



The Horn Economic and Social Policy Institute (HESPI)
P.O. Box 2692 code 1250, Addis Ababa, Ethiopia. Tel: 2511 5 153262/65. Fax.2511 5 15 07 63;
Email: contacthespi@hespi.org; Website: www.hespi.org

TERMS OF REFERENCE

CONSULTANCY SERVICES TO DEVELOP RISK ASSESSMENT FRAMEWORK, RISK REGISTER AND SAFEGUARDING POLICY FOR THE HORN ECONOMIC AND SOCIAL POLICY INSTITUTE (HESPI)

September 2023

Addis Ababa, Ethiopia

1. Background

The Horn Economic and Social Policy Institute (HESPI) is a regional policy research Institute and think tank established to promote high-quality socio-economic policy research and analysis, policy advisory services and capacity building to assist the governments, private sector and other stakeholders of the development of the IGAD region. With its Regional Head Quarters in Addis Ababa, Ethiopia, HESPI operates in the eight (8) IGAD member countries¹. It engages permanent staff, affiliates and associates in various terms and conditions through which it ensures social inclusion and diversity in its work force. Its internal and external working environment is inherently risk prone. HESPI recognizes that the risks have to be managed and there should be an institutional commitment for duty of care for engaging work force. HESPI also realizes that to ensure its ambitious goals in the region through the safeguarded and motivated personnel and the risks mitigated projects, having a Risk Assessment Framework (RAF), Risk Register (RR) & Safeguarding Protocols (SP) are vital organizational requirements to systematically manage risks.

HESPI also recognizes that it is legally required to protect its employees and other work forces (consultants, affiliates, associates, interns, customers, partners, etc.) from harm. The crucial part of the risk management is carrying out a risk assessment to improve its workplace safety by identifying hazards and reducing or eliminating their risks. This is because, the risk assessments are required to identify hazards and risks and suggest viable measures for controlling them.

Though it operates in risk prone external and internal context of the IGAD region with diverse staff composition, it does not have RAF, RR and SP as legal and procedural requirements. However, as recent capacity needs assessment of HESPI under the African Capacity Building Foundation (ACBF) which is called “Strengthening African Leadership for Climate Adaptation (SALCA) program disclosed that the Institute needs this document to systematically assess risks and systematically manage them.

The document will have three components (i) The Risk Assessment Framework (RAF) (ii) Risk Register (RR) and (iii) Duty of Care or Safeguarding Principles/Protocols for HESPI staff, and others engaging work force in a non-employee terms and conditions. The RAF will help to identify hazards and risks in the HESPI workplace and it will propose strategies to minimize or eliminate them. The RAF entails identification, measurement, mitigation, reporting, monitoring and governance of risks. The RR is a risk management tool and it will be used to fulfill regulatory compliance acting as a repository for all risks identified. It will have elaborate information about the identified risks which may include, but not limited to, the nature of the risk, reference and owner, mitigation measures. The safeguarding component on its part will outline HESPI’s procedures to be followed to prevent and protect people from all forms of abuse, including child abuse, sexual exploitation, and sexual violence of any kind including sexual harassment caused by employees, consultants, HESPI associated personnel. HESPI is committed to upholding and maintaining the highest standards of behavior and integrity and its commitment to safeguarding complies with the values that shape its culture.

¹ Current IGAD member countries are Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda

However, the institute does not have a policy document that frames these institutional functions and procedures. Therefore, HESPI is seeking for a qualified and experienced consultant who can effectively provide **the** deliverables of this policy document. The document will be designed and developed in such a way to help identification and prioritization of the hazards to control them, share information about the security risks in a user-friendly way where both technical and non-technical personnel can easily understand; create awareness among the employees and often can serve as a training tool. It will set risk management standards based on acceptable safe practices and legal requirements.

