

**TERMS OF REFERENCE**

**Title:** Hiring Services of Consultant for conducting 'Baseline Survey' in 8 (Eight) project districts of Mizoram, Nagaland, Sikkim & Tripura.

**Organization:** North East Livelihood Promotion Society.

**Credit Number:** 5035-IN

**Terms of Reference  
for  
Hiring Services of Consultant for conducting Baseline Survey in 8 (eight) project districts of  
Mizoram, Nagaland, Sikkim & Tripura.**

## **1. BACKGROUND**

The North East (NE) region in India is one of the most isolated regions in the country. It comprises eight states, including Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Tripura and Sikkim. With a total population of 45.5 million (As per census 2011), the region accounts for about 3.77% of India's total population and covers about 7.90% of its total geographical area. The economy of the NE region is still pre-dominantly agrarian with the share of agriculture in total State Domestic Product (SDP) above the national average.

Though the region has better than average Human Development Indices, poverty along with under-employment and unemployment is widespread in rural and urban areas leading to many social issues and according to some feeding the protracted problems of insurgency.

To address the issue of livelihoods, Government of India has approached the World Bank for support for a Livelihood Project across four NE States viz. Mizoram, Nagaland, Sikkim and Tripura.

North East Rural Livelihood Project (NERLP) is a World Bank funded rural poverty reduction project of the Ministry of Development of North Eastern Region (DoNER). The **Project Development Objective** is *“To improve rural livelihoods especially that of women, unemployed youth and the most disadvantaged, in four North Eastern States”*.

### **Project Coverage:**

NERLP will benefit directly more than 3,00,000 households in 1,624 villages in 58 blocks of two selected districts each in four North Eastern states, namely Mizoram, Nagaland, Sikkim and Tripura. The districts are Aizawl and Lunglei in **Mizoram**, Peren and Tuensang in **Nagaland**, South-West and 15 Panchayat wards of East District in **Sikkim** and West and North Districts in **Tripura**. The provision of World Bank fund for the project is for a period of five years.

### **Project Components:**

The project has four components, namely, social empowerment, economic empowerment, partnership development and project management. These components focus on improving livelihoods of the most disadvantaged people in the targeted areas by building community based organizations and developing partnership with Government and other institutions for knowledge, skill, credit, insurance, extension and market.

- **Social Empowerment:** This initiative seeks to empower rural communities by creating sustainable community institutions; improving inclusiveness and ensuring equity in social, gender and environment.
- **Economic Empowerment:** Increase livelihoods through diversification of income and employment opportunities by supporting SHG and SHG Federation with investment support; supporting Community Development Group for Community Development Plan; supporting

Producer Organization for business activities based on value chain and supporting youth for skill development training and placement.

- **Partnership Development:** Development of partnership with various service providers including technical support institutions, public and private sector organizations, financial institutions, etc., with the aim of dovetailing further resources required for the success of the project.
- **Project Management:** This component includes governance, implementation, coordination, learning and quality enhancement efforts.

### **Support structure of the project**

The support structure of the project is designed for planning, implementation and monitoring at various levels as follows:

1. Ministry of DoNER at the Govt. of India level responsible for overall governance and policy directions
2. North East Livelihood Promotion Society (NELPS) a regional level autonomous society is created to implement the project with Headquarter at Guwahati.
3. Regional Project Management Unit under the society, headed by project director implements the project through
  - (a) District Project Management Units in each of the project districts
  - (b) Project Facilitating Teams being set up in each of the project blocks

NERLP is implementing a tracking survey to track the progress of the North East Rural Livelihoods Project (NERLP) in eight districts of four North Eastern states, namely Mizoram, Nagaland, Sikkim and Tripura. This tracking survey will allow for a future impact evaluation with Propensity Score Matching (PSM) techniques. In support of this, NERLP will implement a panel survey, where data will be collected from approximately 8,000 households<sup>1</sup> across eight districts in four state of North East viz Mizoram, Nagaland, Sikkim and Tripura.

In support of the Impact Evaluation it has been decided that there will be two rounds of surveys to be implemented, namely the baseline and the end line surveys. The first round of data collection (the baseline survey) will commence before the initiation of project activities or before showing impact of the project activities wherever project has started activities in the sample areas. One additional rounds of this tracking survey will be implemented at the end of the project period. The end-term survey will revisit the same households and villages that were surveyed in the baseline survey. Evidence generated through the impact evaluation study (which will be measured in the end-line surveys) will be used to provide recommendations that can strengthen the project's effectiveness.

