UNICEF/DFID Accelerated Water and Sanitation for All (ASWA II)

TOR for Baseline survey

UNICEF Nepal

January 2018

1. BACKGROUND AND JUSTIFICATION:

Over the last five years, sanitation coverage in Nepal has improved significantly. The Open defecation rate decreased from 38 per cent to 13 per cent as a result of the ODF social movement[1]. However, huge disparities remain in terms of coverage sanitation coverage is 83 per cent in the mountain regions, and 96 per cent in the hills but it is only 77 per cent in the Terai[2]. Similarly, handwashing with soap during critical times such as before breast feeding or feeding a child and after changing nappies continues to be very low at 9 per cent[3]. 71 per cent of water sources were found to have microbial contamination and 82 per cent of household water are contaminated with *E. coli*, a major cause of diarrhea (MICS, 2014).

Even though water and sanitation coverage in schools has been improving, critical bottlenecks remain particularly as they relate to girls and children with disabilities. WASH in health facilities remains a significant challenge, due to inadequate coverage (20 per cent of facilities do not have access to drinking water, 22 per cent do not have access to toilets[4]) and poor hygienic use of existing facilities, leading to water borne diseases and infections.

Achieving SDGs in Nepal will be a big challenge for the sector, Joint Monitoring Programme (JMP)-2015 estimates indicate that only 27% of the population have access to safely managed drinking water supply (a drop of 60% from the MDG improved coverage of 87%). An estimate for safely managed sanitation is not yet available but it will be much lower than JMP estimate of 46%.

Despite some good progress, stunting still remains a serious public health problem in many regions of the country adversely affecting the cognitive, intellectual, and physical productivity of children under five. The prevalence of stunting at national level is 37 per cent while it is high in rural areas (39 per cent) as compared to urban areas (24 per cent); among the poorest wealth quintile (55 per cent) as compared to richest (15 per cent).

To address some of the challenges mentioned above, UNICFE Nepal have received financial assistance - ASWA II project - from DFID through UNICEF Headquarters. This will be implemented mainly in eight Terai districts which include (i) Saptari, (ii) Siraha, (iii) Dhanusha, (iv) Mahottari, (v) Sarlahi, (vi) Rautahat, (viii) Bara and (viii) Parsa.. At present the development partners such as UN Habitat, UNICEF, SNV, Water Aid, Plan International and Oxfam working in the eight Terai districts, however not all of them are present in all districts and even within the districts there is a huge gap of WASH interventions.

The objective of ASWA II is to support federal, provincial and local governments to strengthen their capacity and systems to plan, implement, monitor and sustain WASH services, building both community and government ownership by strengthening the enabling environment while ensuring sustained use of safely managed water supplies and the elimination of Open Defecation and hygiene by people in targeted districts, especially by women and girls and persons with disability. Major interventions under this programme are supporting people to have improved access to basic sanitation and safe water, WASH in Schools and Health Care Facilities.

The key results to be achieved are (i) 350,000 additional people including children and women in eight Terai districts who are in the most deprived areas live in open defecation free (ODF) communities, (ii) 25,000 people to have access have access to safely managed water supply by 2022. In the same target communities (iii) 50 schools and (iv) 20 health facilities will be provided with access to the safe and reliable WASH services according to the national standards and (v) central and local governments will be provided with technical and financial assistance for enabling environment for WASH.

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1 Department of Water Supply and Sewerage Annual Report, 2016

2 Department of Water Supply and Sewerage Annual Report, 2016

3 Department of Water Supply and Sewerage Annual Report, 2016

4 Department of Water Supply and Sewerage Annual Report, 2016

About 6,000-7,000 communities (depending on the size of the community) will be targeted for triggering and accelerating the sanitation social movement to reach to 1.5 to 2 million people (depending upon the size of the selected communities). Technical support and different appropriate options will be presented in the target communities to enable them progress along the sanitation ladder and meet the requirements for safely managed sanitation facilities. It is expected that as a result of sanitation interventions, the targeted communities in 69 Local Governments will get ODF status bringing about 1.5 to 2 million people living in ODF environment.

To supplement government's effort in the provision of improved water sources through rehabilitation of dysfunctional schemes and construction of new systems, this project will focus on water safety plans and reinforce behavior transformation on the use of safe water and sanitation. Special focus will be given at household level to promote safe handling, storage and use of safe water including water treatment option. A strong behavioral change communication component will be part of the hygiene promotion interventions aiming at reducing WASH related diseases.

