

**Poverty Alleviation Fund (Nepal)**  
**[DRAFT] Terms of Reference<sup>1</sup> for the M&E Baseline survey in 30 districts**  
**(M&E Baseline Survey 2010)**

**1. Project Description**

The Poverty Alleviation Fund (PAF) is a fund to finance poverty alleviation projects through community-driven approach to improve living condition and livelihood of the rural poor through income-generation projects, community infrastructures, and basic services. The PAF is essentially a 'Social Fund', which finances (with support from the World Bank) a variety of rural projects (e.g., small enterprises, roads, schools)<sup>2</sup>. This is how the PAF is supposed to work during the initial phase:

An intervention team is directly working with communities. Partner Organizations (POs) have been assigned to communities in 25 districts (poorest districts of category C - classified by CBS based on composite development index)

In each community, the PO identifies settlement with the poorest/marginalized villagers (poor women, Dalits and Janajatis) who are often excluded due to their gender, caste, or ethnicity –the Target groups. Social map of the identified settlement prepare in participation of all community member of a settlement and further the target group identifies based on participatory social assessment/well being ranking. Target household/group further organized into Community Organization (CO) to empower, built capacity and ensure participation.

In meetings of the CO facilitated by PO, the Target group then expresses various economical and social constraints that they face and further develop into income generating and community infrastructure sub-project proposals based on needs and aspiration of the target communities and collectively demand with specific project interventions.

It is up to PAF to accept the community sub- project proposal; if the proposal is accepted then PAF finances the project directly to the CO; involves the local people organized into CO in implementation of the project including operation and maintenance.

An assessment is subsequently made on whether the various projects had any significant impact on monetary (e.g., household income) and non-monetary dimensions (e.g., child education, health, empowerment and inclusion) of welfare of the Target groups.

Based on the results and learning from 25 districts, PAF is in the process of scaling of its regular program in rest of the districts. Moreover, PAF has already selected its Partner Organizations for 15 districts (last 15 districts of the category 'B' classified by CBS/government).

The remaining 10 districts form category 'B' and the last 5 districts from category 'A' will be added for its regular program by the end of this fiscal year 2066/67 i.e. June/July, 2010.

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<sup>1</sup> What so ever written in this ToRs, and technical proposal the sample and sampling methodology, survey instruments will be refined, improve and finalized as per the requirement before commencing the field works.

<sup>2</sup> Certain projects even if demanded by the poor/excluded, will not be eligible for funding – such as any project explicitly associated with religion or alcohol and adverse effect on environment.

Against this, PAF aims to conduct baseline survey in 30 districts to establish baseline data for its program evaluation in future.

## 2. Objective

The main objective of the M&E baseline survey is to establish baseline data for evaluation, to ensure achievement of PAF objectives – improved living condition and livelihood of PAF target group (poor women, Dalits and Janajatis), empowerment, and bring into inclusion. It is to establish a sound means of evaluation so that PAF can achieve its stated goal of poverty reduction and to demonstrate its effect to the broader audience of policy makers.

## 3. Scope of the services

Scope of the services will be as per the objective but not limiting. The Consultant shall update the existing instruments for the collection and analysis of data as described in the objectives for this baseline survey.

The consultant shall mobilize the team immediately not later than 7 days of receipt of work order. The main responsibilities of consultant shall be as follows:

**Sampling:** (i) Assist in the selection of primary sample units (PSUs) and respondents into the study, under the direction of a PAF Monitoring and Evaluation division.

**Survey Design:** (i) Changing (as needed) and field-testing questionnaires and (ii) Design data-entry program (STATA/SPSS) with adequate consistency checking (e.g., double-entry).

**Personnel Management:** (i) Hiring, training, and supervising survey interviewers and managers, (ii) Hiring, training, and supervising data-entry clerks

**Conducting Interviews:** (i) Conducting interviews as necessary, (ii) Managing survey logistics, including transport and other support to interviewers, supply of materials, and other required goods and services

**Data Management:** (i) Entering data, (ii) Providing copies of both raw and cleaned datasets in a timely manner (iii) Analyzing and preparing descriptive reports supported by tabulations and illustrations following survey round, (iv) Ensuring data confidentiality.

## 4. Consultant Qualification and Experiences

Consultant/SA should provide key professionals and Field level personnel and other logistic supports to carryout the assignment. Interviewer (enumerator) should have relevant experience for the assigned job.

