

TERMS OF REFERENCE FOR CONSULTANTS

Preparation of draft report for Water Integrity Global Outlook

1 BACKGROUND

The Water Integrity Global Outlook 2016 (WIGO 2016) demonstrated a growing recognition of the need for measures to improve integrity and to eliminate corruption to enhance performance in the water and sanitation sector. It emphasized the use of transparency, accountability, participation, and anticorruption measures (TAPA) to achieve the UN Sustainable Development Goal (SDG) 6 on water and sanitation. WIGO 2016 also demonstrated the need for stronger data and evidence on the extent and impacts of corruption in the sector to guide the development and implementation of pro-integrity/anti-corruption programs.

WIN aims to establish the WIGO as a regular publication, which will become a medium for collecting and sharing evidence, knowledge, experiences, ideas, policy options, and good practices on improving integrity in the water sector. Each upcoming volume of the WIGO will unpack the concept of water integrity within the context of new selected theme. The next WIGO, focusing on integrity in urban water and sanitation, will be published in 2021. The Annexes to these Terms of Reference (ToR) describes the concept of WIGO 2021 in detail and outline a suggested table of contents.

The development of WIGO 2021 will be carried out in three main phases. In Phase 1, WIN commissioned a team of consultants who conducted a literature review, drafted a suggested table of contents, reached out to potential content contributors, and put together a database.

In Phase 2, which will take place in 2020, WIN will commission a team of consultants to solicit and harmonise contributions and write a draft of the publication.

Finally, Phase 3 will involve copyediting, printing, and distribution of the flagship report in 2021.

In addition, WIN formed a Steering Committee to provide strategic direction for WIGO 2021. The Steering Committee members are comprised of a select group of decision-makers, opinion leaders, and experts from the water and sanitation integrity, transparency, accountability and anti-corruption sectors.

2 OBJECTIVE

WIN is seeking an experienced team of consultants (e.g. a consulting firm or a team of individual consultants) to prepare a draft of the Water Integrity Global Outlook 2021 ready for design and production.

3 SCOPE OF SERVICES

- Review the suggested table of contents, literature review, and database of potential contributors emerging from the first consultancy assignment
- Engage with external contributors, receive editorial content, and provide feedback to the contributors as necessary
- Participate in Steering Committee meetings, review feedback and recommendations by the Steering Committee members, and address them in consultation with WIN
- Write a draft WIGO, including executive summary, chapters, case studies and conclusions

- Make revisions to the draft based on feedback from WIN and the Steering Committee
- Assist in project managing the development of WIGO 2021 including
 - » Managing sub-consultants, if applicable
 - » Liaising with WIN staff
 - » Supporting the functioning of the Steering Committee

4 DELIVERABLES AND SCHEDULE

The anticipated duration of contract is 12 months, starting in February 2020.

The specific deliverables are:

- 1st draft due by the end of June (deliverable 1)
- 2nd draft due by the end of September (deliverable 2)
- Final WIGO ready for design and production due end January 2021 (deliverable 3)

Payment schedule:

- 20% upon the approval of technical proposal by WIN and signing the contract
- 20% on submission and approval of the 1st draft (deliverable 1)
- 30% on submission and approval of the 2nd draft (deliverable 2)
- 30% on submission and approval of the final WIGO text (deliverable 3).

5 QUALIFICATIONS OF THE CONSULTANTS

The consultants should consist of a lead consultant and appropriate additional members.

The lead consultant should demonstrate the following qualifications and competencies:

- Proven record as lead author of publications and reports;
- Excellent writing skills in English
- Proven analytical skills and ability to synthesize findings from diverse materials and sources;
- Good familiarity with the water and sanitation sector and knowledge of good governance/integrity/corruption issues in this sector

In addition, the consultants' team should include members with the following competencies:

- Good understanding of urban water supply and sanitation sector
- Proven knowledge of the sanitation sector is a must
- Good understanding of good governance/integrity/corruption issues in this sector
- Good knowledge of Spanish and French
- Good project management skills and experience

The following will be advantageous:

- Knowledge of or experience in urban planning and management
- Familiarity or knowledge of climate change issues as they relate to the water and sanitation sector
- Knowledge of or experience in gender mainstreaming and social inclusion

6 REMUNERATION

The maximum budget available for this contract is **EUR 45,000**. Among other factors, proposals will be assessed on value for money, therefore larger projects will be expected to deliver significant benefits. The evaluation grid provided in section 9 of this ToR will be used to determine qualified candidates.