UNICEF Nepal has decided to engage external consulting firm for carrying out the baseline survey for this programme and the progress will be measured against the baseline.

2. OBJECTIVE:

The objective is to establish a coherent baseline to determine the existing situation at the beginning of the programme at output, outcome and impact level in the eight Terai districts where ASWA II programme is to be implemented. This will provide a benchmark for mid-line and end-line surveys to measure the impact of ASWA II Programme later on. The results to be achieved by the programme is discussed in Annex A. For each of the indicators at impact, outcome and output level, the baseline study will establish a clear baseline for the programme areas and validate data from project monitoring system summarized with a quantitate data analysis (demographic, gender, disability, poverty, education, and ethnicity etc. based disaggregation). The specific objectives of the survey are:

- To measure all project baseline indicators values and disaggregated as per log frame and guiding documents (Annexes A and B).
- Conduct qualitative assessment to complement survey data on the quality of women's participation in decision making and the time saved by improved access to WASH, and
- Measure at national level through qualifying national surveys (established secondary sources) for diarrhoeal disease and stunting levels

The above objectives will pay attention to the situation of woman, children and other vulnerable groups including disabled and elderly, and their specific conditions and needs.

3. SCOPE OF WORK:

The survey will be conducted in selected communities in all the eight Terai districts under ASWA II programme and will come up with baseline status for water, sanitation and hygiene components at different levels (impact, outcome and outputs levels) as summarized below (refer Annexes A and B for detail):

Impact	Impact Indicator
	Indicator 1: Reduction in prevalence of diarrhoea in rural areas, disaggregated by wealth quintile, sex and age (whole population; children under 5)
	Indicator 2: Reduction in prevalence of stunting in children under 2, in rural areas, disaggregated by wealth quintile and sex
	Indicator 3: Time saved by women and girls gaining access to safe basic water achieved through DFID support, disaggregated by wealth
	Indicator 4: Women in local water and sanitation management organisations and/or. user committees participate in decision making about the provision and management of WASH services in their communities, disaggregated by wealth
Outcome	**Outcome Indicator**
Sustained use of safe water supplies and sanitation services, and sustained adoption of hygiene practices, by poor and vulnerable people in targeted areas, especially by women and girls.	**Indicator 1:** Proportion of externally verified ODF communities attributed to DFID support that maintain their ODF status for at least one year
	Indicator 2: Proportion of people in intervention communities that use household toilets, disaggregated by sex, disability and wealth ranking
	Indicator 3: Proportion of people in intervention communities that practise handwashing with soap or an alternative handwashing agent such as ash, and water, disaggregated by sex, disability and wealth
	Indicator 4: Proportion of people using basic, safe water supplies, disaggregated by, sex, disability and wealth ranking
	Indicator 5: Proportion of externally verified water safe communities attributed to DFID support that maintain water safe status at least 1 year
	Indicator 6: Proportion of intervention schools with water supply and sanitation facilities being used by students at least one year after intervention
Output	**Output Indicator**
1: Access to basic sanitation for people in targeted rural districts	**Indicator 1.1:** Proportion of communities triggered with DFID support that are externally verified ODF within one year of triggering
	Indicator 1.2: Number of externally verified ODF communities achieved by DFID support
	Indicator 1.3: Number of externally verified ODF communities achieved by DFID support
	Indicator 1.4: Cumulative number of people who gain sustained access to basic handwashing facilities, disaggregated by sex and disability, achieved by DFID support
	Indicator 1.5: Cumulative number of externally verified ODF districts (or equivalent local government unit) achieved by DFID support
2: Access to safe, locally managed water supplies for people in targeted rural districts	**Indicator 2.1** Cumulative number of people who gain sustained access to basic, safe water supplies with a maintenance system in place, results disaggregated by sex, achieved through DFID support
	Indicator 2.2: Number of externally verified water safe communities, achieved through DFID support
3:Schools and health care	**Indicator 3.1:** Number of schools gaining improved water and sanitation facilities, with hygiene including menstrual hygiene being promoted

Impact	Impact Indicator
facilities have appropriate, effectively managed WASH facilities, with hygiene also being promoted	**Indicator 3.2:** Proportion of intervention districts implementing district-wide MHM programmes
	Indicator 3.3: Number of health care facilities in intervention districts gaining improved water supply and sanitation facilities, achieved through DFID support
Output 4: National systems and capacity for rural WASH strengthened in prioritized areas	**Indicator 4.1:** Number of intervention districts (or equivalent) in which the local authorities use real time, mobile-to-web monitoring systems to collect, analyse and report output level project results, strengthened through DFID support
	Indicator 4.2: Countries to define second priority indicator, based on SWA building blocks - - must be related to a SMART objective (to be agreed at the later stage)
	Indicator 4.3: Number of intervention countries reporting the agreed set of VfM indicators, in line with VfM reporting schedule and associated guidance provided by UNICEF HQ (refer to existing studies)

The study team is expected to travel to the project locations and organize finding-sharing workshops at provincial and central level. The survey is expected to be finalized within ten weeks.

