



Funded by
European Union
Humanitarian Aid

Finnish Red Cross 



Request For Proposals
To Conduct
In-Depth Study
on Exclusion Barriers and Scalability of Social Protection in
Kenya

Document Release Date: 05.09.2024

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Time: 11:00HRS

Tender Number: PRF20369

Submission Method: email to tenders@redcross.or.ke

Tender Opening Venue and Time: Virtually via Microsoft Teams at 1200HRS

1. Summary of the Study

1.1. Purpose

The primary purpose is to conduct an in-depth study on **Exclusion Barriers and Scalability of Social Protection in Kenya**. The study seeks to understand the Kenyan context particularly the errors leading to inclusion or exclusion in the existing social protection systems to address them and ensure that the social protection and disaster preparedness mechanisms reach women and men of all ages, backgrounds, and abilities.

Partners	Finnish Red Cross, Kenya Red Cross Society, and County Government.
Duration	45 days
Estimated Dates	07.10.2024 – 15.11.2024
Geographical Location	Garissa, Tana River and Turkana Counties.
Target Population	Community members and relevant stakeholders
Deliverables	Inception report detailing the proposed methodology and work plan, protocol to be approved by recognized ERB, final study report, facilitation of findings dissemination, and manuscript for publication.
Study Management Team	KRCS MEA&L & Program team, and Finnish RC

2. Background Information

Kenya faces recurrent challenges related to multiple hazards, including floods, desert locust invasions, epidemics, and climate change-induced drought. These hazards have severe consequences on vulnerable populations, causing economic losses, increased poverty, and setbacks in development.

In response to these pressing issues, a strategic project has been launched to bolster disaster preparedness, specifically concentrating on the vulnerable communities in Turkana, Garissa, and Tana River counties. This initiative's core objectives are to empower communities and governments in the targeted counties to foresee, prepare for, and effectively respond to natural and man-made shocks. The project aims to achieve these objectives by enhancing early warning systems (EWS), building anticipatory action capacities, and fortifying the shock-responsiveness of existing social protection (SP) schemes. The envisaged benefits extend to a population of over 2.5 million in the target counties and approximately 460,000 individuals in refugee complexes.

2.1. Project Objectives

The goal of the project is that vulnerable people in Kenya are better prepared to act early against the impacts of natural and man-made shocks by increasing the capacity of communities in target counties to prepare for, anticipate, and act early on various disasters via improved understanding and better use of early warning information, increased response capacities and cash preparedness, and shock responsiveness of existing structures.

The specific objectives of the project are listed below:

- i. To increase the capacities of counties and communities to implement inclusive, risk-informed disaster preparedness and response for timely action (Anticipatory Actions & Early Actions).
- ii. To ensure National and County level policies and DPR framework enabling timely, coordinated, and harmonized disaster response are in place.
- iii. To enable KRCS to respond effectively and promptly to sudden onset emergencies or triggers of slow onset disaster.

2.2. Key Project Stakeholders

The project's key stakeholders are Government and Non-Governmental partners and organizations including the National Drought Management Authority (NDMA), the National Disaster Operations Centre (NDOC), the Department of Social Protection, the National Social Protection secretariat, the Ministry of Labor and Social Protection, Ministry of Planning and Devolution, Ministry of Interior and Coordination of National Government, County Governments. At the community level, the project will involve KRCS volunteers and community health promoters, community members comprising women, men, boys, and girls, including those with disabilities, and key stakeholders at the community level.

3. Study Purpose & Scope

3.1. Purpose.

The proposed in-depth study aims to understand the barriers leading to errors of inclusion and exclusion in the existing social protection systems in Kenya.