This Terms of Reference is for a Survey Firm which will implement the first round of panel survey also known as the baseline survey. To select the Survey Firm, NERLP would like to invite applications from firms that will (a) collect data and (c) implement all activities related to data entry and management for the baseline round of this tracking survey.

The Survey Firm will work under the direct supervision of the Monitoring and Evaluation (M&E) team of NERLP with technical assistance from the World Bank.

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<sup>1</sup> This is an approximate sample size, provided here as an estimate. The final sample size will be determined by NERLP after appropriate power calculations.

## 2. GOALS AND OBJECTIVES

The purpose of the assignment would be to conduct a Baseline Survey to determine current status of various indicators of development pertaining to social and economic sectors of the eight (8) project districts. The agency is required to determine the Baseline Indicator Values within the framework of the Project Implementation Plan's Result Framework available with the NELPS. As this shall form the basis of future MIS-based and Field evaluation, the study must bring out all the details with necessary elaborations wherever required to reflect the Baseline status correctly. The reports generated should be of help in tracking and managing project activities properly and also help in project management and decision support.

The goal of the Tracking Survey is two-fold. First, it will enable tracking of changes in the well-being and living standards of rural households in the districts targeted by NERLP. Second, the data from the tracking survey will allow for the measurement of the impact of the project on key socio and economic well-being indicators.

## 3. TRACKING SURVEY DESIGN AND SAMPLE SELECTION

There are two steps involved in the design and selection of a sample for a tracking survey. The first is the determination of sample size and its geographical allocation such that a future impact evaluation is possible using PSM techniques. Typically, the sample size is defined on the basis of geographic scope of the survey and the precision with which the major indicators need to be measured. The sample size for a tracking survey should be i) large enough to identify the impact of the program on its targeted outcomes ii) cover project and non-project areas. Project and non-project areas will be matched via statistical techniques to define treatment and control groups, which will then be used by experts to evaluate the impact of the project. Final decision will be taken by authority of NERLP.

The survey firm is *not* responsible for:

- Power calculations and sample size determination
- Determining the panchayat and village sample

## 4. SCOPE AND COVERAGE

The Survey Firm will be responsible for (i) all data collection activities (ii) data entry and management. The technical team from the World Bank will assist NERLP in (i) determining sample size and (ii) developing appropriate survey questionnaires. The M&E team of NERLP will supervise closely with the Survey Firm in executing their tasks.

The selected Survey Firm will therefore be expected to successfully implement three closely related aspects of the data collection and management activities. These activities include:

1. Preparatory Activities
  - i. Adapting, pretesting and revising of sample survey instruments used for the evaluation of other World Bank assisted rural livelihoods projects
  - ii. Training of field enumerators and supervisors
2. Data Collection Activities
  - i. Household listing and sampling plan
  - ii. Household survey
  - iii. Village surveys- mixed group FGD and women's group FGD
3. Data entry and management

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**The Survey Firm will be responsible for the following activities:**

**4.1 Adapting, pretesting and revising of survey instruments:**

**4.2 Training of enumerators:**

**4.3 Data collection activities:**

The Survey Firm will conduct the following surveys:

**i) Household Listing and Survey:** If a reliable list of all households in the sample villages is not available, the Survey Firm will undertake a listing of all households in the sample villages through a rapid screening and listing survey.

Information will be collected through interviews as well as direct observation. The household survey will include:

- Information regarding details of HHs members, house type and others information.
- Household roster and socio-economic modules, covering individual level demographic, education, labor/employment and other information
- A household economy module, covering HH consumption and expenditures, assets and productive activities
- A household savings and debt module that includes savings and debt portfolio of the household covering terms of different loans- cost, purpose, size etc
- A household participation in SHG module that collects information on participation in SHGs, membership history, empowerment of women through membership in SHGs etc
- A household access to basic services module that collects information on the household's access to basic public services including farm and non-farm technologies, facilities for agricultural market and government schemes.
- A household physical characteristics module that documents the location, type and size of housing, household facilities – especially access to, and types of sanitation, hygiene & water facilities, and other amenities.

**ii) Village Survey:** The village surveys will be implemented in each sample village. The survey will be conducted through a focus group discussion with a group of 8-10 key informants.

