

Terms of Reference and Work Plan of a Baseline survey	
Project Title	Empowering the vulnerable in four urban slums by building resilience to everyday and disaster risks
Type of BASELINE	Baseline <input checked="" type="checkbox"/> Final <input type="checkbox"/> Impact <input type="checkbox"/> Other
HFH Country and Location	Bangladesh (Dhaka and Khulna)
Name and/or organization of the evaluator/s	Caritas Bangladesh Habitat for Humanity International- Bangladesh
BASELINE duration	July to August 2017

1. BACKGROUND

1.1 Summary of the Project

Urban migration is becoming an increasing issue in Bangladesh's cities. Climate change induced hazards such as floods and droughts lead people to seek for better livelihood opportunities. Therefore, they migrate from rural areas to urban centres. In Dhaka more than 23,000 people are concentrated on one square kilometre and the city's population continues to grow by 1,400 people per day. A rapid increase of urban density is found in almost all major districts. Arriving in the cities, the migrants barely find a decent life. Since they are mostly poverty affected they have no other opportunity than moving to urban slums where there is no decent infrastructure. Consequently, the dwellers become highly vulnerable to climate change induced and other disasters in their new home. Slums are considered as illegal settlements and are thus neglected by the cities' planning authorities and suffer from vast development failure.

This is where the project at hand comes in and will contribute to bettering the lives of slum dwellers. The project intervention aims at *increasing the capacities of communities in urban areas to adapt to climate change and strengthening their capabilities to avoid, reduce and cope with the impacts of natural and man-made hazards and to reduce related losses and damages (overall objective).*

Specifically, this intervention will *increase the resilience of dwellers in four urban slums in Dhaka and Khulna city in the face of disasters, climate change and socio-economic vulnerabilities (specific objective).* The activities will target a total of 26,070 people or 5,250 households in the Lalmath and Bauniabadh slums in Dhaka and in the Labanchara and Masghat slums in Khulna.

The project will lead to more disaster aware slum inhabitants, will help establishing a resilient infrastructure, assist in diversifying the livelihoods of the dwellers and lead a dialogue with the relevant governmental stakeholders in order to reach sustainable solutions of the problems the urban poor encounter.

The major activities involve elaborating a Risk Reduction Action Plan (RRAP) for each slum in a participatory and community-owned process. To this end, the project will help to create Slum Disaster Management Committees (SDMC). Together with government actors and service providers, these committees will elaborate the action plans that will lead to targeted and needs-driven infrastructure investments and capacity building programs.

The project will be implemented by Caritas Bangladesh and Habitat for Humanity International Bangladesh under the supervision of Caritas Switzerland. The project will last for three years, starting on 1st December 2016. To date, there have been very few urban DRR undertakings in Bangladesh. This project aims at contributing to knowledge and visibility creation for all the involved actors and finding the right approach to bettering the lives of the urban poor. If deemed successful, the aim will be to undertake replications in many other slums in the booming urban centres of Bangladesh.

1.2 Specific objective

The *specific objective* of this endeavour will be to *increase the resilience of dwellers in four urban slums in Dhaka and Khulna city in the face of disasters, climate change and socio-economic vulnerabilities.*

1.3 Results & activities

By pursuing the overall and specific objective set out above, the project expects to show the following four results by undertaking the briefly explained activities within the 36-month period.

Result 1: Disaster risk awareness (capacity, awareness and knowledge):

Slum dwellers understand the likely impacts of disaster, climate and socio-economic risks on their lives and livelihoods and are able to mitigate them.

Result 2: Resilient community infrastructure (risk reduction technologies and approaches):

All 4 slum dwelling communities in Dhaka and Khulna have improved access to community infrastructure and services as a result of DRR approaches and technologies.

Result 3: Entrepreneurship and income generation opportunities (risk adverse-diversified models of livelihoods):

Women (and other vulnerable groups) have diversified income and livelihood opportunities to reduce their underlying drivers of risk.

