

TERMS OF REFERENCE Baseline Survey for UNICEF supported Palikas

1. BACKGROUND AND JUSTIFICATION:

The UNICEF Country Programme Action Plan (CPAP) 2018-2022 aims to provide intensive assistance to a number of priority rural and urban municipalities (palikas) in addition to support at the national level. These priority palikas include convergence palikas and programme-specific priority palikas (non-convergence palikas).

UNICEF is in the process of establishing 50 convergence palikas (30 in 2018 and additional 20 by mid-2020) and promotes convergence¹ approach to programming. This approach builds on the past experiences and lessons learnt from UNICEF’s decentralized programming and governance support for children in Nepal. The approach in previous country programmes was pursued to ensure uninterrupted delivery of essential social services with quality for children and women including girls, ethnic minorities and other marginalized populations. This approach continues to be important in view of still substantial disparities existing in Nepal in its various facets and the principle of “leaving no one behind” which cuts across the Sustainable Development Goals (SDGs).

Table 1: Number of palikas planned for convergence programming between 2018 and 2020

No. of programmes	Province							Total
	2		5	6		7		
	1 st Phase	2 nd Phase	1 st Phase	1 st Phase	2 nd Phase	1 st Phase	2 nd Phase	
5 & 6 combines	11	10		3	2	2		28
4	1			3	1	4	3	13
3	2		3	1	2		2	9
Total	14	10	3	7	5	6	5	50

Between April and June 2018, UNICEF supported 50 convergence palikas in their local planning process which was conducted in a full-fledged manner for the first time after the federal structure was introduced in March 2017. UNICEF’s funds based on the approved Rolling Workplans (RWPs) at federal level was provided to over 350 UNICEF-supported palikas which includes 50 convergence palikas in Provinces 2, 5, 6 and 7 (Table 1). With the approval of palikas’ budget, the execution is expected to start in August 2018.

2. PURPOSE:

The purpose of the survey is to establish baseline data for selected palikas in 2018, which will help to assess the impact of convergence programming. Currently, no reliable data is available. Therefore, a dedicated survey is important to be conducted. The data obtained will be used:

- a. To establish a baseline in order to measure the effectiveness and efficacy of convergence programming, compared with programme-specific programming.

¹ **Convergence:** A synergy of action at the same place and time addressing all the rights of children, at the same time in a select number of the most vulnerable municipalities and provinces within the country. Through support to local government, convergence results in comprehensive delivery of quality services and local and community based outcomes for children.

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- b. as a basis for planning development activities by the concerned palikas and tracking of baseline indicators. This will include possible inputs to palika profiles.
- c. To identify bottlenecks to be overcome for substantial progresses for survival, development, protection and participation of children.

The primary users of the findings of the survey are Provinces/Palikas/UNICEF and their partners, especially at palika level, who are directly involved in the coordination and implementation of the convergent and sectoral priority programmes. The findings of the survey will also serve to fulfill the data gaps for measuring changes in subsequent midline and end line surveys coinciding with the Mid-term review (optional) and final evaluation of the country programme, respectively. In addition, UNICEF Nepal will establish a programme monitoring system to track programme activities, process and bottlenecks.

3. SCOPE OF WORK:

The baseline survey will be carried out in UNICEF-supported palikas (both convergence and non-convergence palikas) to establish the baseline for selected outcome, output and process indicators concerning the following results under the Country Programme 2018-2022.

- All children complete quality preschool and basic education
- All children have universal access to quality health services
- All children are well nourished
- All children/families have access to safe water and toilets at household level and good hygiene practices
- All mothers have access to quality maternal care
- All children are living in safe, supportive and caring family environment
- Adolescents, particularly girls, have access to information, knowledge, skills and adolescent-responsive social services

The survey will establish baseline for overall convergence and non-convergence palikas supported by UNICEF (Annex B). A list of suggested indicators (including process indicators) for the various strategic result areas of the Country Programme will be finalised in close consultation with the concerned counterparts (Annex C).

4. SURVEY DESIGN:

The baseline will provide an empirical basis for establishing the baseline and reference for future surveys (mid-line and end line).

Stratification is the process of dividing the sampling frame into sub-groups (strata) of homogeneous (similar) Primary sampling Units (PSU) which will result in better precision and reduced variance within stratum given similarity of units. Up to three domains for estimation of following strata of local governments will be used.

