

**Procurement**

*Cover Page*

<b>To:</b>	<b>From:</b> Bijay Karmacharya
<b>Attention:</b>	<b>Date:</b> 12-Dec-2018
<b>Fax:</b> <b>Email:</b>	<b>Fax:</b> 951-543685

Total Number of Pages including this page: 22

Attached is Request for Proposal No.: 3100003407 and all related documentation. Please notify the United Nations immediately if any part of this Request for Proposal is missing and/or illegible at the above facsimile number. Please be advised that this facsimile number may be used only to send queries.

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REQUEST FOR PROPOSAL

3100003407

**SUBJECT: Research services for informal settlement surveying**

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1. The United Nations (UN) hereby invites you to submit a Proposal to this Request for Proposal (RFP) for the above subject. Proposals are required to be received by the UN no later than **30-Jan-2019 at 12:00 PM (Yangon Time)** (the Closing Time).
2. This RFP consists of this letter, the subsequent instructions and the following annexes:  
  

**Annex A: Acknowledgement Letter**  
**Annex B: Statement of Work/Requirement**  
**Annex C: Special Instructions and Evaluation Criteria**
3. You are kindly requested to return the attached Annex A - Acknowledgement Letter, duly signed by an authorized representative of your company, to the UN via facsimile No. , Attention: **Myo HLAING** myo.hlaing@un.org(the Procurement Officer), who shall serve as a focal point of contact with regard to this RFP, no later than **30-Jan-2019 at 12:00 PM (Yangon Time)**. The Acknowledgement Letter should advise whether your company intends to submit a Proposal, and if not, indicate the reason. The UN may review the registration status of companies which fail to return the completed Acknowledgement Letter.
4. We look forward to your Proposal and thank you in advance for your interest in UN procurement opportunities.

**Bijay Karmacharya, Country Programme Manager**

**Instructions for Submission of Proposals**

**General**

1. The UN solicits Proposals in response to this RFP. Proposers must strictly adhere to all the requirements of this RFP. No changes, substitutions or other alterations to the provisions stipulated in this RFP will be accepted unless approved in writing by the UN. However, whilst fully complying with the RFP requirements, Proposers are encouraged to provide any suggestions and solutions that may achieve a more cost-effective and value-for-money approach to fulfilling the requirements of this RFP.
2. Submission of a Proposal shall be deemed to constitute an acknowledgement by the Proposer that all obligations stipulated by this RFP will be met and unless specified otherwise, the Proposer has read, understood and agreed to all the instructions provided in this RFP.
3. This RFP does not commit the UN to award a Contract or to issue a Purchase Order. Any Proposal submitted will be regarded as a proposal by the Proposer and not as an acceptance by the Proposer of any proposal by the UN.
4. The Proposer shall bear any and all costs and expenses related to the preparation and/or submission of a Proposal, regardless of whether its Proposal is selected or not.
5. Unless otherwise stated in this RFP, all times indicated in this RFP are Yangon Time.

**Submission of a Proposal**

6. Proposers are required to complete, sign and submit in the English language and in **ONE COPY**, the following documents:
  - 6.1. Technical Proposal.
  - 6.2. Financial Proposal.

The Proposal shall include information in sufficient scope and detail to allow the UN to consider whether your company has the necessary capability, experience, knowledge, expertise, licenses, financial strength and the required capacity to perform the work specified at a high professional level, as well as any attachments and/or appendices required hereunder.

7. The Financial Proposal and the Technical Proposal **MUST BE COMPLETELY SEPARATED** and each of them must be submitted in its own individual sealed envelope/package, clearly marked on the outside as either **TECHNICAL PROPOSAL** or **FINANCIAL PROPOSAL**, as appropriate. The information in Paragraph 8 below must be marked on the outside of each envelope/package. Any and all financial information must **ONLY** be included in the Financial Proposal. No Financial Proposal, quotes or any other related financial information should appear in the Technical Proposal. **Proposals which do not comply with these requirements may be rejected.**

8. **IMPORTANT: Your Financial Proposal and Technical Proposal must be submitted in two separate sealed envelopes/packages, clearly marked and addressed as follows:**

**United Nations Human Settlements Programme  
(UN-HABITAT)**  
Attn: Tender Opening Committee/ Bid Opening Unit  
08 Sawmahar Street, Bahan Township, Yangon,  
Myanmar  
Tel : 951-543685

**RFP Number: 3100003407**

**Myo HLAING**

**Closing Date & Time: 30-Jan-2019 12:00 PM (Yangon Time)      1. TECHNICAL PROPOSAL**

**Name of the Proposer:**

and

**United Nations Human Settlements Programme  
(UN-HABITAT)**  
Attn: Tender Opening Committee/ Bid Opening Unit  
08 Sawmahar Street, Bahan Township, Yangon,  
Myanmar  
Tel : 951-543685