**4.4 Monitoring data collection:** The Survey Firm is responsible for monitoring field work to ensure that the survey is of a high quality (error free) and is conducted in accordance of the field plan approved by the M&E team of NERLP.

**4.5 Data entry and management:** The Survey Firm will be responsible for timely and high quality data entry and data management. The responsibilities of the Survey Firm include (i) developing a robust data entry software, (ii) implementing an efficient data transfer system that ensures secure transfer of all paper questionnaires from the field to the point of data entry and (iii) implementing all required data accuracy checks.

**5. SPECIFIC DELIVERABLES**

The Survey Firm will be expected to successfully implement each of these data collection activity, based on the following specific deliverables:

**5.0 Submission of work plan:** The Survey Firm will submit a work plan that incorporates all the deliverables listed in items 5.1 through 5.10 below at the time that the contract is signed.

This work plan will be closely based on the tentative time line for activities and schedule of delivery detailed in Annex 1.

***DELIVERABLES (5.0): The deliverable for this component is 1) a written work plan approved by the M&E Team of NERLP***

**5.1 Adaptation, translation and pre-testing of survey instruments:** The Survey Firm will be provided with a standard set of draft questionnaires in English by NERLP.

***DELIVERABLES (5.1): The deliverables for this component are the 1) translated draft questionnaires in the local language 2) pre-testing report including timing of modules, comments from interviewers and supervisors and necessary changes to the questionnaire, 3) final local language questionnaires, and 4) final corresponding English questionnaires.***

**5.2 Field Procedure Plan:** The field procedure plan should outline in detail all aspects of the field work to be conducted by the Survey Firm.

***DELIVERABLES (5.2): The deliverable for this component is 1) a written Field Procedure Plan approved by the M&E team of NERLP 2) written report of change (if any) in Field Procedure Plan submitted in (1)***

**5.3 Robust Data Entry Program.** The Survey Firm must develop a robust data entry program in CSPro (version 5.0.2).

***DELIVERABLES (5.3): The deliverables for this component are the 1) initial data entry program (including the double-entry checking system used) to be demonstrated to and approved by the M&E team of NERLP 2) test of data entry software to be approved by the M&E team of NERLP 3) written data entry protocol for data entry agents detailing program, 4) final data entry program adapted for the local questionnaires, and 5) the dataset dictionary with all variables labeled and defined.***

**5.4 Composition of the teams:** The personnel requirements for this project and their desired qualification include:

**5.4.1 Core survey team:** The Survey Firm must provide a minimum of:

- **One Full-time Project Manager:** Post graduate degree in management/ finance/ business/ engineering with minimum of 8-10 years experience in handling large scale socio economic household surveys such as the National Sample Survey (NSS), Rural Economic Development Survey (REDS), National Health Survey (NHS) and other similar large scale surveys and work experience.
- **One Full-time Field Manager:** Degree in Economics, Statistics, or related social sciences fields and a minimum experience of five years in working with large household level surveys such as the National Sample Survey (NSS), Rural Economic Development Survey (REDS), and National Health Survey (NHS) is required. Experience of working with other surveys where data is entered concurrently with the interview process preferred.
- **One Full-time Data Manager:** This manager should have a degree in computer science or related field and experience with developing applications in existing sophisticated data entry software (such as CSPro, Blaise) and managing large data base construction and quality control.

#### 5.4.2 Field Team:

##### Supervisor:

**Desired Qualification:** The preferred education requirement for field supervisors is a University Degree. Basic ability to communicate in English would be preferred though not required.

- **Enumerator/ Interviewers:**
- **Desired Qualification:** The preferred education requirement for a household interviewer is a Secondary School Completion Certificate. As some knowledge of separate dialects may be required in remote areas, it may be preferable to recruit interviewers living in these areas.
- **Data entry operators:** The number of data entry staff will be determined to allow the completion of the data entry in a **maximum of 60 days** from completion of field activities.

**5.5 Preparation of interviewer training curriculum and materials, field manuals and implementation of personnel training:** The Survey Firm is responsible for developing all training curriculum and materials in consultation with the M&E team of NERLP.

