Sanjeevini-Karnataka State Rural Livelihood Mission
Terms of Reference for Hiring the Services of Process Monitoring Agency

Background

1.   Government of India is assisting the State Governments in reducing the incidence of rural poverty through National Rural Livelihoods Mission (NRLM). In Karnataka, the Mission is being implemented by a State government promoted society, named as, *"Sanjeevini"* under Department of Rural Development and Panchayat Raj (RDPR). The Society aims at improving livelihoods of the rural poor and enhance social and economic empowerment of rural poor, especially women. It is being done by developing organizations of the rural poor including producer groups and by enabling their access to better services, credit and support from line departments and financial institutions. The Mission is also investing in building capacities of public and private service providers such that they could reach out to the rural poor more effectively and efficiently.

Objectives, Strategy and Components of the Mission

2.   The central objective of the Mission is to bring about increase in the household incomes of the rural poor through sustained livelihood enhancements and improved access to financial and non-financial services. The Mission aims at creating efficient and effective institutional platforms of the poor as mediating institutions.

3.   The three key inter-related components of the Mission are: *(i)* social inclusion; *(ii)* financial inclusion; and *(iii)* economic inclusion. The three components are posited on the Community Based Organizations (CBOs) of the poor, which if promoted, capacitated, nurtured and funded initially, are expected to promote and sustain livelihoods of the rural poor.

4.   The project aims to form/strengthen SHGs and other community based institutions. These primary groups will be further federated into higher level of organizations like Ward/ Gram Panchayat/ cluster/ Taluka level federations. The project has its three tier organizational structure corresponding to state, district and taluka levels. Dedicated staff at all levels have been positioned for the execution of identified tasks.

Phased Implementation

5.   A critical first step in the process of implementation is the development of **resource/intensive blocks**, as *proof of concept* and *live workable* models on the ground with the support of Community Resource Persons (CRPs) drawn from the states which have successfully implemented similar models or internal resource persons identified from the successful home grown models or social activists/ resource persons used by the Mission. Thus, each state transiting to NRLM is required to focus on the development of resource/intensive blocks, particularly, during the first 18 to 24 months and generate the required social capital in the form of internal CRPs to implement intensive strategies in the rest of the state. The phased approach implies simultaneous implementation of NRLM resource/intensive strategies in some blocks coupled with the implementation of non-intensive strategies in others. However, at the block level, there will be no overlapping coverage of both intensive and non-intensive approaches.

Status of NRLM in Karnataka State

6.   The state of Karnataka transited to NRLM in December 2011, after fulfilling the conditions laid down for this purpose. A state level autonomous society has been established and designated as Sanjeevini-Karnataka SRLM. The state government has approved establishment of Mission architecture at SMMU, DMMU and BMMU levels. The government has permitted recruitment of professional staff at all levels. Management, finance, procurement and other systems have been established as per the guidelines of NRLM. At present, Mission implementation is in progress in 20 taluks of 5 selected districts namely, Mysore, Tumkur, Gadag, Koppal and Uttara Kannada. In a phased manner, the Mission will be implemented in all the 176 blocks spread over 30 districts in the state. During FY 2015-16, the intensive Mission activities will be expanded to 60 additional blocks. However, for the first year of the Process Monitoring will be limited to 20 taluks of 5 districts.

Need for and Objective of Consultancy

7.   Sanjeevini is a community driven and process-oriented programme. The processes include different activities such as awareness building, social mobilization, development of Community Resource persons (CRPs). Formation of CBOs, strengthening SHGs/ CBOs/ federations/Livelihood Collectives, establishment of linkages and promotion of livelihoods. The conventional methods of monitoring focuses on physical, financial and logistic aspects of projects, but do not capture the processes of community perception, satisfaction with project services, inclusion and institutional dynamics. As the community processes do not conform to pre-set rules, deadlines, targets or blue print approaches, a responsive and adaptive monitoring is necessary.

8.   Since the final outcomes of the project critically depend on the strength of the process adopted, tracking them on a continuous basis would assume importance in decision-making. In this regard, the process monitoring would support the project management team and other stakeholders in developing understanding on how and through what processes inputs get converted into outputs; what issues are critical in that conversion process and what action is necessary to increase the effectiveness of the project interventions. Process monitoring seeks to assess whether the processes observed are closer to the ideal or intended process and what factors are responsible for such deviations, if any, and explores what needs to be done to achieve the ideal/intended process. It is a key management tool for staff at all levels (State, District and Taluka).

