

COMMUNITY-LED ACCELERATED WASH (COWASH IV) PROJECT

TERMS OF REFERENCE (ToR) FOR CONSULTANCY SERVICES FOR THE TECHNICAL EXECUTION OF COWASH PHASE IV PROJECT BASELINE SURVEY

1. BACKGROUND

Finland's support to the Ethiopian WASH sector started with the introduction of Rural Water Supply and Environmental Program (RWSEP) in Amhara region in 1994. After 17 years of intervention, benefiting 1.7 million people in 20 districts of Amhara region, RWSEP was replaced with Community-Led Accelerated WASH (COWASH I) project in 2011. COWASH has been implemented in phases, COWASH Phase 1, 2, 3 and 4 (2011-2024) with the task of further developing and scaling-up Community Managed Project (CMP) approach to national level. CMP was developed in 2003 in RWSEP.

In the last 26 years (1994 to 2020), RWSEP, COWASH and FinnWASH-BG project, another bilateral WASH project between the two governments, have provided safe water supply to over 5.68 rural Ethiopians in five regions. From this, COWASH alone in the ten years (2011-2021) has contributed safe water to over 3.68 rural Ethiopians through the construction of 15,573 new and rehabilitation of 1,981 community water supply schemes. Furthermore, Finland decided to join the group of donors (World Bank, DFID, African Development Bank and UNICEF) contributing to the One WASH National Program-Consolidated WASH Account (OWNP-CWA) Program starting in 2016.

The method deployed by the project to transfer finance for construction of safe water supplies and institutional sanitation services is in line with Finland's assertion and decision to continue supporting COWASH. In COWASH, investment funds are generated from the regional government budget coffin and these funds flow directly to the target communities through micro finance institutions (MFIs) in the project regions. Government of Finland (GoF) support is channeled mainly to capacity building through the government structure.

COWASH project expanded from 3 regions in 2011 to 5 regions in 2014 and from 31 woredas in 2011 to 76 woredas by 2015. The 4th Phase (2021-24) has expanded from 5 regions and 76 woredas in the 3rd Phase to 6 regions, including Sidama region, which was split from SNNPR, and 104 woredas. In each region, the Regional Support Units (RSU), employed from the Government of Finland (GoF) fund contribution and hosted by the Regional Water Bureaus, are established, capacitated and functional for assisting COWASH implementation in the regions.

Another remarkable impact of COWASH was the achievement in water supply functionality. Nearly in all COWASH woredas, the rural water supply non-functionality rate 7.4 % is below the GTP target of 8 % by June 2020. This good result was achieved due to all WASH actors contribution in the project woredas where the major actor is COWASH. COWASH contribution to this good non-functionality result was due to the strong CMP approach creating ownership, provision of intensive community level trainings and rehabilitation of old water supplies.

The achievements in institutional water supply and sanitation are below the targets due to the priority in investments given to community water supply, challenging hydro-geological conditions of the institutions' locations and expensive technical solutions required to solve the institutional WASH problems. The three phases of COWASH managed to construct and made accessible potable water supply and improved latrines to 1,045 rural institutions (805 schools & 240 health institutions) and 579 rural institutions (313 schools & 266 health institutions), respectively.

COWASH Phase IV project, started in April 2021, is going to be implemented until 2024 in 104 woredas of 6 regions: Amhara (40), Tigray (12), SNNPR (13), Oromia (30), BG (4) and Sidama (5). The launching of this phase had been extended for more than a year mainly due to existence of unfinished activities from the 3rd phase and the emergency of COVID-19 pandemic, which necessitated COWASH to design a separate 9-month COVID-19 Emergency Response and Resilience Building project to support the government's effort in the fight against the pandemic and fill the gap observed in the two phases.

