REQUEST FOR PROPOSALS FOR SERVICES (RFPS)

RFPS-USA-2016-502210  4 March 2016

UNITED NATIONS CHILDREN'S FUND (UNICEF)

Wishes to invite you to submit a proposal for the

Global evaluation of UNICEF's Drinking Water Supply Programming in Rural Areas and Small Towns

The E-MAILED proposal should be sent to:

nysdbidding@unicef.org

IMPORTANT - ESSENTIAL INFORMATION

The reference RFPS-USA-2016-502210 must be indicated in the proposal in accordance with the instructions provided in this document. The Request for Proposal for Services (RFPS) Form on page 3 must be used when replying to this proposal.

All proposals must be submitted by e-mail only to: nysdbidding@unicef.org, the only acceptable e-mail address for receipt of proposals. No other recipient should be "Cc" or "Bcc" in the e-mail submission.

Proposals must be received at the above email address by latest 16:00 hours (New York time) 11 April 2016. Request for Proposals for Services received after the stipulated date and time will be invalidated.

It is important that you read all the provisions of the Request for Proposals for Services to ensure that you understand and comply with the UNICEF's requirements. Note that failure to submit compliant proposals may result in invalidation of your proposal.
THIS REQUEST FOR PROPOSALS FOR SERVICES HAS BEEN:

Prepared By:

[Signature]
Dalma Rivero
(To be contacted for additional information, NOT FOR SENDING PROPOSALS)
E-mail: drivero@unicef.org

Date: 2 March 2016

Approved By:

[Signature]
Samuel Bickel

Date: 2 March 2016
REQUEST FOR PROPOSALS FOR SERVICES FORM

This form must be completed, signed and returned to UNICEF. Proposal must be made in accordance with the instructions contained in this Request for Proposals for Services (RFPS).

TERMS AND CONDITIONS OF CONTRACT

Any Contract resulting from this RFPS shall contain UNICEF General Terms and Conditions for Institutional and Corporate Contracts and any other Specific Terms and Conditions detailed in this RFPS.

INFORMATION

Any request for information regarding this RFPS must be forwarded by email to the person who prepared this document, with specific reference to the RFPS number.

The Undersigned, having read the Terms and Conditions of RFPS No. RFPS-USA-2016-502210 set out in the attached document, hereby offers to execute the services specified in this document.

Signature:

Name & Title:

Institution:

Date:

Postal Address:

Tel. No.:

Fax No.:

E-mail Address:

Currency of Proposal:

Validity of Proposal:

No Price Proposal value details are to be included within this form
INSTRUCTIONS TO PROPOSERS

A. INTRODUCTION

1.0 UNICEF, the United Nations Children’s Fund, an international, inter-governmental organization established by the General Assembly of the United Nations by resolution No. 57(1) of 11 December, 1946 as a subsidiary organ of the United Nations, having its headquarters in New York, with offices in over 160 countries spanning 260 locations.

2.0 UNICEF works with governments, civil society organizations, and other organizations around the world to advance children’s rights to survival, protection, health, development and participation and is guided by the Convention on the Right of the Child.

3. BACKGROUND

3.1 UNICEF Evaluation Office has two primary functions: conducting independent global evaluations of UNICEF programmes and providing leadership and oversight to the organization’s evaluation function. The Office follows UNEG (United Nations Evaluation Group) agreed norms and standards for evaluations. For more information about the Evaluation Office, visit the following website: http://www.unicef.org/evaluation/

4. PURPOSE OF THE RFPS

4.1 The purpose of the Request for Proposal for Services (RFPS) is to invite prospective proposers to submit a proposal (technical and financial) for providing services to conduct the assignment specified on the first page of this RFPS. This RFPS is accompanied by annexes including particularly the Terms of Reference (see Annex 1 below) and other annexes.

5. PROCUREMENT AND CONTRACTUAL SCHEDULE

Fixed dates:
- Indication of intention to bid, by
  Date: 16 March 2016
- Request for clarification on the RFPS received no later than
  Date: 25 March 2016
- Technical and financial proposals received no later than
  Date: 11 April 2016 no later than 16:00 hours New York time
- Bid Opening
  Date: 12 April 2016

Tentative dates:
- Post-bid teleconference for pre-qualified proposers
  Tentative date: 26 April 2016
- Evaluation of proposals completed by
Tentative date: 3 May 2016
- Award date, signing of the institutional contract
  Tentative date: 17 May 2016

6. RECEIPT OF THE RFPS AND INTENTION TO BID: PROCEDURE

6.1 Intention to bid: Prospective proposers are requested to indicate, no later than the date and time indicated in section 5 above, whether or not their institution intends to submit a proposal. Communication on intention to bid (or not to bid) must be sent via email to Jérémie Toubkiss jtoubkiss@unicef.org, copied to Ms. Dalma Rivero drivero@unicef.org.

7. REQUEST FOR CLARIFICATION ON THE RFPS

7.1 Any request for information/clarification on the Request for Proposals for Services should be submitted by email to the same contact persons identified in paragraph 6.1 above, and no later than the date and time indicated in section 5 above. Only written inquiries will receive an answer. Inquiries received after the deadline cannot be guaranteed any response. Be informed that answers to all questions asked will be shared with all other potential proposers. All questions and answers will be posted on the UNICEF public webpage http://www.unicef.org/evaluation/index_68493.html

8. RFPS RESPONSE FORMAT

8.1 Proposals must be signed by an authorized representative of the bidding institution using the Request for Proposals for Services Form provided above.

8.2 Full proposals should be submitted in English and must be sent by email to NYsdbidding@unicef.org no later than the date and time indicated in section 5 above. Proposals delivered at a different email address or in a different form than prescribed in this RFPS, or which do not respect the required confidentially, or sent after the designed time and date will be rejected.

