Sustainable livelihoods and adaptation to climate change (SLACC) project
Terms of reference for project monitoring and evaluation (M&E)

1. Background

The Sustainable Livelihoods and Adaptation to Climate Change (SLACC) Project is being implemented in Madhya Pradesh and Bihar under National Rural Livelihoods Mission (NRLM) of Ministry of Rural Development (MoRD), Government of India. National Rural Livelihood Promotion Society (NRLPS) is the coordinating agency under MoRD, whereas State Rural Livelihoods Missions of Madhya Pradesh and Bihar are the implementing agencies. The SLACC project is funded by the GEF-administered Special Climate Change Fund. This is a three years project. The project will be implemented in 200 villages of Madhya Pradesh & Bihar spread over 2 districts each. The states have selected one drought and one flood prone districts for climate change interventions. SLACC project will be implemented in convergence with the MKSP, MGNREGS and other programmes of the Government contributing to strengthen climate resilience.

2. Project Objectives

The Project Development Objective (PDO) is to improve adaptive capacity of rural poor engaged in farm-based livelihoods to cope with climate variability and change. The components of the project are:

a) ***Component 1*** - Planning, Service Provision and Implementation of Climate Change Adaptation. The objective of this component is to support risk assessment, planning, service provision and implementation of climate change adaptation interventions. A key input to improving adaptive capacity is knowledge of weather and its impact on farming through local weather information and crop advisories. Weather information will also form the basis for delivering weather-linked insurance products that help farmers transfer weather related risk.

b) ***Component 2 -*** Scaling and Mainstreaming Community-based Climate Adaptation. This component seeks to build the capacity of the national and state level staff of NRLM and build a cadre of CRPs to mainstream and scale-up planning and implementation of climate change adaptation in the country.

c) ***Component 3*** -Project Management and Impact Evaluation. This component will support creation of climate change adaptation units in the NRLM and SRLMs to manage the SLACC project. Monitoring and evaluation (M&E) of the SLACC project is a key task under this component and the objective is to facilitate result-based management and provide the basis for evidence-based decision-making processes. The M&E system is also intended to enhance learning on climate change adaptive management during implementation because of the considerable uncertainties involved in community-based adaptive interventions that still require experimentation and learning. The M&E system will employ a variety of tools including monthly remote sensed data to provide continuous feedback to the project management and other stakeholders on the progress and quality of project implementation. The beneficiaries will use the monthly monitoring data to consistently make adaptive adjustments to depart from their business as usual practices to overcome climate change vulnerabilities.

This assignment is related to developing and implementing a Monitoring and Evaluation system for the SLACC project for Bihar and Madhya Pradesh to carry out a baseline and end of project

evaluation against indicators mentioned in the results framework of the project appraisal document and the GEF Tracking Tool[1]

3. Objective Of the Consultancy

The objective of the consultancy is:

a) To ***develop and implement an M&E system*** that establishes a project baseline and end of project evaluation against indicators mentioned in the Results Framework and the GEF Tracking Tool[2]

The service provider is expected to use smart-phone technology and other appropriate technologies for data collection (geo tagged photos of sampled households for tracking), processing, analysis and presentation of results in a manner that is compatible for use with Geographical information system (GIS) to be developed through another consultancy.

4. Scope of activities

Develop and Implement a Monitoring and Evaluation System

The M&E system has two key functions to perform, viz., developing a project baseline and ***evaluation of the project outcomes and outputs***.

1. Development of Climate Resilience Index
2. Establishment of project baseline and a periodic community self-evaluation system
3. End of project evaluation of results

Evaluation Function

Since the impact of the project, will be seen as an additionality over the NRLP, the research design will consist of comparing treatment (NRLP-SLACC) villages with control (NRLP, non-SLACC and non-NRLP, non-SLACC) villages Therefore, for the purposes of the impact evaluation, the outcomes of interest will be compared over identical villages in terms of baseline socioeconomic and climatic conditions across sets of randomly selected villages belonging to three categories: (i) NRLP, SLACC villages, (ii) NRLP, non-SLACC villages and (iii) Non-NRLP, non-SLACC villages. The selection of the villages into the treatment (NRLP, SLACC villages) and control (NRLP, non-SLACC villages; non-NRLP, non-SLACC villages) groups will be made taking into consideration the drought/flood exposures of villages developed through participatory village profiling.

