KERALA RURAL WATER SUPPLY AND SANITATION AGENCY (KRWSA)

TERMS OF REFERENCE (TOR)
for
Sustainability Evaluation Exercise – (SEE- 3)

Jalanidhi: A Rural Water Supply And Sanitation Project

Terms of Reference (TOR) For Sustainability Evaluation Exercise (SEE-3)

1. Background:

The Kerala Rural Water Supply and Environment Sanitation Project, popularly known as "Jalanidhi" was conceptualized and designed on the principles of Water Sector Reforms. This was based purely on a demand responsive approach and was to be designed, implemented, operated and owned by the users themselves. An autonomous institution "Kerala Rural Water Supply and Sanitation Agency" (KRWSA) was set up under the Water Resources Department , GoK, to implement this project.

KRWSA has implemented Jalanidhi phase-1 project in 112 selected Panchayath in the State except Alappuzha District during the period 2001-2008. Because of the success of Jalanidhi I project, Government had decided to implement Jalanidhi II project during 2012-2018 with a total outlay of about Rs.1358. crores in approximately 115 Grama Panchayaths.

KRWSA had conducted first round of sustainability evaluation in 2015 covering 300 schemes of bathch-1 & second round in 2017 covering 900 schemes of Batch1&2 in Jalanidhi phase-2 which had completed at least 6 months of post implementation operation by communities.

2. Objective

The major objective of this assignment is to evaluate the sustainability of the various water systems set up under the project:

- Assess the degree of sustainability of the systems that have been set up under the project- technical, financial, institutional and operational including the source, on pre-determined parameters that impact sustainability
- Study the organizational dynamics operating in a community driven service utility
- Understand the emerging issues and suggest responsive measures that can be adopted in the project to either mitigate or even prevent such fallouts

3. Scope of Work

Of the total 1943 functional schemes in the project as on 20.09.18, 691 schemes have completed more than one year of operation after scheme exit formalities done by KRWSA. Stratified random sample from these schemes are to be studied on the identified parameters defining sustainability. 200 pumping schemes of batch-I/II/III are to be covered in the proposed study. The sustainability scenario of new schemes, large water supply schemes, KWA / GP rehabilitation schemes and Schemes implemented in Tribal GPs are to be studied separately.

The detailed outline of the work includes refining the parameters of sustainability given below and conduct the assessment accordingly

a. Technical Sustainability

- Procedures and systems being practiced in operating the constructed systems
- Regularity, timeliness and adequacy of operations
- Disruptions in supply due to down time of system, or lack of water, or disruption in power supply etc
- Adequacy of the source and local response in facing the scarcity
- Levels of Water usage and usage control practices followed /devices used
- Practices followed to ensure equitable distribution
- Practices followed in times of water shortage
- Water recharges initiatives to complement and ensure sustainability. A detailed report on BG wise activities of GWR activities undertaken may be reported.
- Inclusion of new members if any and criteria for selection
- Disinfection practices followed at the BG level and boiling practice at household level
- Water Quality Monitoring
- Repairs and maintenance of the scheme including an assessment of the types of repairs or maintenance works done, if any. This is also to be related to the age and type of scheme
- If any augmentation works done, if so, was it done to improve service delivery or to increase coverage.

b. Financial Sustainability

- Financial viability of the system and problems faced thereon
- Cross- subsidization within the group
- O& M tariffing-whether fixed or volumetric and collection practices
- Cases and extent of defaulting- to be studied in detail in Tribal schemes.
- Profiling of the habitual O & M payment defaulters
- Coping mechanisms of the BG in dealing with delayed payments
- Analysis of the O & M costs incurred like operator's costs in manual and automated systems, energy costs etc. vis- a- vis type of system
- Record Keeping / Maintenance of records
- System of approval of expenses
- Practices followed to ensure transparency in financial matters within the BG
- Practice of monthly contribution to the BGF
- Present KSEB Tariff slab category / billing methods
- Whether volumetric billing is practiced
- Ability of investing by BGs in case of any breakdown
- Financial support available from GPs or State Government

c. Institutional sustainability, ownership and community participation

- Extent of information sharing and systems followed for the same
- Levels of participation in decision making processes

- Levels of transparency
- Complaint rectification mechanism
- Strategies adopted to keep BG active & vibrant.
- Inclusion of the women and the identified vulnerable groups in the decision making processes
- Ability of the community to learn and incorporate these learnings into bettering the system
- Efforts made to include/ keep the poor and the vulnerable in the system
- Inter- BG dynamics
- Intra- and inter BG problems faced and the response mechanisms/ problem solving mechanisms/ crises management mechanisms evolved
- Annual election of committee members & renewal of registration.
- GP- BG link- up for purposes of sustainability
- Involvement of BG members in other local initiatives
- GP level BG Federations and their financial and managerial ability to intervene in BG issues
- Maintenance of records

d. User Satisfaction

- Levels of satisfaction of the users vis- a- vis timing, adequacy of quantity / quality of water, accessibility, reliability, cost- effectiveness of the system
- Increased usage of water due to better accessibility
- Reduction perceived in time, effort and drudgery after scheme implementation
- Perceived impact of the project on the quality of life
- Stated and observed impacts - like environmental, health, economic, social/ cultural, gender related and community dynamics related

e. Behavioral Change Sustainability

- usage of community latrines / community biogas system
- Maintenance of community sanitary structures constructed
- Study the sustainability of the Jalanidhi community sanitation structures

f. Women (and child) Development Initiatives

- Degree of success in mainstreaming women into the decision making bodies of the BG
- Role of women in the BGs and in different capacities
- Level of acceptance of the changing roles of women in the BG/GP
- Benefits perceived by women from Jalanidhi support on Water and Sanitation (access, reduced drudgery, perception on quality of water from Jalanidhi sources, privacy offered, improved income earning opportunities and any other benefits)

g. Consultative workshop

Debriefing to the BG Federation and GP is mandatory. Consultative sessions with the RPMU at the end of the survey is essential. The outcome of these consultative sessions will also form a part of the report.

