

Monitoring and Evaluation of Integrated Watershed Management Programme (IWMP) for Gujarat State Watershed Management Agency (GSWMA)

Expression of Interest (EoI)

1. Background:

Gujarat State Watershed Management Agency (GSWMA), an autonomous society promoted under the Rural Development Department (RDD) of Government of Gujarat, has been mandated to implement the Integrated Watershed Management Programme (IWMP) in the state. This is a major outcome oriented initiative, which aims at sustainable livelihood promotion through management of local natural resources by involving local people in planning, implementation and monitoring of various interventions carried out in their respective areas.

GSWMA is currently implementing around 430 projects covering 20 lakh ha. worth Rs. 2800 crores. These projects are in various stages of implementation and development. Under these projects various activities undertaken are: soil moisture conservation, development of support irrigation, agriculture improvement, animal husbandry, forestry etc. Monitoring the quality and progress of these projects by a technically competent team are keys to their success while incorporating mid-course corrections. The expertise required is field based work of unbiased data collection and analysis as well as technical domain knowledge.

Expression of Interests (EoI) is called from agencies having experience and expertise in Monitoring and Evaluation.

Proposal in the form of EoIs (Annexure-1) in duplicate is requested in complete accordance with the documents/attachments as per following guidelines.

2. Objectives of Monitoring and Evaluation:

The broad objectives of the evaluation exercise are assessing the following aspects about the selected projects:

- Relevance
- Efficiency
- Effectiveness
- Impact
- Sustainability

As part of the Project Management Information System, periodic surveys- both field-based and desk-based are to be conducted. The surveys are to achieve the following objectives:

- Assess quality of Project Implementation

- Assess targets and results in terms of relevance, performance, and success.
- Achieving monthly plans and target and timely analysis of issues affecting performance.
- Identify major issues and problems affecting implementation
- Assess major achievement and learning from implementation
- Evaluate effectiveness of the processes of the input-delivery
- Potential areas of success in terms of impact, sustainability and capacity development
- Feedback of the target group both positive and negative
- Give recommendations for corrective/follow-up action

3. Scope of Work:

The broad scope of work under the Monitoring and Evaluation will be the following:

- Processes Evaluation
- Administration and Human Resource Management
- Financial Management
- Institution Building at different levels
- Information, Education and Communication activities
- Capacity Building of various stakeholders
- Entry Point Activities
- Soil Moisture Conservation- Physical measures
- Livelihood Activities

Monitoring & Evaluation which is proposed to be undertaken shall cover the following set of surveys:

S. No.	Survey	Purpose*	Pre-Conditions
1	At the End of First Year	Monitoring + Preliminary Evaluation	20% of Project funds spent
2	At the End of Third Year	Monitoring + Midterm Evaluation	50% of Project funds spent
3	At the End of Fifth/Sixth Year, depending on project period	Final Evaluation	100% of Project funds spent or Project Completion certificate issued

The scope for this Field Survey is as follows:

- a) The Survey Plan should clearly indicate the “Problem Definition” and the “relationships” to be established between the parameters proposed to be surveyed.

- b) Development of schedules / questionnaires. This will be done in consultation of the GSWMA. GSWMA will provide basic details of the Scheme and approve the schedule & enumeration plans.
- c) Sample size and Frequency of the field survey is given in the Table below.
- d) Engagement of trained enumerators and payment to enumerators
- e) During this process the schedules, survey plan, survey methodology will be finalized in consultation with GSWMA
- f) Conduct actual survey in the field and its supervision, collection of schedules, data validation
- g) Data analysis and submission of full reports in English, along with a summarized version in English/ Gujarati.
- h) The Sample size will have to be considered through an enumeration schedule developed by the Agency in consultation with GSWMA. Common schedule is to be administered for all the selected Agencies during a particular round.
- i) The selected Agency will provide the required personnel for different tasks related to training, supervision, schedule development, enumeration, data entry, data analysis, report presentation and logistics.
- j) Schedules and other forms will be printed by the Agency selected.
- k) GSWMA will only provide details of the existing programmes /project /schemes along with the list of beneficiaries/stakeholders.

