

**Request for Proposals for Market Penetration Survey services for  
AgResults Kenya On-Farm Storage Pilot**

Date: April 20, 2017

From: AgResults Secretariat

To: Vendor

Subject: Request for Proposals (RFP) to provide Market Penetration Survey services for the AgResults Kenya On-Farm Storage Pilot

Dear Vendor:

The Secretariat of the AgResults Initiative (“Secretariat”), through Deloitte Consulting Overseas Projects LLC, invites your organization to submit a proposal (“Proposal”) to provide Market Penetration Survey services for the *AgResults Kenya On-Farm Storage Pilot* (“Pilot”).

The Pilot is a results-driven pilot project that is part of the AgResults initiative financed by the governments of Australia, Canada, the United Kingdom and the United States, and the Bill & Melinda Gates Foundation. For more information about AgResults, please see Attachment 2 and [www.AgResults.org](http://www.AgResults.org).

The Pilot is a results-driven pull mechanism designed to encourage the widespread adoption of improved on-farm grain storage devices for smallholder farmers in the nine (9) Rift Valley Region counties of Baringo, Bomet, Kericho, Laikipia, Nakuru, Nandi, Narok, Trans Nzoia, and Uasin Gishu (collectively, “Rift Valley”), and the five (5) Eastern Region counties of Embu, Kitui, Machakos, Makueni, and Meru (collectively, “Eastern”).

The Pilot is designed to promote agricultural innovation through private sector-led models for development and sales of low-cost grain storage devices that reduce grain losses for smallholder farmers. The Pilot seeks to promote innovation by offering performance-based grants to qualifying companies that successfully sell a specified quantity of low-cost storage devices to smallholder farmers within the three-year Pilot sales period. For the purposes of the Pilot, a smallholder farmer is defined as a person who cultivates a plot of land less than five hectares or 12.5 acres.

The Secretariat expects to award a Fixed Price Contract to the organization(s) hired for the services detailed in this RFP, specifically for the two surveys described herein:

- **Randomized Rural Household Survey (RRHS)**
- **Mid-point Market Share Survey (MpMSS)**

Proposal procedures and instructions follow this letter in Attachment 1 and are incorporated herein and are made a part hereof. By submitting your Proposal and the required completed and signed “Anticorruption Compliance Certification” (Attachment 4), you will have consented to the terms of this RFP, including the Proposal procedures, instructions, and mandatory terms.

Please note the deadlines for receipt of the Proposal, with all required signatures, including a completed and signed Anticorruption Compliance Certification, is due no later than 17.00 Hrs. US Eastern Time (US ET) on **May 22, 2017**. Proposal documents should be submitted in one email to [info@agresults.org](mailto:info@agresults.org). Please indicate “**Kenya Market Penetration Surveys RFP**” in the subject line of the email. Other important timelines for this RFP are shown in Attachment 1.

The Secretariat, in consultation with the Pilot Manager will review and evaluate Proposal submissions using the evaluation criteria specified in Attachment 1 of this RFP and will select the successful organization(s) at its sole discretion. The selected organization(s) will be notified in writing. Notwithstanding the notification by the AgResults of the contemplated award, no work shall commence prior to the issuance and signature by the AgResults Secretariat of a market penetration surveys contract. AgResults reserves the right to select any number of applying organizations or not to select any organization. The AgResults Secretariat reserves the right to award a contract for all or a portion of the work required, issue more than one contract, or to not award a contract. The contract will include mandatory terms attached hereto as Attachment 6, as well as other terms and conditions.

We look forward to working with you on this opportunity. Should you have any questions or comments please direct them to [info@agresults.org](mailto:info@agresults.org). We appreciate your responsiveness and look forward to a mutually beneficial business relationship.

Sincerely,  
/s/  
Tobey Pannuty-Staten  
Procurement Manager

Sincerely,  
/s/  
Rodrigo Ortiz  
Secretariat Team Leader

Attachments:

1. Proposal Procedures and Instructions
2. AgResults Background
3. Terms of Reference
4. Anticorruption Compliance Certification
5. Labor Pricing Template
6. Mandatory Terms

<b>Attachment 1</b> <b>Proposal Procedures and Instructions</b>
--

This section of the RFP provides the general procedures and instructions the Offeror is expected to follow in completing its response and submitting the Proposal.

**1.1 Proposal Format and Content**

Offerors shall submit the following clearly identified two components with numbered and ordered subsections in the Proposal that match those subsections detailed in Section 6 “Proposal Requirements” of the Terms of Reference in Attachment 3:

- Technical Proposal; and
- Price Proposal

Clarity and completeness are of the utmost importance in your Proposal, as your organization’s capabilities can only be considered when properly documented within the Proposal.

**1.2 RFP Schedule of Events**

- a) **Deadline for Proposals**, with all required signatures, including a completed and signed Anticorruption Compliance Certification, is no later than 1700 Hrs. US Eastern Time (US ET) on **May 22, 2017**. Proposal documents should be submitted in one email to [info@agresults.org](mailto:info@agresults.org). Please indicate “Kenya Market Penetration Surveys RFP” in the subject line of the email.
- b) **Questions** concerning the Pilot or this RFP may be submitted by vendors at any time, but no later than 1700 Hrs. US Eastern Time (US ET) on **April 28, 2017** to [info@agresults.org](mailto:info@agresults.org). Please indicate “Kenya Market Penetration Surveys RFP” in the subject line of the email.
- c) **Answers** to timely-received questions will be publicly posted on <http://agresults.org/en/288/GetInvolved> no later than 1700 Hrs. US Eastern Time (US ET), on **May 3, 2017**.
- d) The Secretariat expects to award the Kenya Market Penetration Surveys contract on or about **May 31, 2017** with an expected contract start date of **June 14, 2017**.

Please be advised that late Proposal submissions may be considered non-responsive and may be excluded from evaluation and award consideration.

**1.3 Anticipated Contract Type and Period of Performance**

The Secretariat expects to award a Fixed Price Contract to the organization(s) hired for the services detailed in this Request for Proposals (RFP).

Payment for the survey organization(s) services under the contract will be made by the AgResults Trustee, the International Bank for Reconstruction and Development (IBRD, “The World Bank”). The Trustee reserves the right to withhold from payments any taxes or similar fees as may be required by applicable law.

**1.4 Terms of Reference**

See Attachment 3.

**1.5 Proposal Validity Period**

The Offeror’s Proposal must remain valid for one hundred and twenty (120) days after submission and the validity period of 120 days must be noted in the Offeror’s Proposal cover letter.

**1.6 Responsibility for Compliance with Legal Requirements**

The Offeror’s products, services, and facilities must be in full compliance with all applicable laws, regulation, codes, standards, and ordinances, regardless of whether or not they are referred to by the AgResults Secretariat.

**1.7 Proposal-Related Incurred Costs**

The Offeror will be responsible for all costs incurred in preparing or responding to this RFP. All materials and documents submitted in response to this RFP become the property of the AgResults Secretariat and will not be returned. This RFP will in no way obligate the AgResults Secretariat to compensate any Offeror for costs associated with the preparation of its Proposal.

**1.8 Reservation of Rights**

This RFP does not commit the AgResults Secretariat to award a contract, to pay any costs incurred in the preparation of a Proposal in response to this request, or to procure or subcontract for services or supplies. The AgResults Secretariat reserves the right to cancel this procurement at any time without prior notice. The AgResults Secretariat may require the Offeror to participate in discussions, solely at the AgResults Secretariat’s discretion, and to submit such monetary, technical or other revisions of their Proposals that may result from such discussions. Offerors do not have the right to protest or seek a claim based on the AgResults Secretariat’s exercise of its discretion or judgment in evaluating or awarding a contract arising from or relating to the Proposal. The Offeror expressly waives any and all rights and remedies under any civil action arising from or related to the submittal of a Proposal.

**1.9 Rejection of Solicitation Response**

The AgResults Secretariat reserves the right to reject any or all responses received or any part thereof, on any basis or for any reason to accept any response or any part thereof, or to waive any informalities when deemed to be in the AgResults Secretariat’s best interest.

**1.10 Taxes**

Any applicable taxes that may be levied in connection with the Services in any jurisdiction will be the responsibility of the selected survey organization(s) and are deemed to be included in the Offeror's proposed fixed price or fixed unit prices. The AgResults Secretariat cannot confer any special tax- or duty-free status to the survey organization(s) and the work is not exempt from any taxes or duties.

#### **1.11 Evaluation Criteria**

Proposals will be evaluated and ranked by the AgResults Secretariat in the order in which they represent, in the Secretariat's sole discretion, the best value for the Pilot. Greater weight will be given to the technical services than to price, but price remains an important determinant for selection. Evaluation of the Proposals may include the following criteria (not in any particular order):

- a) Demonstrated capacity and capability of the Offeror
- b) Strength of the management team proposed to carry out the Terms of Reference
- c) Past performance/experience in Kenya or the region with similar services in agribusiness market surveys
- d) Understanding of the terms of reference, methodology, approach and quality of the Offeror's Proposal
- e) The reasonableness of the proposed budget for the Offeror's compliance with the terms in the SOW

#### **1.12 Compliance with Anticorruption Laws**

The Offeror represents and warrants that, in connection with this solicitation, the Offeror and any person or entity acting on its behalf has complied, and will continue to comply, with the U.S. Foreign Corrupt Practices Act (15 U.S.C. Section 78dd-1, et. seq.) as amended ("FCPA"), and all other applicable anticorruption laws, rules and regulations. As a general description, the FCPA prohibits corruptly offering or providing money, gifts or anything of value, to foreign (i.e. non-U.S.) officials for the purpose of obtaining or retaining business, or to secure an improper advantage. Other applicable anticorruption laws may also prohibit bribery of foreign officials or commercial counterparties. The Offeror, if awarded the role of survey organization(s), must notify the AgResults Secretariat immediately of any suspected violation and may report a suspected violation anonymously.