4. METHODOLOGY:

The study team is expected to conduct randomised cluster survey (RCS) in the project communities[5] to have a clear profile of the programme areas, reliable data on water and sanitation education and health aspects. This involves collecting data on WASH situation in the communities SDG informed situation analysis at District/Palika and community level, assess socio-economic profile of sampled households as the results framework (Annex A), guiding document (Annex B).

The RCS will use as its universe "***planned intervention communities***" across all targeted Palikas in the eight districts (Annex C). The RCS survey should make use to the extent possible of existing water and sanitation data and information system to generate baseline for outputs/outcomes/impact of the project.

The sample size should be designed to generate 95% confidence that results are not due to random error. Representative sample size of clusters and households should be determined in the project communities using statistical formula (see Annex B and also "**Instructions for Financial Quote**" under Section 15 of this document) .

Use of computer assisted Personal Interviewing (CAPI) technique will be employed to increase data quality and reduce data processing time. The facility-based data collection will be combined with the PSUs selected.

The survey tools should be developed based on the outcome/output indicators and as per the guiding document (Annex B). These indicators should be disaggregated (demographic, gender, ethnicity, disability, wealth groups etc.) while developing survey tools/questionnaire.

[5] Communities refer to a *tole*/village or *gaun in terai districts' context*

The study team will propose a final methodology and data collection tools which will be agreed upon and approved by UNICEF.

5. ACTIVITIES, TASKS AND INDICATIVE TIMELINE

The following activities and tasks with indicative timeline that will have to be completed by the consultancy firm:

- **Activity 1: Desk review (Week 1):** Desk review of relevant documents, for which UNICEF will provide the necessary documents;
- **Activity 2: Development of survey protocol (Week 1-2):** Refining and development the sampling frame (based on the proposed sample design), data collection tools, training manual, field manual and tabulation plan. The firm will develop or adapt survey questionnaire in consultation with UNICEF Nepal country office. The firm will prepare an elaborate quality control plan including field enumerator rotation scheme to appropriately address possible bias though enumerator effects and other measures to address data quality assurance, and identify appropriate data entry package and customize it for the questionnaire allowing for easy data entry, automatic calculation of variables, checks and reporting
- **Activity 3: Training of field enumerators and pre-testing (Week 3);** Train supervisors and field enumerators on WASH basic issues, pre-test data collection tools, determine and implement changes that need to be made to the questionnaires, and organize post pre-testing briefing for interviewers and supervisors
- **Activity 4: Data collection and data entry (Week 4-6):** Ensure quality control during data collection through review of filled questionnaires, data entry and data cleaning and feedback provided to field team and data managers.
- **Activity 5: Drafting and preparation of preliminary report (Week 7-8**): Use the key variables to draft preliminary survey and bottleneck analysis reports and draft WASH inventory for the project communities. Prepare draft report of the results based on an UNICEF approved template, including the analysis of the key indicators. Prepare PowerPoint slides and presentation for stakeholders meeting of key findings and recommendations.
- **Activity 6: Preparation of final deliverable (Week 9-10);** Based on stakeholders meeting recommendations, and in consultation with UNICEF finalize and submit deliverables and all annexes.

6. MANAGEMENT AND COORDINATION/ UNICEF RESPONSIBILITIES

UNICEF Nepal will provide technical inputs and facilitate communication with relevant partners, and stakeholders throughout the assignment.

UNICEF Nepal WASH Section will facilitate contacts with the local authorities and institutions in the districts in order to share information on the activities carried out as part of the survey, and also seek authorization to conduct this survey from the relevant government department.

7. DURATION:

The duration of working days for a team of professionals will be a total of 10 weeks. Number of working days for each team member will vary according to their relevance to the expected tasks. The contract is expected to commence as soon as possible based on the selection of the consulting

firm is expected from 15 February 2018. The consultancy firm may engage required multiple teams to complete the survey within the agreed timeframe.

