#### Draft Terms of Reference

#### Process Monitoring in Odisha under NRLM

***1.0 Background:***

The Odisha Livelihoods Mission (OLM) was launched in 2011 under the aegis of the National Rural Livelihoods Mission (NRLM) – Aajeevika. The mission’s objective is to reduce rural poverty in Odisha by creating and strengthening community based institutions, which can function as pathways to sustainable livelihoods.The project is currently operational in 88 Intensive Blocks and 226 non-intensive blocks by 2018-19. However, all the blocks would be brought under intensive approach in gradual manner within next three years time.

***1.1 Implementation Structure***

OLM has operational structures such as District Mission Management Unit (DMMU) and BMMU to facilitate activities on the ground. SMMU is the state level structure that facilitates the programme at the state. The Mission operates within the overall guideline of NRLM. OLM has staggered its intervention on a time scale. During the first year it covered 10 districts and 30 intensive blocks. In the second year the coverage has gone up from to 14 districts with 50 intensive blocks. In the current year, there is a plan to cover 88 blocks in 24 districts under intensive approach. Out of the 88 blocks, 33 blocks are supported through NRLP and 53 blocks through NRLM. While all activities are carried out in select Gram Panchayats of Intensive blocks, the financial inclusion and SHG-Bank linkage activities are taken up in both Intensive and non-Intensive blocks. The activities are also sequenced over time and capability framework. The intervention cycle starts with mapping the existing SHGs in a given location and matures with adequate capacity development on community institutions like CLF, GPLFs along with appropriate livelihoods layering.

**2. The need of the consultancy**

OLM perceives ProcessMonitoring as the regular analysis of its programme, community level actions and change elements.Process Monitoring (PM) facilitates the project management and others involved in the project to understand 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. It seeks to assess whether the process observed is close to the ideal or intended process and it explains the factors responsible for the deviation, if any, and tells what needs to be done to achieve the ideal/intended process. It is a key management tool for staffs at all level (State ,District, Block and GP).

The process monitors are intended as partners to the project, who will act as an additional ‘all eyes and ears’ on the ground, feeding key observations and information to project staff and management. Their findings will be systematically observed, documented and communicated in order to inform management decision making, rather than tracking events and numerical targets, process monitoring should identify any areas for adaptation or modification, thereby enabling the project management to learn how to better shape and implement the project activities and processes.

As part of the rolling-out OLM has set up a State Mission Management Unit (SMMU), District Mission Management Units (DMMUs), and Sub-Districts Units of Block Mission Management Units (BMMUs).As OLM is designed to promote certain new strategies requiring intensive application of financial, social capital and human resources, a phased expansion approach has been adopted. The phased implementation implies following a two track approach i.e., intensive and non-intensive strategies. Gradually all non-intensive blocks will be brought under intensive approach.

***3.0 Intensive Block Strategy***

As prescribed by the implementation framework as well as from the past experience of implementing TRIPTI, the World Bank assisted project in the district, NRLM will be implemented in a phased manner and will cover the entire state within a period of 6 years, starting from 2013-14 till 2018-19. However, to saturate all the villages, it will take additional two years of time. In this process the planned blocks will be implemented in an intensive manner. The rest blocks will be termed as non-intensive where limited number of activities will run under the programme. Year wise the number of blocks where all the project activities are implemented will increase and the number of blocks implemented non-intensively will decrease, finally turning all blocks into intensive blocks.

***3.1 Implementation Strategy:***

**Block to Block approach:**Till now, OLM is working with 88 blocks in intensive approach. In the current Financial Year 4 blocks will be taken up as Resource block and all the activities will be carried out with the help of External Community Resource Person (E-CRP). However, for the time being, 10 blocks from 10 TRIPTI districts are taken up as additional blocks with proof of concept to serve as immersion ground for the Intensive Blocks (IB) in terms of staff and social capital from the available resources.

***Objective of Block-to-Block Approach*:**

* Optimum utilization of existing resources within the state.
* Social Capital in the TRIPTI area who have internalized the project cycle, will demonstrate the same and help in establishing the governance systems in the newly formed community institutions
* Social capital from the Resource Blocks/ select blocks will go to the Intensive Block to demonstrate and provide handholding support.
* Peer Learning: This model will act as a community to community learning cum sharing.
* Utilizing the experience and learning of TRIPTI which will ensure proper implementation of all the process envisaged in the NRLM -project cycle.

