

**Terms of reference (ToRs) for the procurement of services (ANNEX 1)
Contract 83423525**

Development of Sustainability Plan and Business Continuity Model for the SHOC.	Project number/ cost centre: 17.3505.9-008.00
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0. List of abbreviations

AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
AU	African Union
CSC	Climate Service Centre
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
GIDRM	Global Initiative on Disaster Risk Management
GIZ	The Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
RID	Risk-informed development
SADC	The Southern African Development Community
SHOC	SADC Humanitarian and Emergency Operations Centre
ToRs	Terms of reference
TWG	Technical Working Group

1. Context

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH supports the Southern African Development Community (SADC) Secretariat's Disaster Risk Reduction (DRR) Unit through the SADC/GIZ Project "Global Initiative on Disaster Risk Management (GIDRM)" funded by the German Ministry of Economic Development and Cooperation (BMZ). The objective of GIDRM is to build capacities and skills of selected decision-makers and regional organizations and initiatives in Southern Africa and other global regions to enable the use of risk-informed development (RID) principles while taking account of context-specific fragility factors. To address the complex nature of risks and safeguard sustainable development, the GIZ through its Global Initiative on Disaster Risk Management (GIDRM), aims at strengthening risk governance and risk-informed development (RID) in the region. RID is an understanding of development that considers multi-faceted, dynamic, interdependent, transboundary, simultaneous, and systemic risks. It thus describes a shift in mindset and practice across sectors and stakeholders from managing single hazards towards incorporating existing and future risks in all development processes from the outset and therefore choosing development pathways that prevent the creation of risks.

The frequency, magnitude and severity of disasters, mostly driven by weather related conditions, in the SADC region and their impacts continue to surge causing enormous setbacks to the regional integration and resilience building efforts in already distressed economies. Given the serious situation, the SADC Ministers for Finance and Investment, in their meeting held in November 2016, approved the "SADC Preparedness and Response Strategy and Fund 2016-2030". The SADC Council of Ministers' meeting held in Dar es Salaam, United Republic of Tanzania in August 2019, endorsed the provisions of the Strategy and directed the SADC Secretariat to expedite the operationalisation of the SADC Disaster Preparedness and Response Mechanism, which also includes the operationalisation of the SADC Humanitarian and Emergency Operations Centre (SHOC) and the development of the associated Standard Operation Procedures (SOPs).

During the meeting of the SADC Council of Ministers in August 2019, the Government of the Republic of Mozambique offered to host the SADC Humanitarian and Emergency Operations Centre (SHOC). The Council during its meeting held in March 2021, accepted the offer made by the Republic of Mozambique to host the SHOC, and approved the roadmap for the operationalisation of the Centre, as presented by the Secretariat. The Council also urged Member States to nominate and submit contact points for the establishment of the SHOC; and further directed the Secretariat to work with the Government of Mozambique to operationalise the SHOC and report progress during its next meeting.

One of the activities proposed in the Roadmap for the establishment of the SHOC is the preparation of a Sustainability Plan for the Centre. The Plan aims to provide a systematic analysis of the resource requirements in terms of functions, and therefore resource requirements (technical, financial and infrastructure) of the Centre, and propose mechanisms for the long-term financial sustainability to enable the Centre to continue to fulfil its mandate in line with its vision, mission in a quest to provide disaster risk management Coordination services to the region over time.

The SADC Secretariat therefore requires the services of a technical service provider to develop a Sustainability Plan and Business Continuity Model for the SHOC.

1.1 Regional Context:

The region continues to experience increasing incidents of multiple disasters. These include significant events that have occurred in the region, among others; recurrent and chronic droughts over the past three decades, notably that includes the El Nino induced drought of 2015/16, which led to over 40 Million people being food insecure across the region; and the Tropical Cyclones, such as, but not limited to, including TC Idai and Kenneth categorised at Level 5¹ that affected three countries namely Mozambique, Malawi and Zimbabwe and resulted in extensive destruction of infrastructure and loss of life and livelihoods.