Evaluation studies will assess the outputs, outcomes and impacts of the interventions through a variety of indicators reflecting: (i) poverty and household impacts, (ii) productive change, (iii) adoption of adaptive practices and systems, and (iv) capacity and services. Some specific examples of outcomes of interest are household income and income variability, livelihoods diversification, agricultural productivity, area of farmland having adopted adaptive practices, and number of soil and water conservation works.

The project will use remote sensing and geographical information systems (such services will be procured separately) to corroborate and/or supplement information and results that will emerge from the M&E system. The service provider of this assignment should put in place

[1] For details see Annex 1 of the Project Appraisal Document at http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/12/10/000350881_20141210082100/Rendered/PDF/PAD5980REVISED00disclosed0120100140.pdf

[2] For details see Annex 1 of the Project Appraisal Document at http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2014/12/10/000350881_20141210082100/Rendered/PDF/PAD5980REVISED00disclosed0120100140.pdf

systems to acquire and send data to and from the RS-GIS; process, analyze and use such data to validate/buttress its findings.

In order to address the scope of works detailed in the foregoing paragraphs the key tasks envisaged are as follow:

Task 1: Preparation of project baseline

a) Prepare a peer-reviewed climate change resilience index (CCRI)[3] that is multi-dimensional (includes technical, economic, social and environmental issues to assess resilience to climate change), comprehensive, robust and doable.

b) Develop a research design as outlined in the preceding section and select villages and within them households and farm plots for control and treatment. The service provider will provide a detailed sampling plan that should cover all the project districts and blocks with sample of not less than 30% of the all participating households. The same set of households should be covered at the end of the project. The number of control households shall be appropriate to the project household samples.

c) Prepare baseline indicators that are comprehensive, multi-dimensional and measurable and address the CCRI developed.

d) Develop baseline survey methodology and instruments that will be field tested and used to prepare the project baseline.

e) Collect baseline data at household, village and ecosystem level (watershed) for treatment and control villages as per sampling plan. The baseline data will be appropriate to build the climate change resilience index at start of project and providing inputs to the preparation of the climate change and farm-based livelihoods suitability plans[4].

f) Produce a baseline report that establishes CCRI at start of project for the selected set of households for both control and treatment villages

Task 2: Development Community Self-Monitoring system

a) In consultation with the Lead Technical Support Agency (LTSA) and the respective SRLMs development of self-monitoring by participating VOs in the project villages. Train the stakeholders in implementation of participatory self-monitoring. The frequency of the monitoring could be at the end of every season, year and mid-term and end of project. The self-monitoring systems should be designed to use data generated through the MIS covering RS, Agro advisories, AWS, GIS etc. the self-monitoring reports shall be collated and analysed by service provider for reporting in the MIS and for end of project evaluation.

Task 3: End-of-Project Evaluation

a) the service provider will carry out thematic studies[5] (at least 2-3 in number) that would cover issues such as household income and income variability, livelihoods diversification etc.

[3] Climate change resilience index is the data source/methodology mentioned in the results framework for measuring the first PDO indicator.

[4] These plans are outside the scope of this assignment and will be prepared under a separate assignment that uses RS-GIS techniques

[5] The scope of these studies will cover technical, economic and social aspects against the backdrop of climate change and variability

b) The reports prepared should provide adequate data and information for to facilitate a detailed output, outcomes and possible impact evaluation study that covers technological, economic, social and environmental dimensions.

c) The service provider in consultation with the NMMU, the World Bank and the respective SRLMS in Bihar and Madhya Pradesh will prepare an indicative ToR for carrying out an impact evaluation study at the end of the project.

Key Outputs of the Assignment

a) The service provider will build upon the world bank and government work CCRI, to develop a peer-reviewed and detailed paper that documents current approaches to building a climate change resilience index and describes the methodology being adopted by the project for developing the CCRI (1 - 2 months from start of assignment)

b) Baseline report for treatment villages and control villages (6 months from start of assignment)

c) Collation of self-monitoring reports and end-of-project reports. The monthly self-monitoring report format developed during baseline will be managed by the Agri trainees, YPs and PFTs team with support from local technical agency, RS, GIS agency.

d) Report on thematic studies for themes selected in consultation with LTSA, NMMU and the respective SRLMS (24-36 months from start of assignment)

5. Location, Duration, and Institutions

The project is operational in the states of Madhya Pradesh and Bihar for 3 years (2015-2018). The project will cover 30% of project 8000 households identified for project interventions spread across in two districts each in Bihar and Madhya Pradesh. This will work out for 2400 households about 1200 households per state or 600 households per district about 30 - 45 hh in 15 villages / district / 30 villages per state.