9.   The process monitoring agency is intended as *partner* to the Mission, which is expected to act as 'eyes and ears' of the Mission on the ground, feeding key observations and information to project staff and management. The process monitoring team will work in close association with the community and the project staff. Their findings will be systematically observed, documented and communicated in order to facilitate informed management decision making. Rather than tracking events and numerical targets, process monitoring should identify areas for learning, adaptation or modification, thereby enabling the project management to improve project implementation. Some illustrative processes that need to be monitored in the initial rounds, *inter-alia* include:

- Setting up mission architecture
- Recruitment, induction and immersion to staff
- Awareness building and social mobilisation
- Mobilization of the Poor and Poorest of the Poor;
- Development of community cadres

- Community institution building and facilitating internal functioning of Community institutions;
- Preparation of micro investment plans and articulation of demand for CIF
- Convergence with other schemes
- Access to entitlements and last mile delivery
- Promotion of livelihood collectives etc.

10.   The objective of the process monitoring assignment is to support all levels of management of SRLMs in identifying critical deviations in project implementation and factors responsible for such deviation, assess quality of implementation, and provide feedback to project management on quality of implementation, critical issues affecting implementation and make suitable recommendations for mid-course corrections. The assignment also requires the consultant to conduct specific thematic studies/documentation of case studies/ best practices and identify and train and handhold community monitors.

Positioning of Process Monitoring Team

11.   The consultant shall be required to set up a central office at Bangalore. The Team Leader and the Co-Team Leader shall work from the Bangalore office on a full time basis. Further, the consultant will be required to deploy one Process Monitoring Field Team Member in each district during the assignment. Sanjeevini (KSRLM) will make requisite office space available in the DMMU office for the field team members.

Coverage

12.   The Agency will undertake process monitoring in the first year in the Blocks and sample GPs and villages selected from the following universe

Table-1
Footprint of NRLP: Sanjeevini

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S. No.	District	Number of Intensive Blocks	No. of Panchayats	No. of Villages
1.	Mysore	4	143	814
2.	Tumkur	4	136	919
3.	Gadag	5	106	318
4.	Koppal	3	96	445
5.	Uttara Kannada	4	69	453
6.	Total	20	550	2950

13.   Process Monitoring should provide inputs to project management at all three levels of the project on key implementation issues. The district process monitor should track every month the key project processes at the district and taluk levels, besides going to the sample villages to assess the quality of implementation, pace of implementation, methods adopted, emerging results in IB, CB, FI, Livelihoods etc., and identify factors, internal and external that affect the Mission.

SMMU Level

14.   The process monitoring agency is required to identify strategic issues that need attention of the state project managers. In addition, <u>one thematic</u> area would be identified for in-depth study in each quarter. The consultant may suggest few additional areas that need to be explored as part of process monitoring.

DMMU Level

15.   The process monitoring for DMMU or district level should present the overall picture of all key project processes (based on the process checklist in sample villages) to identify overall strategic changes in planning and implementation necessary in the district. Additionally the process monitoring should focus on:

   a) Business Processes at DMMU or TMMU: One thematic area based on specific DMMU needs would be identified to be focused in each quarter; and
   b) Internal Processes at Community Level Institutions: One thematic area based on DMMU suggestion would be identified to be focused in each quarter. The DMMU and the process monitoring agency should preferably use the MIS to identify such issues. Socio-economic empowerment of women, access to entitlements, Institutional strengthening, multiple livelihoods, effectiveness of community investment fund (CIF), functioning of livelihood collectives etc are some of the indicative thematic areas. It is suggested that the thematic areas are identified upfront at the inception stage itself or at the beginning of each round of process monitoring.

TMMU Level

16.   The process monitoring at TMMU level should monitor all crucial processes related to the project implementation and identify critical deviations that needs the attention and action of project team at block level. The process monitoring agency should prepare a check list of all key processes and identify quality standard / levels at the inception stage and use the checklist to rate the processes in sample villages and identify issues that need attention of block level project staff. The quality standard or benchmark for each process and project activity would be decided and agreed upon at the beginning of the assignment by the State project team. The monthly report (concerned TMMU / DMMU) should identify villages where the process deviation was observed or assessed and identify corrective measures. The process monitoring for TMMU level would be more operational in nature and identify operational bottlenecks and process level issues as well as the learning.