IWMP Projects Field Survey will be carried out in the following formats:

- a. **Concurrent Monitoring and Evaluation Survey**
- b. **Endline Survey (or Final Evaluation- at the end of project period)**

The parameters for the field survey are given in the table below:

INDICATIVE PARAMETERS FOR FIELD SURVEY OF IWMP PROJECTS

Sr. No.	Parameter	Concurrent Monitoring & Evaluation	End line Survey / Final Evaluation
1	No. of Surveys/ Project	i. Monitoring and Preliminary evaluation ii. Monitoring and Mid-term evaluation	One End line survey/Final evaluation
2	Sample size		
	Individual beneficiaries	10% of total Households /survey/project (based on Stratified Random Sampling)	25% of total Households/survey/project (based on Stratified Random Sampling)
	Village	Sample villages based on Stratified Random Sampling	All project villages

3	Minimum Number of Enumerators required per project	1 <u>Lead Researcher</u> +2 <u>Field Enumerators</u> (1 Engineer, 1 Livelihood specialist)+ 2 data collectors	1 <u>Lead Researcher</u> +3 <u>Field Enumerators</u> (2 EngineerS, 1 Livelihood specialist)+ 2 data collectors
4	Domain – awareness training of Enumerators	Must have received trainings related to watershed development and guidelines	
5	Requirement of Other Professional/ Domain Knowledge Specialist	Either Agriculture/Animal husbandry/ natural resource management specialist	

4. Methodology:

The methods will include a mix of quantitative analysis, participatory methods and physical verification. The three main components of the evaluation would be: Procedural Appropriateness, Financial Appropriateness and Effectiveness of Activities / Impact Assessment. Impact Assessment would be done on a pre and post watershed situational analysis. For Impact Assessment, the parameters will be:

- Status of water table
- Quality and quantity of drinking water
- Increase in irrigation potential
- Change in cropping/ land use pattern
- Area under agricultural crop (single/double/multiple)
- Net increase in crop production
- Increase in livelihood opportunities
- Availability of fodder
- Increase in milk production
- Long and short term employment generation
- Any other

The tools for evaluation would be:

- Questionnaire for beneficiaries
 - Checklist for PIA interview
 - Checklist for FGD- Watershed Committee, SHG
 - Questionnaire for village level information
- ✓ Physical verification of at least 25% projects will be compulsory
- ✓ At least one individual beneficiary would be studied in-depth to develop a success story

- ✓ Other programmes running in the project area would be taken into consideration for studying the attribution factor closely

Data Collection:

Secondary sources of data will be as follows:

- District Watershed Development Unit (DWDU)
- Bhaskaracharya Institute of Space Applications and Geo-Informatics
- Gram Panchayat records
- Revenue Records
- Census records
- Village Dairy
- Local Market Yard
- Irrigation Department
- Agriculture Department
- Agriculture University

Primary sources of data will be as follows:

- Interviews with village residents
- Focus Group Discussions with Watershed Committee members
- Focus Group Discussions with SHG members
- Focus Group Discussions with UG members

Participatory Methods:

Observations on the appropriateness and relevance of the water harvesting structures and the present condition of the structures should be documented. Environmental and social impacts resulting from watershed development activities should be studied and documented. The evaluators can also find out initiatives and mechanisms that have been evolved locally with respect to maintenance or continuing watershed development and also the conflicts arising thereof along with conflict resolution methods that have proven to be successful. The evaluator should interact with SHG members to understand whether the livelihood interventions had been effective to increase income and develop market linkages. Such findings can contribute significantly to future watershed development programmes.

Various participatory and monitoring techniques should be employed to gather data directly from the stakeholders. Such data will be useful to verify data from Gram Panchayat and Village Watershed Committee records and will be useful for qualitative evaluations.