- *National Level*: MoRD is the key implementation agency and National Rural Livelihoods Promotion Society (NRLPS) under the MoRD would be responsible for management, supervision, guidance and technical support. The NRLPS will coordinate with the SRLMs for implementation of the SLACC project.

- *State Level*: The Madhya Pradesh Rajya Ajeevika Forum (MPRAF) will be the nodal agency for SLACC implementation in Madhya Pradesh, while the Bihar Rural Livelihoods Society (BRLPS) will be the nodal agency for SLACC implementation in Bihar. These SRLMs, established by the rural development departments in the states, will be responsible for the outputs and outcomes of the project at the state level, and for mobilizing co-financing for coordinating and implementing the project at the state level.

- *Community Institutions*: The SLACC will work with community institutions supported by the NRLM. These include the primary federations of women's self-help groups as well as common interest/producer groups and producer companies. A trained CRP will be placed in each village or producer company to provide ongoing support to these institutions on climate adaptation planning, implementation and monitoring. A committee will be created within the community institution to anchor climate adaptation interventions.

6. Consultant Firm Staff qualification requirements

The Consulting firm should have long standing expertise in technical, economic and social monitoring and evaluation of projects related to agriculture, natural resources, vulnerability analysis, rural development, livelihoods, watershed, crop to site suitability, climate change adaptation options etc. The consulting firm should also have experience in developing using software for smartphones for digitized base line data collection with geo tags. The firm should have in house expertise or could form joint venture or hire consultants for conducting the baseline surveys monitoring and evaluation operations. The consultant team should include experts of all relevant disciplines such as Experts in each field should have at least fifteen years of standing and high reputation for professional excellence. Additional experience of key technical personnel in development project, participatory development is essential. While evaluating the proposal qualifications and experience of the below personnel will be considered. If the firm does not have expertise in any of the above mentioned specializations, they are free to hire the services of baseline, monitoring and evaluation specialists with below mentioned skills. Inputs in terms of person months of each of these staff should be included in the technical and financial proposals.

Nos.	Key Position	Professional Experience required
1	Team Leader Economist M&E	PhD/ MA/MSc. in Economics or related discipline. More than 15 Years in carrying out economic analysis in Rural development, Agriculture, Forestry, Livelihoods, climate change project experience in developing baseline, carrying out Monitoring and Evaluation. Also proven hands on experience in using data from PRAs, PARs, PLAs etc. for economic analysis in various states of the country. Hands on work experience in leading Monitoring and Evaluation missions in Agriculture, Livelihoods, Forestry, Climate change and NRM areas with WB, multilateral financial institutions, UN, international, bilateral and national clients; Good working relationship with central and state governments, good understanding and experience in using Remote sensing and GIS based data sets in M&E.
1	M&E Sociologists	PhD/ MA Sociology, Rural Development, Social work or related discipline More than 15 Years of working with participatory approaches in Rural development, Agriculture, Forestry, Livelihoods, climate change project experience in developing baseline, carrying out Monitoring and Evaluation. Also proven hands on experience in conducting PRAs, PARs, PLAs etc. in various states of the country. Hands on work experience in leading Monitoring and Evaluation missions in Agriculture, Livelihoods, Forestry, Climate change and NRM areas with WB, multilateral financial institutions, UN, international, bilateral and national clients; Good working relationship with central and state governments, good understanding and experience in using Remote sensing and GIS based data sets in M&E.
2	M&E NRM	PhD/ MSc Forestry, NRM, Agriculture or related discipline More than 15 Years of working with participatory approaches in Rural development, Agriculture, Forestry, Livelihoods, climate change project experience in developing baseline, carrying out Monitoring and Evaluation. Also proven hands on experience in conducting PRAs, PARs, PLAs etc. in various states of the country. Hands on work experience in leading Monitoring and Evaluation missions in Agriculture, Livelihoods, Forestry, Climate change and NRM areas with WB, multilateral financial institutions, UN,

		international, bilateral and national clients; Good working relationship with central and state governments, good understanding and experience in using Remote sensing and GIS based data sets in M&E.
1	M&E Statistician	PhD/MA Statistics or related discipline. More than 15 Years of working Research methodologies used in M&E for Rural development, Agriculture, Forestry, Livelihoods, climate change project experience. Hands on experience in analyzing data from baseline, Monitoring and Evaluation. Also proven hands on experience in using qualitative data from PRAs, PARs, PLAs etc. for M&E in various states of the country. Hands on work experience in leading Monitoring and Evaluation missions in Agriculture, Livelihoods, Forestry, Climate change and NRM areas with WB, multilateral financial institutions, UN, international, bilateral and national clients; Good working relationship with central and state governments, good understanding and experience in using statistical data generated from Remote sensing and GIS based in M&E.

