

## TERM OF REFERENCE (ToR) FOR THE RECRUITMENT OF INDIVIDUAL CONTRACTOR (IC)

### GENERAL INFORMATION

<b>Services/Work Description:</b>	Recruitment of National Consultant to conduct an institutional capacity gap assessment, devise capacity development plan based on identified gaps and provide capacity building support for Oromia and SNNPR selected sector office staff
<b>Project/Program Title:</b>	Stabilization & Recovery Support for Communities Affected by Gedeo-West Guji Displacement
<b>Post Title:</b>	National Consultant - Group of Individuals and/or Firms are not eligible for this consultancy assignment (only at an individual level)
<b>Consultant Level:</b>	Level C (Senior Specialist)
<b>Duty Station:</b>	Addis Ababa, Ethiopia with travel to regions in SNNPR and Oromia
<b>Expected Places of Travel:</b>	Yirgachefe and Gedeb woredas, Hawassa and Dilla in Gedeo zone in SNNPR and Kercha, Hamelawamela woredas, Bulehora zone in Oromia regional state
<b>Duration:</b>	35 working days distributed over two months
<b>Expected Start Date:</b>	Immediately after Signing the Contract

### I. Background and context

In Ethiopia, conflict-induced internal displacement has led to significantly increased humanitarian needs in the first half of this year. Most were associated with the recent outbreak of new intercommunal conflict in West Guji and Gedeo, along the border between Oromia and SNNPR regions. The internal displacement has affected every single aspect of people's lives. Individuals and families have lost all their productive assets, homes, and possessions, casting most of them into a state of extreme poverty. Displacement exacerbated the already existing conditions of poverty and deprivation and its effects are felt not only by the displaced themselves, but also in the communities in which they take refuge. With the loss of markets, damage to trade infrastructure, and the impact on agriculture and livelihoods, the Gedeo West Guji zones will continue to feel the multidimensional impact of the crisis for years to come. After four months of horribly tough displacement experience, currently most IDPs are returning to their place of origin.

UNDP takes a longer-term perspective from the outset of the displacement, focusing on strengthening the capacity of communities to cope with the crisis through immediate emergency interventions, by bolstering livelihoods, infrastructure and basic services; recover from the socio-economic impact of the crisis by regaining productive assets; and sustain this recovery toward

development through a functioning and peaceful socio-economic and political environment where development gains are protected. Local government capacity will be strengthened to respond to the increasing demands and strains placed on conflict affected communities including host communities.

To develop the regional (Oromia and SNNPR) and NDRMC capacity in line with the government long-term vision, it is believed that a systematic capacity assessment should be conducted with the aim to identify critical capacity gaps and propose strategic and tailored capacity development strategies and develop a comprehensive Capacity Development Project Document that would guide the regions and NDRMC for the next 3 years and beyond. To this end, UNDP would like to commission an individual level consultancy for a comprehensive capacity assessment of the two regions (Oromia and SNNPR) and NDRMC. This is expected to lead to the development of tailored made capacity building strategy and capacity building project document that would enable the regions and NDRMC to deliver on its core mandates more effectively and efficiently.

## **2. Early Recovery Context**

The crisis in Gedeo and west Guji highlights, once again the complexity of a context where chronic developmental issues easily become tangled with or exacerbated by the humanitarian crisis resulting from the current escalation. The collapse of basic service delivery and institutions critical to humanitarian action as well as the increasing poverty and the multidimensional aspects of the crisis dictate that response and solutions be comprehensive and holistic.

It is particularly necessary that the humanitarian response, while providing critical lifesaving or life-sustaining relief assistance, be accompanied by actions that contribute to the preservation of critical service delivery and the functioning of the local economy and capacities of local economic actors and strengthening the resilience of affected populations.

The integration of ER across the response is a key element for interim and longer-term solutions to many critical issues affecting humanitarian crises. With the aim of providing the HCT with a common analysis on inter-cluster and cross-cluster Early Recovery issues and evidence for stronger Early Recovery Integration across the response, the Inter-Cluster Working Group on Early Recovery (ICWG-ER) is to conduct a Multi-Sector Early Recovery Assessment.

## **3. SCOPE OF THE WORK**

This is a home-based with regular visits to UNDP office and travels to the region as per the agreed TOR. The consultant will conduct capacity gap assessment of the Oromia and SNNPR regions and NDRMC, those involved at regional, zonal and woreda level sector offices directly and indirectly engaged in Gedeo and west Guji recovery programme to plan, implement, monitor and deliver key targeted interventions as indicated: Stabilization & Recovery Support for Communities Affected by Gedeo-West Guji Displacement. The gap analysis will include organization, institutional and technical skills on PDNA, conflict and risk-informed participatory planning, monitoring and delivery of key targeted interventions.