- **Focus Group Discussion:** Focus Group Discussions with various groups consisting of different economic classes, castes, SC/ST groups, women, landless, small and marginal farmers and medium or large farmers groups. Discussions should focus on the effectiveness of various activities taken up under the watershed development projects such as capacity building, construction of water harvesting structures, vegetative measures, livelihood development through SHGs, community participation, functioning of Gram Panchayat and Watershed Committee, inclusiveness (women and vulnerable sections of society), problems and solutions for soil and moisture conservation.

- **Transect walk:** Transect walk across the village will help in verifying the status of natural resources, agriculture and also socio-economic development to some extent. During the transect walk in the main village residential area one should observe the village societal structure, housing pattern and structure, amenities available, unused structures and awareness regarding sanitation. On the periphery of the village, availability of natural resources that are in use, over exploited and potential resources lying unexplored can be studied. Cropping pattern, horticulture and farm forestry species, the extent of modernization in agriculture and connectivity to market place should be observed.

Evaluation Criteria:

Evaluation Criteria	Evaluation Questions
Relevance	<ol style="list-style-type: none"> 1. Did the overall goal of reducing poverty in rural areas through soil and moisture conservation and livelihood enhancement activities match development policies and objectives? 2. Did the overall goal match the needs of the project area?
Efficiency	<ol style="list-style-type: none"> 1. What outputs were achieved and whether they were according to the plan? 2. Was the implementation schedule as planned? 3. Was the project cost as planned?
Effectiveness	<ol style="list-style-type: none"> 1. Did the outputs help achieve the goal? 2. Was the project purpose of livelihood enhancement and soil and moisture conservation achieved? 3. Comparing the inputs to the extent of goals achieved, can project implementation be considered to be effective?
Impact	<ol style="list-style-type: none"> 1. Did the achievement of purpose (Institution building, SMC and livelihood enhancement) contribute to the overall goal of reducing poverty? 2. What were the other positive and negative impacts? (environment, policy, technology, socio-economic)
Sustainability	<ol style="list-style-type: none"> 1. Are the WC, UG and SHG stable enough to function for a long time? 2. Are there enough skilled human resources for operation and maintenance? 3. Are the organization/institutional arrangements in place for proper operation and maintenance of the outputs? 4. Are the outputs in good condition and in use? Are village institutions maintaining them? 5. Is the usufruct sharing mechanism and conflict resolution mechanism functional?

Following chapters would form the content of the main report.

- a) Introduction to the project
- b) Community Mobilization
- c) Information, Education and Communication (IEC) Activities
- d) Institutional Arrangements
- e) Development of Action Plan
- f) Capacity Building
- g) Execution of works
- h) Impact Assessment

- i) Constraints in project implementation
- j) Sustainability Issues
- k) Success stories
- l) Recommendations
- m) Conclusion

5. Time Frame:

- The survey for Concurrent Monitoring will be held every year during the months of October and November; the first draft has to be submitted by December end and the final draft by February end.
- The survey for Final Evaluation will be held within six months of the date of the Project Completion Certificate; the first draft has to be submitted in two months after the survey work is completed; the final report has to be submitted in another two months time.

6. Deliverables

The deliverables for the work carried out under this Tender will be as follows:

1. Final Report - hard copy (2 copies) and soft copy on compact disc for each survey (field-based and reported) carried out.
2. One soft copy of the data generated in course of the work of this Tender including all the analysis carried out on the same and the results generated.
3. Provide the required quantum of coded filled schedules as required to carry-out the quality check for each survey.