The southern Africa region has had the highest COVID-19 caseload and deaths in the African continent. In an increasingly interconnected and globalized world, COVID-19 has been a drastic reminder of the ever more cascading, complex and systemic nature of risks. To reduce the caseloads and stop the spread, DRR governance regulatory frameworks were utilised to facilitate lockdowns and travel and movement restrictions that while assisting to contain the spread, led to significant socio economic setbacks in almost all the development sectors in the already ailing economies. These developments continue to highlight the need for a strengthened regional coordination approaches to support affected Member States in their preparedness, response and early recovery efforts.

1.2 PROGRESS IN THE ESTABLISHMENT OF A REGIONAL EMERGENCY OPERATION CENTRE

In line with the provisions of the SADC Preparedness and Response Strategy and Fund 2016-2030, and the 2019 Council decisions, the Secretariat has developed the draft SHOC Standard Operating Procedures (SOPs) to guide DRM coordination mechanism², as well as the draft Memorandum of Agreement (MoA) for the SHOC which was approved by Council in their meeting in August 2022. The MoA outlines the responsibilities and role of the SHOC and provides a framework for cooperation between Member States regarding the establishment and operationalisation of the Centre. In addition, procedures have been drafted for the activation of the regional rosters through the SADC Standby Force and Emergency Response Team (ERT) to also provide technical support to effected countries.

Several structures have also been identified such as the SADC Secretariat's DRR Unit, Climate Service Centre (CSC) and sectoral directorates and units that convene under the DRR Technical Working Group (TWG) to work together in support to countries affected by the multiple number of disasters. The Secretariat also works collaboratively with regional International Cooperating Partners (ICPs) on DRM and provide technical and financial support in regional humanitarian and emergency operations in support to affected countries.

¹ Based on the Bureau of Meteorology categorisation.

² The draft SHOC SOPs need to be reviewed to include the internal institutional procedures for the various responsibilities and roles for the SHOC.

In line with the March 2021 Council decision, the SADC Humanitarian and Emergency Centre (SHOC) is to be in Nacala, Nampula Province of the Republic of Mozambique.

2. Tasks to be performed by the contractor

The main objective of the consultancy is to develop a long-term Sustainability Plan inclusive of a Business Continuity Model for the SADC Humanitarian and Emergency Operations Centre (SHOC), that will enable the Centre to continue to fulfil its mandate in line with its vision and mission in a quest to provide DRM Coordination services to the region over time.

The company will be responsible for providing the following services:

- (i) Assess, in consultation with national Disaster Risk Management Agencies/Offices (DRMOs), SADCs DRR Unit and SADC Member States the technical and financial requirements of the SHOC, which will ensure adequate day to day basic operations, as well as, the envisaged start-up activities;
- (ii) Assess potential alternative sources of income for the Centre including all the innovative sources such as user fees etc., that could be utilized by the Centre for its operations;
- (iii) Review and assess current and existing SADC resource mobilisation mechanisms (such as technical, infrastructure and financial) and their effectiveness and what can be learnt to inform the SHOC sustainability plan
- (iv) Propose and table a funding model by *inter alia*, carrying out a donor assessment, including other tools and mechanisms that can be tapped into including Climate Funds, Adaptation Funds etc. and the feasibility of applying these tools in the SHOC and the SADC Region context; and
- (v) Based on the results from points (i) to (iv) above to provide a technical and financial Sustainability Plan and a Business Continuity Model for the SHOC and formulate concrete recommendations for the Centre to ensure its operational sustainability.

Tasks and Deliverables

Task 1: Prepare a project inception report and hold an inception meeting with the National Focal Points for the SHOC.

