

# TERMS OF REFERENCE

## QUALITY IMPLEMENTATION SUPPORT SERVICES FOR UNICEF CASH TRANSFER PROJECTS

February 2022

## 1. Background

In response to the ongoing crisis in Yemen, UNICEF has taken on various cash transfer and voucher initiatives to help the mostly vulnerable groups of people in the country to cope with the socio-economic situation. These initiatives are implemented by UNICEF and local service provider organizations (SPOs) who carry out the fieldwork. The project with the largest scale is the Yemen Unconditional Cash Transfer Project (UCTP) which is delivering unconditional cash transfers to about 1.5 million beneficiary households impacting over 9 million people. To oversee the implementation, UNICEF Yemen has internally established a Project Management Unit (PMU) to oversee the implementation of all UNICEF's cash and voucher-related interventions. Based on the successful implementation of the UCTP, the PMU has been changed to the Yemen Service Center (YSC) and expanded the cash and voucher interventions to support other sectors. Some of the projects currently in the implementation or design phase include:

- Unconditional Cash Transfer Project;
- Humanitarian Cash Transfers;
- Rural Female Teachers' Salaries Project;
- Temporary Teachers' Incentives Project;
- Provision of School Grants;
- Cash Incentives to Support Teachers and School-based Staff;
- Per-diem Allowances for Health Workers and Volunteers;
- Hazard Allowances to Health Facility staff
- Health Voucher Project;
- Nutrition Voucher Scheme;

To ensure that the cash transfer is administered and delivered in a transparent and secure manner, especially in Yemen's current conflict environment, the execution of the cash transfer and voucher projects need several administrative processes that are envisaged to be supported through several service provider organisations that are procured and managed by UNICEF. Depending on the nature of the project, these services may include payments, facilitation, verification, third-party monitoring and quality implementation and support services (QISS). All cash and voucher initiatives integrate a grievance redressal mechanism which is directly managed by UNICEF.

This Terms of Reference presents the requirements for the provision of QISS for selected cash transfer projects of UNICEF. Under this assignment, UNICEF will award a long term arrangement (LTA) holder as a third party organisation to provide QISS.

The following sections describe the assignment, deliverables, methodology, contract duration, important COVID 19 and environmental safeguarding measures, and payment schedule.

## 2. Scope of Work

Suspected fraud allegations/grievances are identified during the project implementation through various sources including complaints received directly from individuals via the UNICEF Call Center, suspicions brought to the attention of UNICEF from the reports of its field office teams, reports from the Third-Party Monitoring (TPM) and Post Distribution Monitoring (PDM), UNICEF issue log, and data analysis using the MIS data. Allegations/grievances could be filed against an individual, a group of individuals, or even an entire organization.

Under this arrangement, the selected QISS organization will investigate suspected identity theft and fraud allegations/grievances identified from different sources and communicated by the YSC to the QISS SPO as per agreed protocols that were established for the covered cash transfer and voucher YSC projects. Considering the nature of the cash transfer and voucher projects, the level of accessibility for location, and the type of allegation; different investigation methods can be used considering the agreement between YSC and QISS SPO. The investigation can be done through field investigation that requires face-to-face interviews which should be priority method of investigation as its more reliable, or remote investigation through phone/online interviews.

The fraud investigation and reporting protocols are as follows:

- a) The allegations/grievances reported from different sources are reviewed by the YSC to determine if these cases fall within projects' parameters of what is considered suspected fraud or corruption. These include demand to collect a fee/commission from the beneficiary; no payment made to beneficiary; lower amount than assigned paid to beneficiary; amongst others that may occur.
- b) Once an allegation/grievance is identified by the YSC as a potential fraud or corruption case, including the availability of all required elements, it is submitted to the QISS organisation for investigation following the established guidelines which includes face to face and/or telephone/remote interviews with beneficiaries and witnesses, observations of processes in the suspected sites, and follow-up telephone/remote interviews on cases are utilized by the QISS agency to investigate any cases. Photos, videos, voice records, written statements, documents, and other evidence are collected as supporting documents.
- c) The QISS organisation submits individual reports for each case investigated using the template provided by the YSC. The report must include but not limited to the following: a summary of the case, actions taken by the QISS organisation, findings, conclusions, and recommended actions for the YSC along with the evidence collected during the investigation (video, beneficiary documents, written statement from beneficiaries, and audio recordings of interviews).
- d) QISS will act in relation to the procedures established by UNICEF and communicated with QISS in case of any investigation findings provided by the banks.
- e) Based on the quality review conducted by UNICEF on QISS submitted case reports, QISS should adhere to any required amendments.