7. Selection Procedure:

GSWMA will constitute a High Power Committee to oversee the selection of Agencies for the purpose. The following steps will be involved in the process:

- i) Expression of Interest by Agencies
- ii) Screening and short-listing of Agencies by GSWMA on the basis of Eligibility Criteria
- iii) Call for Presentation of Proposals by Agencies shortlisted
- iv) Reality check by GSWMA team
- v) Final Selection on the basis of Technical and Financial Criteria pre-decided by GSWMA

7.1. Eligibility Criteria:

The Agency applying for empanelment must qualify the following conditions:

- The Agency may be a Government Undertaking / Registered Company / Registered Consultancy Firm / Registered Non-Government Organization / Academic Agency
- The Agency must be established at least five years back from the date of advertisement
- The Agency must have minimum five years' experience in Monitoring & Evaluation or Research assignments (for third party) relating to watershed development projects
- The Agency should have minimum annual average turnover of Rs. 10.00 lakhs and positive net worth in the last three years ending 31st March 2010

- The Agency must have a full time team comprising the following members to be engaged in the M & E
 - ✓ A lead researcher with minimum 3 years' experience in the relevant field
 - ✓ An Engineer with at least 3 years' experience in the relevant field
 - ✓ A Livelihood Expert with minimum 3 years' experience and having sound knowledge of agriculture, animal husbandry and other rural livelihoods
 - ✓ At least two data collectors/enumerators for field survey work

7.2. Technical Evaluation Format:

Sr. No.	Parameters	Marks
I	Organization Credibility	30
1	Areas of activity	10
2	Audited Financial Accounts	5
3	Funding Source	5
4	Composition of Governing Board	10
II	Past Work Experience	20
1	Watershed Project Implementation	5
2	Watershed Project- Monitoring and Evaluation	10
3	Other projects- Monitoring and Evaluation	5
III	Technical Aspects	50
1	Physical Infrastructure	20
2	Staff details	30
	a) Number of qualified staff (Monitoring, Research and Documentation)	
	b) Number of years in the organization	
	Total	100

Cut off for short-listing: 60% marks in the above

7.3. Financial Proposal:

The Agency expressing interest has to give a financial proposal in the following format:

Sr. No.	Particulars	For CM&E		For End-line Survey	
		Amount In Rs. per Survey (In Figures)	Amount in Rupees per Survey (In Words)	Amount In Rs. per Survey (In Figures)	Amount in Rupees per Survey (In Words)
I	Manpower Required/Activity				
II	Travel, lodging and boarding percentage to be added to Manpower Cost				
III	Overhead (including cost of supervision, margin, etc) percentage to be added to Manpower Cost				
IV	Any other cost as expected by the Agency (Pls. specify)				
V	Total cost of Each Survey				

Details of the above table may be given in annexure

7.4. Final Selection criteria:

Sr. No.	Criteria	Total Marks	Weightage	Marks Secured
1	Technical	100	80%	
2	Financial	100	20%	
	Total	200		

8. General Conditions:

8.1. This service shall commence within 15 days from the date of signing of the Agreement and shall continue thereafter for a period equal to Project period for which the assignment has been given. This service shall be reviewed by the GSWMA at the end of the assignment. The contract may be extended for further period as may be mutually agreed on the same terms and conditions.

8.2. Consulting Agency's obligations:

- i) The Consulting agency shall appoint, an authorised person not lower than the rank of Deputy General Manager/Executive Director/Chief Executive Officer/equivalent as "Co-ordinator -Consulting agency" to co-ordinate with the GSWMA in all matters related to Consulting agency for the successful implementation and operation of the project and to be responsible for all necessary exchange of information.
- ii) The Consulting agency shall provide all assistance to the GSWMA representative(s) as they may reasonably require for the performance of their duties and services.
- iii) The Consulting agency shall provide to the GSWMA reports on a regular basis during the Contract Period as per the "Monitoring Framework" of GSWMA.
- iv) The Consulting agency shall appoint, supervise, monitor and control the activities of suppliers under their respective agreements as may be necessary.
- v) The Consulting agency shall be responsible for all statutory obligations/ liabilities like Salary, ESI, PF, etc. as per Labour Laws for the manpower employed for MEA.

