

**Statement of Work (SOW) for External Consultancy
Baseline Study
Comprehensive Model for Community Resilience in Vietnam
September 2021**

Type of Study	Baseline
Methodology	Mixed Methods (quantitative and qualitative)
Consultant Involvement	<ul style="list-style-type: none"> • Submit baseline proposal (as per application guidelines) • Conduct document review • Submit Inception Report • Finalize data collection tools • Perform data collection, data management, quality assurance (through verification and triangulation) and analysis • Submit final baseline report
Location of Work	Thua Thien Hue, Quang Binh, Ha Giang, and Son La
Expected start/end dates, number of workdays	1 Oct 2021 – 15 Dec 2021 (total 30 working days)

1. Project Overview and Timeframe for the Study

The Comprehensive Model for Community Resilience in Vietnam project aims to ensure targeted communities, schools and its diverse groups are more resilient to multi-hazards through reinforcing Disaster Risk Reduction and Management (DRRM) structures, enhancing capacities, and optimizing resources on preparedness and readiness at community level. This will be accomplished through addressing disaster risks at the community level, through specifically involving key stakeholder groups such as children and school officials, Older Persons (OPs), people with disabilities, ethnic minorities, local governments, and the larger community. This inclusive way of working has been successful during previous phases of this program and has been designed based on lessons learnt from the prior three phases of the program. The overall project will utilize a two-pronged approach of working with both communities and schools given the interconnectedness between the two and will focus on building capacities for these groups in an integrated manner to reduce their disaster risks. The project will also work with the institutional arrangements for DRRM from community to district to provincial to national levels as well as with relevant focal ministries, such as Ministry of Agriculture and Rural Development (MARD), Ministry of Education and Training (MoET), and Ministry of Planning and Investments (MPI) to advocate and promote the good practices evolved from field level implementation. The project will also seek to engage different Private Sector Enterprises (PSE) in the project's target provinces so as to facilitate an environment in which PSE will engage closely with the existing Disaster Risk Reduction (DRR) process at the commune and provincial level to create potential synergies and support the plans developed at these levels. To ensure project progress and impact is captured in a consistent manner over the project implementation period, a baseline study will be conducted within 90 days following the start date of the project. The result of the baseline will be used to adjust project strategies and intervention (where necessary and applicable) to ensure that project activities

address gaps identified from the baseline study. Furthermore, baseline results will be compared with end-line results to examine project outcomes (both positive and negative) over time. Lastly, baseline results will also enable learning and sharing of community practices on using innovative tools and resources to help increase their safety and resilience.

2. Location

The geographic scope of the data collection will be the same as that of the project, which are 16 communes/wards within four prioritized provinces. These include 4 communes/wards in Thua Thien Hue, 6 communes/wards in Quang Binh, 4 communes/wards in Ha Giang, and 2 communes/wards in Son La.

3. Methods

The aim of this baseline collection is twofold. First is to assess and understand ongoing knowledge, attitudes, and practices of the project's target population, at household and school level, in relation to their needs and priorities in the disaster preparedness planning processes. This will not only provide baseline values for indicators related to individual/household's knowledge and practices but also allow the activity team to fine-tune the targets and implementation strategies. Second, to promote better understanding and analysis in terms of community-level and school-level preparedness towards natural disasters. This will be accomplished through examining community-level preparedness in four key areas, namely self-organization, ability to take action, knowledge and awareness, and connectivity, aligning with the project's purpose of having the target communities, including schools, build their knowledge of disaster risks, self-organize and take individual and collective action to establish a culture of preparedness and response, while reinforcing their networks and connectedness at the end of the project.

The baseline data collection will, therefore, comprise of a household-level survey and school-level survey as well as an assessment of community and school disaster readiness, employing both qualitative and quantitative methods. The selected external consultant (either individual or team) is expected to employ the following methodologies:

- a) Household Survey: The community-level survey (multiple choice survey), which will be finalized by the consultant utilizing AmCross' standard HH survey template, will collect data on knowledge, attitudes, and practices towards disaster risks within the areas and preparedness at individual and family levels.
- b) School Survey: The school-level survey (multiple choice test), which will be finalized by the consultant utilizing AmCross' standard student survey, will assess the understanding of students on topics related to general disasters and community-based disaster risk reduction.
- c) Disaster Readiness Community and School Assessment: The Disaster Ready Assessment is a tool developed by the American Red Cross (AmCross) for preparedness activities and interventions to understand community and school readiness to disasters. The assessment (based on a checklist measuring community/school disaster readiness) will utilize a combination of desk reviews, focus group discussions, selected household and school visits, as well as interaction with community members and the project's field teams.

