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|  | **TERMS OF REFERENCE FOR** **CONDUCTING AWARENESS SURVEY ON WASTE MANAGEMENT AND RECYCLING PRACTICES**  **UNDP ZAMBIA** |

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| 1. **Consultancy Information** |
| Title: Awareness Survey on Waste Management and Recycling Practices  Type of Contract: Consultancy Firm  Department/Unit: Inclusive Growth and SDGs  Reports to: Officer in Charge, Inclusive Growth and SDGs  Expected Places of Travel: Applicable where necessary  Duration of Assignment: 3 months  Estimated commencement date: 21 September 2020  End Date: 20 December 2020  Location/duty station: Lusaka and Ndola |
| Background Information |
| The overall goal of this project is to improve waste management and recycling practices in urban and peri-urban settings in Lusaka and Ndola while creating opportunities and employment for women and youth led enterprises. Poor waste management is identified as a major cause of environmental degradation in Zambia, and while national figures do not exist, in Lusaka in 2017, Lusaka City Council estimated that the City of Lusaka generates approximately one million tons of waste annually but that only about 30-40% of that is collected and taken to a dumpsite.  A 2017 study on six of the largest urban centres in Zambia also concluded that only a small proportion of solid waste is disposed at dumpsites, with the remainder being buried or burned both having negative impacts on the environment. Currently, Zambia does not have the capacity to effectively handle this waste, there are no engineered landfills, instead there are informal dumpsites that are frequented by waste pickers, further, recycling is carried out at a very low and informal levels.  The complex structure of solid waste management at the policy and governance level, together with the lack of reliable data worsen the situation. Citizens and businesses are not generally aware of the negative impacts improper waste management causes to human health, in addition to soil, air and water pollution; which calls for investment in education and information sharing on waste management and recycling. This initiative is aimed at improving livelihoods for young people, especially young women, through sound waste management and recycling practices in low income communities and health care facilities. It is led by the vision that productive sectors expand income-earning opportunities that are decent and sustainable, especially for youth and women in the poorest areas.  This project will support impactful entrepreneurship and business acceleration opportunities of young people through a socialized model of waste management, targeting urban and peri-urban areas. This will include provision of skills development, technical support, assistance and advisory support to access financial education and resources and mentorship to youth-led start-up companies and MSMEs, with a focus on innovative business models that empower people and deliver sustainable solutions |
| Purpose of Assignment |
| The purpose of the baseline survey is to gauge the level of awareness on waste and plastic recycling; identify key issues; assess the level of understanding, causal factors, and solutions to waste and plastic recycling issues; ascertain the sources of understanding; and level of resources available. |
| 1. **Scope of Work** |
| The Scope of Work described below is intended to the Proposer with a general understanding of the expectations for the consultancy. Proposers are encouraged to suggest alternative approaches to this scope based on their professional experience.  **Confirmation of Survey Goals** – Consultant will work with project team to identify and confirm the goals and outcomes desired from the survey.  **Development of Survey Instrument –** Consultant will develop and pre-test survey questions and instrument to ensure clarity, reliability and that the survey is meeting project goals.  **Conduct Survey** – Consultant will administer and conduct a survey that provides maximum statistical error rates of plus or minus 5% at the 95% confidence level. The survey sample shall be representative of the adult population of Bend (age 18+) including, at a minimum, gender, age, households with children under 18 years, geography and income in Lusaka and Ndola. The project is also interested in ensuring the survey reaches a representative number of “non-users”. The project desires a sample size large enough to provide meaningful cross tabulations.  **Data Processing and Reporting** – Survey Firm will process data using statistically valid methods and provide a clear report on results including, but not limited to: percentage responses to questions, charts, graphs and tables that represent results, and cross tabulation resources.  **Summary of Findings** – Survey Firm will meet with project team and stakeholders to present findings and analysis and discuss application, limitations and benchmarking opportunities prior to completing a written report summarizing the results and analysis for age and gender |
| 1. **Methodology** |