#### **1.13 Anticorruption Compliance Certification**

The Offeror is required to submit a completed and signed Anticorruption Compliance Certification (see Attachment 4).

#### **1.14 Confidential Information**

Notwithstanding any agreements, including any separate nondisclosure agreements, already in place between the parties, the AgResults Secretariat assumes no obligation regarding confidentiality of all or any portion of a Proposal or any other material **except** that the AgResults Secretariat may not disclose any portion, which the Offeror clearly designates as containing proprietary information by affixing the following paragraph **on the title page**:

*“This proposal, where explicitly marked, includes data that shall not be disclosed outside of the AgResults Initiative and its respective advisors, consultants and contractors, and shall not be used or disclosed—in whole or in part—for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this Offeror as a result of—or in connection with—the submission of this proposal, the AgResults Secretariat shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the right of the AgResults Initiative bodies, including the Secretariat, and its members, to use information contained in this data if it is obtained from another source without restriction.”*

The Offeror will mark **each sheet** of data it wishes to restrict with the following: *“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal. “*

Notwithstanding the foregoing, the Offeror agrees that its Proposal, including any portion containing confidential information, may be shared by the AgResults Secretariat with the World Bank (the AgResults Trust Fund Trustee), the AgResults Steering Committee, and any or all Contributors to the AgResults Trust Fund. The Offeror’s confidential information included in the Proposal may be also disclosed to third parties if required by order of a court, administrative agency or governmental body, or by any law, rule or regulation, or by subpoena, or any other administrative or legal process, or by applicable regulatory or professional standards; provided, however, that, to the extent permitted by applicable law, the AgResults Secretariat would use reasonable efforts prior to such disclosure to notify the Offeror and allow the Offeror to seek a protective order to restrict or narrow the disclosure in accordance with applicable law.

<p style="text-align: center;"><b>Attachment 2</b> <b>AgResults Background</b></p>
--

## 1. AgResults Background

The AgResults initiative (“AgResults”) is a USD \$118 million multilateral initiative financed jointly by the governments of Australia, Canada, the United Kingdom, and the United States, in collaboration with the Bill & Melinda Gates Foundation (each, a “Contributor”). AgResults seeks to increase private sector investment in food security and agriculture globally. AgResults establishes “pull mechanisms” - economic incentives, or grants, that are provided to implementing organizations after achieving specific outcomes, where private sector investment is absent or hindered due to market uncertainties. In doing so, AgResults goes beyond traditional aid “push mechanisms” that provide funding, technical assistance, or other inputs to create development impacts. Instead, AgResults-financed pull mechanisms define a development problem and pay only for development outcomes that are achieved. AgResults is currently implementing pilot projects in Nigeria, Kenya, Uganda and Zambia, and launching a new pilot globally and one in Vietnam.

Several different stakeholders are involved in implementing the AgResults Initiative:

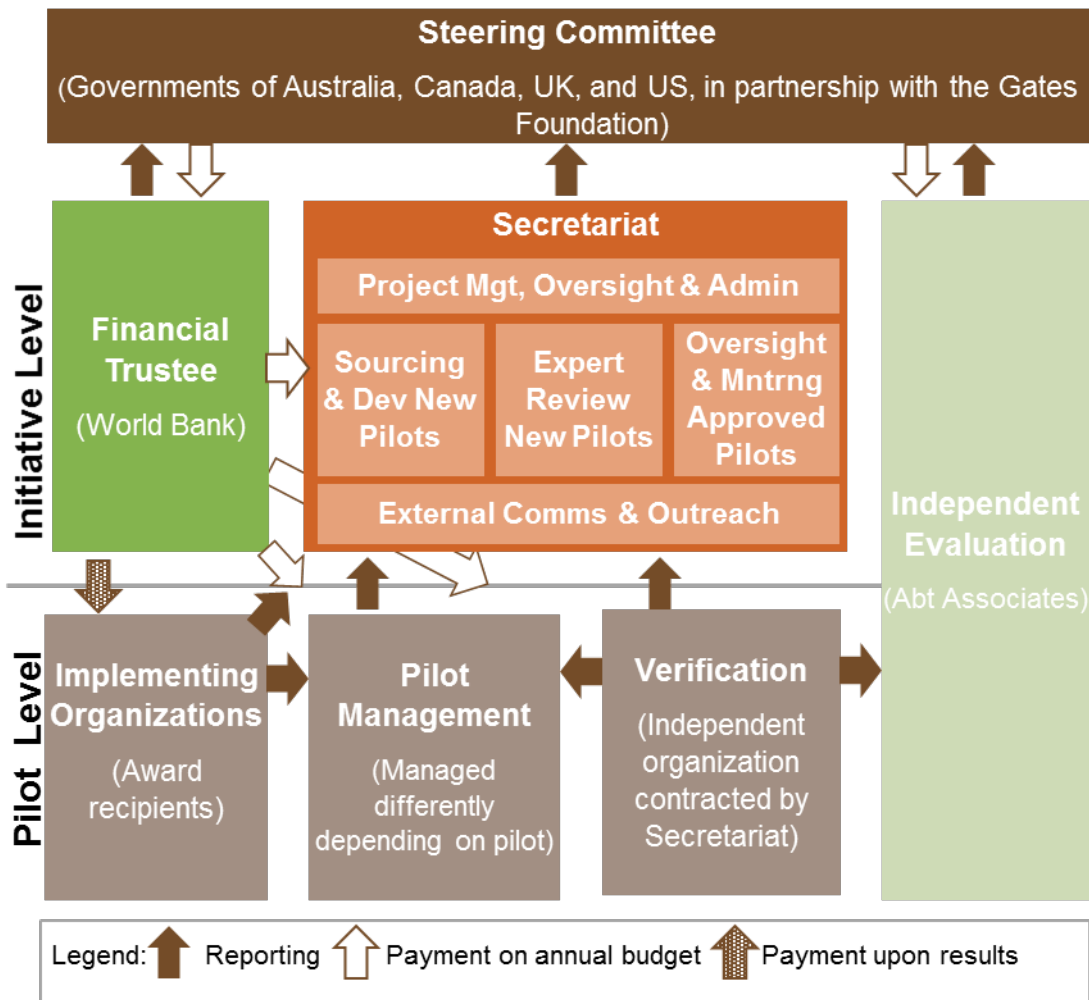
- A **Steering Committee**, comprised of donor organization representatives and the Trustee, makes strategic decisions.
- The International Bank for Reconstruction and Development serves as the **Financial Trustee** of the AgResults initiative, manages donor contributions in a trust fund, makes payments of the grants to the Implementers, and contracts with the AgResults Secretariat and Independent Evaluator.
- Deloitte Consulting is the current **AgResults Secretariat** and during its appointment is responsible for designing new Pilot projects as well as oversight and monitoring of the approved AgResults Pilot projects’ implementation.
- A **Pilot Manager** (referred to as the “Project Manager” in the Fund Framework Agreement) manages implementation of specific pilot project in-country. Agribusiness Systems International (ASI) serves as Pilot Manager for the Kenya Pilot.
- **Implementers** are organizations that participate in AgResults pilots and receive performance-based grants or prizes if the pilot-specific Implementer results are achieved and verified. In case of the Kenya On-Farm Storage Pilot, AgResults-selected grain storage device companies are the Implementers.
- Pilot **Verifier** verifies whether Implementers have achieved reported results and are eligible for the payment of the pilot grants or prizes in accordance with the specific pilot terms. The Secretariat contracts the Verifier organization (s) but the Pilot Manager oversees all

verification work. The Kenya On-Farm Storage Pilot has a Sales Verifier that verifies the Implementers’ reported sales.

- The Steering Committee has also contracted with **Abt Associates** to serve as an **Independent Evaluator** of certain AgResults pilots to measure impacts and to compare AgResults pilots to traditional, “push mechanism” development approaches.
- In addition, the Pilot Manager organizes and oversees an **Advisory Council** of about 10–20 representatives from key stakeholders to provide advisory guidance to the Pilot Manager. The Advisory Council is not a decision-making body, but can provide important advice for Pilot launch and implementation

The relationship among the key parties is illustrated below:

## 2.0 Pilot Background and Implementation Activities





## **2.1 Kenya Pilot Background and Objective**

The *Kenya On-Farm Storage Pilot* (Pilot) is designed to address post-harvest losses of grain that are a major threat to food security in developing countries. Post-harvest losses of grain in the developing world are particularly acute in Sub-Saharan Africa (SSA), where on-farm storage devices are either not widely available or poorly adapted to local needs, with inadequate protection against insects and pests that consume stored crops. Post-harvest losses in SSA are estimated at 13.5% of the total value of grain production, or US\$1.6 billion per year. Approximately 20% of the grain in SSA is grown in Eastern Africa, where post-harvest losses are significant. In Kenya, the Rift Valley region produces approximately 60% (two million metric tons) of the country's maize, presenting an attractive market for grain storage devices. Kenya's Eastern region is the third largest maize-producing region in Kenya and is known to experience significant losses from larger grain borer (LGB) outbreaks.