The specific objectives of the in-depth study will be to:

- i. Identify and analyze the barriers that contribute to errors of inclusion and exclusion in the current social protection programs in Kenya;
- ii. Assess the impact of these barriers on vulnerable populations during disasters and shocks within the Kenyan context and global dynamics (external forces) in the evolution of the SP agenda in Kenya
- iii. Examine the bottlenecks for the horizontal and vertical expansion of the current SP programmes from a policy, legislative and programmatic perspective (aspirations/objectives, design, and implementation)
- iv. Examining the effectiveness of the Enhanced Single Registry (ESR) in collecting and updating demographic and socio-economic data for social protection programs
- v. Examine the current shock-responsiveness of the programme (only in HSNP currently) and provide recommendations of "the how" the programmes could anticipate and address shocks from a multi-hazard angle for both existing and potential additional beneficiaries
- vi. Provide recommendations for enhancing the shock-responsiveness of social protection systems, particularly in the context of disaster preparedness and response.
- vii. Propose bare minimum standards and thresholds/triggers for the elasticity of the programmes - horizontal and vertical expansion, and the timelines for expansion and contraction

4. Key Questions

To address the specific objectives, some key research questions will be explored for in-depth study to understand the barriers leading to inclusion and exclusion errors in the existing social protection systems in Kenya.

The consultants may however suggest changes/additional questions that address the specific objectives of the study during the proposal submission.

4.1. Identify and analyze the barriers

- What are the main types of errors of inclusion and exclusion occurring in the current social protection programs in Kenya?
- What are the factors that contribute to these errors, including registration, targeting, verification, and payment processes?
- How do these errors affect the effectiveness of social protection programs in reaching their intended beneficiaries?

- What are the specific challenges faced by vulnerable populations, such as women, children, persons with disabilities, and older adults, in accessing social protection programs?
- How do errors of inclusion and exclusion exacerbate existing inequalities and vulnerabilities in Kenyan society?

4.2. Assess the impact of barriers

- How do errors of inclusion and exclusion affect the ability of vulnerable populations to access social protection during disasters and shocks?
- What are the specific challenges faced by vulnerable populations in registering for and receiving social protection assistance during emergencies?
- How do delays and disruptions in social protection payments during disasters and shocks compound the impact of these events?
- What are the long-term consequences of errors of inclusion and exclusion on the resilience and recovery of vulnerable populations following disasters and shocks?
- How can social protection programs be designed and implemented to better protect vulnerable populations during disasters and shocks?

4.3. Effectiveness of Enhanced Single Registry (ESR)

- What are the strengths and weaknesses of the ERS in collecting and updating demographic and socio-economic data for social protection programs?
- How has the ERS improved the accuracy and completeness of beneficiary data compared to previous systems?
- What challenges remain in ensuring that ERS data is accurate, up-to-date, and effectively integrated with social protection program administration?
- How can the ERS be further enhanced to better support the targeting and delivery of social protection programs?
- What lessons can be learned from the ERS experience for other countries seeking to improve their social protection data management systems?

4.4. Recommendations for enhancing the shock-responsiveness of social protection systems

- What are the key principles for designing and implementing shock-responsive social protection systems?
- What specific measures can be taken to strengthen the shock-responsiveness of social protection programs in Kenya?
- How can social protection systems be integrated with disaster risk reduction and early warning systems?
- What role can social protection play in building resilient communities and reducing the impact of disasters and shocks?
- What are the financing and governance considerations for enhancing the shock-responsiveness of social protection systems?

5. Study Methodology

The consulting firm will propose the most suitable study design, sampling methods, sample size, data collection, and analysis approaches that are suitable for the study. This should be clearly outlined in the bidding document/proposal and if qualified for the oral stage, have further discussion with the study management team. The consulting firm will also propose targeted respondents to interview or data sources that can answer the study objectives. The methodology should consider the triangulation of findings, and adequate and representative sample size for the targeted respondents with clear sampling methods. The data analysis plan should be embedded, indicating how the indicators will be analyzed and presented.

