

TERMS OF REFERENCE

Consulting Services for the Conduct of Survey for the project “Unlocking the Potential of Philippine Coastal and Marine Resources through Enhanced Planning and Sustainable Financing”

A. Rationale

The National Economic and Development Authority (NEDA) is embarking on a collaborative study with RARE NGO¹ which aims to strengthen the management of coastal and marine resources through enhanced development planning at the national and local levels. Given that coastal communities remain among the poorest in the country, an effective and sustained management of coastal resources is deemed important to enhance production of fish and other marine products including the provision of livelihood and increase in incomes of the fisher households. To fully unlock the potential of the coastal and marine resources, it is deemed important to address the challenges, such as incomplete baseline data and resources assessments, limited funding and lack of available financing schemes, among others, which continue to hamper the effectiveness and sustained implementation of the country's coastal resource management (CRM) programs.

In this context, the project specifically aims to: (a) describe the socio-economic profile and vulnerability to hazards of coastal LGUs; (b) assess the economic efficiency of coastal resource management programs (cost-benefit analysis) as they are implemented in selected typologies of LGUs; (c) identify factors that influence the adoption and sustained implementation of CRM practices; and (d) identify the appropriate financing options for improved/sustained coastal resource management.

The key components of the project include:

- 1) socio-economic and vulnerability profiling of coastal LGUs;
- 2) cost-benefit analysis of coastal resource management programs;
- 3) identification of determining factors to adopt and sustain the implementation of coastal resource management programs; and,
- 4) simulation of financing and investment scenarios for coastal resource management.

To support the conduct of the first and third components of the Project, a survey research will be undertaken to gather important socio-economic, vulnerability and other relevant data at the household level.

B. Objective of the Survey Research

The survey intends to gather socio-economic data and vulnerability and behavioral parameters of coastal municipalities/cities to improve baseline data for enhanced planning. This will facilitate the identification of appropriate strategies and financing schemes for sustainable coastal resource management (CRM) programs that will support the continued and enhanced production of fish and other marine products.

C. Scope of Work

The survey research will be designed based from the objectives of the project, particularly components one and three. The questions should be able to capture critical socio-economic,

¹ Rare is an international non-profit, non-governmental organization (NGO) focused on developing capacities of local communities and initiating changes in community behaviors to facilitate effective management of their environment and natural resources.

vulnerability and behavioral/psychometric parameters relevant to the project. The questionnaire should be structured and can be administered for about 30 minutes. In particular, the survey research will have the following scope of work:

1. Develop the survey design covering critical areas such as:
 - 1.a. Population: (i) elements, (ii) sampling units;
 - 1.b. Sampling frame from which the sample will be selected;
 - 1.c. Sample size; and
 - 1.d. Probability sampling procedure;
2. Develop, pre-test (with at least 50 respondents), review and refine the questionnaire based on the result of the pre-test and comments/inputs of NEDA-ANRES;
3. Conduct the survey in pre-determined study sites/LGUs based on an earlier analysis done by NEDA Program Management Unit (PMU);
4. Compile, process and tabulate the raw data from the survey based on agreed formats between the consultant and NEDA-ANRES;
5. Prepare the inception, interim and final reports wherein the final report shall also include the data dictionary, details of the survey methodology, as well as the full analysis and discussion of the survey results;
6. Provide necessary statistical software and/or computer programs that will be used in the completion of the deliverables; and
7. Conduct presentations, as appropriate, and facilitate an internal NEDA forum/symposium (for NEDA and other government agencies) which will be, at the same time, the venue for submitting the final report on the results of the survey.

D. Consulting Services and Responsibilities of the Lead Consultant

1. The Consultant shall develop survey questionnaires and sampling frame;
2. The Consultant shall consolidate inputs from the survey team;
3. The Consultant shall coordinate with sample LGUs in the conduct of the survey (e.g., communication, letters, etc.);
4. The Consultant shall be responsible in ensuring data consistency across sample sites as well as validate and interpret the survey results;
5. The Consultant shall directly report to the Director of the NEDA- Agriculture, Natural Resources and Environment Staff (ANRES) on the plan of action and timing of the deliverables;
6. The Consultant shall be physically available for consultations at the NEDA Central Office (CO) at least once (1) a month, or as need arises, during the duration of the research study;
7. The Consultant shall be responsible for the full dataset compilation and the final edit and lay-out of the printable version of the final report; and,
8. The Consultant shall be responsible for the development and completion of the deliverables, including the (i) inception report; (ii) interim report (or draft final report); (iii) final report; and (iv) fully-compiled survey dataset.