### **2.1.1 Pilot objectives**

The Pilot specifically has three objectives:

- 1) To increase the economic welfare of smallholder farmers through improved access to enhanced storage devices that minimize crop losses and enable smallholder farmers to store maize throughout the year, rather than having to sell at low prices following harvest and having to re-purchase maize for consumption at higher prices later in the year;
- 2) To help catalyse a sustainable long-term market for grain storage devices in Kenya, with the potential for spill overs as the cost of smallholder-specific storage devices falls through economies of scale; and
- 3) To test an innovative approach to engaging the private sector to serve smallholder farmers' needs, with potential future applicability to the delivery of other goods and services to smallholder farmers.

The Kenya Pilot has the potential to achieve the following results:

- Reach approximately 480,000 smallholder farmers with quality storage devices and create in excess of 172,000 metric tons (MT) of new storage capacity for grain in the Rift Valley and Eastern regions of Kenya.
- Generate sizeable and quantifiable monetary benefits for smallholder farmers from the ability to spread sales of grain into higher-priced periods and from a reduced need to buy grain for household consumption, particularly during non-harvest months.
- Enable Implementers to test marketing strategies that can be used for distribution of storage devices and other products targeting smallholder consumers.

### **2.1.2 Storage device types**

Storage devices used under the Pilot generally fit under one of the four following storage types:

- 1) Storage-enhancing bags: Assumed useful life of 3 years
- 2) Storage-enhancing flexible bulk bags: Assumed useful life of 10 years
- 3) Plastic containers: Assumed useful life of 15 years
- 4) Metal containers: Assumed useful life of 20 years

### **2.1.3 Implementation timeframe and Pilot Areas**

The Pilot is being implemented over three years, May 2015 through May 2018, in 14 counties (Pilot Areas) located in the Rift Valley and Eastern Regions of Kenya.

The designated Pilot areas are:

- Nine Rift Valley counties (collectively referred to as “Rift Valley”): Baringo, Bomet, Kericho, Laikipia, Nakuru, Nandi, Narok, Trans Nzoia, Uasin Gishu
- Five Eastern Region counties (collectively, “Eastern”): Embu, Kitui, Machakos, Makueni, Meru

### **2.1.4 Pull Mechanism: Performance-based Grants**

The Pilot is a results-driven pull mechanism, designed to promote agricultural innovation through private sector-led models for development and sales of low-cost grain storage devices that reduce grain losses for smallholder farmers. For the purposes of the Pilot, a smallholder farmer is defined as a person who cultivates a plot of land less than five hectares or 12.5 acres.

The Pilot administers performance-based grants awarded for sales of qualifying storage devices (adjusted by storage capacity and useful life), sold by participating private companies - Implementers - to smallholder farmers (SHF) in Kenya’s Rift Valley and Eastern region pilot areas.

Currently, there are nine Implementers in the Pilot, and more are expected to join.

## **2.2 Verification design for sales to smallholder farmers**

To accurately determine the grant allocation to the private sector Implementers, several activities are being undertaken to validate the Implementers' market penetration specifically to smallholder farmers. These activities include sales tracking and reporting, sales data verification (sales audits), and market penetration surveys.

### **2.2.1. Sales Tracking and Reporting**

Implementers are responsible for tracking and reporting total sales data for each storage device. The sales data is reported to the Pilot Manager on a monthly basis, using a sales reporting template provided by the Pilot Manager. The data provided by the Implementer via the template includes:

- a) Total Sales disaggregated by storage device
- b) Total Sales disaggregated by region (Rift Valley or Eastern) and by county
- c) Number of returned, refunded or unsold devices originally reported in previous periods.

The Implementer self-reported sales are accumulated and reported through a Pilot Manager-maintained system called *Mauzo* (Swahili word for ‘Sales’)

### **2.2.2 Sales Data Verification**

Essential to determining the overall impact of the Pilot and accurately distributing the performance-based grants is accurately tracking and verifying the total sales reported by the Implementers. An independent Sales Verifier, EY Kenya, contracted by the Secretariat and overseen by the Pilot Manager, performs sales reviews on a quarterly basis, and will continue

throughout the three-year Pilot sales period to confirm that the Implementer-reported total sales are valid.

### **2.2.3 Market Penetration Surveys**

As the Pilot's goal is to improve the economic welfare of smallholder farmers, which are defined by the Pilot as cultivating less than 5ha/12.5 acres, AgResults must not only determine total sales by Implementers but total sales made specifically to smallholder farmers. To determine the proportion of each Implementer's total sales that went to smallholder farmers, AgResults intends to engage a qualified firm(s) to conduct one demographic/randomized household survey and two large market penetration household surveys to determine the proportion of sales of each storage product purchased by smallholder farmers. These proportions will then be applied to the self-reported total sales that each company has reported and that has been audited and confirmed.

Specifically, AgResults plans to engage qualified firms to conduct Market Penetration Surveys comprised of one (1) Randomized Rural Household Survey (aka demographic survey) and two (2) market share surveys as follows:

1. Randomized Rural Household Survey ("RRHS") taken approximately 25 months after the pilot's inception: June 2017
2. Mid-point Market Share Survey ("MpMSS") of smallholder and non-smallholder farmers taken approximately 29 months after pilots inception: September 2017
3. End-point Market Share Survey ("EpMSS") of smallholder and non-smallholder farmers taken at approximately 36 months after pilot inception: May 2018.

This RFP seeks only Proposals from qualified firms interested in conducting the RRHS and the MpMSS, as detailed in the below Terms of Reference (Attachment 3). The EpMSS procurement will be determined at a later date and it is not part of this RFP.

<b>Attachment 3</b> <b>Terms of Reference</b>
--

## 1.0 Market Penetration Surveys - General Role Description

### 1.1 Introduction

Given the survey's importance and central role to the AgResults Kenya On-Farm Storage Pilot (Pilot), it is of the utmost importance to instill the highest level of confidence in the results not only for the Implementers, but also the AgResults donors, and the general public. The purpose of this assignment is for the selected firm, referred to herein as the Primary Survey Firm ("PSF"), to assist the AgResults Kenya Pilot Manager to plan and execute the RRHS and the MpMSS as per these Terms of Reference.

### 1.2 Period of Performance

The Secretariat expects to award one Fixed-Price Contract to the PSF hired for the following two surveys:

- **Randomized Rural Household Survey (RRHS)** to be carried out in June 2017
- **Mid-point Market Share Survey (MpMSS)** to be carried out in September 2017

### 1.3 Survey Firm Responsibilities

The PSF will be responsible for carrying out the Terms of Reference described in this section, utilizing the guidance given, while exercising the duty of care and professional skill expected of a professional market research firm. The PSF team will, among other things,

- i. Attend an orientation meeting with the Pilot Manager to confirm a common understanding of scope and tasks
- ii. Be available for subsequent meetings requested by the Pilot Manager
- iii. Sample respondent households in each Enumeration Area ("EA") – in this case based on each Pilot county - including verifying land size cultivated by households and quality of interviews
- iv. Ensure accuracy of the households listing generated during identification process using simple random selection methodology
- v. Ensure collection of quality survey data in the field
- vi. Ensure timely implementation of all aspects of the surveys
- vii. Produce comprehensive, timely and high quality reports as agreed with the Pilot Manager
- viii. Provide the Pilot Manager with regular updates of ongoing survey work, including any significant issues and challenges experienced, how the challenges were resolved or are proposed to be resolved, any anticipated delays and plans for countering such delays
- ix. Observe standard ethical guidelines in the course of the survey work

### 1.4 Key Personnel Roles and Responsibilities

The Offeror should propose key personnel details for each survey team, including:

- Overall number, roles and responsibilities of the data collection team

- Qualifications and experience of the proposed key personnel including team leader, field operations manager/supervisor, data manager, Computer Assisted Personal Interviewing (“CAPI”) expert, etc. The Offeror should indicate experience of the proposed data manager with using CAPI and GPS devices.

Sections 2 and 3 specifically address requirements for implementing the RRHS and the MpMSS by the PSF who will be awarded the contract. Section 4 outlines ethical considerations that will be applicable to the PSF. Specific deliverables and tasks follow in Section 5.

## **2.0 Randomized Rural Household Survey (RRHS)**

### **2.1 Objective of the RRHS**

The overall objective of RRHS is (1) to establish the proportion of smallholder farmers in the 14 Pilot counties and (2) estimate number of Pilot-eligible products purchased by smallholder farmers to date. The data will inform sampling for the mid-point and end-point market share surveys. PSF will follow any and all additional protocols specified by the Pilot Manager and provided to the PSF prior to the start of the survey.

### **2.2 Survey design and planning**

PSF will undertake the following design and planning activities:

- Develop sampling design and survey instrument, including translation from English to Swahili, and quality assurance
- Recommend the final data collection platform, convert the survey instruments into the electronic data collection software format, and program and test hand-held data collection devices
- Develop final tasks and responsibilities of each member of the team, including tools translation, as well as plans for field staff substitution to cover any illness or staff attrition in core team.
- Plan for survey team training, develop training materials, undertake the training, pilot-test the survey instruments and produce the final instruments and work plan
- Share detailed work plan with Pilot Manager for approval (including specific dates and sampled EAs before commencement of fieldwork)
- Liaise with county agriculture officers to lay the groundwork for the smooth execution of the surveys in the 14 counties (all meetings with the county officials must be coordinated in advance with the Pilot Manager).