Result 4: Advocacy and enforcement of relevant policies (strengthening governance and institutions for DRR):

Policies and provisions such as the DMA are enforced through policy advocacy, resulting in improved access to services for slum dwellers.

1.4 Project Description

1.4.1 Intervention logic & methods

The project will follow a community-managed DRR approach, building on expertise and lessons learnt of several decades of implementation experience in Bangladesh. Acknowledging that each slum is part of a wider urban environment, the project will follow a three-tier approach to achieve its objectives:

The resilient community: A resilient community can absorb and anticipate shocks and stresses and manage change with strong agency. Empowering community members through participatory, tailor-made interventions including innovative local funding mechanisms is sought, fostering entrepreneurship risk-sensitive support for a more promising future.

Vertical linkages with authorities: Facilitate dialogue with local government institutions and participation and representation of slum dwellers in city governance (City Corporation, authorities for WatSan and electricity) through roundtable discussions, field visits and showcasing.

Advocacy for replication of urban community resilience: Build on existing networks and platforms (such as the Bangladesh Urban Forum) to promote good approaches on urban community resilience, including exchanging with JTIF partner Eau et Vie on entrepreneurial ways of infrastructure and service provisions.

1.4.2 The project will undertake a mix of activities such as:

Software: Awareness raising and sensitization on urban hazards, development of capacities for action among community members, trainings and supervision for innovative skill development and linkage and networking with city authorities and other service providers.

Hardware: Context specific construction technology and development of community infrastructure and services, setup and maintenance of innovation fund for improved living conditions and risk reduction measures.

At the heart of the project intervention lays the following *resilience framework*, the Bangladesh Urban Slum Community Resilience Framework.

2. BASELINE STUDY DESIGN

2.1 Overall Objectives of the Baseline Study:

The baseline study aims to focus on deeper analysis on the situation and problem making it measurable through quantification and qualification of the problems/issues. The baseline data will be used to measure the progress of the project comparing with the indicators outlined in the project M&E plan/log-frame over the project period.

2.2 Specific Objectives of the Baseline Study:

- To assess up-to-date demographic and socio-economic information including but not limited to their present housing condition, information on disasters both natural and manmade, their frequency of occurrence and WaSH especially water supply and sanitation situation, hygiene, waste water treatment, garbage collection, WaSH in schools etc.
- To provide an in-depth indicative information on the status of community participation, their interest, knowledge, skills and attitudes in climate change, rural migration, environment and DRR issues (especially the target groups in the community and/or development initiatives in the target communities)
- To provide analytical benchmark information on the Government plans/programs and their policies with regard to DRR and to what extent they are well aligned with the adaptation needs of the local communities and provide in-depth understanding of the capacity and coordination gaps at the institutional levels
- To provide benchmark information for measuring project achievements and impact (at the project objectives, intermediate result levels based on the project proposal and / or log frame
- To provide analytical information on the number of civil society/youth/children groups already actively engaged in issues of DRR in the target constituencies and provide an benchmarks of their knowledge, attitude and skills in climate change and DRR sector.
- To identify key actors (service providers, slum management committee etc.)
- To identify benchmarks and indicators those can be used as a point of reference for monitoring and evaluation of the Urban Disaster Risk Reduction project
- Relevant recommendations based on the Bangladesh Urban Slum Community Resilient Framework

Scope of the Assignment

- The study entails following scope of assignment:
- Designing of the baseline including data collection methods in consultation with designated HFHB and Caritas Bangladesh staffs
- Pre-testing of the research tools in one or two communities and adaption and re-appropriation of the tools if needed
- Review of the secondary data available
- Data punching in the SPSS/Stata/Microsoft Excel and analysis
- Preparing draft report

- Finding sharing workshop with HFHB and Caritas Bangladesh staffs and advisory committee to seek their inputs on the findings
- Incorporate feedbacks and finalize the report

3. METHODOLOGY

3.1 Methodology

The research consultant/s/organization will utilize both quantitative and qualitative data collection methods to collect data for the baseline study. Type of quantitative and qualitative method and tools will be determined in consulting with designated HFHB personnel. Also, information available through secondary sources, i.e. review literatures and conduct interviews with various stakeholders ranging from beneficiary communities and relevant Government Department and Institutes and relevant NGOs.