**RFP Number: 3100003407**

**Myo HLAING**

**Closing Date & Time: 30-Jan-2019 12:00 PM (Yangon Time)      2. FINANCIAL PROPOSAL**

**Name of the Proposer:**

9. Please note that submissions by fax will be rejected.
10. Alternatively, you may submit your Proposal via email to the UN dedicated email address:myo.hlaing@un.org prior to the Closing Time.
11. Please note that submissions by e-tendering will be rejected.
12. The UN does not assume any responsibility for any missing and/or illegible pages of Proposals, and this may result in rejection of your Proposal. The phone number in paragraph 8 should not be used for queries concerning this RFP, but only for facilitating receipt of Proposals delivered by hand or by courier. **Only submission means and addresses indicated above can be used. Submission by any other means, or to any other address, will be rejected. Vendors who submit (a copy of) the Proposal directly to the Procurement Officer (by fax, electronically or by any other means) will be disqualified.**

**Closing Time**

13. It is the responsibility of the Proposer to ensure that the sealed envelopes/packages containing the Proposal reach the above mentioned address before the Closing Time so that it is time stamped and acceptable for opening. Proposals must be delivered to the above mentioned address during UN working hours from 8:30AM to

5PM, Monday through Friday. Except for the UN Holidays. Delivery to any other UN office location will be at the risk of the Proposer and may not meet the Closing Time. Written proof of receipt will not be given by UN staff unless a Postal/Courier service receipt or other form of receipt is presented for signature by the UN. Proposals received after the Closing Time will be rejected and therefore not considered or evaluated, except in exceptional circumstances.

**Clarifications**

14. For clarifications regarding this RFP, you are requested to contact the Procurement Officer, exclusively in writing, via e-mail: **myo.hlaing@un.org** or at facsimile: **951-543685** no later than **28 Jan at 03:00 PM (Yangon Time)**. No communication, written or verbal, is allowed in connection with this RFP, with any UN staff members other than Procurement Officers. Queries received after the above deadline may not be considered.
15. In order to maintain transparency, all Proposers' requests for clarifications and UN responses will be recorded and circulated to all Proposers, without indicating the source of the request.

**Validity of Proposals**

16. Your Proposal shall be irrevocable and remain valid for acceptance for at least **90** calendar days, commencing on the Closing Time.
17. If deemed necessary by the UN, Proposers may be requested to extend the validity of their Proposals for an additional period(s), in order to finalize the solicitation process. If the extension of the validity period is accepted by a Proposer, the Proposer will not be permitted to otherwise modify or consequently withdraw its Proposal, and will be required to extend the validity period of the Bid Security, if so required in this RFP.

**Withdrawal and Modification of Proposals**

18. Proposals may be modified or withdrawn in writing, at any time prior to the Closing Time. Modification and/or any other complementary information shall be submitted in writing and in a sealed envelope, marked and labeled as provided in Paragraph 8 above, before the Closing Time.
19. Proposals may not be modified or withdrawn after the Closing Time. If a Proposal is modified or withdrawn by the Proposer after the Closing Time, the UN shall be entitled, without prejudice to any other remedies available to the UN, to draw on the Bid Security, if required in this RFP. In addition, the Proposer's registration status as a UN Vendor may be subject to review by the UN Vendor Review Committee and may be grounds to suspend or remove the Proposer from the UN vendor roster.

**Bid Opening**

20. Bid opening of Proposals will take place on **31-Jan-2019 at 11:00 AM (Yangon Time)** in the Bid Room of 08 Sawmahar Street, Bahan Township, Yangon, Myanmar by bid committee. Only Technical Proposals will be opened to record the Proposers' name.

**Rejection of Proposal**

21. The UN reserves the right to reject a Proposal if it does not adhere to the RFP instructions.
22. The UN will provide the Proposers, upon written request, with the reasons for their Proposal rejection.

**Evaluation Criteria**

23. The evaluation criteria are detailed in Annex C.

**Selection Process**

24. The UN reserves the right, at its sole discretion, to:
  - 24.1. Award separate or multiple contracts for same or different elements covered by this RFP in any combination it may deem appropriate, or only a portion of the requirements. If the Proposal is submitted on an "all or none"

basis, it should be clearly stated as such.

24.2. Reject any or all Proposals received in response to this RFP and negotiate with any of the Proposers in any manner deemed to be in the best interest of the UN.

24.3. Add new considerations, information or requirements at any stage of the process.

25. In exceptional situations, the UN may cancel this RFP by a written notification to Proposers.

**Notice of Award**

26. The selected Proposer(s) will be notified in writing that the UN is considering an award of contract. The contract award shall be subject to both parties mutually agreeing to the contract terms and conditions. No legal obligation exists until the contract is finalized and signed by both parties, or the issuance of a Purchase Order (PO) by the UN.

27. Unsuccessful Proposers will be notified in writing. The UN has the right to retain unsuccessful Proposals.

28. Unsuccessful Proposers having questions about the name of selected Proposer(s) and contract(s) value are invited to consult the Awards webpage on the UNPD website at <https://www.un.org/Depts/ptd/>. Please note that Proposers participating in eligible RFPs have the option to request a post award debriefing. For more details on the process and eligibility, please visit our website <https://www.un.org/Depts/ptd/debrief-challenges>.