6. Ethics and Confidentiality

The study shall take all reasonable steps to ensure that the evaluation is designed and conducted to respect and protect the rights and welfare of the people and communities involved and to ensure that the findings are technically accurate and reliable, are conducted transparently and impartially, and contribute to organizational learning. Therefore, the research team shall be required to adhere to the ethical protocol and applicable standards and practices as recommended by the International Federation of Red Cross and Red Crescent Societies. Data collected will be stored securely and handled with strict confidentiality throughout the study.

7. Qualifications and Experience for Consultants

The lead consultant conducting the study on Exclusion Barriers and Scalability of Social Protection in Kenya should possess the following qualifications:

- i. A minimum of a master's degree in public health, demography, statistics, social sciences, or a related field. Additional knowledge or training in Disaster Management (DM) would be considered a significant advantage.
- ii. A **minimum of 6 years'** extensive experience in carrying out comprehensive research or similar assignments.
- iii. Have proven experience in publication in peer-reviewed journals (similar publications will be preferred).
- iv. Must have published at **least five peer-reviewed** papers.
- v. Strong qualitative analytical skills and familiarity with qualitative analysis methods is highly preferred.
- vi. High level of professionalism and an ability to work independently and in high-pressure situations under tight deadlines.
- vii. Strong interpersonal, facilitation, and communication skills
- viii. The lead consultant must be able to synthesize and present findings, draw practical conclusions, make recommendations, and prepare well-written reports promptly.
- ix. Availability for the period indicated and ready to carry out the assignment and deliver results within the specified period/time.
- x. Availability of experts as co-consultants in each of the subject areas (social scientist, social protection expert, and qualitative data analyst), with experience and relevant qualifications for the assignment will be highly preferred.

8. Management of the study

8.1. Duration

The study will be conducted between 7th October to 15th November 2024 or 45 days from contract signing to delivery of the final report and draft manuscript.

8.2. Deliverables

The following deliverables are expected from the study:

- 1) Lead in developing a protocol and present it to the ethical review board for approval.
- 2) Inception report detailing the design, clear methodology, sampling frame, tools, work plan with clear timelines, scope of work, and study teams.
- 3) The raw data, and the database (including original field notes for in-depth interviews, focus group discussions, and recorded audio material), should be submitted together with the final report. A simple inventory of material handed over will be part of the record. KRCS will have sole ownership of all final data and any findings shall only be shared or reproduced with the permission of KRCS.
- 4) First draft report that will culminate in the final report (for reviews and recommendations at the organization's departmental level).

- 5) Facilitate a workshop, present the preliminary findings to internal and external stakeholders, and prepare the workshop report.
- 6) Comprehensive final research report: A detailed report presenting the findings, analysis, and recommendations based on the study objectives.
- 7) Disseminate the final research findings to the internal and external stakeholders in a forum that will be organized by the KRCS.
- 8) Develop at least two (2) Position papers on the study topic to be used for advocacy with GoK technocrats and policymakers for the evolution and improvement of shock-responsive SP in Kenya. This should be published in renowned peer-reviewed journals.

8.3. Study Management Team

The study management team shall consist of KRCS MEA&L Unit representatives, KRCS program representatives, and Finnish Red Cross representatives. They shall ensure that the deliverables agreed upon and approved in the inception report are achieved on time. KRCS MEA&L representative will be the chair of the respective teams.

Role of KRCS (Project and MEA&L team)

- Review of research products including the inception report tools, reports, and manuscripts.
- Organize and facilitate logistics and movement for the research team including the costs for the review board.
- KRCS will be the link between the community, stakeholders, and the consultant and will organize all the data collection activities (setting up appointments).
- Will be the custodian of all data generated from the assessment
- Organize workshops and dissemination forums as necessary.

Role of the Finnish Red Cross

- Participate in the TOR development and review.
- Get approval for the TORs and the study from ECHO.
- Participate in the review and selection of consultants to conduct the study.
- Review the inception report and data collection tools.
- Review and give feedback on all study products.
- Fund the activity budget.
- Facilitate final approval of the study report to ECHO.