The following methodology and research tools will be employed (but not limited to) during the research study.

1. Literature Compilation and Desk Review (for secondary data collection)
 - i. Relevant laws, policies and agreements: Identify which relevant laws, policies and agreements are followed and are in practice in the country with regard to DRR and identify its relevance with this project. The findings should be analysis of the extent of implementation of such policies/frameworks and programs .
3. Household interviews /survey in the targeted slums
4. Focus Group Discussions with communities in targeted communities
5. Interviews with key stakeholders (District administration, relevant government departments, representatives of civil society (NGOs, CBOs, Media Personnel, City Corporation/relevant ward commissioners, Teachers, SMCs, interviews with grassroots public representatives)
6. A final survey seminar/meeting to agree on the findings, analysis, conclusions and recommendations

4. BASELINE STUDY WORK PLAN

The Consultant will prepare a work plan that will operationalize and direct the baseline study. The work plan will describe how this study is to be carried out, bringing refinements, specificity and elaboration to these terms of reference. It will be approved by HFHB and CB designated persons and Project Steering Committee and act as the agreement between parties for how it is to be conducted. The work plan will address the following reporting elements:

- Overview of Program/project
- Expectations of Baseline Study
- Roles and Responsibilities
- Methodology
- Framework
- Information Collection and Analysis
- Reporting
- Work Scheduling

5. BASELINE STUDY REPORT

5.1 Outline of the Report

Baseline study report should contain the different elements mentioned below. All parts should be clearly distinguished from each other and of sufficient quality.

- i. Cover page
- ii. Table of contents
- iii. An executive summary that can be used as a document in its own right. It should include the major findings of the review and summarize conclusions and recommendations.
- iv. Objectives of the Baseline Study
- v. The main questions and derived sub-questions.
- vi. A justification of the methods and techniques used (including relevant underlying values and assumptions, theories) with a justification of the selections made (of persons interviewed, villages or activity sites visited).
- vii. A presentation of the findings and the analysis thereof (including unexpected relevant findings). All research questions should be addressed, paying attention to gender issues
- viii. Conclusions, which will analyze the various research questions. Conclusions will have to be derived from findings and analysis thereof.
- ix. Recommendations should be made based on the community needs, project intervention and M&E. It should be clearly related to conclusions but presented separately and should have implications to project design and implementation arrangements. Recommendations should be practical and if necessary be divided up for various actors or stakeholders and include guidelines of how they can be implemented.
- x. Report annexes.

The reporting style should be clear and accessible. References to sources used, such as interviews, literature, reports, must be given.

Confidentiality of information: all documents and data collected will be treated as confidential and used solely to facilitate analysis. Interviewees will not be quoted in the reports without their permission

5.2 Additional Requirements

The production of the baseline study report will be the liability of the consultant covering all the aspects as outlined in the ToR. HFHB will be responsible for coordinating the exercise. The Baseline report will be:

- i. Produced in English language and should be simple in expression and easy to understand.
- ii. Maximum of 60 pages with some short annexes.
- iii. The report format and text should be an A4 paper size and a legible font (e.g. Times New Roman 10, Arial 10 or Cambria 10).
- iv. The team will be liable to submit at least 01 hard copy and 01 electronic copy of the report by the agreed deadline.