7 COMMUNICATION

Umrbek Allakulov, WIN's Research and Evidence Coordinator will be the responsible person for this contract.

8 PROPOSAL SUBMISSION

Interested consultants are invited to submit a technical proposal (including a work plan), financial proposal (including the daily rates of the individual consultants), CVs, that include evidence of relevant qualifications, to Umrbek Allakulov at uallakulov@win-s.org. The deadline for submitting proposals is **11:30 pm CEST, 20 January 2020**.

9 EVALUATION GRID

Criteria	Maximum	Minimum requirement	Assessment
Strength of the technical proposal:	40	30	
Methodology	25	20	
Timetable of activities	15	10	
Qualification of the consultant(s):	40	30	
General experience and qualifications (relevant academic degree, years of work experience, language skills, , writing skills, project management experience, analytical skills)	15	10	
Specific experience and qualifications (experience in the water sector, experience in the sanitation sector, knowledge of good governance/ anticorruption/ integrity in the WASH sector)	25	20	
Value for money	20	15	
Ratio between the estimated costs and the expected results is reasonable	10	8	
Specific expenditures are actually necessary to achieve the intended outcomes	10	7	

Annex 1

WATER INTEGRITY GLOBAL OUTLOOK 2021

Integrity in Urban Water and Sanitation

Despite the introduction of anti-corruption legislation and anti-corruption monitoring bodies in many countries, the water and sanitation sector continues to be plagued by corruption and failures of integrity. These undermine the effective use of finances invested annually in the sector, compromise the rights to water and sanitation of the poorest, and constrain the development opportunities of communities, households, and regions.

The Water Integrity Global Outlook 2016 (WIGO 2016) demonstrated a growing recognition of the need for measures to improve integrity and to eliminate corruption to enhance performance in the water and sanitation sector. It emphasized the use of transparency, accountability, participation, and anticorruption measures (TAPA) to achieve the UN Sustainable Development Goal (SDG) 6 on water and sanitation. WIGO 2016 also demonstrated the need for stronger data and evidence on the extent and impacts of corruption in the sector to guide the development and implementation of pro-integrity/anti-corruption programs.

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WHY THE URBAN WATER AND SANITATION SECTOR?

By 2050¹, it is estimated that nearly 7 out of 10 people will live in urban areas. The current population in informal settlements in urban areas has reached an unprecedented high in the Global South, a staggering 1 billion² people. Such urbanization brings with it both opportunities and challenges. One of the major challenges is the provision of sustainable water and sanitation services, particularly to poor communities and those living in informal settlements. Already it is estimated that 700 million people live in urban areas across the world without improved sanitation and 156 million without improved water sources³.

The overexploitation of available water resources, declining water quality, and the water-related impacts of climate change such as floods and droughts add to the challenges of meeting the water and sanitation needs of urban areas. Day zero in Cape Town alerted the world to the impacts of poorly managed water supplies in the face of a severe drought, the likelihood of which is increasing due to climate change.

¹ <https://www.un.org/development/desa/en/news/population/2018-revision-of-world-urbanization-prospects.html>

² UN-Habitat, 2015-2016. Slum Almanac. Tracking Improvement in the Lives of Slum Dwellers.