E. Responsibilities of the Experts

1. Conduct the survey to gather relevant data for socio-economic profiling and vulnerability assessment;
2. Based from collected data, analyze the general socio-economic characteristics and vulnerability profiles of coastal LGUs;
3. Together with the lead consultant, ensure data consistency across sample sites as well as validate and interpret the survey results; and,
4. Perform other duties and responsibilities as directed by the lead consultant for the development and completion of the deliverables.

F. Responsibilities of NEDA

The NEDA-ANRES shall facilitate the process of the survey by providing the following:

1. Assistance in coordinating with ANRES to solicit comments and inputs related to the study;
2. Technical and secretariat support to the study by coordinating meetings between the Consultant and appropriate units in NEDA and other relevant agencies as well as in consolidating and processing of comments/recommendations/inputs; and
3. The NEDA shall determine the acceptability of the deliverables and shall be the approving authority for all operations-related activities.

G. Timelines/Deliverables

1. **Implementation Period.** The survey research shall be completed within 12 person-weeks spread over four (4) months, commencing from the date of receipt of the Notice to Proceed (NTP) by the winning Consultant. An inception report shall be submitted by the Consultant within two (2) weeks and a final report shall be submitted at the end of the 12th week. The Consultant shall be released from its commitment to the contract not more than two (2) weeks upon acceptance by NEDA of the final report.
2. **Deliverables and Timelines.** The main outputs will be the generated survey dataset and the final report discussing the entire survey process and the results of the survey. In the implementation of the survey research, the Consultant shall submit to NEDA for validation and approval of the deliverables of each activities/milestones, following the schedule below:

Deliverables	Timeline
Inception Report (4 hard copies with electronic copy), which includes, among others, the work plan that identifies in detail the survey design and procedures/processes to be utilized for the survey	Within two (2) weeks from the date of receipt of the NTP
Final Inception Report (4 hard copies with electronic copy), which takes into account the inputs/comments from the NEDA-ANRES	Within four (4) weeks from the date of receipt of the NTP
Interim Report (4 hard copies with electronic copy), which contains the mid-period progress report of the survey research	Within eight (8) weeks from the date of receipt of the NTP
Draft Final Report (4 hard copies with electronic copy), which takes into account the inputs/comments from the NEDA-ANRES	Within ten (10) weeks from the date of receipt of the NTP
Revised Final Report (6 hard copies with electronic copy) including the data dictionary, survey operations and survey results, which takes into account the final comments from the NEDA-ANRES	Within 12 weeks from the date of receipt of the NTP

Gantt chart of activities:

Activities	Person-weeks											
	1	2	3	4	5	6	7	8	9	10	11	12
A. Preparatory Phase												
1. Development of questionnaires and manuals												

for the survey												
2. Pretest of questionnaires												
B. Main Survey Operations												
1. Printing of Survey Materials												
2. Enumeration												
C. Processing of Results												
1. Data processing												
D. Stakeholder Validation Workshop												
E. Finalization of report												

A hard copy of each of the reports shall be submitted to the NEDA-ANRES for onward review and endorsement to the Financial Planning and Management Staff for payment processing.

H. Qualification Requirements

1. **Qualification Requirements.** The survey research shall be undertaken by a reputable Consultancy and/or Social Survey Firm. The Firm shall mobilize key personnel, i.e., a principal/lead consultant and at least two (2) experts. The Consulting Firm, as well as the principal/lead consultant and experts, should have the following qualifications:

	Qualifications	Minimum Requirements
Quality of Consulting Firm	<ul style="list-style-type: none"> ▪ Knowledgeable in survey design and survey field operations ▪ Involvement in similar and/or relevant consulting or professional services of complexity and technical specialty comparable to the job under consideration ▪ Recognized for competence in statistics ▪ Well-versed in the management of data collection 	<ul style="list-style-type: none"> ▪ At least three (3) years of experience in survey research, particularly in survey design and field operations that can implement a survey project covering at least 5,000 respondents ▪ Must have been engaged in managing/administering <i>similar and/or relevant</i>² professional and consulting services or data generation with least three (3) Certificates of Satisfactory Service from completed projects
Quality of Principal/Lead consultant & experts	<p>Education</p> <ul style="list-style-type: none"> ▪ Educational attainment in statistics, economics, and/or related fields, with strong background in survey research <p>Training</p> <ul style="list-style-type: none"> ▪ Knowledgeable in the conduct of survey research particularly survey design and survey field operations, and other similar and/or relevant trainings 	<ul style="list-style-type: none"> ▪ <i>Lead Consultant:</i> At least an MA/MS degree holder; PhD will be an advantage ▪ <i>Experts:</i> At least BS/BA degree holder; MS/MA an advantage ▪ <i>Lead Consultant:</i> Must have at least 24 hours of training in the conduct of survey research particularly survey design and survey field operations, and other

² "Similar" projects include projects with nationally-representative survey activities while "relevant" projects are past consultancy services dealing with socio-economic and vulnerability profiling of local government units (LGUs).

	<p>Professional Experience</p> <ul style="list-style-type: none"> Recognized for competence in statistics, well-versed in the management of data collection with experience in survey research particularly survey design and survey field operations Involvement in similar and/or related consulting or professional services of size, complexity and technical specialty comparable to the job under consideration 	<p>similar and/or relevant trainings</p> <ul style="list-style-type: none"> <i>Experts:</i> at least 12 hours of training At least three (3) years of experience in survey research, particularly in survey design and field operations. Must have been a Team Leader/ Manager (for <i>principal/lead consultant</i>) in similar and/or relevant consulting services. <i>Experts:</i> At least two (2) years of experience in socio-economic research and vulnerability assessment. <i>Lead consultant</i> must have sample related work engagement with least two (2) Certificates of Satisfactory Service from completed projects <i>Experts:</i> At least one (1) sample related work engagement.
Financial capacity of Consulting Firm	<p>This is measured in terms of the following formula:</p> $\frac{[\text{current assets} - \text{current liabilities}] - [2 \text{ months cost of all ongoing \& committed projects}]}{[2 \text{ months cost of ABC}]} = \text{capacity}$	

The shortlisting and selection of qualified candidates is rated based on the attached criteria in **ANNEX B**.

2. **Criteria for Selection.** The Consultant shall be selected using the *Quality-Cost Based Selection/Evaluation (QCBS/QCBE)* procedure as prescribed under Section 24.5.3 of the Revised Implementing Rules and Regulations (IRR) of Republic Act (RA) No. 9184, or the Government Procurement Reform Act (GPRA), and based on the following criteria:
 - a. Technical Proposal: 80%
 - b. Financial Proposal: 20%

I. Mode of Procurement

1. The procurement of the consulting services shall be undertaken through a competitive public bidding pursuant to RA 9184 and its Revised IRR.

J. Fund Source and Approved Budget for the Contract (ABC)

1. Fund for this survey research shall be sourced from the NEDA Survey, Research, Exploration and Development Fund.
2. The ABC for the proposed undertaking is **FIVE MILLION FIVE HUNDRED THOUSAND AND 00/100 PESOS (PhP5,500,000.00)**, inclusive of all applicable

government taxes and charges, professional fees, and other incidental and administrative costs, which shall be paid on a reimbursement basis (e.g., meetings, consultations, materials, etc.). Attached, as **ANNEX A**, is the breakdown of the ABC.

3. Note that this consulting contract shall be a fixed price contract. Any extension of contract time shall not involve any additional cost to the Government.
4. All manuals, reports, materials, databases, questionnaires, references, etc. acquired through the conduct of the survey research shall be turned over to NEDA at the conclusion of the undertaking.

K. Payment Schemes/Schedule

1. An amount of FIVE MILLION FIVE HUNDRED THOUSAND AND 00/100 PESOS (PhP5,500,000.00) shall be allocated for the cost of conducting the survey including remuneration of consultants. This shall be in accordance with the following delivery schedule and subject to the usual government accounting and auditing requirements:

Deliverables	Payment Allocation and Amount
Upon submission and acceptance of inception report	20%
Upon submission and acceptance of interim report	50%
Upon submission and acceptance of final report and final dataset with complete documentation	30%

2. The amount of THREE MILLION FOUR HUNDRED THOUSAND AND 00/100 PESOS (PhP3,400,000.00) shall be allocated for the reimbursable costs which shall be based on actual expenses incurred, such as, but not limited to, (i) conduct of actual survey; (ii) supplies and logistics; (iii) conduct of stakeholders validation/forum; and (iv) production of reports, among others. Reimbursable costs shall be paid upon submission to NEDA of the appropriate monthly billing statements and the corresponding official receipts/certificate under oath of actual disbursements.

