

Request for Proposal
Baseline Study of Cities for the project “Innovation Hub for Urban WASH Solutions”

A. PROJECT BACKGROUND

National Institute of Urban Affairs (NIUA)-Delhi, a premier research institute under Ministry of Urban Development (MoUD), GoI in association with TARU Leading Edge, IRC and Ennovent, is implementing a project ‘**Innovation Hub for Urban WASH Solutions**’. This project will support development of scalable solutions for urban WASH in India within the national, state and city framework. It will be pilot tested in three cities (**Faridabad, Udaipur, and Mysore**) over a period of three years.

The proposed hub will lead activities that support the national and state urban initiatives linked to WASH under AMRUT, SBM, SMART City Missions and proactively engage with wide range of partners, to discover and develop innovations and devise intervention strategies and business models for delivering effective, affordable and sustainable WASH solutions in the Indian context. The initiative will contribute significantly to achieve Sustainable Development Goals (SDG) No. Six: clean water and sanitation to all, and other national commitments by the Government of India under different missions mentioned above.

The primary goal of the initiative is to improve urban WASH sector performance through incubation and acceleration of innovative solutions, technologies, projects and service delivery models within a collaborative framework.

Under this initiative, a baseline information of three target cities is a critical component that provides existing scenario on WASH sector in cities. Following are important objectives of the assessment:

1. To provide in-depth information on the status of WASH sector at states and city levels with a view to guide the project planning, implementation and monitoring process
2. To define targets for measuring project progress, achievements, effectiveness, quality of change and impact with respect to project goal and objectives, and intermediate result levels for WASH indicators
3. To map the landscape of the innovations in WASH sector across technology and business process domain within incubation and acceleration frameworks in study cities
4. To identify benchmarks and indicators in line with SDG goals, USAID, WHO, Livability Index etc. as part of the project which can be used as a point of reference for monitoring and evaluation related to sector

B. SCOPE AND METHODOLOGY OF THE ASSIGNMENT

Following is broad scope for this assignment:

- Planning and designing of the baseline study in consultation with client /relevant experts
- Primary data collection within quantitative and qualitative framework in study city; Data analysis and interpretation.
- Collect relevant information on WASH sector from city (latest documents like CDP, CSP, maps, reports etc.).
- Consultations with different stakeholders (e.g. state Govt., ULB, academia, pvt. entrepreneurs, leading NGO, community groups etc.) to conduct Focused Group Discussion on need assessment and various possibilities to improve WASH sector

- Documentation of good case studies from respective state/city that demonstrates good practices/failure of implementation in WASH sector
- Identification of potential clusters in city to implement innovative Sanitation solutions
- Incorporating feedback in the final report from NIUA
- A final presentation of main results highlighting important analysis and trends

The consultant would undertake a mix of quantitative and qualitative tools for the data collection, sampling plan, field plan, and quality check plan. Mapping of stakeholders in city includes government officials, experts, NGOs/Corporate, citizens, women groups, innovators, and others. The consultant should use financial, institutional, environmental, technological and social (FIETS) dimension to conduct and analyze the information obtained from baseline study. This will ensure sustainability of the WASH implementation in the city.

C. PROPOSAL SUBMISSION

Interested qualified Consultants / Firms are invited to submit a technical proposal for each of the city separately. The consultancy fees for the entire assignment for each of the city is fixed as Rs 5,00,000/- (Rupees Five Lakhs), inclusive of all applicable taxes. The proposal shall include following:

- Clear understanding of the scope of the work, methodology, sampling plan, approach for conducting FGD and detailed work plan for performing the assignment
- Team composition and task assignment
- Previous experience to conduct similar assignment
- Registration of firm and other relevant statutory documents
- If proposal submitted is in consortium, clear roles and responsibilities of partners and personnel involved in the study should be mentioned. The name of the lead organization should be clearly stated. Letters of agreement from the consortia with authorized signatories have to be provided.

D. QUALIFICATION AND EVALUATION

The technical proposal shall be evaluated based on the responsiveness to the Terms of Reference, applying the evaluation criteria specified below. Each proposal will be given a **technical score for each city separately** based on evaluation criteria mentioned below. The firm scoring the highest score in case of each city will be awarded work relating to that city.

Qualification Criteria	Scoring	Maximum Marks
Total Marks for Key Personnel		30
<ul style="list-style-type: none"> • Project Manager: Experience in WASH and Urban development – have lead at least 3 WASH / and or Urban development projects 	<ul style="list-style-type: none"> • 2 marks for educational qualification; • 7 marks for relevant experience and; • 1 mark for experience in the project region 	10
<ul style="list-style-type: none"> • WASH Expert: Have more than 10 years of experience in WASH sector 	<ul style="list-style-type: none"> • 2 marks for educational qualification; • 7 marks for relevant experience and; • 1 mark for experience in the project region 	10
<ul style="list-style-type: none"> • Data Expert: At least 5 years of 	<ul style="list-style-type: none"> • 2 marks for educational 	10

experience in Data Analysis and Management projects	qualification; • 7 marks for relevant experience and; • 1 mark for experience in the project region	
Total Marks for Organization		30
• Should have completed at least 3 projects in last ten years' (from 1-Apr-2006 to 31-Mar-2016) which include conducting project baselines, evaluations and researches in Urban WASH projects	• 2 marks each for a completed assignment of conducting project baselines, evaluations and researches in Urban WASH in last ten years' (from 1-Apr-2006 to 31-Mar-2016)	16
• Should have completed at least 3 projects in last ten years' (from 1-Apr-2006 to 31-Mar-2016) which include conducting data analysis, FGDs including statistical methodologies and related research techniques	• 2 marks each for a completed assignment of conducting data analysis, FGDs, including statistical methodologies and related research techniques in last ten years' (from 1-Apr-2006 to 31-Mar-2016)	14
Total Marks for Approach & Methodology		40
Each of the firms needs to submit a crisp Approach & Methodology (not more than 5 pages) relating to the project. The Approach and Methodology shall be evaluated as per below table		
• Understanding the ToR		10
• Methodology suggested		20
• Adequacy of the proposed work plan		10

