

Terms of Reference
Conducting Baseline Study
For the Project, "Innovation Hub for Urban WASH Solutions"

Project background

National Institute of Urban Affairs, Delhi (NIUA), a premier research institute under Ministry of Urban Development (Government of India, GoI), in association with Taru Leading Edge, IRC and Ennovent, and with the strategic collaboration of YES BANK and Valluri Technology Accelerators, has initiated a project 'Innovation Hub for Urban WASH Solutions'. This project is supported by USAID. The project will support the development of scalable solutions for urban water, sanitation and hygiene in India within the national, regional, state and city framework. The hub will lead activities that support the national and state urban initiatives linked to WASH (AMRUT, SBM, SMART City Programs) and proactively engage with a wide range of partners, to discover and develop innovations and devise intervention strategies and business models for delivering effective, affordable and sustainable WASH solutions in the Indian context. The initiative will contribute significantly to achieving the recently adopted Sustainable Development Goals (SDG) 6: for clean water and sanitation to all, and other national commitments by the GoI.

The primary goal of the initiative will be to improve urban WASH sector performance through incubation and acceleration of innovative solutions, technologies, programs and service delivery models within a collaborative framework. A core element of the initiative is to build partnerships with and between public, government (national/state/local), civil society, private sector stakeholders, academia, donors, etc. dedicated to establishing shared visions and improving WASH outcomes, as well as facilitating knowledge sharing among cities, states and national platforms. The project shall be piloted in three cities in three different states in India, over a period of three years.

Under the project, a base line study is proposed to be conducted with following objectives:

1. To provide benchmark information and define targets for measuring project progress, achievements, effectiveness, quality of change, and impact (with respect to project goal and objectives and intermediate result levels based on the project proposal including log frame) including WASH sector indicators adopted by the project.
2. To provide an in-depth indicative baseline information on the WASH status at sector, national, proposed states and city levels with a view to guide the project planning, implementation and monitoring process
3. To map the landscape of the WASH innovations across technology and business process domain within incubation and acceleration frameworks
4. To identify benchmarks and indicators as part of the project which can be used as a point of reference for monitoring and evaluation related to sector, government, USAID and SDG commitments

Scope and Methodology of the Assignment

The study entails following scope of assignment:

- Designing of the baseline study in consultation with client and relevant experts
- Literature review

- Instrument development in English and local languages and orient the supervisors and field workers for the study
- Primary and secondary data collection within quantitative and qualitative framework
- Consultations with relevant stakeholders at sector, national, state and city levels
- Analyze the data
- Ensure that lessons learned, problems and good practices are documented throughout the process inception report with the final research design
- Drafting report with relevant baseline targets with factsheet and ensure that they are of good quality
- A presentation kit of main results highlighting important analysis and trends
- Incorporating feedback and finalization of report

The key questions to be assessed for the baselines are as follows –

Objectives	Questions
Strengthen urban WASH sector performance through promotion of innovations and outcome oriented capacity and knowledge building initiatives.	<ul style="list-style-type: none"> • Are there any innovations identified and adopted across sector, states and cities? • Is there a credible and reliable system of technology evaluation? • Is there vibrant space for incubating and supporting new ideas and solutions in WASH sector within development and business framework? • Does the State have Sanitation Strategy? Who is responsible for implementing? What is the status of its implementation? Do they have adequate budget and other resources? • Does the City have a Sanitation Plan? Who is responsible for implementing? What is the status its implementation? Do they have adequate budget and other resources? • What are existing institutionalized systems or practices for documenting and sharing best practices in the WASH sector? • Are there any platforms that exist for businesses in WASH?
Improve urban water and sanitation delivery through innovative, scalable, community and market-context solutions.	<ul style="list-style-type: none"> • What are the planning, capacity, communication, implementation and monitoring needs of the city? • What is the kind of training provided to ULBs for WASH service delivery? • What are the current practices in city WASH service delivery? • Any innovation scaled up in the city? • How is market responding to WASH issues within business framework? • What is level of citizen and other key stakeholders' participation in improving WASH service delivery? • What is the status of community and public sanitation in the city?
Develop a rigorous monitoring and	<ul style="list-style-type: none"> • What is current M&E systems at the sector, national, state

<p>evaluation framework and apply it within the urban WASH sector to promote total quality management.</p>	<p>and city levels mapping progress and gaps?</p> <ul style="list-style-type: none"> • What is current level of coverage, usage, service levels in WASH sector within context of government, USAID and SDG indicators at national, sector and city levels?
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The agency is expected to have a mix of quantitative and qualitative tools for the collection of data with clearly mapping stakeholders for the data collection, sampling plan, field plan, and quality plan. The stakeholders of the study includes government officials, experts, NGOs/Corporate, citizens, women groups, innovators, and others.

The agency can use financial, institutional, environmental, technological and social (FIETS) framework to be part of the methodology so as to assess the (potential) sustainability of these components for WASH at each level.