8.3 The subject line of the email will include the reference RFPS-USA-2016-502210 and the name of the submitting institution.

8.4 Price information or rates shall not appear in any part of the submission email or in any part of the technical proposal.

8.5 The technical proposal will be attached to the email in PDF format. The financial proposal will be attached to the e-mail in PDF format.

8.6 The submission can be sent in several emails. In that case, it should be clearly indicated in the subject line of the emails. The maximum size of each email should not exceed 10 MB.

8.7 Upon receipt of the proposal submission, an 'acknowledgment of receipt' will be automatically sent to the sender's email address. The notification serves as the only proof of receipt from UNICEF.

8.8 All changes to a proposal already submitted by a proposer must be sent to the email address provided above (paragraph 8.2) prior to the closing time and date. It must be clearly indicated that it is a modification and supersedes the earlier proposal.
8.9 UNICEF will accept no responsibility for the premature opening of a proposal which is not properly identified.

9. CONFIDENTIAL INFORMATION

9.1 Information which the proposer considers confidential or proprietary must be marked clearly as such next to the relevant part of the text, and UNICEF will then treat such information in confidence.

10. RIGHTS OF UNICEF

10.1 UNICEF reserves the right to invalidate any proposal received from a bidding institution who, in the opinion of UNICEF, it not in a position to perform the contract.

10.2 UNICEF also reserves the right to negotiate with the proposer(s) who have submitted the most responsive evaluated proposals.

10.3 UNICEF shall not be held responsible for any cost incurred by the proposer in preparing the response to this Request for Proposals for Services. This RFPS, along with any inquiries and responses thereto, and the proposals shall be considered the property of UNICEF and the proposals will not be returned to their originators.

11. PROPOSAL OPENING

11.1 The proposals will be opened at the date and time indicated in section 5 above. Due to the nature of this RFPS, there will be no public opening of proposals.

B. TECHNICAL AND FINANCIAL PROPOSAL REQUIREMENTS AND ASSESSMENT

1. INFORMATION IN THE PROPOSAL

1.1 The proposer must provide sufficient information in the proposal to demonstrate compliance with the requirements set out in each section of this Request for Proposals for Services and the attached annexes including particularly the Terms of Reference. The proposal shall be composed of separate technical and financial proposals and shall adhere to the following:

1.1.1 It is mandatory that the proposal numbering system corresponds with the numbering system used in the body of the RFPS.

1.1.2 Categories of information that are considered a mandatory requirement of this RFPS are outlined below and further specified in the attached Terms of Reference. All references to descriptive material and brochures should be included in the appropriate response paragraph, though the material/documents themselves may be provided as annexes to the proposal.

1.1.3 The proposer must also provide sufficient information in the proposal to address each area of the items in the Terms of Reference to ensure the committee that will evaluate the proposal can make a fair assessment without having to request additional information from the proposer.
2. CONTENT OF THE TECHNICAL PROPOSAL

2.1 The written technical proposal will be in PDF format and include the following elements. Please refer to the Terms of Reference (in annex 1) for a more detailed description of the minimum requirements for the content of proposers’ technical proposals.

A. Request for proposals for services form (provided above)
B. Presentation of the bidding institution
C. Narrative description of the bidding institution’s relevant experience and capacity
D. Relevant references of the proposer (use template provided in annex 3)
E. Samples or links to samples of previous relevant work
F. Methodology
G. Work plan (general work plan, and detailed timetable by activity for which a template is provided in annex 4)
H. Description of the evaluation team (use templates in annex 5, 6 and 7)

3. CONTENT OF THE FINANCIAL PROPOSAL

3.1 The currency of the financial proposal shall be in US Dollars.

3.2 All prices/rates quoted must be exclusive of all taxes as UNICEF is a tax-exempt organization.

3.3 Proposers must submit a firm-fixed price bid, except for international travel expenses (see paragraph 3.5 below). The quotation will not subject to revision unless officially invited to re-submit by UNICEF.

3.4 The financial proposal will include the following elements as a minimum requirement:
A. Overall price proposal
B. Budget by phase, by activity and by cost category (use template provided in annex 9)

3.5 Financial bids should include an estimate of international travel costs, based on the indicative destinations indicated in the Terms of Reference. However, the final international travel component will be agreed upon based on the effective work calendar and locations of country case studies. UNICEF will reimburse travel related expenses based on actual costs or on the budgeted costs (considered as a ceiling) whichever is lower and upon presentation of receipts. Travels and other incidental expenses that were not known ex ante or any additional costs with regard to the travel expenses submitted in the proposal should be justified by the contractor and pre-approved by UNICEF before they are incurred. Such expenses may be paid as reimbursable against actual cost incurred and in these cases necessary documentation shall be submitted with the invoice for reimbursement (e.g. proof of airline ticket purchased and boarding pass). After pre-approval by UNICEF, the contractor will be responsible in administering its own travels.

3.6 Costs for accommodation, meals and incidentals shall not exceed applicable daily subsistence allowance (DSA) rates, as promulgated by the International Civil Service Commission (ICSC): [http://icsc.un.org/](http://icsc.un.org/) (information on all countries and destinations can be found by navigating on the map).

3.7 Terminal expenses: Should be included all expenditures for transportation between the airport or other point of arrival or departure and the hotel or other place of dwelling, including transfer of accompanied
baggage and other incidental charges. For New York, the amounts to be reimbursed for each such trip are 63 USD in respect of the staff member authorized to travel at United Nations expense. For all other duty stations, the amounts to be reimbursed for each trip are 38 USD. When official United Nations or government vehicle is made available for the trip, the amounts to be reimbursed shall be set at 11 USD.

4. PROPOSAL EVALUATION PROCESS AND METHOD

4.1 UNICEF will set up a proposal evaluation committee composed of experts with technical skills in evaluation and in the subject matters (preferably members of the future Technical Reference Group for the evaluation). Following the submission of the proposals, an evaluation will be conducted to assess the merits of each proposal.

