

Request for Proposal

Assessment of different tools and approaches used for WASH budget monitoring in South Asia to generate learnings on inclusive and gender-sensitive budget advocacy



WaterAid South Asia Regional Office
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Banani, Dhaka 1213

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SECTION - 1 (Information to Consultant/Consulting firm)

- 1.Introduction**
- 1.1 Consultant/ Consulting firm are invited to submit a technical and a financial proposal.
- 1.2 Costs for preparing the proposal and of negotiating the contract are not reimbursable.
- 1.3 Consultant/ Consulting firm should observe the highest standard of ethics during the selection process and implementation of contract. The attempt of any consultant/ consulting firm to influence the internal WaterAid independent evaluation and selection process will automatically lead to the removal of consultant/consulting firm's proposal from consideration. In addition, any misrepresentation of facts or institutional capacity will also lead to the removal of the misrepresented proposal from consideration.
- 1.4 WaterAid reserves the right to amend and modify this bidding document and can select consultant for providing service cited in this bidding document either for the entire content of the proposal or a part thereof.
- 2.Technical Proposal**
- 2.1 Consultant/ Consulting firm are requested to submit their proposal typed in English (font - Arial, Size -12).
- 2.2 The technical part of the proposal should contain the following:
- Detailed methodology of the study.
 - Detailed work schedule including key milestone dates (including dates for submission of first draft, dissemination of findings and final report);
 - Detailed account of experience of past projects, consultancies, research, publications and other relevant information employing qualitative methods, including references.
 - Detailed CV of the team leader and key members of the study team.
- 2.3 Two different files should be generated for technical and financial proposals.
- 2.4 Both two files should be submitted into one zip folder with a statement of suitability addressing the Regional Director-South Asia, WaterAid

- 3. Financial Proposal**
- 3.1 All prices shall be quoted in local currency. Contract will be administered by the respective Country Office of WaterAid based in South Asia region.
- 3.2 The financial proposal should clearly identify, item wise summary of cost for the assignment with detail breakdown. The budget should mention income tax and VAT/GST as a separate head and will be deducted as per the law of the land. The Financial Proposal should also clearly identify, as a separate amount, duties, fees, levies, and other charges, if any, imposed according to the government regulations of Bangladesh, India and Nepal.
- 3.3 The Consultant/ Consulting firm is expected to provide justified budget maintaining consistent with technical proposal.
- 4. Submission of Proposal**
- 4.1 The technical and financial proposal should be submitted electronically to the following email address:
WaterAid-Tender-TA@wateraid.org with subject line as follows:
Consultancy for "Assessment of different tools and approaches used for WASH budget monitoring in South Asia to generate learnings on inclusive and gender-sensitive budget advocacy"
- 4.2 Proposals submitted to any other e-mail account except the above will not be accepted.
- 4.3 Submission of proposal after the deadline **October 21, 2020** will not be accepted.
- 5. Proposal Evaluation**
- 5.1 The evaluation committee will evaluate the proposals considering the RFP and applying the set evaluation criteria. (Annex 1)
- 5.2 The final selection will be done following Quality and Cost Based (QCBS) method. This will be done by applying a weight of 0.80 (or 80 percent) and 0.20 (or 20 percent) respectively to the technical and financial score of each evaluated proposal.
- 5.3 WaterAid reserves the right to accept and reject any proposal without assigning any reason or whatsoever.
- 6. Negotiation**
- 6.1 Once the proposals are evaluated, WaterAid may enter into negotiation, if required, with one or more consultant/ consulting firm for final selection.
- 6.2 If negotiations fail, WaterAid may invite the consultant with next highest score to negotiate a contract or go for re-advertisement with fresh Request for Proposals (RFP).
- 6.3 WaterAid Bangladesh reserves the right to cancel the RFP at any point of time without serving any notice. Furthermore, WaterAid

has its absolute discretion to suspend and disqualify any proposal or all proposals received without tendering any reason whatsoever

If none of the invited proposals lead to an agreement, a new Request for Proposals (RFP) will be called.

- 7. Awarding of Contract** The selected consultant/consulting firm is expected to sign an agreement with WaterAid within a week of communication of selection decision and before commencing the work.
- 8. Confidentiality** Information relating to evaluation of proposals and recommendations concerning awards will not be disclosed to the consultant/ consulting firm who submitted the proposals or to other persons not officially concerned with the process, until the winning Consultant/Consulting firm has been notified that it has been awarded the contract.