8.3. GSWMA'S Obligations

- i) Grant in a timely manner all such approvals, permissions and authorizations which the Consulting agency may require or is obliged to seek from in connection with implementation of the project and the performance of the Consulting agency obligations.
- ii) GSWMA shall release the funds in a timely manner, after satisfying itself of all the project-related, statutory and accounting aspects, so as to enable the MEA to satisfactorily implement the project and perform its obligations.
- iii) The GSWMA shall appoint, an authorized person as 'Coordinator - GSWMA' to coordinate with the Consulting agency in all matters related to GSWMA for the successful implementation of the project and to be responsible for all necessary exchange of information required.

8.4. Termination of the contract:

The GSWMA will have the right to cancel the contract if the Consulting agency commits breach of any or all conditions of the contract. Breach of Contract includes, but not limited to, the following:

- a) It is found that the schedule of implementation of the project is not being adhered to.
- b) The Consulting agency stops work and such stoppage has not been authorised by the GSWMA.
- c) The Consulting agency may become bankrupt or goes into liquidation other than for project or amalgamation.
- d) The GSWMA gives notice to correct a particular defect/irregularity and the Consulting agency fails to correct such defects/irregularity within a reasonable period of time determined by the GSWMA.

If the contract is terminated by the Government of Gujarat/ The GSWMA unilaterally, Government will pay to the Vendor remaining amount, if any, for the payment for service charges for the period for which the service has been rendered and all other claims through mutually agreeable settlement.

8.5. "NO CLAIM" Certificate

The Consulting agency shall not be entitled to make any claim, whatsoever, against the GSWMA, under or by virtue of or arising out of this Contract, nor shall the GSWMA entertain or consider any such claim, if made by the Consulting agency and the Consulting agency shall have signed a "No Claim" Certificate in favour of the GSWMA in such forms as shall be required by him after the works are finally accepted.

8.6. Suspension

The GSWMA may, by a written notice of suspension to the Consulting agency, suspend the Contract if the Consulting agency fails to perform any of its obligations under this Contract (including the carrying out of the services) provided that such notice of suspension:

1. Shall specify the nature of the failure and
2. Shall request the Consulting agency to make good such failure within a specified period from the date of receipt of such notice of suspension by the Consulting agency.

8.7. Ownership Database

The ownership of the data base as and when created in the course of the execution of the work under this tender during the contract period without any liability will be automatically vested with the GSWMA. None of the physical facility and manpower created under this contract shall be transferred to GSWMA.

8.8. Details to be kept confidential

The Consulting agency shall treat the details of the contract as private and confidential, save in so far as may be necessary for the purposes thereof, and shall not publish or disclose the same or any particulars thereof in any trade or technical paper or elsewhere without the previous consent in writing of the GSWMA. If any dispute arises as to the necessity of any publication or disclosure for the purpose of the Contract the same shall be referred to the GSWMA whose decision shall be final.

The Consulting agency or his representative should neither disclose the data of project nor sell the data or use it for commercial exploitation or research work without the written permission of the GSWMA. The time period for Confidentiality maintenance shall be restricted to one year after the contract period.

8.9. Transfer of Rights

The Consulting agency shall not transfer the Contract to anybody except with the prior permission of the GSWMA.

Annexure-1

FORM FOR APPLICATION FOR SHORTLISTING OF AGENCIES FOR MONITORING AND EVALUATION OF INTEGRATED WATERSHED MANAGEMENT PROGRAMME IN GUJARAT

1. Details of the Agency / Organization:

Sr. No.	Name of the Agency / Organization	
	Year of Establishment (submit proof)	
	Head office address	
	Name of the Chairperson (telephone number)	
	Name of the Director (telephone number)	
	Office Phone number(s)	
	Fax	
	Email	
	Web	
	Registration Number	
	Foreign Contribution Registration (FCRC)	
	Other Registration, if any (with details)	

2. Board Members' / Governing Body Members' Profile:

Sr. No.	Name	Designation / Role in organization	Qualification	Experience & Achievement