4.2 Proposals will be first assessed by UNICEF for eligibility and compliance with the mandatory requirements of this RFPS. Eligibility will be assessed based on the institution’s administrative and financial information (notably registration/incorporation and financial statements) and based on its performance records with UNICEF and other UN agencies. Mandatory requirements are indicated throughout this RFPS by the words “mandatory”, “shall”, “must”, or “will” in regard to obligations on the part of the proposer. Non-eligible proposals, incomplete proposals and proposals deemed not to meet all of the mandatory requirements will be considered non-compliant and rejected at this stage without further consideration.

4.3 At the next stage, the technical proposals will be evaluated in accordance with the process, criteria and weightings described in section 5 below.

4.4 Only financial proposals of proposers whose technical proposals were deemed technically satisfactory will be opened and assessed as described in section 6 below.

5. EVALUATION OF TECHNICAL PROPOSALS

5.1 Technical proposals will be evaluated based on the following criteria and weighting:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Maximum score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization profile and capacity (aptitude, availability, previous experience, references, multi-country presence or proposed partnerships, administrative and logistic support)</td>
<td>15</td>
</tr>
<tr>
<td>Proposed methodology and work plan (comprehensiveness, clarity, relevance, logic, rigor, realism, practicality, creativity, level of effort)</td>
<td>40</td>
</tr>
<tr>
<td>Team profile and capacity (experience, qualifications, references, mix and complementarity of expertise, availability, time allocation)</td>
<td>45</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100</td>
</tr>
</tbody>
</table>

5.2. For the technical proposal to be considered satisfactory, it must achieve a minimum pass score of 70 points (out of 100). Proposals not meeting this minimum score will be given no further consideration. The others will be selected for short-listing.
5.3 UNICEF reserves the right to request of proposers an oral presentation via teleconference in order to ask detailed questions for clarification of the proposal. The teleconference would be organized by the UNICEF Evaluation Office with each invited proposer separately on the tentative date and time indicated in section 5 above. The documentation presented by the proposers and the written minutes of the teleconference will be part of the proposer’s technical proposal package. UNICEF may also send written questions for which a written reply would be expected.

6. EVALUATION OF FINANCIAL PROPOSALS

6.1 All financial factors will be analysed and compared to ensure that the prices in each financial proposals are reasonable, comparable and cover the components specified in the financial criteria, and in the respective proposal. Financial proposals may be corrected in the following cases, based on UNICEF procedures: inconsistencies/discrepancies, calculation errors, unjustified additions and omissions. UNICEF will inform each proposer of the changes and for the proposers to either accept the corrections or reject. All corrected financial proposals rejected by the proposers will be rejected. Only the financial proposals that satisfies all the requirements at the preliminary examinations stage will be qualified for the detailed financial evaluation stage.

6.2 The evaluation of the financial proposals will also ensure that they are within the available budget for the contract and that they are consistent with the corresponding technical proposal.

6.3 The maximum number of points (100 points) will be allotted to the lowest price proposal. Points will be given to all other price proposals in inverse proportion to the lowest price, as per UNICEF procedures. The formula used is the following:

\[
\text{Score for price proposal } X = \frac{\text{Max. score for price proposal (100)} * \text{Price of lowest priced proposal}}{\text{Price of proposal } X}
\]

7. OVERALL SCORING AND RANKING OF PROPOSALS

7.1 Finally, proposers’ proposals will be scored and ranked based on their respective combined technical and financial score after application of a weighting between both scores. The contract will be awarded to the proposer who will obtain the highest overall score out of a maximum of 100 points.

7.2 The overall score for each proposal will be calculated based on a ratio of 70% to 30% between the technical and financial proposal.

C. COMMERCIAL PROVISIONS

1. PROPERTY OF UNICEF

1.1 This Request for Proposals for Services, inquiries and answers and the proposals are considered the property of UNICEF. All materials submitted in response to this Request shall remain with UNICEF.
2. VALIDITY OF PROPOSALS

2.1 Proposals should be valid for a period of not less than 90 days after proposal opening, unless otherwise specified in the Specific Terms and Conditions. Proposers are requested to indicate the validity period of their proposal on the RFPS form. UNICEF may request the validity period to be extended.

3. PERFORMANCE

3.1 The resulting Institutional/Corporate Contract will define all applicable authorities related to this engagement. UNICEF will, together with the selected contractor(s), determine the criteria for fulfilment of the contract.

4. MOST FAVOURED PRICING

4.1 The rates quoted by the successful proposer shall be locked in for the duration of the resulting Contract. However, if at any time during the validity period of any resulting Contract, the successful proposer offers to provide services as defined herein at a price/rate lower than the price/rate(s) effective under the Contract to any third party, the supplier shall thereafter offer the same price/rate(s) to UNICEF under the Contract.

4.2 The successful proposer is obligated to advise UNICEF, without any delay, in the event that any lower pricing/rate(s) is offered to any third party.

4.3 In the event that the successful proposer fails to notify UNICEF and reduce its price(s) accordingly, UNICEF reserves the right to, with immediate effect, terminate the Contract.

4.4 Proposers are requested to confirm any discounts applicable to their proposals.

4.5 Proposers are requested to confirm any further discounts available for payment before UNICEF standard payment terms.

4.6 Proposer are requested to confirm any further discounts available for payment before UNICEF standard payment terms i.e. net 30 days.

5. UNICEF GENERAL TERMS AND CONDITIONS FOR INSTITUTIONAL CONTRACTS

5.1 The UNICEF General Terms and Conditions for Institutional/Corporate Contracts included in this RFPS will form part of any resulting contract.