## **4. METHODOLOGY**

The methodology to be applied would involve the three levels of capacity development (individual, organizational and institutional) at the various levels of the stabilization and recovery project operate at (national and regional) and would be expected to provide capacity development plans that address these three levels. The exercise should move away from the traditional capacity

building approach: it needs to be purpose-oriented and refer to international practices, standards and norms.

- **The enabling environment** describes the broader system within which individuals and organizations function and one that facilitates or hampers their existence and performance. This level of capacity is central to the understanding of capacity issues, as it determines the 'rules of the game' for interaction between and among organizations. Capacities at the level of the enabling environment include DRM policy, resources mobilization strategy, Disaster risk management strategic programme and investment framework/SPIF, power relations and social norms, all of which govern the mandates, priorities, modes of operation across different parts of society.
- **The organizational level** of capacity comprises the internal policies, arrangements, procedures and frameworks that allow an organization to operate and deliver on its mandate, and that enables the coming together of individual capacities to work together and achieve goals. If these exist, are well-resourced and well-aligned, the capability of an organization to perform will be greater than that of the sum of its parts.
- **The individual level**, at which capacity refers to the skills, experience and knowledge that are vested in people. Some of these are acquired through formal training and education, others through learning by doing and experience. The consultant is expected to follow UNDP Capacity Assessment Framework (<http://www.undp.org/content/undp/en/home/librarypage/capacity-building.htm>). This would include the following three dimensions:
- **Points of entry:** these are the three levels mentioned above. Each of these levels can be the point of entry for a capacity assessment. The three levels interact, with each level influencing the other through complex co-dependency relationships.
- **Core issues:** These are the capacity issues that are most commonly encountered across sectors and levels of capacity:
  - 1) institutional arrangements;
  - 2) leadership;
  - 3) knowledge; and
  - 4) accountability. Not every assessment needs to cover all four issues, and it can be amended based on its relevance and appropriateness to the Oromia and SNNPR regions as well as NDRMC.
- **Functional and technical capacities:** These are necessary for creating and managing policies, legislations, strategies and programmes. The following functional capacities are key:
  - 1) engage stakeholders;
  - 2) assess a situation and define a vision and mandate;
  - 3) formulate policies and strategies;
  - 4) budget, manage and implement; and
  - 5) evaluate. Various technical capacities may also need to be assessed, depending on the situation and; they may be added to the set of functional capacities as required.

The Consultant is expected to undertake the capacity needs assessment by employing appropriate methods and review best practices in the structuring and functioning of other countries whose experiences are relevant for Ethiopia.

Specifically, the consultant is to:

- Examine existing strategies

- Identify major gaps
- Conduct consultation meetings with key partners and identify potential partnerships and resources
- Formulate a capacity development project document

The consultant is to undertake detailed capacity needs assessment and identification of requirements of the two regions and NDRMC in areas of Information Management System, Internal Results Management System, National Long, Medium and Short-term Development Planning, Monitoring and Evaluation of the National Development Plan including Sustainable Development Goals with effective Monitoring and Evaluation Tools and Instruments.

In general, the assignment will be conducted through and using various methods such as but not limited to:

- Desk review of relevant documents
- Interviews with NDRMC, ODRMC, SNNPRDRMC and Gedeo and West Guji zones DPPB and some selected woredas DRM staff and relevant stakeholders
- Any other methodology deemed appropriate by consultant for achieving the objectives of the consultancy.

The consultant is also expected to prepare a Project document relevant to the context that addresses:

- Project Result Framework
- Development planning, management and governance, how to achieve institutional goal
- Policy and implementation gaps, advocacy strategies
- Approach to innovation
- Medium to long term priorities
- Design to generate solution at scale
- Strategy for achieving results
- A modular approach to programming, thematically and geographically
- Proposed resource mobilization and partnership strategy

In general, the consultancy is expected to perform the following major tasks;

● **Conduct capacity assessment:** During the capacity assessment, data & information are collected on desired and existing capacity. This data & information can be gathered by a variety of means, including interviews and focus group discussions.

Review of best practices from other countries or other ministries, regions or institutions in the country will also form an essential part of the assessment.

● **Identify development partners supporting the stabilization and recovery project:** During the capacity assessment, the consultant is to look in detail interventions by other donors and development partners supporting the project to help identify synergies and reduce duplication of efforts. Information shall be gathered from all partners supporting the project.

● **Identify capacity gaps:** The comparison of desired capacities against existing capacities determines the level of effort required to bridge the gap and informs the formulation of a capacity development response.