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1. Metropolitan/Sub-metropolitan
2. Municipalities (*Nagarpalika*)
3. Rural Municipality (*Gaunpalika*)

The follow-up surveys in 2020 and 2022 to assess the mid- and end-line status of the country programme will provide opportunities to estimate ‘before and after’ as well as ‘with and without’ impact concerning the convergence programming. The survey will be able to measure 12 per cent change (relative margin of error: RME) within a confidence interval of 95 per cent. This will provide sufficient evidence for the country programme evaluation based on the ‘difference-in-difference’ estimation (Figure 1).

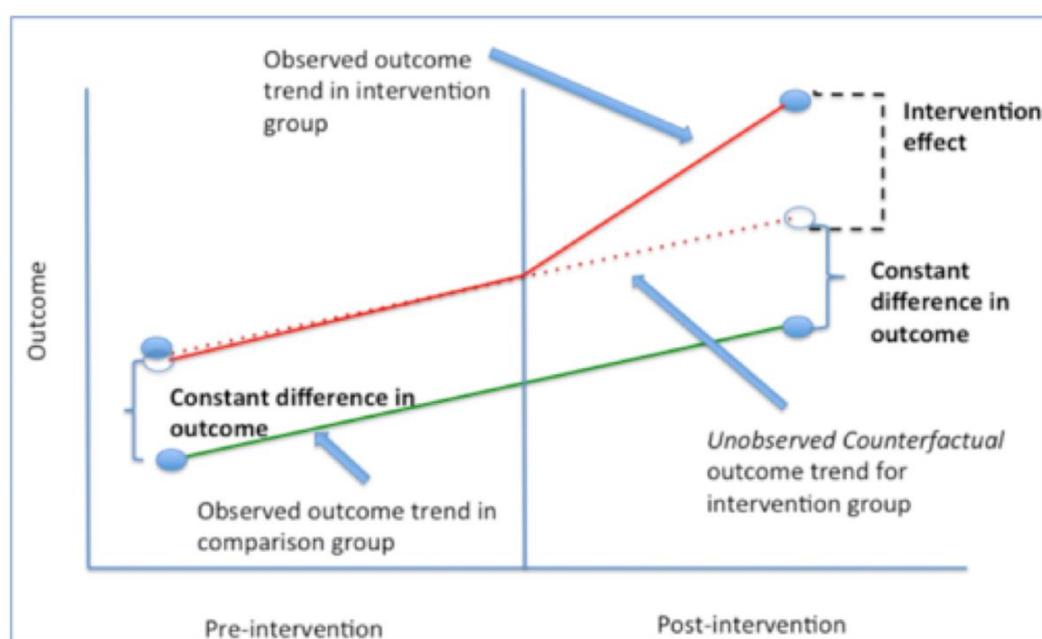


Figure 1: Difference-in-Difference estimation - graphical explanation

Multiple Indicator Cluster Surveys (MICS) methodology should be used (<http://mics.unicef.org/tools>) to guide the survey through every step of the MICS process – from overall planning, design and data collection in the field to data processing, analysis, interpretation, documentation and dissemination. The following sections provide some illustrations of parameters used for calculating sample size and instruments from MICS which can be adapted and further modified in the technical proposal.

Sample size

The sample size is derived using a key indicator from the previous survey. The sample size will vary depending on choice of indicator and their parameters related to sampling.

Sample size using
$$n = \frac{[4(r)(1-r)(deff)]}{[(RME \times r)^2 (pb)(AveSize)(RR)]}$$
,

where:

n = The required sample size, expressed as number of households

4 = A factor to achieve the 95 percent level of confidence

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- r = The predicted or anticipated value of the indicator, expressed in the form of a proportion
- $deff$ = The design effect for the indicator, estimated from a previous survey or using a default value of 1.5
- RME = The relative margin of error of r to be tolerated at the 95 percent level of confidence. It is generally not more than 0.12 (12 percent) for national-level estimates.
- pb = The proportion of the total population upon which the indicator r is based.
- $AveSize$ = The average household size (mean number of persons per household)
- RR = The predicted response rate

Using information from the MICS 2014, it is assumed that $pb = 0.102$, $AveSize = 4.59$ and $RR = 0.95$, $deff = 1.5$. Then, average sample size will be around 750 per domain using exclusive breastfeeding under 6 months as key indicator for prevalence ($r = 0.56$). This will require 2,250 (3 x 750) households and the same number for control group from non-convergence palikas, therefore total of 4,500 households. In addition, considering the importance of metropolitan and sub-metropolitan cities in convergence programming in Province 2, a separate estimates within the reporting mechanism for urban and rural areas will require an oversampling within stratum (750 households). This will result in a total sample of 5,250 households.