The QISS organisation will be responsible for the following specific tasks:

- 1) Assigning staff to play the role of Master Trainers and supervisors for the field staff executing QISS activities. The Master Trainers will be trained by UNICEF. The QISS organisation will be responsible for logistical and financial arrangements of master training.
- 2) This field staff (fraud investigator) will be trained by master trainers on the activities to be executed (responsibilities, timeframes, logistical arrangements, materials to be used, etc.).
  - a) The assigned fraud investigator must become familiar with the Technical Annexes of all relevant service providers related to the Project that will provide context and specificities for the review of QISS cases.
  - b) The QISS organisation must ensure that each person who will take part in the QISS activities is properly trained and clearly understands the assignment and its conceptual underpinnings.
  - c) The QISS organisation must ensure none of the personnel involved with the QISS should be in any way associated with the service provider organizations subject to the investigation,
  - d) The QISS organisation must ensure thorough knowledge and skills assessment that each person who will take part in the exercise is properly trained and clearly understands the assignment and its conceptual underpinnings.

- 3) Develop a QISS procedure in consultation with UNICEF and establish a framework for performing the investigative process by applying the QISS steps to be adhered to when investigating any fraud reported allegation.
- 4) Delivering reports to UNICEF about the work done within the respective months (providing data, information, feedback, lessons learned, conclusions and recommendations) and making presentations in the Technical Working Committees' meetings as needed.

### 3. Deliverables

The QISS organization shall submit the following deliverables:

- For each project covered, all the individual QISS reports along with the relevant evidence for all fraud cases investigated using the template agreed with UNICEF (technically edited); and
- Additional report(s) that might be required by UNICEF.

### 4. Methodology

The methodologies to be used for QISS are predefined by the ToR. These include interviews, observations of processes in the suspected sites, face to face and/or remote interviews with beneficiaries and witnesses, as well as telephone interviews (as necessary) to follow up on cases. The details are provided in the Technical Annex. Photos and other evidence are collected as supporting documents.

Upon the receipt of suspected fraud allegation/grievance or identity theft from UNICEF, the QISS organization is expected to:

- Initiate investigation of a case within a maximum of 24 working hours upon UNICEF YSC request;
- Conduct the QISS investigation through any of the following methods: 1) field investigation (with phone calls as necessary to follow-up on cases), and 2) remote investigation. The differences in time, efforts, and logistics between the two methods should be taken in consideration.
- If more than one allegation is received against the same payment agent in the same payment cycle, all allegations will be considered as one case and reported through one investigation report.
- Gather and document evidence through field observation, one-to-one interviews (face-to-face and/or remote interviews), review and analysis of documentation, or any other investigation tools as appropriate to the case and the context;
- Analyze the evidence and draw a conclusion on the case;
- Draft the investigation report following the template provided by UNICEF; and
- Submit the investigation report to UNICEF together with all evidence collected to support the conclusion.

### 5. Duration of LTA

The selected QISS organisation will be awarded 24 months long term arrangement (LTA) extendable subject to needs, availability of funds and satisfactory performance.

### 6. Required Qualifications and Experience

The Fraud Investigation Organisation must comply with the following requirements and present the following documents:

- Not be state-run organisations.
- Have over five (5) years of fraud investigation experience in highly complex and fragile emergency environment.
- Proven ability to conduct fraud investigation
- Experience of fraud investigation from field monitoring perspective including data collection, analysis and timely reporting.
- Suitable organizational setup including established field offices/infrastructure in Yemen to cover geographical locations for field monitoring, ability to mobilize a local team expeditiously, and capacity to work in all the 22 governorates for geographical coverage.
- The Organisation must guarantee that it will recruit adequate number of local field staff with suitable qualifications and experience (as per the criteria) to perform the complex exercise.
- Work experience with international and local agencies preferably in Yemen would be an added advantage.
- The Fraud Investigation Organisation team should comprise of:
  - o A Team Leader: Must hold a master's degree in economics, commerce/business management, accounting, or any relevant field with at least five (5) years of field experience in fraud investigation and reporting. Experience in MENA and especially Yemen is highly desirable. Fluency in English is required. The Team Leader will be responsible for management of fraud investigation agency services and quality assurance.
  - o Master Trainer are the identified QISS Team Leader and senior staff trained by UNICEF to become Master Trainers. These Master Trainers are responsible to train the QISS Supervisors.
  - o Qualitative analysis specialist: Must hold a minimum of bachelor degree in business administration/ risk management/ product quality control, or any relevant field with an experience of 3 years in data collection, audit, fraud investigation. The qualitative specialist should be responsible for complying and demonstrating information/evidence to draw conclusion, and ensuring the level of quality as per the guidelines/procedures.
  - o Quantitative research specialist Must hold a minimum of bachelor's degree in auditing/ accounting/ data analysis or any relevant field. The quantitative specialist should be responsible for developing and implementing complex models used to make financial and business decisions which are aligned with the relevant context/scenario.
  - o Data management and statistics officer Must hold a minimum of bachelor's degree in information technology/computer applications or any relevant field. The data management officer Should be responsible for implementing proper data collection

policies to ensure accuracy and legitimacy of data, maintaining an efficient and secure procedures for data management and analysis with attention to all technical aspects.

