

Terms of Reference (ToR) for Baseline Study of

Enhancing CSOs roles as key development partners for climate resilient policies and practices in Province 2

1. Background

Himalaya Conservation Group Nepal is a non-governmental, non-profit organization dedicated to promote Himalayan environment conservation from local to regional level through field studies, research works, and implementation and advocacy of safe and sustainable development approaches focusing primarily on disaster and climate change framework, geo-disaster management framework, and research-based technology framework. HCG is led by a highly professional dynamic group of people from various disciplines. HCG has been working in partnership with Oxfam Nepal since 2015 in the field of disaster risk reduction policies and advocacy works.

Following the promulgation of the new Constitution in Nepal, decentralization process towards Local, Province and Federal autonomy of Nepal is underway. This process has changed the landscape of governance and more importantly the role of Federal, province and local governments. The new provincial and local government are new to the good governance practice and federal government has conducting number of activities to enhance the technical and institutional capacity to minimize the disaster vulnerability and improve the resilience.

Supporting local government and generating opportunities to develop climate resilient policies and practices in newly formed local level of Nepal the EU funded Oxfam project "Enhancing CSOs roles as key development partners for climate resilient policies and practices" is one of the pioneer venture that is aimed to improve climate governance by strengthening Civil Society Organizations (CSO), ensuring the accountability of local government and enabling partnership for inclusive, and climate-sensitive actions. This project is aimed to achieve the following target as listed in the below log-framework:

	Statement	Indicator
Goal	The population in target province and catchment areas benefit from improved climate governance by strengthening Civil Society Organizations (CSO), ensuring the accountability of local government and enabling partnership for inclusive, and climate-sensitive actions	1: % of which surveyed CSOs/CBOs report having experienced improved inclusion, accountability and participation in decision-making as a result of the intervention
		2: % of municipal budget allocated for local climate actions as a result of influencing work carried out by local CSOs/CBOs& target groups within the framework of multi-stakeholders' platform
		3: % of local governments which carry out at least xx no. activities that reflects accountability and

		transparency over the duration of the project
Outcome 1	A conducive environment is in place for CSOs, in particular, those representing women, youth, people with disabilities (PWD) and marginalized groups through enhancing CSOs and local government meaningful collaboration and access to quality knowledge of climate change impacts, and associated policy frameworks	1.1.: Number of collaborative actions taken by CSOs and government for conducive environment.
		1.2: Number of climate related issues raised by women, youth, PWD, marginalized and vulnerable groups that are discussed in the multi-stakeholders' platform in each municipality
		1.3: % of target groups, CSOs/CBOs, and local government report to have increased knowledge of climate change impacts, associated policy frameworks and issues faced by target groups.
Outcome 2	A functional multi-stakeholder platform is in place to promote meaningful and structured participation of CSOs, particularly those representing women, youth and marginalized groups in decision making, climate financing, resource collaboration, resource allocation for local climate actions.	2.1: % of issue raised in the multi-stakeholder platform by women, youth or other marginalized group which are included in local planning and budgeting processes (out of total number of issues raised in the platform and included in local planning and budgeting processes
		2.2: % of participants that includes the target group in the multi-stakeholders' meeting
		2.3: Number of alliance and collaborating groups formed with like-minded CSOs/CBOs in upstream and downstream community for shared goals. (Alliance is teaming up of like-minded CSOs for common goal)
Outcome 3	CSOs/CBOs representing women, youth, PWDs and marginalised groups have the capacity to participate in and engage effectively with relevant stakeholders to adapt/mitigate the impacts of climate change in sectors of disaster risk reduction, agriculture and forestry.	Indicator 3.1: % increase in the number of target people participating in major forums with relevant stakeholder and engaging by sharing their views in major forums. Indicator 3.2: Number of dialogue events and meetings led by CSOs/CBOs on impact of climate change by inviting

