

ANNEX 1 – TERMS OF REFERENCE

**Global Evaluation of UNICEF’s Drinking Water Supply
Programming in Rural Areas and Small Towns**

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Context and rationale for the evaluation

Global setting

In 2000 the Member States of the United Nations signed the Millennium Declaration, which later gave rise to the Millennium Development Goals (MDGs). Goal 7, to ensure environmental sustainability, included a target that challenged the global community to halve, by 2015, the proportion of people without sustainable access to safe drinking water, using the year 1990 as a baseline. According to the 2015 report of the WHO/UNICEF Joint Monitoring Program for Water Supply and Sanitation, which began monitoring the sector in 1990, most countries have achieved substantial progress towards achieving universal access to water for their citizens. 91% of the global population now use an improved drinking water source, as opposed to 76% in 1990. All told 2.6 billion people have gained access to an improved drinking water source since 1990. All regions have increased access to improved sources of drinking water since 1990.

Nonetheless, major disparities remain. While several developing regions met the drinking water target, Sub-Saharan Africa, Northern Africa, the Caucasus and Central Asia, and Oceania did not. In 2015, 663 million people still lack improved drinking water sources. Nearly half of them live in sub-Saharan Africa. Global rural-urban disparities have decreased, but large gaps remain. 84% of the rural population now uses improved drinking water sources, compared with 96% of the urban population. Eight out of ten people still without improved drinking water sources live in rural areas, where economic poverty and population growth are also higher. Therefore, rural water supply will still continue to be a challenge for many national governments and their development partners in the coming decade.

In September 2015, the UN Member States adopted the new Sustainable Development Goals (SDGs) and targets for the period 2015-2030. Goal 6 is to “ensure availability and sustainable management of water and sanitation for all”, with target 1 being “achieve universal and equitable access to safe and affordable drinking water for all by 2030”. This goal of achieving universal and sustainable access for everyone emphasizes the need for Member States and development partners to scale up efforts, ensure the quality of drinking water, establish efficient and sustainable management systems, and adopt a stronger equity-lens in order to leave no one behind. This new SDG agenda gives UNICEF an opportunity to reflect on the quality of its water supply programme portfolio, in particular in rural areas and small towns where the organisation mainly operates.

Rationale

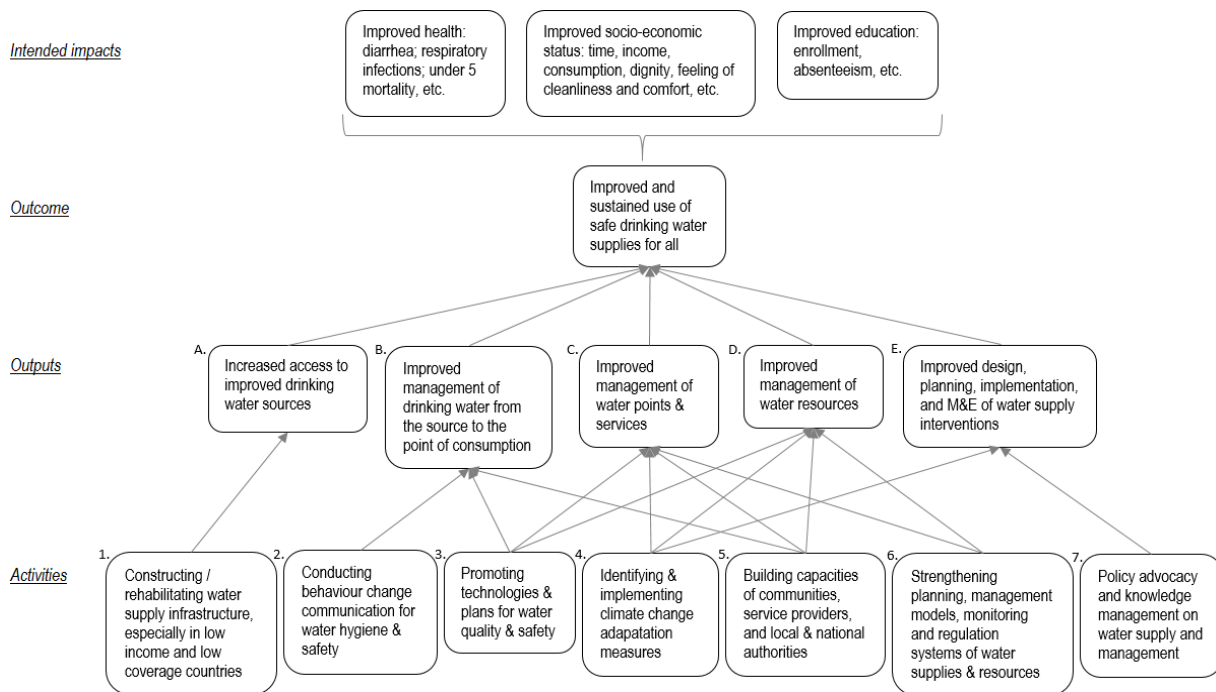
Drinking water supply has long been an important part of UNICEF's programme and advocacy work. UNICEF's role in this area dates back to the 1960s, and there has been a steady increase in activities ever since. By the early 1970s, UNICEF was assisting some 70 countries with community water supplies, and more than 90 countries in the mid-1980s. UNICEF's first water supply, sanitation and hygiene (WASH) strategy was approved by the Executive Board in 1995 and the second strategy more recently in 2006. They both gave a special attention to rural water supply. Key corporate commitments and approaches for water supply are defined in the 2006-2015 global WASH strategy. The UNICEF's Strategic Plan 2014-2017 assigns key importance to supporting improvements in water supply, and commits the organisation to achieving measurable outcomes in this area, with specific indicators.

The investment of the organisation in drinking rural water supply has continuously increased since 2000. Going forward, drinking water supply in rural areas and small towns will continue to be an important area of work through both regular programmes and humanitarian action, as reflected in the draft of the next UNICEF global WASH strategy for the period up to 2030. However, while many WASH evaluations conducted by UNICEF examined programmes that included a substantial water supply component, only 8% of them focussed specifically on this programming area since the launch of the current UNICEF WASH strategy. Furthermore, few evaluations have captured, examined and documented recent growth areas and emerging strategies in UNICEF's water supply programming, and some other knowledge gaps have been recently identified in the sector. It is therefore both timely and necessary to evaluate and reflect on lessons learnt to inform UNICEF's current and future work to support better drinking water supply for children and their community around the world. The evaluation of drinking water supply programming in rural areas and small towns was identified as a priority by the organisation in its Global Thematic Evaluation Plan 2014-2017.

Overview of UNICEF’s global water supply programming

The UNICEF global water supply programme is among the largest in the sector managed by a development agency. In 2014, it had 570 dedicated professionals operating in more than 100 countries. UNICEF’s investment in water supply reached 132 million USD that year (almost 20% of UNICEF’s total WASH expenses worldwide), making it the second largest area of investment after emergency WASH. UNICEF is the lead UN agency involved in drinking water supply, which provides significant opportunities for both global advocacy and country support. The UNICEF mandate with respect to the United Nations Convention on the Rights of the Child, the Joint Monitoring Program, and as lead agency for the Inter-Agency Standing Committee Global Water Sanitation and Hygiene (WASH) Cluster provides legitimacy for taking a lead role in water supply.

The main commitments and approaches included in the UNICEF global WASH strategy 2006-2015 were the following: increasing drinking water coverage; promoting safe and sustainable water supplies through improved water resources management; scaling up sustainable management models; strengthening the enabling environment; supporting effective decentralization, community participation and choice; promoting behavioural change at community level; encouraging measures for the quality and safety of drinking water; and generating, disseminating and using evidence and knowledge. A simplified theory of change of UNICEF’s water supply programming in rural areas and small towns in development context in the 2006-2015 period is provided below. It was constructed for the purpose of this global evaluation.