Expectation: The company is expected to present a working plan that leads towards the achievement of the objective and deliverables which includes timeframes. The Inception report shall among others; outline the contractors understanding of the Terms of Reference, the methodology and approach to be adopted in undertaking the assignment, the activities and outputs to be delivered, detail on expertise to be utilised, and project delivery schedules, showing clear timelines for the delivery of each output through a Gantt Chart. The service provider will include in the final inception report, which incorporates the inputs and feedback as provided by the SADC DRR Unit, National Focal Points and GIZ.

- **Deliverable 1:** An inception report detailing the methodology, approach and project schedule of activities with detailed timelines.
- **Deliverable 2:** An inception meeting organized and held, in which the service provider presents its working plan towards the achievement of the objective, deliverables and timeframes, provides rooms for discussion and summarizes the key results of such meeting verbally and in-form a written report. Minutes of the inception meeting and updated inception report to be included. Stakeholders to be invited are: The SADC DRR Unit,

GIDRM, SADC Nominated Focal Points for the establishment of the SHOC and Secretariat DRR Technical Working Group.

Unit of measurement: Inception report(s) including work and time plan, in MS-Word and PDF-file format tabled at a virtual inception meeting.

Task 2: Desk studies, Literature Review and Stakeholder Consultations

Expectation: The contractor is expected undertake an in-depth review and analysis of the other regional DRR/M Centres existing globally, to learn how they are able to technically and financially sustain themselves as well as undertake an assessment of the available sources of funding, both public and private, at the regional as well as, global level that the SHOC can tap into. As part of the in-depth review, undertake a comprehensive review of the available DRM financing mechanisms both at the regional and global level that the SHOC can tap into while exploring other innovative financing mechanisms that could be utilized by the SHOC to sustain its activities.

As part of this process, the contractor is also expected to consult, among others, the following entities:

- a. The Secretariat's Disaster Risk Reduction Unit, the Organ for Peace and Security, Food Agriculture and Natural Resources (FANR), Social and Human Development (SHD), Infrastructure and Services-Climate Service Centre (I&S-CSC)
- b. Republic of Mozambique – Government, Nampula Province and Nacala-Porto local government authorities, as well as all SADC Member States - National Disaster Management Agencies (NDMAs), Civil Protection Units (CPU), National Hydro-meteorological Services Centres;
- c. Other Regional Economic Communities (RECs);
- d. International Cooperating Partners (ICPs), such and the UN Agencies, GIZ, bilateral and multilateral;
- e. Global Emergency Response Centres and organisations, Association of Southeast Asia Nations (ASEAN), Europe Coordinating Humanitarian Organisation (ECHO), World Meteorological Organisations (WMO), Tsunami International Centres;
- f. Key international and national non-governmental organisations (NGOs);
- g. Research institutions and the Academia;
- h. Private sector associations and businesses
- i. Critical infrastructure providers, (e.g. energy, water (provision of and sanitisation), basic health, roads etc.))

The information collated from the literature reviews and consultations will inform the development of the Draft Situational Assessment Report for the SHOC Sustainability Plan with recommendations to inform the development of the Sustainability Plan and Business Continuity Model. The Comprehensive Situational Assessment Report will be presented to GIZ's GIDRM, the SADC Secretariat and consolidate inputs and comments from the Secretariat based on the drafts.

- **Deliverable 3:** A comprehensive Draft Situation Analysis Report with recommendations, that provides the basis for the Sustainability Plan. (In line with specific objectives i)- iii))
- **Deliverable 4:** Present Draft Situation Analysis Report and incorporate inputs from GIZ's GIDRM and the SADC Secretariat into final version.

Unit of measurement: Situation Analysis Report(s), MS word and pdf file format, presented and updated after a meeting outlining its content.