GP/Village Level

17.   The consultant would be required to undertake monitoring of project activities and processes adopted in the implementation of component activities under Social Mobilization, Institution Building, Financial Inclusion, Livelihoods Promotion and convergence. The consultant is required to study the functioning of SHGs and their federations and the services provided by them to the member households. The Consultant would be expected to identify and assess the process and quality of implementation, the internal and external factors affecting implementation and intended and unintended outcomes. More importantly, the consultant shall provide feedback and recommendations to improve the quality of project implementation and required to provide concurrent feedback to both the CBOs and the Mission.

Suggested Sample

18. The consultant is required to undertake the following:

- **Concurrent Process Monitoring:** Conduct concurrent process monitoring in all the 5intensive districts/ blocks of the project with a focus on implementation of project components and activities at the SHG and village organization level as well as project management level. At the state level, the agency, would take up the overall responsibility for methodology development, coordination, guidance and supervision of process monitoring, while at the field level, decentralized teams, would undertake the actual conduct of process monitoring, reporting and dissemination of learning in the area allotted to each of them.

- **Detailed Sampling Design:** while there will be no sampling for districts and taluk units, sampling is envisaged for GPs/villages. An Indicative sample size and composition is provided in table-2. However, a detailed sampling design may be proposed by the consultant in the technical proposal. The consultant is expected to cover 20 villages per month as part of random sample and 10 villages as part of panel sample involving repeat visits to empanelled GPs and villages.

Table-2
Process Monitoring of KSRLM: Sample Size and Distribution

S. No.	Unit	Total Universe	Total Random Sample Per 12 Months	Total Random Sample Per Month	Total Panel Sample Per Month (Repeat Visits)
1.	Districts	5	5	5	5
2.	Taluks	20	20	5	5
3.	GPs	550	200	20	10
4.	Villages	2950	500	50	25

Note: Process monitoring starts from the second/third month of the contract.

✓ **Identify Process to be Monitored:** Success of Process Monitoring hinges on identification of the key processes to be monitored. The processes to be monitored should be identified upfront at the inception stage and additional processes can be added as the work progresses. At the beginning of each quarter, KSRLM will provide a detailed list of processes to be monitored and the consultant shall *inter alia* study those processes.

✓ **Process Monitoring Manual:** The consultant is required to come up with a short Process Monitoring Manual/guide describing the key process that needs to be monitored, tools for conduct of process monitoring, reporting and tracing of actions. The manual should be in prepared in English/Kannada, primarily for the benefit of community resource persons.

✓ **Continuous feedback and sharing with CBOs:** The consultant would be expected to share the key findings of process monitoring with the ward level organizations and GP federation, TMMU and DMMU, besides state level presentation with synthesized findings especially those which have implications to project level strategy and policy. The sharing of findings at the ward level organization would be

expected to be done in a participatory mode, giving immediate feedback/observations after the field study in the village wherein TMMU staffs and DMMU representatives (if possible) would be present.

✓ **Identification and training of Community Monitors:** In addition, the consultant would provide training in process monitoring to 50 internal CRPs and handhold them for at least two regular quarterly rounds of process monitoring.

✓ **Reporting Requirements:** The agency would be required to conform to the reporting standards, style, format, size and such other specifications as required by the project, and undertake revisions, downsizing and such other changes as required. The consultant is required to submit following reports of good quality:

(i) **Monthly report to DMMU**: It is anticipated that on monthly basis a simple four-five page district wise report shall be prepared in matrix form indicating the key issues/deviations observed, their potential implications and actions required to be taken at different levels to correct the processes;

(ii) **Quarterly report to SMMU**: A synthesis report needs to be submitted on a quarterly basis to the SMMU. The report should summarize the key issues observed in different districts and in different component areas and present key findings and actions required. The report should contain an executive summary as well. Case studies and best practices may also be presented as part of the report. The report should be disseminated in a workshop with key SMMU professionals.

(iii) **Video Clips:** The consultant is also required to submit small (4 to 5 minutes duration) video clips on good practices, innovations and case studies of good quality. For each quarterly round, the consultant is required to submit two video clips and after necessary editing, the same would be placed on the website of KSRLM.