³ <http://www.unwater.org/water-facts/urbanization/>

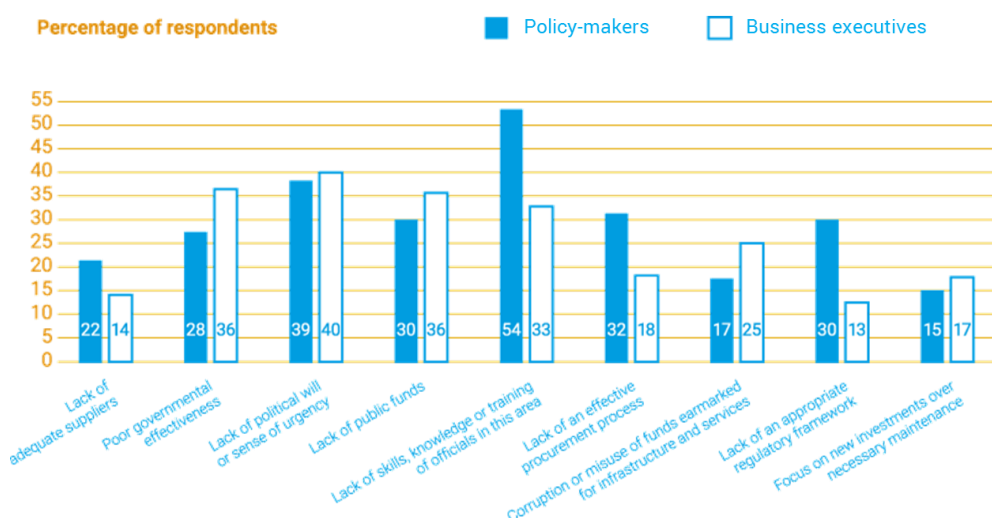
In addition, the uncontrolled disposal of large volumes of sludge and wastewater puts urban populations, especially the poor, at higher risk for disease. In September 2013 Mexico City experienced massive floods which destroyed 3,500 houses and led to a 300 per cent increase in intestinal infections and cholera.

URBAN WATER SUPPLY AND SANITATION IS PLAGUED BY CORRUPTION

A 2016 study by the World Bank found that “provided resources are targeted to the needs”, current yearly sector financing can cover just capital costs of achieving basic WASH services for all by 2030⁴. It is not sufficient to meet SDG6 and achieve “safely managed” WASH services by 2030, which would require three times more capital financing, amounting to \$114 billion per year.

Corruption and lack of integrity drains financing out of the sector, by, for example, siphoning funds out of the system, directing services delivery to specific groups, delivering sub-standard or dysfunctional services, employing incompetent people to manage water and sanitation services. This prevents resources from being targeted to needs, as is required in the World Bank scenario. This also reduces trust in sector institutions and limits the creditworthiness of service providers, making it harder to attract new financing.

The urban water and sanitation sector is far from immune. The 2019 World Water Development report specifically states that “corruption plagues many institutions in urban areas”⁵. In a survey conducted by the Economist Intelligence Unit, more than half of the respondents living in cities with inadequate infrastructure stated that “corruption or misuse of funds” hampered the development of urban infrastructure and services⁶.



In many instances, piped water caters to only a small segment of the population in low-income urban areas, while others depend on unsafe sources of water or illegally tap into piped water sources. Informal water vending and reselling systems often function outside the regulatory framework in cities, making the urban water sector more vulnerable to corruption. In many cities

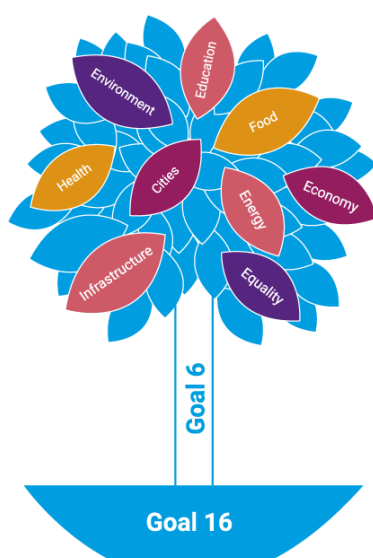
⁴ “Current levels of financing can cover the capital costs of achieving universal basic service for drinking water, sanitation, and hygiene by 2030, provided resources are targeted to the needs. Extending basic WASH services to the unserved will cost \$28.4 billion (range: \$13.8 to \$46.7 billion) per year from 2015 to 2030.”, <https://openknowledge.worldbank.org/bitstream/handle/10986/23681/K8632.pdf?sequence>
⁵ <http://www.unwater.org/publications/world-water-development-report-2019/>
⁶ [www.economistinsights.com/sites/default/files/Urban Infrastructure Insights.pdf](http://www.economistinsights.com/sites/default/files/Urban%20Infrastructure%20Insights.pdf)

of India for example, water tankers owned by politicians illegally exploit groundwater to supply water where the local water utility is failing to deliver. In some countries, due to different cost structures, opportunistic behaviour and collusion among vendors, water from informal vendors can be 4.5-30 times the price of water from piped connections⁷.