The PSF’s planning for RRHS shall include the finalization of the sampling framework, methodologies for random selection and community entry, and development of data collection tools. When finalizing the survey implementation plan, the PSF shall take into account national holidays, election activities and rainy/dry seasons (significant areas inaccessible during the rainy season so field plans should take this into consideration).

- (i) **Plan for implementing survey tools:** The PSF in consultation with the Pilot Manager, shall propose a quality control plan that will dictate their interview process. The Pilot Manager

will also develop quality checklists to be used in administering questionnaires to sampled respondents. The questionnaires and checklists shall be piloted prior to using them in the surveys.

The plan will include procedures for sharing daily feedback with the Pilot Manager to provide recommendations where:

- PSF enumerator performance seems inadequate and warrants replacements,
- implementation is not going well and needs adjustment,
- there is need to improve on data collection tools.

(ii) **Plan for random selection procedure and tools:** The PSF must propose a plan that includes procedures for sharing daily feedback with the Pilot Manager to provide recommendations to PSF when randomization implementation seems inadequate and warrants adjustments.

(iii) **Plan for conducting data quality checks and tools:** The PSF, in consultation with the Pilot Manager, must also propose a plan for conducting quality back-check surveys of the data collected during the RRHS. This plan must elucidate exactly how issues and discrepancy reports will be generated. The PSF will assist the Pilot Manager in translation of all tools/questionnaires necessary for conducting this activity. The plan will include procedures for sharing daily feedback to the Pilot Manager to provide recommendations to PSF when data quality seems inadequate and warrants adjustments.

(iv) **Field procedure plan:** The PSF shall outline detailed aspects of the field work to be conducted, including:

- Composition of the data collection team:
  - Qualifications and experience of PSF Team including team leader, field operations manager/supervisor, data manager (indicating data manager's experience using CAPI and GPS devices), CAPI expert, etc.
  - Number of field officers and their roles
  - Qualifications: profile of field officers at supervisory level since they will be checking for data quality
  - All staff must be fluent in Swahili and English, and it is preferable if field officers speak dialects of the regions they are working in
  - Expected tasks and responsibilities of each member of the team, including tools translation, plans for field staff substitution to cover any illness or staff attrition in core team.
- Detailed calendar of activities (prepared separately for RRHS) including:
  - Sensitization activities, getting letters of introduction from the necessary ministries and reporting to the necessary authorities
  - Number of visits per sampled household. A minimum of three visits should be conducted in cases when respondents are away before considering the household as unavailable. These revisits should take place on different days and at different times of the day for any given household when attempting to contact respondent.

- The final calendar for data collection activities will be finalized by the Pilot Manager, based on the proposed PSF implementation plan, to aid in devising timelines for quality checks.
- Management structure and reporting tools for timely tracking progress of checklist data, random selection verification, quality checks, data entry and protocol for sharing this information with the Pilot Manager
- Protocols for using electronic platform that will be used for all monitoring activities that involve data collection, monitoring checklist, random selection verification and data quality checks.
  - Electronic data transmission protocols with a description of how data will be uploaded, and made available to the Pilot Manager and how regularly it will be done
  - Protocols for adequate internet data packages to transfer the data as it gets collected or at least before end of each working day in situations where there is no or limited connectivity.
- Experience using GPS and/or Geographical Information System (GIS) data,

Upon contract award, this field plan shall be presented to the Pilot Manager for comments and revised as necessary prior to commencing fieldwork. PSF must implement all monitoring activities while adhering to protocols as agreed with the Pilot Manager. If field conditions dictate significant changes to these plans or conditions in the field pose risk to data quality, PSF is obliged to inform the Pilot Manager in a written progress report.

Develop training manuals for field officers and share with the Pilot Manager for approval prior to implementation. Manual must include:

- A background on the assignment
- Interviewing techniques and skills including ethical considerations
- Discussions of all questions and their interpretation
- The questionnaire logic flow and skip patterns
- Use of GPS devices to enable household random selection process
- Handling of data collection devices, trouble-shooting technological hitches and submitting completed interviews to the online platform
- Taking good quality photos of the promoted devices, how to store them securely and share with Pilot Manager
- Guidelines for conducting CAPI interviews, collecting GPS data and photo verification procedures
- Communication and coordination within and across field team(s)
- Ethics. Ensure that Ethical issues are entrenched as part of the quality aspect of the survey, respect and observed by all team members with stiff penalties for those who do not uphold the research ethics.

### **2.2.1 Determination of Sample**

The RRHS will use statistical sampling methods to establish a representative number of households to visit within the 14 counties. The sample size should be based on the most recent 2009 Kenya National Bureau of Statistics (KNBS) data. The 2009 census data was collected prior

to the ratification of the new Kenyan Constitution under which the government was decentralized and new counties were defined. In order to correct for this, sample size calculations will take the total population of the former provinces minus the share of those living outside the 14 AgResults Pilot counties, with an assumed proportional household size and rural share.

Given that the KNBS census data does not specify smallholder farmers, PSF should assume that every household includes a smallholder farmer, resulting in an estimated smallholder farmer population in the Eastern region of 1.1 million and in the Rift Valley region of 1.53 million. This is a high estimate, but the assumption is reasonable as the RRHS simply aims to establish an order of magnitude of the proportion of smallholder farmers for the planning and implementation of additional verification surveys that will be conducted later in the Pilot. By estimating the minimum expected number of buying smallholder farmers, the RRHS will assist the AgResults Pilot to plan future verification activities in terms of survey scope, sample size, sample distribution and costs.

To arrive at the sample size to be used in the RRHS, the standard sample size equation below is used:

$$n = \frac{Z_{\alpha/2}^2 p(1-p)}{d^2} D$$

Where:

$n$  = the sample size

$Z_{\alpha/2}^2$  = the corresponding standard score with a confidence level of 95%, it has a value of 1.96

$p$  = the occurrence level of the phenomenon under study (i.e. proportion of smallholder farmers) and is equal to 0.5 where the occurrence level is not known

$D$  = the design effect, and the power calculations for the population size of the Eastern and Central Rift Regions estimates it at 1

$d$  = required level of precision taken to be 5%

Replacing the above variables with known values in the equation produces  $n \approx 385$ , which after increasing by 5% to account for contingencies (such as non-responses) gives 403 households. The number of respondents or households that will be targeted in the RRHS is therefore 403 per county. For all 14 counties the total target number of respondents or households is 5,642. At a standard confidence level of 95%, this sample size is expected to give an acceptable estimate of the proportion of smallholder farmers in the Pilot counties.

The PSF will employ a multistage simple random sampling approach when selecting the 403 households in each county: first, each county will be divided into smaller regions (sub-counties, wards, and enumeration areas); then, a random sample of these regions will be collected. The PSF is encouraged to utilize KNBS standards in selection of the clusters and the EAs. By enlisting the expertise of KNBS, the survey will benefit from the master sampling frame, the Fifth National Sample Survey and Evaluation Program (NASSEP V). The selection of EAs in each of the Pilot counties should be randomized and will take into account KNBS standards on EAs identification.



### **2.2.2 Questionnaire and platform finalization**

The RRHS will use a short structured questionnaire that will take about 20 minutes to administer. As part of survey planning, the PSF will be provided with the draft questionnaire by the Project Manager and is expected to provide comments for refinement and better understanding of the instrument. After the questionnaire is complete, PSF will identify and propose an electronic data collection platform suitable to meet AgResults data collection requirements. The PSF will propose alternatives available and the merits for each alternative platform. After the most appropriate platform is agreed upon between the Pilot Manager and PSF, the PSF will customize and upload the questionnaire to the platform. The selected database must include an accompanying data dictionary that defines variables and coded entries. The PSF shall ensure that the Pilot Manager has appropriate access and user rights to the platform in connection with the performance of this Agreement.

The recommended platform must capture GPS location, and should work with or without internet connectivity as some of the rural households may have no or limited internet connectivity. The platform recommended should also be able to support qualitative data and photos. The PSF data collection team must therefore be familiar with electronic data collection. It is the responsibility of the PSF to provide the hand-held devices that will be used to collect data. Such devices must be available and programmed for use during the enumerator training and piloting stage of the survey. The PSF should translate the questionnaire into local languages to be discussed and agreed with the Pilot Manager.<sup>1</sup>

### **2.3 Training and testing**

The success of any field survey depends on the ability and capability of the field team members. Inadequate training is a major source of non-sample error and is near to impossible to correct during the analysis stage. The research team needs to be trained properly in the agreed survey techniques, survey instruments, quality control and use of CAPI.

The PSF field officers selected shall attend the training in full prior to the start of the survey execution by the PSF. Additional sessions will be conducted with the Pilot Manager to assess the quality of their data collection. The Pilot Manager maintains the right to request the PSF to replace any officers not deemed fit for the surveys. The selected field officers should be available to work throughout the data collection period.