4.Methodology

The survey shall include questionnaire and checklist for Focus Group Discussions (FGD) for rating the performance. All the meetings as part of the study shall be participatory in approach. The consultants will develop and use tools like structured and semi- structured questionnaires, and other participatory techniques to elicit information from the BGs and the water users. The questionnaires developed and used for SEE 1 and SEE 2 to be modified in consultation with KRWSA. In the case of Beneficiary household survey for small schemes, a sample of 10% of the beneficiary households (minimum 5) in each scheme has to be surveyed and for large schemes,30 households or 10% of the sample whichever is minimum are to be surveyed.

The consultant should feed the study data into JIMS software- the MIS platform of KRWSA.

5. Indicative list for draft assessment report

a. Sustainability – rating on probability of suitability in various schemes. This should include assessment of source sustainability, operational sustainability and financial sustainability. Document best practices, case studies, recommendations for improving the sustainability and specific issue related recommendations.
b. The consultants should provide a detailed quantitative picture of the community tariffing, profile of the expenses incurred and contribution (in terms of actual money and/or money equivalent) mobilized. Means of mobilization across the different economic and geographical strata should also be discussed.
c. They should provide detailed insights into the organizational dynamics, decision making processes, crisis management methods, cross- subsidizations either planned or evolved, water management methods adopted during times of water shortages, watershed management activities etc.
d. Analyze the differences across the GPs and districts; like, reasons for success/ failure of a particular BG/ activity in a particular region with special focus on the tribal and the coastal schemes
e. Analysis on the processes and procedures involved taking into Account the different areas and user groups like tribal, fishers etc. and the recommendations made should also be within these parameters.
f. Analyze the institutional mechanisms and arrangements evolving for purposes of sustainability like the BG Federation, BG- GP linkages, dove- tailing with allied activities and evolving of the BG into a local resource base for taking up other developmental activities in the Panchayath.
g. Gender – impact of Jalanidhi supported programs on women and children.
h. Sustainability indicator key data of all schemes to be uploaded in JIMS.

6. Time Schedule:

This assignment is for a period of three months from the date of signing the contract.

Outputs Required:

S No.	Report	Contents	Schedule	**Payment Schedule**
1.	Inception report	Staffing, staff training, setting up of office, Sample selection, tools and methodologies, activity schedule and proposed time frame, proposed detailed table of contents for various reports	7 days from the signing of the contract	10% of the Contract Value
2.	First Interim Report	Findings of the field level interactions of 100 schemes	35 days after the submission of the Inception Report	30% of the Contract Value
3.	Second Interim Report	Findings of the field level interactions of next 100 schemes.	35 days after the submission of the first interim report	30% of the Contract Value
4.	Draft Final Report	This will be a consolidation of all the earlier reports with a comprehensive analysis .	7 days after the submission of the second interim report	10% of the Contract Value
5.	Consolidated Report	Final report along with specific findings, observation and minutes of the meeting conducted at GP/ RPMU.	7 days after the submission of the draft final report or at the end of three months whichever is earlier	20% of the Contract Value

7.Consultant Profile and person- day requirements:

This study is scheduled for a total of 3 months. The consultant teams will consist of a Team Leader, Senior Research Associates and Research Assistants. The team should be with members qualified in water sector engineering and community development. It should be made certain that, between the senior research members, skills in both technical and community development is ensured. 2 teams, each headed by a Research Associate, are to be constituted and each team will survey 2 schemes per day which totals to 50 days for all the 200 schemes. Travel time is not included in calculating the working days and is considered outside the normal working day hours. This works out to 90 days which includes field study, interactions, presentations at KRWSA and its regional offices, reporting and submission of reports. The Research Assistants will be doing the field survey; the Sr. Research Associate will be responsible for discussions with the GP representatives, desk reviews, debriefings, consultative sessions etc.

Sl. No.	Position	Desirable Qualification
1	Team Leader	Post- Graduate in Civil Engg./ Rural Development/ Management/ Sociology/ Social Work with 7 years of relevant experience in Community based rural development projects and at least 3 years of relevant experience in community managed WATSAN projects
2	Research Associates	Post- Graduates in Economics/ Statistics/ Management/ Rural Development/ Sociology/ Social Work/ Agriculture Engg./ Civil Engg. With 3- 5 years of experience in Community based rural development projects and at least 2 years of relevant experience in community managed WATSAN projects
3	Research Assistants	Graduates with at least 2 years of relevant experience

8. KRWSA's Responsibility

- List of GPs
- List of schemes
- Previous study reports
- Project Implementation Plan document(PIP)
- Project Appraisal Document (PAD) and other relevant data

9. Review Committee

A review committee consisting of Directors of the KRWSA and Executive Director will review all reports / inputs of consultants and suggest any modifications / changes considered necessary within 10 days of receipt of the report. **The payments will be made subject to the scrutiny by this committee.**

The review committee shall monitor the progress of the assignment to oversee that the assignment is carried out in compliance with the TOR and contractual conditions to assess the quality of the deliverables, to accept/ reject any part of the assignment, to levy appropriate liquidated damages or penalty if the assignment is not carried out as per the TOR & contract and if the quality of services is found inferior and for any such deficiency . The report should be of publishing quality.