Each activity listed in the lower part of this simplified theory of change encompasses a number of areas of specific interventions. UNICEF water supply programming is typically a combination of field implementation (lower left side of the graph) and upstream work (lower right side). The balance between the two, and the type of engagement depend on the specific country context, needs, and capacities. For instance, construction and rehabilitation work through direct service delivery is common in low income and fragile countries, while implementation through government partners’ channels and upstream work are more widespread in countries with more capacities and resources. Each country office has a particular set of goals and implementation modalities developed with the host government.

The role of UNICEF regional offices, including the regional WASH advisers, is to support country offices in developing programmes and raising resources, and to coordinate with other UNICEF country offices, with headquarters and with other major organisations. The role of HQ, including the WASH section, is to shape UNICEF’s global strategy, engage in global policy advocacy, coordination and knowledge management activities, leverage resources, and provide guidance and technical assistance to regional and country offices.

Additional information on UNICEF’s RWS programming can be found at the [UNICEF WASH public webpage](#).

Purpose, target audience and objectives of the evaluation

This evaluation is commissioned by the Evaluation Office, UNICEF HQ. It will be based on subnational, national and global level experience to deliver global level findings. It will be both formative and summative, with the purpose of:

- Enabling evidence-based decision-making. By identifying the strengths and weaknesses of UNICEF's drinking water supply programming, its actual and potential added-value in the sector, and the broader threats and opportunities, the evaluation will help determine any changes needed to make UNICEF and its partners more capable in drinking water supply programming and will inform decisions about the way forward at HQ, regional and country office levels.
- Contributing to global learning. The evaluation will make available to the organisations and people interested in water supply and other related topics the understanding about quality programming and innovations that will emerge, in order that they may improve the programmes they support in light of the evidence.
- Promoting accountability: The evaluation will assure internal and external stakeholders of the level of performance and quality of the programme they have supported.

The target audiences, therefore, are the following:

- The UNICEF WASH professionals at every level responsible for all strategic, design, implementation, coordination, monitoring and evaluation (M&E) and learning aspects of water supply programming;
- Other UNICEF divisions, sections and stakeholders interested in or are impacted by WASH programming, such as: Supply, Emergency Operations, Communication for Development, Knowledge Exchange, Gender, Social Inclusion, Health, Education, Nutrition, etc.;
- National governments whose efforts in the area of water supply have been technically and financially supported by UNICEF;
- Donor agencies that have technically and financially supported UNICEF's water supply programmes;
- Strategic and implementing partners of UNICEF at HQ, regional and country levels;
- Right holders, primarily beneficiaries in communities and institutions where UNICEF has intervened and might intervene in the future;
- The broader technical community in WASH that wish to understand what works well or not in water supply programming.

The objectives of the evaluation are to:

- Assess UNICEF's experience in drinking water supply programming in order to fill specific knowledge gaps, draw lessons and improve the appropriateness of UNICEF strategies globally and the quality of programming in the field;
- Determine if and how UNICEF can scale up some of the recent developments in its water supply programming;
- Propose recommendations that will help UNICEF optimize its contribution to the global development agenda.

This evaluative undertaking will strengthen and update the knowledge and evidence base on rural water supply programming in complementarity with other initiatives planned or recently launched by UNICEF HQ, mainly:

- A meta-analysis of UNICEF-supported WASH programme evaluations, examining the performance of and lessons learnt from UNICEF-supported WASH interventions, including water supply interventions, in terms of equity, scalability and sustainability,
- An action-research on innovative management models for rural water supply in Burkina Faso,
- A multi-country study on drinking water quality monitoring,
- A literature review of the impact of water supply intervention on time saved by household members,
- Country case studies on governance and accountability in the management of water systems,
- Review of UNICEF's experience with procuring and managing construction contracts,
- Multi-country review of UNICEF's experience in solar powered water systems in rural areas.

Scope

The scope of the evaluation is defined as follows:

- Donors and stakeholders: all that supported or helped implement UNICEF's water supply programming
- Level of UNICEF programming: country, regional and global/HQ levels.
- Time boundaries: the period of UNICEF's global WASH strategy 2006-2015, with a focus on the period 2010-2015.
- Type of programming context: purely humanitarian interventions are excluded; the focus will be on development and mixed contexts.
- Type of countries: low income countries and lower middle income countries only; excluded are upper middle and high income countries.
- Regions: Eastern and Southern Africa, Western and Central Africa, South Asia, East Asia and the Pacific, Latin America and the Caribbean, and Middle East and North Africa. Countries in Central and Eastern Europe and the Commonwealth of Independent States are mostly upper middle or high income countries and therefore excluded from the evaluation.
- In-country geographical coverage: communities in rural areas and small towns (definition depending on the country context). Drinking water supply programming in cities is not included because this type of intervention is less common in the UNICEF WASH portfolio, is often part of an emergency or post-emergency response, and has its own specificities and challenges. Drinking water supply in schools and health care facilities is also excluded.
- Level of evaluative analysis in-country: national/sector level and local/water supply service level. The evaluation will not include systematic data collection at the water point or household level.
- With regard to the above simplified theory of change: the evaluation will cover outputs A (access to improved water sources), C (management of water points and services) and E (programme design, implementation and M&E improvements), and their related activities 1 (construction/rehabilitation activities), 2 (behaviour change communication related to water hygiene), 5 (capacity building), 6 (strengthening of planning, management models, monitoring and regulation of water supplies), and 7 (policy advocacy, knowledge management). The rationale for focussing the evaluation on these outputs and activities is as follows:
 - The global context with regard to the new sustainable development agenda, the upcoming UNICEF global WASH strategy, and the increased focus on universal access, sustainability and equity, makes increased knowledge and evaluation evidence in these areas particularly needed and timely.
 - Although UNICEF has gained significant experience in designing, planning, implementing and monitoring and evaluating these outputs and activities, there are also known challenges. Knowledge gaps and a lack of evaluation evidence has been identified as a shortcoming within the in-scope areas, within UNICEF, and within the sector globally.
 - The water supply sector globally and UNICEF have recently engaged in new approaches in these areas of work. There is a need to examine them and inform decision about UNICEF's level of engagement and possible adjustments going forward.
- Not considered as priority focus for the evaluation are outputs B and D of the theory of change and related activities: management of water resources, water supply for other purposes than drinking (for example for productive uses), water quality and safety, and climate change adaptation. Other evidence generation activities are currently on-going or planned on these issues and/or they have been less prioritized and only integrated recently into numerous UNICEF WASH programmes.

Evaluation criteria and questions

The evaluation will assess the relevance, effectiveness, efficiency, equity, sustainability and upscaling of UNICEF's drinking water supply interventions. These criteria are mainly inspired by the ones recommended by the OECD DAC for evaluating development assistance. Their definition is provided in the table below. The evaluation will not look at the impacts of the UNICEF's drinking water supply programming because this would imply the use of a complex methodology that lies beyond the scope, budget and timeline for this evaluation.

The table below also presents for each evaluation criterion the key question that the evaluation will seek to answer, as well as the areas of particular interest on which the evaluation will focus. These can be commented on but cannot be modified by the proposers in their technical proposal.

Detailed evaluation questions are listed in annex 2. They represent UNICEF's thinking on the essential questions that need to be investigated in order to answer the key evaluation questions. Proposers are invited to comment on them and propose adjustments, deletions or additional questions as they feel appropriate. While the comments made on the annex will be considered within the technical review, the actual final decisions on the detailed questions will be taken in the inception phase, based on the following principles:

- Importance and priority: the information should be of a high level of importance for the various intended audiences of the evaluation,
- Usefulness and timeliness: the answer to the questions should not be already well known or obvious, additional evidence is needed for decision,
- Answerability and realism: all the questions can be answered using available resources (budget, personnel) and within the appropriate timeframe; data and key informants are available and accessible, and performance standards or benchmarks exist to answer the questions,
- Actionability: the questions will provide information which can lead to recommendations that be acted upon to make improvements.