(iv) **Thematic Reports:** The Consultant is required to submit two thematic reports. The themes for thematic reports will be finanalised in consultation with KSRLPS.

(v) **Annual Report:** A brief annual report covering key findings of the four quarters is required to be submitted by the consultant, which will form the basis for performance evaluation.

Period of Consultancy

19. Initially the services of the consultant will be hired for a period of One Year (1), and extended by one more year subject to satisfactory performance assessment. The performance evaluation criteria would be agreed with the consultants before signing of the contract.

Deliverables

20. Based on the above, the consultant will deliver the following at various stages of work:

Deliverables	Period from the Date of Contract

Inception Report:
The inception report should provide
  a) Develop a frame work of process monitoring.
  b) Identify key processes for monitoring
  c) Identify key thematic areas for process monitoring at various level based on an inception workshop
  d) Final sampling plan and coverage
  e) Methodology for the assignment
	4 weeks

Development of process monitoring tools, participatory community monitoring systems and Process Monitoring Manual	6 weeks
Conduct process monitoring involving all levels and facilitate dissemination of learning	8th week onwards
Monthly process monitoring report to DMMU and presentation at the district level.	From 3rd Month onwards
Quarterly Process monitoring reports along with synthesized Summary report for SMMU and presentation. Participate in State process monitoring workshops	End of each quarter
At least one short (e.g. 5 minutes) audio-visual clips on different crucial community processes should be included as part of quarterly report.	End of each quarter
Five case studies from second Quarter onwards	End of each Quarter
Two thematic studies on the themes identified in consultation with KSRLPS	End of second quarter and fourth quarter
Development of 50 community Monitors and train them	End of second quarter onwards
Present annual performance report and renew contract on satisfactory performance	At the end of contract

Timeline of the deliverables

Summary of Deliverables	Number	M-1	M 2	M-3	M-4	M-5	M-6	M-7	M-8	M-9	M-10	M-11	M-12
Inception Report	1	■											
Development of Process Monitoring tools , Participatory community monitoring systems and Process monitoring manual	1	■	■										
Monthly Report	10			■	■	■	■	■	■	■	■	■	■
Monthly District level presentation	10			■	■	■	■	■	■	■	■	■	■
Quarterly Reports	4			■			■			■			■
Thematic Reports	2						■						■
Case Studies	15			■			■			■			■
Short films	4			■			■			■			■
Quarterly Presentation at SMMU level	4			■			■			■			■
Development of Community Monitors	50						■			■			
Annual Performance Report	1												■

Note :M –Month

Key Staff

21.   Key Qualifications and Experience of the Consulting/Field Teams whose CVs will be evaluated

S. No.	Position in Core Team	Area of Expertise Required	Minimum Qualifications & Professional Experience desired
1.	Team Leader (1) fulltime	Monitoring and Evaluation/Process Monitoring	Masters in Economics/Masters in Agriculture Economics/Econometrics/Rural Management/Social Science S/he should have at least 10 years of experience in large scale rural development/livelihoods projects, of which at least 5 years in monitoring and evaluation of rural development projects, survey research, data analysis and report writing.
2.	Co-team Leader (1) – Fulltime	Monitoring and Evaluation/Process Monitoring	Masters in Economics/Masters in Agriculture Economics/Econometrics/Rural Management/Social Science S/he should have at least 7 years of experience in large scale rural development/livelihoods projects, of which at least 3 years in monitoring and evaluation of rural development project, survey research, data analysis and report writing.
3.	Team Members (5) – fulltime placed at the 5 DMMUs	Monitoring and Evaluation/Process Monitoring	P.G. in Rural Management/ Economics/ Agriculture Economics/Social Work/ MSW/ Other Social Sciences S/he should have at least 5 years of experience in large scale rural development/livelihoods projects, of which at least 2-3 years in monitoring and evaluation of rural development projects, conduct of monitoring and evaluation studies, survey research, data analysis and report writing. Should be conversant with the methodology of community development and participatory research with good analytical skills. Knowledge of Kannada would be desirable.

Review Committee to Monitor Consultant's Work

22.   State Mission Director or a Committee appointed by him or his nominees shall be responsible for reviewing and monitoring the work of consultants. S/he may constitute a review/steering committee to monitor the progress and interact with the consultant. Payment to the agency will be made upon submission and acceptance of satisfactory reports/Deliverables by the project and as per conditions laid down in the contract.