3. Since all the above payments shall be subject to the usual government accounting and auditing requirements, the Consultant is expected to be familiar with the Government Accounting and Auditing Manual (GAAM).

Retention Payment

1. A retention payment of ten (10) percent shall be withheld. It shall be based on the total amount due to the Consultant (net of the estimated cost for the conduct of the survey) prior to any deduction and shall be retained from every progress payment until 50 percent of the value of the Project, as determined by NEDA, is completed. If, after 50 percent completion, the Project is satisfactorily done and on schedule, no additional retention shall be made; otherwise, the ten (10) percent retention shall be imposed.

2. The total 'retention money' shall be due for release upon approval of the Completion Report. The Consultant may, however, request the substitution of the retention money for each progress billing with irrevocable standby letters of credit from a commercial bank, bank guarantees, or surety bonds callable on demand, of amounts equivalent to the retention money substituted for and acceptable to NEDA provided that the Project is on schedule and is satisfactorily undertaken. Otherwise, the ten

(10) percent retention shall be made. Said irrevocable standby letters of credit, bank guarantees and/or surety bonds, to be posted in favor of NEDA shall be valid for the duration of the contract.

L. Liquidated Damages

1. Where the Consultant refuses or fails to satisfactorily complete the work within the specified contract time, plus any time extension duly granted and is hereby in default under contract, the Consultant shall pay NEDA for liquidated damages, and not by way of penalty, an amount, as provided in the conditions of contract, equal to one tenth (1/10) of one (1) percent of the cost of the unperformed portion for every day of delay. The maximum deduction shall be ten (10) percent of the amount of contract. Once the cumulative amount of liquidated damages reaches ten (10) percent of the amount of the contract, NEDA shall at its own discretion terminate the contract without prejudice to any further action it may take to recover whatever losses incurred due to non-performance of the Consultant.

2. To be entitled to such liquidated damages, NEDA does not have to prove that it has incurred actual damages. Such amount shall be deducted from any money due or which may become due the Consultant under the contract and/or collect such liquidated damages from the retention money or other securities posted by the Consultant whichever is convenient to NEDA.

ANNEX A: APPROVED BUDGET FOR THE CONTRACT

Particulars	Amount (million PhP)
A. Remuneration/Non-Reimbursable Expenses	2.10
- Upon submission and acceptance of inception report	
- Upon submission and acceptance of interim report	
- Upon submission and acceptance of final report and final dataset with complete documentation	
B. Reimbursable Expenses*	3.40
- Meetings and consultations	
- Survey expenses (all-in)	
- covering 3,300 households at PhP1,000 (all-in) per household respondent	
TOTAL	5.50

NOTES:

These total costs shall be the respective caps for Remuneration/Non-Reimbursable and Reimbursable. However, Consultants shall have the flexibility to reallocate the budgets for Non-Reimbursable and Reimbursable Expenses; provided, that the reallocation shall not be more than 20 percent (i.e., $\pm 20\%$) from the allocated budgets for the same as indicated in this TOR and shall not exceed the ABC.

* The consulting firm is allowed to outsource the conduct of the survey with a third-party survey entity subject to the submission of a duly notarized contract between the consulting firm and survey entity to NEDA-ANRES with the total amount not exceeding the maximum allowable budget for the conduct of survey.

ANNEX B: CRITERIA FOR SHORTLISTING/SELECTION OF PROSPECTIVE BIDDERS FOR THE PROCUREMENT OF CONSULTING SERVICES FOR THE CONDUCT OF SURVEY

Criteria/Particulars	Points
I. Applicable Experience of the Firm	50
Prior involvement in reports or studies related to social survey	
II. Qualification of Officers, Key/Organic Personnel who may be assigned for the study	30
Education, training and years of professional experience	
III. Financial Capacity of the Firm	20
GRAND TOTAL	100
Hurdle Rate	70