Criteria	Definition of criteria	Key evaluation question	Areas of particular interest
Relevance	Assesses the extent to which a programme or intervention is well adapted to its context and objectives.	Has UNICEF been a well-positioned, credible partner for national governments and major development agencies, demonstrating alignment and complementarity both globally and within countries?	<ul style="list-style-type: none"> ▪ Position of UNICEF in the field of drinking water supply in rural areas and small towns ▪ Credibility to its partners and to other major players ▪ Adaptation and complementarity of its activities with those of its partners and of the other major players
Effectiveness	Measures the extent to which the interventions (activities) achieved their goals (outputs and outcomes).	To what extent has UNICEF achieved its global and country output and outcome level targets through quality programme implementation and effectively contributed to the water-related MDG?	<ul style="list-style-type: none"> ▪ Achievement of global output and outcome level targets ▪ Contribution to the MDGs ▪ Success of policy advocacy, coordination and knowledge management activities ▪ Quality of programme implementation
Efficiency	Compares the results (outputs and outcomes, both in qualitative and quantitative terms) in relation to the inputs (time, resources, and partnerships).	Has UNICEF maximized the costs-results relationship by systematically integrating efficiency considerations in its activities at global, regional and country level, notably by promoting programmatic integration and partnerships with other WASH and non-WASH initiatives?	<ul style="list-style-type: none"> ▪ Costs-results relationship ▪ Integration of cost-efficient approaches and measures ▪ Internal and external programmatic integration ▪ Strategic partnerships to leverage results
Equity	Determines whether the resources, goods, services and opportunities produced by the water supply programmes are fairly distributed between the deprived, vulnerable or marginalised groups based on their needs and priorities, with the intention of reducing existing inequities.	What has been the level of equity-sensitivity in the design, implementation and M&E of activities conducted at global, regional and country levels?	<ul style="list-style-type: none"> ▪ Geographical targeting at global and country level ▪ Equity-sensitivity of global activities and country programmes ▪ Equity-lens in M&E systems
Sustainability	Means that outputs, outcomes and impacts either have persisted or are likely to persist during a significant time period after external technical and financial support has ended.	Has UNICEF integrated appropriate measures and tools at all levels and achieved a satisfactory level of sustainability in its drinking water supply programming?	<ul style="list-style-type: none"> ▪ Evidence on actual level of sustainability ▪ Sustainability-focus in upstream and downstream activities ▪ Performance of various management models in supporting sustainability of water service delivery ▪ Sustainability-lens in M&E systems
Innovation / Upscaling	Examines the process of a scalable intervention expanding from a limited scale to a larger reach, while retaining effectiveness and efficiency. It can be the result of a spontaneous diffusion in the field, of an intentional replication strategy, or of an institutionalised uptake / mainstreaming.	Has UNICEF been able to identify and test new programmatic approaches and take them to scale if successful?	<ul style="list-style-type: none"> ▪ Private sector participation in water supply operation and management ▪ Real-time monitoring ▪ Sector regulation mechanisms ▪ Innovative financial mechanisms ▪ Innovative cost-effective and sustainable technologies (incl. manual drilling and solar powered water systems)

Design and methodology

The evaluation will be a non-experimental, mixed methods evaluation that will collect, use and analyse evidence at global, national, and country levels. Evidence will primarily come from the documents and data already available in UNICEF, from key informants and from country case studies. Whenever possible, a comparative and external perspective is to be factored into the evaluation for each evaluation criteria, identifying potential variations across WASH country programmes and differences between UNICEF and other development partners.

The evaluation will occur in three phases, which are further described below: 1) inception phase, 2) data collection and analysis phase, and 3) reporting and communication phase. The following offers guidance on the evaluation process and UNICEF's expectations and thinking. It should be commented on, further developed and improved by the proposers in their respective proposals. Alternative approaches can also be proposed. The methodology will be further specified and finalized by the selected evaluation team in collaboration with UNICEF during the inception phase.

1) Phase 1: Inception

- Convene an inception meeting between the evaluation team and UNICEF (Evaluation Office and WASH section) in New York HQ. The meeting will review the contractual provisions and the technical and budget requirements, familiarize the evaluation team with UNICEF's standards, processes, and tools related to global and WASH evaluations, clarify UNICEF's expectations, provide the evaluation team with the available resource and information, and refine the work plan for the next steps.
- Gather all necessary information and carry out a brief desk review of the relevant academic and grey literature to develop an in-depth understanding of the evaluated thematic and of UNICEF's programming in this area. The Evaluation Office and the WASH section will help the evaluation team access the documentation available inside and outside UNICEF, and establish links with the other initiatives recently launched by UNICEF HQ and mentioned above; however, proposers should demonstrate their familiarity with the available literature as part of their proposal.
- Finalise the evaluation questions and matrix; identify the data to be collected during phase 2, including specifying where and how data will be collected, treated and analysed; and make a final selection of the case study countries.
- Develop the data collection tools and interview/survey guide.
- Update and specify the evaluation work plan.
- Draft and submit the inception report, including the evaluation dissemination plan;
- Meet with UNICEF and the Technical Reference Group (TRG) in NYHQ, finalize and receive approval for the inception report before commencing data collection.

2) Phase 2: Data collection and analysis

- The proposers are invited to propose various and innovative methods and tools for data collection, analysis and visualisation.
- There are a number of sets of documentation that already exist and can be directly exploited. UNICEF will guide the evaluation team to any relevant resources it is aware of from UNICEF offices at all levels as well as that available to implementing partners. This documentation can include operational data; donor reports; annual reports; programme results and financial monitoring data; communication materials, studies, surveys and evaluations, WASH bottleneck analysis reports; sustainability check reports; value for money assessments; UNICEF strategy/position papers; sectoral guidance and presentations; household surveys conducted by national governments and global statistics produced by international organizations; other documents from academic literature.
- Institutional memory is also lodged with individuals who can be reached for in-person interviews and focus groups, teleconferences, online surveys and discussion platforms and other data collection methods. UNICEF can provide a list of key informants and institutions, based on the criteria the evaluation team will be invited to suggest. Within UNICEF and across partner organizations, the great majority of those that have developed and implemented water supply programmes are still present. Implementing partners include national government agencies, international NGOs, and civil society organizations. Service providers typically include construction companies, engineering firms, technical and research institutions, consultants. Global partners include: RWSN, AKVO, SIWI and Practica. Experts in other development

organizations or research centres can be additional, valuable source of information and evidence. In short, the evaluation team will have a well-defined sampling universe.

- Visits to 8 UNICEF country offices will inform in-depth country case studies aiming to provide more specific evidence and answers to the national/sector level as well as service/program level evaluation questions as outlined in annex 2. At this stage, it is envisaged to visit 2 countries in the Eastern and Southern Africa region, 2 countries in Western and Central Africa, 1 country in the Middle East and North Africa, 1 country in South Asia, 1 country in Eastern Asia and the Pacific region, 1 country in Latin America and the Caribbean. The preliminary list of countries is: Rwanda, Mozambique, Guinea Conakry, Mauritania, Sudan, Sri Lanka, Philippines, and Bolivia. Proposers are asked to develop their financial proposals on this basis.
- Regarding the country visits, a strategy for purposive vs. randomised sampling and the selection criteria will be proposed by the proposers as part of their technical proposal. The proposal should detail as well the duration of the country visits, the number of evaluation team members participating, and the training/supervision/support/quality assurance components of the work. Field observations and interviews by the evaluation team's international experts or local consultants are encouraged in order to get direct exposure to the outputs of UNICEF's drinking water supply programming and have the perspective of the various categories of direct and indirect beneficiaries. However, the evaluation team is not expected to carry out systematic primary data collection in the field such as large-scale water point and household surveys. Before leaving the countries, participants from the evaluation team will organise a meeting to present the outcome of their visit, their preliminary findings, and the way forward with all relevant stakeholders.
- Appropriate methods for data collection and analysis should be based on international standards and best practice. Accuracy of data, disaggregation of data with an equity and comparative lens, proper identification and mitigation of bias, and data triangulation will be of crucial importance.
- Robust and objective methods for measuring, scoring and visualising performance need to be used.
- This phase will end with the drafting of the interim report and the meeting with UNICEF HQ and the TRG.