29. Any Contract or Purchase Order entered into with the successful Proposer will be subject to the UN General Conditions of Contract (UNGCC). You will find the link to the UNGCC at [https://www.un.org/Depts/ptd/pdf/general\\_condition\\_services.pdf](https://www.un.org/Depts/ptd/pdf/general_condition_services.pdf). A Draft Form of Contract may also be included in this RFP. By submitting a Proposal, the Proposer confirms that it has accessed, read, understood, agreed and accepted the UNGCC and the Draft Form of Contract, if applicable and if provided herein. Notwithstanding the foregoing, inconsequential changes to the UNGCC and/or Draft Form of Contract may be proposed, and considered at the UN's sole discretion during the evaluation of Proposals. Note that non-acceptance of the UNGCC and/or Draft Form of Contract may therefore lead to the rejection of your Proposal, if not rescinded.

**Commercial Instructions**

**Payment Terms**

30. The standard UN terms of payment are net **30** calendar days following satisfactory delivery of goods, performance of services and submission of an invoice, whichever is later. Payment for any goods or services by the UN shall not be deemed an acceptance of the goods or services. The provisions of Incoterms 2010 shall apply to any delivery terms specified in this RFP.

31. The UN policy is to preclude advance payments or payment by Letters of Credit. Such provisions in a Proposal will be prejudicial to its evaluation by the UN.

**Currency**

32. Prices may be quoted in a currency other than the US Dollar. However, for the purposes of commercial evaluation and comparison of all Financial Proposals, the UN will convert the currency quoted in the Financial Proposal to US Dollar, in accordance with the prevailing UN Operational Rate of Exchange at the Closing Time.

33. The Contract/Purchase Order awarded to the selected Proposer, Proposer's invoices and the UN payments, will be made in the currency as originally quoted by the Proposer in its Financial Proposal.

**Price**

34. The offered price should be all inclusive. If your price excludes certain fees and/or charges, you must provide a detailed list of excluded fees, with a complete explanation of the nature of those fees. Unless otherwise provided in this RFP, the contract shall be concluded on a Firm Fixed Price basis, and shall not be subject to any adjustment, including the actual cost incurred by the Proposer in performing the contract or any market price

change.

**GSA Clause (for USA vendors only)**

35. The UN is officially eligible, under the United States Foreign Assistance Act of 1961, to receive full benefits under General Services Administration (GSA) Contracts. Accordingly, Proposal must specify whether or not items quoted by the Proposer are currently subject to GSA Federal Supply pricing and indicate the GSA Contract Number and Expiration Date, wherever applicable.

**Bid Security**

36. Not Applicable

**Performance Security**

37. Not Applicable

**Liquidated Damages**

38. Not Applicable

**Miscellaneous**

39. Proposers may find the UN Procurement Manual and the UN Financial Rules and Regulations, which are applied to this RFP, at <https://www.un.org/Depts/ptd/pdf/pm.pdf>.
40. If so requested, the Contractor shall furnish to the UN, within 5 business days of the UN's request, an electronic copy of the applicable price list(s) including item identification references, which shall serve as a catalogue of goods and/or services that can be ordered by the UN.
41. Vendor registration and update of information: Only vendors registered with the UN Secretariat in the United Nations Global Marketplace (UNGM) can participate in this solicitation. Vendors must be registered at the appropriate level in UNGM in order to be considered for award. In the event that a vendor fails to achieve the required registration level by the time the UN is ready to make an award, the UN reserves the right to award an alternative vendor. Vendors are responsible to ascertain their registration level at <http://www.ungm.org> and, if in doubt, contact the UN Secretariat at [register@un.org](mailto:register@un.org). For UNGM account-related issues, please contact: [registry@ungm.org](mailto:registry@ungm.org). Vendors are responsible for keeping their information up-to-date in UNGM. More information can be found at <https://www.un.org/Depts/ptd/vendor-registration>.
42. Code of Conduct. By submitting a Proposal, the Proposer confirms that it has accessed, read, understood and agrees to comply with the UN Supplier Code of Conduct, which, amongst others, prohibits collusive bidding, anti-competitive conduct, improper assistance and corrupt practices. Proposers should refer to the UN Supplier Code of Conduct for further information at [https://www.un.org/Depts/ptd/pdf/conduct\\_english.pdf](https://www.un.org/Depts/ptd/pdf/conduct_english.pdf).
43. The procurement of goods and/or services by the United Nations shall be in compliance with Security Council resolutions, and the rules, regulations and policies promulgated by the United Nations' principal organs.
- Confidentiality**
44. Unless otherwise indicated by the UN, the UN will consider and treat the Proposals received as confidential and commercially proprietary.
45. This RFP is confidential and proprietary to the UN, contains privileged information, part of which may be copyrighted, and is communicated to and received by Proposers on the condition that no part thereof, or any information concerning it may be copied, exhibited, or furnished to others without the prior written consent of the UN; except that the Proposer may exhibit the specifications to prospective sub-contractors for the sole purpose of obtaining proposals from them. The Proposer shall remain responsible towards the UN for any act or omission of such prospective sub-contractor, including breach of confidentiality obligation.
46. The confidentiality obligations hereof shall survive the expiration of this RFP, and shall be binding to all the

Proposers who received the RFP, regardless of whether or not they submit a Proposal and/or are awarded a resulting contract.