9. Intellectual Property

All intellectual property and/or copyright material produced by the consultant whilst under contract to KRCS remain the property of KRCS and will not be shared with third parties without the express permission of KRCS. The consultant is required to surrender any copyrighted material created during the term of the contract to KRCS upon completion or termination of the contract.

10. Application Requirements

Application materials shall include:

- A written response to this TOR in terms of a proposal detailing the technical understanding of the task, proposed methodologies of the study, expected activities and deliverables, proposed work plans with schedule, and financial bids. **See Annex 1**
- Detailed **CVs of all professionals** who will work on the study. If there is more than one contractor on the proposed study team, please attach a table describing the level of effort (in number of days) of each team member in each of the study activities. **See Annex 3**
- Professional references: please **provide at least three reference letters** from your previous clients and full contact details of the referees (working and active email & phone number).

- 2 Sample reports of relevant previously completed assignments.

Please also note that the people whose names appear in the team composition template **MUST** be the ones to undertake the study. As such, they **MUST** be the ones to appear in person if the proposal moves to the interview stage.

11. Submission of proposal

The Technical Proposal **MUST** be prepared in conformance to the outline provided in **Annex 1** while the financial proposal shall conform to the template provided in **Annex 2**. The team composition should conform to **Annex 3**.

*Bidders should provide softcopy technical and financial proposals **in two separate folders** clearly marked **“Technical Proposal – Name of Consultant”** and **“Financial Proposal – Name of Consultant”**. The subject of your email should read **“Tender No. PRF20369 – Call for Consultancy for In-Depth Study on Exclusion Barriers and Scalability of Social Protection in Kenya”***

The proposal should be addressed as below to reach the undersigned (by mail) through tenders@redcross.or.ke on Wednesday, 18th September 2024 before 1100HRS.

Chairperson, Tender Committee

Kenya Red Cross Society

P.O Box 40712 – 00100

Nairobi, Kenya.

ANNEX 1: TECHNICAL PROPOSAL FORMAT

- 1) **Introduction** - Description of the firm, the firm’s qualifications, and statutory compliance (2 pages)
- 2) **Background** - Understanding of the project, context, and requirements for services, key questions (2 pages)
- 3) **Proposed methodology** - Indicate methods to be used for each research question and data source for the same. Detailed sampling procedures and sample size determination need to be described and provided. (5 pages)
- 4) **Firms experience** in undertaking assignments of similar nature and experience from the geographical area for other major clients (Table with Name of organization, name of the assignment, duration of the assignment (Dates), reference person contacts (2 pages)
- 5) **Proposed team composition** (As per annex 3) - 1 page
- 6) **Work plan** (Gantt chart of activity and week of implementation) - 1 page

ANNEX 2: BUDGET TEMPLATE

The consultant shall only quote for the items below as KRCS will manage all other related costs (logistics and payment of enumerators)

Item	Unit	No. of Units	Unit Cost	Total Cost (Ksh.)
Consultancy Fee (for the whole assessment period)	Per day			
Office expenses (Printing, photocopy, binding, communication costs, etc.)	Lumpsum			
Grand Total				

ANNEX 3: PROPOSED TEAM COMPOSITION TEMPLATE

Name of Team Member	Highest Level of Qualification	General Experience related to the task at hand	Years of related to assignment	Roles under this assignment

ANNEX 4: TENDER ASSESSMENT CRITERIA

A three-stage assessment procedure will be used to evaluate all proposals from bidders. The total number of points that each bidder may obtain for its proposal is:

- Technical Proposal 50 marks
- Oral presentation 40 marks
- Financial Proposal 10 marks

1. Mandatory Requirements.

The proposal shall ONLY be evaluated based on its adherence to the following compulsory requirements, this applies to both local and international firms or individuals.