As part of their training, field supervisors will pilot the survey questionnaire among households in clusters outside of the randomly selected EAs.<sup>2</sup> PSF will provide feedback to the Pilot Manager for improvement to tools and implementation methodology, including testing the routing, length and

---

<sup>1</sup> All questionnaire development must take into consideration local languages and translation. The smallholder farmer population may not have advanced levels of education, and therefore questionnaires must be translated based on the language(s) most accessible by the farmer population.

<sup>2</sup> Piloting of tools and methodologies may be done in the program area only after random selection has been done for the RRHS .

flow of the questionnaire. The questionnaire will be revised and will be translated into required local languages. Following the piloting of the data collection tool the Pilot Manager and PSF will incorporate any necessary changes to the tools and workplan.

#### **2.4 Field data collection**

Through the field data collection process, PSF will:

- Identify smallholder farmers, or those farmers cultivating less than 12.5 acres (5 hectares) total.
- Conduct interviews with the appropriate number of respondents per EA per an established field visit schedule.

From the selected EAs, the enumerators will visit pre-selected households. The survey team will make up to two call-backs (for a total of three visits) to the household, in case the family is unavailable or out during the first call, before replacing the household. Replacement households must be chosen according to the criteria defined by the Pilot Manager before the household is eligible for inclusion in the RRHS. The data collected from a replacement household must be distinguished from originally selected households for analysis purposes.

The questionnaire will be administered to the head of household, spouse, or a household member older than 18 years of age. The first question will be to determine if the household includes a smallholder farmer. If the respondent indicates that the household does not cultivate any land, then the enumerator will administer only household characteristic questions and then move to the next identified household as per the random selection methodology. The structured questionnaire will collect household information including full name of person interviewed, contact information, size of the farm, crops grown, and number of members of household. All collected information will be treated as confidential.

Additional questions for smallholder farmers (with accompanying visual aids of devices) will be asked to determine if farmers have purchased any AgResults-participating company's storage products since May 2015 (purchase timing), and if so which products (using photo verification). Further product information will include how many, price paid, and location of purchases. Questions will also include any significant post-harvest losses, and other descriptive information centering on post-harvest grain handling. Additionally, GPS coordinates will be collected for all households visited, even those that are not identified as smallholder farmers, to provide a spatial mapping of smallholder farmers in the counties for reporting purposes.

Adequate time should be allocated to reach the selected EAs and selected households including up to two call-backs, in case the family is unavailable or out during the first call. For each household visit, ample time should be allocated for the survey team to capture responses to the survey questions, get the consent of the respondent and provide time for the respondent to ask questions about the survey.

It is expected that an enumerator can cover 8-10 households per day based on time variance between screening households out of questionnaire and necessary activities for product verification. Thus with one survey team per county comprised of 4-5 enumerators and 1 field

supervisor, the RRHS is estimated to take 2-3 weeks (calculated based on a 6-day work week). Any AgResults or agriculture-related questions that the enumerator cannot answer should be referred to the Pilot Manager.

The PSF shall report daily throughout the duration of the exercise to the Pilot Manager on protocol adherence and/or interview quality. These reports must be submitted in writing. Daily reports should include updates on challenges encountered during data collection, how the challenges were resolved and recommendations for future improvements.

## **2.5 Data analysis and finalization**

Simultaneously with field data collection, at the end of each day, PSF supervisor will download all data from collection devices and run full validation checks and conduct visual checks (including but not limited to completed questionnaires, errors, or odd responses). This data, along with GPS coordinates of respondent households, will then be uploaded to the platform and made available in real-time to the Pilot Manager for monitoring and timely feedback given to the PSF. In addition, if any cleaning has been performed then the associated code (e.g. do-files in case of Stata) should also be submitted.

PSF supervisors shall confirm hard and soft data quality and also physically visit at least 10% of sampled households that have been interviewed by the enumerators and administer a short field monitoring quality checklist to the interviewed respondent (i.e. the household head, spouse or household member over the age of 18). An additional aspect of the quality checks shall be taking photos of AgResults Kenya Pilot eligible products available at the interviewed household, if present.

Following field activities, the PSF shall finalize and review the database for overall quality of the data, including completeness, consistency, conformity, accuracy, uniqueness, and integrity. After confirming quality, the PSF shall submit the raw dataset and cleaned dataset to Pilot Manager. Data will be shared in a compatible format with multiple statistical programs (SPSS, Stata, SAS) and not limited to any one software. The PSF shall ensure it has received any applicable consent(s) or rights for the Pilot Manager to access and use the data in connection with the Pilot.

## **2.6 Final report**

The PSF shall produce and submit a high quality survey report signifying successful undertaking of activities described in the PSF contract and showing the survey findings and recommendations. The report's structure and quality parameters will be as agreed with the PM.

### 3.0 Mid-point Market Share Survey - MpMSS

#### 3.1 Objective of the MpMSS

The overall objective of this survey is to obtain data on the number of smallholder farmers versus non-smallholder farmers<sup>3</sup> who have purchased any of the Pilot eligible products, as well as other descriptive information.

#### 3.2 Survey Design and planning

PSF will undertake the following design and planning activities:

- Develop sampling design and survey instrument, including translation from English to Swahili, and quality assurance
- Recommend the final data collection platform, convert the survey instruments into the electronic data collection software format, and program and test hand-held data collection devices
- Develop final tasks and responsibilities of each member of the team, including tools translation, as well as plans for field staff substitution to cover any illness or staff attrition in core team.
- Plan for survey team training, develop training materials, undertake the training, pilot-test the survey instruments and produce the final instruments and work plan
- Share detailed work plan with Pilot Manager for approval (including specific dates and sampled EAs before commencement of fieldwork)
- Liaise with county agriculture officers to lay the groundwork for the smooth execution of the surveys in the 14 counties (all meetings with the county officials must be coordinated in advance with the Pilot Manager).

The PSF's planning for MpMSS shall include the finalization of the sampling framework, methodologies for random selection and community entry, and development of data collection tools. Similar approaches and tools will have been established and refined after the RRHS, and therefore should take less time at this stage. When finalizing the survey implementation plan, the PSF shall take into account national holidays, election activities and rainy/dry seasons (significant areas inaccessible during the rainy season so field plans should take this into consideration).

- (i) **Plan for implementing survey tools:** The PSF in consultation with the Pilot Manager, shall propose a quality control plan that will dictate their interview process. The Pilot Manager will also develop quality checklists to be used in administering questionnaires to sampled respondents. The questionnaires and checklists shall be piloted prior to using them in the surveys.

---

<sup>3</sup> A key assumption will be that large commercial farmers will not purchase one of the AgResults Kenya Pilot companies' products, and so they will not be sampled. The sample size should be calculated using the assumption that a sufficient proportion of total sales were made to smallholder farmers.

The plan will include procedures for sharing daily feedback with the Pilot Manager to provide recommendations where:

- PSF enumerator performance seems inadequate and warrants replacements,
- implementation is not going well and needs adjustment,
- there is need to improve on data collection tools.

(ii) **Plan for random selection procedure and tools:** The PSF must propose a plan that includes procedures for sharing daily feedback with the Pilot Manager to provide recommendations to PSF when randomization implementation seems inadequate and warrants adjustments.

(iii) **Plan for conducting data quality checks and tools:** The PSF, in consultation with the Pilot Manager, must also propose a plan for conducting quality back-check surveys of the data collected during the MpMSS. This plan must elucidate exactly how issues and discrepancy reports will be generated. The PSF will assist the Pilot Manager in translation of all tools/questionnaires necessary for conducting this activity. The plan will include procedures for sharing daily feedback to the Pilot Manager to provide recommendations to PSF when data quality seems inadequate and warrants adjustments.

(iv) **Field procedure plan:** The PSF shall outline detailed aspects of the field work to be conducted, including:

- Composition of the data collection team:
  - Qualifications and experience of PSF Team including team leader, field operations manager/supervisor, data manager (indicating data manager's experience using CAPI and GPS devices), CAPI expert, etc.
  - Number of field officers and their roles
  - Qualifications: profile of field officers at supervisory level since they will be checking for data quality
  - All staff must be fluent in Swahili and English, and it is preferable if field officers speak dialects of the regions they are working in
  - Expected tasks and responsibilities of each member of the team, including tools translation, plans for field staff substitution to cover any illness or staff attrition in core team.
- Detailed calendar of activities (prepared separately for MpMSS) including:
  - Sensitization activities, getting letters of introduction from the necessary ministries and reporting to the necessary authorities
  - Number of visits per sampled household. A minimum of three visits should be conducted in cases when respondents are away before considering the household as unavailable. These revisits should take place on different days and at different times of the day for any given household when attempting to contact respondent.
  - The final calendar for data collection activities will be finalized by the Pilot Manager, based on the proposed PSF implementation plan, to aid in devising timelines for quality checks.

- Management structure and reporting tools for timely tracking progress of checklist data, random selection verification, quality checks, data entry and protocol for sharing this information with the Pilot Manager
- Protocols for using electronic platform that will be used for all monitoring activities that involve data collection, monitoring checklist, random selection verification and data quality checks.
  - Electronic data transmission protocols with a description of how data will be uploaded, and made available to the Pilot Manager and how regularly it will be done
  - Protocols for adequate internet data packages to transfer the data as it gets collected or at least before end of each working day in situations where there is no or limited connectivity.
- Experience using GPS and/or Geographical Information System (GIS) data,

Upon contract award, this field plan shall be presented to the Pilot Manager for comments and revised as necessary prior to commencing fieldwork. PSF must implement all monitoring activities while adhering to protocols as agreed with the Pilot Manager. If field conditions dictate significant changes to these plans or conditions in the field pose risk to data quality, PSF is obliged to inform the Pilot Manager in a written progress report.