It may be noted that, for the purpose of evaluation of technical proposal, each technical proposal for each of the city shall be treated separately, and hence consultancy firms are advised to not submit the CVs of same person more than once in any technical proposal. In case of duplication of any CVs for any of the Key Personnel, NIUA reserves the right to either not provide any marks for such CV or require the concerned consultancy firm to replace such duplicate CV or reject the concerned proposal.

E. MILESTONES

The Baseline study has following three important milestones: (a) inception report, (b) draft report and (c) final report.

- 1. Inception Report:** In this report, Consultant is expected to furnish detailed approach to conduct the baseline study and provide a questionnaire for primary data collection and identification of stakeholders for Focus Group Discussions. This report will mainly cover critical assessment of the WASH sector in the city considering institutional, infrastructure and financial aspects. Status of implementation of Smart City Mission, Swachh Bharat Mission and AMRUT projects in the study city. Documentation and critical assessment of case studies from state/study city on innovative sanitation projects (Government/Donor funded), policy research studies undertaken. The report would also include information of academic institutes (e.g. IIT, NIT, Govt./Pvt. colleges) in city that can conduct capacity building programmes. In addition, information on industries, corporate houses in city, that can contribute in CSR activities, should also be provided.
- 2. Draft Report:** -The draft report will incorporate preliminary assessment of primary data collected from the study city. Maps, photographs, diagrams, and relevant tabular information

that shows the status of WASH sector have to be included.. Following is an indicative outline of primary data to be collected and analysed.

(a) Primary Data Collection/Analysis

1. Water supply, Sanitation (Sewage and Solid waste management) status in northern, eastern, western, southern and central wards of the study city. In case of onsite sanitation, system (OSS) - information on containment, transportation, and disposal of waste information needs to be collected.
2. Sample household Surveys for WASH sector representing different socio-economic areas in city.
3. Map status of location of community and public toilets in city alongwith an understanding of the issues and challenges faced; documentation of successful working models of public and community toilets in the city.
4. Map depicting location of slums and challenges of community toilets

3. **Final Report:** - Based on analysis of the information provided in the inception and draft reports, this report should capture the WASH sector scenario in the city and recommend the way forward.

F. TIMELINES OF DELIVERABLES

Following are important deliverables of the baseline study: -

Deliverable	Key Contents	Timeline
Inception Report	Brief approach for baseline study; Assessment of WASH sector in study city; conduct Focus Group Discussions; analyze and document case studies on implementation of Sanitation innovation in cit; Map important institutions, organizations, industries for the investment / support in the WASH sector.	Maximum 10 days from the date of award of contract
Draft Report	Analysis of collected from the study city; mapping of public and community toilet, water supply and sanitation infrastructure; potential sites for implementation of intervention.	Maximum 25 days from the date of award of contract
Final Report	Critical assessment of WASH profile of study city based on the primary data analysis, stakeholder consultation, and ground realities. Recommendations to undertake WASH intervention in the city.	Maximum 40 days from the data of award of contract

Consultants are required to submit following along with the final report

Deliverable	Details	Remarks
Maps	<ol style="list-style-type: none"> 1. Zone/Ward map of city, Land Use map, Water supply/Sewerage Network Map (from city) 2. Locations of Notified /non-notified Slums in city 3. Locations of STPs, SWM disposal sites, septage disposal locations 4. Locations of public and community toilets, 5. Potential locations in the city for implementation 	Google map can be used to plot thematic information. GIS based map outputs are preferred

	of innovative Sanitation solutions	
Case studies	Successful interventions in WASH sector at state or city level. The case study should capture entire process of implementation.	Photographic documentation required.

G. OTHER TERMS & CONDITIONS

- **Supervision**

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

- **Deadline**

Proposals must be received by the designated deadline, or they may not be considered.

- **Offer Validity**

Your proposal must remain valid for a minimum of 6 months. Proposals should be signed by an official authorized to do so.

- **Negotiations**

The most competitive proposal is requested. The client reserves the right to request responses to questions and conduct negotiations with any potential offeror prior to awarding a contract.

- **Rejection of Proposal**

This document is a request for proposals only, and in no way binds the client to make an award. The client reserves the right to reject any and all offers received and/or to cancel the RFP. The client will not be obliged to provide a justification for rejection of proposals.

- **Incurring Costs**

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

- **Terms to Fixed Award Contract**

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

- **Payment**

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

Interested firms are requested to submit the technical proposals for Conducting Baseline Study by **Mar 24, 2017 by 5.30 pm** to the following address:

Director

National Institute of Urban Affairs

Core 4-B, First Floor, India Habitat Centre, Lodi Road, New Delhi 110003

The outer envelope containing proposal should be marked clearly as “**Consultancy Services for Baseline Study of Cities for the project Innovation Hub for Urban WASH Solutions**”

Please note that no application will be accepted without a technical proposal.