3) Phase 3: Reporting and communication of results

- Draft the country case study reports and the global evaluation report;
- Draft the PowerPoint presentation which summarises the content of the reports;
- Draft an evaluation summary (or evaluation brief) for a UNICEF WASH and a non-UNICEF, non-WASH audience;
- The evaluation team should expect to receive and integrate around 3 rounds of comments on the draft evaluation reports before the final report is approved by UNICEF;
- 2 meetings will be held in NYHQ during this phase, 1 meeting during the report review process with the aim to improve the quality of the report and discuss the preliminary findings and recommendations, and another meeting/event after the approval of the final report, with a larger participation of UNICEF and an global online broadcast in order to disseminate and encourage the utilization of the evaluation findings.

Deliverables

Key deliverables are:

1. The inception report (including the evaluation dissemination plan) whose indicative content is outlined [here](#),
2. The final global evaluation report responding to the evaluation objectives and questions; its indicative structure is outlined [here](#),
3. A specific country report with a similar structure for each of the case study country included in the evaluation,
4. A final PowerPoint presentation which summarises the content of the evaluation report,
5. A 4 to 8 page evaluation summary (distinct from the executive summary in the evaluation report) which is intended for a broader, non-WASH and non-UNICEF audience.

Other interim products are:

6. Minutes of the key meetings in UNICEF NYHQ and with the TRG,
7. Presentation materials for the meetings with the Evaluation Office and the TRG. These may include PowerPoint summaries of work progress and conclusions to that point.

All minutes and reports will be in Microsoft Office Word format while all presentations will be in Microsoft Office PowerPoint. No PDF or hard copy will be submitted by the evaluation team. No page limit is set but all deliverables should be of the necessary length but not longer, and should be reader friendly. The use of bullet points, tables, graphs and other visualization methods is encouraged. The use of annexes is required for the evaluation tools, for all secondary information that is not directly related to the evaluation findings, as well as for any long technical documentation intended to a specific audience. PowerPoint presentations must include notes below each slide to make them easy to understand for people who could not attend the meeting. All documentation must be in professional level standard English and in compliance with [UNICEF Style Book 2015](#) and [UNICEF Brand Toolkit 2012](#).

Work plan

Activity	Deliverable	Timeline*
<i>Phase 1: Inception</i>		
Activity 1: Inception meeting in UNICEF NYHQ	Meeting minutes	Weeks 1-2
Activity 2: Initial data collection and desk review; finalisation of the evaluation matrix, methodology and work plan; development of the data collection material; drafting of the inception report	Draft inception report	Weeks 3-7
Activity 3: Meeting in UNICEF NYHQ; approval of the final inception report	Final inception report	Weeks 8-10
<i>Phase 2: Data collection and analysis</i>		
Activity 4: Data collection at global level	-	Weeks 11-14
Activity 5: Country visits	-	Weeks 15-22
Activity 6: Data analysis; drafting of the interim report	Draft interim report	Weeks 23-25
Activity 7: Meeting in UNICEF NYHQ; approval of the final version of the interim report	Meeting minutes Final interim report	Weeks 26-27
<i>Phase 3: Reporting and communication of results</i>		
Activity 8: Drafting of the country case study reports, of the global evaluation report, of the summary PowerPoint, of the evaluation summary	Draft versions	Weeks 28-32

Activity 9: Meeting in UNICEF NYHQ; approval of the final deliverables	Meeting minutes Final version of all deliverables	Weeks 33-38
Activity 10: Final dissemination event in NYHQ	Meeting minutes	Weeks 39-40

* Indicative schedule from the contract signature. Proposers are free to propose a different work plan and adjust the budget template provided in annex 9 accordingly. Earlier delivery while maintaining quality standards will be favourably considered. The evaluation is expected to start early May 2016. It is required that the draft evaluation report is completed by December 2016.

Management arrangements and quality assurance

The evaluation team will be responsible for conducting the evaluation as described in these terms of reference and in their proposal. The evaluation team leader, more specifically, will be in charge of the following:

- Oversight and management of team members,
- Managing communications with UNICEF,
- Ensuring adequate workspace, work equipment, accommodation, international and in-country travel, food, security and insurance arrangement to all evaluation team members and other relevant service providers or sub-contractors,
- Orienting and training of team members, and local consultants where applicable,
- Meeting deadlines and ensuring the quality of all evaluation products and deliverables,
- Leading the authorship of the final report,
- Designing and facilitating of the final workshop.

The evaluation will be managed by the Evaluation Office (EO), UNICEF New York HQ. As evaluation manager, the EO's Evaluation Specialist responsible for WASH will:

- Manage all contractual aspects,
- Organise and facilitate the inception, mid-term and final meetings between the evaluation team and the Technical Reference Group,
- Organise and facilitate conference calls with the evaluation team every two weeks,
- Facilitate communications between the evaluation team, the various stakeholders in HQ as well as in the regional and country offices, and the Technical Reference Group (TRG) described below,
- Provide technical support to the evaluation team,
- Provide a first quality review of evaluation tools and documents presented by the evaluation team before they are submitted to the TRG,
- Approving submitted work for payment upon verification that the work satisfies UNICEF evaluation standards and guidelines, which are closely linked to those of the UN Evaluation Group (UNEG)

The role of the Technical Reference Group that will be constituted is to ensure that the evaluation benefits from the highest level of technical knowledge and of a diversity of viewpoints. The members of the TRG will:

- Support the selection process of the evaluation team,
- Participate in the key meetings (remotely or in-person) with the evaluation team during the inception phase and as the evaluation nears completion,
- Facilitate the communication and coordination between their respective section/division/areas of influence and the evaluation team, and assist the evaluation team in accessing the relevant documentation
- [Optionally] participate in a country mission to facilitate the work of the evaluation team
- Review all key deliverables and provide feedback that can be formally acted upon by the evaluation team,
- Advise on the management response to the evaluation,
- Develop a communication plan for the dissemination of the evaluation results and contribute to its implementation.

The TRG will be composed of:

- 1 EO's Senior Evaluation Adviser,
- 1 Senior adviser from the Water team within the WASH section in NYHQ,
- 1 WASH knowledge management expert within the WASH section in NYHQ,
- 1 WASH monitoring expert from the UNICEF JMP team,

- 1 UNICEF Regional WASH Adviser,
- 1 UNICEF Regional Evaluation Adviser,
- 1 UNICEF WASH specialist based in a country office,
- 1 non-UNICEF academician with expertise in the area of public health and/or WASH research,
- 1 non-UNICEF water supply expert.

The role of the WASH and Evaluation Advisors at HQ and Regional Office level will be the following:

- Provide the evaluation team with all information, resource documents and contacts necessary for the evaluation,
- Facilitate the communication and coordination between the evaluation team and the UNICEF country offices that will be contacted or visited by the evaluation team,
- Provide comments on the key deliverables,
- Develop a management response to the evaluation.