For the survey, the data collection will employ a population-based survey (PBS) using the total population of the 18 targeted communes/wards as a sampling base; as the project aims at building capacity of entire communities through different aspects, the knowledge, attitudes, and practices of all members in the communities should be taken into consideration. The number of sampled

households will be proportionately allocated by total population in the communities. A representative sample of communities and schools will be selected by the external consultant under consultation with the Consortium, and the sampling must ensure proportionate representation in terms of geography, gender, and ethnicity using primary and secondary data.

The proposed sampling method for the survey is multi-stage cluster sampling. Sampling method and appropriate sampling parameters (i.e., significance level, power, design effect, etc.) will be finalized in consultation with the external consultant. The community and school disaster readiness assessment will include all communes/wards and schools covered by the project.

Consultants are free and encouraged to be as creative as possible in arriving at a suitable methodology that will ensure that the objectives of the study are fully met in a timely and efficient manner, and in current operational contexts, provided the methodology meets the standard recommended methods and proposed sampling parameters indicated in this statement of work and are replicable during the end-line study

4. Data sources

The study will utilize both primary and secondary data. The survey will rely on data collection from primary sampling units at the household level and school level from the population within the project's targeted areas. The community and school disaster readiness assessment will rely on data collection from both primary data collection through focus group discussion and direct observation forms as well as other available reports, such as community assessment, training reports, etc.

5. Analysis plan

All data collected from the survey will be analyzed using a statistical package (i.e., SPSS, Stata, or other statistical application). A detailed analysis plan will be developed during the inception report, using indicator definitions and data collection tools. The proposal and inception report should indicate appropriate statistical tests that will be used for determining the statistical differences/associations between factors, such as gender, age, etc., and outcome and purpose measures, such as perception, knowledge, and practices (e.g., perceiving/recognizing a high likelihood of being severely affected by specific hazard, development of National Disaster Prevention and Control [NDPC] participation in disaster risk reduction [DRR] activities, etc.). The consultant is expected to conduct an analysis on comparison of the baseline data from both the surveys and the community (and school) disaster readiness assessments.

6. Main Audiences

The main audience for this evaluation:

- USAID/BHA: Donor
- AmCross: Grant Prime, Consortium Lead
- Vietnam Red Cross, CRS, HAIV, Plan, and SC: Implementing partner

7. Scope of Work for Consultancy

The consultant will be responsible to ensure the baseline study utilizes methodologies that meet quantitative and qualitative research standards of the scientific community. The scope of work must include the following:

- Review of secondary sources of information
 - *Collect and review relevant data, reports and publications, both project-related and disaster risk reduction program component-related, as part of the overall analysis and reporting*
- Data Collection Tools finalization (*in close consultation with the Consortium and AmCross regional technical advisors*)
 - *Provide technical support in developing/finalizing questionnaire(s) for the household survey and school survey*
 - *Transfer questionnaire(s) into relevant technological platforms to enable mobile data collection and data submission to an online server (if applicable)*
 - *Translate data collection tools into local language(s) where relevant.*
- Conduct baseline surveys and community and school disaster readiness assessments (*in close consultation with the Consortium and AmCross regional technical advisors*)
 - *Recruit and train data collectors/enumerators*
 - *Provide necessary guidance to data collectors/ enumerators*
 - *Establish mechanisms to ensure data quality*
 - *Lead and coordinate data collection*
- Data management, analysis, and reporting (*in close consultation with the Consortium and AmCross regional technical advisors*)
 - *Perform data cleaning and consolidate findings from the surveys and assessments*
 - *Perform data analysis*
 - *Prepare the Baseline report*
 - *Present Baseline results to the Consortium and other stakeholders as relevant*