Develop training manuals for field officers and share with the Pilot Manager for approval prior to implementation. Manual must include:

- A background on the assignment
- Interviewing techniques and skills including ethical considerations
- Discussions of all questions and their interpretation
- The questionnaire logic flow and skip patterns
- Use of GPS devices to enable household random selection process
- Handling of data collection devices, trouble-shooting technological hitches and submitting completed interviews to the online platform
- Taking good quality photos of the promoted devices, how to store them securely and share with Pilot Manager
- Guidelines for conducting CAPI interviews, collecting GPS data and photo verification procedures
- Communication and coordination within and across field team(s)
- Ethics. Ensure that Ethical issues are entrenched as part of the quality aspect of the survey, respect and observed by all team members with stiff penalties for those who do not uphold the research ethics.

### **3.2.1 Determination of sample**

The MpMSS sampling is dependent on the results from the RRHS. It is anticipated that the sample size described below will change as it will be further refined by the RRHS and sales data from Implementers.

At the survey design stage, it is estimated that the mid-point survey needs to identify approximately 5,000 - 6,000 smallholder farmers that purchased a Pilot eligible storage device.

Using a confidence level of 95%, this will require that 55,000 households be interviewed. As in the RRHS, a simple random selection approach will be used across the 14 counties. With  $n= 55,000$  this means that 3,929 rural households would be sampled in each of the 14 counties.

The PSF will work out a sampling plan for household selection, i.e. randomly selecting clusters and implementation that includes random selection of households, using KNBS standards for guidance. For replacement households, i.e any selection of households that is not random, the PSF will adopt a procedure similar to that outlined in Section 2.3 above. The data collected from a replacement household must be distinguished from originally selected households for analysis purposes.

### **3.3 Training and testing**

A new training will be required since the survey implementation will be different (i.e. both smallholder and non-smallholder farmers will be interviewed). The PSF shall liaise with county agriculture officers to lay groundwork for smooth execution of the survey.

### **3.4 Field data collection**

Through the field data collection process, PSF will:

- conduct smallholder farmer identification process to identify farmers cultivating less than 12.5 acres or 5 hectares.
- interview sampled respondents as per field visit schedule and ensure data collected is of high quality. Both the starting point (a landmark from where the enumerator can proceed to the first household) and the direction to take will be generated and provided to the Pilot Manager.

The MpMSS questionnaire will be designed to be administered in 30 minutes or less. Smallholder farmers and non-smallholder farmers will participate in the full questionnaire. Enumerators must select each household per the random selection methodology. Replacement households will be pre-determined in consultation with the Pilot Manager. The survey will collect important confidential household information including, full name of person interviewed, contact information and number of members of household. Another question will be included asking farmers if they have purchased any of the AgResults Kenya Pilot participating company's storage products since May 2015 (purchase timing), and document which products were purchased using both verbal and photo verification. Additional product information will include how many devices purchased, the price paid and location of purchases. Questions may also include any significant post-harvest loss, and other descriptive information. Additionally, GPS coordinates will be collected for all households visited.

PSF supervisors shall confirm the data quality and also physically visit at least 10% of sampled households that have been interviewed by the enumerators to administer a short field monitoring quality checklist to the interviewed respondent. As part of these checks, supervisors shall take photos of any AgResults-eligible products available at the interviewed household.

It is a reasonable assumption that an enumerator may cover about 5-7 households per day based on the length of the questionnaire and product verification (45 minutes). Thus, with two survey

teams per county comprised of 5 enumerators and 1 field supervisor could complete a county in about 11 weeks (calculated based on a 6-day work week) of data collection, allowing for call-backs, travel and other time delays.

### **3.5 Data finalization and report**

Data cleaning and finalization shall be done to the same standards as required for the RRHS. Any omissions and inaccuracies in data should be remedied immediately and a log of such issues shared with the Pilot Manager promptly for review on the quality of data being collected. After confirming the data quality (completeness, consistency, conformity, accuracy, uniqueness, integrity), the PSF shall submit the raw dataset and cleaned dataset to Pilot Manager in a pre-agreed format and timelines. Data will be shared in a compatible format with multiple statistical programs (SPSS, Stata, SAS) and not limited to any one software. The PSF shall ensure it has received any applicable consent(s) or rights for the Pilot Manager to access and use the data in connection with the Pilot.

### **3.6 Final Report**

The PSF shall produce and submit a high quality survey report signifying successful undertaking of activities described in the PSF contract and showing the survey findings and recommendations. The report's structure and quality parameters will be as agreed with Pilot Manager.

## **4.0 Survey Ethics**

The Pilot surveys will be guided by the ethical principles of respect for persons, beneficence, and justice. The PSF survey team should demonstrate knowledge and experience in survey ethics. The PSF should provide a detailed plan on how the firm will comply with the survey ethics imperatives.

### *Ethical Clearance*

The Pilot Manager will seek ethical clearance on the survey design from the Kenyatta University Ethical Review Committee (KUERC), and a permit from National Commission for Science, Technology and Innovation (NACOSTI).

The Pilot Manager, PSF team leader, and supervisors will have a duty and responsibility to oversee the ethical matters, and in particular ensure that the trust and approval granted under the KUERC mandate is not breached.

### *Voluntary participation and Informed Consent*

It is important that an individual's decision to participate in the Pilot study is voluntary, and is based on the person's ability to make a knowledgeable and informed assessment of the risks and benefits of the research. The PSF will uphold this principle by obtaining voluntary, informed



written consent, in English or Kiswahili, from all respondents prior to their participation in the study.

The AgResults Pilot recognizes that informed consent is one of the primary considerations underlying research with human subjects, that it is not solely a piece of paper that must be signed, but is an ongoing educational process that takes place between the enumerator and prospective subject. Further, the consent document does not substitute for discussion. The PSF shall therefore ensure that participants have received full disclosure of the nature of the study, purpose, methods, demands, risks if any, potential benefits of the study, voluntary participation, observance of confidentiality of data collected, and with an extended opportunity to ask questions. There shall be an introductory letter on each questionnaire and a self-explanatory note on the purpose of the survey.

All tools and survey materials will be translated into Swahili and other local languages as deemed appropriate by the Pilot Manager to capture even those who not be fully conversant with English. The consent form will have contacts of the Pilot Manager/PSF research team members so that the respondents can contact them with any questions that they may have about the survey.

The PSF will ensure that all instruments for this study (household questionnaire, any other) shall have a section on informed consent. Survey enumerators must be trained on proper completion of the Informed Consent, so that they can appropriately complete it during the actual field work as they interact with the survey respondents.

Participation in the AgResults Pilot survey shall be completely voluntary. No person shall be subject to coercion or pressure in deciding whether to participate in the study. For individuals with diminished autonomy (e.g., minors, the mentally and physically challenged, etc.) the PSF will obtain both parental/guardian informed consent and their own assent, before participating in the survey. Where a potential participant lacks the capacity to consent, a person or appropriate statutory body exercising lawful authority for the potential participant shall be provided with relevant information and decide whether he or she will participate. That decision will not be contrary to the person's best interests. The PSF in this case will ensure parental or guardian consent to have their youth interviewed. If such consent is obtained and the person is still not willing to participate, the team will respect their wish.

#### *Confidentiality*

The privacy of study participants shall be upheld by maintaining their confidentiality. Care will be taken to ensure that respondents are not identifiable by the information they provide, unless they have agreed to be identified.

The questionnaires shall be coded to protect the identity of the respondents. To manage the data from the field, numeric serialized codes will be used to de-identify the respondents. Data analysis will be done at an aggregate level with no reference to specific responses from any particular

respondent. Anyone who comes across this data as a user agrees to abide by the confidentiality requirements stipulated by the Kenyatta University Ethical Review Committee.

Special care will be taken to protect the identity of respondents when disseminating information collected and reporting the findings of this survey. The consent form used during the entire data collection exercise and resultant records shall be forwarded to the Pilot Manager. To ensure such forms are kept long enough, electronic scanned copies of the same shall be stored by the PSF on an encrypted hard disk and/or a secure server.

*Selection of research participants*

The PSF will ensure that the selection of research participants is fair and that the risks and benefits of research are equitably distributed. The selection of research participants will be based on factors that will most effectively address the research problem. Research participants will not be selected based on ease of availability, their compromised position, their manipulability, or because of social, racial, sexual, economic, or cultural biases institutionalized in society. PSF will comply with any applicable privacy and/or personal protection laws, including obtaining any applicable approvals or consents to provide the survey data to AgResults.

## 5. Deliverables and Reporting

Table 1 below illustrates the specific deliverables the PSF is expected to successfully complete for each phase of the RRHS and the MpMSS. Each deliverable applies for each survey unless otherwise specified below. Differences in timing for specific surveys are also noted in the table.