The role of the WASH chiefs supported by the Monitoring and Evaluation specialists at country office level, especially in those countries that will be visited by the evaluation team, will be the following:

- Designate a focal point for supporting the evaluation,
- Provide the evaluation team with all information, resource documents and contacts necessary for the evaluation,
- Facilitate the communication and coordination between the evaluation team and UNICEF's implementing partners in-country,
- Organise / facilitate logistics, security, meetings and workshops,
- Provide comments on the key deliverables to minimize factual errors and omissions.

The Evaluation Office, the TRG, and the other stakeholders at HQ, regional and country office levels will provide quality assurance on all evaluation tools and documents based on the [UNEG's](#) and [UNICEF's](#) norms, standards, processes and tools and as well as on other best practices related to WASH programme evaluations. The evaluation team will be familiarised with these and is expected to observe them during the entire evaluation process.

Once approved, the final evaluation report will be submitted to the UNICEF's global evaluation reports oversight system ([GEROS](#)) for an independent quality review. The report and the review will be made available on the UNICEF Internet website, in compliance with the commitment for transparency of evaluation findings.

Risks and ethical issues

It is impossible to predict all the challenges and risks that might arise. Those that are considered most likely to appear are the following:

- The perception that the evaluation is an audit- or inspection-like compliance check. This could limit buy-in and perceived utility, engendering resistance in engaging in the evaluative exercise and ultimately a lack of uptake of findings and recommendations. A determined effort will be made from the outset to adequately communicate the evaluation's objectives, purpose and scope, and to underline the necessity of everyone's contributing to organizational learning.
- The timing for this evaluation that is expected to be completed by the end of 2016. This will require an adequate methodology and time-efficient work plan from the evaluation team, and quick support and feedback from UNICEF and the other evaluation stakeholders, including the TRG.
- The complexity of the water supply interventions to be evaluated and the high level of technical and operational knowledge from UNICEF will require an adequate level of effort and expertise on the part of the evaluation team in order to deliver an evaluation evidence and report that will meet UNICEF's expectations. This will also require intense communication and effective quality assurance throughout the evaluation processes.

Overall, the evaluability of UNICEF's drinking water supply programming in the considered period and geographical areas is considered to be good. Most documents and quantitative and qualitative data are expected to be available in most UNICEF offices at HQ, regional and country levels, with a higher probability for the most recent years. Threats in terms of availability of data and key informants due for example to staff turnover, varying levels of institutional memory and incomplete M&E systems, can be partly overcome with an adequate selection of countries for the case studies and specific data collection and analysis methods. The involvement of UNICEF staff members, of the TRG and other resource

persons will help the evaluation team have easier access to the relevant sources of information and produce high quality evaluation evidence.

In cases where data are not readily available, the evaluation team is invited to generate new evidence through the country case studies, to make best use of the grey literature within UNICEF or in the broader knowledge base, or to make credible, substantiated estimations. The proposers are invited to further analyse aspects of methodological and organisational complexity that might affect the evaluation in general and make it difficult to answer some of the questions in particular, and to explain how they will address them.

The evaluation will not require an independent ethical review. However, proposers are invited to identify anticipated ethical issues throughout the evaluation project as well as the measures and methods adopted to mitigate them. A particular attention shall be paid to the avoidance of harm and stress to evaluation participants, especially children and other vulnerable populations; obtaining informed consent / verbal assent from them (except from UNICEF staff, who will be directed to participate if needed); absence of benefit or compensation offered to them; protection of their privacy; confidentiality and anonymity of data collected; security matters and protection protocols both for evaluation team members and key informants; and on training of local consultants in ethical issues and on methodological skills. Relevant guidance from the United Nations Evaluation Group (UNEG) and UNICEF are available online: [UNEG Ethical guidelines for evaluations](#), [UNEG Code of conduct for Evaluation in the UN System](#), [UNICEF Procedure for Ethical Standards](#).

Evaluation team

The evaluation will be carried out by an institution. Various institutional arrangements are encouraged to apply: proposers might be academic institutions, research centres, consultancy firms, or a consortium uniting several institutions.

The number and profile of the evaluation team members will be proposed by the proposers in order that the team size, experience, qualifications, references, mix and complementarity of expertise, availability and level of effort is convincing that the proposed work plan can be met. The following is suggested as a guidance:

1. The evaluation team—which must have a designated leader--should include the following competencies (experts with multi-skill sets can fill more than one competency):

Required:

- Exceptional technical expertise in high-level and high-quality programme and multi-country evaluations and studies;
- Strong qualifications in statistics and data analysis;
- Strong expertise and experience in designing and implementing development programmes in rural areas and small towns in low and lower middle income countries, with a distinct advantage for team members that have acquired this experience in Sub-Saharan Africa and Asia;
- Excellent qualification and experience in water supply, service delivery models, maintenance and supply chains issues, and water supply economics;
- Experience in issues related to water sector regulation, upstream work and policy advocacy;
- In-depth knowledge of the global water sector and global development context and agenda;
- Familiarity with equity and gender issues.
- Fluency in English and French.

Considered an advantage:

- Experience in using non-traditional and innovative evaluation methods;
 - Qualifications in engineering, hydrology/hydrogeology/hydraulics, and social sciences;
 - Good knowledge of UNICEF programming strategies, field work, procedures and organizational culture; note: prior involvement of team members with UNICEF should be declared in the technical proposal in order to work around any possible conflicts of interest;
 - Knowledge of additional sectors involved in water supply programming (Health, Nutrition, Communication for Development, Education...);
2. The number of persons and the level of effort of the respective senior, intermediate level and junior experts should be appropriate and ensure a high quality and timely evaluation process;

3. Cases where evaluation teams members have previously worked together on similar or different assignments will be considered a major advantage;
4. A strong commitment to delivering timely and high-quality results--i.e. credible evaluations that are effectively use--is necessary;
5. A gender balance in the evaluation team is desirable.

Content of the proposers' technical proposal

The written technical proposal will be in PDF format and include the following elements as a minimum requirement:

- A. Request for proposals for services form (provided above)
- B. Presentation of the bidding institution or institutions if a consortium, including:
 - Name of the institution
 - Date and country of registration/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
 - In case of a consortium of institutions, the above listed elements shall be provided for each consortium members in addition to the signed consortium agreement.
 - In case of a consortium, one only must be identified as the organization lead in dealing with UNICEF
- C. Narrative description of the bidding institution's experience and capacity in the following areas:
 - Programme evaluations
 - Multi-country evaluations and studies
 - WASH assignments in developing countries in general, and related to water supply in rural areas and small towns in particular
 - Previous and current assignments
 - Capacities, including the ability (if a part of the proposed methodology) to locate and manage local partners in the 8 countries proposed as case studies in the Terms of Reference (ToR).
- D. Relevant references of the proposer (past and on-going assignments) in the past 7 years (use template provided in annex 3). UNICEF may contact references persons for feedback on services provided by the proposers.
- E. Samples or links to samples of previous relevant work listed as reference of the proposer (at least 3), on which the proposed key personnel directly and actively contributed or authored.
- F. Methodology. It should minimize repeating what is stated in the ToR. There is no minimum or maximum length. If in doubt, ensure sufficient detail. Required content is as follows:
 - Understanding of and comments on the context and rationale for the evaluation, and on UNICEF's drinking water supply programming in rural areas and small towns (notably based on proposers' knowledge, experience and familiarity with the available literature)
 - Understanding of and comments on the evaluation scope
 - Comments on the evaluation criteria, key evaluation questions, and areas of particular interest. Comments and proposed adjustments to the detailed list of detailed evaluation questions provided in annex 2.
 - Understanding of, comments on, and in-depth analysis of the aspects of complexity, potential challenges, risks and ethical issues related to this evaluation exercise
 - Proposed evaluation design and methodology, with a sufficient level of detail on each phase and activity of the evaluation process, including on data to be collected to answer the detailed evaluation questions, data collection and analysis methods, the sampling methodology and criteria to select the final case study countries, as well as the duration of the country visits and the number of evaluation team members participating. A particular attention should be paid to the issues of: stakeholder participation; data disaggregation, accuracy and triangulation; approaches to data treatment and analysis; and quality assurance.