The global context for the COWASH IV Project is achieving the relevant Sustainable Development Goals (SDG) and related targets set at the country level for their achievement. The targeted impact is to **contribute to improvement in public health and well-being, social development & climate resilience in the communities through WASH interventions in the Project areas**. During the four years of implementation (2021 to 2024), COWASH phase IV project planned to provide safe water supply to more than 0.96 million rural people of the project woredas in 5 project regions through the construction and rehabilitation of 4,185 community water supply schemes. Besides, this 4th phase of COWASH will provide institutional water supply services to over 271 rural schools and 368 rural health institutions and improved latrines to 324 rural schools and 404 rural health institutions. COWASH Phase IV Project planned to carry out a baseline survey to get in sight into the existing situation of the project areas before the launching of the project and set clear targets for selected indicators. Data collection for this baseline will be conducted in December 2021. For the purpose of this baseline survey, Project regions are organized in 3 Lots.

2. SCOPE OF THE TOR

The baseline survey will be conducted in selected COWASH Phase IV project woredas of the regions under each **Lot**. The consultancy services covered by this Terms of Reference (ToR) include:

1. Development of sound statistical survey methodology;
2. Development of data entry and analysis program or structure suitable to the data collection tools;
3. Technical execution of the baseline data collection for COWASH IV based on a defined methodology;
4. Encode and prepare the baseline data for statistical analyses; and
5. Write the baseline survey report based on agreed outlines.

3. OBJECTIVES OF THE CONSULTANCY SERVICES

The main objectives of the consultancy services are: i) developing a statistical methodology to collect and analyze baseline data; ii) collecting primary and secondary data on water, sanitation and hygiene (WASH) status of rural communities and institutions (schools and health institutions) in selected COWASH IV working areas based on agreed methodology; iii) encoding and preparing baseline data to data entry software for analysis; and iv) preparing baseline survey report. Specific information needs in addition include water management practices, inclusion of women and persons with disability in water management and equal access to water and sanitation services.

The specific objectives of the consultancy services include:

- Develop statistical data collection statistical methodology to collect primary and secondary quantitative and qualitative data from selected rural households and institutions;
- Develop Computer (mobile)-Aided Personal Interview (CAPI) data entry software for the baseline data collection;
- Conduct the baseline survey (quantitative and qualitative) CAPI data collection in selected rural areas of COWASH Phase IV woredas from each **Lot** as per the agreed methodology of the baseline survey;
- Clean and prepare the CAPI baseline data and make it ready for analysis;
- Ensure the adequate logistical arrangements (such as recruitment of experienced supervisors and enumerators, organizing vehicles, accommodation and research equipment) for the successful and smooth completion of baseline data collection in the selected woredas;
- Train all the supervisors and enumerators on the data collection tools, procedure and ethics of data collection in collaboration with the COWASH assigned staff;
- Supervise and monitor the data collection and quality of the data collected from rural households and institutions (schools and health facilities); and
- Prepare a report on the baseline survey based on agreed outlines.

4. DETAILED TASKS EXPECTED FROM THE CONSULTANCY SERVICES

The specific tasks to be conducted and outputs expected from the Consultancy Service selected are:

- Prepare workable plan to conduct the baseline survey including the CAPI development, data entry, analysis and report;
- Recruit experienced supervisors and enumerators for the CAPI data collection with a full knowledge of the local languages in the data collection sites. At least 50% of the enumerators should be women;
- Develop data collection questionnaires and checklists in consultation with the COWASH FTAT;
- Participate and assist the COWASH staff assigned in the training of supervisors and enumerators on the data collection tools used for the baseline data collection including the CAPI software; All the training costs, except the trainers, will be covered by the consultant;
- Arrange the needed logistical arrangements for the successful completion of the baseline data collection, entry and analysis such as organizing vehicles, accommodation and data collection and encoding equipment for the enumerators and data entry personnel;
- Prepare the sampling frame in the sample areas, or Enumeration Areas (EAs) prepared by the Ethiopian Central Statistical Agency (CSA), together with the kebele administration or elderly people in the villages where the EAs selected are