**Table 1: Deliverables and Reporting**

Activity	Deliverables	Outputs	Timeline
<b>Survey Design and Planning</b>	<ul style="list-style-type: none"> <li>(i) Attend orientation meeting with the Pilot Manager</li> <li>(ii) Produce inception report that includes the following components:               <ul style="list-style-type: none"> <li>a. Detailed survey/ sample design,</li> <li>b. Initial questionnaire design</li> <li>c. Detailed work plan (including specific dates &amp; EAs)</li> <li>d. Ethical guidelines, including checks and balances to adhere to ethical practices in the execution of the two surveys</li> <li>e. Finalized PSF team key personnel, composition, competencies qualifications, experience, roles and responsibilities</li> <li>f. Training manual for PSF survey team and supervisors (including assignment background, survey interviewing techniques and skills techniques, error detection, survey instruments, quality control and use of CAPI, GPS, photography, communication protocols, etc)</li> <li>g. Quality management plan, including: structure, communication and reporting tools; plan to ensure quality of checklist data, random selection verification, quality checks, and data entry; and, means to address issues and discrepancies                   <ul style="list-style-type: none"> <li>Detail household replacement criteria and mechanism to identify data from replacement households</li> </ul> </li> </ul> </li> <li>(i) Finalize clusters, including specific EAs to be surveyed and lists of farmer households per EA</li> </ul>	<ul style="list-style-type: none"> <li>(i) Meeting notes</li> <li>(ii) Survey inception report</li> <li>(iii) Finalized survey list</li> </ul>	2 weeks, from date of orientation meeting (For both RRHS and MpMSS)
<b>Training and Testing</b>	<ul style="list-style-type: none"> <li>(i) Train enumerators and supervisors according to approved training plan</li> <li>(ii) Select final data collection platform, convert survey instruments onto electronic data collection software, program hand-held data collection devices</li> </ul>	Finalized tools, questionnaires, platforms, workplan, and data reporting protocols	2 weeks, from date of approval of the inception report (For both RRHS and MpMSS)

Activity	Deliverables	Outputs	Timeline
	<ul style="list-style-type: none"> <li>(iii) Field-test tools/ questionnaires/ devices and adjust based on respondent feedback</li> <li>(iv) With PM, finalize survey tools, questionnaire design including finalized respondent consent form and translations, and work plan</li> <li>(v) Finalize data reporting protocols with Pilot Manager, including real-time data access during field data collection and database dictionary</li> </ul>		
<b>Field Data Collection</b>	<ul style="list-style-type: none"> <li>(i) Implement field data collection through interviews of selected respondents as per finalized survey plan</li> <li>(ii) Submit daily written reports to the PM on progress, including protocol adherence, interview/ data quality, recommendations for changes/improvement, significant issues/challenges experienced, anticipated delays &amp; plans for addressing such delays</li> </ul>	Daily narrative progress reports	<p>3 weeks for RRHS after training the survey team</p> <p>11 weeks for MpMSS after training the survey team</p>
<b>Data Analysis and Finalization</b>	<ul style="list-style-type: none"> <li>(i) Download data daily from collection devices; run full validation and visual quality checks of hard and soft data; upload to online platform</li> <li>(ii) Verify data quality through visits to randomly selected sampled households to administer field monitoring quality checklist to the interviewed respondent. Include photos of Pilot-eligible products available at the interviewed household</li> <li>(iii) Share all survey data gathered (including GPS coordinates) with PM in real time in a format compatible with major statistical programs (SPSS, Stata, SAS)</li> <li>(iv) Submit final, cleaned field data set, along with associated code (e.g. do-files in case of Stata), to Pilot Manager</li> </ul>	Weekly and final data and quality check reports	<p>Continuous for 5 weeks for RRHS after start of field data collection</p> <p>Continuous for 13 weeks for MpMSS after start of field data collection</p>
<b>Final Report</b>	<ul style="list-style-type: none"> <li>(i) Produce high quality final survey report for both RRHS and MpMSS signifying successful undertaking of activities described in the PSF contract and showing the survey findings and recommendations. The reports structure, content and quality parameters for these reports will be as agreed with Pilot Manager.</li> </ul>	Final report	<p>2 weeks for RRHS after end of field data collection</p> <p>2 weeks for MpMSS after end of field data collection</p>

### 5.1 Illustrative Timeline

Tables 2a and 2b below provide an illustrative timeline of activities for the RRHS and MpMSS. These timelines will be superseded by the final work plans submitted by PSF and agreed with the Pilot Manager (PM).

**Table 2a: RRHS Illustrative Workplan**

Illustrative Timeline -	Week												
	1	2	3	4	5	6	7	8	9	10	11	12	13
<b>Survey design and planning</b>													
Pilot Orientation (with PM)	■												
Inception report	■	■											
Selection of EAs/ respondents (with PM)	■	■											
<b>Training and testing</b>													
Train enumerators and supervisors			■	■									
Test and revise questionnaire based on feedback from test respondents			■	■									
Finalize tools, data reporting protocols			■	■									
<b>Field data collection</b>													
Conduct field interviews and follow-ups as needed					■	■	■						
Submit daily summaries of notes					■	■	■						
<b>Data analysis and finalization</b>													
Verify and upload raw data on a continuous basis					■	■	■	■	■				
Submit final, cleaned dataset to PM								■	■				
<b>Final report</b>													
Submit final report								■	■				

**Table 2b: MpMSS Illustrative Workplan**

Illustrative Timeline -	Week																
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
<b>Survey design and planning</b>																	
Pilot Orientation (with PM)																	
Inception report																	
Selection of EAs/ respondents (with PM)																	
<b>Training and testing</b>																	
Train enumerators and supervisors																	
Test and revise questionnaire based on feedback from test respondents																	
Finalize tools, data reporting protocols																	
<b>Field data collection</b>																	
Conduct field interviews and follow-ups as needed																	
Submit daily summaries of notes																	
<b>Data analysis and finalization</b>																	
Verify and upload raw data on a continuous basis																	
Submit final, cleaned dataset to PM																	
<b>Final report</b>																	
Submit final report																	

## 6. Proposal Requirements

### 6.1 Technical proposal

Offerors are required to address the components below, to limit their response to fifteen (15) pages, and to provide additional materials, such as brief curriculum vitae (CVs), in separate annexes. The separate annexes will not count towards the 15-page limit.

The technical proposal should only address the following surveys:

- **Randomized Rural Household Survey (RRHS)**
- **Mid-point Market Share Survey (MpMSS)**

### 6.2 Survey methodology

Offerors should detail their approach to achieving the full Terms of Reference as detailed in Attachment 3, including but not limited to the following:

- a. Sampling procedures
- b. Documents to be reviewed
- c. Interview procedures and any questionnaires to use
- d. Quality control management mechanisms, including ethical considerations
- e. Documentation, reporting and communication protocols

### 6.3 Personnel and Management

The Offeror should provide the information about the proposed staffing and management structure required for executing the surveys. All key personnel should be identified in the Proposal and their commitment confirmed based on the planned timeline. The proposed key personnel including team leader, field operations manager/supervisor, data manager, Computer Assisted Personal Interviewing (“CAPI”) expert, etc.

### 6.4 Corporate Capability and Past Experience

The Offeror shall provide a brief description of the firm/organization, a statement of corporate capabilities and at least five (5) examples of current or past performance activities similar or relevant in nature to the agribusiness efforts identified in this SOW either in Kenya or the surrounding region. This will include names of client/customer, e-mail addresses, phone numbers, dates and periods during which the indicated services were provided, and brief description of services provided. The AgResults Secretariat reserves the right to contact and verify these references at its discretion.

### 6.5 Corporate Information

The following information shall be provided as annexes:

- a. The Offeror shall provide the location of the organization’s current functioning office locations and existing presence throughout Kenya’s regions.
- b. The Offeror shall provide the following documents;
  - A copy of the company’s legal Registration Certificate,
  - A copy of the company’s PIN Certificate
  - A copy of a Valid Tax Compliance Certificate.
  - If applicable, a copy of current practicing certificate from the relevant

professional body, or evidence of current membership with the professional body

#### **6.6 Anticorruption Compliance Certification**

The Offeror shall submit a completed and signed Anticorruption Compliance Certification as provided in Attachment 4. This should be added as an annex to the proposal and will not count towards the page limit.

#### **6.7 Price Proposal**

The Offeror shall submit a Fixed Price Proposal that includes all fees and expenses, including any taxes, fees, levies, permit or license fees, for each of the following surveys:

- **Randomized Rural Household Survey (RRHS)**
- **Mid-point Market Share Survey (MpMSS)**

The Price Proposal should cover all the activities detailed in the Terms of Reference. It should be submitted in unlocked Excel format, with a summary page and additional sheets that include the following:

- a) Labor costs with fees based on fixed daily rates for each labor category, utilizing the Labor Pricing Template in Attachment 5.
- b) All field travel costs necessary to execute the Terms of Reference;
- c) Any other additional expenses related to the assignment.

#### Notes:

- Proposed payments will be tied to deliverables proposed in the submitted illustrative Work Plan
- All expenses should be listed separately, with sufficient detail to allow for evaluation as to the reasonableness of the items proposed. Lump sums for any proposed costs will not be considered as a valid expense.
- All prices shall be quoted in US dollars
- Offeror is responsible for any applicable taxes and similar fees (those are deemed included in the proposed fixed price). AgResults cannot confer any special tax- or duty-free status.



