TERMS OF REFERENCE

LOCAL ADMINISTRATION REFORM PHASE III

LOCAL INDIVIDUAL CONSULTANT FOR DEVELOPING RECOMMENDATIONS FOR THE DEVELOPMENT OF A DRAFT LEGISLATION REGULATING THE LEGAL AND INSTITUTIONAL INFRASTRUCTURE OF WATER AND SEWERAGE ADMINISTRATIONS

1 BACKGROUND

IPA II Indicative Strategy Paper for Turkey (2014-2020) targets the improvement of Public Administration Reform (PAR) coordination, policy-making, civil service and public administration organization and governance and service delivery to citizens and businesses, including at local level.

The new legislation adopted in the past years in the field of local administration, has expanded the scope of the responsibilities of local administrations in the provision of public services, as well as in the promotion of the social and economic development of the relevant communities.

Relevant to the recent developments in the field, the 10th National Development Plan, put into effect in June 2013, underlines the negative effect of lack of technical and institutional capacities at the local level on quality and efficiency of local service delivery, while reiterating the importance of increasing institutional capacities of the new metropolitan municipalities (MMs) established in accordance with the Law No. 6360. The Plan also highlights the importance of deploying participatory tools in local administrations in order to support further reforms on including non-governmental organizations, private sector and unorganized civil society to local decision-making processes. In this vein, the 10th National Development Plan focuses on identification of priorities at the local level and efficient use of local resources as it identifies the main beneficiaries of the Plan as local authorities, MMs, universities, professional organizations and NGOs. In specific terms, the following objectives for LAR under the Plan are entrusted to the coordination of Ministry of Interior (MoI):

- Increased efficiency in local service delivery,
- Strengthened capacities of local administrations in terms of human resources, management and strategic planning,
- Strengthened capacities of local administrations in terms of project management,
- Enhanced inclusion of universities, NGOs and professional organizations in local decision-making processes.

In line with the objectives of the 10th National Development Plan, the Strategic Plan of the MoI for 2015-2019 identifies the priorities and the core values of the MoI as; the rule of law, respect for human rights, transparency, commitment to ethic values, participation and delivery of efficient and good-quality services. The Strategic Plan highlights the importance of ensuring efficiency, effectiveness, participation, openness and accountability at local administrations as one of its main goals. The Strategic Plan sets five thematic areas and results as i) Establishing a peaceful environment via strengthening internal security services and coordination in accordance with human rights norms, ii) Increasing pace and quality of services provided by local authorities including governorates and district governorates, iii) Promoting development of civil society, iv) Deployment of information technologies as a facilitator in efficient provision of services and v) Increasing the pace and quality of the services provided by the MoI.
The Government of Turkey adopted the Strategy for Increasing Transparency and Strengthening the Fight against Corruption in 2010 and updated the Strategy in 2016. One of the strategic objectives of the referred Strategy also focuses on increase of institutional capacities of local administrations, strengthening decentralization and democracy by ensuring attendance and transparency. Currently, the local authorities are obliged to develop their own websites and disclose the important decisions taken at the referred websites for a period of 15 days.

In the scope of the LAR-II, a white paper was developed for the MoI, which outlines the short, medium- and long-term policy options to be pursued to have a full-fledged LAR in the scope of Turkey’s EU Accession process. This Project addresses to the short- and medium-term policies those will form the basis of long-term policy options for the Government of Turkey. Besides, the Project at hand represents a continuum of the first and second phases of EU-funded LAR projects, in the scope of which required legislative framework were improved and put into place through phased approach. Besides, this Project, which is the third phase of LAR, will also address the needs that will be explored for effective implementation of the metropolitan municipality model that was introduced after the completion of LAR-II.

With a view to further support implementation of Local Administration Reform in Turkey, MoI and UNDP collaborated on design and implementation of the third phase of the LAR Project. In this sense, Local Administration Reform Phase III Project is an EU-funded technical assistance project.