8. Operations

- **Logistic and Administrative Support:** The consultant is expected to use her/his own computer. Approved administrative and logistic costs will be reimbursed by AmCross. The consultant will be able to work remotely, after approval of the work plan.
- **Reporting Relationship:** The consultancy service agreement would be facilitated by AmCross. The consultant will report to Dao Phi Hung, Program Coordinator, AmCross Vietnam Delegation with technical support from Sasikarn Paankate, Senior Regional Monitoring, Evaluation and Learning Officer, AmCross Regional Office.
- **COVID-19 Guidance:** Due to the ongoing outbreak of Coronavirus disease (COVID-19), there might continue to be some travel and logistic limitations caused by government restrictions and prevention of potential health risks related to the pandemic. In such a scenario, the external consultant is expected to propose mitigation measures. Other limitations and mitigation measures, if any, will be further identified in the inception report, considering the current context.

9. Expected Deliverables and Duration of Consultancy

- **Expected deliverables:** Deliverables should be in English. Expected deliverables for the Baseline study is as follows:
 - a. Inception Report (study design and data analysis plan)
 - b. Finalized data collection tools
 - c. Training manual for field staff
 - d. Data entry software designed for survey (for use with mobile devices)
 - e. All data files in SPSS & Excel (raw data sets, modified data sets, log files, code book)
 - f. Sampling weights used in data analysis (*if applicable*)
 - g. Submission of report with preliminary study results
 - h. Submission of draft report (*based on feedback provided from initial version with preliminary results*)
 - i. *preliminary results*
 - j. Submission of final report. The contents, structure and format of the report should be finalized in close consultation with the Program Coordinator, AmCross Vietnam Delegation, the Senior Regional Monitoring, Evaluation and Learning Officer, and Regional Technical Advisors, AmCross Regional Office.

- **Duration of the consultancy:** The consultancy will be provided for the duration of **30 working days** (excluding 20 days for work to be undertaken by data collectors/enumerators with supervision of the lead consultant), starting from 1 October – 15 Dec 2021. Please noted that the suggested numbers of days can be changed by the consultant based on the proposed methods.

Tasks	Estimated Days
1. Initial briefing between consultant and Red Cross team	
2. Inception report preparation and finalization	
3. Data collection (document review, household survey, school survey, community assessment, school assessment) and including field analysis. (This task will be done by enumerator with supervision of the lead consultant)	
4. Overall data analysis and baseline study report write-up	
5. Refining and finalizing the baseline study report	
6. Presentation of baseline study results	
Total	30 days

10. Data Collection Ethics

It is expected that the evaluation will adhere to ethical guidelines as outlined in the American Evaluation Association’s Guiding Principles for Evaluators. The summary of the ethical guideline (taken from www.eval.org/Publications/GuidingPrinciplesPrintable.asp) are as follows:

- **Informed Consent:** All participants are expected to provide informed consent following standard and pre-agreed upon consent protocols.
- **Systematic Inquiry:** Evaluators conduct systematic, data-based inquiries.
- **Competence:** Evaluators provide competent performance to stakeholders.
- **Integrity/Honesty:** Evaluators display honest and integrity in their own behavior and attempt to ensure the honesty and integrity of the entire evaluation process.

- **Respect for People:** Evaluators respect the security, dignity, and self-worth of respondents, program participants, clients, and other evaluation stakeholders. It is expected that the evaluators will obtain the informed consent of participants to ensure that they can decide in a conscious, deliberate way they want to participate.
- **Responsibilities for General and Public Welfare:** Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

11. Required Qualification

The consultant will be selected based on the detailed study methodology and analysis plan provided in the proposal as part of the application at the recruitment state together with following qualifications:

- Five to seven years of experience conducting and leading survey research and assessments, both quantitative and qualitative, 4 of which should be with international organizations
- Post graduate degree, from a recognized institution, in social research, survey methodologies, or monitoring and evaluation
- Demonstrated experience in questionnaire development and testing
- Demonstrated experience in training and managing data collectors/enumerators
- Experience with survey work in DRR or related sectors
- Experience in Monitoring and Evaluation (preferably in DRR or related sectors)
- Excellent knowledge and skills in research methodology and statistical analysis
- Demonstrated experience and expertise in designing, managing and analyzing data for multifaceted survey designs (stratified, clustered, multistage, disproportionate selection probabilities, etc.)
- Experience in using mobile device-based data collection
- Advanced computer skills (SPSS and Excel)
- Excellent communication skills for training and facilitation, and leadership to manage and coordinate a team of data collectors/enumerators
- Ability to work independently, ability to juggle and coordinate various tasks simultaneously, ability to prioritize tasks, well organized, reliable, and trustworthy.