- Comments and additional suggestions on the deliverables proposed in the ToR, if any
- Comments and additional suggestions on the management arrangements described in the ToR, if any
- Internal management arrangements and quality assurance procedures
- The presence of any local researchers or others not normally full time members of the bidding institution should be indicated, with a description of how they will be engaged, trained, supported and supervised.

G. Work plan, which will include as a minimum requirement the following:

- General work plan based on the one proposed in the ToR, with comments and proposed adjustments, if any
- Detailed timetable by activity (use template provided in annex 4). It must be consistent with the general work plan and the financial proposal.

Note: for each of the country case study, up to one person-month should be included for the writing of the country case study report after the completion of the field visit.

H. Evaluation team:

- Summary presentation of proposed experts (use template provided in annex 5)
- Description of support staff (number and profile of research and administrative assistants etc.)
- Level of effort of proposed experts by activity (use template provided in annex 6). It must be consistent with the financial proposal.
- CV of each expert proposed to carry out the evaluation (use template provided in annex 7)

When consulting the referenced annexes, carefully note the accompanying instructions. Several but not all annexes clearly state that proposers may use their own formats for providing the information as long as everything requested is present; proposers without their own existing templates are welcome to use the annex templates.

Content of the financial proposal

The financial proposal must be fully separated from the technical proposal. The financial proposal will be submitted in PDF format. Costs will be formulated in US Dollars and free of all taxes. It will include the following elements as a minimum requirement:

A. Overall price proposal

B. Budget by phase and by cost category (use template provided in annex 9)

Please refer to the Request for Proposals for Services document, chapter B, section 3, for more details.

Payment schedule

Unless the proposers propose an alternative payment schedule, payments will be as follows:

- Approved inception report: 30% of the contractual amount
- Approved interim report: 45%
- Approved final report and final workshop: 25%

As is indicated in the RFPS pages, travel costs can be reimbursed periodically independent of the payments linked to deliverables.

ANNEX 2 – PRELIMINARY LIST OF DETAILED EVALUATION QUESTIONS

The following, preliminary list of detailed evaluation questions is organised by evaluation criterion, and sub-classified by level of analysis: global/regional level, national/sector level in country, and service/programme level. This list includes both classical/general evaluation questions on water supply programming and more specific questions focussing on the particular areas of interest presented in the “Evaluation criteria and question” section above. Proposers are asked to comment on this list of questions in their technical proposal, and to adjust or complement it as appropriate.

Level of analysis	Detailed evaluation questions by criterion
<i>Relevance</i>	
Key question: Has UNICEF been a well-positioned, credible partner for national governments and major development agencies, demonstrating alignment and complementarity both globally and within countries?	
Global / HQ / regional level	<ul style="list-style-type: none"> ▪ At global and regional levels, to what extent and why (or why not) has UNICEF been a preferred and credible partner for national governments, donors and key implementing agencies in the area of drinking water supply in rural areas and small towns? ▪ To what extent has UNICEF engaged, coordinated and aligned with other key development agencies at the global and regional levels? Has UNICEF's drinking water supply programming globally (both downstream and upstream work) made best use of the organization's comparative advantages? To what extent has UNICEF's drinking water supply programming added value to what national governments and other development partners are doing globally and regionally? How can UNICEF further maximize its comparative advantages and added-value going forward in relation to the new sustainability development goals and means of implementation? ▪ Are there new developments, recent innovations, unexplored activities or specific niches that UNICEF has neglected and in which it should invest?
National / sector level	<ul style="list-style-type: none"> ▪ At country level, to what extent and why (or why not) has UNICEF been a preferred and credible partner for national governments, donors and key implementing agencies in the area of drinking water supply in rural areas and small towns? ▪ Has UNICEF's drinking water supply programming (both downstream and upstream work) made best use of the organization's comparative advantages within the various types of country where it operates? To what extent has UNICEF engaged, coordinated and aligned at country level with other key development agencies? To what extent has UNICEF's drinking water supply programming added value to what national governments and other development partners are doing in-country? ▪ Have UNICEF country programmes adequately aligned with national policies, strategies and principles related to drinking water supply in rural areas and small towns? ▪ Have they supported national ownership?
Service / program level	<ul style="list-style-type: none"> ▪ Have UNICEF's drinking water supply programmes in-country a complete, relevant, coherent and robust theory of change and logical framework (including SMART indicators at activity, output, outcome and impact levels, defined baselines and targets, means of verification, and an analysis of hypotheses and risks)?
<i>Effectiveness</i>	
Key question: To what extent has UNICEF achieved its global and country output and outcome level targets through quality programme implementation and effectively contributed to the water-related MDG?	

<p>Global / HQ / regional level</p>	<ul style="list-style-type: none"> ▪ What was the direct contribution of UNICEF to the rural water supply related MDG target during the evaluated period? ▪ Have global output and outcome level targets related to drinking water supply in UNICEF Strategic Plan, in the above proposed theory of change, and in other relevant internal and external commitments been reached? Are there any significant variations by region, type of country, and type of water supply intervention (various upstream and downstream activities)? Are some countries, contexts, types of interventions and implementation modalities more conducive than others? ▪ What is the level of credibility/reliability and accuracy of results that have been reported through corporate M&E systems? ▪ Have policy advocacy/influence, leadership, networking, coordination, leveraging, capacity building, field support and knowledge management activities at HQ and regional levels achieved their intended results? ▪ What have been the enabling/success factors and constraints/bottlenecks related to the achievement of outputs and outcomes of the above-listed activities? How could barriers be addressed? How could UNICEF further enhance its role at the global and regional levels? Are there areas that require particular guidance and support to enhance country-level leadership, advocacy and programme response?
<p>National / sector level</p>	<ul style="list-style-type: none"> ▪ To what extent have water supply programmes at national and service levels attained their intended results (output and outcome level targets set in the country programmes and in commitments to donors)? ▪ How effectively and adequately has UNICEF engaged with government partners? (notably with reference to analysis of bottlenecks, procurement processes, capacity strengthening, etc.) ▪ Have policy advocacy, leadership, networking, coordination, leveraging, capacity building, and knowledge management activities at country level achieved their intended outcomes? How could UNICEF further enhance its leadership, advocacy and leveraging role at the country level? ▪ What is the level of credibility/reliability, functionality and accuracy of results that have been reported through country- or programme-level M&E systems? ▪ What have been the enabling/success factors and constraints/bottlenecks explaining the achievement or non-achievement of intended results? How could success factors be built on and barriers be addressed?
<p>Service / program level</p>	<ul style="list-style-type: none"> ▪ What has been the level of quality in programmes' implementation, especially with regard to: <ul style="list-style-type: none"> – Evidence of programme responsiveness: Adequate assessment of beneficiaries' and stakeholders' needs, priorities, capacities and willingness to engage and contribute, and their effective incorporation in programme design and implementation in the field; – Existence and use of appropriate standards, guidelines/approaches, implementation manuals and tools for hardware (construction and rehabilitation works, supplies) and software (behaviour change and capacity building activities) and upstream programme components, and the level of synergy between these components; – Appropriate participatory approach: Adequate modalities and level of involvement/contribution of beneficiaries and other stakeholders (government counterparts, implementing partners, service providers) in the design, implementation and management/coordination of both hardware and software programme components; – Partnership arrangements and capacity building of implementing partners; – Adequacy of field supervision and quality control mechanisms of hardware and software interventions?
<p>Efficiency</p>	
<p>Key question: Has UNICEF maximized the costs-results relationship by systematically integrating efficiency considerations in its activities at global, regional and country level, notably by promoting programmatic integration and partnerships with other WASH and non-WASH initiatives?</p>	
<p>Global / HQ / regional level</p>	<ul style="list-style-type: none"> ▪ What are the global and regional trends in budget, spending, and reported results overall over time, by type of intervention in rural areas and small towns, by region and by type of countries? Do cross-region and cross-country comparisons bring about interesting insights as to the efficiency of UNICEF programming? ▪ Has the level of internal and external integration at the global/regional level (with other WASH and non-WASH initiatives, in and outside UNICEF) been satisfactory? ▪ Have strategic partnerships been appropriately established at global/regional level with other WASH and non-WASH initiatives, in and outside UNICEF, in order to leverage results? ▪ How could integration and partnerships (at both upstream and downstream levels) be further strengthened?