Within the scope of a Direct Grant Agreement, signed between Central Finance and Contracts Unit (CFCU) and UNDP and endorsed by Delegation of the European Union to Turkey (EUD), Ministry of Interior General Directorate for Provincial Administrations (MoI/GDPA) will be the executive agency of the Project and will work closely with Ministry of Environment and Urbanization (MoEU/GDLA) to achieve the expected outputs. In that respect, the implementing partners of the Project are Ministry of Environment and Urbanization (MoEU), Ministry of Treasury and Finance (MoTF) and Union of Municipalities of Turkey (UMT).

The overall objective of the Project is to ensure effective, inclusive, accountable and participatory local governance in Turkey, in particular through support to further implementation of the LARs undertaken between 2003-2013, in line with international standards. The specific objective of the project is to develop and strengthen the administrative capacity and cooperation of MoI, MoEU and Local Authorities themselves in the task of ensuring the effective implementation of the new local administration model in line with principles of democratic governance.

The Project aims to achieve the following results:

- Administrative and operational capacities for efficient provision of local services enhanced,
- Administrative and operational capacities of the local authorities for the implementation of new Metropolitan Municipality Model strengthened,
- Institutional capacity of the local authorities in terms of service delivery and adoption of the principles of democratic governance enhanced,
- Public awareness on urbanization enhanced through institutional and individual capacity enhancement programmes,
- Efficiency of the local services enhanced through online managements systems.

LAR Phase III is composed of three components:

**Component 1 - Effective Local Service Delivery:**

The main objective of Component 1 is to provide support and recommendations to the MoI and MoEU for the development of draft legislations, which will enable MoI and MoEU and their staff as well as local administrators (mayors; deputy mayors; heads of the clerk’s department, the financial services department and the planning departments of municipalities) to exercise effective local service delivery methods in the overall local administration scheme.
**Component 2- Capacity Building for New Metropolitan Municipality Model and Inclusive Local Governance Processes**

The main objective of Component 2 is to assess the impact of municipal legislation and enhance the institutional capacity of the local authorities responding to the new responsibilities they are to undertake with the enforcement of new Metropolitan Municipality Model in 2012. In addition, the needs for transparent processes at local authorities will be addressed in the scope of Component 2.

**Component 3- Online Management Information Systems Installed and Updated**

The MoI initiated two important databases with YEREL BILGI and BEPER Projects in the past, one of which is not in use anymore. YEREL BILGI aims to provide information about local administrations, special provincial administrations, their corporations, municipalities and corporations belonging to municipalities, district governorates, villages, and associations affiliated to GDLA through a single database. With this Component, the Project will contribute to improved flow of information and increased accessibility of the available data produced in the form of secondary legislation, decrees and decisions, both at the national and local levels and within the country. Under the current state of functioning, there is no systematic that enables to access all relevant and updated data which prevent to make decisions in a holistic way. MoEU holds its new responsibilities concerning the local authorities after the introduction of the presidential system of government in July 2018 and the Project will address the effective communication flow within the departments of the MoEU as well as update of the YEREL BILGI in a way to ensure its linkage with the local. In addition, the technical capacity for effective use of YEREL BILGI will be enhanced and relevant MoI staff will transfer the accumulated knowledge to the staff of MoEU.

Against this background, architecture of project components and activities are as the following:
To ensure effective, inclusive, accountable and participatory local governance in Turkey, in particular through support to further implementation of the LARs undertaken between 2003-2013, in line with international standards.

Component 2: Capacity Building for New Metropolitan Municipality

A.2.2.1. Assess the impact of the implementation of legislation on local authorities
A.2.2.2. Develop a software system for monitoring the progress against the implementation of reforms in local administration
A.2.2.3. Assess EU experiences with good practices and lessons learned for new MMs

Component 3: Online Management Information Systems

A.3.1.1 Develop a software to facilitate the communication flow within the departments of the MoEU
A.3.1.2. Update of the YEREL BILGI Project management system in the light of developed Software system
A.3.1.3. Develop a user-friendly guideline for the use and update of the system
A.3.1.4. Deliver tailor-made trainings to the staff of MoE on effective use of the software system in alignment with YEREL BILGI management system
2 OBJECTIVE AND SCOPE OF THE ASSIGNMENT

The objective of this Individual Consultancy is to receive high quality technical consultancy and support services within the scope of Activity A.1.1.10 “Develop Recommendations for the Development of a draft legislation regulating the legal and institutional structure of Water and Sewerage Administrations”.