7. Expected Man month Required

Key Personnel	**Man Months**
Team leader (1)	3
M&E (1)	6
NRM (2)	16
Statistician (1)	6
Travel months for data collection	10
Total Man Months	**41**

8. Deliverables and Payment schedule

Item	**Outputs/ Reports / Deliverables**	**Payment**	**Submission dates**
1	- Inception report, work plan for the entire project - Baseline data collection formats and MIS- GIS reporting formats for all stakeholder - Draft monthly progress monitoring digital formats for all key implementing and support agencies	10%	1st month
2	- A peer-reviewed and detailed paper that documents current approaches to building a climate change resilience index and describes the methodology being adopted by the project for developing the CCRI - Questionnaire, data collection formats field tested and updated - collection of baseline data from the selected sample baseline data and a brief summary report after each phase of the survey	15%	2nd month

3	- Baseline report for treatment villages and control villages - conclusion of the complete baseline survey a draft final report	25%	4th month
4	- Final evaluation report, draft final published, technical papers and atlas, presentations and video tutorials for training	25%	35th month
5	- Approval of the final reports - final published, technical papers and atlas, presentations and video tutorials for training All word reports would be provided in 4 copies with soft copies in data secure hard disks & DVD's.	25%	36th month

9. Composition of review committee and review procedure to monitor consultants work and reports

The review committee will comprise of following seven officers:

i. CEO and State Mission Directors (MP and Bihar) [also chair and co-chair]
ii. M&E Specialists (MP and Bihar)
iii. NMMU Lead Agriculture Coordinator
iv. NMMU M&E Specialist

The consultant will interact with the committee:

i. At the time of Inception of study.
ii. Before finalization of Baseline reports and Community self-monitoring system finalization.
iii. At time of finalization of draft reports.
iv. During the preparation of Final evaluation reports.

The Chairman and Co-Chair can co-opt any other member if he finds it necessary.

The procedure of review will be as follows -

1. The consultant will submit the printed Reports in 04 Copies in both English and Hindi and integration of data base with the MIS and RS GIS and will geotagged data of surveyed households.
2. The consultant will always submit the draft of each report on the stipulated dates and the Review Committee will give its comments in period not exceeding 45 days from the date of receipt of the draft report. The consultant will incorporate the comments and suggestions of the Review Committee and submit the Final version of the Report in period not exceeding 30 days from the date of receiving the comments of the Review Committee.

4. The Review Committee will accept the report and then the agreed amount for the Report will be paid to the consultant.

10. Support to be provided to the consultants by GoMP and GoB

The External Monitoring and Evaluation Consultant team leader will be reporting to the CEO and State Mission Directors and will work closely with the NMMU officials at the headquarter of NRLM at New Delhi and also the implementing Staff to design and undertake the review.

a. The project will provide key back-ground documentation to the team (project appraisal document, supervision mission reports, any progress reports, special studies conducted by the Project, and background information on the project area and the reports from the participatory M&E by the Village communities).
b. Adequate equipped office, meeting hall space at SMMU, DMMU, BMMU and VO's during data collection, training and data validation missions.
c. Required level of access to NRLM / SRLM MIS data base of respective districts to import, analyse and post data.

The consultants will make their own arrangements for conveyance for their staff, telephone, printing, computers and communication facilities and the client will not be responsible for these.

Annex 1: Results Framework and Monitoring

INDIA: Sustainable Livelihoods and Adaptation to Climate Change Project

Results Framework

Project Development Objective

The Project Development Objective (PDO) is to improve adaptive capacity of the rural poor engaged in farm based livelihoods to cope with climate variability and change.