Task 3: Development of the Draft SHOC Sustainability Plan and Business Continuity Model and organize and hold validation meeting/workshop

Expectation: Review the functions and requirements for the SHOC operations and identify the minimal human (their technical areas, skill required and academic level) and technical resources and operating costs, including a draft Institutional Framework taking gender into consideration. Based on task 2, identify, options to minimize running/operating cost, maintenance and sources of revenue to sustain the long-term operational costs of the SHOC, develop a prospective SHOC Sustainability Plan inclusive of a Business Continuity Model for optimal functioning and sustainability of the SHOC. The Plan and its Business Continuity Model shall provide detailed and complete implementation design for each revenue option to capture, among other needs, required resources, tools, capacities, processes, systems including revenue collection, technologies, training needs, roles and responsibilities with timelines and a Sustainable Finance Monitoring & Evaluation plan. The following shall be considered and completed:

- a. the mandate, goals, objectives and targets to be achieved by the SHOC;
- b. The Africa Union / SADC Mission Report “JOINT VISIT TO SADC HUMANITARIAN AND EMERGENCY OPERATIONS CENTRE (SHOC), NACALA, MOZAMBIQUE” (see annex)
- c. The required instruments, systems and tools for an effective and efficient performance of the SHOC;
- d. Roles and responsibilities of each stakeholder in the resource support scope, scale and timeframe
- e. Any guiding documents or templates or operational procedures necessary for the operations of the SHOC.
- f. Develop a SHOC Business Plan and Continuity Model including a funding model encapsulating available alternate/income streams and required technical human capacity to implement a SHOC

The draft SHOC Sustainability Plan and Business Continuity Model, will then be submitted to the DRR Unit, who in turn will hand it over to the Deputy Executive Secretary Regional Integration (DES-RI) for approval. The Plan and Model will then be presented during a SADC validation workshop for Member States and Regional Partners and stakeholders. It is foreseen that this workshop will take place during the assignments' period, for which the service provider will consolidate and incorporate inputs and comments.

During the validation workshop for Member States and Regional Partners and stakeholders, the DES-RI and/or his/her delegates will present the SHOC Sustainability Plan and Business Continuity Model and the service provider will consolidate and incorporate inputs and comments from the validation meeting.

After this the company will consolidate and incorporate inputs and comments from the validation workshop and submit the final Draft SHOC Sustainability Plan and a Final Draft Situation Analysis Report to the DRR Unit for final approval by the Secretariat.

- **Deliverable 5:** A SHOC Sustainability Plan and Business Continuity Model
- **Deliverable 6 (Dependent):** Pending timely approval of DES-RI a validation workshop which would include interpretation options into French and Portuguese.

Unit of measurement: A validation meeting, SHOC Sustainability Plan and Business Continuity Model in MS Word and PDF and an accompanying MS PowerPoint presentation.

Certain milestones, as laid out in the table below, are to be achieved by certain dates during the contract term, and at particular locations:

Milestone	Deadline
Deliverable 1	08.12.22
Deliverable 2	13.12.22
Deliverable 3	28.02.23
Deliverable 4	10.03.23
Deliverable 5	20.03.23
Deliverable 6	22.05.23

Period of assignment: From 1st December 2022 until 30th September 2023.

The number of workdays to implement the assignment is **106 days** which will be spread between the Team Leader and Expert 1 to undertake the assignment. Please note that if the company **offers days exceeding** the aforesaid your offer will not be assessed.

All written deliverables are to be sent as drafts for feedback and comments before final submission unless otherwise specified. All tasks, deliverables and all related documents shall be in English language. All deliverables shall be sent per email and GIZ's File Transfer tool ([LINK](#)) to the technical Advisor of GIDRM and the Senior Programme Officer of SADC DRR Unit and carbon copied to the head of the Southern Africa Component of GIDRM and the Senior Advisor SADC DRR Unit. Regular project oversight meetings will be convened to oversee implementation and provide support on the service delivery.