In Turkey, water management is an important but less attended issue from the point of view of municipalities while municipalities are supposed to be one of the main players in the water sector. According to report by Special Ad-hoc Committee on Water Management established for the preparation of 11th Development Plan, 40.8% of the water resources are drawn by municipalities, rest are distributed across to thermal energy plants, manufacturing industry, villages and other economic entities. Water and sewerage companies are part of the municipal system. They are regarded affiliated institutions of the metropolitan municipalities. They report to metropolitan municipalities, but they have a separate legal status with their own organs. The non-metropolitan municipalities also have water and sewerage department as part of their organization but not as a separate entity. The Law which regulates the legal and institutional framework of municipalities is called ISKI Law1. There are many institutions involved in water management. DSI (State Hydraulic Works) is the main institution in charge of managing water basins, building and operating dams and making provisions of water to municipalities and other establishments. On the regulatory and policy making side, the actors are Ministry of Environment and Urbanization, Ministry of Health, Ministry of Agriculture and Forestry and Bank of Provinces. With that such multiplicity of central and local entities, it is inevitable to come across conflicting of duties and responsibilities, duplications and lack of clarity of the functions etc., which affect Water and Sewerage Administrations’ legal and institutional structures and leaving gaps in their implementation. In a workshop organized by UMT in 2014, it was pointed out that administrations face many problems which need to be addressed in the fields of law, human resources, transfer of debt from previous small municipalities, licensing, relations with DSI, pricing, waste management, irrigation problems in rural areas and updating of Law No.2560.2 In addition, there is also a need to address the issue of harmonization to the EU acquis in this subject matter in drafting a legislation. Draft legislation also needs to take into account the ongoing work on drafting a “Water Law”.

Against this backdrop, the Project is expected to address and recommend legislative and institutional advice for effective water and sewerage services to the authorities in charge of regulating municipal system, namely the MoEU-GDLA, to draft a legislation to that end. The role of the Individual Consultant in this task is specified in Article 4 of this Terms of Reference.

3 ACRONYMS AND ABBREVIATIONS

Unless otherwise noted;

- UNDP: United Nations Development Programme
- EU: European Union
- EUD: European Delegation to Turkey
- MM: Metropolitan Municipalities
- MoI: Ministry of Interior
- MoEU: Ministry of Environment and Urbanization
- MoTF: Ministry of Treasury and Finance
- CFCU: Central Finance and Contracts Unit

1 ISKI Law No.2560 is the abbreviation of Istanbul Metropolitan Municipality General Directorate of Water and Sewerage which dates back to many years ago where ISKI is the first of its kind company. This Law was then changed to cover other Water and Sewerage Directorates of the municipalities, but the original name remained.

2 The experts will be able to have access to such sources at the beginning of the assignment.
4 DUTIES AND RESPONSIBILITIES OF THE INDIVIDUAL CONSULTANT

4.1 Desk Review and Functioning of Water and Sewerage Administrations in Turkish Municipal System

The Individual Consultant will work with an International IC who will be expert in legal and institutional aspects and practices of Water and Sewerage Administrations. In this respect, the Individual Consultant will carry out following activities:

1. **Fact-finding visits (online):** The Individual Consultant, in collaboration with the Local IC, will hold interviews with related Turkish institutions involved at various stages of Water and Sewerage system, such as MoEU-GDLA, Ministry of Interior, UMT, TCA, members of SGLDP, CGLA, selected Water and Sewerage Administrations and their parent municipalities, professional experts to have an overview of surrounding problems around water management and legal and institutional structure of Water and Sewerage Administrations in Turkey. The Individual Consultant will basically prepare semi-structured survey questionnaires with the inputs from the International IC.