| **Data Collection**  The Survey Firm will use both qualitative and quantitative data collection techniques to source for appropriate information from the respondents. The following methodologies can be utilized, but should not be limited to:   * Desk review * Quantitative data collection and analysis of information from the 2 target districts * Key informant interviews (KIIs), stakeholder consultations and other participatory methods * Focus Group Discussions (FGDs) with different Government and non‐government institutions in target districts.   In the wake of COVID-19, the adopted approach will follow the do-no-harm principle by ensuring that the methodologies used do not result into increased risk for respondents or for the consultancy team. As the COVID\_19 situation unfolds, the consultancy will be conducted through a series of discrete activities beginning with desk reviews before face to face interviews. Depending on the duration and severity of pandemic, the consultancy team will utilize appropriate means and tools such as virtual meetings to collect information.  **Data Analysis**  The Survey Firm must develop (or adapt) a robust data entry program in suitable program approved by the Evaluation Team. The Survey Firm will be responsible for translating the user interface into appropriate local language if needed, adapting the program to reflect any changes from the base questionnaire, and adding modules for any additional data collection that is unique to the survey.  The adapted program must be robust:   * Adapt data entry range and consistency checks to values appropriate for the country context, based on existing HH survey data. * To the greatest extent possible, the data entry program should conduct range and consistency checks, as the questionnaire is keypunched. * Violations of these checks should lead to an immediate and transparent message sent to the keypuncher, along with a practical method for correcting keypunch errors, or over-riding and documenting any answers that violate the range and consistency check rules. * The program should allow valid open-ended and “other” textual responses outside of the response options provided in the questionnaire * Variable names generated by the program should correspond clearly and logically to the question labels used in the questionnaire. * Coding strategy in order to maintain consistent, unique identifiers for households for matching longitudinal data   **Training of Enumerators**  The Survey Firm will be responsible for drafting training materials for the Enumerators. A comprehensive general training should be given to the supervisors, interviewers in order to create a team environment and to allow for substitution between roles should any team member take a leave of absence due to illness or other emergency. Because the training should also serve as a screening process for skilled interviewers and data entry agents, the survey firm should also recruit more interviewers and data entry agents for the training than will be ultimately hired for the project. The supervisors should receive supplemental training as needed.  The training should be scheduled for a minimum of **1 week**. The Survey Firm and Evaluation Team will need to identify whether all training can take place in one plenary group, or if the number of trainees (supervisors, interviewers, etc) is large, if it is better to divide the training into several sub-groups. In this case, the Survey Firm will still need to standardize training across sub-groups by using the same training materials among trainers. The Training program should include:  *Theoretical*: Training should include a review of the theory of the questionnaire and each question in order to fully understand the objective of each question. Standard quantitative interviewing techniques and field protocols should also be covered.  *Classroom practice***:** Training should include individual and group exercises to become familiar with the practice of asking and filling questionnaires. This part of the training may include in class demonstrations, where the questionnaire is projected, and one interviewer completes the questionnaire in front of the classroom.  *Pilot-test*: After the theoretical and classroom practices, the interviewers should go to the field to administer the full questionnaire to a small number of households (outside the study sample but comparable to the sampled households in household characteristics). The pilot-test shouldn’t focus on major adjustments to the questionnaire, but rather simulate the administration of the questionnaire under normal circumstances.  *Evaluation***:** Following the training, interviewers and supervisors should be evaluated based on their understanding of the questionnaire and their ability to correctly record data using the same test scenarios as used in the classroom practice. The training period should conclude only once the field teams have demonstrated mastery of the designated tasks.  The successful consultancy team will be expected to provide a detailed methodology with tools for field work as part of their inception report. All this bearing in mind the COVID19 guidelines of do-no-harm. |
| Key Deliverables |