**Independent Price Determination**

47. Consistent with the UN Supplier Code of Conduct, by submitting a Proposal, the Proposer certifies that
- 1) the prices offered in the Proposal have been arrived at independently, without any consultation, communication, or agreement in any manner that would result in restriction of competition with any other Proposer or competitor relating to (a) those prices, (b) the intention to submit a Proposal, and/or (c) the methods or factors used to calculate the prices offered;
  - 2) the prices in the Proposal have not been and will not be knowingly disclosed by the Proposer, directly or indirectly, to any other Proposer or competitor before the UN issues an award under this solicitation; and
  - 3) no attempt has been made or will be made by the Proposer to induce any other entity to submit or not to submit a Proposal for the purpose of restricting competition.

Failure to comply with the above Independent Price Determination provisions shall result in the rejection of the Proposal(s). In addition, the UN reserves the right to exercise any other rights and remedies available to it.



**IMPORTANT: In order for your company to remain in good standing as a registered vendor, you must return a completed copy of this acknowledgement letter even if you do not intend to submit a Proposal/Bid at this time.**

**ANNEX A**  
**ACKNOWLEDGEMENT LETTER**

**SUBJECT: Research services for informal settlement surveying**

-  
We, the undersigned, acknowledge receipt of your Request for Proposal (RFP) No. **3100003407** and hereby confirm that we:

INTEND                       DO NOT INTEND

to submit a Proposal/Bid to the UN by the deadline date of **30-Jan-2019 at 12:00 PM (Yangon Time)** and that, if we submit a Proposal/Bid, we:

INTEND                       DO NOT INTEND

to send one (1) authorized representative to observe the public opening procedure.

**NOTE: Due to the current security arrangements, your authorized representative must present a completed copy of this letter in order to observe the public opening procedure.**

We acknowledge that this RFP is confidential and proprietary to the United Nations, and contains privileged information. Upon request, we will return this RFP or any part thereof, and all copies thereof, to the United Nations.

Name & Title of Authorized Representative: \_\_\_\_\_

Signature: \_\_\_\_\_

Company Name and Address : \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Email: \_\_\_\_\_

If you do not intend to submit a bid to the United Nations, please indicate the reason:

- We do not have the capacity to submit a bid at this time.
- We cannot meet the technical requirement for this RFP.
- We do not think we can make a competitive offer at this time.
- Others: (Please specify: \_\_\_\_\_ )

Kindly return this Acknowledgement Letter immediately via fax , to 08 Sawmahar Street, Bahan Township, Yangon, Myanmar Tel: 951-543685 or email by email to Myo.Hlaing@un.org. Attention: **Myo HLAING**

**Terms of Reference**

<b>Title</b>	<b>Research services for informal settlement surveying</b>
<b>Duration</b>	<b>2 months</b>
<b>Project Location</b>	<b>Yangon, Myanmar</b>
<b>Type of contract</b>	<b>Request for Proposal</b>
<b>Deadline to Apply</b>	<b>30 January 2019</b>

**1. Background**

UN-Habitat, the United Nations Human Settlements Programme, has had a presence in Myanmar since the early 1990s. UN-Habitat is dedicated to promoting socially and environmentally sustainable development of human settlements in an urbanizing world, with the goal of providing safer and inclusive human settlements.

Yangon Regional Government (YRG), under the leadership of the Chief Minister has prioritized the need to find a durable solution for households living in informal settlements – particularly those located in the ‘resettlement areas’ in Yangon’s northwest. The resettlement areas or ‘new towns’ are those areas where plots were distributed in the 1960s and 1980s/1990s to resettled squatters, government officials or as a sites-and-services scheme. Informal settlements – often referred to as ‘squatters’ where residential housing does not have formal legal permission and land has been occupied and development is unplanned by owner/occupier. The households living in informal settlements for the most part do not have tenure security.

YRG has had stated they will pursue a dual track policy of upgrading resettlement areas and relocating households in informal settlements to satellite towns that are now being planned. UN-Habitat has had numerous discussions with YRG on solutions and ways forward - urging YRG to restrict resettlement to those households living in hazardous areas that are unsuitable for human settlement development. In addition, any resettlement should be voluntary and not forced.

On this basis, UN- Habitat is working with YRG/YCDC to develop the Yangon Informal Settlements – Resettlement Programme (YISRP). The programme is broken into two phases – inception phase and implementation phase. During the inception phase the following issues and others will be examined in detail:

- i. options for mixed use/mixed income development
- ii. housing financing option for the poorest

- iii. identification of targeted settlements for resettlement
- iv. type of housing options (incremental, rental, mixed- use)
- v. affordability or ability to pay for housing
- vi. Willingness of population to upgrade and/or relocate

UN-Habitat is providing technical leadership in the inception phase. This includes carrying out a number of studies and assessments, scoping study on land suitability, costing and modeling and consultation with communities – all of which will inform the implementation phase of the resettlement programme. Specifically, more information is required on the potential resettlement risks to ensure these are mitigated and social, environmental and economic safeguards are in place in accordance with the international standards following international principles and practices. Affordability levels must be assessed and a process for engaging with communities to involve them in a participatory planning process is vital.

