
TERM OF REFERENCE (ToR) FOR THE RECRUITMENT OF CONSULTANCY FIRM

GENERAL INFORMATION

Services/Work Description:	Recruitment of Consultancy Firm for the Implementation of a Pilot Study in Strengthening Informal Social Protection Mechanisms in Africa
Project/Program Title:	Strengthening Informal Social Protection Mechanisms in Africa
Type of contract:	National Consultancy Firm
Duty Station:	Home-based with field visits
Expected Places of Travel:	Field sites throughout Ghana
Duration:	20 working days distributed over 4 months
Expected Start Date:	as soon as possible

I. BACKGROUND / PROJECT DESCRIPTION

The State's obligation to deliver social protection to the poor and vulnerable populations is articulated in national policy documents and Constitutions of many African countries, however, the availability of social protection schemes is still very limited, with only 17.8 percent of Africans covered. The absence of formal social protection schemes does not mean that individuals and communities are devoid of means to cope with sudden misfortunes. Traditional forms of support, also called **informal social protection**, are provided typically on a reciprocal basis by friends, family, or by people within the same social group. In other cases, relief is provided by religious organizations, charities, private foundations or individuals. Because of the limited ability of the state to cover all those who need social protection, the role of informal mechanisms will remain crucial, in the African context, for a foreseeable future.

Despite their uncontested value in delivering essential social assistance, informal support mechanisms are under threat due to several recent phenomena. Rural-urban and irregular migration, the HIV/AIDS epidemic that resulted in single-headed or skipped-generation households, or idiosyncratic shocks are seriously undermining the traditional support systems at the household level and might result in persons resorting to negative coping strategies such as depleting productive assets, skipping meals, sending children to work or engaging in hazardous behaviour.

When shocks affect entire communities, as it is the case with environmental and climate change-induced shocks or public health epidemics, the existing coping strategies are under severe stress, particularly when the communities are already poor. Humanitarian assistance, while bringing the necessary relief, offers only a short-term solution without making the necessary investments into building communities' resilience to future shocks.

The long history and rich practices of informal traditional support mechanisms have been largely ignored by contemporary social protection systems. Only a handful of countries acknowledge their existence and importance in their national policies (the few exceptions include Chad, Mauritania, Ethiopia, Kenya and Tanzania). Even fewer ponder instituting policies and strategies to strengthen such “customary” mechanism with government action. Moreover, the existing conceptual and programmatic frameworks on social protection mostly remain silent on the informal forms of protection. This project aims to study this niche to inform UNDP programming on extending and strengthening social protection systems in Africa.

II. SCOPE OF THE WORK

UNDP is proposing a new regional initiative that aims at strengthening the ability of informal support mechanisms to deal with shocks at the household and community levels. The proposed regional initiative is well aligned with the core vision of the Leaving No One Behind principle of the SDGs. The initiative will have the following components:

1) Building a comprehensive knowledge base on informal mutual support mechanisms

The topic of informal support systems is covered by some studies in the field of anthropology or ethnology, but they typically concentrate on specific localities, ethnicities or customs, and rarely discuss covariate shocks. The policy literature that would analyze implications of such systems on development (e.g., resilience building, capacities, etc.) is largely missing. Through this initiative, UNDP will address this gap to gain critical insights into the mechanics of the informal social protection, their specific needs and opportunities they present with regards to resilience building, productive capacities, climate change response or inclusion of vulnerable people in line with the principle of LNOB.

2) Strengthening informal mechanisms

Informal support systems are becoming increasingly difficult to sustain in the context of chronic poverty or recurring crises. They might also exclude specific vulnerable groups (e.g., persons with disabilities, widows, etc.). With this intervention, UNDP will increase the capacity of the informal systems to mitigate the impacts of the shocks and increase their resilience to future misfortunes. This might entail support to linking the communities to available state-provided social assistance schemes, to micro-insurances, food banks, enhancing livelihoods opportunities, climate adaptation strategies, and the like.