6. FULL RIGHT TO USE AND SELL

6.1 The proposer warrants that it has not and shall not enter into any agreement or arrangement that restrains or restricts UNICEF rights to use, sell, dispose of or, otherwise, deal with any item that may be acquired under any resulting Contract.

7. REFERENCES

7.1 The proposer is requested to provide the name of at least three (3) clients to whom it provides similar
services. UNICEF reserves the right to contact these references, without notifying the proposer.

8. PROPOSER’S REPRESENTATIONS

8.1 The proposer represents and warrants that it has the personnel, experience, qualifications, facilities, financial resources and all other skills and resources to perform his or her obligations under any resulting Contract.

9. ERROR IN PROPOSAL

9.1 Proposers are expected to examine all Schedules and all Instructions pertaining to the work or Proposal. Failure to do so will be at proposers own risk. In case of errors in the extension price, unit price shall govern.

10. AWARD / ADJUDICATION OF PROPOSALS

10.1 The Institutional/Corporate Contract for Services will be awarded to the Proposer offering the most responsive evaluated proposal and whose services are commercially, technically acceptable, and whose Proposal is in compliance with all Institutions, Specific Terms and Conditions, Special Notes and General Terms and Conditions contained in the RFPS, providing the Proposal is reasonable and it is in the interest of UNICEF to accept it.

10.2 UNICEF reserves the right to make multiple arrangements for any item(s)/services where, in the opinion of UNICEF, the most responsive evaluated proposer cannot fully meet the requirements or if it is deemed to be in UNICEF’s best interest to do so. Any arrangement under this condition will be made on the basis of the most responsive, second most responsive and third most responsive, etc. evaluated proposal which meets all the requirements stated in the RFPS document.

10.3 In case of an award, Proposers who have not previously received Institutional/Corporate Contracts/LTA(s) from UNICEF may receive an Institutional/Corporate Contract/LTA(s) for a limited service/period until satisfactory performance is established.

11. SUPPLIER REGISTRATION

10.1 Proposers are invited to register with UNICEF via UNGM on the UNGM website: http://www.ungm.org before the award is made.

D. GENERAL PROVISIONS

1. GENERAL SERVICES ADMINISTRATION (GSA) FOR USA VENDORS ONLY

1.1 In the event that the Contractor offers a lower price to the General Services Administration (GSA) of the federal government of the United States of America for similar services, UNICEF shall be entitled to same lower price. The attached UNICEF General Terms and Conditions for Institutional/Corporate Contracts shall have precedence.
2. CONTRACTUAL ARRANGEMENTS WITH UNITED NATIONS AND/OR AGENCIES

2.1 UNICEF is entitled to receive the same pricing offered in contracts with the United Nations and/or its Agencies. The attached UNICEF General Terms and Conditions for Institutional/Corporate Contracts shall have precedence.

3. MOST FAVOURED CUSTOMER PRICE/RATE CERTIFICATION

3.1 By submitting an offer the proposers certify that UNICEF, for Contracts resulting from this Request for Proposal for Services, is not being charged more than other clients for similar services and similar quantities and within similar circumstances.

4. LIQUIDATED DAMAGES

4.1 For late delivery of services or for services which do not meet UNICEF's specifications/requirements and are therefore rejected by UNICEF, UNICEF shall be entitled to claim liquidated damages from the successful proposer, and deduct 0.5% of the value of the services pursuant to Institutional/Corporate Contract, per additional day of delay, up to a maximum of 10% of the value of the Institutional/Corporate Contract. The payment or deduction of such liquidated damages shall not relieve the successful proposer from any of its other obligations or liabilities pursuant to any Institutional/Corporate Contract.

5. ORDER OF PRECEDENCE

5.1 The UNICEF General Terms and Conditions for Institutional/Corporate Contracts to this RFPS shall apply to any resulting Institutional/Corporate Contracts. In the case of any inconsistencies, the following order of precedence shall prevail:

(a) UNICEF General Terms and Conditions for Institutional/Corporate Contracts;
(b) Institutional/Corporate Contract.

6. UNETHICAL BEHAVIOUR

6.1 UNICEF strictly enforces a policy of zero tolerance concerning unethical, unprofessional or fraudulent acts of UNICEF suppliers / contractors. Accordingly, any registered company that is found to have undertaken unethical, unprofessional or fraudulent activities will be suspended or forbidden from continuing business relations with UNICEF.

7. CORRUPT AND FRAUDULENT PRACTICES

7.1 UNICEF requires that all contractors associated with this Institutional/Corporate Contract observe the highest standard of ethics during procurement and execution of the work. In pursuance of this policy, UNICEF

(a) Defines for the purpose of this provision the terms set forth as follows:

(i) 'corrupt practice' means the offering, giving, receiving or soliciting of anything of value to influence the action of a public official in the procurement process or in the execution of a contract, and

(ii) 'fraudulent practice' means a misrepresentation of facts in order to influence a procurement process or the execution of a contract to the detriment of the client, and includes collusive
practice among proposers (prior to or after bid submission) designed to establish bid prices at artificial non-competitive levels and to deprive the client of the benefits of free and open competition;

(b) Will reject a proposal for award if it determines that the selected supplier / contractor has engaged in any corrupt or fraudulent practices in competing for the contract in question;

(c) Will declare a supplier / contractor ineligible, either indefinitely or for a stated period of time, to be awarded a UNICEF-financed contract if at any time it determines that it has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNICEF-financed contract.

8. GUIDELINES ON GIFTS AND HOSPITALITY

8.1 Suppliers / contractors shall not offer gifts or hospitality to UNICEF staff members. Recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners are also prohibited.

9. POST-EMPLOYMENT RESTRICTIONS

9.1 The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15.

9.2 For a period of one year following separation from service, former staff members who have participated in the procurement process for the UN before separation of the service are prohibited from seeking or accepting employment with, or otherwise accepting any form of compensation or financial benefit from, any UN contractor or vendor of goods and services, regardless of location, which conducts business with the UN or seeks to do so and with whom such staff members have been personally involved in the procurement process during the last three years of service with the UN.