- located. The sampling frames are the list of the households living in the EAs selected for the baseline household survey data collection and institutions in the kebeles where the sample households are residing;
- Conduct the selection of households and institutions to be interviewed, as per the methodology used for the baseline survey, in the selected Enumeration Areas (EAs) together with the kebele administration or elderly people in the villages;
 - Conduct the baseline data collection from the selected rural households in selected project woredas simultaneously and plan the travel routes in the most economical and time-saving way possible;
 - Conduct WASH data collection from schools and health facilities in the kebeles where the selected EAs are located. In many of the kebeles, there are only two institutions -1 school and 1 health facility;
 - Supervise and ensure the quality of the data collected from households, institutions, and WASHCOs;
 - Encode the baseline data of rural households and institutions into the CAPI-based Data Entry Structure/program developed for the purpose;
 - Clean the data entered into the CAPI-based Data Entry Structure/Program and make it ready for statistical analyses. COWASH assigned staff approves the CAPI program and data entry before any data collection and analysis;
 - Liaise and coordinate with the local government officials in the selected woredas and kebeles in the data collection;
 - Prepare guideline for the data collection from households, institutions, and WASHCOs. The guideline shall detail the responsibilities of supervisors and enumerators at different levels: woreda, kebele, WASHCO, institution (school and health facility) and EA. This guideline is to be commented and approved by COWASH assigned staff before the training of the supervisors and enumerators;
 - Incorporate comments and suggestions of COWASH staff on the CAPI, procedures of data collection, data entry and data cleaning procedures;
 - Prepare 'Code Books', if necessary, for the different Data Entry structures and give to each enumerator or data entry personnel;
 - Facilitate and assign experienced staff in the training of enumerators and supervisors on the data collection tools, CAPI data entry structures and guide on the data collection process;
 - Submit cleaned CAPI-based and SPSS baseline datasets and Syntax files to COWASH;
 - Make analyses on the cleaned baseline data in SPSS following the "SPSS Syntax File" created for the baseline data analyses;
 - Prepare a report outline for the Baseline Survey report by including the comments and suggestions of COWASH staff;
 - Prepare draft baseline survey report, based on agreed report outline, and submit to COWASH; and
 - Incorporate comments and suggestions from COWASH staff and submit final baseline survey report to COWASH.

5. DELIVERABLES EXPECTED FROM THE CONSULTANCY SERVICES

The consultancy services is expected to deliver the following to the COWASH assigned staff:

- Inception report for the assignment;
- Monthly Progress reports as per the contract agreement signed;
- CAPI data collection structure or program before launching the baseline data collection;
- Cleaned CAPI data datasets and their SPSS versions, for comments and suggestions, before making any analysis;
- CAPI datasets and their SPSS versions incorporating the comments and suggestions of COWASH assigned staff;
- Table of Content for draft Baseline survey report;
- Draft baseline survey report;
- Final CAPI and SPSS datasets and SPSS Syntax Files used for the statistical analyses;
- Final baseline survey report incorporating comments and suggestions from COWASH assigned staff.

6. COWASH RESPONSIBILITIES

So as to save time, reduce cost of the survey, and improve the quality of the baseline data, COWASH will avail the following to the selected consulting firm:

- COWASH Results Framework with the indicators requiring survey data;
- Train the supervisors and enumerators in collaboration with the winning consulting firm (training costs, excluding the trainer, covered by the consultant);

- Letter of collaboration from the Ministry of Water and Energy (MoWE) and COWASH IV Project Regional Bureaus to conduct the baseline data collection in selected woredas; and
- Conduct supervisions in selected data collection sites and communicate the findings to the consultancy firm.

7. STUDY AREAS AND METHODOLOGY

7.1 STUDY AREAS

For this baseline survey, the names of regions represent only the group of COWASH IV Project Woredas in the respective region and not the entire woredas of the project regions. For the purpose of easing the baseline data collection and saving time, the COWASH IV Project Regions are organized in three **Lots**.