2. **Participate in and provide inputs to the desk reviews and online interviews of functioning of Water and Management Administrations in selected 5 EU countries:** This part of the task will be mainly conducted by the International IC as specified in his/her ToR. However, the Individual Consultant is expected to join the online interviews with EU municipalities and Water and Sewerage Administrations and provide inputs to the International IC where needed. More or less along the similar timeline with the preparation of situation analysis on EU country cases by International IC, the Individual Consultant will prepare his/her situation analysis report on functioning of Water and Sewerage Administrations in Turkey. The contents of the both situation analysis reports will address including but not limited to the following subjects;
   a. Legal and Institutional Review of types of Water and Sewerage Administrations in selected EU countries and Turkey.
   b. The problem areas in terms of legal and institutional framework which hinders the effective working of administrations, including their relations with other government organs and private sector service providers (if any).
   c. Financial relations and transfer mechanisms between Water and Sewerage Administrations and their municipal owners and other government entities (if any) and related transparency issues.
   d. Harmonization of EU acquis and internalization problems.
3. **Develop Comparative Assessment Report:** Based on the desk reviews, online interviews and situation analyses, a comparative assessment report will be developed as the combination of functioning of Water and Sewerage Administrations in selected EU countries and Turkey. This report will be the joint product of the Individual Consultant and the International IC. Final compilation and editing will be done by the Individual Consultant with inputs from the International IC.

4. **Recommendations of Legislative Framework Report**

   The report will include certain recommendations for improvement in the context of Turkey concerning the legislative framework. This part of the study will be mainly carried out by the Individual Consultant and the International IC is expected provide inputs based on EU experiences.

5. Participate in 2 **two-day consultative meetings** with the participation of SGLDP, CGLA, MoEU and MoI to discuss the results of comparative assessment report and first draft legislative recommendations report with further participations from 30 representatives in total in each meeting. (The consultative meetings will be conducted online. Face to face meetings can be arranged if UNDP deems necessary). Based on the findings, the Individual Consultant will finalize the comparative assessment report and legislative recommendations report with inputs from the International IC.

5 **DUTIES AND RESPONSIBILITIES OF UNDP**

   UNDP will provide all relevant background documents. UNDP is not required to provide any physical facility for the work of the IC. However, depending on the availability of physical facilities (e.g. working space, computer, printer, telephone lines, internet connection etc.) and at the discretion of UNDP and relevant stakeholders, such facilities may be provided at the disposal of the IC. UNDP will facilitate meetings between the IC and other stakeholders, when needed.

   All documents and data provided to the IC are confidential and cannot be used for any other purposes or shared with a third party without any written approval from UNDP.

6 **DELIVERABLES**

   The Assignment will include interim and final deliverables, as stipulated below. The IC is expected to deliver the below outputs/deliverables to the satisfaction of UNDP:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Deliverable</th>
<th>Due Date</th>
<th>Estimated Number of Person/days to be Invested by the IC (Indicative)</th>
<th>Place of Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fact finding visits</td>
<td>N/A</td>
<td>15 April 2021</td>
<td>3</td>
<td>Homebased or Turkey</td>
</tr>
<tr>
<td>Desk review on Turkish WSA, including participation in online interviews</td>
<td>N/A</td>
<td>30 April 2021</td>
<td>5</td>
<td>Homebased or Turkey</td>
</tr>
</tbody>
</table>
The number of person/days are solely provided to give the Individual Consultant an idea on the work to be undertaken. The payment for each deliverable will be made in accordance with the lump-sum price of each deliverable, irrespective of the number of person/days to be actually invested by the Individual Consultant for the completion of each respective deliverable.

**Reporting Language:** All reports should be submitted in Turkish with Executive Summary in Turkish. The final version of the main reports (or outputs as specified in Article 5) will be translated into English by UNDP for contractual purposes. The IC may be expected to check the content and proof-read both the English and Turkish versions of draft and final reports.

**Reporting Format:** Reports will be written and formatted in conformity with the “LAR III Report Writing Guidelines” that can be obtained from PT upon request.

**Title Rights:** The title rights, copyrights and all other rights whatsoever nature in any material produced under the provisions of this ToR will be vested exclusively in UNDP.