SECTION – 2 (Terms of Reference)

1. Context:

In ratifying the International Covenant on Economic, Social and Cultural Rights (ICESCR), States commit to developing not just laws, regulations and policies but also financing strategies and budgets that are in line with their human rights obligations. There are immediate obligations relating to the human rights to water and sanitation, such as the adoption and implementation of national water and sanitation policies and plans, and the prioritisation of access to water and sanitation services for disadvantaged individuals and groups. Article 2 of the International Covenant on Economic, Social and Cultural Rights (ICESCR), and similar provisions contained in other treaties, require States to progressively achieve the realisation of human rights, using the maximum available resources in a non-discriminatory manner. A budget, whether national, sector-specific, or local, is generally realised in four stages (the budget cycle): formulation, enactment, implementation and oversight/evaluation.

Over the years, civil society in South Asia has been engaging in advocating for public financing for water, sanitation and hygiene (WASH) services at the national and sub-national levels through different tools and methodologies ranging from community-based exercises to national surveys. Apart from gauging the adequacy of budget allocations for WASH, another key objective of these exercises has been to monitor investments and services accessed by most vulnerable populations, including women. In ensuring inclusive WASH planning and budgeting, various tools and its application at different levels by CSOs can also help in strengthening overall accountability for WASH services.

Some of the tools and methods adopted over the years for budget advocacy by various organisations including WaterAid, IRC, SNV, Practical Action and many other CSOs in South Asia are listed below. However, there may be other tactics, approaches, methodologies and tools that have been used for budget planning, monitoring and influencing, which need to be brought under the remit of this study.

- Pre- and post-national budget analyses;
- Public expenditure tracking surveys
- WASH accounts using the TrackFin methodology;
- Social audits and public hearings;
- City-wide/district-wide WASH planning; SDG WASH costing tool
- Community-based planning and monitoring with the local government and NGOs;
- Life cycle cost analysis of WASH services;
- Outcome based surveys /customers' feedback /citizen report cards etc.

The use of these tools and methodologies has also shown that there are factors that enable or impede successful budget advocacy, for example, fragmented responsibility for WASH across various departments and ministries, incomplete or weak decentralization of planning and responsibility of expenditure by the local government, and inadequate or ineffective expenditure by centralized department and agencies. At the same time there are challenges and limitations given the lack of data and transparency; the lack of information and clarity on duty bearers and the various relevant institutions, lack of coordination between different departments and multiplicity of institutions. In this context, it is important to look at the tools and methods adopted by think tanks and civil society over the years in the WASH sector budget planning, monitoring and influencing, to understand how past experiences can guide more effective advocacy in the coming days, especially with more emphasis on inclusion of vulnerable populations and women.

2. Objectives of the assignment

Ultimately, we aim to strengthen WASH budget advocacy by civil society and WASH organisations, that also incorporates inclusion and gender sensitive considerations. This assessment will contribute to that by capturing lessons and practical recommendations from experiences of WASH budget advocacy such as the use of budget tracking tools. The geographical focus is Bangladesh, India and Nepal, covering national and subnational levels. Specifically, the assessment will investigate:

- What tactics, approaches, methodologies and tools have been used for budget planning, monitoring and influencing?
- What have been the success and challenges, and what were the enablers and blockers?
- How key decision makers/government systems utilized these initiatives?
- How and to what extent have gender and inclusion aspects been considered?
- What are the practical recommendations emerging for future budget advocacy efforts?

3. Methodology

The consultant/consulting firm is expected to develop appropriate methodology to meet the above-mentioned objectives. However, some key methods are suggested to include in the methodology

- ✓ A literature review on existing tools, approaches and methodologies of WASH budget monitoring and influencing.
- ✓ Case study analysis to unfold the experiences of using existing tools and approaches of WASH budget monitoring and influencing in Bangladesh, India and Nepal, highlighting successes and challenges.

- ✓ Key Informant interviews (KII) with different stakeholders in national and local level along with key figures of civil society, understanding the effectiveness of using existing WASH budget tools, the level of integration of gender and other inclusion elements in the existing tools and recommendations for CSO guidelines.

4. Deliverables

The following deliverables would be required as part of this study:

Inception report	<ul style="list-style-type: none"> - Secondary literature reviews to identify various budget advocacy approaches including tools and methodologies. - A broad assessment and list of possible case studies (12-14) for documentation. - Designing the case study method and outline of the overall report
Draft /Interim report	<ul style="list-style-type: none"> - Case study documentation on budget advocacy experiences at national and sub-national level by various stakeholders (Bangladesh, India, Nepal- 2 case studies from each country; i.e 6 in total) - Analysis of various tools and approaches used in terms of their influencing strengths, case studies and recommend draft guidelines for CSOs for budget advocacy
Final report (not more than 20-25 pages)	<ul style="list-style-type: none"> - Final report including case studies, analysis and guidelines
Dissemination resources	<ul style="list-style-type: none"> - Participation and co-ordination of a webinar with WaterAid to disseminate findings externally and within WaterAid - Briefing note (4-6 pages) summarizing the findings for wider dissemination.