Lot 1: SNNP Region (13 Woredas) & Sidama Region (5 Woredas);

Lot 2: Oromia Region (20 Woredas) excluding woredas of *West Shoa, Horo Guduru, East Wollega and West Guji zones Woredas*;

Currently, the security situation does not allow to conduct baseline survey in three of the COWASH IV Regions: Amhara, BG and Tigray. Baseline survey will be conducted in the three regions when the security situation in the regions becomes convenient for data collection.

7.2 METHODOLOGY AND SAMPLE SIZE ESTIMATION

The consultant will develop a scientific statistical survey design and methodology to select respondent households and institutions (schools and health institutions) in the kebeles where the sample households are residing. The sampling procedure is designed in a way that **sample households are representative of the rural households in the groups of woredas** in the specific regions under each Lot. Sample sizes of rural households will be determined, for each group of woredas, using statistical formulae considering the survey design.

For the purpose of selecting households from the selected sites or Enumeration Areas (EAs), a fresh list of households in the EA, or selected sites, will be prepared by the winning consultant in collaboration with the kebele administration and village level key informants. This new list will serve as a Sampling Frame for the household selection by employing the methodology designed for the baseline survey.

For the institutional WASH data collection, all the schools and health institutions in the rural kebeles where the sample households are living will be considered. It is known that there are two institutions (1 school and 1 health facility) in most rural kebeles. However, if there is no any school or health facility in the kebele, institutions nearby that the people of the kebele are using will be considered for WASH data collection. Moreover, if there are more than one schools or health facilities in the kebele, WASH data will be collected from all of these institutions as per the data collection tools.

WASH data will also be collected from community water supply schemes that the rural households in the selected sites or EAs are using. In most cases, there is only one community water supply scheme in a selected site or EA. However, if there are more than one community water supply scheme in the sample site or EA, all of them will be considered for data collection. If there is no any water supply scheme in the sample site or EA and rural households are benefiting from a scheme outside of the site or EA, the consultant will consider all the nearby water supply schemes that the households in the selected sites are getting their drinking water.

7.3 SURVEY DATA COLLECTION INSTRUMENTS

The survey collects baseline data from six targets in the sample areas. The winning consultant will develop unambiguous questionnaires that will help to collect primary and secondary, quantitative and qualitative, data from representatives of these study targets. These data collection tools will be commented and agreed by the client before they are employed for actual data

collection. All the data collection tools will be pre-tested by the enumerators and supervisors during the training of these data collection personnel. Consequently, the comments and suggestions on each of these questionnaires will be incorporated before launching the actual data collection in the sample areas. The following are the data collection tools to be used for the baseline data collection:

1. Household Survey Questionnaire
2. Community Water Supply Scheme Inspection Questionnaire
3. Health Facility WASH Data Collection Questionnaire
4. School WASH Data Collection Questionnaire
5. Kebele Key Informant Questionnaire used for kebele level focus group discussion (FGD) with kebele WASH team, religious leaders, youth and women's associations in the selected kebeles
6. Woreda Key Informant Questionnaire used for Woreda level focus group discussion with Woreda WASH team

Details of the major data collection instruments and procedures of data collection are listed below:

Household survey Questionnaire: this will be filled for each sample household using the CAPI data collection method. Estimates made based on the household level data should infer about the rural households in the group of woredas of a specific project region. The household level data will be collected by two enumerators or data collectors (one male & one female) with the participation of female household member(s) and heads of households. The quality of the data and the logistics arrangements for the data collection will be handled by trained supervisors.

Community Water Supply Scheme Inspection Questionnaire: This will be filled for each water supply scheme using the CAPI data collection method. All community water supply schemes in the selected sites or EAs (clusters) will be inspected by two enumerators based on the questionnaire prepared for the purpose of collecting data of the water supply schemes in the selected sites. This inspection will be conducted in parallel with the household data collection and it focuses on functionality and management of the water supply schemes. Data on drinking water will also be collected from the beneficiaries based on their perceptions. *The data collected from the WASHCOs of the water supply schemes inspected in the sample sites or EAs will be representative of the schemes in the sample sites or EAs where these institutions are located. That means, estimates made based on the data collected from these schemes in the sample sites or EAs do not infer about the schemes in the group of project woredas and kebeles in the project region.*