<b>Attachment 4</b> <b>Anticorruption Compliance Certification</b>
---

AgResults requires full compliance by any recipient of AgResults funds with the U. S. Foreign Corrupt Practices Act (15 U.S.C. Section 78dd-1, et. seq.) as amended (“FCPA”), and all other applicable anticorruption laws, rules and regulations.

The anti-bribery provisions of the FCPA make it illegal to offer, promise, authorize, or provide anything of value, either directly or indirectly (e.g. through third parties), to a Foreign Official (as defined below) for the corrupt purpose of (1) influencing an official act or decision; (2) inducing the Foreign Official to do or omit to do anything in violation of his lawful duty; or (3) securing an improper advantage; in each case in order to assist in obtaining, retaining, or directing business to anyone.

Under FCPA, a Foreign Official includes not only a person who performs traditional governmental or administrative functions, but also any member of a royal family or an employee of an entity in which a governmental body has an ownership interest (even a minority interest). Such employee could still qualify as a Foreign Official even if he/she performs business-related functions as an employee of such entity engaged in commercial, rather than governmental, activities.

To facilitate the Offeror’s understanding and compliance with obligations set forth in this clause, ‘Foreign Official’ is hereby defined for the purposes of this clause to include:

- Any officer or employee of a non-U.S. government (including any non-U.S. military personnel) or any of its departments or agencies or incorporated entities (including state-owned enterprises);
- Any director, officer, or employee of any legal entity or joint venture that is controlled or significantly owned by a non-U.S. government (including any non-U.S. military personnel) or any of its departments or agencies or incorporated entities (including state-owned enterprises);
- Any officer or employee of any public international organization (e.g., the United Nations or World Bank);
- Any person that represents or acts on behalf of, or in an official capacity for, any non-U.S. government or any of its departments or agencies or incorporated entities (including state-owned enterprises), even if honorary;
- Any non-U.S. political party or party official or candidate for non-U.S. political office;
- Any member of a royal family; and
- Any member of a non-U.S. legislative body.

The Offeror understands that prohibited payments or offerings under the FCPA need not take the form of cash or cash equivalents. For the purposes of this clause, and in line with the FCPA, the reference to ‘anything of value’ is construed broadly and covers any tangible benefit of any kind, including, without limitation, cash or cash equivalents, gifts (including, but not limited to, gifts or courtesies of local custom, wedding and personal gifts, jewelry), political contributions, donations to charities at the behest of a Foreign Official or his/her family, entertainment (including, but not limited to, meals and tickets to events), travel and travel-related expenses, hospitalities (including,

but not limited to, accommodation), ownership rights in joint ventures or other entities, inflated or excessive contract prices, loans and employment (whether long-term or temporary). Even if any payments or gifts are a customary part of the culture of a particular country, they may be prohibited under the FCPA. In addition, providing or offering gifts, payments or other benefits to another person for an improper or corrupt purpose may violate not only the FCPA but also other similar anti-bribery laws and regulations.

Moreover, certain laws and regulations, that may be also applicable in connection to the Offeror’s activities, prohibit bribes or kickbacks in the private sector and regulate, among other things, whether gifts, entertainment or employment may be provided to U.S. government officials. The Offeror shall comply with all such applicable laws and regulations.

Therefore, in connection with the participation in the *AgResults Kenya On-Farm Storage Pilot Project*, the Offeror shall not cause the Secretariat and all other entities associated with the AgResults Initiative to be in violation of the FCPA or any other applicable anticorruption laws or regulations. The Offeror must refrain from either directly or through others, making or offering to make bribes, kickbacks or other corrupt payments or provide anything value to a Foreign Official or anyone else for purposes of influencing them to benefit the Secretariat or any other entities associated with AgResults Initiatives, the Offeror, or any other party.

The Offeror shall notify the AgResults Secretariat immediately if it learns of any violations of the FCPA or any other anticorruption laws in connection with the Offeror’s involvement in the *AgResults Kenya On-Farm Storage Pilot Project*. Notifications can be made to AgResults Secretariat through email: [info@agresults.org](mailto:info@agresults.org) or by contacting Rodrigo Ortiz, AgResults Secretariat Lead, at +1.571.249.8364. Notifications can be also made anonymously through the website [www.integrityhelp.com](http://www.integrityhelp.com), or by calling +1 866 850 1485 (within the U.S.) or +1 503 748 0570 (outside the U.S.).

**Compliance Certification**

By my signature, I certify as the Offeror, or as an authorized representative of the Offeror, that the Offeror has complied with and will comply with the U. S. Foreign Corrupt Practices Act (15 U.S.C. Section 78dd-1, et. seq.) as amended (“FCPA”), and all other applicable anticorruption laws, rules and regulations.

Name of the Offeror \_\_\_\_\_

Organization of the Offeror \_\_\_\_\_

Signature \_\_\_\_\_

Printed Name of Signatory (if signatory is an authorized representative of the Offeror)

\_\_\_\_\_

Date \_\_\_\_\_

**Attachment 5**  
**Labor Pricing Template**



AgResults Kenya  
Labor Pricing Template

<b>Attachment 6</b> <b>Mandatory Terms</b>
---

**1. Verifier Not to Benefit from Commissions, Discounts, etc.**

The remuneration of Verifier pursuant to Section 5 of the Agreement shall constitute the Verifier's sole remuneration in connection with this Agreement or the Services, and Verifier shall not accept for its own benefit any trade commission, discount, or similar payment in connection with activities pursuant to this Agreement or to the Services, or in the discharge of their obligations under the Agreement, and Verifier shall use their best efforts to ensure that any vendors, as well as the personnel and agents of Verifier and of any vendors, similarly shall not receive any such additional remuneration.

**2. Insurance to Be Taken Out by Verifier**

Verifier shall take out and, during the period of effectiveness of this Agreement, maintain, and shall require any sub-vendors to take out and maintain, each at their own cost, appropriate insurance coverage, which coverage shall include such insurance as may be required by the law of the country of incorporation of Verifier or sub-vendor, and, in addition, the following minimum coverages:

- (i) Worker's Compensation as required by law;
- (ii) Employer's liability insurance in the amount of \$500,000 per occurrence;
- (iii) Commercial General Liability insurance in the amount of \$5,000,000 per occurrence;
- (iv) Professional Liability insurance in the amount of \$1,000,000; and
- (v) with respect to automobiles operated in the performance of the Services, \$1,000,000 combined single limit per occurrence.

**3. Equipment and Other Property Acquired or Furnished for the Services**

3.1 Any equipment and other tangible property, real or personal, with Unit Acquisition Cost equal to \$500 or more and that was purchased or otherwise acquired by Verifier for the performance of the Services and paid for out of funds disbursed pursuant to this Agreement shall be deemed to be the property of the Secretariat and is defined for the purposes of this Agreement as "AgResults Property". For the purposes of this Agreement, "Unit Acquisition Cost" means the cost derived from the Verifier's records that reflect consistently applied generally accepted accounting principles.

3.2 Verifier's responsibility for the AgResults Property, including for the risk of loss or damage to the AgResults Property, extends from the initial acquisition and receipt of property, through stewardship, custody, and use until formally relieved of responsibility by authorized means, including delivery, consumption, expending, sale (as surplus property), or other disposition, or via a completed investigation, evaluation, and final determination for lost property. This requirement applies to all AgResults Property under the Verifier's accountability, stewardship, possession or control, including its vendors or subcontractors. Verifier shall inform the Secretariat within three (3) business days of any loss or damage to the AgResults Property.

3.3 Verifier shall have an adequate system of internal controls to effectively and efficiently manage (control, use, preserve, protect, repair, and maintain) the AgResults Property in its possession (including possession of its vendors and subcontractors). Verifier may employ customary commercial practices, voluntary consensus standards, or industry-leading practices

and standards that provide effective and efficient AgResults Property management that are necessary and appropriate for the performance of this Agreement. Verifier shall provide a list of the AgResults Property in Verifier's possession (including possession of its vendors and subcontractors), including the AgResults Property's current Unit Acquisition Cost, for review quarterly. Verifier shall inform the Secretariat of its AgResults Property management system and about any significant changes to the system prior to implementing the changes. The Secretariat shall have the right to review the Verifier's AgResults Property management system upon request and to obtain information from Verifier about the AgResults Property in Verifier's possession or custody.

3.4 Verifier shall use AgResults Property solely for the performance of the Services and not for any other purpose, except as otherwise approved in writing by the Secretariat. Modifications or alterations of the AgResults Property are prohibited, unless they are-

- (i) Reasonable and necessary due to the scope of work under this Agreement or its terms and conditions;
- (ii) Required for normal maintenance; or
- (iii) Otherwise authorized by the Secretariat.

3.5 Verifier shall be responsible for payment of any taxes or similar fees associated with the AgResults Property in connection with the Verifier's acquisition or disposition of the AgResults Property, as well as while the AgResults Property is in Verifier's possession or custody. Such taxes and fees can be paid from funds received by Verifier for the Services performed pursuant to this Agreement.

3.6 Acquisition, title to, use and disposition of any motor vehicle for the purposes of the performance of the Services shall be always subject to a prior specific approval by the Secretariat.

3.7 Upon completion of the Services or termination of the Agreement, and unless the Secretariat agrees in writing that the title to AgResults Property at the Verifier's possession at the end of the Agreement shall be transferred to the Verifier, the Verifier shall transfer the AgResults Property in its possession to the Secretariat or to any individual or organization designated by the Secretariat in writing.