The baseline is proposed at the national level, in the three proposed states and in the selected cities.

Major uses of baseline study

Baseline study will be used as a reference to

- Plan the project implementation, and monitoring of the project components
- Develop MIS for the project for better tracking of information and support the decision support system
- Guide the stakeholders engagements using insights developed.
- Develop baseline target matrix to track progress and undertake further evaluations of mid-term and end lines

Deliverables and Time Plan

- Inception Report with the literature survey, final research design, baseline results framework, instruments, field plan, field training plan, quality management plan (10 days)
- Primary and Secondary Data Collection (20 days)
- Preparation of Draft Report as per the objectives and scope set in the ToR (15 days)
- Consultation with exerts and Final Report with all data sets (5 days)

Duration

50 days assignment from date of signing the contract

Location

The study would cover national capital and three project states and cities that will require traveling and conducting field work in the selected project locations. The States/Cities are Maharashtra (Thane), Haryana (Faridabad) and Rajasthan (Jaipur).

Proposal Submission:

Interested qualified firm are invited to submit a proposal that includes the following:

- An understanding of the requirements, methodology, sampling and work plan for performing the assignment
- Team composition and task assignment
- Detailed reference list indicating the scope and magnitude of similar assignments
- Relevant services undertaken in the past three (3) years
- Registration and other relevant statutory documents
- Financial bid with applicable taxes
- Details of the consortia, if any, with defined roles and responsibilities of each personnel involved in the study. The name of the lead organization should be clearly stated. There would need to be letters of agreement from the consortia research agencies' authorized signatories for this study.

Qualification

The agency is expected to have the following qualifications:

- Should have at least five years' experience of conducting project baselines, evaluations and researches, particularly of Urban and WASH projects
- Should have team having experience of working on WASH and Urban Development initiatives
- Should have strong organizational credibility, logistics, and systems to carry out such assignments
- Demonstrated expertise in data analysis, including statistical methodologies and related research techniques
- Proven track record of on-time performance
- Demonstrated ability to write clear, brief, analytical reports

Supervision

The consultant will report to the Director of the Project but work closely with the relevant officers of project.

Terms & Conditions

- **Deadline**
Proposals must be received by the designated deadline, or they may not be considered.
- **Offer Validity**
Your proposal must remain valid for a minimum of 6 months. Proposals should be signed by an official authorized to do so.
- **Negotiations**
The most competitive proposal is requested. The client reserves the right to request responses to questions and conduct negotiations with any potential offeror prior to awarding a contract.
- **Rejection of Proposal**
This document is a request for proposals only, and in no way binds the client to make an award. The client reserves the right to reject any and all offers received and/or to cancel the RFP. Offerors whose proposals are not selected will be notified within 15 days of selection of the successful firm/organization. The client will not be obliged to provide a justification for rejection of proposals.
- **Incurring Costs**

The client is not liable for any cost incurred during preparation, submission, or negotiation of an award for this RFP. All documentation and/or materials submitted with the proposal shall become and remain the property of the client.

- **Award Basis**

All responsive proposals will be rated based on a consistent selection criteria. The client will consider value for money while deciding the award. The client anticipates awarding a Fixed Price contract to be awarded once a firm/organization has been selected. The awarded contract will include a statement of the total fixed price; the scope of work with stated deliverables and due dates; the guiding USAID/GOI/NIUA/partners clauses (if applicable); and invoicing information. Please be advised that under a fixed price contract the work must be done within the specified total price and the time. Any expenses incurred in excess of the agreed upon amount in the contract will be the responsibility of the firm/organization and not that of the client. Therefore, the firm/organization is advised to provide its most competitive and reasonable cost proposal to cover all foreseeable expenses related to the tasks outlined in the Scope of Work.

Overall, evaluation criteria follow the below:

Criteria	Marks
Technical Proposal (clarity/approach, methodology, plans)	30
Relevant Experience of the firm	20
Relevant Experience of the Proposed Staff	20
Financial Proposal (Cost effectiveness)	30
Total	100

Financial Responsibility

Proposals must certify the financial viability and adequacy of resources of the firm/organization to complete the proposed assignment within the agreed time frame and in conformity with the terms of payment mentioned below. The client reserves the right to request and review up to the last three financial statements and audit reports as part of the basis of the award.

- **Payment**

Payments will be made on the following basis:30% with submission of inception report, 30% on draft report and 40% upon satisfactory acceptance of the final report by the client as set forth in the contract.

Interested firms are requested to submit the technical & financial proposals for Conducting Baseline Study by January 23, 2017 by 5.30 pm to the following address:

The Director
National Institute of Urban Affairs
1st Floor, Core 4B, India Habitat Centre
Lodhi Road, New Delhi - 110003, INDIA

Please note that no application will be accepted without separate technical and financial proposals.