PDO Level Results Indicators	*Core*	*Relevant Indicator in Tracking Tool*	*Unit of Measure*	*Baseline*	*Cumulative Target Values*				*Frequency*	*Data Source / Methodology*	*Responsibility for Data Collection*
					YR 1	YR2	YR3	YR4-end target			
Indicator One: At least 50% of the targeted households adopt livelihoods with enhanced climate resilience	☐	Indicator 1.3.1.1 – % of targeted households that have adopted resilient livelihoods under existing and projected climate change	Percentage of households	0	-	10%	25%	50%	Yearly; mid-term and end-of-term evaluation	Score on a climate resilience index that will be developed. MIS, monitoring reports, evaluation	NMMU, SMMU; external evaluation
Indicator Two: At least 50% of the targeted households demonstrate strengthened awareness and ownership of adaptation and climate change risk reduction processes/measures	☐	Indicator 2.2.2 – Capacity perception index Indicator 2.3.1 – % of targeted population awareness of predicted adverse impacts of climate change and appropriate responses	Percentage of households	0	-	20%	40%	50%	Yearly; mid-term and end-of-term evaluation	MIS, monitoring reports, evaluation	NMMU, SMMU; external evaluation

INTERMEDIATE RESULTS

Intermediate Result (Component 1): Support community-based planning and implementation of climate adaptation interventions.

Intermediate Results Indicators	*Core*	*Tracking Tool Reference*	*Unit of Measure*	*Baseline*	*Cumulative Target Values*				*Frequency*	*Data Source / Methodology*	*Responsibility for Data Collection*
					YR1	YR2	YR3	YR4-end target			
Indicator One: At least 8000 farmers demonstrate climate resilient agricultural practices	☐	Indicator 1.2.1.3– Climate resilient agricultural practices introduced to promote food security	Number of farmers	0	2000	6000	8000	8000	Yearly	MIS, monitoring reports	NMMU and SMMU

		Indicator 2.3.1.1 – Risk reduction and awareness activities introduced at local level.									
Indicator Two: At least 30% of the community institutions access technical and/or financial support for climate adaptation plans through convergence with government programs.	☐		Percentage of community institutions	0	-	10%	20%	30%	Yearly; mid-term and end-of-term evaluation	MIS, monitoring reports, evaluation	NMMU, SMMU; external evaluation
	Intermediate Result (Component 2): Build core operational capacity and relevant knowledge base/networks for broader scaling and mainstreaming of climate adaptation interventions.										
Intermediate Results Indicators	***Core***	***Tracking Tool Reference***	***Unit of Measure***	***Baseline***	***Cumulative Target Values***				***Frequency***	***Data Source / Methodology***	***Responsibility for Data Collection***
					YR1	YR2	YR3	YR4-end target			
Indicator One: At least 800 VO/self-help groups and community resource persons are trained in adaptation-related technologies.	☐	Indicator 2.2.1 – Number and type of targeted institutions with increased adaptive capacity to reduce risks and response to climate variability Indicator 2.3.1.2 – Number and type of community groups trained in climate change risk reduction	Number of community-based individuals	0	200	400	600	800	Yearly	MIS, monitoring reports	NMMU and SMMU
Indicator Two: At least 300 staff of state and district offices as well as extension and rural service providers trained on technical adaptation themes.	☐	Indicator 2.2.1.1 – Number of staff trained on technical adaptation themes	Number of staff	0	0	0	150	300	Years 3 and 4	MIS, monitoring reports	NMMU and SMMU
Indicator Three: Climate change adaptation guidelines developed for NRLM Implementation Framework and disseminated to all	☐	Indicator 1.1.1 – Adaptation actions implemented in national/sub-regional development frameworks.	Number of guideline documents developed and disseminated	0	0	0	0	1	End-of-term evaluation	Evaluation	NMMU; External evaluation

SRLMs											
	Intermediate Result (Component 3): Establish management units within the NRLM and SRLM institutional structure to enable coordinated functioning and efficient implementation of SLACC.										
Intermediate Results Indicators	***Core***	***Tracking Tool Reference***	***Unit of Measure***	***Baseline***	***Cumulative Target Values***				***Frequency***	***Data Source / Methodology***	***Responsibility for Data Collection***
					YR1	YR2	YR3	End Target			
Indicator One: Established Climate Adaptation Units staffed with full-time professionals within the NMMU and the SRLMs of the participating states			Number of climate adaptation units	0	3 (NMMU plus 2 SRLMs)	3	3	3	Yearly; mid-term and end-of-term evaluation	MIS, monitoring reports	NMMU and SMMU
Indicator two: State level resource agencies and/or technical service providers for providing field level technical support appointed and operational			Number of resource agencies	0	1	2	2	2	Yearly; mid-term and end-of-term evaluation	MIS, monitoring reports	NMMU and SMMU