A multi-stage sampling design will be used to select samples using census ward (cluster) as PSU through a procedure of probability proportional to size (PPS). The sample of 180 PSUs will be required from three strata using the number of households as a measure of size. At each PSU, 25 households are to be selected by systematic random sampling.

Five types of questionnaires will be used:

- Household Questionnaire
- Questionnaire for Individual Women
- Questionnaire for Individual Men
- Questionnaire for Children Age 5-17 Years
- Questionnaire for Children Under Five

The baseline survey will provide statistically reliable estimates of most indicators, for the convergence palikas and non-convergence palikas with disaggregation available by palikas, type of palika, Provinces, and physiographic regions (Mountain, Hill and Terai).

Limitations

Although the baseline study will not provide palika level estimation, the information generated for representative stratum would provide meaningful reference point for several key indicators related to children and women. The implementation of UNICEF-supported programme will be starting before baseline data is collected, so the survey process need to be expedited as much as possible.

The convergent palikas have a limited number of metropolitan and sub-metropolitan cities and there are none in Provinces 5, 6 and 7, which will limit its representation in the survey. Representation of metropolitan and sub-metropolitan cities from non-convergence palikas will be ensured. However, considering the importance of metropolitan and sub-metropolitan cities in Province 2, a separate estimate by creating a stratum composed of Birgunj Metropolitan city, Kailali sub-metropolitan city and Janakpur Municipality has been proposed.

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5. ETHICAL CONSIDERATIONS:

The survey team will adhere to UNICEF ethical standard for research, evaluation and studies. The team will ensure that ethical concerns are considered when designing the survey methods and implementation, on harms and benefits, informed consent and payment and compensation, considerations specific to protecting children against any form of discrimination and abuse. The evaluator should adhere to UN and UNICEF ethical and evaluation norms and standards.

Ethical Guidelines for UN Evaluations and the UNICEF procedure for ethical standards in research, evaluation, data collection and analysis² will guide the overall process.

6. MANAGEMENT AND COORDINATION:

The survey will be commissioned with the financial support of UNICEF Nepal. The Planning and Monitoring (PM) Section in UNICEF will coordinate to finalise the TOR and assess the quality of survey products, including methodology and tools, inception, key findings and final reports. The PM section will also guide and provide technical support on the MICS tools and analysis.

7. DURATION:

The survey will be for a period of 6 months from 8 October 2018– April 18 2019

8. WORKING LOCATIONS:

The survey will cover Provinces 2,5, 6 and 7 and all three ecological zones (Terai, Mountain and Hill). The sample clusters can be remote and living conditions in these localities can be difficult.

9. DELIVERABLES:

No	Survey component	Deliverable	Estimated number of days required	Estimated Completion Date
1	Conduct desk review and preliminary discussions with key stakeholders.	Inception report	8	By October 15, 2018
2	Consultation with Sectors	Questionnaires are finalised	30	By Nov 20, 2018 (excluding Dasain holidays)

²UNICEF procedure for ethical standards in research, evaluation, data collection and analysis, 1 April 2015, CF/PD/DRP/2015-001, available from UNICEF

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No	Survey component	Deliverable	Estimated number of days required	Estimated Completion Date
3	Training of enumerators followed by data collection using Computer Assisted Personal Interviewing (CAPI) Techniques	Key findings using MICS template	80	By February 8, 2019
4	Review of draft report and feedback to Survey team.	Feedback shared with Survey team	30	By March 22, 2019
5	Integration of feedback and submission of final report by Survey team	Final Survey Report (in English and Nepali) together with cleaned and fully referenced electronic data sets in an agreed format submitted and approved.	30	By April 21, 2017
6	Dissemination of results in Kathmandu and in the four Provincial capitals	Disseminating materials	7	By April 28