- o Fraud Investigation Officers Must hold a minimum of bachelor's degree in business administration/risk management, or any relevant field and an experience of 3 years in fraud investigation. The fraud investigation officer should be responsible for conducting the field/remote investigation, following all the technical procedures/protocols.
- o Reports officer/Editor Must hold a minimum of bachelor degree in Business administration or any relevant field with previous experience of 3 years in reporting and data quality controls. The report officer should be responsible for Responsible for compiling and summarizing the evidence into proof-edited reports in English language.
- The Organisation must be neither they nor any of its members are affiliated with any of the political or military groups involved in the ongoing conflict and must have a valid registration to operate in Yemen.

## 7. General Conditions

The assignment will comply with the following general conditions:

- The Fraud Investigation Organisation will work under the direct supervision of UNICEF.
- The Fraud Investigation Organisation will not be based at UNICEF premises.
- A strict segregation of duties and communication must be maintained between Fraud Investigation Organisation, Outreach and Enrollment Organisation, Validation Organisation, Third-Party Monitoring Organisation and Payment Agency(ies). Coordination discussion will only take place in presence of UNICEF PMU during the technical working group meetings.

### Other Considerations

- State if the Fraud Investigation Organisation will include other benefits? **No**
- State if the Fraud Investigation Organisation has the right to stay on UNICEF property? **No**.
- Should the Fraud Investigation Organisation provide their materials? **The organisation is responsible for the needed materials.**
- Is the Fraud Investigation Organisation authorized to have access to UNICEF transport? **No**.
- Should flight costs would be covered and at what standard? **No**.

No work may commence unless a contract is signed by both the contracting Entity and the fraud investigation organisation.

## 8. Important precaution measures for COVID -19

The selected QISS organisation shall:

- Ensure that all QISS staff are fully aware of the COVID-19 related symptoms, transmission mechanisms and preventive measures.
- Ensure that all QISS staff wear appropriate, protective gear including gloves and masks while performing their functions; and regularly wash their hands or clean them with hand sanitizer;
- Limit face to face meetings, where possible. Communicate by e-mail, telephone or other virtual means.
- Rules should be strictly enforced to keep sick employees at home and away from the workplace.
- Ensure that QISS staff maintain and enforce physical distancing of at least 1 meter when holding face to face interviews.
- Request respondents to cover their nose and mouth with any suitable cloth or clothing during the interviews.
- Employees should minimize or avoid sharing common work items like pens, pencils, notepads, computers and telephones;
- Disinfect phones deployed in public areas regularly; as well as other office and personal devices exposed to hand use.

## 9. Environmental and social safeguarding measures

The QISS organisation must ensure that adequate management and human resources are in place to ensure that social and environmental safeguards, including occupational, health and safety (OHS) requirements, are implemented and monitored on a diligent manner. This will include, but not limited to:

- Ensure that rules, instructions, and procedures on relevant safeguard requirements, including OHS requirements, are in place and that their adhesion is duly monitored.
- Ensure the training of all service provider personnel, including contracted workers, on relevant safeguard requirements, including OHS requirements. This training should be conducted prior to the start of each payment cycle and respect the training content provided by UNICEF. Where a worker is engaged during the implementation, the service provider must ensure that the worker is duly trained before initiating its functions. Additional training must be provided to all workers on the specific rules, instructions and procedures put in place by the service provider organisation to ensure compliance with these safeguard measures.
- Ensure the existence of a quality implementation mechanism for monitoring and triggering of corrective measures as required.
- The identification of a safeguards focal point who will be responsible for:
  - Regular reporting to UNICEF on the status of implementation of these measures and key indicators as per UNICEF reporting templates (prior to the start of implementation, and then on a weekly basis until the closure of the contract);
  - Analysis of all incidents and accidents and their reporting to UNICEF within 24h, as per the template provided by UNICEF; as well as of follow up with a more detailed report within 10 days including description of any corrective measures.
  - Serve as liaison for any queries from UNICEF in relation to the safeguard measures applied.
- The QISS organisation should ensure full compliance with the safeguard measures established by the Project, including but not limited to:
  - Ensuring availability of a functional grievance redressal mechanism which can be used by all workers as reporting channel. In addition, the service provider organisation should ensure that

all workers are aware of the existence of the Project's grievance redressal mechanism which can be used to raise complaints and disagreements related to social, environmental and OHS impacts and standards. Grievances can be filed through a toll-free number 8003090 or field deployed staff equipped with a mobile application with online and offline capabilities