The IC will have the overall responsibility for the conduct of the evaluation exercise as well as quality and timely submission of the above indicated reports to UNDP.

**Visibility:** IC should respect visibility rules applied in EU-funded projects which can be found in the link below:

[https://www.avrupa.info.tr/sites/default/files/2018-01/communication-visibility-requirements-2018_en_0.pdf](https://www.avrupa.info.tr/sites/default/files/2018-01/communication-visibility-requirements-2018_en_0.pdf)

<table>
<thead>
<tr>
<th>Development of Current Situation Analysis on Turkish WSAs and Development of Comparative Assessment Report</th>
<th>Current Situation Analysis Report</th>
<th>30 June 2021</th>
<th>10</th>
<th>Homebased or Turkey</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development of Draft Legislative Recommendations Report</td>
<td>Draft Legislative Recommendations Report</td>
<td>31 July 2021</td>
<td>5</td>
<td>Homebased or Turkey</td>
</tr>
<tr>
<td>Finalization of Comparative Assessment Report and Legislative Recommendations Report after two 2-day consultative meetings</td>
<td>Final Comparative Assessment Report and Legislative Recommendations Report</td>
<td>31 August 2021</td>
<td>7</td>
<td>Homebased or Turkey</td>
</tr>
</tbody>
</table>

| Estimated Total Number of Person/days (Indicative) | 30 |
### REQUIRED QUALIFICATIONS

The minimum qualification requirements and/or experience are presented below:

<table>
<thead>
<tr>
<th>General Qualifications &amp; Skills</th>
<th>Minimum Qualification Requirements</th>
<th>Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>University degree in Public Administration, Public Finance, Economics, Political Science, Law, Business Administration/Management, Engineering or any other relevant field</td>
<td>Advanced degree in Public Administration, Public Finance, Economics, Political Science, Law, Business Administration/Management, Engineering or any other relevant field</td>
</tr>
<tr>
<td></td>
<td>Fluent written and spoken Turkish with excellent reporting skills</td>
<td>Fluent written and spoken English</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>General Professional Experience</th>
<th>Minimum Qualification Requirements</th>
<th>Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Minimum 10 years of general professional experience</td>
<td>More than 10 years of general professional experience</td>
</tr>
<tr>
<td></td>
<td>More than 2 years of professional experience in working in/with/for local administrations and/or Water and Sewerage Administrations or central coordination or audit of WSAs</td>
<td>More than 2 years of professional experience in working in/with/for local administrations and/or Water and Sewerage Administrations or central coordination or audit of WSAs</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Specific Professional Experience</th>
<th>Minimum Qualification Requirements</th>
<th>Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Experience in at least 2 projects/assignments in the context of local administrations or WSAs or central coordination or audit of WSAs</td>
<td>Experience in more than 2 projects/assignments in the context of local administrations or WSAs or central coordination or audit of WSAs</td>
</tr>
<tr>
<td></td>
<td>Academic papers and/or technical studies/reports related to Water and Sewerage Administrations</td>
<td>Academic papers and/or technical studies/reports related to Water and Sewerage Administrations</td>
</tr>
<tr>
<td></td>
<td>Professional experience at WSAs</td>
<td>Professional experience at WSAs</td>
</tr>
</tbody>
</table>

**Notes:**
- Internships (paid/unpaid) are not considered professional experience.
- Obligatory military service is not considered professional experience.
- Female candidates are encouraged to apply.

### TIMING AND DURATION

The Assignment is expected to start on 5 April 2021 and is expected to be completed by 28 October 2021.
PLACE OF WORK

Place of work for the assignment is Home-based and Ankara, Turkey. The costs to arise regarding flight tickets to be acquired by the Individual Consultant in order to join and leave the Duty Stations shall be borne by the Individual Consultant. The prospective ICs are expected to take this into consideration whilst determining their Daily Fee. The assignment may require travels to other provinces within Turkey with respect to project needs and the duties and responsibilities of the IC stated above.

