



# Standard formats for terms of reference

## 1 Standard format terms of reference for a Water Resources Country Study

A water resources country study is required during the Programming phase to ensure at an early stage in the Project Cycle that the programming of EC support is based on a realistic assessment of the national problems, opportunities, priorities and constraints, and of the role of the donors.

### Guide for preparing Terms of Reference

This standard format is for use in preparing Terms of Reference for a water resources country study. It is based on the logical framework and provides an outline of the approach and the issues for study. For more information on these issues, see Chapter 6 (Programming).

This standard format should be used to prepare the detailed Terms of Reference for individual country studies, in each case filling in and describing the specific requirements. The text in shaded boxes will assist in identifying the individual requirements for the study. It should be stressed that clear formulation will help ensure that all relevant issues are considered, thus enabling informed decision making.



## A Study background

The co-operation agreement [....., e.g. National/Regional Indicative Programme (NIP/RIP)] signed by the Government of [.....] and the European Commission (EC) in [...../.....] reflects the EC's willingness to support water resource development co-operation in [.....] as a means to develop the economic, social and environmental potential of [.....].

Within the framework of this agreement, the EC has received a request from [....., e.g. the National Authorising Officer] to help identify priority areas for support by the EC and to help prepare a coherent strategy for water resources development co-operation to ensure maximum effectiveness, efficiency and sustainability of future support by the EC.

The study is required as part of the **Programming** phase to ensure at an early stage in the Project Cycle that EC support is based on a realistic assessment of the national problems, opportunities, priorities and constraints. It will complement and deepen the initial assessment which was made by using the checklists presented in Chapter 6 (Programming).

This section should contain further detailed information or reference to relevant documents such as studies and evaluation reports.

## B Study objectives

The study will provide decision makers in the [.....] Government and the European Commission with a proposal for a coherent country strategy for Water Resources Development Co-operation. It will give sufficient background information and justifications to enable the Government and the EC to make an informed decision on future co-operation. The study should facilitate the continuous policy dialogue between the partners and improve the participation of all stakeholders in this process. This will strengthen the country's capacity to implement its National Water Resources Programmes or other broader planning frameworks.



## C Study results

The study will deliver the following:


- An EC water resources development co-operation strategy for [.....], including:
  - i. background information on water resources,
  - ii. definition of water resources issues (constraints and opportunities)
  - iii. definition of priority areas for EC co-operation, and their assessment with regard to the EC's strategic approach and general principles of Water Resources Development Co-operation,
  - iv. definition of mechanisms for improved co-ordination between the European community, the Member States of the Community and other donor and financing agencies,
  - v. definition of policy and operational constraints which need to be resolved before assistance can be initiated;
- Recommendation for the next steps and further action to be taken [possibly, outline for new project/programme ideas, detailed Terms of Reference for pre-feasibility or feasibility studies];
- Strengthened national capacity in sectoral analysis and programme identification through active participation of the major stakeholders concerned.

## D Issues to be studied

This section of the Terms of Reference should contain information (where known) about the broad issues, or gaps in present knowledge, to be studied. Use Chapter 6 (Programming) and elements of Chapter 7 (Identification) to identify the main issues.

The main issues to be studied are outlined below. Detailed analysis is presented in Appendix I: Format for the Water Resources Country Study Report.

- An analysis of water resources, identifying the main characteristics in and contribution to the economic, social and environmental development of the country. The analysis will include an assessment of:
  - i. macro-economic setting, development objectives and policies;
  - ii. institutional settings and processes;
  - iii. the principal stakeholders, their roles and interests, and possible conflicts between these stakeholders;
  - iv. the resource base and its potential, including access to transboundary waters and considerations of 'virtual water';
  - v. current and estimated future demand and supply of surface, soil and ground waters;
  - vi. regional and international agreements;
  - vii. relevant revenues and financing;
  - viii. cross-sectoral links.

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- Based on the above, an analysis of the principal issues in development, including issues relating to (i) production and trade, (ii) protection and conservation, and (iii) participation of the various stakeholders in development. The analysis will result in the identification of a set of national priorities (constraints and/or opportunities) for water resources development and management.
  - An assessment of the compatibility of national priorities with the strategic principles of EC assistance, as defined in these Guidelines (using the principles set out in Chapter 2 as the point of reference). This assessment will lead to the identification of shared priority areas for co-operation.
  - An assessment of the possibilities and mechanism for improved co-ordination and coherence with on-going and planned assistance from the Member States, other bilateral and multilateral donor agencies and international financing institutions. This will help to avoid overlaps and improve the efficiency of external assistance.
  - An assessment of policy (including legal), institutional and operational constraints to the co-operation in the identified priority areas and the water resources in general. Based on this assessment, a proposal will be developed on the issues which need to be resolved, before co-operation begins. This is a necessary step towards developing a coherent approach.

The more detailed issues to be included in the Terms of Reference will be identified during a preliminary assessment, using the checklists presented in Chapter 6 (Programming). If possible, this preliminary assessment and the establishment of the Terms of Reference should be done in collaboration with the main water resources institutions of the country.

These lists of issues are not exhaustive. The consultants are required to use their professional experience to review and bring to the attention of the Government and the EC all relevant factors.

## E Work plan

This section suggests an approach to the study, and lists key resource persons and organisations to be consulted. The consultants may propose alternative approaches to collecting information and carrying out the study.

On the basis of the proposed time schedule outlined in the Terms of Reference, the consultants will prepare a work plan for the study, present this in their offer, and report on the approach taken in the study report.