12. Selection Criteria and Application Procedures

- **Selection Criteria:**
 - a) Qualifications section
 - b) Quality of proposal
 - c) Experience in conducting baseline/end-line studies
 - d) Expertise in community-based and schools-based disaster risk reduction
 - e) Number of days and timeline availability and rationality of budget plan
 - f) Previous evaluations in Vietnam and for AmCross /Red Cross and Red Crescent Movement
- **Application Procedures:** *The application proposal should not exceed 10 pages, and should use the following outline:*
 - a) **Consultant experience (with detailed CVs attached)** of all professionals who will work on the baseline study. This section should highlight past experience of the

consultant in conducting sample surveys and assessments, preferably with complex sample designs and in developing countries. The section should mention names, qualifications and experiences of all persons who would be involved in various aspects of conducting the study, along with level of efforts.

- b) **Methods:** Study objectives, methodology, sample design-calculation-selection, and an analysis plan.
- c) **Work plan:** The proposal should clearly describe all relevant activities to be conducted, including preparatory work, training, sampling and data collection work, data entry, data processing and analysis, results and report writing. The timeline and person(s) responsible for each activity needs to be clearly mentioned.
- d) **Field team:** If there is more than one consultant on the proposed team, please provide the number of persons needed for data collection and other proposed activities. *Please utilize the table below as reference to provide the level of effort (in number of days) of each team member for all proposed activities:*

Name of persons	Level of effort (number of days)						
	Data Collection Tools development	Training	Field work for data collection	Data entry and cleaning	Data analysis	Report writing	Presentati on of findings

- e) **Training:** The consultant will be responsible for training of data collectors/enumerators and the proposal should include information on relevant prior experience on conducting trainings. Describe how the training will be done, the topics covered, expected duration and logistic and administrative support needed from the Consortium. Trainings will be conducted in close consultation with the Program Coordinator, AmCross Vietnam Delegation, the Senior Regional Monitoring, Evaluation and Learning Officer, and Regional Technical Advisors, AmCross Regional Office
- f) **Quality control and ethics:** Provide a section detailing the mechanisms to ensure data quality by clearly specifying steps for data validation. This section may also include supervisory mechanism for data quality and the role of field editors. Measures for compliance to standard research ethics should also be stated here.
- g) **Data entry and processing plan:** This section should clearly describe preparation and mechanism for data entry, validation checks and data processing activities.
- h) **Data analysis:** Provide details on the analyses that will be carried out, and on the person(s) responsible for data analysis (including prior experiences).
- i) **Progress updates:** This section should clearly indicate the mechanism that would be used to communicate with the Consortium and relevant officials to provide regular updates on overall work plan progress including about proposed field activities, coverage rate, data entry status, etc.
- j) **Proposed Budget:** A breakdown of all associated costs for the Baseline should be provided in USD. The consultant is requested to provide a clear breakdown of costs for the work to be undertaken by the consultant/s and data collectors/numerators for the study.

- k) **Professional references:** Provide three references from your previous clients.
- l) **Writing Sample:** Provide one sample of a recent baseline/end-line study (or related work) completed for another client where you are the lead author and principal researcher.

Please submit your proposal application in English no later than **September 15, 2021** to email address amcrossvn@amcross.org.vn . In the subject line please *include your full name* along with the following words ***“Consultancy Application: CMCR Vietnam Baseline Study 2021”***. Only short-listed candidates will be notified and contacted for an interview. Applications received after the deadline or incomplete applications will not be considered.

13. Future Use of Data

All collected data will be the sole property of AmCross and the consortium partners. The consultant may not use the data for their own research purposes, nor license the data to be used by others without the written consent of AmCross.