**4.0 The objective of the consultancy**

* To support OLM for conducting field based process monitoring study of the project input and output and suggest for changes if necessary.

***4.1 Role of the firm Organisation:***

The *firm* should be an independent agency, however, its activities would be integral to the project implementation processes. The *firm* should work as a partner within the project, with their role being to carry out the process monitoring activities in sample GPLFs from the 88 blocks of 24 Intensive districts. This should include evidence based observation , documenting their findings, making suggestions and recommendations, and facilitating reviews and discussions of any resultant learning issues that may emerge, amongst all the levels of project management. The communities themselves should also be included in the reviews and discussions.

*Required steps*

* The process monitoring is intended to be conducted on an ongoing basis in all the intervened districts of the project. The agency shall be required to deploy their staff permanently at the district level (or at the block / GP/ village level as may be decided based on the technical proposal justifying requirement) alongside the district / block / GP project management unit where appropriate.
* To understand the implementation processes and the factors responsible for the deviation and justification for the deviation, if deviations are indeed noted. In short, it will include which part of the strategy worked well and where, which did not work and why?
* The field implementation related processes and project management related issues will be analysed systematically by the consultancy firm and is expected to provide evidence based observation to OLM based on a systematically study.
* A critical task is to identify the processes to be monitored. The staff at the different project levels needs to be consulted periodically for the identification of processes and issues. The processes identified should be in relation to the indicators defined in the Results Framework of the project and, critically, to the project principles and processes detailed in the Community Operational Manual (COM). The MIS data analysis may also provide clues for issue identification. So it will be a combination of various methods.
* The consultant/ agency/organisation would be expected to share the key findings of the process monitoring with the GPLF general body, besides state level presentation with synthesized findings especially those which have implications to project level strategy and policy. The sharing of findings in the GPLF would be in a participatory mode, giving immediate feedback / observations to help resolve GP level problems, wherein BMMU members and preferably DMMU representatives should be present.
* Similarly, on a monthly basis in a district, the team would be expected to compile a short report and share the emerging points of learning with the state team. The sharing of information with district unit would be on a monthly basis, and it is expected that this feedback should be done on quarterly basis at the state level. At the level of DMMU and state, brief district-wise monthly findings and a Recommended Actions Report will be prepared.
* A synthesised report would be submitted to the SMMU on a quarterly basis.
* The firm will develop for under taking process monitoring
* The firm will make a short film on process monitoring and proper documentation of best practices.
* Overall, the process monitoring should provide continuous information about problems, learning and issues emerging from implementation of resource block strategies. The collected information should feedback into decision-making to improve strategies, guidelines, rules and procedures to help OLM become more participatory and responsive.

***Field based issues***

Given the scale and coverage of the OLM, the contracted consulting firm would be required to maintain a strong field presence, with a pool of experienced and qualified staffs. At the state level, the consulting agency, would take up the overall responsibility for methodology development, coordination, guidance and supervision of process monitoring, while at the field level, decentralised teams, would undertake the actual conduct of process monitoring, reporting and dissemination of learning in the area allotted to each of them. While, the exact model to be used is at the discretion of the consulting agency, it is expected that field teams would be under the guidance, supervision and direct control of the consulting agency, will assure timely quality deliverables.

***Reporting requirements***

1. ***Potential areasto cover under Process Monitoring***

Themes for process monitoring would be dynamic and for each quarter. To this effect the process-monitoring firm would submit an annual plan with quarterly output breakup by incorporating adequate feedback from programme support and programme monitoring team.OLM staff would input to the selection of themes for process monitoring. The patterns demonstrated through analytics of MIS would be integrated in the design and structure of process monitoring. During the first year of the study, the following sub-themes under the intensive block strategy may be assigned to the firm

1. **Business Processes of OLM:**Theme on systems and policies including arrangements made for hiring human resources, their training and capacity building that have a bearing on the implementation of resource strategy.
2. **Communitisation of OLM:**Themes on orientation/training and accreditation of CRPs to be deployed, monitoring outcomes of CRP teams;
3. **Rolling out of Intensive Blocks Strategies:** Themes on preparedness for rolling out intensive block strategy – selection of blocks and their division into clusters - creating initial conditions – identification of district, block and cluster staff for immersion and training, CRP movement plan,- their deployment as per the plan and arrangement for monitoring them.
4. ***Training of SHGs by CRPs***

- rapport building activities undertaken;

- type of efforts made to understand community dynamics;

- perceived support received from the community;

- methods adopted for scanning pre-Mission SHG situation and the results;

- methods adopted for identifying the vulnerable and poor outside SHGs and efforts made to mobilize them into new SHGs, including adoption of customized strategies and mobilization around local issues; and

- Content, duration and methods of training women to undertake promotion of new groups, strengthening of pre-existing groups and revival of dormant and defunct groups and the emerging results.

