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Sustainability Check of Community Water Supply Schemes supported by UNICEF

1. Background and Justification for Consultant / National Individual Contractor Contract

Nepal has been doing significant progress in access to improved drinking water supply coverage over the couple of years. However, due to factors like population growth, migration, climate change and poor water governance, many improved water supply schemes deteriorated over times. According to the Nepal Information Management System 2014, only 25 per cent of the drinking water supply schemes are fully functioning and 40 per cent require either major repairs or rehabilitation.

UNICEF Nepal has been supporting Department of Water Supply and Sewerage (DWSS), Department of Local Infrastructure and Agricultural Roads (DoLIDAR) and non-government organizations (NGOs) to increase coverage of access to water supply as well improve and rehabilitate small-scale water supply schemes in selected districts including several earthquake affected districts. These rural water supply projects are expected to be in function for a longer period as designed. However, considering aforesaid issues of unsustainability, those water supply schemes need to be looked closely and take appropriate measures for making them functional.

In recent years, UNICEF is taking the initiative in conducting sustainability check of water supply schemes to identify the causes of unsustainable interventions, solutions of overcome challenges, and capitalize lesson learnt and good practices. UNICEF Nepal, with its in-house staff, have carried out the sustainability check of a few completed projects in 2015.

The 'sustainability check 2016' was the first assessment of its kind and had considered to be a pilot in UNICEF Nepal. The assessment had used a basic framework covering Institutional, Technical, Social, Economic including Operation and Maintenance Fund, and Environmental factors contributing to sustainability of the selected schemes. The assessment employed methodology include field observation of selected water schemes, focused group discussion and key informant interview of caretakers and recording their perception of water quality (*lab test not used*), investigation of the revenue generated and their sufficiency to cover essential operation and repair/maintenance. Due to limited knowledge and resources for it the assessment did not fully capture the aspect of construction quality, technology, business model of self-sustaining and local level enabling environment, including backup support provided to the communities by government agencies. The lesson learned drawn from the assessment was that it is a useful tool to have an overview of the sustainability status of concerning water supply scheme. Scaling up of such assessment applying a robust methodology is needed for effective programme intervention in other UNICEF programme districts.

The concept of sustainability check is relatively new within the UNICEF and evolving gradually. The UNICEF headquarters has been developing a Guidance to Design and Implement Sustainability Monitoring in WASH and one exercise of check has recently been completed in Pakistan, but yet to learn lesson from it. In this setting, UNICEF Nepal has planned to carry out a sustainability check through employing an independent team of professionals (through consulting company) in selected water supply schemes supported by UNICEF. Based on learnings, UNICEF will contracting out this task to a consulting firm (as an *Institutional Contractor*). The selection of a Consulting Firm will be done following UNICEF's bidding process. The profile of bidder will be as defined in the section 10, below.

2. Goal / Objective

Goal/Objective: The overall objective of this sustainability check is to provide an overall impression of the sustainability status of UNICEF supported water supply schemes and also suggest options towards enhancing sustainability of the schemes. The specific objectives of the study are:

- To develop a framework of 'sustainability check', which is viable for its replication, by reviewing the frame work developed and used by UNICEF Nepal last year and also of likeminded organizations and seek feedback from sector stakeholders as well,

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- To carry out sustainability check of selected water supply schemes supported by UNICEF from 2014 to 2016 in selected development programme districts and selected earthquake recovery districts,
- To produce sustainability check report on findings, lesson learnt and recommendations to provide evidence for the sector for policy advocacy at all levels - local level/Pradesh/Federal Governments – for developing O&M fund generation/ and formula based grant system for enhancing functionality of the water schemes,

3. Specific Tasks

The selected districts for this study are:

- a) Three UNICEF WASH development programme districts – Salyan, Baitadi, Doti,
- b) Four UNICEF WASH earthquake recovery districts – Gorkha, Nuwakot, Kavre and Dolakha.

Expected outputs out of this study include:

- **Framework & Methodology:** As the sustainability check of community water scheme is in an evolving stage, the contractor should develop a framework methodology for this sustainability check by doing literature review/deskwork to reflect the knowledge, ideas and evidence, which will include but not limit to reviewing the Guidance to Design and Implement Sustainability Monitoring in WASH (draft being developed by UNICEF headquarters), sustainability check study done by UNICEF in Pakistan, reviewing UNICEF Nepal used framework and framework used by SNV Nepal and any other framework used by any WASH organizations in Nepal. This framework should include both qualitative and quantitative methods and follow consultative process (like meetings/mini workshop) with governments and other WASH stakeholder, as appropriate, from onset of the deskwork. The framework should include but not limited to separate set of questionnaires for conducting focus group discussions with water user committee/users and interviewing key informants at local, district and national level. A checklist should be prepared for field visit and findings should be analyzed from the observation results and triangulated from other sources.
- **Data Collection:** Contractor should carryout field visit to the selected water supply schemes (purposive sampling - Twenty from three regular programme districts and twenty from four earthquake recovery districts - see Annex-1). The sample of schemes shall represent different age of schemes, demography and socio-economic conditions of users and of disaster issues. The method of data collection shall be purposive 'engineering visit' as well as focus group discussion and selective key informant interview with caretakers, Gaunpalika/Ward authorities, by using the set of questionnaires and checklists developed during the framework design stage, as mentioned above.
- **Preliminary Report on Findings:** Contractor shall prepare draft report of the assessment with findings/recommendations including documentation of community experience on various initiatives taken by the water users for sustaining the water schemes. Those information shall be presented in separately by development and earthquake recovery programme districts.
- **Findings Sharing Workshop:** Contractor shall organise, plan and conduct a consultative workshop with UNICEF and major stakeholders in Kathmandu to present the findings and receive their feedback.
- **Final Report:** Contractor shall prepare a final consolidated report including findings and recommendations at various levels – users, local government and policy levels. The final report shall include:
 - Main report not exceeding 30 pages plus annexes, and graphic representations, and
 - A summary report not exceeding 5 pages,

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The contractor shall require to liaise with the following:

- Overall responsible for the survey: Chief of WASH Section
- Technical Advisors: WASH Specialists/M&E and Knowledge Management Officer
- Sector Stakeholder Group: DWSS, WASH Development Partners and selected NGOs

The contractor shall need to physically visit the schemes and interact with concerned partners/water user committees/ beneficiaries, including women and children from socially disadvantaged groups, of the selected schemes.

4. Duration of the contract

The duration of working days for a team of professionals will be a total of 45 days. This includes 6 days for desk study, 30 days for field study and 9 days for report writing, but the number of working days for each team member will vary according to their relevance to the expected tasks. The contract is expected to commence from 1 January 2018 and complete by 15 February 2018.

5. Proposed Schedule for Deliverables and Payment Scheme

The schedule shall include deadlines for completion of tasks and submission of deliverables. Payments shall be linked to satisfactory deliverables in section (a) and all estimated travel-related costs (i.e. DSA, transport, etc.) are to be included in section-b.

Schedule of Output Submissions and Payment Scheme including cost for Travel and Conducting Meetings/Workshop:

Description of Deliverables	Target Date	Delivery Date
1. Submission of assessment framework / methodology and detailed field study plan as per detailed guidance provided in the Scope of Work.	1 st January 2017	December 2017
2. Carryout field study to the selected water supply schemes (purposive sampling - 20 from 3 regular programme districts and 20 from 4 earthquake recovery districts as per detailed guidance provided in the Scope of Work (<i>details of budget is in section</i>)	Field work starting from 3 January 2018.	
3. Submission of Draft Report as per detailed guidance provided in the Scope of Work	5 February 2018	
4. Conduct a Consultative Workshop with UNICEF and major stakeholders in Kathmandu to present the findings and receive their feedback as per detailed guidance provided in the Scope of Work	8 February 2018	
5. Submission of Final Report as per detailed guidance provided in the Scope of Work	15 February 2018	

6. Working Conditions

Admin Requirements		
Location	Office space reqd. Y/N	Others
Kathmandu	N	NA

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IT Requirements		
Laptop reqd. Y/N <i>If Yes, provide WBS</i>	Email Access Y/N	Others
N	N	NA

7. Minimum Qualifications Required

The contracting firm should have a valid track record with sound institutional experience on conducting similar studies in the past and a pool of experienced human resource as defined below matrix.

The minimum team anticipated to undertake the assignment are as shown below:

S.N.	Position	Qualifications and Experience	Estimated working days
1	Team Leader- 1	<ul style="list-style-type: none"> • An advanced degree in social science/resource management/civil engineering preferably with water supply engineering, • Special skills of conducting similar assessments in the field of WASH programmes, 	45 days <i>(6 days for desk study, 30 days for field work and 9 days for report writing)</i>
2	Sociologist - 1	<ul style="list-style-type: none"> • Minimum master's degree in sociology/anthropology, • Minimum five years' experience related with community water supply programmes/social data analysis, 	40 days <i>(6 days for desk study, 30 days for field work and 4 days for report writing)</i>
3	WASH Engineer - 2	<ul style="list-style-type: none"> • Minimum Bachelors in civil engineering with major water supply; • At least five years of practical experience in community water supply programmes, and a thorough understanding of the development context of the country, • Have experience related with data entry and analysis using SPSS, Excel tools 	40 days each <i>(6 days for desk study, 30 days for field work and 4 days for report writing)</i>

8. Contract Supervision

The contractor is responsible for overall management and technical oversight of all phases of the assignment including methodology preparation, field visit, data analysis and produce draft and final report.

The UNICEF WASH Section Chief will be principally responsible for supervision of the consultancy including approval of intermediary and final products, in consultation with other internal and external stakeholders. For the technical/operation related work WASH Specialist (Water/Policy) shall oversee the assignment.