● **Formulate project document:** Based on the capacity assets and needs identified, develop a project document. This is an integrated set of deliberate and sequenced actions (a combination of quick-impact initiatives (less than one year) and short- to medium-term (one year or longer)

initiatives) embedded in a programme or project to address ***the three guiding questions: ‘capacity for why?’, ‘capacity for whom?’ and ‘capacity for what?’ Among other things. the project document is expected to include: the expected outcome contribution, outputs, indicators, targets and cost of the project***

## 5. TASKS AND RESPONSIBILITIES OF THE CONSULTANT

The tasks of the consultancy include, inter alias:

1. Review of the mandates of the implementing partners and responsible parties of the regional institutions the national DRM policy and strategy and other relevant laws;
2. Assess and review the mandates of the Directorates of NDRMC, Oromia DRMC and SNNPR DRMC mapping their responsibilities and relationships between the Directorates and agencies;
4. Review and identify gaps of DRM polices, DRM technical guidelines, standards and protocols in use by the various DRM institutions;
5. Asses the efficiency and effectiveness of the Directorates under the NDRMC, Oromia DRMC and SNNPR DRMC in exercising their current mandates;
6. Asses the budget allocation, work procedures, and their adequacy to the mandates of the different Directorates
7. Review the working relations between NDRMC and Regional States DRMC offices;
8. Assess the qualification and experience of the current staff and evaluation of overstaffing or understaffing situations
9. Assess the training needs of the staff to accomplish their duties;
10. Analyze, consolidate and produce capacity gap assessment report with capacity building plan for short, medium- and long-term implementations.
11. Based on the above-mentioned assessments, develop a comprehensive Project Document to address the gaps therein;

## 6. DELIVERABLES

The following are the key deliverables of the consultancy work:

1. Inception report showing the approach and methodology that the consultant will follow in preparing the capacity assessment and the project document preparation within five days signing the contract;
2. A draft capacity assessment and gap analysis report;
3. Final capacity assessment report for the long-term capacity development for the Oromia, SNNP and NDRMC staff;
4. At least 3 trainings conducted for staff – Oromia, SNNP, NDRMC.

	Actions and Deliverables/Outputs	Estimated Time to Complete the Action	Responsible Actors
<b>I.</b>	<b>Regional Assessment</b>		
1.	Preparatory works including data collection tools, detailed planning of the fieldwork and logistical arrangement	3 days	The Consultant, UNDP, NDRMC
2.	Preparation and submission of Inception Report	3 days	The Consultant
3.	Road travel to and conducting fieldworks in 2 Regions (SNNPR and Oromia)	10 days	The Consultant; 3 days per region on average including travel time between regions and within a

	<b>Actions and Deliverables/Outputs</b>	<b>Estimated Time to Complete the Action</b>	<b>Responsible Actors</b>
			region
<b>II.</b>	<b>Document Compilation and Write-up</b>		
4.	(a) Compilation and consolidation of the regional studies; (b) Doing additional analytical works on future trends of capacity assessment and anticipation of devise capacity development plan based on identified gaps and provide capacity building support for Oromia and SNNPR selected sector office staff by collecting more data from NDRMC; (c) Assembling the whole draft on devising capacity development plan based on identified gaps and provide capacity building support for Oromia and SNNPR selected sector office staff Strategy document by enlarging the existing draft document and (d) Submission of the draft document to UNDP and NDRMC for their comments	10 days	The Consultant
5.	Incorporation of comments from UNDP and NDRMC	3 days	The Consultant
6.	Presentation of the draft institutional capacity gap assessment, devise capacity development plan based on identified gaps and provide capacity building support for Oromia and SNNPR selected sector office staff document and facilitation of discussion in a <b>2-day</b> national conference bringing together representatives of all major governmental and private actors/stakeholders at federal and regional levels to deliberate on the draft national DLNA Strategy	3 days	<ul style="list-style-type: none"> <li>The Consultant 2 day for PPT preparation and 3 days for presentation;</li> <li>NDRMC for overall organization of the Conference</li> </ul>
7.	Finalization of the document incorporating inputs or comments from the Conference	3 days	The Consultant
	<b>Total Calendar Days to Complete the Work</b>	<b>35 Days</b>	

## 7. INSTITUTIONAL ARRANGEMENT / REPORTING RELATIONSHIPS

The Consultant will report directly to CRGG to IGSD Unit Team Leader under the guidance of CRGG Technical Advisor.

## 8. LOGISTICS AND ADMINISTRATIVE SUPPORT TO PROSPECT IC (if any)

UNDP Ethiopia Country Office will arrange travel and cover per-diem for fieldwork mission in the regional capitals.

## 9. DURATION OF THE WORK<sup>1</sup>

The consultancy assignment shall be completed in 35 working days distributed over about two months.

<sup>1</sup> The IC modality is expected to be used only for short-term consultancy engagements. If the duration of the IC for the same TOR exceeds twelve (12) months, the duration must be justified and be subjected to the approval of the Director of the Regional Bureau, or a different contract modality must be considered. This policy applies regardless of the delegated procurement authority of the Head of the Business Unit.