Five areas of technical assistance have been identified and TOR is specifically addressing items 4 and 5 in the graphic below:

**Figure 1: Five areas of Technical Assistance**



Research undertaken during the inception phase will build on findings from UN-Habitat’s mapping assessment conducted in cooperation with YCDC that identified/verified 423 slum/informal settlements within municipal boundaries. The slum mapping classified informal settlements into seven typologies based on their location and/or development and qualitative socio-economic research on urban poverty and living conditions in Yangon’s informal settlements.<sup>1</sup>

<sup>1</sup> UN-Habitat has compiled a comprehensive database of all informal settlements in the city, and mapped the city’s resettlement areas. See Mapping Yangon: The Untapped Communities Phase One, UN-Habitat, (2016). GRET conducted a study on informal settlements. See Volume 1: Final report Research Services for Informal Settlement Surveying, Yangon, June 2017)

Based on the findings, approximately 370,00 people (7% of Yangon’s population live in informal settlements. Hlaining Thar Yar has the highest number of informal settlements (181). An estimated 293 settlements are located in disaster prone areas such as river banks, drainage ways, railway tracks, road right of way, and creeks. Of the 293 settlements located in areas unsuitable for development – one third (approximately 100) are extremely vulnerable to flooding and cyclones.

**Table 1: Informal settlements in Yangon**

Classification of settlements	Number of settlements	Total land area (acres)	Population
Slum settlements	131	953	167,925
River/creek settlements	side 79	358.21	80,810
Roadside settlements	147	220.91	58,495
Village tracts	27	129.91	33,300
Resettlement area subdivisions	18	37.66	12,160
Peri-urban subdivisions	land 8	112.66	8,550
Inner urban infill	13	10.15	3,075
<b>Total</b>	<b>423</b>	<b>1,822.5</b>	<b>364,315</b>

Despite these treacherous conditions, the GRET survey conducted under the UN-Habitat auspices found that over 90% of households survey did not want to move. The research conducted under this TOR will also generate much needed data and information required for all stakeholders to plan and invest in the low-income communities.

## **2. Research Objectives**

The broader research goal is to support the evidence-based design/implementation of a resettlement programme that is properly planned and adequately financed as well as voluntary and affordable for the targeted population.

The proposed research has three broad objectives:

- i. to address information and data gaps on how each settlement developed (categories), levels of investment in infrastructure and housing in targeted informal settlements and demographic information on urban households in Hlaingtharyar;
- ii. to identify levels/types of community organization and provide insight into community views on resettlement, identify resettlement risks and solutions for mitigating these risks
- iii. to determine levels of affordability in resettlement *vis a vis* different segments of the targeted population

The survey and research is comprised of four areas of enquiry:

- Geographical – vulnerability/hazard mapping of informal settlements and prioritization settlements and households for resettlement based on findings

- Social – community characteristics and concerns surrounding resettlement including willingness to move
- Demographic –survey of households in targeted settlements with key demographic information related to resettlement
- Economic – sustainable livelihoods assessment of households in targeted settlements to establish affordability thresholds and to provide insights about livelihood options in case of resettlements. Recommendations for Community Economic Development Planning in new settlements

UN-Habitat is seeking to engage a survey/ research firm to develop quantitative and qualitative research methodologies around these four areas in collaboration with project staff, undertake the survey research based on the parameters described in the TOR. The consultancy will be undertaken in two stages. Stage 1 will be dedicated to develop questionnaire, methodology and for the carrying out qualitative and quantitative research and stage 2 for reporting- which will overlap with stage 1 work.

### **Proposed Research Methodology:**

Proposed research will be conducted in the informal settlements and slum of the Haling Tharyar township o Yangon. This research will include conducting survey for both qualitative and qualitative research through household survey for a sample decided in consultation with UN-Habitat.

Priority will be given to those settlements which have high vulnerability to climate extreme events and disaster and absence of tenure security with remote possibility of regularization and providing any kind of tenure security. Random sampling survey may be more appropriate to choose. This research should also be supported by desk review of the existing studies. Research/ survey firm need to review the existing studies/ research in the area.

Informal settlements in Hlaing Thayar shall be ranked and prioritized for survey on the basis of a set vulnerability criteria, that requires settlements to relocate. The selection of settlements shall be based on desk review of existing maps, google images and information of the open source followed by rapid field assessments.

Haling Tharyar Township has 181 informal settlements with approximately 24,865 households and 124,325 population size. The prioritization of settlements shall identify 20 settlements which fall on priority settlements from vulnerability lenses. It is suggested to pick a representative number of households commensurate to the size of the each of the 20 selected settlements. Statistically sample size for the survey should have at least 95% confidence level with maximum 5% margin of error that means; for 24,865 household, sample size should be at least 500 to keep the margin of error below 5% with 95% confidence level. Number of household in any settlement should not be more than 10% of total households. Number of sample size for selected settlements are to be agreed with UN-Habitat prior to the commencement of survey.