*DELIVERABLES (5.5): The deliverables for this component are the 1) draft training materials and field manuals 2) report with the results of the evaluation process for the supervisor training 3) final training materials and field manuals, in English and local language and 4) report with the results of the evaluation process for the interviewer and data entry agent training.*

#### 5.6 Conduct a successful survey field pilot test prior to data collection:

*DELIVERABLES (5.6): The deliverable for this component is 1) a documented process of the field test and data successfully transferred to the M&E team of NERLP.*

#### 5.7 Weekly progress reports

*DELIVERABLES (5.7): The deliverable for this component is 1) timely delivery of Project Manager's Weekly Progress Reports.*

#### 5.8 Successful implementation of data collection in all of the planned/substitute sample locations.

*DELIVERABLES (5.8): The deliverable for this component is 1) the Project Manager's written report of data collection, including the information detailed above.*

#### 5.9 Compile a database of all the completed data.

*DELIVERABLES (5.9): The deliverable for this component is 1) the Completed Databases, including the listing data, household data, village data, with data correctly organized, variables named and labeled and appropriate identifiers that permit seamless merging between databases.*

#### 5.10 Conduct final cleaning of data, final data delivery report, and baseline report

*DELIVERABLES (5.10): The deliverables for this component are 1) the Final Databases in electronic form 2) Final Data Delivery Report 3) Report on survey data 4) Formal Presentation to NERLP on completion of all deliverables.*

A list of all outputs for the baseline survey (and the corresponding deliverables) is listed in Annex 1

6. **ESTIMATED WORK PERIOD:** Preparatory data collection activities (pretesting, training and pilot) should be completed within 40 days of commencement of work. The data collection for the baseline survey should be completed in a maximum of 120 days. Double data entry and reconciliation has to be completed within a maximum of 60 days of its commencement. The total work period for the survey is scheduled for a period of 220 days. The Survey Firm will be paid contingent upon timely submission of agreed deliverables.
7. **FUTURE USE OF DATA:** A contract for this project will only be awarded on the condition that all information, reports and plans, both print and electronic, as well as the system that may have been designed specifically for this project, in whatever format, will belong to NERLP and the World Bank. The Survey Firm may not use the data for their own research purposes, nor license the data to be used by others, without the written consent of NERLP and the World Bank.
8. **Eligibility:** Only firms fulfilling the following conditions may apply:-
  - a. The firm must have experience of conducting any socio-economic surveys involving a sample of at least, 2000 or more households in a single round. Preference will be given to firms who have done similar socio-economic surveys in rural **North East** involving a sample of at least 1000 households in a single round.
  - b. The firm must have an annual turn-over **of Rs. 1 crores or above** for the last 3 years
  - c. Preference will be given to that firm who have previous experience of working in North East.
  - d. Preference will be given to that firm who have office space in North East
  - e. The firm should be registered for a minimum of 5 years.

However, NERLP reserve the right to examine has the questionnaire used in the survey which was conducted by the firm and may ask to produce the same for consideration as a reference at the time of evaluation of firms

## 9. How to Apply:

The agency or firm has to submit proposals to the office of the undersigned within 14 days from the date of publication of advertisement through registered post/courier addressed to –

**“The Project Director,  
North East Livelihood Promotion Society,  
House No - 2, Near Nayantara,  
Six Mile, G.S. Road,  
Guwahati - 781022, Assam.**

**ANNEX 1: OUTPUTS AND CORRESPONDING DELIVERABLES  
(Indicative Example)**

Outputs
Deliverable 5.0: Written work plan to be approved by the M&E team of NERLP
Deliverable 5.1: 5.1.1) Draft questionnaires pre-filled and translated into Local language 5.1.2) Pre-testing report including timing of modules, comments from interviewers and supervisors and necessary changes to the questionnaire 5.1.3) Final questionnaire in the local language 5.1.4) Final corresponding English questionnaires.
Deliverable 5.2: 5.2.1) Written Field Procedure Plan approved by the M&E team of NERLP 5.2.2) Written report of change (if any) in Field Procedure Plan submitted in (1)
Deliverable 5.3 5.3.1) Initial data entry program ( <i>including the double-entry checking system used</i> ) to be demonstrated, approved by the M&E team of NERLP 5.3.2) Test of data entry software to be approved by the M&E team of NERLP 5.3.3) Written data entry protocol for data entry agents detailing program 5.3.4) Final data entry program adapted for the local questionnaires 5.3.5) The dataset dictionary with all variables labeled and defined
Deliverable 5.5 5.5.1) Draft training materials and field manuals 5.5.2) Report with the results of the evaluation process for the supervisor training 5.5.3) Final training materials and field manuals, in English and local language 5.5.4) Report with the results of the evaluation process for the interviewer and data entry agent training
Deliverable 5.6: Documented process (field report) of the pilot test and data successfully transferred to the M&E team of NERLP
Deliverable 5.7: Timely delivery of Project Manager's Weekly Progress Reports
Deliverable 5.8: Project Manager's written report of data collection
Deliverable 5.9: Completed Database
Deliverable 5.10: 5.10.1) Final Databases and Final Data Delivery Report 5.10.2) Report on Survey Data 5.10.3) Formal presentation by the Survey Firm