10. PROPOSED PAYMENT SCHEDULE

No	Deliverables	Proposed % of total contract value
1	Inception report	20
2	Final questionnaires	30
3	Draft survey report	20
4	Final survey report (In English and Nepali together with Executive Summary) submitted, approved and disseminated	30

11. CONTRACT SUPERVISION:

This contract will be managed by the Planning and Monitoring Specialist

12. QUALIFICATIONS AND EXPERIENCE REQUIRED:

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The company should be able demonstrate strong track record in skills and experiences in conducting surveys using MICS methodology combined with qualitative research instruments.

Assessment and analytical capacities in handling and presenting qualitative and quantitative data with strong expertise in research methodology, statistics, computer data processing and use of special software (SPSS, STRATA, EPI-Info etc)

The Survey team should comprise a gender balanced team of technical experts with expertise in quantitative and qualitative methods of data collection, and with the following specific qualifications:

- The **team leader** should hold a Ph.D. or Master's degree in Social Science discipline or Statistics, with expertise in social development sectors. S/He should have at least 10 years of documented experience in research, survey and evaluation in developing or least developed countries.
- The team should include a **statistician** with at least 7 years of experience in research and survey design.
- Demonstrated ability to develop and maintain effective work relationships with counterparts and external partners;
- Knowledge of standard operation procedure in the UNICEF
- The team should be made up of national consultants.

13. APPLICATION AND EVALUATION PROCESS:

Each proposal will be assessed first on its technical merits and subsequently on its price. In making the final decision, UNICEF considers both technical and financial aspects. The Evaluation Team first reviews the technical aspects of the offer, followed by review of the financial offers of the technically compliant vendors. The proposal obtaining the highest overall score after adding the scores for the technical and financial proposals together, that offers the best value for money will be recommended for award of the contract.

The Technical Proposal should include but not be limited to the following:

- **Methodology**
Detailed Methodology / approach to requirement detailing how to meet or exceed UNICEF requirements for this assignment
- **Company Profile**
Ensure to include information related to the experience of the company as required and outlined above.
- **References**
Details of similar assignments undertaken in last five years including the following information:
 - Title of Project
 - Year and duration of project
 - Scope of Project
 - Outcome of Project
 - Reference / Contact persons

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- **Work Plan**
- Proposed work plan showing detailed sequence and timeline for each activity.

- **Team Composition and CV**
- Title and role of each team member. In addition, please include a copy of provisional agreement/consent between the company and the proposed cricket player.
- CV of each team member (including qualifications and experience). Please include CVs of event coordinator and video producer, etc.
- Any project dependencies or assumptions

Annex D provides the format for the Technical Proposal

The Financial Proposal should include but not be limited to the following:

Bidders are expected to submit a lump sum financial proposal to complete the entire assignment based on the terms of reference. The lump sum should be broken down to show the detail for the following:

- **Resource costs**
Daily rate multiplied by number of days

- **Conference or workshop costs (if any)**
Indicate nature and breakdown if possible

- **Travel Costs**
All travel costs should be included as a lump sum fixed cost.
For all travel costs, UNICEF will pay as per the lump sum fixed costs provided in the proposal. A breakdown of the lump sum travel costs should be provided in the financial proposal.

- **Any other costs (if any)**
Indicate nature and breakdown. Exclude supply related costs for anthropometric measurement, salt testing and tablets for CAPI.

- **Copy of the company registration**

- **Recent Financial Audit Report**
Report should have been carried out in the past 2 years and be certified by a reputable audit organization.

Bidders are required to estimate travel costs in the Financial Proposal. Please note that i) travel costs shall be calculated based on economy class fare regardless of the length of travel and ii) costs for accommodation, meals and incidentals shall not exceed the applicable daily subsistence allowance (DSA) rates, as propagated by the International Civil Service Commission (ICSC). Details can be found at <http://icsc.un.org>

14. EVALUATION WEIGHTING CRITERIA:

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Cumulative Analysis will be used to evaluate and award proposals. The evaluation criteria associated with this TOR is split between technical and financial as follows:

70 % Technical

30 % Financial

100 % Total