is available the organisation is required to submit a separate</p>

Question	Response
	statement outlining in detail how the children and/or vulnerable adults will be protected from any kind of harm (physical, mental, psychological, sexual, harassment, intimidation etc)
1.4 If the organization is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved been cleared/vetted through a nationally recognised process? (e.g. a police check).	<input type="checkbox"/> Not applicable <input type="checkbox"/> Yes – all staff vetted: Please explain the process followed <input type="checkbox"/> No – only some staff vetted: Please explain why only some staff are vetted <input type="checkbox"/> No staff vetted: Please explain why no staff are vetted
1.5 If the organisation is going to be working with children and/or vulnerable people in order to deliver this award/contract have all the staff involved received training on working with children/vulnerable adults?	<input type="checkbox"/> Not applicable <input type="checkbox"/> Yes - All staff trained: please explain the training received <input type="checkbox"/> No – only some staff trained: Please explain why only some staff are trained <input type="checkbox"/> No training given: Please explain why no staff are trained

## Section 2: Whistleblowing (also called complaint or concerns procedure)

Question	Response
2.1 Does the organisation have a whistleblowing process in place?	<input type="checkbox"/> Yes: <b><i>Please attach a copy</i></b>  Name of document.....  <input type="checkbox"/> No: Please provide an explanation on; <ol style="list-style-type: none"> <li>1. How the organisation ensures that whistle blowers are protected within the organisation</li> <li>2. What the processes are for dealing with concerns raised by staff</li> <li>3. What the timelines are for these processes</li> </ol>
2.2 How are staff provided training on your whistleblowing/complaints procedure? (Please describe content of the training and mode of training e.g. face-to-face, online etc).	<input type="checkbox"/> No whistleblowing/complaints procedure of any kind <input type="checkbox"/> Yes: (Please describe content of the training and mode of training e.g. face-to-face, online etc).  <input type="checkbox"/> No training provided but procedure exists: Please explain why

## Section 3: Risk management

Question	Response
3.1 Does the organisation keep a risk register? (for any risk associated with delivering core activities/services)	<input type="checkbox"/> Yes: List the risk categories included in the register (e.g., financial, reputational, technical, operational etc etc); <input type="checkbox"/> No: Please explain why there is no risk register
3.2 Does the organisation's risk register include safeguarding risks?	<input type="checkbox"/> Yes <input type="checkbox"/> No –it does not include safeguarding risks: Please explain how the risks associated with safeguarding are monitored and tracked <input type="checkbox"/> No – there is no risk management process or framework
3.3 Who has senior oversight of the risk register?	Name: Position in Organisation:
3.4 Are downstream partners/sub-contractors required to submit a risk register or risk assessment as part of the contracting process?	<input type="checkbox"/> Yes <input type="checkbox"/> No: Please explain why

## Section 4: Code of conduct

Question	Response
4.1 Does the organisation have a clear code of conduct for staff (paid, voluntary, temporary or casual) that sets out clear expectations of behaviours, inside and outside the workplace?	<input type="checkbox"/> Yes: <b>Please attach a copy</b> <input type="checkbox"/> No: Please explain why and explain how expectations on behaviour are communicated to staff.
4.2 Does the code of conduct include what will happen in the event of a breach of the code?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes: on page..... <input type="checkbox"/> No: Please explain why it does not state what will happen in the event of a breach of the code.
4.3 Does the code of conduct prioritise the wellbeing of and care of all people, including all the people the organisation works/interacts with?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes: on page..... <input type="checkbox"/> No: Please explain why it does not prioritise the wellbeing of all people
4.4 Are all staff (paid or voluntary) provided with training on the code of conduct as part of their induction to their role?	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes: Please describe content of the training and mode of training e.g. face-to-face, online etc. <input type="checkbox"/> No: Please explain why there is no training
4.5 Are the organisations policies and practices for the management of downstream	<input type="checkbox"/> No code of conduct <input type="checkbox"/> Yes

Question	Response
partners/sub-contractors and affiliates aligned to the code of conduct?	<input type="checkbox"/> No: Please explain why they are not aligned to management of downstream partners/sub-contractors.

## Section 5: Governance and accountability

Question	Response
5.1 Is the organisation going to be working/interacting with people who are external to the organisation, it's sub-contractors or suppliers? (e.g. through research, piloting, service provision etc)	<input type="checkbox"/> Yes: Please identify the types of people the organisation will be working with;  <b>Answer Q 5.2 &amp; 5.3</b>  <input type="checkbox"/> No – all work will be internal to the organisation, it's sub-contractors or suppliers ( <b>Move to declaration at end of document</b> )
5.2 How are the people identified under Q5.1 able to feedback on the quality of the work/services/activities completed by the organisation?	Feedback is possible via.....  If feedback is not possible, please explain why .....
5.3 Are the people identified under Q5.1 able to shape the organisations planned activities/processes/approaches under this contract/award?  (e.g. through the co-design of the approach to be used or via a representative committee)	<input type="checkbox"/> Yes: please explain how  <input type="checkbox"/> No: please explain why not

Please provide the name and contact details of the individual who can answer queries about this questionnaire.