| The Consultancy Firm will be responsible for the following:  ***DELIVERABLES (1): INCEPTION REPORT***  The survey firm shall submit an electronic copy of the inception report to UNDP which should include a detailed methodology including tools to be used to gather data/information, quality assurance, mechanism of data /information collection, sampling, pilot testing, roles and responsibility of team members and key milestone.  The inception report should also detail the fieldwork plan in collaboration with the IE team to including the following:   * Final Workplan with Gantt Chart * Composition of field team   + Number of enumerators   + Number of field-supervisors   + Qualifications, training of each member * Expected tasks, responsibilities, and schedule of delivery of each member of the team * Number of visits per household (*TWO visits per household may be needed in some cases to allow for interrupted surveys, revisions of incomplete or inconsistent information, and quality control)*   The survey firm should indicate their sampling plan/ strategy including how they will select the areas to be assessed and how these findings will be generalised or applied to the rest of Lusaka and Ndola. The sampling plan must detail:   * Clearly define the probabilities of selecting the target population. * Strict guidelines to select replacement households if selected households refuse to participate or are otherwise unable to participate. Replacement of households must be done sparingly and require supervisor approval. * Coding strategy in order to ensure each household and individual has a unique code for data entry that merges seamlessly across data sets. * Transportation and lodging logistics * Sample Control File for data collection in each city (Lusaka and Ndola) * Protocol for confirming that the location has been correctly identified * Supervision and spot check plans to ensure adherence to data collection protocols and confirm quality of data collection and entry, including a minimum of [10%] of re-visits to a random sample of the evaluation sample to confirm the validity of the data * Protocols and procedures for addressing data inconsistencies/miss-reporting when identified * Protocols for Computer Assisted Field Entry (CAFE) and data transmission protocols   This Field Work Plan should be presented to the Evaluation Team for comment and revised as necessary before commencing fieldwork. The Survey Firm must then implement the survey, adhering as closely to the plan as conditions allow. As field conditions dictate significant changes to these plans, the Survey Firm’s Field Supervisors are obliged to inform the Evaluation Team via the Survey Firm’s management, in the form of a written report or progress report.  Therefore, the inception report shall constitute the first deliverable to be submitted by the Consulting firm. The report shall provide a clear and concise approach with content, quality, substance and details of the survey, It will provide a methodology that includes questionnaires, tools, baseline framework, quality assurance mechanism, sampling plan, pilot testing, roles and responsibilities of the key members, survey execution plan and structure of the report to be submitted within three weeks from contract signing  ***DELIVERABLE (2) PRE- TESTING REPORT***  *Including timing of modules, comments from interviewers and supervisors and necessary changes to the questionnaire*  The Survey Firm will be responsible for developing the questionnaire in English that will be used to guide the survey. In consultation with the Evaluation Team, the Survey firm will adapt survey modules to the country context, including phrasing of questions and adaptation of response codes so they are appropriate to the study context. If needed, once the Consultant has adapted the base English questionnaire to reflect unique needs of the project, the Survey firm will translate this set of questionnaires to the local language(s) and pre-test the translated questionnaires, adapting any components that are necessary to accurately capture the intended information on the study populations. This would include, for example, revising consumption and asset items to reflect the patterns of consumption and assets evident from existing data.  The final set of questionnaires used in the field will be re-translated into English by an independent translator contracted by the Survey firm and formatted in the identical format used in the actual implementation.  ***DELIVERABLE (3) DRAFT REPORT AND DATA***  The complete data will be submitted with the draft report that includes the raw data from the field and also edited data with appropriate codes. A draft report of the assignment findings shall be presented to the evaluation team for comments and clarifications. The consultant will be expected to work on the comments made by the evaluation team and submit the final report.  ***DELIVERABLE (4) VALIDATION MEETING AND PRESENTATION***  A consultative meeting shall be held not more than 10 days upon submission of the draft report. The Evaluation Team and other relevant stakeholders will be invited to attend the consultative meeting. The team leader of the service agency shall make the presentation and highlight the methodology and results of the baseline study.  ***DELIVERABLE (5) FINAL BASELINE REPORT***  A comprehensive and analytical survey report that is sufficient with disaggregated data that would provide guidance on waste and plastic recycling. The survey report should be able to report on the findings, Recommendation and conclusions. This should be a well-organized final report complete with standard reporting formats (main body of the report should be a minimum 50 pages in length, excluding, tables, and annexes). Report synthesizing the main findings of the survey (not to exceed 7-10 pages in length).  The Survey Firm is required to produce all the deliverables during the contract period. |