3) Fostering policy linkages and government ownership

In this component we shall catalyze ownership of governments over the provision of support to the traditional forms of social protection. UNDP will engage with the governments to promote the incorporation of informal social protection mechanisms into the national policies and programmes. Policy recommendations for national social protection systems will be elaborated with the aim of establishing linkages between formal and informal social protection systems. The project will ensure that legal and regulatory frameworks exist to provide governance framework to sanction the state’s support to the informal social protection systems. Support to the revision of legal and policy framework will be provided.

The consultancy firm will support Phase 1: Building a comprehensive knowledge base on informal mutual support mechanisms. UNDP has hired a consultant lead researcher under whose leadership the consultancy firm shall implement the research.

III. EXPECTED OUTPUTS AND DELIVERABLES

In consultation with the Social Protection Team at RSCA and the lead researcher the firm is expected to implement a qualitative study on informal social protection mechanisms with the objective of understanding *what informal mechanisms exist in selected localities, how they function, how they deal with household and covariate shocks, who they include and exclude and crucially, what kind of support they might require*. The research will also include a quantitative component of conducting a survey with a pre-designed questionnaire in selected localities. This will include the following deliverables:

- 1. Managing Quantitative and Qualitative Research Preparation and Data collection:** The Firm will oversee all activities related to preparation and implementation of the research. This will include
 - a. Ensuring the selection of localities for the study that meet the requirement of the project, ie., represent diverse contexts (including LNOB consideration, various ethnicity, climate-change impacts, rural, urban, etc.).
 - b. Leading and observing interviews, focus groups and other research modalities while ensuring that research protocol is being followed.
 - c. Provide a field research team that will consist of a local specialist for each province or ethnic group participating in the study, gender specialist, a specialist in participatory methods and a translator.
 - d. Develop the Field Work Plan.
 - e. Attend methodological workshop, where the research instruments would be finalized in collaboration with the field research team, pilot tested in a nearby community and revised before being finalized.
 - f. Ensure interviews are taped and transcribed and preliminary findings presented were further issues could be incorporated into a modified research design for future use.
 - g. Making and executing all logistical arrangements for data collection in localities, training of staff, transportation, and other logistical issues related to the project.
- 2. Supporting the development of Qualitative Research Tools:** In collaboration with the lead researcher, the research team shall
 - a. Tailor the instrument(s) to capture informal institutions, that is, traditional mechanisms of social protection, composition of community groups and their governance, local social structures, and the inclusion and exclusion of different groups within communities.
 - b. Quantitative data collection will consist of administering a pre-designed questionnaire in selected households.
 - c. Standard qualitative research methods will be used in this fieldwork include, semi-structured community discussions and/or focus group discussions, key informant interviews and individual case studies.
 - d. The gender specialist on the team may particularly conduct life history of interviews with women and children on gender-specific topics including treatment of women (and non-elites) within community and/or savings groups and the impact of modernisation on the role of women in informal institutions.
- 3. Analysis and Dissemination of Results:**
 - a. The Firm is responsible for all write-up of results from the qualitative research. Quantitative data will be analysed by the core team of the project.
 - b. The Firm is responsible to support the lead researcher with his analysis of the research results.

4. Managing Data Documentation and Storage

- a. The Firm is responsible for ensuring proper, comprehensive documentation of the quantitative and qualitative research activities and results. All data acquired in the course of this project belongs to UNDP and should be submitted in an acceptable format at the conclusion of this contract.

Furthermore, the firm is expected to be flexible in terms of quantitative and qualitative research modalities that will be used for the pilot.