9.3 For a period of two years following separation from service, former staff members who have participated in the procurement process for the UN before separation of the service are prohibited from knowingly communicating with, or appearing before, any staff member or unit of the UN on behalf of any third party on any particular matters that were under their official responsibility relating to the procurement process during the last three years of their service with the UN.

9.4 The United Nations respectfully requests all contractors and vendors to adhere to these regulations. Any UN contractor or vendor who offers employment, hires or otherwise compensates staff members in violation of the provisions of the bulletin may be subject to having its registration as a qualified vendor with the UN barred, suspended or terminated, in accordance with UN procurement policies and procedures.

10. DISCLOSURE OF SANCTIONS OR TEMPORARY SUSPENSION

10.1 Only suppliers found to be responsible or conditionally responsible are eligible to be awarded UNICEF contracts and/or to bid on UNICEF solicitations. To be deemed a responsible supplier with whom UNICEF will conduct business, a supplier should not be suspended, debarred, or otherwise identified as ineligible by any organization within the World Bank Group or any other International or UN Organization. Suppliers are therefore required to disclose to UNICEF whether they are subject to any sanction or temporary suspension imposed by the World Bank Group or any other international or UN organization.
UNICEF GENERAL TERMS AND CONDITIONS
FOR INSTITUTIONAL/CORPORATE CONTRACTS

1. ACKNOWLEDGMENT COPY

Signing and returning the acknowledgment copy of a contract issued by UNICEF or beginning work under that contract shall constitute acceptance of a binding agreement between UNICEF and the Contractor.

2. DELIVERY DATE

Delivery Date to be understood as the time the contract work is completed at the location indicated under Delivery Terms.

3. PAYMENT TERMS

(a) UNICEF shall, unless otherwise specified in the contract, make payment within 30 days of receipt of the Contractor's invoice which is issued only upon UNICEF's acceptance of the work specified in the contract.

(b) Payment against the invoice referred to above will reflect any discount shown under the payment terms provided payment is made within the period shown in the payment terms of the contract.

(c) The prices shown in the contract cannot be increased except by express written agreement by UNICEF.

4. LIMITATION OF EXPENDITURE

No increase in the total liability to UNICEF or in the price of the work resulting from design changes, modifications, or interpretations of the statement of work will be authorized or paid to the contractor unless such changes have been approved by the contracting authority through an amendment to this contract prior to incorporation in the work.

5. TAX EXEMPTION

Section 7 of the Convention on the Privileges and Immunities of the United Nations provides, inter alia, that the UN, including its subsidiary organs, is exempt from all direct taxes and is exempt from customs duties in respect of articles imported or exported for its official use. Accordingly, the Vendor authorizes UNICEF to deduct from the Vendor's invoice any amount representing such taxes or duties charged by the Vendor to UNICEF. Payment of such corrected invoice amount shall constitute full payment by UNICEF. In the event any taxing authority refuses to recognize the UN exemption from such taxes, the Vendor shall immediately consult with UNICEF to determine a mutually acceptable procedure.

Accordingly, the Contractor authorizes UNICEF to deduct from the Contractor's invoice any amount representing such taxes, duties, or charges, unless the Contractor has consulted with UNICEF before the payment thereof and UNICEF has, in each instance, specifically authorized the Contractor to pay such taxes, duties or Charges under protest. In that event, the Contractor shall provide UNICEF with written evidence that payment of such taxes, duties or charges has been made and appropriately authorized.

6. LEGAL STATUS

The Contractor shall be considered as having the legal status of an independent contractor vis-à-vis UNICEF. The Contractor's personnel and sub-contractors shall not be considered in any respect as being the employees or agents of UNICEF.

7. CONTRACTOR'S RESPONSIBILITY FOR EMPLOYEES

The Contractor shall be responsible for the professional and technical competence of its employees and will select, for work under this Contract, reliable individuals who will perform effectively in the implementation of the Contract, respect the local customs and conform to a high standard of moral and ethical conduct.

8. INDEMNIFICATION

The Contractor shall indemnify, hold and save harmless and defend, at its own expense, UNICEF, its officials, agents, servants and employees, from and against all suits, claims, demands and liability of any nature or kind, including their costs and expenses, arising out of the acts or omissions of the Contractor or its employees or sub-contractors in the performance of this Contract. This provision shall extend, inter alia, to claims and liability in the nature of workmen's compensation, product liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Contractor, its
employees, officers, agents, servants or sub-contractors. The obligations under this Article do not lapse upon termination of this Contract.

9. INSURANCE AND LIABILITIES TO THIRD PARTIES

(a) The Contractor shall provide and thereafter maintain insurance against all risks in respect of its property and any equipment used for the execution of this Contract.

(b) The Contractor shall provide and thereafter maintain all appropriate workmen's compensation and liability insurance, or its equivalent, with respect to its employees to cover claims for death, bodily injury or damage to property arising from the execution of this Contract. The Contractor represents that the liability insurance includes sub-contractors.

(c) The Contractor shall also provide and thereafter maintain liability insurance in an adequate amount to cover third party claims for death or bodily injury, or loss of or damage to property, arising from or in connection with the provision of work under this Contract or the operation of any vehicles, boats, airplanes or other equipment owned or leased by the Contractor or its agents, servants, employees or sub-contractors performing work or services in connection with this Contract.

(d) Except for the workmen's compensation insurance, the insurance policies under this Article shall:

   (i) Name UNICEF as additional insured;

   (ii) Include a waiver of subrogation of the Contractor's rights to the insurance carrier against UNICEF;

   (iii) Provide that UNICEF shall receive thirty (30) days written notice from the insurers prior to any cancellation or change of coverage.