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9. Consulting Agency/Bidder's Profile

The bidder shall clearly and concisely provide enough information about bidding organization's experience and accomplishment and qualifications. Clearly mention why the bidder is fit to take on this study project. Shall demonstrate distinctive competencies in the institutional profile.

BACKGROUND INFORMATION

The bidder must provide the following background information about the company/institution that would sign the contract with the UNICEF:

- Date of incorporation
- Summary of corporate structure and business areas
- Corporate directions and experience
- Location of offices or agents relevant to this proposal
- Number and type of employees
- Financial statements of the two most recent financial years

Institutional Expertise and Experience

The bidder shall provide a minimum of three references from clients for whom the consulting agency has carried out similar studies of similar financial scale. UNICEF Nepal Country Office may contact each referees. Reference should include the following details:

- Name and description of client company/organizations
- Outline and value of contracts completed
- Names of senior individuals in the client companies who were involved in the referred project.

A) TECHNICAL PROPOSAL (WEIGHTAGE 70%)

GENERAL ISSUES

- The technical proposal should minimize repeating what is stated in this Terms of Reference and should emphasize the conceptual thinking and methods the bidder plans to utilize for this study.
- There is no minimum or maximum length for the proposal. If in doubt, ensure sufficient detail.
- Bidders may be asked to provide additional information.
- Bidders must ensure that the level of effort to be committed by the different team members in each phase of the study – Deskwork/Design, Field Work,
- Report writing- is shown in the technical proposal
- The technical proposal should give the details of the enumerators responsible for data collection.
- The technical proposal should include details of at least two studies of a similar nature which the agency carried in the past.
- Bidders should ensure that gender and equity aspects are covered in all aspects of the technical proposal.
- Bidders may present any additional information for the study

SPECIFIC REMINDERS

The following specific items must be covered in the technical proposal, in addition to other approaches and methods the bidder wants to include:

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- The detailed work plan for the three phases as mentioned above
- The details of the approach to data collection, supervision, and quality control
- The standards of the firm will maintain in data collection and analysis
- The basic information about the organization submitting the bid
- The detailed CVs of team members
- The basic information about the agency and the CVs of their experts who will provide quality assurance for data collection, data cleaning, data analysis and tabulation
- The level of effort of the all team members place in both the technical (without costs) and financial proposals (with costs)

All other content is at the discretion of the bidder.

The instructions include further requirements (e.g. non-use of child labour) that must also be included in the technical proposal.

B) FINANCIAL PROPOSAL (WEIGHTAGE 30%)

The Financial Proposal should include but not be limited to the following:

Bidders are expected to submit a lump sum financial proposal to complete the entire assignment based on the terms of reference. The lump sum should be broken down to show the detail for the following:

- Resource costs : Daily rate multiplied by number of days
- Any other costs (if any) : Indicate nature and breakdown
- Copy of the company registration
- Recent Financial Audit Report

Report should have been carried out in the past 2 years and be certified by a reputable audit organization.

Bidders are required to estimate travel costs in the Financial Proposal. Please note that i) travel costs shall be calculated based on economy class fare regardless of the length of travel and ii) costs for accommodation, meals and incidentals shall not exceed the applicable daily subsistence allowance (DSA) rates, as propagated by the International Civil Service Commission (ICSC). Details can be found at <http://icsc.un.org>

UNICEF will award the contract after considering both technical and cost factors, on the principle of best value-for-money. Payment will be made only upon UNICEF's acceptance of the work performed in accordance with the contract milestones. The terms of payment are net 30 days, after receipt of invoice and acceptance of work.

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Annex 1: Technical Evaluation

Criteria	Description	Maximum Points
1. Technical Criteria		
Overall Response	Demonstrates clear Understanding of the assignment and alignment of the proposal to the ToR; detail and thoroughness of the proposal in respect of the requirements of the ToR and assignment	5
Company Profile	Registered company with at least five years of experience in the area of research/conducting similar studies	10
	Firmed track record of the company and have received appreciations from the clients in past	
Methodology and Approach	Clear and effective methodology/approach on how the company will carry out the tasks including management, monitoring and quality assurance process robust; including a realistic work plan in line with the expected target defined in the ToR.	10
Sample Story Line	Sample storyline is available for evaluaiton. It will be evaluated on the basis of its creativity and innovativeness.	15
Work Plan	Detailed sequence and realistic timeline for each activity and resource allocation aligns to proposal and addressed ToR	10
Client References	Proof of 3 similar assignments undertaken in last 5 years demonstrating a proven track record with good feedback from clients	5
Team composition and experience	Clear team composition with well defined roles and responsibilities (provide CVs of team members)	15
	Inclusiveness/Sensetivity on gender and social inclusion inclduing children	
	Preference will be given to the companies having experienced human resource and technical expertise in the field of assessing water and sanitation projects focusing to similar field	
	Subtotal	70
Financial	Subtotal	30
	Total	100

Distribution of Scoring

Technical	70
Financial	30
Total	100

Note: Minimum Score = 70%, therefore minimum score = 49