2. Objective

The objectives of this consultancy engagement are:

2.1 To develop Risk Assessment Framework (RAF) for HESPI

2.2 To develop Initial Risk Register for HESPI which will be updated periodically afterwards

2.3 Outline Duty of Care/Safeguarding Procedures/Protocols that HESPI will follow

3. Scope of the work

3.1 For the RAF

- Producing an Inception Report based on the TOR, outlining a sound methodology for a participatory RAF developing process in cooperation with HESPI staff, management, board, partners, associates, beneficiaries, both at HQ and regional offices.
- Designing the RAF in a manner to identify hazards and risks in the HESPI work place and it will propose strategies to minimize or eliminate them.
- Including clear and realistic plans and strategies with deliverables, indicators and tools to be used in developing the RAF in the inception report.
- Guiding and conducting the security context analysis of HESPI's working environment, design and develop the RAF in a manner to help identify, measure, mitigate, report, monitor and govern the risks and their potential negative impacts
- Conducting a consultative meeting with HESPI employees and selected partners to validate the RAF and lead the validation process
- Finalizing and producing a user-friendly and highly utilizable RAF for the Institute

3.2 For the Risk Register

- Include the aspect of the RR in the Inception Report with realistic plans, strategies, deliverables and time schedules
- Develop an initial risk register (through a participatory process) that shows risk category, provide detailed risk description, projects likelihood of occurrence, intensity of the risk, estimates the impact levels, provides mitigation measures/preventive actions, indicates triggers and risk owners
- Conduct a consultative meeting with HESPI employees to validate the contents of the initial risk register, and lead the validation process
- Finalize and produce a comprehensive and elaborate risk register with detailed information along the risk category, its likelihood of occurrence and impacts which can speak to the fulfillment of the regulatory compliance requirements

3.3 For the Duty of Care/Safeguarding procedures

- Including the aspect of Duty of Care/Safeguarding procedures in the Inception Report with realistic plans, strategies, deliverables and time schedules
- Assessing the track record of duty of care or safeguarding within the socially inclusive HESPI
- Developing the safeguarding procedures in a manner to prevent and protect people from all forms of abuse, including child abuse, sexual exploitation, and sexual violence of any kind including sexual harassment caused by employees, consultants, HESPI associated personnel.
- Sharing the initial draft of the policy document where the aspects of safeguarding is included with the HESPI employees and management for reviews and comments
- Producing the final document of safeguarding which sets out the position of HESPI on the prevention and protection from abuse, sexual exploitation & sexual violence of all kinds; Sets out responsibilities and procedures to be followed in order to prevent abuse happening in the first place; Set out responsibilities and procedures to be followed where a suspicion, allegation or actual harm has happened

4. Methodology

The assignment will be conducted using various methods such as but not limited to:

- Conduct desk review of relevant documents including HESPI's Charter and By-laws, Board Governance Charter and related codes and policy documents, the existing HR manual and other corporate statutory documents
- Risk Evaluation: conduct interviews with the HESPI staff, management and the board members on the existing practices of risk management and duty of care for employee, associates, consultants, etc.
- Risk and Duty of Care mapping: Generate adequate data on the existing organizational culture and practices in risk management, safeguarding; capacity, and analyze it to inform the new policy
- Adapt best practices from other comparator organizations (preferably from the IGAD region) in the areas of risk management and duty of care
- Prepare and share the policy document with the concerned HESPI employees, management, Board of Directors and related personnel for review
- Create a special and unique avenue for group review (validation workshop) to critically review the draft document
- Produce high quality, comprehensive and adequately reviewed policy document that speaks to HESPI's zero tolerance for abuse and exploitation of employees, partners and vulnerable beneficiaries and instigate the values of protecting, children, young people, people with disabilities, women, vulnerable adults from harm and be abided by HESPI's Risk management & safeguarding policy

5. Key Deliverables

At the end of the exercise, the following deliverables are expected:

- Inception report detailing the approach/methodology that the consultant will follow in developing the RAF, RR and Safeguarding policy for HESPI with details of timeline and logistic requirements

- 2-3 sessions organized to adequately capture the existing organizational practices and culture on Risk Management, and Safeguarding duty of care
- Draft RAF, RR and Safeguarding policy document
- One or two review sessions organized on the draft policy
- Final policy document and produced and submitted to HESPI both in hard and electronic copies

6. Desired Qualification, Experience and Competencies of the consultant

6.1 Qualification

- A minimum of Master's degree in Risk Management, Management, Business studies, Law, Organizational leadership or related social disciplines
- Additional on-the job training in Risk Management and Safeguarding