6. DELIVERABLES

The required outputs of this consultancy will be as follows:

- i. An inception report (maximum five pages) outlining the approach/methodology and execution of programs/timetable. This report shall be submitted for review by HFHB, CB and approval by PSC by 5 working days after the signature of the contract before commencement of the work.
- ii. Data collection tools which shall be submitted within two days after the acceptance of the methodology for review and approval by HFHB.
- iii. Draft report which shall be submitted within five days after completion of the field work and shall be accompanied with the raw data as collected by the data collection tools.
- iv. Presentation of the key findings to the stakeholders.
- v. The final report which shall be submitted within five days after the stakeholders' dissemination workshop and shall incorporate HFHB and stakeholders inputs.

7. CONSULTANCY DURATION

Overall Consultancy Period

The entire period of this consultancy will be for two months that will include preparation, development of the survey tools, testing and reviewing of the tools, actual field work, and data analysis, dissemination of the key findings to stakeholders and reviewing of the final report.

8. REPORTING

8.1 Content

The reports submitted by the consultant shall live up to the quality standards provided by HFHB, CB including CaCH and shall include the details in sections 2 and 4.

8.2 Submission/Comments Timing

All the required documents and reports in their draft and final versions shall be submitted to the Program Officer, Monitoring and Evaluation within the specified timing in section 4 of this ToR. The Program Officer, Monitoring and Evaluation commits to give written feedback to each of the submitted documents within five working days of receipt. POME will facilitate the process to ensure input from M&E department of CB, Head of PDME and Operation of HFHB and the PSC.

9. EXPERT PROFILE

The consultant and or the consultancy entity must be multidisciplinary as the Baseline Study is an opportunity to set the direction of all program components. At minimum the consultant(s) must possess the following:

- ✦ At least a Masters Degree in Social Sciences/Development Studies/Economics/Statistics.
- ✦ 5 years of demonstrated experience in social and community research in urban and rural locations
- ✦ Good understanding of the informal settlements with demonstrated practical working experience or research in such environments
- ✦ Experience of effective interaction with local national organizations, government departments, and international humanitarian actors
- ✦ Conversant with application of cross cutting themes like gender mainstreaming, and gender competence, M&E, Advocacy and child protection to programming
- ✦ Proven experience of using participatory rural appraisal tools as the means of data collection for Baseline Study
- ✦ Skilled and experienced in research in slum areas both in rural and urban settings
- ✦ Good spoken and written communication skills in English
- ✦ Excellent analytical and report writing skills
- ✦ Knowledge of using Statistical Package, e.g. SPSS, Stata, etc. for data analysis.

10. ADMINISTRATIVE INFORMATION

10.1 Tax and VAT arrangements

HFHB and Caritas Bangladesh (CB) will deduct withholding tax from the consultancy fees which will be in conformity with the prevailing government rates.

10.2 Bid Requirements

Consultants who meet the requirements should submit a maximum of 10 pages expression of interest, which should include the following:

- i. A suitability statement, including commitment to availability for the entire assignment.
- ii. A brief statement of on the proposed study methodology including a detailed work plan.
- iii. A detailed financial proposal, including daily cost per major activity.
- iv. Updated curriculum vitae (maximum three pages) which should outline your qualifications and relevant experience and a maximum one-page analysis highlighting your understanding of the work and the proposed methodology.
- v. Contacts of 3 organizations that have recently contracted the consultant to carry out a baseline or evaluation.

10.3 Supervision

The overall supervisor of this assignment will be the Head of Program Development and M&E Department of HFHB maintaining close working with the Program Officer, Monitoring and Evaluation. However, the consultant will work on a day to day basis under the direct supervision of Dhaka and Khulna Office of HFHB and Caritas Bangladesh.

11. HOW TO APPLY

If you are convinced you meet the above qualifications and requirements, please send The RFP to the address below in delivering the intended objectives that is inclusive of the financial bid. Attaching relevant researches to the application is an advantage.

Address for Application:

The expression of interest should be sent at the following address: Procurement Committee, Habitat for Humanity– Bangladesh, House- 12 (3rd floor), Road- 16/A, Gulshan- 1, Dhaka- 1212 or by email to procurement@habitatbangladesh.org. The closing date for submission is on **10th July 2017** - by 4.30 pm.