The work plan should set out the consultants' approach to the following activities:

- fact finding/data collection/surveys;
- local/national/regional workshops and consultations to be held during the process with stakeholders at various levels; training to be given to local/national/regional counterparts during the process;
- co-ordination of the activities of the European Community with those of Member States, and bilateral and multilateral aid/financing institutions;
- identification of possible options for the proposed strategy;
- analysis of options and constraints;
- preparation of the draft and final country study report.

## F Expertise required

This section specifies the expertise (qualification, experience) required for each person assigned to the study.

Country studies require multidisciplinary analysis at all levels and for all relevant sectors, demanding at least the following areas of expertise: policy, planning, resource economics, institution and capacity building. Technical specialists (in water resource management, industry, environment/conservation etc.) should be included as indicated by the preliminary assessment of priorities, using, where possible, local/national experts.


For each expert proposed, a curriculum vitae, of no more than four pages, should be submitted.

## G Reporting

This section specifies the types of reports required, the language in which they should be written, the date of submission, the number of copies required and the recipients. The format of the report for a water resources country study is presented in Appendix I.

The consultants will present the briefing report (10-15 pages) within [.....] weeks. This report will set out the various options in sufficient detail to enable an informed decision to be made on the preferred option. The conclusion of the study should be presented in a report in the format set out in Appendix I. The underlying analysis is to be presented in the appendices of the report.

A draft water resources country study ([.....] copies) will be presented to [.....] for comments by [date]. Within [.....] weeks, comments on the draft country study report will be received from [list of authorities].



The consultants will take account of these comments in preparing the final water resources country study report (30-40 pages excluding appendices). The reports will be in [language] and [.....] copies will be submitted to [.....] by [date].

## H Time schedule

A time schedule should be prepared for each element of the work plan (section E) and of the reporting requirements (section G).

The consultants should respond to this timetable in their offer, indicating whether and how they can adhere to or improve on it.

## I Assistance to the consultants by the Contracting Authority

This section specifies assistance to be made available by the Contracting Authority to the consultants including data, documents, offices, transport, counterpart staff, facilitation of the entry and exit of expatriate personnel and any study equipment required.

The Contracting Authority will make available the following information and facilities to the consultants' staff:

- All relevant report, documents, maps and data;
- Where available, office space, furniture, and access to computers and communication facilities;
- Where available, the use of vehicles and drivers;
- Counterpart staff.

The Contracting Authority will facilitate:

- Entry and exit visas for the consultants' expatriate staff;
- Any permits required for the consultants' staff to carry out their duties within the country;
- The import and export of personal belongings of the consultants' expatriate staff during the execution of the contract, and of equipment for the study in accordance with the provisions of the [.....; specify the co-operation agreement, e.g. Lomé Convention or similar agreements].



## Appendix I: Standard Reporting Format for a Water Resources Country Study

Maximum length excluding appendices: 30-40 pages.

The report must be structured using the headings given below. Under each heading, a list of key words and explanatory notes is given to indicate the topics to be handled in that part of the report. These key words and explanatory statements refer to the main issues considered in Chapter 6 (Programming). It is essential, therefore, to use these guidelines to gain a full understanding of the reporting requirements.

The following text should be appear on the inside of the cover:

*This report is financed by the [.....; source of financing, e.g. European Development Fund] and is presented by [name of consultant] for the Government of [.....] and the European Commission. It does not necessarily reflect the opinion of the Government or the European Commission.*


### **1. Summary**

### **2. Background**

For example:

- macro-economic setting, development objectives and policy,
- institutional settings and processes,
- the principal stakeholders, their roles and interest, and possible conflicts between them,
- the resource-base and its potential,
- current and estimated future demand and supply and balances,
- regional and international agreements,
- relevant revenues and financing,
- cross-sectoral links.

### **3. Main issues and priorities for co-operation**



Identification of principal issues in water resources development, including issues relating to:

- the institutional environment for water resources development and management,
- water resources and its sustainable use,
- participation, knowledge and expertise linked to water resources.

Part I of the Guidelines gives more information on these issues. The analysis will result in the identification of a set of national priorities (constraints and/or opportunities) for water resources development co-operation.

#### **4. Compatibility of national priorities with EC principles**

Compatibility of national priorities with the strategic approach and general principles of EC assistance, as defined in the Guidelines (using Part I as the point of reference). Identification of shared priority areas for co-operation.

#### **5. Co-operation and co-ordination**

Possibilities and mechanism for improved co-ordination and coherence with the on-going and planned assistance from Member States, other bilateral and multilateral donor agencies, and international financing institutions. This will help to avoid overlap and improve the efficiency of external assistance.

#### **6. Constraints to co-operation**

An assessment of policy (including legal), and operational constraints to co-operation in the identified priority areas and water resources use and management in general. Based on this assessment, a proposal will be developed on issues which should be resolved before co-operation begins, or during the initial stages.



## **7. Proposed co-operation strategy**

Description of:

- objectives;
- priority areas (Focus Areas) for co-operation;
- co-operation arrangements, including those for counterpart institutions and any mechanism to be used in providing EC assistance;
- specific interventions to be supported (project briefs to be presented in Technical Appendix 1);
- estimation of the overall budget for co-operation.

## **8. Proposed next steps**

Suggested action, e.g. pre-feasibility and/or feasibility studies (Draft Terms of Reference to be presented in Technical Appendix 2), issues to be negotiated between the EC and the government, action needed by the government, issues relating to donor co-ordination, etc.

*Administrative appendices to the water resources country study report*

1. Study methodology/work plan (2-4 pages).
2. Itinerary (1-2 pages).
3. List of persons/organisations consulted (1-2 pages).
4. Literature and documentation consulted (1-2 pages).
5. Curricula vitae of the consults (1 page per person).

*Technical appendices to the water resources country study report*

1. List of proposed action to be taken (1-2 pages per action).
2. Outline of the respective Terms of Reference.