   (iv) The Contractor shall, upon request, provide UNICEF with satisfactory evidence of the insurance required under this Article.

10. SOURCE OF INSTRUCTIONS

The Contractor shall neither seek nor accept instructions from any authority external to UNICEF in connection with the performance of its services under this Contract. The Contractor shall refrain from any action which may adversely affect UNICEF or the United Nations and shall fulfill its commitments with the fullest regard to the interests of UNICEF.

11. ENCUMBRANCES/LIENS

The Contractor shall not cause or permit any lien, attachment or other encumbrance by any person to be placed on file or to remain on file in any public office or on file with UNICEF against any monies due or to become due for any work done or materials furnished under this Contract, or by reason of any other claim or demand against the Contractor.

12. TITLE TO EQUIPMENT

Title to any equipment and supplies which may be furnished by UNICEF shall rest with UNICEF and any such equipment shall be returned to UNICEF at the conclusion of this Contract or when no longer needed by the Contractor. Such equipment when returned to UNICEF shall be in the same condition as when delivered to the Contractor, subject to normal wear and tear.

13. COPYRIGHT, PATENTS AND OTHER PROPRIETARY RIGHTS

UNICEF shall be entitled to all intellectual property and other proprietary rights including but not limited to patents, copyrights and trademarks, with regard to documents and other materials which bear a direct relation to or are prepared or collected in consequence or in the course of the execution of this contract. At UNICEF's request, the Contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring them to the UNICEF in compliance with the requirements of the applicable law.

14. CONFIDENTIAL NATURE OF DOCUMENTS

(a) All maps, drawings, photographs, mosaics, plans, reports, recommendations, estimates, documents and all other data compiled by or received by the Contractor under this Contract shall be the property of UNICEF, shall be treated as confidential and shall be delivered only to the UN authorized officials on completion of work under this Contract.
(b) The Contractor may not communicate any time to any other person, Government or authority external to UNICEF, any information known to it by reason of its association with UNICEF which has not been made public except with the authorization of the UNICEF; nor shall the Contractor at any time use such information to private advantage. These obligations do not lapse upon termination of this Contract with UNICEF.

15. FORCE MAJEURE; OTHER CHANGES IN CONDITIONS

(a) In the event of and as soon as possible after the occurrence of any cause constituting force majeure, the Contractor shall give notice and full particulars in writing to UNICEF of such occurrence or change if the Contractor is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under this Contract. The Contractor shall also notify UNICEF of any other changes in conditions or the occurrence of any event which interferes or threatens to interfere with its performance of the Contract. On receipt of the notice required under this Article, UNICEF shall take such action as, in its sole discretion; it considers to be appropriate or necessary in the circumstances, including the granting to the Contractor of a reasonable extension of time in which to perform its obligations under the Contract.

(b) If the Contractor is rendered permanently unable, wholly, or in part, by reason of force majeure to perform its obligations and meet its responsibilities under this Contract, UNICEF shall have the right to suspend or terminate this Contract on the same terms and conditions as are provided for in Article 14, 'Termination', except that the period of notice shall be seven (7) days instead of thirty (30) days.

(c) Force majeure as used in this Article means acts of God, war (whether declared or not), invasion, revolution, insurrection or other acts of a similar nature or force.

16. TERMINATION

If the Contractor fails to deliver any or all of the deliverables within the time period(s) specified in the contract, or fails to perform any of the terms, conditions, or obligations of the contract, or should the Contractor be adjudged bankrupt, or be liquidated or become insolvent, or should the Contractor make an assignment for the benefit of its creditors, or should a Receiver be appointed on account of the insolvent of the contractor, UNICEF may, without prejudice to any other right or remedy it may have under the terms of these conditions, terminate the Contract, forth with in whole or in part, upon thirty (30) days' notice to the Contractor.

UNICEF reserves the right to terminate without cause this Contract at any time upon thirty (30) days prior written notice to the Contractor, in which case UNICEF shall reimburse the Contractor for all reasonable costs incurred by the Contractor prior to receipt of the notice of termination.

In the event of any termination no payment shall be due from UNICEF to the Contractor except for work and services satisfactorily performed in conformity with the express terms of this contract.

Upon the giving of such notice, the Contractor shall have no claim for any further payment, but shall remain liable to UNICEF for reasonable loss or damage which may be suffered by UNICEF for reason of the default. The Contractor shall not be liable for any loss or damage if the failure to perform the contract arises out of force majeure.

Upon termination of the contract, UNICEF may require the contractor to deliver any finished work which has not been delivered and accepted, prior to such termination and any materials or work-in-process related specifically to this contract. Subject to the deduction of any claim UNICEF may have arising out of this contract or termination, UNICEF will pay the value of all such finished work delivered and accepted by UNICEF.

The initiation of arbitral proceedings in accordance with Article 22 'Settlement of Disputes' below shall not be deemed a termination of this Contract.

17. SUB-CONTRACTING

In the event the Contractor requires the services of subcontractors, the Contractor shall obtain the prior written approval and clearance of UNICEF for all sub-contractors. The approval of UNICEF of a sub-contractor shall not relieve the Contractor of any of its obligations under this Contract. The terms of any sub-contract shall be subject to and in conformity with the provisions of this Contract.

18. ASSIGNMENT AND INSOLVENCY
a. The Contractor shall not, except after obtaining the written consent of UNICEF, assign, transfer, pledge or make other dispositions of the Contract, or any part thereof, of the Contractor's rights or obligations under the Contract.

b. Should the Contractor become insolvent or should control of the Contractor change by virtue of insolvency, UNICEF may, without prejudice to any other rights or remedies, terminate the Contract by giving the Contractor written notice of termination.