**Name:**

**Position in organisation:**

**Contact details:**

After completion of the questionnaire, please sign the declaration below (delete as appropriate)

I/We declare that the information given is accurate to the best of my/our knowledge.

I/We understand that false information could result in the termination of any existing or future contract.

**Signed (electronic acceptable):** \_\_\_\_\_

**Name** \_\_\_\_\_

**Position:** \_\_\_\_\_

**Date:** \_\_\_\_\_

***Have you attached the following documents?***

Document	Yes	No (please explain why)
Organisation registration document		
1 of the following;		
<ul style="list-style-type: none"> <li>• Audited accounts for the most recent two years</li> </ul>		
<ul style="list-style-type: none"> <li>• Statement of turnover, profit &amp; loss account and cash flow for the most recent year of trading</li> </ul>		
<ul style="list-style-type: none"> <li>• Statement of cash flow forecast for the current year and a bank letter outlining the current cash and credit position</li> </ul>		
<ul style="list-style-type: none"> <li>• Alternative means of demonstrating financial status if trading for less than a year</li> </ul>		
Insurance certificates		
Equality policy (or equivalent)		
Anti-corruption and anti-bribery policy/statements		
Data management policy (or equivalent)		
Safeguarding policy/statement (or equivalent)		
Working with children and/or vulnerable adults ( <i>if required due to nature of work proposed</i> )		
Whistleblowing/complaints/concerns procedure		
Code of Conduct		



Any queries about this document, the procurement process, or the proposed contract itself, should be referred to Jane Spencer, RRF Project Manager, [j.e.spencer@lboro.ac.uk](mailto:j.e.spencer@lboro.ac.uk) or Jon Leary, Senior Researcher, Gamos, [jon@gamos.org](mailto:jon@gamos.org).

Please note that the deadline for questions is **Tuesday 31<sup>st</sup> May 2022**.

### Submission of Quotation

Quotations, which should be received no later than 23:59 BST on Sunday 5<sup>th</sup> June 2022, should be submitted Jane Spencer at [j.e.spencer@lboro.ac.uk](mailto:j.e.spencer@lboro.ac.uk).

### Evaluation of Quotations

All quotations will be evaluated equally.

Successful quotations will be required to submit a Due Diligence Questionnaire that will check your organisation's financial stability along with its processes and policies to ensure they are in-line with our funders' requirements. You will be given two weeks to complete this form. Please note, you can fail this part of the process so please allow time for a comprehensive return. This process will be fully transparent, and your scores will be shared with you. The Due Diligence Questionnaire is included at the end of this document. This is for information only. **DO NOT COMPLETE AT THIS POINT.**

The University will accept the quotation which offers the most value for money, i.e. a balance between cost and quality. Based on the information provided by Tenderers, each submission will be evaluated based on the following combination of price, quality, and overall value for money. Loughborough University is not obliged to select the lowest offer.

Attribute	
Interpretation of the objective outlines in the ToR and critical examination of the tasks/work packages	5%
Description of the methodology for delivering the services along with an outline of the risks and mitigation measures	25%
Identification of and strategy for establishing cooperation with the relevant actors/stakeholders in the contractor's area of responsibility	10%
Presentation and explanation of the implementation plan i.e. work plan, milestones and Gantt chart	15%
Contractor's contribution to knowledge management in partnership with MECS and other partners on this assignment	5%
Assessment of proposed team (qualification and adequacy)	20%
Price	20%
<b>Total</b>	<b>100%</b>

**Communication**

This contract will be managed by Loughborough University. All deliverables should be emailed to Jane Spencer ([j.e.spencer@lboro.ac.uk](mailto:j.e.spencer@lboro.ac.uk)) on, or before, the date required. Loughborough University reserves the right to request the consultant to make revisions to the deliverables if they do not meet the required quality. The consultant will be required to make these revisions at no additional cost to Loughborough University.

Appointments to discuss the overall progress against the contract will be agreed at mutually convenient times to the consultant and the project manager but will be set every month (four weeks apart) once the project is contracted.

**Timescales**

This work must be delivered by Monday 28<sup>th</sup> November 2022 to fulfil the requirements of the funder.

**Pricing Mechanisms**

Total firm price in USD– All-inclusive price for the contract, not subject to review.

The total budget available for this work is 50,000USD. This must include all applicable local taxes.

**3. CONDITIONS OF CONTRACT**

The Consultancy Terms and Conditions will be used along with a flow down of specific conditions from the funder.