The travel, accommodation costs (bed and breakfast) and living costs (terminals, intra-city travel costs, lunch, dinner, etc.) of the missions to other provinces within Turkey will be borne by UNDP. UNDP will arrange flight tickets through its contracted travel agency. In case travel is needed, all travel related costs (cost items indicated below) of these missions out of the duty stations (economy class roundtrip flight ticket and accommodation in 3 or 4-star hotel) will be borne by UNDP. Approval of UNDP is needed prior to the missions.

The costs of these missions may either be:

- Arranged and covered by UNDP CO from the respective project budget without making any reimbursements to the IC or
- Reimbursed to the IC upon the submission of the receipts/invoices of the expenses by the IC and approval of the UNDP. The reimbursement of each cost item subject to following constraints/conditions provided in below table;
- Covered by the combination of both options

The following guidance on travel compensation is provided as per UNDP practice:

<table>
<thead>
<tr>
<th>Cost item</th>
<th>Constraints</th>
<th>Conditions of Reimbursement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel (intercity transportation)</td>
<td>full-fare economy class tickets</td>
<td>1- Approval by UNDP of the cost items before the initiation of travel</td>
</tr>
<tr>
<td>Accommodation</td>
<td>Up to 50% of the effective DSA rate of UNDP for the respective location</td>
<td>2- Submission of the invoices/receipts, etc. by the IC and approval of the UNDP’s F-10 Form</td>
</tr>
<tr>
<td>Breakfast</td>
<td>Up to 6% of the effective DSA rate of UNDP for the respective location</td>
<td>3- Acceptance and Approval by UNDP of the invoices and F-10 Form.</td>
</tr>
<tr>
<td>Lunch</td>
<td>Up to 12% of the effective DSA rate of UNDP for the respective location</td>
<td></td>
</tr>
<tr>
<td>Dinner</td>
<td>Up to 12% of the effective DSA rate of UNDP for the respective location</td>
<td></td>
</tr>
<tr>
<td>Other Expenses (intra city transportations, transfer cost from/to terminals, etc.)</td>
<td>Up to 20% of effective DSA rate of UNDP for the respective location</td>
<td></td>
</tr>
</tbody>
</table>
Payments will be made within 30 days upon acceptance and approval of the corresponding deliverables by UNDP on the basis of payment terms indicated below and the pertaining Certification of Payment document signed by the consultant and approved by the responsible Project Manager.

<table>
<thead>
<tr>
<th>Deliverable</th>
<th>Due Date</th>
<th>Estimated Number of Person/days to be Invested by the IC (Indicative)</th>
<th>Payment Term</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Situation Analysis Report</td>
<td>30 June 2021</td>
<td>18</td>
<td>Upon submission and completion of pertaining deliverable/outputs to the satisfaction of UNDP, on the basis of the lump-sum price of the deliverables/outputs</td>
</tr>
<tr>
<td>Comparative Assessment Report</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Draft Legislative Recommendations Report</td>
<td>31 August 2021</td>
<td>12</td>
<td>Upon submission and completion of pertaining deliverable/outputs to the satisfaction of UNDP, on the basis of the lump-sum price of the deliverables/outputs</td>
</tr>
<tr>
<td>Final Comparative Assessment Report and Legislative Recommendations Report</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Estimated Total Number of Person/Days (Indicative)**

|                                                                                     | 30       |

The Individual Consultant shall be paid in TRY if he/she resides in Turkey. If he/she resides in a country different than Turkey, the payment shall be realized in USD through conversion of the TRY amount by the official UN Operational Rate of Exchange applicable on the date of money transfer. The amount paid to the expert shall be gross and inclusive of all associated costs such as social security, pension and income tax, etc.

If the deliverables are not produced and delivered by the consultant to the satisfaction of UNDP as approved by the Project Manager, no payment will be made even if the consultant has invested time to produce and deliver such deliverables.

**Tax Obligations:** The IC is solely responsible for all taxation or other assessments on any income derived from UNDP. UNDP will not make any withholding from payments for the purposes of income tax. UNDP is exempt from any liabilities regarding taxation and will not reimburse any such taxation to the IC.