- Ensuring that security arrangements are in place to mitigate the potential impact of security threats, including but not limited to training on landmine risk education.
- Ensuring all workers sign a Protection Against Sexual Exploitation and Abuse (PSEA) Code of Conduct
- Ensure the existence of contractual requirements on prevention of child labor, minimum age of 18 and age verification protocol through documentary evidence (passport, identity card or birth certificate) of all workers prior to involving them on activities of the project.
- Ensuring that both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits.
- Ensure that all workers sign a Code of Conduct to prevent potential exposure of beneficiaries.

#### Payment Schedule

DELIVERABLE	PAYMENT (% of total contract amount)
Upon submission and UNICEF acceptance of all QISS Individual Reports (technically edited) for each covered project under each assignment	100%



## Annex 1: Evaluation Criteria and Methodology

Each proposal received will be assessed first on its technical merits (including by reference to legal requirements) and subsequently on its price. The proposals will be evaluated against the following elements:

### Technical Proposal

The total obtainable points allocated for the technical component is 70 with 50 points as the pass mark for evaluation. Only bidders that obtain 50 points and above from the technical evaluation will be considered for the stage of commercial evaluation.

Technical Proposals will be evaluated against the following:		
S.No.	Category	Points
1	Quality of the proposal, understanding of, and responsiveness to, Project requirements. Understanding of scope, objectives, completeness of the proposal in response to UNICEF requirements.	10
2	The proposed work plan, including methodology and timeline, to achieve the goals stated in this RFPS in a comprehensive manner.	10
3	Organizational Experience in offering similar services in highly complex fragile emergency environment, number of years of experience in providing services to International and local organisations in similar scope, context and complexity, examples of work and history of successes in providing similar assignment including references.	20
4	Experience of the proposed core team members on similar assignment and roles on this assignment (Team Leader, master trainer, Fraud Investigation Officer, reports officer/editor, qualitative analysis specialist, quantitative research specialist, Data management and statistics officer) and their suitability in qualifications/experience to cope with the complexity of the exercise	15
5	The existence of infrastructure and office in Yemen and the capacity to conduct the assignment to cover the requested geographic areas.	10
6	Quality assurance, risks basement and mitigation measures, project assumptions and dependencies.	5
Total Technical Evaluation Obtainable points		70
Only proposals which receive a minimum of 50 points from the desk review (Technical Evaluation) will be considered for the presentation to the Evaluation Committee		

### Commercial Proposal Evaluation:

The total amount of points allocated for the price component is [30]. The maximum number of points

will be allotted to the lowest price proposal among those that obtained the pass mark at the technical evaluation stage

All other price proposals will receive points in inverse proportion to the lowest price; e.g.:

$$\text{Score for price proposal X} = \frac{\text{Max. Score for price proposal} * \text{Price of the lowest priced proposal}}{\text{Price of proposal X}}$$

Selection and Adjudication:

The proposal obtaining the overall highest score after adding the scores for the technical and financial proposals is/are the proposal(s) that offers the best value for money and will be recommended for the Contract.

## Annex 2: Price Schedule

Note: All below unit Cost/USD shall include all overhead costs related to assigning staffing under each project. Therefore, the unit cost shall all QISS expenses and overheads (including but not limited to: COVID protective gear, Personnel fee, telephone expenses, stationaries, laptop rent, operational and running cost, training, editing, administration-stationery-electricity, Transportation, etc.)

### Field investigation pricing

Item Description	Unit cost in USD*	Quantity/range of cases
	Field Visit	
Investigation on identity theft	\$ -	for 1-10 cases
	\$ -	for 11 – 20 cases
	\$ -	for 21 – 50 cases
	\$ -	for 51 – 100 cases
	\$ -	for 101 – 200 cases
Investigation of Fraud + Reports	\$ -	for cases 1-10
	\$ -	for 11 – 20 cases
	\$ -	for 21 – 50 cases
	\$ -	for 51 – 100 cases
	\$ -	for 101-200 cases

### Remote Investigation Pricing:

Item Description	Unit cost in USD <sup>1</sup>	Unit cost in USD
	Remote cases per report	Remote cost per call
Investigation on identity theft	\$ -	\$ -
Investigation of Fraud + Reports	\$ -	\$ -

<sup>1</sup> Pricing considering the remote case report cost + (number of interviewed BNFs \* cost per call).

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