Institutional data collection Questionnaires: This will be filled for each institution (school & health institution) using the CAPI data collection method. All water supply schemes and latrines in schools and health facilities in the kebeles where the sample sites are located will be inspected based on the inspection checklists including a rapid assessment of the status of water and sanitation services, including MHM, in the institutions and their availability and accessibility especially for girls and people with some kind of disability. Data on drinking water will also be collected from the institutions based on their perceptions. *The data collected from the schools and health institutions in the kebeles will be representative of the institutions in the sample kebeles where these institutions are located. That means, estimates made based on the data collected from the institutions in the sample kebeles do not infer about the institutions in the group of project woredas and kebeles in the project region.*

Woreda and Kebele Key Informant Questionnaires or Checklists: This will be filled for each key informant (woreda & kebele) using the CAPI data collection method. Data (secondary & primary) will be collected from the sample Woredas and Kebeles with the participation of kebele and woreda key informants. This is made to collect data on some generic issues in and around the kebele and woreda to augment the findings of the household survey and schemes inspection. The main topics include, among others, management and coordination of the development and management of WASH services in the woreda/kebele. The woreda and kebele level data (secondary & primary) can be conducted by the trained supervisors with assistance of the community/institutional scheme facilities inspection enumerators. *The data collected from the woreda and kebele key informants will only represent the sample woredas and kebeles where they provided the secondary or primary data. This is tantamount to saying that estimates made based on the woreda and kebele level data collected from the key informants do not infer about the group of woredas and kebeles in the project regions.*

7.4 DATA COLLECTION MODALITY

A survey data can be collected through paper-based, mobile-based (CAPI) or both methods. However, the client prefers the CAPI method of data collection so as to save time, maintain the quality of the data, and minimize lose of data. In the technical proposal, the consultant is expected to clearly mention this data collection method and provide clear information on their internal quality assurance and data verification systems in place. It should be noted that the consultant is responsible for any lose of data at any level due to any condition.

7.5 ETHICAL CONSIDERATIONS

In the technical proposal, the consultant is expected to list or mention the types of ethical considerations to be adhered during the data collection, analysis and management of the survey data. An adequate number (minimum 50%) of female enumerators will be employed, as one ethical consideration, to ensure the privacy and confidence of female respondents. The consultant is expected to ensure that the enumerators selected to work in each specific region are fully familiar with the local language of the region or district and have experience in data collection from rural households and institutions. Supervisors and enumerators will be trained by COWASH assigned staff, in collaboration with the consultant's staff, on ethical considerations together with the data collection questionnaires.

7.6 REQUIRED EXPERTISE

The baseline survey team shall be multi-disciplinary. The baseline data collection team will include a number of experienced and qualified professionals working as supervisors and enumerators (50% female). The consultant is expected to propose a suitable number of staff to be employed for the assignments in each **Lot** and present a clear staffing plan on the utilization of their resources in the most efficient possible way. The consultant should have team members with the following expertise:

- Team leader with good experience in rural WASH and public health;
- Demonstrated skill and experience in survey methodology development;
- Demonstrated experience in sanitation and hygiene
- Demonstrated skill and experience in mobile (CAPI) or paper-based data collection in rural areas, preferably in the COWASH Project regions;
- Demonstrated skill and experience in developing data entry structures in CSPro, FoxPro or SPSS;
- Demonstrated experience in entering survey data to CSPro;
- Demonstrated experience in using and making analysis using statistical software: SPSS, Stata, CSPro, etc.;
- Demonstrated experience in preparing baseline survey reports; and
- Knowledge of the local languages (Amharic, Afaan Oromo, Sidamigna) in the project woredas

7.7 SCHEDULE

A consultant can bid for one or ALL of the Lots. The assignment is expected to be completed before 30th March 2022. Consultants are expected to prepare and include their **own detailed schedules or workplans**, for each **Lot** they are bidding, in their technical proposal. The assignment **in each Lot** will be carried out with the following schedule (Table 1) to be **filled by the winning consultant**.