6.2 Experience

- A minimum of ten (10) years' of demonstrable experience and understanding of designing and implementing a risk management across organizational business processes, which includes setting risk management protocols, analyzing risks and proposing feasible mitigation measures,
- Significant experience of setting, reviewing and communicating risk management and safeguarding policies and processes for an organization (research and analytical support,
- Experience of performing risk assessment (analyzing current risks and identifying potential risks that are affecting the company) and risk evaluation (previous handling of risk and comparing potential risks with criteria set out by legal requirements)
- Experience of risk reporting tailored to the relevant audiences to educate the Board of Directors, Management, Business process heads to help them understand create sense of accountability
- Experience of reviewing and amending Risk Management, Security, Safeguarding and Duty of Care protocols and experience of supporting employees and partners in carrying out mandatory due diligence assessments and providing support in Risk Management and Safeguarding
- Experience of creating risk management awareness, build understanding and capacity for safeguarding with employees and partners in compliance with safeguarding policies in line with organizational, partners and donor expectations

- Experience of working in incidence management and quality assurance with Duty of Care Teams (Security, Medical & Safeguarding units); and experience of collating, analyzing and disseminating accurate and neutral security and safeguarding information to employees and partners, as appropriate
- Experience of adopting provisions in the national laws and regulations, and donor compliance requirements on risk management and safeguarding

6.3 Competencies/skills and abilities

- Excellent communication & presentation skills with good command of spoken & written English
- Ability to craft succinct, and guiding policy documents
- Ability to handle confidential information with tact, discretion and sensitivity
- Good analytical, planning and organizational skills
- Good understanding of broader business issues, have overall corporate view in terms of risk management and have an eye for details
- Self-motivated, ability to use own initiative and flexibility

7. Duration of the Assignment and Remuneration

The provisional starting date of this assignment is on 10th October 2023, with the expected end date of 30th March 2024. The consultant will submit a financial proposal along with other documents listed below. The consultancy fee excludes travel expenses and per diems which may be paid by HESPI in accordance with HESPI's and the ACBF's Travel Policy. The consultant shall receive 20% of the remuneration upon submission and approval of the inception report, 40% after the delivery draft report based on the TOR, and the remaining 40% after meeting all deliverables and expected outputs.

8. Content, Timing and Submission

All outputs must match quality standards. The text of the KMC strategy and the training materials should be illustrated as appropriate with graphics. The final deliverables of the KMC strategy along with all other relevant attachments is expected to be submitted on the 30th of November 2023.

The deliverables and tentative timeline are presented in the table below.

Table 1. Deliverables

| No. | Milestones | Timeline |
|------------|---|--------------------------------|
| 1 | Submission of Inception Report Including Draft Report Outline | 15 th October 2023 |
| 2 | Conclusion of Field Consultative Missions | 30 th October 2023 |
| 3 | Submission of Draft Reports | 10 th November 2023 |
| 4 | Submission of final revised reports | 30 th November 2023 |

9. Location and Working Arrangements

This assignment will involve travel mission primarily to Addis Ababa, Ethiopia and to selected organizations in the IGAD member countries. The consultant will be given access to relevant information

(secondary data and stakeholders contacts) necessary for execution of the tasks under this assignment. The Consultant will be responsible for providing her/his own laptop and phone for access to reliable internet connection while in the field and at home base. However, HESPI can provide the internet access while in mission in Addis Ababa or Kenya.

The successful consultant will work under the general guidance of HESPI focal person and the HESPI SALCA Program Implementation Committee (PIC). For virtual and face-to-face communications, the HESPI Regional Head Quarters in Addis Ababa Ethiopia will remain open between (0830 – 1700 GMT). The consultant will seek inputs from and regularly liaise with the PIC for all important matters related to the assignment throughout the period of its implementation. HESPI and the ACBF will critically review draft reports for quality assurance and provide feedback on the deliverables within a maximum of ten working days. Approval of the documents and reports by the HESPI and the ACBF as deliverables will be a prerequisite before any payments are made to the consultant.

10. Language

All applications and reports should be written in English, single spacing font size 11, Times New Roman and submitted as both word and pdf versions.

11. How to Apply

Qualified and interested individuals are required to electronically submit a cover letter, updated Curriculum Vitae, their technical and financial proposals to HESPI via daniel.fantaye@hespi.org and fredu.nega@hespi.org by 25th August 2023, 5:30 PM East Africa Time. Please quote expression of interest EOI for HESPI-SALCA Risk in the subject line.