## 10. QUALIFICATIONS OF THE SUCCESSFUL INDIVIDUAL CONTRACTOR (IC)

Qualifications/Education of the consultant:

The successful candidate will have a Master's degree and functional experience in climate change adaptation, disaster risk management, development economics or other relevant discipline with strong technical skills in project design and management.

### **b. Experience:**

- At least 7 years work experience in similar assignment in the areas of economic development, poverty analysis, development and planning, strategic planning of the projects focused on economic development through providing evidence-based policy advice;

### **c. Language:**

- Excellent knowledge of English including the ability to set out a coherent argument in presentations and group interactions;
- Capacity to communicate fluently with different stakeholders (civil society, government authorities, local communities, project staff)

### **d. Functional Competencies:**

- Special skills / experience and other qualifications such as analytical skills, communications abilities, teamwork which will prove to be advantageous and vital to the success of the work implementation, especially if the assignment's setting/situation is unique or has peculiarities (e.g., experience in working with indigenous people, familiarity with the key issues confronting a certain region, understanding of and ability to relate with a specific culture/religion, knowledge of a local dialect, etc.)
- Practical experience in organization management, strategic planning of associations and public organizations at the national and regional level;
- Experience in formulating development strategies and policies;
- Excellent public speaking and presentation skills]
- Computer skills: full command of Microsoft applications (word, excel, PowerPoint) and common internet applications will be required.

### **e. Core Competencies:**

- Demonstrates integrity by modelling the UN's values and ethical standards
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Treats all people fairly without favouritism;
- Fulfils all obligations to gender sensitivity and zero tolerance for sexual harassment.

## 10. CRITERIA FOR SELECTING THE BEST OFFER

Upon the advertisement of the Procurement Notice, qualified Individual Consultant is expected to submit both the Technical and Financial Proposals. Accordingly; Individual Consultants will be evaluated based on Cumulative Analysis as per the following scenario:

- Responsive/compliant/acceptable, and
- Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation. In this regard, the respective weight of the proposals are:
  - a. Technical Criteria weight is **70%**
  - b. Financial Criteria weight is **30%**

Criteria	Weight	Max. Point
<b>Technical Competence (based on CV, Proposal ...)</b>	<b>70%</b>	100
▪ <b>Criteria a.</b> Understanding the Scope of Work (SoW); comprehensiveness of the methodology/approach; and organization & completeness of the proposal	50 pts*	
▪ <b>Criteria b.</b> education back ground	10 pts	
▪ <b>Criteria c.</b> experiences in similar work and working with UNDP	10 pts	
<b>Financial (Lower Offer/Offer*100)</b>	<b>30%</b>	
<b>Total Score</b>	<b>Technical Score * 70% + Financial Score * 30%</b>	

## 11. PAYMENT MILESTONES AND AUTHORITY

The qualified consultant shall receive his/her lump sum service fees upon certification of the completed tasks satisfactorily, as per the following payment schedule:

Installment of Payment/ Period	Deliverables or Documents to be Delivered	Approval should be obtained	Percentage of Payment
1 <sup>st</sup> Installment	Inception Report	UNDP	20 %
2 <sup>nd</sup> Installment	Draft Document	UNDP	30 %
3 <sup>rd</sup> Installment	Final Document	UNDP	50 %

## 12. RECOMMENDED PRESENTATION OF TECHNICAL PROPOSAL

For purposes of generating quotations whose contents are uniformly presented and to facilitate their comparative review, a prospect Individual Contractor (IC) is given a proposed *Table of Contents*. Therefore, prospective Consultant Proposal Submission must have at least the preferred contents which are outlined in the IC Proposal Submission Form incorporated hereto.

### Proposed Table of Contents

### Page

#### TECHNICAL PROPOSAL COVER PAGES

Cover Page

Cover Letter

#### SECTION I. TECHNICAL PROPOSAL SUBMISSION FORM

- 1.1 Letter of Motivation
- 1.2 Proposed Methodology
- 1.3 Past Experience in Similar Consultancy and/or Projects
- 1.4 Implementation Timelines
- 1.5 List of Personal Referees
- 1.6 Bank Reference

#### SECTION II. ANNEXES

Annex a. Duly Signed Offeror's Letter to UNDP Confirming Interest and Availability (use the template hereto)

Annex b. Duly Signed Personal CV's

## 13. CONFIDENTIALITY AND PROPRIETARY INTERESTS

The Individual Consultant shall not either during the term or after termination of the assignment, disclose any proprietary or confidential information related to the consultancy service without prior written consent. Proprietary interests on all materials and documents prepared by the consultants under the assignment shall become and remain properties of UNDP.