Table 1: Assignment Implementation schedule

Schedule	Actions	Date
January 2022	<ul style="list-style-type: none"> Providing the ToR for consultants/bidders Submission of tender Opening of the tender 	03 Jan. 2022 14 Jan. 2022 at 4:00 pm latest 14 Jan. 2022 at 4:30 pm
January -February 2022	<ul style="list-style-type: none"> Evaluation of the tenders Approval of the winning consultant Signing of the contract agreement Selection of the supervisors and enumerators by the consultant Development of data collection tools Development of data entry structure Duplication of adequate number of data collection tools/ questionnaires for training and pre-test Training of the supervisors and enumerators by COWASH assigned staff in collaboration with the consultant Deploy supervisors and enumerators to the Lot regions 	17-21 Jan. 2022 24-26 Jan. 2022 28 Jan. 2022 ----- ----- ----- ----- ----- -----
February 2022:	<ul style="list-style-type: none"> Data collection in Lot 1 Regions (<i>SNNPR & Sidama</i>) Data collection in Lot 2 Region (<i>Oromia</i>) 	----- -----
March 2022:	<ul style="list-style-type: none"> Data cleaning Preparation and discussion on “Table of Content” of report Preparation of Tabular structures for analyses Generating outputs (from SPSS) as per the tabular structures Writing baseline survey report Submission of draft baseline survey report 	----- ----- ----- ----- ----- -----
April 2022:	<ul style="list-style-type: none"> Making corrections on the draft report Submission of final report incorporating comments & suggestions of COWASH staff 	----- -----

7.8 BUDGET

The consultant is expected to provide a detailed budget, for **each Lot** they are bidding, in their price tender as per the price tender template below.

Table 2-1: Price Breakdown Template

Lot Number: -----(**Lot 1, Lot 2**)

Name of the team member/ specialist	Specialist role	Daily Fee (in Birr)	No. of work days	TOTAL (in Birr)
Specialist 1 (Full Name)				
Specialist 2 (Full Name)				
Specialist 3 (Full Name)				
TOTAL Fee				

Estimated reimbursable costs	
TOTAL	
VAT (15%)	
Grand Total	

List of reimbursable costs

Reimbursable cost item description	Total (in Birr)
TOTAL	

The reimbursable costs will be reimbursed according to the original legal receipts provided by the consultant to the maximum sum indicated above. The estimated costs of reimbursable costs to be listed by the consultant to the financial tender.

The payments for the winning consultant will be made (in Birr) in four installments.

- 35 % as an advance upon signing the contract;
- 30 % upon completion of the data collection;
- 25 % upon submission of the draft report;
- 10 % upon the submission of the final report and all the datasets

Payments for the last three payments will be made by using cheque after two days of the submission of the request if the quality of the work is found to be satisfactory by COWASH.

7.9 SUBMITTING THE TENDER

The date of submission of tender is 23 Dec. 2021 at 4:00 pm. The tender, which shall be prepared in English language, shall consist of two parts, the Technical tender and Price tender, submitted together in two sealed envelopes and the PDF version of Technical Tender in soft copy by e-mail to the address given below. The Technical Tender and the Price Tender shall be submitted in two copies each.

Tenders submitted after the deadline will not be considered. Any clarification on the preparation of the tender and data collection can be obtained from the COWASH's Monitoring, Evaluation and Learning (MEL) Specialist delegated to act as contact person for the baseline survey (Ato Abebaw Getachew, abebaw.getachew@cmpethiopia.org). Telephone: +251-921-33 84 36

The tenders shall be delivered to the following address:

Ministry of Water and Energy
COWASH Phase IV Project
Ato Abebaw Getachew/ Mr. Arto Suominen
1st floor Room no. 15
Addis Ababa, Ethiopia

Subject: COWASH Phase IV Project Baseline Survey Tender ----- Lot (**Lot 1, Lot 2, Lot 3**)