Consultant/SA is responsible to ensure key professional staffs and assistant level personals required to perform the assignment. Qualification, expertise and type of people to be involved by the consultant/SA are:

## Team Members

### Key Professional Staff:

- i. **Project Director:** Master degree with 10 years of relevant experience in survey, impact studies, analytical and report writing skills together with database and task management
- ii. **Principal Investigator:** Master degree with 7 years relevant experience in managing surveys, impact studies, analytical and report writing skills together with database and task management
- iii. **Co-Principal Investigator :** Master degree with 5 years relevant experience in managing surveys, impact studies, analytical and report writing skills together with database and task management
- iv. **Data Manager:** Master degree with 5 years or Bachelor's degree with 7 years relevant experience in data base design and management, data cleaning, assembling and analyzing the primary data

### Field Team Staff:

- i. **Central supervisor [8<sup>3</sup>]:** Bachelor degree with 5 years relevant experience in managing and field supervision of surveys, impact studies
- ii. **Field survey Supervisors [11]:** Bachelor degree with 3 years relevant experience in supervision and managing the field team in similar tasks
- iii. **Enumerators/ Research Assistants [33]:** Intermediate level education with experiences in data collection
- iv. **Data entry operators [20]:** Experience in data entry in prescribed software/program

## 5. Expected Outputs

- Revise and update the baseline survey instruments, if necessary
- Conduct training on base line survey instruments and carry out pre-testing.
- Collect base line data from sample districts for monitoring and evaluation purposes (i.e. community).
- Enter and process the collected raw data in the prescribed software/programme- ensure quality.
- Clean data
- Tabulation of the data.
- Produce reports.

## 6. Methodology

### i. Sampling

The sampling method is based on a quasi-randomized design. The two- staged sampling will be done within the sampled districts and there will be two sets of Primary Sample Units (PSUs): treatment PSUs and control PSUs. The wards are as PSUs.

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<sup>3</sup> Principal Investigator -1 and Co-Principal Investigators-1 will also take responsibility of Central Supervisors totaling 10 Central supervisors.

The first stage samples are - allocated number of treatment and control wards from sample frames with probability proportional to size (PPS), size being the number of households. In the second stage, 15 HHs from each PSU will be selected through systematic random sampling (SRS). Once the listing of all HHs in a PSU is carried out, 15 HHs in each PSU will be selected using SRS. In a rare few cases, neighboring wards will be selected if a ward has fewer than 15 HHs or segmentation of a ward if a ward has more than 300 HHs.

Calculation of the number of sample districts and sample size of total PSUs and households is set on the basis of previous survey works.

#### **SAMPLE DISTRICTS AND SAMPLE SIZE:**

District Name	Total rural Wards	Share/ Percentage	Rounded	Treatment PSUs	Control PSUs	Total PSU	Total HHs	Remarks
Taplejung	450	8.64	9	14	4	18	270	75% Treatment PSUs and 25% Control PSUs
Dhading	450	8.64	9	14	4	18	270	
Khotang	684	13.13	13	20	6	26	390	
Bardiya	279	5.35	5	8	2	10	150	
Dhanusha	909	17.44	17	26	8	34	510	
Dolakha	459	8.81	9	9	9	18	270	50% Treatment PSUs and 50% Control PSUs
Gulmi	711	13.64	14	14	14	28	420	
Surkhet	450	8.64	9	9	9	18	270	
Sunsari	441	8.46	8	8	8	16	240	
Kailali	378	7.25	7	7	7	14	210	
<b>Total</b>	<b>5,211</b>	<b>100</b>	<b>100</b>	<b>127</b>	<b>73</b>	<b>200</b>	<b>3,000</b>	

The sample districts-Taplejung, Khotang, Dhading, Bardiya, Dhanusha, Dolakha, Gulmi, Surkhet, Sunsari and Kailali (5 from each 15 districts) are selected out of total 30 districts. Sample districts are selected randomly from the ecological zone. The total 3,000 households will be surveyed. Following other living standards measurement surveys, 15 households will be sampled from each PSU, resulting in 200 PSUs (treatment PSUs=127 and Control PSUs=73). If households are systematically selected within a ward, they are expected to distribute uniformly so that the intra-class correlation in a cluster is expected to be low.

Allocation of treatment PSUs will be taken to be proportional to number of wards, possible to intervene within the first year of time and the control PSUs will be selected, assuming they will not be intervened till next three years of time.

#### **ii. Survey Instruments**

Previously used survey instruments – a community level questionnaire and set of HH level questionnaire (see attached) for M&E baseline survey will be used for this assignment.

**iii. Baseline survey instruments cover the following broad category of the information:**

Multi-module household survey (demography, income, education, anthropometrics, etc)  
Facility surveys/Community survey (both physical and socio-economic information will be collected – e.g., distance to main-road, ethnic fractionalization) - distribution of marginalized groups in the VDCs.

Baseline surveys will be carried out in the wards (PSUs) that are identified by the SA and PAF in the sample districts.