Document/ Requirements	Yes/No
Tax compliance certificate	
Certificate of incorporation/registration (only applicable for firms)	
Proceed to the next stage (Yes/No)	

2. Assessment of the Technical Proposal

The technical proposal shall be evaluated based on its responsiveness to the TOR. Specifically, the following criteria shall apply:

Study Criteria	Maximum Points	Bidder's score	Remarks
1) Background: Description of the consultant/Firm's Qualifications, Understanding of the project, context and requirements for services	10		
2) Proposed Methodology: The proposed methodology MUST provide an indication of its effectiveness and added value in the proposed assignment.	20		
3) Firm's Experience in undertaking assignments of a similar nature and experience from related geographical areas for other major clients: <ul style="list-style-type: none"> • Provide a summary and supporting information on overall years of experience, and related technical and geographic coverage experience. 	10		
4) Proposed Team Composition: Tabulate the team composition to include the general qualifications, suitability for the specific task to be assigned, and overall years of relevant experience to the proposed assignment. <ul style="list-style-type: none"> • The proposed team composition should balance effectively with the necessary skills and competencies required to undertake the proposed assignment. • Lead Consultant Qualifications – should be as per the TOR • Provide CVs for key Consulting teams including Statistician/Data Analyst. 	8		
5) Work Plan: A Detailed logical, weekly work plan for the assignment MUST be provided.	2		
TOTAL SCORE	50		

Note: The firms/consultants that attain a score of **35 and above out of 50** in the technical study **will be invited to proceed** to oral presentation.

3. Oral Phase Assessment

At the oral phase, the following criteria shall apply:

Criteria	Maximum points	Bidder's Score	Remarks
Understanding of the assignment.	5		
Clear and scientific methodology: samplings, data collection, understanding indicators, respondents, tools, data analysis, etc.	20		
Presentation of previous similar assignment (Consultant will be required to show/present at least 2 previous completed assignment reports at the oral stage and at least two reference letters)	10		
Preparedness and participation of teams. Attendance of team members listed in the bid and whose CVs are availed.	5		
Total Score out of 40	40		

Note: From this stage, the technical and oral assessment scores are combined. The firms/consultants that **attain a combined score of 70%** in the technical & oral presentations **will be invited to proceed** to the financial stage.

4. Assessment of the Financial Proposal

The Financial Proposal shall be prepared in accordance with Annex 2. The maximum number of points for the Financial Proposal shall be **10% (10 points)**. This maximum number of points will be allocated to the lowest Financial Proposal. All other Financial Proposals will receive points in inverse proportion according to the below formula:

Points for the Financial Proposal being evaluated =

$$\frac{\text{(Maximum number of points for the financial proposal)} \times \text{(The lowest price)}}{\text{The price of the proposal being evaluated}}$$

A total score obtained including Technical, Oral, and Financial Proposals is calculated for each proposal. The bid obtaining the overall highest score shall be awarded to undertake the assignment – subject to the budget allocated.

GENERAL INSTRUCTIONS

Please read carefully the method of tender submission and comply accordingly.

1.1.1. KRCS reserves the right to accept or to reject any bid, and to annul the bidding process and reject all bids at any time before the award of the contract, without thereby incurring any liability to any Bidder or any obligation to inform the Bidder of the grounds for its action.

1.1.2. Cost of bidding

The Bidder shall bear all costs associated with the preparation and submission of its bid, and the Organization will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the bidding process.

1.1.3. Clarification of Bidding Document

All correspondence related to the contract shall be made in English. Any clarification sought by the bidder in respect of the consultancy shall be addressed at least **five (5) days** before the deadline for submission of bids, in writing to the Administration Coordinator.

The queries and replies thereto shall then be circulated to all other prospective bidders (without divulging the name of the bidder raising the queries) in the form of an addendum, which shall be acknowledged in writing by the prospective bidders.