		<p>key stakeholders, activists and media representatives.</p> <p>Indicator 3.3: Extent to which CSOs/CBOs or their members can access increased fund which may be from micro-finance, insurance, local government or other development aid to invest in climate resilient options or other local climate actions that addresses issues of target groups</p>
Output 1	Improved awareness and shared knowledge by CSOs, local governments, elected representatives, target groups on climate and DDR policy frameworks, risk understanding, and climate change impacts on vulnerable target groups (upstream/downstream).	<p>1.1.1: Number of awareness raising events and platforms organised with both upstream and downstream target groups</p> <p>1.1.2: Number of families from target groups, CSOs/CBOs and local government aware through the awareness events</p> <p>1.1.3: Number of documents informing climate risks published and shared publicly</p>
Output 2	Activate local networks and strengthen productive collaboration through a functional and inclusive multi-stakeholder platform for decision-making, climate financing, resource collaboration, resource allocation, influencing, accountability and learning.	<p>2.2.1. % of participants in multistakeholders platform indicate satisfaction with degree to which they were able to participate freely, were included and listened to and were confident that meetings were conducted in a transparent and accountable way</p> <p>2.2.2 Number of issues discussed in the community platform actively brought in multi-stakeholder's platform for discussion</p> <p>2.2.3 Number of governments led DRMC meeting where at least 60% of participants are from the target groups</p>
Output 3	Strengthened capacity of CSOs/CBOs in technical knowledge and skills, fund-raising and influencing through orientation, regular engagement and policy dialogue with authorities to participate in, contribute and implement plans to meet needs of	3.3.1 Number of people whose capacity has been increased and/or developed through the influencing and networking and capacity building events organized for the target groups to raise issues/concern related to the impact of climate change

	target groups through multi-stakeholders' engagement.	3.3.2: Number of people benefitted from technical trainings on ecosystem, nature-based approach through action research and other climate-related business/actions for target groups
		3.3.3: Number of policy dialogue and influencing events led by the CSOs/CBOs informing improved actions and policy reform.
		3.3.4 Amount of local government fund raised by CSOs/CBOs from local government or private donors to implement their plan aiming at addressing the priority needs of target group

The project will work towards improving climate governance by strengthening Civil Society Organizations (CSO), ensuring the accountability of local government and enabling partnership for inclusive, and climate-sensitive action. The project has set three major outcomes from the project focusing on women, youth, PWD, marginalized group, engagement.

2. Project Working Areas

The project will work with vulnerable communities in four municipalities of province 2:

1. Tirhut Rural Municipality and Kanchanrup Municipality of Saptari District
2. Chandrapur Municipality and Brindaban Rural Municipality of Rautahat District

3. Scope of Work:

Overall objective of baseline study is to identify the current status (Project initiation period) as per project defined indicators related to project outcome, output and input. The established benchmarks (baseline) will be compared to results at the end of the project.

The specific objectives of the baseline survey are the following:

- Develop baseline survey questionnaire, agenda checklist, collect data from field and data analysis.
- Interpret findings from field in perspective of project components/indicators with appropriate output tables.
- Analyze whether the interventions contribute to the set indicators and targets and suggest appropriate interventions and modifications in the indicators if required.
- Analyze the existing scenario and recommendations for project implementing team based on the as stated in above in background section.
- Summarize status of Municipal Adaptation Plan: provision, capacity, actions and future plan

- Explore information of climate change adaptation plans of the municipalities
- Find out existing action and plan of provincial government on building capacity of CSOs
- Develop comprehensive baseline report of the project.

Baseline study will utilize a wide range of appropriate tools and methodologies to measure status of social, economic/financial, physical, natural and human assets of targeted communities/households (HHs), Women Empowerment Index, market actors and market system components within the framework of Project and as spelled out in the project document. The baseline findings will be primarily used by Oxfam and implementing partners in comparing baseline data and end line data. Furthermore, Baseline survey report will highlight the existing status of Youth, and potentiality of people with disability (PwD), marginalized community engagement in and GESI in decision-making level designed project. As the project beneficiaries will already be finalized before the baseline survey period, survey team will analyze the beneficiary info and highlight whether project has been able to follow the participatory approach and inclusiveness (GESI and PwD). If required, survey will recommend the possible GESI and PwD inclusive interventions in line with already established outcome and goal of project. A consulting firm or an individual consultant will be hired to conduct the baseline survey.

4. METHODOLOGY

4.1 Survey Approach and Methodology

Baseline survey will employ both qualitative and quantitative methods for data collection and review of secondary information and primary information as per requirement. Household survey will be conducted using questionnaire and key informant interview (KII) as well as Focus Group Discussion (FGD) will be conducted to collect quantitative, qualitative data. The baseline data should also include segregation of beneficiaries by youth, gender, ethnicity and PwD, marginalized group and GESI.

Primary data collection will be collected through mobilization of trained enumerators. Appropriate sampling methodology will be used to determine sampling frame, sample size and respondents. The survey will be carried out in Tirhut Rural Municipality and Kanchanrup Municipalities of Saptari District and Chandrapur Municipality and Brindaban Rural Municipalities of Rautahat District.

Similarly, secondary information shall be collected from field partner database, district profiles and national plans. FGD and non-structured interview with key informant will provide information about the existing DRR practices, existing local government plan and policies for disaster and climate change, indigenous practices for disaster and climate change related impact.