### **3. Description of Duties**

#### **Stage 1**

Under the supervision of the Country Programme Manager, the Research Team based in Yangon, Myanmar will work in a dedicated manner for the assigned period. Working with the Country Programme Manager and other project team members, the research team will be responsible for the following:

- Review of applicable secondary sources on informal settlements, their location map and socio-economic survey report, studies on urban poverty, information on the ‘resettlement areas’ and government sponsored resettlements in Yangon of the past.
  - Familiarization with informal settlements in Hlaingtharyar;
  - Development of quantitative and qualitative methodologies for undertaking rapid socioeconomic survey research in urban informal settlements as defined in the TOR
  - Conduct the research
- Settlement Selection and Prioritization: determine vulnerability and prioritization

Based on the categories of settlements identified under ‘Mapping Yangon’, the research will focus on those settlements with low levels of tenure security and high levels of risk due to hazards such as tidal flooding and cyclone. These settlements will be ranked in order of priority taking into account levels of investment in infrastructure and housing. Based on the findings, the settlements that will be included in the other research areas of enquiry will be identified in close consultation with UN-Habitat.

UN-Habitat will make spatial data available to the survey team. Remote sensing outputs will be available to facilitate the research – particularly during the first stage. UN Habitat will support the research with basic GIS maps available from its “Mapping Yangon” project.

The data and analysis of the survey team and its reports will be interpreted by UN-Habitat team and is not expected of the research team.

Following information will be gathered from the 20 priority settlements requiring resettlement to a new location.

- Population/Households: demographic survey of households in targeted communities including household composition, gender, head of household, age, # of children, disabilities and elderly.
- Community Resettlement Risks: develop methods for generating qualitative information and analysis on resettlement risks faced by communities
  - history of settlement

- tenure security/ types of ownership<sup>2</sup>
  - investment in housing/infrastructure and DRR measures already in place
  - community willingness to move
  - levels of community cohesion, community organizations/associations, role of CSOs/CBOs and other entities (religious) in community development
  - types and degree of resettlement risks faced by households (related to resettlement not hazards) and key areas for strengthening cohesion and interventions in programme design to mitigate risks
- Sustainable Livelihoods: Sustainable Livelihoods Assessment (SLA) for selected households from each of the target settlements (in 20 priority settlements with the sample sized explained earlier.)
- analysis on how livelihoods are developed and how various types of livelihood assets are used to build sustainable livelihoods (human, financial, physical, natural, social) and the shocks and threats faced by households
  - based on findings identify key issues that must be addressed in a resettlement to reduce shock to households' livelihoods (example importance of micro-finance, housing finance, commercial/market enterprises, types/characteristics of housing, etc.)
  - assess levels of 'transitional poverty' by provide analysis into the depth and severity of poverty (e.g. what percentage of households are clustered near the poverty line')<sup>3</sup>
  - levels of indebtedness
  - Ensuring access to public assets and services and managing this transition is therefore critical and has the potential to make a dramatic and lasting impact.<sup>4</sup>
  - Analyze importance of gender in livelihoods and female –headed households

### **Outputs / Deliverables**

- Priority Ranking of the settlements – through a vulnerability assessment criteria
- Research methodology - to be discussed and agreed with the UN Habitat team, including a qualitative research survey instrument, questionnaire, and outline of the quantitative approach to be employed and areas of investigation

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<sup>2</sup> Land options may vary from settlement to settlement depending on the primary tenure status on the land – either public land or land owned privately (by individuals, institutions or customary-owned land.) In the case of public/government owned land, options might include the following: i) provision of land for free with title (collective or individual), ii) land provided for free with long-term user rights (often as a contribution by governments and municipal agencies), or iii) land provided for long-term lease for a nominal fee (individual or collective). In other cases, households have purchased land (most likely transaction is unregistered), or land is privately owned but could be leased or sold or in some cases could be provided for free.

<sup>3</sup> The global poverty line set by the World Bank is USD 1.90 per person per day but more than 40 percent of households surveyed were trying to survive on less than USD 0.86 (1,000 Kyat)

<sup>4</sup> 'Transitional poverty' is tied in part to the increases in the cost of living and reliance on the informal sector (casual and unskilled jobs) as a source of employment. See report on poverty in Yangon Region by Save the Children, 'Lives on Loan: Extreme Poverty in Yangon' (October 2016), page 23

- A synthesis of the findings both qualitative and quantitative in the form of a study
- Raw data from the quantitative phase of the research, provided as data files
- Data in an aggregated form to be determined in consultation with the programme team.

## **Stage 2**

### **Reporting**

The final report will present the findings of qualitative and quantitative research across four areas of enquiry as follows:

- Prioritization of settlements based on criteria/classification
- Population data (provided in the annex) but summarized in the report
- Community- level analysis of resettlement risks and related issues (willingness to move, issues of concern in resettlement, mitigation of resettlement risks)
- Case studies of selected households for SLA summarized with findings in annex
- Conclusions and recommendations

### **Qualifications**

The successful proposal will have knowledge and experience in the field of survey, assessments on urban poverty in the Southeast Asian region, and an understanding of informal settlements, urban development, factors in resettlement and sustainable livelihoods. Experience working informal settlements and resettlement areas in and around Yangon – and specifically in Hlaing Thayar. Familiarity with urban land and urban poverty issues in Myanmar is desirable.