No.	Deliverables / Outputs	Estimated Duration to Complete	Review and Approvals Required
1	4.1 Provision of qualified field research team 4.2 Final field work plan 4.3 Final written description of quality control measures implemented	10 working days	Lead research consultant and UNDP RSCA Social Protection Team
2	Report on research results (including Annex with research data and other documentation)	10 working days	Lead research consultant and UNDP RSCA Social Protection Team

IV. INSTITUTIONAL ARRANGEMENT / REPORTING RELATIONSHIPS

The Firm will work under the direct supervision of the lead researcher in collaboration with the Social Protection Specialist, Regional Service Centre for Africa. The oversight over the regional initiative lies within the Inclusive Growth/Social Protection Team at the Regional Service Centre for Africa, Addis Ababa, Ethiopia. The firm might liaise with the assigned staff at the UNDP Ghana Country Office

VI. DURATION OF THE WORK

The consultancy is expected to require an investment of approx. 20 working days over approx. 2 months.

VII. MINIMUM ORGANIZATION AND CONSULTANCY TASK FORCE REQUIREMENTS

Area of Corporate Specialization of National or Specialised Subject Consultancy Firm

- a. has at least five year of relevant experience in conducting social science research in Ghana, particularly qualitative studies
- b. prior experience in conducting qualitative studies in the field of social protection, social networks, informal/traditional coping mechanisms
- c. experience in using participatory methods for social science research

- d. Strong track record of quality data collection, report writing and project management
- e. Familiarity with UN systems and procedures, management and monitoring tools is desirable

Researchers:

Academic Qualifications:

- a. The team leader should at least have a Master's Degree in anthropology, sociology, international development, gender studies or a related field. A PhD will be an added advantage.
- b. Another member of the team to have a Gender-related Master's degree.

Experience:

- a. A minimum of five years of progressive experience related to data collection, qualitative research and related fields
- b. Hands on work experience with qualitative research in Ghana in particular
- c. Experience researching social protection, anthropology, sociology, social network or related fields

Competencies

Technical Competencies

- a. Strong analytical, assessment and mapping capabilities
- b. Proven experience conducting and transcribing interviews
- c. Strong analytical aptitude, communication and presentation skills
- d. Strong project management skills
- e. Computer skills: Full command of Microsoft applications (word, excel, PowerPoint) and common internet applications

Personal Competencies

- Demonstrates integrity by modelling the UN's values and ethical standards
- Positive, constructive attitude and approaches work with energy
- Demonstrates openness to change and ability to receive / integrate feedback
- Good networking skills to engage with both internal and external partners
- Capacity to communicate fluently with different stakeholders (civil society, government authorities, local communities, private sector, project staff)

Language and Other Skills

- Excellent knowledge of English, including the ability to write reports clearly and concisely, and to set out a coherent argument in presentations and group interactions
- Working knowledge of other local languages is an asset

Important Note: The Firm is required to have the abovementioned professional and technical qualifications. Only the applicants who hold these qualifications will be shortlisted and contacted.

VIII. CRITERIA FOR SELECTING THE BEST OFFER

Upon the advertisement of the Procurement Notice, qualified consultancy firms are expected to submit both the Technical and Financial Proposals. Accordingly; the consultancy firm will be evaluated based on Cumulative Analysis as per the following conditions:

1. Responsive / compliant / acceptable as per the Instruction to Bidders (ITB) of the Standard Bid Document (SBD), and
2. 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 is:
 - i. Technical Criteria weight is 70%
 - ii. Financial Criteria weight is 30%

Criteria		Weight	Max. Point
Technical Competence (based on CV and Proposal)		70%	100 pts
<ul style="list-style-type: none"> ▪ Criteria a. Reputation and operation capability of firm <ul style="list-style-type: none"> - Registered firm in good standing (10pts) - Number of publications on related research at least in the last 3 years (5pts) - Profile of clients related to similar assignments at least in the past five years (5 points) 			20 pts
<ul style="list-style-type: none"> ▪ Criteria b. Relevant specialized knowledge of firm and relevant experience <ul style="list-style-type: none"> - Profile of research team (20pts) - Details of similar assignments carried out at least in the last five years (20pts) 			40 pts
<ul style="list-style-type: none"> ▪ Criteria c. Overall understanding of the TORs and completeness of tasks 			20 pts
<ul style="list-style-type: none"> ▪ Criteria d. Proposed approach to the assignment in terms of methodology, adequacy and timing 			20 pts
Financial (Lower Offer/Offer*100)		30%	30
Total Score	Technical Score * 70% + Financial Score * 30%		