4.2. Survey Tools and Techniques:

The HH Questionnaire, Key Informant Interview (KII) checklist and Focus Group Discussion (FGD) checklist will be primarily used in the baseline survey. The consultant will be required to develop household level questionnaire and FGD checklist and KII question based on the log-frame indicators. The developed data collection tools should be clearly linked with each indicator. Oxfam may provide technical support on installing questionnaire in the system and orienting

enumerators. Oxfam has SurveyCTO software which can be used for this baseline study as appropriate.

4.3. Sampling Methodology and Sample Size:

The project is aimed to reach at least 2,000 members of 100 CSOs/CBOs which will include women, youth, people with disabilities (PWDs), Dalit women, women with disabilities, human rights defenders and particularly vulnerable groups in upstream and downstream communities of the catchment. The action will reach 150 government representatives in total which will include both elected representatives and government officials at the local and the provincial level. The action in the project will also benefit 5,000 families from target groups (approximately 24,000 people comprising at least 60% will be women and 60% will be youth, people with disabilities, Dalits and other marginalized families).

The total final beneficiaries of this project are 5000 families of which 15 % HHs from is the sampling frame for Quantitative Survey for this study. Unit of study will be the HH for baseline survey. In addition to this, Key Informant Interview (KII) with possible project beneficiaries (e.g.: Local Government Officials, municipality Executive Council, Mayors, Vice mayor, Ward chairperson.... CDO, Nepal Army, Nepal Police, Armed Police force, Local Disaster management committee, Chure Conservation Board, Local CBO, Local NGO, Department of soil conservation and watershed management, Department of Forest, Department of Irrigation, Department of Physical infrastructure and Planning, Provincial government officials, as well as Focus Group Discussion (FGD) with stakeholders will have to conducted and gather information on project specific indicators.

4.4. Management of Enumerators and Training:

The consultant will be responsible for providing training to enumerators required for this survey. Similarly, consultant is also liable for capacity building of enumerators (orientation to enumerators) on data collection tools. A detailed schedule of capacity building training to enumerators must be organized in consultation with HCG, OXFAM and local partners. Survey should be conducted with mobile based technology, printed questionnaire or Oxfam's survey software.

4.5. Field Work

Field work needs to be conducted for the baseline survey. Local partners will support during field activities of survey and collecting HH survey data. Local partner will support in communicating with local government officials and other stakeholders. Local partner will also support in hiring capable local enumerators to ensure good data quality.

4.6. Data/Information Collection:

To gather quality data from field on relevant indicators of this project, a systematic approach for data collection is essential. The steps mentioned below are highly recommended for data collection but not limited and based on appropriateness, it will be modified upon discussion between both parties.

Review project proposals, project documents and project log frame along with disaster related plan and polices of Nepal such as MOHA documents, CAPA , LAPA for climate change related issues, NDRRMA plan and polices, MOFALD and MOFAGA plan and policies and strategies on mainstreaming DRR and Climate change related action in local level plan and policies, Local government operation rules.

Review Federal, Provincial and Local policies and strategies on DRR and climate change and their relevance on disaster mitigation and preparedness, and climate change related impacts.

Review the status of Municipal Adaptation Plan if preprepared and its provision, capacity action and future plans to be implemented.

Current actions and plan of provincial government of building capacity of CSOs.

Study relevant literature/reports for review and reference of published and unpublished reports and documents.

Household interview with household representatives using questionnaire and record data/information on social, economic, demographic, agriculture, livestock, disaster, climate change and gender aspects and other cross cutting issues.

Focus group discussion with local level stakeholders and gather qualitative data/information aligned to project log frame and correlate with household questionnaire.

4.7. Report Preparation and Submission:

The consultant will prepare a draft report and share with Oxfam and partner team within two weeks after completion of field activities. HCG and Oxfam team will provide feedback on draft report and upon recommendation, report must be finalized. Report should be comprehensive consisting of findings of all indicators set in log frame and other crosscutting issues.

5. RESPONSIBILITIES AND DELIVERABLES OF CONSULTANTS/SCOPE OF WORK

5.1. Responsibilities:

- Develop/design baseline study based on Methodology including questionnaire for HH survey and checklist and tools for group interaction including FGD with target beneficiaries and stakeholders at local level.
- Share study design including process, methods and questionnaires/checklist with project team/OXFAM, collect feedback and finalize study design.
- Design pre-test questionnaires and other tools.
- Debrief/discuss with project team about effectiveness of questionnaire, checklists and other tools used in pre-test, collect feedback and finalize them.
- Orient, train and supervise the enumerators.
- Carryout field work together with enumerators.
- Ensure quality of information collected from field, cross check with the validity of information collected and verify/revise where needed.
- Update progress of study on regular basis to OXFAM and partner team.
- Update HCG in case of any emerging issues related to survey arising during survey.
- Analyse data and provide clear baseline value in each indicator as stated above.
- Prepare draft report and share with HCG team, project staffs and collect their feedback.
- Present major findings to HCG and collect feedbacks.