| 1. **Baseline Team Composition and Required Competencies** |
| The personnel requirements for this project include:  *Core survey team:* The Survey Firm must provide a minimum of:   * (1) Full-time Project Manager * (1) Full-time Field Manager * (1) Full-time Data Manager   *Field Team:* Although the Survey Firm will determine the NUMBER of field teams in consultation with the Evaluation Team, each field team should be comprised of:   * (1) Supervisor * (2-4) Interviewers |
| 1. **Required Skills/ Experience** |
| The firm must meet the following minimum requirements:   * Legal status recognized by the Government of the republic of Zambia, enabling the organization to perform the above-mentioned tasks under the laws of Zambia. * At least 8 years of relevant professional experience in conducting similar assignments, such as surveys, design and evaluations and demonstrated experience with research and participatory methods. * Strong writing and analytical skills (a sample of recent analytical report is requested). * Demonstrated ability to work in a multi-cultural environment and ability to establish good and effective relationships * Strong knowledge of at least two local languages spoken in the targeted districts, traditions and culture in Zambia. * Excellent proven written, spoken English and communication skills. * Preferable: knowledge on waste management and recycling   In the technical proposal, the firm must also indicate the proposed staff and qualifications for each of the three key managerial positions based on the following minimum requirements:   * **Project Manager**: plans, supervises and manages the entire survey with the assistance of the field and data managers. The Project Manager must be based in-country for the entire duration of the survey and must have experience in managing community surveys; Degree in management, or other relevant field. Specific training in survey management. The project Manger must have excellent inter-personal skills and demonstrated ability to engage at various levels including local communities and strong analytical skills. * **Field Manager**: responsible for training of field staff; plans, supervises and manages the field work. The Field Manager must be based in-country for the entire duration of the survey and have experience in managing field work of managing community surveys; Degree in management, or other relevant field. Specific training in survey management. The Field manager must have experience in conducting training and developing training materials * **Data Manager**: plans, supervises and manages data processing and consolidation of data including coding of questionnaire. The Data Manager must be based in-country for the entire duration of the survey and must have experience in managing data entry managing community surveys. Degree in statistics, computer science, demography or other relevant discipline; Specific training in data entry for Focus Group Discussions (FGDs), Specific training and experience in data analysis and cleaning, ability to compile data from different sources and merging sets, ability to query data, visualization and reporting |
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| 1. **Ethical Clearance Documentation** |
| The Survey Firm is responsible for acquiring all permissions necessary for conducting the survey. Where required, this may include relevant permissions from national and/or local authorities, and Institutional Review Board (Protection of Human Subjects) permissions. The Survey Firm is also responsible for adhering to local formalities and obtaining any required permits related to the survey implementation, as well as survey team health and accident insurance, salary, taxes, and others as necessary. Through the course of obtaining ethical clearance, the survey firm should also identify and secure respondent compensation packages/gifts according to local custom. |
| 1. **Management and Implementation Arrangement (Reporting)** |
| The survey firm will report directly to the Officer in Charge – Inclusive Growth and SDGs at UNDP. |
| 1. **Estimated Level of Effort** |
| The level of effort required for these responsibilities is currently estimated at 2 – 3months. |

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| 1. **Payment Milestones against Deliverables** | | | |
| The successful firm shall receive their payments upon certification of the completed tasks satisfactorily, as per the milestones shown below. | | | |
| **Deliverables/ Outputs** | **Estimated Duration to Complete** | **Target Due Dates** | **Review and Approvals Required** |
| Submission and acceptance of the inception report | 15% | TBA | Approval by the technical team |
| Submission and acceptance of the and pre-testing report | 25% | TBA | Approval by the technical team |
| Submission and acceptance of the first draft report | 35% | TBA | Approval by the technical team |
| Presentation of the results of the survey and validation by the Evaluation Team | 25% | TBA | Approval by the technical team |

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| 1. **Criteria for Selection of the Best Offer** | | |
| Shortlisting will be made by the UNDP. The following criteria will be followed in selecting the best firm. | | |