1. ***Training of SHGs on Micro-plan Preparation***

- Methods adopted for training of SHGs for preparation of micro-credit plans; and

- Results of training in terms of micro-plans prepared, bank loans and CIF accessed and utilized.

1. ***Promotion of Quality of SHGs***

- Efforts made to study existing democratic and micro-finance practices;

- methods adopted to institute *Pancha Sutras* and their actual practice; and

- Emerging results on the ground in terms of actual functioning of the groups as per the norms adopted – deviation if any and the perceived reasons thereof.

1. ***Cluster Level Federations***

- Methods adopted for formation of rudimentary cluster level federation.

*h)* ***Identification of Internal CRP***

 *-*Method adopted for identifying internal CRPs

-Methods adopted to identify One Language Translator-cum-Mobiliser

 i) ***GPLF Formation:***

- Methods adopted to promote the concept of GPLF and its relevance to the members;

- Type, duration and adequacy of members on GPLF formation and management;

- Type, duration and adequacy of training of GPLF animators on roles and

 responsibilities; and

- Type, duration and adequacy of training provided on GPLF bookkeepers and to functional committees on the roles and responsibilities.

j) ***Training to community:***

 **-**Process adopted to train Internal Facilitation Team

 **-** Five modules training to all existing SHGs in first phase block.

**-**Process and method adopted to train internal CRP-CMs and MBKs

k) -***Start up & IB Fund:***

**-**Modalities adapted for releasing of startup & IB to GPLFs.

Depending on the progress of implementation of Intensive Strategy ,the consulting ` 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. It is anticipated that on a monthly basis, a simple two-three page district wise report shall be prepared in matrix form indicating the key learning issues that emerge, and any recommended actions. On a quarterly basis a detailed report incorporating all districts is expected, highlighting the key findings and key actions recommended to the SMMU. The executive summary of this report should be presented in matrix form to improve readability. The submission of a report may not always lead to a discussion and decisions; therefore at each level (both the DMMU and SMMU) the findings should be presented to the respective learning groups in a workshop, which would be facilitated by the firm.

g) Livelihoods layering: Process of PG formation and livelihoods intervention needs to be studied and few case studies would be made to demonstrate programme efficiency, effectiveness or gaps there in.

**4.2 Period of consultancy:**

 OLM seeks to commission Concurrent Process Monitoring for a period of 1year by external agency with a possibility of extension owing to performance.The contract period will be one year from the date of commencement of the contract. Satisfactory performance includes , timely submission of reports, and the timely completion of field work in accordance with the consulting agencies sampling arrangements, as contained and agreed within their proposal.

**4.3 Sample:**

**Purposive Sampling would be made to undertake Process Monitoring.** Process Monitoring would be taken up in 2 blocks from each district and 3 GPLFs from each blocks as final sampling. GPs are to be covered repeatedly for measuring the changes over a period of time (i.e. a ‘panel’ of GPLFs will be continuously monitored, year by year). While there will be no sampling for state and district levels, sampling is envisaged for both block and GPLFs. The external process monitoring firm is required to conduct process monitoring in 48 blocks and 144 GPLFs In each quarter the firm is required to cover at least 2 blocks from different districts as indicated by OLM. During the second year, in addition to 8 new blocks, the agency would revisit 20 blocks covered in the first year in the relevant quarter. This brings the total number of blocks to 28 in the second year. In the third year, in addition to 20 new blocks, 12 first year block and 8 second year block would be revisited in the relevant quarters.