Candidates should also bring a strong knowledge of social science research methodologies, including data analysis, and an ability to undertake quantitative research (household surveys) at scale in difficult circumstances. An appreciation of local sensitivities around land, tenure, and poverty issues is critical.

Project team fluency in English and Myanmar is required.

Consultants will be evaluated on the basis of their work experience, project team composition, and proposed methodology.

- A minimum of ONE experience in conducting survey and research on slum/informal settlement/urban/socio-economic area etc.
- Proposed professional shall have at least 5 years of professional experience for International Experts and at least 3 years of experience for national experts in the field of survey design, research on related area, data analysis and research report preparation. (CV of the key expert to be submitted)
- Experience of working in slum issues/informal settlement programme will be an added advantage (List of the projects designed and implemented)
- Ability to communicate to community living of different educational and socio-economic backgrounds specially in slum areas



- Affiliation with a local community Organization or NGO will be an advantage.

### **Duration**

The consultancy duration will be for 02 months from date of issuance of contract. The final report is to be submitted at the conclusion of the consultancy. Proposed break of the duration is given below:

<b>Activity</b>	<b>Number of Days Input Required</b>
Desk Review of Existing Studies/ Research	05 days
Sample Size Selection and Development of Tool and Methodology	05 days
Survey and Data Collection	20 days
Data Entry	05 days
Data Analysis and Research Report	25 days

### **Proposed Levels of inputs and Composition of Survey Team**

#### **Desk Review of Existing Studies:**

International Expert Input: 02 Days

National Expert Input: 03 Days

#### **Development of Survey Tool and Methodology:**

International Expert Input: 03 Days

National Expert Input: 02 Days

#### **Survey and Data Collection:**

Number of Survey Team= 5    Number of Surveyor per team= 02

Number of Household surveyed per day by 01 team = 06

Total Number of Survey per day= 30

Number of days needed to conduct 600 survey= 20 days

Survey Coordinator (national staff) = 20 days

Number of Surveyor = 10 (for 20 days)

#### **Data Entry:**

Data Entry Operator: 05 days

#### **Data Analysis and Report Writing:**

International Expert Input = 10 days

02 National Expert Input = 15 days

### **Payment Schedule**

- 30% on satisfactory submission of the research methodology;
- 60% on satisfactory submission of Phase 1 outputs; and
- 10% on satisfactory submission of Phase 2 outputs.

### **Submission of Proposal**

Interested forms shall provide 1. Technical Proposal and 2. Financial Proposal.

The Technical Bid and the Price Schedule must be submitted together and sealed together in one and the same envelope, delivered either personally, by courier, or by electronic method of transmission. If submission will not be done by electronic means, the Technical Bid and Price Schedule must be sealed together in an envelope whose external side must:

- a) Bear the name of the Bidder;
- b) Be addressed to UN-Habitat; and
- c) Bear a warning not to open before the time and date for Bid opening as specified above.

If the envelope is not sealed nor labeled as required, the Bidder shall assume the responsibility for the misplacement or premature opening of Bid due to improper sealing and labeling by the Bidder.

**Technical Proposal** shall be accompanied by a short proposal and supporting documents as attachments to evaluate the form according to the Technical Proposal Evaluation Criteria (specified below). **Forms that are qualified on the technical evaluations will only be considered for financial evaluation and selection on least cost basis.**

### **Financial Proposal:**

The consulting form is expected to quote full cost quotation to complete the task within the stipulated time. Financial Proposal shall be submitted in the specified templates provided below;

Financial Proposal Evaluation		Amounts in USD
Form 4		
Financial		
4.1	Financial Proposal Amount for all items complete	
<b>Amount in words.</b>		

The Financial Proposal shall be supported by the cost breakdown of the work on the template provided below. **“Financial proposal Breakdown”**.