| **Item** | **Evaluation Criteria** | **Points** |
|  | Submission of the technical proposal and financial proposal will be required for this process. Technical proposals will be opened and compared prior to the financial proposal. The financial proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical proposals. The technical proposal is evaluated on the basis of its responsiveness to the Term of Reference.  The financial proposal of all bidders, who have attained a minimum 70% score in the technical evaluation will be compared. The short‐listed bidding agencies may be asked for a presentation prior to the final selection if necessary. The contract will be awarded to the successful bidder following completion of all evaluations. The successful bidder will have to sign a contract to undertake the assignment. |  |

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| Technical Evaluation Criteria: | | |
| **SEQ.** | **CRITERIA** | **Obtainable points** |
| Section 1. Bidder’s qualification, capacity and experience | | |
| **1.1** | Reputation of Organization and Staff Credibility / Reliability / Industry Standing | 30 |
| **1.2** | Litigation and Arbitration history | 15 |
| **1.3** | General Organizational Capability which is likely to affect implementation  - Financial stability  - Loose consortium, holding company or one firm - Age/size of the firm  - Strength of project management support  - Project financing capacity - Project management controls | 50 |
| **1.4** | Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialised skills.) | 15 |
| **1.5** | Quality assurance procedures, warranty | 30 |
| **1.6** | **Relevance of Experience of Team Members:** |  |
| 1.6a | Specialized Knowledge | 25 |
| 1.6b | Experience on similar projects | 50 |
| 1.6c | Work for major multilateral/ or bilateral programmes | 25 |
| 16d | Experience in the region | 10 |
|  | **Sub-total: bidder's qualification and experience** | **250** |
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| Section 2. Proposed Methodology, Approach and Implementation Plan | | |
| **2.1** | To what degree does the Proposer understand the task? | 50 |
| **2.2** | Have the important aspects of the task been addressed in sufficient detail? | 30 |
| **2.3** | Is the proposal based on a survey of the project environment and was this data input properly used in the preparation of the proposal? | 65 |
| **2.4** | Is the conceptual framework adopted appropriate for the task? | 65 |
| **2.5** | Is the scope of the task well defined and does it correspond to the TOR | 100 |
| **2.6** | Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project indicating time frame? | 140 |
|  | **Sub-total Methodology** | **450** |
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| Section 3. Management Structure and Key Personnel | | |
| **3.1** | **Project Manager/ Lead Consultant** |  |
| 3.11 | Master’s degree or equivalent in management, or other related field | 30 |
| 3.12 | Demonstrable Experience in designing and conducting research and baseline study for agricultural projects | 50 |
| 3.13 | Excellent in working with local communities, NGOs/Donors or national government | 40 |
| 3.14 | Experience in supervising and managing teams | 20 |
| 3.15 | Knowledge in data management software and statistical skills | 10 |
| **3.2** | **Field Manager** |  |
| 3.21 | Degree or equivalent in management, or other relevant field | 30 |
| 3.22 | Experience managing field work for surveys of communities and/or schools | 20 |
| 3.23 | Experience in conducting trainings and developing teaching aids | 10 |
| 3.24 | Experience in community-based projects | 10 |
| **3.3** | **Data Manager/ Technical lead** |  |
| 3.31 | Degree or equivalent in computers science, demography, statistics, or any other relevant field | 30 |
| 3.32 | Training and experience in using and programming CS-PRO and similar programs. | 10 |
| 3.33 | Data analysis and cleaning | 10 |
| 3.34 | Ability to compile data from different sources, merging data sets | 10 |
| 3.35 | Ability to query data or data mining | 10 |
| 3.36 | Visualisation and reporting | 10 |
|  | **Sub-total Management structure and key personnel** | **300** |
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| **Total** |  | **1000** |

**Summary of Technical Evaluation Criteria**

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| **Category** | **Criteria** | **Obtainable Points** | **Weight** |
| **Section 1.** | **Bidder’s qualification, capacity and experience** | 250 | 25% |
| **Section 2.** | **Proposed Methodology, Approach and Implementation Plan** | 450 | 45% |
| **Section 3.** | **Management Structure and Key Personnel** | 300 | 30% |
| **TOTAL** |  | **1000** |  |

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| 1. **Estimated Schedule** |
| This consultancy is estimated to run from 21st September 2020 to 20th December 2020. |
| Payment |
| The assignment will be remunerated upon delivery of the agreed deliverables, at the agreed lumpsum, as per the normal procedures of the UNDP. Specifically requested among other financial proposal elements is to state the cost of unit per questionnaire administration in the financial proposal. |
| 16. Approval Authority |
| ApprovalThis TOR is approved by:Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name:Designation: |