National / sector level	<ul style="list-style-type: none"> What are the trends in budget, spending, and reported results at the country/programme level overall, over time, by type of intervention, by intervention area and by (type of) implementing partner? Do comparisons over time, between intervention areas and implementing partners bring about interesting insights as to the efficiency of UNICEF programmes? What have been the factors underlying costs, performance and quality that can be acted upon by UNICEF to maximize efficiency/value-for-money? Has UNICEF been appropriately cost-sensitive in its programming? To what extent have UNICEF programmes design and implementation incorporated appropriate features to maximize the costs-results relationship, including procurement strategy with government partners? At country level and in the field, has programmatic integration of drinking water supply programming been adequate in order to maximize results and rationalise operational costs? Has the level of integration of and coherence between the various types of water supply interventions and with other UNICEF WASH interventions (such as CLTS, hygiene promotion and WASH in schools and health centres) been satisfactory? (improved access vs. safety vs. sustainable management vs. water resource management etc.) Has the level of integration with other non-WASH programmes (such as Education, Health, Nutrition, Communication for Development, and Protection) been satisfactory?
Service / program level	<ul style="list-style-type: none"> Have results been achieved on time? When significant delays have been experienced, what were the most common reasons?
Equity	
Key question: What has been the level of equity-sensitivity in the design, implementation and M&E of activities conducted at global, regional and country levels?	
Global / HQ / regional level	<ul style="list-style-type: none"> Globally, has drinking water supply programming (both upstream and downstream) sufficiently focussed on regions and countries that were the most in need in terms of sector context, stakeholders' capacities and water coverage? At HQ and regional levels, to what extent have policy advocacy, leadership, networking, coordination, leveraging, capacity building, field support, and knowledge management activities integrated an equity lens? Have corporate M&E systems and related guidelines integrated an equity lens?
National / sector level	<ul style="list-style-type: none"> Have UNICEF's drinking water supply programmes in-country geographically targeted the poorest and most deprived areas, the remote and hard-to-reach populations (including pastoralists), populations at risk of climate change, and ethnic and religious minorities? Has upstream work similarly adopted an equity focus? Have M&E systems at sector or programme level adopted and effectively used an adequate equity lens in key indicators, data collection, analysis and reporting?
Service / program level	<ul style="list-style-type: none"> What has been the level of equity-sensitivity in programmes' design and implementation, especially with regard to: <ul style="list-style-type: none"> The poor and most deprived: Level of engagement at an early stage, modalities of financial or material contribution to the investment, special pro-poor arrangements in tariffs and cost-recovery mechanisms, involvement in decisions related to the management of the water service, mechanisms for ensuring access to data and information; Women and girls: Involvement at an early stage, including in the choice and design of technology options, in decisions related to siting and post-construction management of the water infrastructure, and in the service management or oversight body; Elderly and disable people: involvement in the technology choice and design, siting, contribution to the initial investment and the cost recovery arrangement, and participation in the management structure?
Sustainability	
Key questions: Has UNICEF integrated appropriate measures and tools at all levels and achieved a satisfactory level of sustainability in its drinking water supply programming? Is there evidence that some service delivery models and interventions are more successful at supporting sustainability of the water service?	
Global / HQ / regional level	<ul style="list-style-type: none"> At HQ and regional levels, to what extent have leadership / networking / coordination, advocacy to donors / governments / regional and country offices, leveraging, capacity building, field support and knowledge management activities encouraged an increased focus of water supply programming on sustainability? Have corporate planning, monitoring and evaluation systems and related guidelines adequately integrated a sustainability lens?

<p>National / sector level</p>	<ul style="list-style-type: none"> ▪ At the national/sector level, to what extent has UNICEF's upstream work adopted a focus on sustainability, i.e. by reflecting on and promoting sustainable service delivery models? <ul style="list-style-type: none"> – Arrangements for water service operation/management; – Arrangements for maintenance including spare parts supply chains; – Arrangements for sector policies as well as regulation, governance, M&E and accountability; – Engagement with the private sector (cross-cutting issue). ▪ Among the factors and interventions known to be sustainability-supportive, are there some that have been under-investigated by UNICEF, and if yes, how could UNICEF further engage in them?
<p>Service / program level</p>	<ul style="list-style-type: none"> ▪ Are sustainability-enabling principles and practices consistently mainstreamed into UNICEF's drinking water supply programmes in the field? Has UNICEF invested appropriate efforts in ensuring sustainable results, particularly with regard to the service delivery model (whatever this model was): <ul style="list-style-type: none"> – Adequate and well-thought choice of the most appropriate model given local and national conditions; – Clear and appropriate legal framework and distribution of roles and responsibilities; – Stakeholders' ownership and capacity building; – Business model / financial viability (taking capital and life-cycle costs into consideration); – Post-implementation reinforcement and incentives measures, monitoring, and follow-up support? ▪ What is the existing evidence related to the actual level of sustainability of UNICEF's drinking water supply programming over time (after completion of the field intervention)? ▪ Have UNICEF's support in water point maintenance systems, spare parts supply chains, governance and accountability arrangements, real-time monitoring and regulation mechanisms contributed to increase sustainability in the functionality of water infrastructure at the service level? ▪ Is there evidence that some management arrangements (notably public management, village-level operation and maintenance or community management, and private sector participation or partnership) are more successful at supporting sustainability of the water service, and if so in which context?
<p><i>Innovation / Upscaling</i></p>	
<p>Key question: Has UNICEF been able to identify and test new programmatic approaches and take them to scale if successful?</p>	
<p>Global / HQ / regional level</p>	<ul style="list-style-type: none"> ▪ Are some of the recent developments in the water supply sector or in UNICEF's drinking water supply programming scalable and should the organization engage more in these areas? If yes, under which conditions and how? In particular: <ul style="list-style-type: none"> – Private sector participation in rural and small town water supply management – Real-time monitoring – Sector regulation mechanisms – Innovative technologies (including manual drilling and solar powered water systems) – Financial mechanisms/tools such as result-based financing, microcredit, revolving funds, cross-subsidies, etc.

ANNEX 3 – TEMPLATE FOR THE PRESENTATION OF PROPOSER’S REFERENCES

If the proposer already has its own template, it may simply use that template in the submission as long as all the requested information is present. This is the minimum required information for each reference. Additional information beyond the minimum may be provided at proposers’ discretion.

Brief description of the assignment (Title, objective and scope):		Country(ies) of assignment:
Location (region, district, commune):		Client’s name, address, and valid email and phone number:
Start date (month/year):	End date (month/year):	Duration of the assignment (in months):
Approximate contract value (in USD):		Key experts mobilised for the assignment (number, names):

ANNEX 4 – TEMPLATE FOR THE DETAILED TIMETABLE BY ACTIVITY

The below timetable is that indicated in the Terms of Reference. Proposers may at their discretion revise it with their best estimate based on their proposed methodology. It is subject to revisions during the inception phase.