In urban sanitation and wastewater management, which includes large infrastructure projects, roles and responsibilities tend to be fragmented between different tiers of government and line ministries, resulting in overly complex governance and administrative systems. This creates opportunities for undue political influence and increased corruption. One result may be skewed decisions towards high-capital-cost projects, which generate greater profits and potential for payback than more cost-effective technology and solutions.

There are anti-corruption policies and laws in place in many countries, but often they are poorly implemented or enforced. This allows violators to function with impunity, and at times to resort to violence when confronted.

INTEGRITY IS ESSENTIAL TO ENSURE SUSTAINABLE URBAN WATER SUPPLY AND SANITATION



The SDG Tree:

Goal 16 (effective, accountable and inclusive institutions at all levels) is the fundamental base that sustains the growth towards fulfilment of all the other SDGs. (WIGO 2016)

Without addressing the twin issues of corruption and lack of integrity in the water and sanitation sector, it is unlikely that the SDGs will be met, including for the huge numbers of people living in urban areas. Urgent action is required.

Despite the challenges there are examples of good practices for integrity in cities. For instance, the Phnom Penh water utility increased staff salaries when they realized that low salaries were triggering bribery schemes. Burkina Faso's National Water and Sanitation Office developed a series of measures to counter corruption in big water infrastructure projects supplying Ouagadougou.

WIGO 2021 will take stock of cases and examine challenges, opportunities, and emerging issues pertaining to integrity in the water and sanitation sector in cities. It will also spotlight tools, solutions, innovations in regulatory mechanisms and advances in frontier technologies that can support improved integrity in the sector.

WIGO 2021 aims to provide decision makers with objective information, in-depth analysis, and actionable recommendations to improve integrity in urban water governance and management. Sector professionals and civil society groups can use this report as a trigger for active dialogue on the topic of water and corruption that will lead to changes in both policy and practice.

A full literature review for WIGO 2021 will be made available by the end of December. Contact uallakulov@win-s.org for more information.

⁷ <http://documents.worldbank.org/curated/en/358461549427540914/pdf/Informal-Water-Markets.pdf>

Annex 2

1. INTRODUCTORY CHAPTER

This chapter presents an introduction to WIGO 2021 and the rationale behind its focus on water and sanitation in urban settlements.

Global overview of integrity in the water and sanitation sector

This chapter will discuss what has changed with respect to the general understanding of integrity and corruption in the water and sanitation sectors since WIGO 2016 and examine the current opportunities and challenges.

2. OVERVIEW OF INTEGRITY IN URBAN WATER AND SANITATION

This chapter outlines the current and changing urban context, to help us understand the main integrity challenges in providing appropriate, sustainable water and sanitation services in urban settlements.

3. GOVERNANCE AND INSTITUTIONS

Urban water and sanitation is highly fragmented and involves complex governance and administrative systems, which may create opportunities for undue political influence and corruption. This chapter highlights institutional frameworks for urban water and sanitation governance and the effects that different strategies and processes may have in increasing (or preventing) integrity in the sector.

4. FINANCE

Corruption and lack of integrity drains the urban water and sanitation sector. This Chapter sheds light on integrity risks linked to financial aspects, related to diverse sources of public, donor and private funding. It will also examine integrity issues related to the costs of financing the SDGs and to ensuring affordability for the poor.

5. SERVICE DELIVERY AND INFRASTRUCTURE

This chapter specifically focuses on corruption risks and integrity solutions related to service delivery and infrastructure in the urban water and sanitation sector including dams, wastewater treatment plants and procurement for service providers.

6. MONITORING AND ACCESS TO INFORMATION

This chapter looks at how monitoring, information, and accountability mechanisms can enhance integrity in the urban water and sanitation sector, including citizen-based initiatives, the role of media and data, and justice.