8. WORKING LOCATIONS:

Kathmandu, office based. Travel to fields as needed. Districts and the project locations within the districts are provided in Annex C.

9. DELIVERABLES:

Deliverables should be tangible and with a defined time period for submission.

The firm will be expected to produce the following deliverables linked to payments:

1. Inception report with survey protocol, sampling frame, draft data collection tools, draft training manual, draft field manual. End of week 2.
2. Training and pre-testing report, including final data collection tools, final field manual. End of week 3.
3. Preliminary survey report, and Power Point presentation. End of week 6
4. Draft final survey report, and PowerPoint presentation. End of week 8.
5. Final survey report, and district wide WASH inventory dataset, and PowerPoint presentation. End of week 10.

10. PROPOSED PAYMENT SCHEDULE:

No	*Deliverable*	*Percentage of payment*
1	Inception report with survey protocol, sampling frame, draft data collection tools, draft training manual, draft field manual	40 per cent of total contract value
2	Preliminary survey report, and Power Point presentation	30 per cent of total contract value
3	Final survey report, and PowerPoint presentation	30 per cent of total contract value

Payments will be made only upon approval by UNICEF of the corresponding deliverables submitted by the firm.

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11. CONTRACT SUPERVISION:

WASH Section Chief will be principally responsible for supervision of the contract including approval of intermediary and final products, in consultation with other internal and external stakeholders.

12. QUALIFICATIONS AND EXPERIENCE REQUIRED:

The minimum requirement for the firm is to have expertise meeting the following requirements on assigned personnel to this contract:

- At least 5 years of experience in conducting similar surveys – particularly in the areas of water, sanitation and hygiene promotion, strong skills in statistics and data analysis,
- Experience in conducting qualitative surveys in the areas of water, sanitation and hygiene promotion, especially in rural areas
- Experience in supervising field work of multipurpose surveys and similar survey.
- Right mix of professionals with education background (advanced university degrees) in disciplines relevant to (i) Planning, Monitoring, Evaluation, (ii) Public Health,(iii) Civil and Environmental Engineering, (iv) Water and Sanitation Engineering, (vi) social sciences, (vii) statistics or any other relevant disciplines, .
- The senior team members should have more 10 years progressively responsible professional work experience in all aspects of WASH programme management, and/or advisory support both development and humanitarian contexts.
- High professional expertise in statistical and epidemiological analysis using latest version of statistical software/packages.
- Good understanding of UNICEF and DFID WASH programme strategies, and other thematic areas such as such as health, education, protection.
- Knowledge of Rights-based and Results-based approach and programming in UNICEF, and
- Familiar with the country, rural and project community context of water and sanitation, demographics and poverty issues
- Strong analytical skills with the ability to write in a clear and practical manner

The survey team should comprise of a gender balanced and culturally diverse team of technical experts with expertise in quantitative and qualitative methods of data collection.

13. APPLICATION :

Each proposal will be assessed first on its technical merits and subsequently on its price. In making the final decision, UNICEF considers both technical and financial proposals. The Evaluation Team first reviews the technical proposals followed by review of the financial offers of the technically compliant firms. The proposal obtaining the highest overall score after adding the scores for the technical and financial proposals together, that offers the best value for money, will be recommended for award of the contract.

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

- **Methodology**
  Detailed Methodology / approach to requirement detailing how to meet or exceed UNICEF requirements for this assignment

- **Company Profile**

- *Ensure to include information related to the experience of the company as required (*Copy of the company registration)

- **References**
  Details of similar assignments undertaken in last *three* years including the following information:
  - Title of Project
  - Year and duration of project
  - Scope of Project
  - Outcome of Project
  - Reference / Contact persons

- **Work Plan**
  Proposed work plan showing detailed sequence and timeline for each activity and man days of each proposed team member

- **Team Composition**
  Title and role of each team member

- **CV's**
  CV of each team member (including qualifications and experience)
  Ensure to include information related to the qualifications and experience of each proposed team member as required.

- Any project dependencies or assumptions

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 different sample sizes** (as per instruction given under Section 15 below). In order to arrive at the lump sum offer for a given sample size, the firm may work out the budget detail as below:

- **Resource costs**
  Daily rate multiplied by number of days of the experts involved in the study. This will be determined by the sample size to be surveyed at the field. So the cost should indicate cost per 100 households to be interviewed so as to allow costing for field work.