Activity	Duration (weeks)	Weeks (starting from the contract signature date)																																									
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40		
Phase 1																																											
Activity 1: Inception meeting in NYHQ	2	x	x																																								
Activity 2: Inception work, draft inception report	5			x	x	x	x	x																																			
Activity 3: Meeting in NYHQ; final inception report	3							x	x	x																																	
Phase 2																																											
Activity 4: Data collection at global level	4											x	x	x	x																												
Activity 5: Case country visits	8														x	x	x	x	x	x	x	x																					
Activity 6: Data analysis; draft interim report	3																								x	x	x																
Activity 7: Meeting in NYHQ; final interim report	2																																										
Phase 3																																											
Activity 8: Draft evaluation deliverables	5																																										
Activity 9: Meeting in NYHQ; final deliverables	6																																										
Activity 10: Dissemination event in NYHQ	2																																										

ANNEX 5 – TEMPLATE FOR THE SUMMARY PRESENTATION OF PROPOSED KEY TECHNICAL EXPERTS

This is not an optional template and must be completed and submitted as part of the proposal.

Function	Name	Age	Number of year of relevant professional experience	Specific role
<i>Technical experts – international, senior *</i>				
Team leader				
Water supply specialist				
Etc.				
<i>Technical experts – international, intermediate</i>				
<i>Technical experts – international, junior</i>				

* Status:

- International expert (as opposed to local consultants e.g. those who might be recruited for the country case studies)

Level of seniority:

- Senior = more than 15 years of relevant professional experience
- Intermediate = between 6 and 15 years
- Junior = 5 years or less

**ANNEX 6 – TEMPLATE FOR THE LEVEL OF EFFORT OF ALL PERSONNEL BY
ACTIVITY**

This is not an optional template and must be completed and submitted as part of the proposal. Proposers are asked to list in this table all personnel that will be mobilised for the evaluation, not only the key technical international experts. This includes evaluation/research assistants, local consultants, etc. For local consultants, please indicate their name if known, their function and level of effort by activity. However note that as the final list of case study countries will be determined during the inception phase, the name of local consultants is not mandatory at this stage.

Experts*	Function	Activities										Total person/ days	
		1	2	3	4	5	6	7	8	9	10		
Name 1	Title / function												
Name 2	Title / function												
Name 3	Title / function												
Name 4	Title / function												
Name 5	Title / function												
Name 6	Title / function												
Name 7	Etc.												
Etc.
Total number of person/days													

ANNEX 7 – TEMPLATE FOR THE CVs

If the proposer already has its own template, it may simply use that template in the submission as long as all the requested information is present.

First name and Family name: _____

Function for the assignment / specific expertise: _____

Address, email and phone: _____

Age: _____

Nationality: _____

Number of years of relevant professional experience: _____

Number of years as employee of the bidding institution: _____

Membership in professional networks: _____

Short biography (1 to 2 paragraphs) highlighting the specificities or comparative advantage of each proposed CV: _____

Education and subsequent trainings (starting from the most recent):

Years (start/end) – Place of education (Country and Name of institution) – Graduation/Diploma obtained – Major/Focus area – Merit/honours

Years (start/end) – Place of education (Country and Name of institution) – Graduation/Diploma obtained – Major/Focus area – Merit/honours

Professional experience (including on-going and planned assignments, starting from the most recent):

Years (start/end) – Name of employer – Country and city – Function

Main relevant assignments/achievements 1 – Up-to-date contact of client or reference person – Duration of the assignment/activity – Thematic and geographic scope of the assignment – Specific role played in the assignment/activity

Main relevant assignments/achievements 2 – Up-to-date contact of client or reference person – Duration of the assignment/activity – Thematic and geographic scope of the assignment – Specific role played in the assignment/activity

Work languages and proficiency: _____

Publications as author or contributor: _____

Date and signature:

ANNEX 8 – TEMPLATE FOR THE STATEMENT OF AVAILABILITY OF SENIOR AND INTERMEDIATE EXPERTS

This annex does not need to be submitted with the technical proposal, but will be requested from the selected institution before it is awarded the contract.

Understanding UNICEF’s concern that the senior and intermediate level experts listed in the proposal actually be available for the assignment and not also be already committed to other responsibilities and activities incompatible with this assignment, the Proposer commits that if awarded the Contract, to the extent within the Proposer’s control, the named senior and intermediate experts will be available for the period and time necessary to fulfil their responsibilities. In the event that the proposed experts are not available, they will be replaced by other experts with similar experience and qualifications, after approval by UNICEF.

Name of expert 1:
Title / Function:
Signature:
Date:

Name of expert 2:
Title / Function:
Signature:
Date:

Name of expert 3:
Title / Function:
Signature:
Date:

Name of expert 4:
Title / Function:
Signature:
Date:

ANNEX 9 – TEMPLATE FOR THE BUDGET BY PHASE AND BY COST CATEGORY

When utilizing this annex, make sure to adhere to the full directions in the RFPS section 3 (page 7) instructions for the financial proposal.

	Unit	Quantity	Unit cost / rate	Total cost in USD
Phase 1				
Fees: (subtotal)				
<i>International, senior experts</i>				
Expert 1 (name)				
Expert 2 (name)				
Etc.				
<i>International, intermediate experts</i>				
Expert 3 (name)				
Expert 4 (name)				
Etc.				
<i>International, junior experts</i>				
Expert 5 (name)				
<i>Local, senior experts</i>				
Expert 6 (name)				
<i>Other local experts</i>				
Expert 7 (name)				
<i>Other personnel</i>				
Personnel 8				
Travels: (subtotal)				
<i>International flights</i>				
<i>Local transportation</i>				
<i>Other travel expenses (visa...)</i>				
<i>Subsistence allowance (DSA)</i>				
Other expenses: (subtotal)				
<i>Telecommunications</i>				
<i>Workshop expenses</i>				
<i>Translations, editing, printing...</i>				
<i>Others (to be described)</i>				
Phase 2				
Fees: (subtotal)				
<i>International, senior experts</i>				
Expert 1 (name)				
Expert 2 (name)				
Etc.				
<i>International, intermediate experts</i>				
Expert 3 (name)				
Expert 4 (name)				
Etc.				
<i>International, junior experts</i>				
Expert 5 (name)				
<i>Local, senior experts</i>				
Expert 6 (name)				
<i>Other local experts</i>				

	Unit	Quantity	Unit cost / rate	Total cost in USD
Expert 7 (name)				
<i>Other personnel</i>				
Personnel 8				
Travels: (subtotal)				
<i>International flights</i>				
<i>Local transportation</i>				
<i>Other travel expenses (visa...)</i>				
<i>Subsistence allowance (DSA)</i>				
Other expenses: (subtotal)				
<i>Telecommunications</i>				
<i>Workshop expenses</i>				
<i>Translations, editing, printing...</i>				
<i>Others (to be described)</i>				
Phase 3				
Fees: (subtotal)				
<i>International, senior experts</i>				
Expert 1 (name)				
Expert 2 (name)				
Etc.				
<i>International, intermediate experts</i>				
Expert 3 (name)				
Expert 4 (name)				
Etc.				
<i>International, junior experts</i>				
Expert 5 (name)				
<i>Local, senior experts</i>				
Expert 6 (name)				
<i>Other local experts</i>				
Expert 7 (name)				
<i>Other personnel</i>				
Personnel 8				
Travels: (subtotal)				
<i>International flights</i>				
<i>Local transportation</i>				
<i>Other travel expenses (visa...)</i>				
<i>Subsistence allowance (DSA)</i>				
Other expenses: (subtotal)				
<i>Telecommunications</i>				
<i>Workshop expenses</i>				
<i>Translations, editing, printing...</i>				
<i>Others (to be described)</i>				
Overhead (indirect, administrative costs)				
Grand Total				