19. USE OF UNITED NATIONS AND UNICEF NAME AND EMBLEM

The Contractor shall not use the name, emblem or official seal of the United Nations or UNICEF or any abbreviation of these names for any purpose.

20. OFFICIALS NOT TO BENEFIT

The Contractor warrants that no official of UNICEF or the United Nations has received or will be offered by the Contractor any direct or indirect benefit arising from this Contract or the award thereof. The Contractor agrees that breach of this provision is a breach of an essential term of the Contract.

21. PROHIBITION ON ADVERTISING

The Contractor shall not advertise or otherwise make public that the Vendor is furnishing goods or services to UNICEF without specific permission of UNICEF.

22. SETTLEMENT OF DISPUTES

Amicable Settlement

The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of, or relating to this Contract or the breach, termination or invalidity thereof. Where the parties wish to seek such an amicable settlement through conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules then obtaining, or according to such other procedure as may be agreed between the parties.

Arbitration

Any dispute, controversy or claim between the Parties arising out of this Contract or the breach, termination or invalidity thereof, unless settled amicably under the preceding paragraph of this Article within sixty (60) days after receipt by one Party or the other Party's request for such amicable settlement, shall be referred to by either Party to arbitration in accordance with the UNCITRAL Arbitration Rules then obtaining. The arbitral tribunal shall have no authority to award punitive damages. In addition, the arbitral tribunal shall have no authority to award interest in excess of six percent (6%) and any such interest shall be simple interest only. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy, claim or dispute.

23. PRIVILEGES AND IMMUNITIES

The privileges and immunities of the UN, including its subsidiary organs, are not waived.

24. CHILD LABOUR

UNICEF fully subscribes to the Convention on the Rights of the Child and draws the attention of potential suppliers to Article 32 of the Convention which inter alia requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development.

25. ANTI-PERSONNEL MINES

UNICEF supports an international ban on the manufacture of anti-personnel mines. Anti-personnel mines have killed and maimed thousands of people, of whom a large proportion are children and women. Anti-personnel mines present a serious obstacle to the return of populations displaced from their residences by fighting around their villages and homes. UNICEF has, therefore, decided not to purchase products from companies that sell or manufacture anti-personnel mines or their components.

26. AUTHORITY TO MODIFY

No modification or change in this Contract, no waiver of any of its provisions or any additional contractual relationship of any kind with the Contractor shall be valid and enforceable against UNICEF unless provided by an amendment to this Contract signed by the authorized official of UNICEF.

27. REPLACEMENT OF PERSONNEL
UNICEF reserves the right to request the Contractor to replace the assigned personnel if they are not performing to a level that UNICEF considers satisfactory. After written notification, the Contractor will provide curriculum vitae of appropriate candidates within three (3) working days for UNICEF review and approval. The Contractor must replace the unsatisfactory personnel within seven (7) working days of UNICEF’s selection.

If one or more key personnel become unavailable, for any reason, for work under the contract, the Contractor shall (i) notify the project authority at least fourteen (14) days in advance, and (ii) obtain the project authority’s approval prior to making any substitution of key personnel. Key personnel are designated as follows:

(a) Personnel identified in the proposal as key individuals (as a minimum, partners, managers, senior auditors) to be assigned for participation in the performance of the contract.

(b) Personnel whose resumes were submitted with the proposal; and

(c) Individuals who are designated as key personnel by agreement of the Contractor and UNICEF during negotiations.

In notifying the project authority, the Contractor shall provide an explanation of circumstances necessitating the proposed replacement(s) and submit justification and qualification of replacement personnel in sufficient detail to permit evaluation of the impact on the engagement.

Acceptance of a replacement person by the project authority shall not relieve the Contractor from responsibility for failure to meet the requirements of the contract.
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. 97% 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 focused 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 ir-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 adaption. 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.
<table>
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<th>Criteria</th>
<th>Definition of criteria</th>
<th>Key evaluation question</th>
<th>Areas of particular interest</th>
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| 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? | 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? | 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? | 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? | 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? | 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? | 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 online global 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

<table>
<thead>
<tr>
<th>Activity</th>
<th>Deliverable</th>
<th>Timeline*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Phase 1: Inception</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1: Inception meeting in UNICEF NYHQ</td>
<td>Meeting minutes</td>
<td>Weeks 1-2</td>
</tr>
<tr>
<td>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</td>
<td>Draft inception report</td>
<td>Weeks 3-7</td>
</tr>
<tr>
<td>Activity 3: Meeting in UNICEF NYHQ; approval of the final inception report</td>
<td>Final inception report</td>
<td>Weeks 8-10</td>
</tr>
<tr>
<td><strong>Phase 2: Data collection and analysis</strong></td>
<td></td>
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<tr>
<td>Activity 4: Data collection at global level</td>
<td>-</td>
<td>Weeks 11-14</td>
</tr>
<tr>
<td>Activity 5: Country visits</td>
<td>-</td>
<td>Weeks 15-22</td>
</tr>
<tr>
<td>Activity 6: Data analysis; drafting of the interim report</td>
<td>Draft interim report</td>
<td>Weeks 23-25</td>
</tr>
<tr>
<td>Activity 7: Meeting in UNICEF NYHQ; approval of the final version of the interim report</td>
<td>Meeting minutes Final interim report</td>
<td>Weeks 26-27</td>
</tr>
<tr>
<td><strong>Phase 3: Reporting and communication of results</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 8: Drafting of the country case study reports, of the global evaluation report, of the summary PowerPoint, of the evaluation summary</td>
<td>Draft versions</td>
<td>Weeks 28-32</td>
</tr>
<tr>
<td>Activity 9: Meeting in UNICEF NYHQ; approval of the final deliverables</td>
<td>Meeting minutes</td>
<td>Weeks 33-38</td>
</tr>
<tr>
<td>Activity 10: Final dissemination event in NYHQ</td>
<td>Meeting minutes</td>
<td>Weeks 39-40</td>
</tr>
</tbody>
</table>

*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 exercises 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 evaluableity 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 used—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 (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
   - Capabilities, 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)

➤ Note: 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 template.