- **Conference or workshop costs (if any)**
  Indicate nature and breakdown if possible

- **Travel Costs**
  All travel costs should be included as a lump sum fixed cost.
  For all travel costs, UNICEF will pay as per the lump sum fixed costs provided in the proposal.
  A breakdown of the lump sum travel costs should be provided in the financial proposal.

- **Any other costs (if any)**
  Indicate nature and breakdown

- **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.

14. EVALUATION WEIGHTING CRITERIA:

The ratio between the technical and financial criteria depends on the relative importance of one component to the other.

Cumulative Analysis will be used to evaluate and award proposals. The evaluation criteria associated with this TOR is split between technical and financial as follows:

Weightage for Technical Proposal = 70 %
Weightage for Financial Proposal = 30 %
Total Score = 100%

a. Technical Proposal:
The technical proposal should address all aspects and criteria outlined in this Request for Proposal.

The Technical Proposals will be evaluated against the following:		
REF	**CATEGORY**	**POINTS**
1	**Overall response:** • Completeness of response • Overall concord between RFP requirements and proposal	 2 3
2	**Company/key personnel/Individual Consultant:** • Range and depth of experience with similar projects • Samples of previous work • References • Key personnel: relevant experience and qualifications of the proposed team for the assignment	 8 5 5 14
3	**Proposed methodology and approach:** • Detailed proposal with main tasks, including sound methodology to achieve key outputs • Proposal presents a realistic implementation timeline	 20 13
Total Technical		**70**
Only proposals which receive a minimum of 49 points (over 70%) will be considered further.		

b. Financial Proposal

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 that is opened and compared among those invited firms/institutions which obtain the threshold points in the evaluation of the technical component. All other price proposals will receive points in inverse proportion to the lowest price; e.g.:

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

Instructions for Financial Quote (Proposal)

The total cost for this consultancy should be provided based on the statistically valid sample size for this study to be worked out based on the guidance provided in the document (Annex B). In order to avoid biases (arising from the sampling techniques) which is linked to financial proposal, required data for estimation of statistically valid sample size (two stage Randomised Cluster Survey) are provided below:

a. Sample frame: 6,000-7,000 communities (approx.) located in 69 Palikas (approx. as attached in annex C – corresponding names of VDCs and municipal wards) of Province 2. The list of 69 Palikas and respective population are provided. The total population of 7000 communities in 69 Palikas is about 2 million.
b. Confidence level = 95%
c. Margin of error = 5%
d. Design effect = 2
e. Estimated value of key indicator to be measured by the survey (i.e., access to improved sanitation without sharing toilets) = 62%

The baseline survey should be able to measure all indicators given in the Log frame for ASWA II project (Annex A) and those mentioned in baseline survey guidance (Annex B). This will help to determine the scope of the questionnaire.

The baseline survey is to be completed in 10 weeks.

Based on the (i) sampling size, (ii) geographic location, and (iii) duration, work out the total budget for the baseline survey using the below template:

Description of Activity/Item	**Proposed Person (Job title/function)**	**All-inclusive rate (Personnel)**	**No. of days proposed**	**Total Cost in NRs**
1. Item 1:				
1.1 Personnel				
1.2 Other				
Subtotal Expenses:				
2. Item 2:				
2.1 Personnel				
2.2 Other				
Subtotal Expenses:				
*2.3Reimbursable Travel Cost**				
2.3. Other				
Subtotal Expenses				
3. Item 3:				
3.1 Personnel				

3.2 Editorial				
Subtotal Expenses:				
*3.3Reimbursable Travel Cost**				
Subtotal Expenses:				
Subtotal fixed cost:				
Subtotal reimbursable cost				
Grand Total*				

Finally fill in the below Table the estimate for different possible sample size including the one estimated by the bidding firm (Ncf) using the data provided.

Template for Financial Estimates

S.No.	Sample Size	Total (Gross) Estimated Cost in NPR	Remarks
1	Optimum Sample Size Proposed by the Consultancy Firm (Ncf) (please give estimated number based on the data provided above).		Please read the instruction provided to work out the sample size.
2	Less than or equal to 300		
3	300-500		
4	500-750		
5	750-1000		
6	1000-1500		
7	1500-2000		
8	2000-2500		
9	2500-3000		
10	Average unit rate (NRs/Sample Size)		

ATTACHED:

Annex A – ASWA II Log frame Nepal
Annex B – ASWA II Baseline Survey guidance
Annex C – Project Locations