3. Composition of Board Members / Governing Body Members

Sr. No.	Name	Occupation	Names of organizations involved with (if any)

4. Areas of Activity of the Organization:

Sr. No.	Name of the Programme / Project	Major Activities	From- to date	Team members involved	Annual Turnover (Average, if more than 1 year)

5. Annual Budget for past three years

Sr. No.	Year	Budget (Rs. lakhs)

- Las three years' Balance sheet and expenditure atatement with all schedules; Name of the Audit Firm auditing the accounts of the organization

6. Salary, wages and administration expenses for last three years:

Sr. No.	Particulars	Year 2008-09	Year 2009-10	Year 2010-11
1	Salary and wages			
2	Programme staff			
2.1	Permanent			
2.2	Temporary			
3	Non-Programme staff			
3.1	Permanent			
3.2	Temporary			
4	Administrative expenses			
5	Travel expenses			
6	Other expenses			

7. Funding Agencies worked with in last 3 years:

Sr. No.	Year	Name of Funding Agency	Amt approved (Rs. lakhs)	Projects for which fund has been utilized	Amt. Utilized (Rs. lakhs)

- Attach CA certificate indicating the name of funding agency, fund receipt and its utilization for last three years

8. Physical Facility & Equipment

Office area (Head office)		In sq. Ft.
Computers		Numbers
Printers		Numbers
Other equipment		Numbers
Addresses of Branch Offices		

9. Employee Details

9.1. Staff for Monitoring, Evaluation, Research and Documentation:

Sr. No.	Name	Qualification	Total experience in the sector (yrs)	Experience with this organization (yrs)	Main skill set	Present monthly salary (Rs)

9.2. Other staff details

Sr. No.	Name	Qualification	Total experience in the sector (yrs)	Experience with this organization (yrs)	Main skill set	Present monthly salary (Rs)

10. Agency's work experience related to Monitoring and Evaluation:

Sr. No.	Name of the organization for which M&E was conducted	Name of the programme / project	From-to date	Total Project cost (Rs. lakh)	Cost of evaluation (Rs. lakh)

- Submit monitoring and evaluation reports
- A note / detail as annexure of Research Studies conducted by the organization
- A note on the process adopted for carrying out monitoring, evaluation and research works

Annexure-2

Documents for fulfilment of Eligibility Criteria:

Sr. No.	Criteria	Documentary proof needed	Documentary proof attached (Y/N) (Give annexure no.)
1	Minimum 5 years establishment	Certificate of registration	
2	Turnover of Rs. 10 lakh and Net positive net worth in last three years	Audited Balance Sheet for last three years	
3	Five years' experience in Monitoring and Evaluation	Reports / Executive Summaries of the M&E conducted	
4	Technical Team for M&E	Self attested salary slip or form 16 or PF statements of each technical staff as required with their bio-data signed by them highlighting relevant experience	

Annexure-3
Documents required for fulfilment of evaluation criteria

Sr. No.	Criteria	Documents / Details required	Documentary proof attached (Y/N) (Give annexure no.)
I	Organization Credibility		
1	Areas of activity	Project Completion Certificate / Annual Reports	
2	Audited Financial Accounts	Audited Balance Sheets of last 3 years	
3	Funding Source	CA certificate indicating funding of the organization, its source in last 3 years	
4	Composition of Governing Board	Relevant document	
II	Past Work Experience		
1	Watershed Project Implementation	Project Completion Certificate / Relevant document	
2	Watershed Project-Monitoring and Evaluation	Executive Summary of Reports	
3	Other projects-Monitoring and Evaluation	Executive Summary of Reports	
III	Technical Aspects		
1	Physical Infrastructure	CA certificate for fixed assets (furniture and fixtures)	
2	Staff details Number of qualified staff (Monitoring, Research and Documentation) Number of years in the organization	Self certified list of Technical Employees indicating Name, Qualification, Experience, Salary, No. of years with organization, etc	