**7. Project Intervention**

After the baseline survey is over, POs will be assigned to go into that communities/settlement and help them organize/mobilize and prepare application for CO registration in PAF and further facilitate to prepare community sub-project proposals in income generation and / or community infrastructures based on real demand of the target community for PAF funding.

Community organizations (COs) will apply for registration in PAF and submit community sub-project for PAF funding. Community sub-projects acceptable to PAF will be directly funded interring into the agreement with CO and channel fund directly to the account of CO for implementation. CO will be responsible to implement, operate and maintain the community sub-projects prepared by them.

PO will facilitated CO and provide necessary technical assistance/support as per need of the community / sub-projects based on the demand of the communities. Participatory monitoring and evaluation system will be in place both for smooth and successful implementation. Monitoring sub-committee of the CO will regularly supervise and monitor the community sub-project implementation. PO will monitor the community sub-project implementation and facilitate and provide necessary information, technical assistance/support, and help link with necessary services for successful implementation/completion of the community sub-projects. PAF will directly monitor both POs and COs. Demand driven approach, community participation/ ownership and transparency at all levels are key elements for successful implementation of the community sub-projects. Each CO to maintain transparency in implementation level will do public audit of each community sub-project.

**8. Client's Input to the Consultant**

The consultant/SA, who will work under the supervision of PAF, will carry out the baseline surveys. The PAF will be responsible for back stopping and provide suggestions in various stages of the survey works (determining the sample size, updating instruments used in previous surveys) including all technical aspects of the analytical design and final econometric analysis for the evaluation study. PAF will be responsible for the overall management of project, and will specifically be responsible for identifying the POs and managing project implementation related issues including provide feedback to the community.

**9. Performance and Reporting Requirements**

The Consultant/SA shall directly report to the PAF particularly to the PAF secretariat and supervised by PAF Monitoring Evaluation and Research Division Chief for standard methodology, baseline data collection instruments and baseline data collection. More specifically, the consultants/SA shall be responsible for:

- providing all necessary information that is required to prepare the sample frame for the various sampling units;
- Giving comments on the survey instruments during the design phase and incorporate changes (if any, based on the recommendation from previous survey reports) in the survey instruments and methodology. carrying out the baseline surveys;
- data entry in the data structure as specified;
- delivering cleaned data sets in SPSS/STATA format to the World Bank;
- prepare preliminary baseline survey reports with preliminary tables;
- assisting the in the analytical work

Details of SA's reporting obligations and Deliverables are provided in annex 1 of this ToR.

### 10. Tentative Timetable

Activity	Tentative Date	Remarks
2. Announcement for EOI	Beginning of June, 2010	
3. Issue RFP	End of June, 2010	
4. Evaluation of proposal (both technical and financial)	July 2010	
5. Issue LOI	July 2010	
6. Contract negotiation and contract with SA	July 2010	
7. Print survey Instrument with required refinements, hire Enumerator and provide training and conduct pre-test/field test	August 2010	
8. Field work initiation /Conduct Field survey	August-September 2010	
9. Data coding, entry, submitting clean data set	September-October 2010	For double entry
10. Preliminary Analysis and Report	End of October 2010	
11. Finalize Report	November 2010	

### 11. Selection Method

The consultant/service agency for the above stated assignment will be selected using the **“Fixed Budget Method”** as mentioned in the World Bank Procurement guidelines "Selection and Employment of Consultants by World Bank Borrowers".

### 12. Duration of the Services

The tentative duration of the above mentioned task will be August-November, 2010

## Service Agency's reporting Obligations and Deliverables

- 1. Inception Report:**  
Report should include Survey Methodology, Sampling technique survey procedure and activities' schedule.
- 2. Code Book:**  
Data code book used for the survey, data management and data analysis
- 3. Indicators, Survey instrument/questionnaire:**  
Both electronic copy and printed copy of survey instrument should be submitted prior to the field practice.
- 4. Pre-Test (Field Test) Report:**  
Report on Pre-test/ Field test of the instrument
- 5. Survey Training Report:**  
Survey report for the personals to be involved in the survey
- 6. Final Survey Instrument (questionnaire):**  
Final survey instrument with incorporating the feedbacks from pre-test
- 7. Field Survey Completion report:**  
Field survey carried out and completed in different districts, VDCs and wards/settlements with households surveyed.
- 8. Data entry and Clean Data:**  
Double entry of the data and Deliver two sets of cleaned data in SPSS/STATA format
- 9. Draft Report:**  
Deliver two copies of draft statistical report with data tables including the qualitative aspects.
- 10. Final Report:**  
Deliver three copies of final reports with necessary socio-economic analysis establishing the baseline for the future comparison.