Inquiries for clarifications should be sent by e-mail to tenders@redcross.or.ke

1.1.4. Amendment of Bidding Document

At any time before the deadline for submission of bids, KRCS, for any reason, whether at its initiative or in response to a clarification requested by a prospective Bidder, may modify the bidding documents by amendment.

All prospective Bidders that have received the bidding documents will be notified of the amendment in writing, and it will be binding on them. It is therefore important that bidders give the correct details in the format given on page 1 at the time of collecting/receiving the bid document.

To allow prospective Bidders reasonable time to take any amendments into account in preparing their bids, KRCS may at its sole discretion extend the deadline for the submission of bids based on the nature of the amendments.

1.1.5. Deadline for Submission of Bids

Bids should reach tenders@redcross.or.ke on or before **18th September 2024** before **1100HRS**. Bids received after the above-specified date and time shall not be considered.

*Bidders should provide softcopy technical and financial proposals **in two separate folders** clearly marked **“Technical Proposal – Name of Consultant”** and **“Financial Proposal – Name of Consultant”**. The subject of your email should read **“Tender No. PRF20369 – Call for Consultancy for In-Depth Study on Exclusion Barriers and Scalability of Social Protection in Kenya”***

The proposal should be addressed as indicated above to reach the undersigned by 18th September 2024 before 1100HRS for the tender to be opened at 1200HRS

Any bid received by KRCS after this deadline will be rejected.

1.1.6. Cost Structure and Non-escalation

The bidder shall, in their offer (Financial Proposal), detail the proposed costs as per the template provided above.

No price escalation under this contract shall be allowed. KRCS shall not compensate any bidder for costs incurred in the preparation and submission of this RFP and any subsequent pre-contract process.

1.1.7. Taxes and Incidental Costs

The prices and rates in the financial offer will be deemed to be inclusive of all taxes and any other incidental costs.

1.1.8. Responsiveness of Proposals

The responsiveness of the proposals to the requirements of this RFP will be determined. A responsive proposal is deemed to contain all documents or information specifically called for in this RFP document. A bid determined not responsive will be rejected by the Organization and may not subsequently be made responsive by the Bidder by correction of the non-conforming item(s).

1.1.9. Currency for Pricing of Tender

All bids in response to this RFP should be expressed in Kenya Shillings. **Expressions in other currencies shall not be permitted.**

1.1.10. Correction of Errors.

Bids determined to be substantially responsive will be checked by KRCS for any arithmetical errors. Errors will be corrected by KRCS as below:

- a) Where there is a discrepancy between the amounts in figures and words, the amount in words will govern, and
- b) Where there is a discrepancy between the unit rate and the line total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern.

The price amount stated in the Bid will be adjusted by KRCS in accordance with the above procedure for the correction of errors.

1.1.11. Study and Comparison of Bids

Technical proposals will be evaluated before the study of the financial bids. Financial bids of firms whose technical proposals are found to be non-qualifying in whatever respect may be returned unopened.

1.1.12. Confidentiality

The Bidder shall treat the existence and contents of this RFP, and all information made available in relation to this RFP, as confidential and shall only use the same for the purpose for which it was provided.

The Bidder shall not publish or disclose the same or any particulars thereof to any third party without the written permission of KRCS unless it is to Bidder's Contractors for assistance in the preparation of this Tender. In any case, the same confidentiality must be entered into between Bidder and his Contractors.

1.1.13. Corrupt or Fraudulent Practices

KRCS requires that tenderers observe the highest standard of ethics during the procurement process and execution of contracts. A tenderer shall sign a declaration that he has not and will not be involved in corrupt or fraudulent practices.

KRCS will reject a proposal for an award if it determines that the tenderer recommended for the award has engaged in corrupt or fraudulent practices in competing for the contract in question.

Further, a tenderer who is found to have indulged in corrupt or fraudulent practices risks being debarred from participating, please report any malpractices to complaints@redcross.or.ke