5. Financial terms

The payments will be made in instalments, as per the following break-down:

First instalment	30% after the signing the contract
Second instalment:	40% after receiving the first draft report
Third instalment	30% after receiving the final report

6. Experience and requirements:

To undertake the assignment, the consultant/consulting firms are expected to meet the following experiences and conditions.

- Proven experience in conducting research in WASH domain.
- Sound experience of qualitative research.
- Proven experience in designing data collection tools and choosing appropriate collection methods

- Highly competent at oral and written forms of reporting and presentation
- Fluency in English and Bengali and quality report writing.
- Respect and ability to follow minimum research ethics

7. Length of the contract

A list of deliverables with timeline are as follows:

Deliverables	Timeline
Inception report	After one month upon signing the contract
Interim/Draft report	Six weeks after the inception report
Final report and briefing note	One week upon receipt of the comments from WaterAid on the draft report

8. Scope to seek information and clarity

Consultant/ Consulting firm will have the opportunity to send written questions until **October 10, 2020** in the following email address: **Vanita Suneja**, Regional Advocacy Manager-South Asia, WaterAid, E-mail: VanitaSuneja@wateraid.org

Response to queries would be provided by 13th October and final submission time is GMT+06 hours of 21st October, 2020.

SECTION – 3 (Technical proposal submission form)

3A. Forwarding letter format

3B. Statement of Suitability

3C. Technical Proposal

3D. CV of each members including list of publications and references

3E. Proof of work -At least three

**The format for 3A is given below. The format for 3B, 3C, 3D and 3E is expected to be prepared by the organization.

3A. Forwarding Letter Format

(Please use letterhead pad)

[Location, Date]

Dr. Md. Khairul Islam
Regional Director- South Asia
WaterAid
House 97/B, Road 25, Block A
Banani, Dhaka 1213

Dear Sir:

We, the undersigned are offering to provide the following assignments in accordance with your Request for Proposal (RFP) dated [Date] on "**Assessment of different tools and approaches used for WASH budget monitoring in South Asia to generate learnings on inclusive and gender-sensitive budget advocacy**"

We are hereby submitting our proposal, which includes this Technical Proposal and Financial Proposal.

If negotiations are held during the period of validity of the proposal, i.e., before [Date] we undertake to negotiate on the basis of the proposed staff. Our proposal is binding upon us and subject to the modifications resulting from contract negotiations.

We understand you are not bound to accept any proposal you receive.

Yours sincerely,

Authorized Signature:

Name:

Title:

Name of Firm/Org:

Address:

SECTION – 4 (Financial proposal submission form)

- 4A. Forwarding Letter format
- 4B. Summary of budget/costs.
- 4C. Breakdown of price per deliverables with unit cost
- 4D. Budget Narratives

**The format for 4A is given below. The format for 4B, 4C and 4D are expected to be prepared by the organization.

5A. Forwarding Letter format

(Please use letterhead pad)

[Location, Date]

Dr. Md. Khairul Islam
Regional Director- South Asia
WaterAid
House 97/B, Road 25, Block A
Banani, Dhaka 1213

Dear Sir:

We the undersigned are offering to provide the following assignments in accordance with your Request for Proposal (RFP) dated *[Date]*. Our attached Financial Proposal is for the sum of Taka *[Amount in words and figures]*.

This amount is inclusive of the local VAT and taxes, which we have estimated at *[Amount(s) in words and figures]*. We understand that the local VAT and taxes payable will be determined as per applicable law and will be deducted at source while making payments.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from contract negotiations, up to expiration of the validity period of the Proposal, i.e., *[Date]*.

We understand you are not bound to accept any proposal you receive.

Yours sincerely,

Authorized Signature:

Name:

Title:

Name of Firm/Org:

Address:

Annex 1

Evaluation Criteria	Percentage (%)
Technical Proposal-Total (a)	80
1. Methodology	30
2. Work plan	20
3. Team Composition	15
4. Previous work experience in similar work	15
Financial Proposal-Total (b)	20
1. Comparison with Internal Estimate	10
2. Comparison to other bidders Proposals	10
Grand total (a+b)	100