IX. PAYMENT MILESTONES AND AUTHORITY

Prospective Service Provider will indicate the cost of services for each deliverable in US dollars when applying for this consultancy. The Proposer will be paid based on the effective UN exchange rate (in case of other currency denomination), and only after approving authority confirms the successful completion of each deliverable as stipulated hereunder. In accordance with UNDP rules, the lump sum contract amount to be offered should consider the professional fee inclusive of travel, living allowances, communications, taxes, out of pocket expenses, and other ancillary costs.

A winning Proposer shall then be paid the lump sum contract amount 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 st Installment	Provision of team and field work plan	UNDP Social Protection Team	20%
2 nd Installment	Implementation of pilots	UNDP Social Protection Team	50%

Installment of Payment/ Period	Deliverables or Documents to be Delivered	Approval should be obtained	Percentage of Payment
3 rd Installment	Report with data and preliminary analysis of research results	UNDP Social Protection Team	30%

X. RECOMMENDED PRESENTATION OF TECHNICAL PROPOSAL

For purposes of generating proposals whose contents are uniformly presented and to facilitate their comparative review, a Service Provider here below is given a proposed Table of Contents. Accordingly, your Technical Proposal document must have at least the preferred content as outlined in the RFP Standard Bid Document (SBD).

Proposed Table of Contents

TECHNICAL PROPOSAL COVER PAGES

- Cover Page (use the template hereto)
- Submission Cover Letter (use the template hereto)
- Cover Letter (use the template hereto)
- Statement of Declaration (use the template hereto)
- Statement of Full Disclosure (use the template hereto)

SECTION I. EXPERTISE OF FIRM / ORGANISATION

- 1.1 Brief Description of Proposer as an Entity
- 1.2 Financial Capacity and / or Standing
- 1.3 Track Record and Experiences

SECTION II. APPROACH AND IMPLEMENTATION PLAN

- 2.1 Approach to the Service/Work
- 2.2 Technical Quality Assurance Review Mechanism
- 2.3 Implementation Timelines
- 2.4 Subcontracting (if any)
- 2.5 Risks and Mitigation Measures
- 2.6 Reporting and Monitoring
- 2.7 Anti-corruption Strategy
- 2.8 Partnerships (if any)
- 2.9 Other

SECTION III. PERSONNEL

- 3.1 Management Structure
- 3.2 Staff Time Allocation
- 3.3 Summary of Key Personnel Qualifications

ANNEXES

- Company Registration Certificate (Annex 1)
- Tax / VAT Certificate (Annex 2) if Applicable
- Two Years Audited Financial Statements (Annex 3)
- Authenticated Power of Attorney (Notarial Certificate) in case of Partnership/Consortium (Annex 4)
- CV of Key Expert 1 / Team Leader (Annex 6)
- CV of Other Staff, if Applicable (Annex 7)

Any other Pertinent Certificates worth to be noted (Annex 8)

Documentation Checklist

XI. CONFIDENTIALITY AND PROPRIETARY INTERESTS

The consultants shall not either during the term or after termination of the assignment, disclose any proprietary or confidential information related to the consultancy 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. This assignment will be administrated by the United Nations Development Programme (UNDP), and all relevant UNDP rules, policies and procedures will apply.

This TOR is approved by:

Name: Renata Nowak-Garmer

Designation: Employment and Social Protection Specialist



Signature: _____

Date Signed: 15 February 2020