## ANNEX 2: TIMELINE FOR ACTIVITIES AND SCHEDULE OF DELIVERY

The initial draft of the survey questionnaires will be provided to the selected Survey Firm on the date that the contract begins. At this date, the Survey Firm should have in place the program manager, data manager and field manager; and should submit a written work plan (Deliverables 5.0 and 5.4.1 due).

No.	No. of Days from commencement of the contract	Activities	Output-Deliverable Due
1	7 Days	Recruitment of field supervisors	5.4.2
		Pre-filling and translation of initial draft of questionnaires into local language	5.1.1
		Draft of training materials and field manuals (in English and local language translation)	5.5.1
2	7 Days	Initial development of data entry software	5.3.1
		Field procedure plan	5.2
3	7 Days	Pretesting questionnaires with supervisors	5.1.2
		Testing of data entry software	5.3.2
		Written data entry protocol for data entry agents detailing program	5.3.3
4	6 Days	Final survey questionnaires, in English and local language	5.1.3, 5.1.4
		Final data entry program adapted for final questionnaires	5.3.4
		Final training materials and manuals	5.5.3
5	10 Days	Training of supervisors and enumerators	5.5.2, 5.5.4
6	3 Days	Pilot Test	5.6
		Completed dictionary of variables	5.3.5
7	Maximum of 120 Days	Field work begins, runs for maximum of 110 days	5.7
		Project Manager's Report on Data Collection	5.8
8	Maximum of 60 Days	Completed database to be submitted within 60 days	5.9
		Final Reports	5.10

**Annex 3. MANDATORY INFORMATION REQUIRED FROM THE FIRM**

A)	Location of Head office		
B)	Does the firm have an office in North East (Yes/No)		
C)	Date of establishment of the firm (DD/MM/YY)		
D)	Number of similar surveys successfully implemented previously (Please fill only <b>similar socio-economic surveys</b> with sample size of 2000 or more households in a single round)		
	If (D) > 0, please list the survey(s) below		
		Name of the Survey	Sample Size
	1		
	2		
	3		
	4		
	5		
	6		
	7		
	8		
	9		
	10		
E)	Number of similar surveys successfully implemented in <b>North East</b> ( Please fill only <b>similar socio-economic surveys</b> with sample size of 1000 or more households in a single round)		
	If (E) > 0, please list the surveys) below		
		Name of the Survey	Sample Size
	1		
	2		
	3		
	4		
	5		

**Please list Annual Turnover amount of your firm for the last 3 years (in INR)**

<b>Sl. No</b>	<b>Year</b>	<b>Amount</b>
1	2010-11	
2	2011-12	
3	2012-13	

**Annexure: 4.****Required Qualification of Survey Team**

<b>S. No.</b>	<b>Key Member</b>	<b>Profile Required</b>
1	Full Time Project Manager	Post graduate degree in management/ finance/ business/ engineering with minimum of 8-10 years of experience in handling large scale socio economic household surveys such as the National Sample Survey (NSS), Rural Economic Development Survey (REDS), National Health Survey (NHS) and other similar large scale surveys and work experience.
2	Full time Field Manager	Degree in Economics, Statistics, or related social sciences fields and a minimum experience of five years in working with large household level surveys such as the National Sample Survey (NSS), Rural Economic Development Survey (REDS), and National Health Survey (NHS) is required. Experience of working with other surveys where data is entered concurrently with the interview process preferred.
3	Full time Data Manager	A degree in computer science or related field and experience with developing applications in existing sophisticated data entry software (such as CSPro, Blaise) and managing large data base construction and quality control.
4	Field Supervisors	The preferred education requirement for field supervisors is a University Degree. Basic ability to communicate in English would be preferred though not required
5	Field Enumerator/ Interviewer	A Secondary School Completion Certificate. As some knowledge of separate dialects may be required in remote areas, it may be preferable to recruit interviewers living in these areas. This is <u>not</u> always required and left to the discretion of the Survey Firm. Should know local language.