Data protection

The performance of the contract may be associated with the processing of personal data by the contractor, who would alone define the nature of such data and how such processing would be carried out. In such cases, the contractor shall act as an independent data controller and must alone comply with all applicable data protection obligations, including regional and local laws. The data protection principles such as lawfulness, purpose limitation, storage limitation, transparency, integrity and confidentiality, and accountability, as well as the numerous rights of the data subject must be paid due attention. The General Data Protection Regulation's (GDPR's) data transfer rules must be considered whenever personal data leaves the EU for a third country. The GIZ is not in any way responsible for such processing and, apart from non-personal data (company data or statistics), the GIZ does not expect to receive any personal data from the contractor.

3. Concept

In the bid, the bidder is required to show how the objectives defined in Chapter 2 are to be achieved, if applicable under consideration of further specific method-related requirements (technical-methodological concept). In addition, the bidder must describe the project management system for service provision.

Technical-methodological concept

Strategy: The bidder is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1). Following this, the bidder presents and justifies the strategy with which it intends to provide the services for which it is responsible (see Chapter 2).

The bidder is required to present the actors relevant for the services for which it is responsible and describe the **cooperation** with them.

The bidder is required to present and explain its approach to **steering** the measures with the project partners and its contribution to the results-based monitoring system.

The bidder is required to describe the key **processes** for the services for which it is responsible and create a schedule that describes how the services according to Chapter 2 are to be provided. In particular, the bidder is required to describe the necessary work steps and, if applicable, take account of the milestones and contributions of other actors in accordance with Chapter 2.

The bidder is required to describe its contribution to knowledge management for the partner and GIZ and promote scaling-up effects (**learning and innovation**).

Project management of the company

The bidder is required to explain its approach for coordination with the GIZ project.

- The contractor is responsible for selecting, preparing, training and steering the experts (international and national, short and long term) assigned to perform the advisory tasks.
- The contractor makes available equipment and supplies (consumables) and assumes the associated operating and administrative costs.
- The contractor manages costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ.
The contractor reports regularly to GIZ in accordance with the AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH from 2018

The bidder is required to draw up a personnel assignment plan with explanatory notes that lists all the experts proposed in the bid; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

4. Personnel concept

The bidder is required to provide personnel who are suited to filling the positions described, based on their CVs (see Chapter 7), the range of tasks involved and the required qualifications. The required number of personnel is only 2 being the Team Leader and 1

expert, if the company recommends more than 2 team members your offer **will not** be assessed.

The below specified qualifications represent the requirements to reach the maximum number of points.

The Company is required to provide personnel who are suited to filling the positions described, based on their CVs.

Team leader

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)

Qualifications of the team leader

- Education/training (2.1.1): University degree in disaster risk reduction or management, strategic emergency policy development and planning or other fields related to the scope of the assignment; (Master strong advantage)
Other Professional qualifications in an area related to disaster risk management strategy development, strategic planning, and or public finance and planning or related field will be an added advantage
- Language (2.1.2): Good business language skills in English with French and/or Portuguese proficiency an added advantage.
- General professional experience (2.1.3): 10 years of professional experience in disaster risk management (related) sector(s)
- Specific professional experience (2.1.4): 3 years in the establishment and development emergency operations business flow and model including finance / fund system and in the assessment and formulation of financial sustainability options
- Leadership/management experience (2.1.5): 5 years of management/leadership experience as project team leader or manager in a company
- Regional experience (2.1.6): 8 years of experience in projects in the SADC region,
- Development Cooperation (DC) experience (2.1.7): 6 years of experience in DC projects
- Other (2.1.8): Demonstrated leadership and experience in setting up emergency operations centres, organizational assessment and management, strategic planning, multinational financing mechanisms in shaping change management will be a strong advantage.
- Demonstrated knowledge on the role and actions of an Emergency Operation Centre (EOC) in the disaster risk management phases and seamless disaster emergency operations from risk analysis and monitoring, preparedness and early recovery;
- Experience organisational change management and demonstrated work in organisational re-engineering and institutionalisation processes;

Expert 1

Tasks of Expert 1

- Support the team leader in the development of the SHOC Sustainability Plan and Business Continuity Model