**Indicative Sample of Blocks and districts in Odisha State**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Year** | **Q1** | **Q2** | **Q3** | **Q4** | **Total districts**  | **Blocks to be covered for PM** | **Coverage**  |
| District entered in 2013-14  | 2 | 2 | 3 | 3 | 10  | 20 | 120 (60+60)GPLFs, 60 GPLFs covered in first phase and another 60 GPLFs covered in the second phase. |
| District entered in 2014-15 | 1 | 1 | 1 | 1 | 4 | 8 | 24 GPLF |
| Districts to be included in 2015-16 |  | 3 | 3 | 4 | 10 | 20+8+20 | *48 blocks out of 88 blocks will be covered under PM.* |
| **Cumulative** | 3 | 6 | 7 | 8 | 24 | 48 |  |

***4.4 Development of Process Monitoring Manual***

The firm organization are expected to come up with a comprehensive manual – “How To” guide for the Districts & Blocks to follow. The manual should have implementation focus and pragmatic suggestions with live examples. It should provide Dos and Don’ts for the process monitoring, expected roles of different stakeholders i.e. blocks and district teams, community institutions etc. The manual should be incorporating, but not limited to:

*(i)* Concept of process monitoring;

*(ii)* Importance of process monitoring;

*(iii)* Identification of process areas and indicators;

*(iv)* Methods of process monitoring;

*(v)* tools/instruments for collection of process information;

*(vi)* Potential sources and levels of information;

*(vii)* Methods of analysis; and

*(viii)* Methods of reporting/mainstreaming process monitoring findings.

*(ix)* Incorporation of feedback into implementation strategies and formats for reporting corrective measures etc.

*(x)* Training and skill requirements for undertaking process monitoring

***5.0 Short Films on Process Monitoring/Best Practices***

The firm would be required to produce two short films (<10 minutes duration) for each quarterly round of process monitoring, highlighting the best practices observed and develop knowledge products which is of broadcast quality.

**6.0 Deliverables:**

 Based on the above, the consultant is to provide the following deliverables, in accordance with the timeframes indicated below: -

1. Development of process monitoring manual.
2. Submit an Inception Report which should include the proposed frame work for process monitoring.
3. Finalise a decentralized team placement plan in Districts / Blocks / GPs, with appropriate tools for sampling and methodology, and obtain project agreement for this.
4. Mobilise staff as per the plan in deliverable item 2 above.
5. Conduct process monitoring activities involving all levels, and facilitate dissemination and learning as discussed in the scope of consultancy.
6. Participate in District and State Learning Groups, sharing findings and recommendations as a platform for learning.
7. Compliance to the monthly / quarterly reporting requirements as decided with the project in line with the scope of work.
8. Provide quarterly, bi annual and annual progress reports containing process monitoring results, problems identified, observations made, success / failure stories and lessons learned.
9. Ensure necessary staff / HR capacity, and put in place a quality control mechanism for field performance
10. Build an understanding of project staff on process monitoring (purpose, methodology, added value to management/implementation)
11. Develop short films on process monitoring and best practises of the OLM.

12. Present quarterly & annual performance report at BMMU, DMMU and SMMU level.

## **7.0 Key Qualifications and Experience of the Consulting / Field Teams**

The key members of the process monitoring team for the Consulting firm should include: -

* **A Team leader** with a proven track record in anchoring / conducting process monitoring activities. S/he should have at least 12 years of experience in rural development of which at least 5 years should have involved field work. Specific experience in the monitoring and evaluation of social development projects and process monitoring is essential. He/she should be postgraduate in social sciences preferably with a doctorate in the relevant field. S/he should have at least 12-15 years of experience in rural development of which at least 5 years of field work experience.
* There will 6 field monitors. All six monitors would have at least an experience of process monitoring for 3 years. The monitors will have expertise in community development and appreciative enquiry methods.
* A community institutional development and analystfor analytical studies and trends using field and MIS data.
* All team members should have experience in process monitoring and participatory research (the application of Participatory Learning and Action), including experience in a range of qualitative methodologies.
* All team members should have experience in project management of development projects together with facilitation and report writing skills.

**8.** There should be a section on the organisational profile which should include: -

* a short organisational profile of the firm
* a list of the last two years' completed and on-going similar assignments with names of clients
* reports of at least two recently completed (within the last 2 years) similar assignments

**9 Review Committee**

A technical review committee comprising both internal team and external experts under the direction of State Mission Director shall be responsible for reviewing and monitoring the work of the firm organisation. The committee may also seek comments and inputs regarding the firm work from NMMU M&E staff and other experts as appropriate.

**10** Payment to the firm is to be made upon the submission and acceptance of reports by the project (OLM) and as per conditions laid down in contract.