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 RDPS 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 subclassified 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 focusing 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.

<table>
<thead>
<tr>
<th>Level of analysis</th>
<th>Detailed evaluation questions by criterion</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Relevance</strong></td>
<td>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?</td>
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<tr>
<td></td>
<td>- 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?</td>
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<tr>
<td></td>
<td>- 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?</td>
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<tr>
<td></td>
<td>- Are there new developments, recent innovations, unexplored activities or specific niches that UNICEF has neglected and in which it should invest?</td>
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<tr>
<td>Global / HQ / regional level</td>
<td>- 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?</td>
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<tr>
<td></td>
<td>- 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?</td>
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<tr>
<td></td>
<td>- Have UNICEF country programmes adequately aligned with national policies, strategies and principles related to drinking water supply in rural areas and small towns?</td>
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<td>- Have they supported national ownership?</td>
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<tr>
<td>National / sector level</td>
<td>- 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)?</td>
</tr>
<tr>
<td>Service / programme level</td>
<td>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?</td>
</tr>
<tr>
<td>Global / HQ / regional level</td>
<td></td>
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<td>----------------------------</td>
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<tr>
<td>- What was the direct contribution of UNICEF to the rural water supply related MDG target during the evaluated period?</td>
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<tr>
<td>- 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?</td>
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<tr>
<td>- What is the level of credibility/reliability and accuracy of results that have been reported through corporate M&amp;E systems?</td>
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<tr>
<td>- 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?</td>
<td></td>
</tr>
<tr>
<td>- 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?</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>National / sector level</th>
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<tbody>
<tr>
<td>- 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)?</td>
</tr>
<tr>
<td>- How effectively and adequately has UNICEF engaged with government partners? (notably with reference to analysis of bottlenecks, procurement processes, capacity strengthening, etc.)</td>
</tr>
<tr>
<td>- 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?</td>
</tr>
<tr>
<td>- What is the level of credibility/reliability, functionality and accuracy of results that have been reported through country- or programme-level M&amp;E systems?</td>
</tr>
<tr>
<td>- 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?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service / program level</th>
</tr>
</thead>
<tbody>
<tr>
<td>- What has been the level of quality in programmes’ implementation, especially with regard to:</td>
</tr>
<tr>
<td>- 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;</td>
</tr>
<tr>
<td>- 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;</td>
</tr>
<tr>
<td>- 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;</td>
</tr>
<tr>
<td>- Partnership arrangements and capacity building of implementing partners;</td>
</tr>
<tr>
<td>- Adequacy of field supervision and quality control mechanisms of hardware and software interventions?</td>
</tr>
</tbody>
</table>

**Efficiency**

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?

<table>
<thead>
<tr>
<th>Global / HQ / regional level</th>
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</thead>
<tbody>
<tr>
<td>- 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?</td>
</tr>
<tr>
<td>- 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?</td>
</tr>
<tr>
<td>- 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?</td>
</tr>
<tr>
<td>- How could integration and partnerships (at both upstream and downstream levels) be further strengthened?</td>
</tr>
</tbody>
</table>
| National / sector level | - 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?
- Have results been achieved on time? When significant delays have been experienced, what were the most common reasons?

| Service / program level | - 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 | - 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 | - 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 | - 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 | - 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? |
| National / sector level | - 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?  
  - 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? |
| Service / program level | - 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):  
  - 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? |

**Innovation / Upscaling**

Key question: Has UNICEF been able to identify and test new programmatic approaches and take them to scale if successful?

| Global / HQ / regional level | - 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:  
  - 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.

<table>
<thead>
<tr>
<th>Brief description of the assignment (Title, objective and scope):</th>
<th>Country(ies) of assignment:</th>
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<tbody>
<tr>
<td>Location (region, district, commune):</td>
<td>Client's name, address, and valid email and phone number:</td>
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<tr>
<td>Start date (month/year):</td>
<td>End date (month/year):</td>
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<td>Approximate contract value (in USD):</td>
<td>Key experts mobilised for the assignment (number, names):</td>
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</table>
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.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Duration (weeks)</th>
<th>Weeks (starting from the contract signature date)</th>
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<tr>
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<tr>
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<td>Activity 2: Inception work, draft inception report</td>
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<tr>
<td>Activity 3: Meeting in NYHQ; final inception report</td>
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<td>Activity 4: Data collection at global level</td>
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<td>Activity 5: Case country visits</td>
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<td>1 2 3 4 5 6 7 8</td>
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<tr>
<td>Activity 6: Data analysis; draft interim report</td>
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<td>Activity 7: Meeting in NYHQ; final interim report</td>
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<td>Activity 8: Draft evaluation deliverables</td>
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<td>Activity 9: Meeting in NYHQ; final deliverables</td>
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<tr>
<td>Activity 10: Dissemination event in NYHQ</td>
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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.

<table>
<thead>
<tr>
<th>Function</th>
<th>Name</th>
<th>Age</th>
<th>Number of year of relevant professional experience</th>
<th>Specific role</th>
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<td>Water supply specialist</td>
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| **Technical experts – international, intermediate** | | | | |
| | | | | |

| **Technical experts – international, junior** | | | | |
| | | | | |

* 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.

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<tr>
<th>Experts*</th>
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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.

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Phase 2

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<td><strong>Fees:</strong> (subtotal)</td>
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<td>International, senior experts</td>
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<tr>
<td>Etc.</td>
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<td>International, intermediate experts</td>
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<td>Expert 6 (name)</td>
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<td><strong>Overhead (indirect, administrative costs)</strong></td>
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<td><strong>Grand Total</strong></td>
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