**Financial Proposal: Break down of the costs**

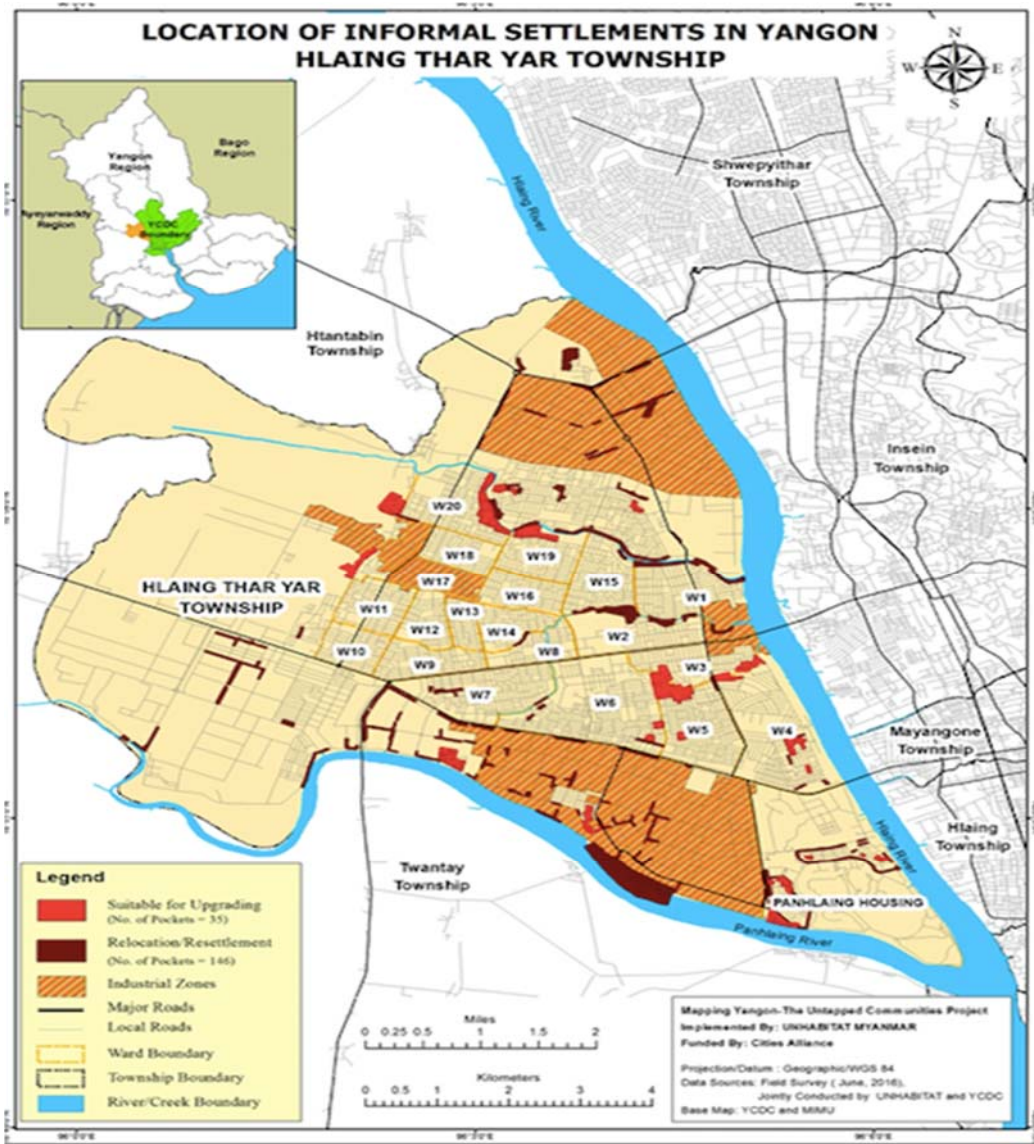
SN	Item	Quantity	Unit Cost (USD)	Amount (USD)	Total (USD)
	International Expert	15 days			
	National Expert -1	20 days			
	National Expert -2	2*15 days			
	Survey Coordinator (national staff)	20 days			
	Surveyor (10)	20 days			
	Data Entry Operator	05 days			
	Local Travel Cost				
	Logistic support	LS			
	Report preparation costs	LS			
	Any other cost (Miscellaneous)				
	Total				

Proposed cost in words (USD):

.....

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Map of Hlaing Thayar



**Technical Evaluation Criteria**

**Technical proposals will be scored using the following criteria:**

- a) The organization's general reliability as well as experience and capacity in the specific field of the assignment 300/1000 points;

Technical Proposal Evaluation Form 1		Points obtainable
<b>Organizational Capacity</b>		
1.1	Demonstrated Knowledge and Experience of the firm in similar kinds of consultancy assignments related to informal settlements survey.	
1.2	International experience of the firm for conducting research/survey on similar topic, If any.	
1.3	Organogram of the firm and their access to the informal settlements through staff or local entities	
Total Form-1:		

- b) The approach in responding to the TOR and the detailed work plan 400/1000 points;

Technical Proposal Evaluation Form 2		Points Obtainable
<b>Demonstrated Technical Capacity of the firm</b>		
2.1	Capacity to deliver, evident from the quality of the submitted Technical Proposal/ Approach to the required work (2-4 page, Proposal is required)	
2.2	Provide copies of some previous examples of slum/informal settlement research & Example of an international consultancy work, affiliation with a Myanmar based agency if any.	
Total Form-2:		

- c) The qualifications and competence of the personnel proposed for the assignment for a total of 300/1000 points

Technical Proposal Evaluation Form 3		Points obtainable
<b>Personnel</b>		
3.1	CV of the International Expert	
3.2	CVs of the National Experts	
3.3	CV of the Survey Supervisor/coordinator	
Total Form-3:		

**CVs of proposed senior personnel are required with the submission along with other relevant material for evaluation according to the evaluation criteria.**

The threshold of qualification on Technical Proposal is 75%. Firms that qualify the minimum threshold requirement will be evaluated for financial Cost. Lowest value bidder will be selected among the qualified companies.