- Prepare final report incorporating feedbacks and suggestions and submission of final report (a compiled version of the report - both hard copy and electronic version in word format to submit within the contract period).

5.2. Deliverables:

The consultant is liable for following deliverables during service period:

- Household Questionnaires and report of focus group discussion and Key Informant Interview of all local levels
- Raw data of survey (electronic copy) in excel; preferably SPSS data
- Final baseline survey report in hard and soft copy

6. DURATION

Work is expected to start by 1st October 2020 and conclude by 30th November 2020 (with final reporting). The Consultant may be an individual or firm. The Consultancy is scheduled to last for two months including field work, report completion.

7. CONSULTANT QUALIFICATIONS AND EXPERTISE

7.1. For Individual Consultant:

- The individual consultant should have minimum master's degree in social studies or any other developmental field with minimum 10 years experiences in carrying out baseline survey.
- Consultant(s) should have comprehensive understanding of the tools development and draw the information from the baseline data and analytical report writing skills.
- Ability to be mobile and available for the duration of the survey independently.
- Good written and verbal communication skills both in English and Nepali.
- Language capabilities: Proficient in English with considerable experience in preparing good quality documents.
- Able to communicate effectively and work in the project areas for the duration of the data collection.

6.2. For Consulting Firm:

The consultant shall provide and manage a dedicated team comprising the following professional to accomplish the proposed assignment. It is expected that the consultants will propose their required person-months to carry out the task as per the Terms of Reference.

SN	Position	No. of persons	Month	Minimum Years of Experience	Required Qualification
1	Team Leader/ DRR/Climate Change Expert/	1	2	7 Years	Master's degree in Environmental Science/ Forestry/Disaster Risk Reduction and Management/ Climate change or other related discipline with minimum 7 years of experience in Baseline study and research and working experience with I/NGOs.
2	Socio-Economic/governance Expert	1	2	5 years	Master's degree in Economics/ Sociology/Mathematics or relevant field with minimum 5 years of experience in the SPSS and data analysis.

8. REPORTING LINE MANAGER

The individual consultant/ consulting firm will work closely with the Advocacy and Influencing Coordinator from Himalaya Conservation Group (HCG) and Technical Coordinator, Climate change and Disaster Risk Management Expert from Oxfam.

9. FEES

9.1 Detail of costs with number of days and schedule, to be submitted from consultant.

9.2 HCG will cover workshop costs including food for participants, and venue.

9.3 The budget for this assignment will be as per the procurement policy of organization and tax will be deducted as per the government policy of Nepal.

10. PAYMENT MODALITY

The payment will be made in two installments.

- 30 % at the time of agreement signing as mobilization advance.
- 40% after completion of the workshop and submission of draft report.
- 30% after the completion of final report

11. FOR SUBMISSION

The potential and interested firm/consultant must submit technical and financial proposal showing their interest to conduct baseline survey in Tirhut Rural Municipality and Kanchanrup Municipality from Saptari District and Chandrapur Municipality and Brindaban Rural Municipality of Rautahat District, of Province-2 of Nepal. Following documents are expected to receive as technical and financial proposition within 10 days of date of announcement.

- CVs of all team members
- Technical proposal
- Financial proposal
- Cover letter expressing interest

It is expected that the applicant has read well and understood the Objective, Scope of Work, and requirements for proposal submission.

The technical and financial proposal should be emailed with subject line: **“Proposal for Baseline Study of Enhancing CSOs roles as key development partners for climate resilient policies and practices in Province 2”**.

The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE. The financial proposal shall be encrypted with different passwords and clearly labelled. The files must be sent to the dedicated email address specified. The password for opening the Financial Proposal should be provided only upon request of HCG. HCG will request password only from bidders whose Technical Proposal has been found to be technically responsive. Failure to provide correct password may result in the proposal being rejected.

Proposals may be submitted on or before Sunday **27 September 2020** via email, to HCG Procurement Unit: procurementhcg@gmail.com.

12. Evaluation Criteria:

Firm/Consultant will be evaluated based on following criteria: The weight for technical portion of the proposal will be 70% and financial 30%. The key factors stated below will be taken in consideration during the evaluation process

- Previous work experiences in the relevant areas
- Methodological/technical aspects of carrying out the study
- Technical expertise of the team members in DRR and Climate Change
- Financial aspects (consultant fees, breakdown of activity costs etc.)