Qualifications of expert 1

- Education/training (2.2.1): University degree in management, economics, finance, development finance, development studies or Strategic Business Management, business modelling
- A professional qualification in project management an added advantage
- Language (2.2.2): business language skills in English with French and/or Portuguese proficiency an added advantage.
- General professional experience (2.2.3): 6 years' undertaking strategic planning, and or public finance and planning or related field
- Specific professional experience (2.2.4): 5 years in analysis systems management and development of business models;
- Leadership/management experience (2.2.5): 2 years
- Regional experience (2.2.6): 3 years in the SADC region
- Development Cooperation (DC) experience (2.2.7): 4 year
- Other (2.2.8): Experience in humanitarian and emergency operations at intercontinental and regional levels will be an added advantage.

Other skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking
- Excellent analytical, interpersonal, communication and reporting skills
- Computer literate with good working knowledge of the standard Microsoft Office suite of programmes, teleworking and virtual consultations.
- Diplomacy skills

5. Costing requirements

Travel

The service provider will work from his/her respective home country. Where travel is deemed necessary, the service provider is expected to make its own logistical arrangements (including for transport, accommodation, visas and permits, etc.). The proposed costs for travel for the service provider, should be included in the financial bid.

The service provider / company will work from their respective home country. Where travel is deemed necessary as now no specific country is identified, the service provider is expected to make their own logistical arrangements (including for transport, accommodation, visas and permits, etc.). The company is requested to include the fixed total logistical budget of up to EUR 2900€ (indicated in the budget form) in the financial offer which is available for the whole assignment. Please note that this fixed budget does not count towards the price quote, as it is the same for everyone.

As the locations of the business trips is not yet clear, the above-mentioned fixed, unalterable travel-expenses budget for all trips for all experts is specified in the price schedule. The fixed budget contains the following travel expenses:

- Economy flights, overland travel and other transport costs, ancillary travel costs (vaccination, visa etc.)
- Accommodation and daily subsistence (per diems).

The costs are reimbursed in accordance with the regulations of each responsible GIZ country office on submission of documentary proof (accommodation costs which exceed this up to an appropriate amount, the cost of flights and other forms of transport). All business travel must be agreed in advance by the officer responsible for the project. Travel expenses must be kept as low as possible and will be invoiced against provision of evidence.

Workshop

The validation workshop foreseen under deliverable 6 shall not exceed a cost of 10800€ and shall include live interpretation into French and Portuguese. That is only charged against proof of evidence. Please note that this fixed budget does not count towards the price quote, as it is the same for everyone.

6. Inputs of GIZ or other actors

GIZ and SADC Secretariat (SADC DRR Unit) are expected to make the following available:

- Necessary introduction letters, national guidelines and any other necessary documentation to facilitate the contractors work.
- The SADC DRR Unit will facilitate contacts, including those of entities listed under Task 2 and 3.
- Other official contact details of focal persons where applicable

7. Requirements on the format of the bid

The structure of the bid must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 3) is to be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). It must be legible (font size 11 or larger) and clearly formulated. The bid is drawn up in English.

The complete bid shall not exceed 8 pages (excluding CVs).

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 4 pages. The CVs must clearly show the position and job the proposed person held in the reference project and for how long. The CVs can also be submitted in English.

If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment.

Please calculate your price bid based exactly on the aforementioned costing requirements. In the contract the contractor has no claim to fully exhaust the days/travel/workshops/ budgets.

The number of days/travel/workshops and the budget amount shall be agreed in the contract as 'up to' amounts. The specifications for pricing are defined in the price schedule.

8. Annexes

1. Africa Union / SADC Mission Report "JOINT VISIT TO SADC HUMANITARIAN AND EMERGENCY OPERATIONS CENTRE (SHOC), NACALA, MOZAMBIQUE" (25 -29 April 2022)
2. SHOC Standard Operating Procedures (December 2020)