

## DAY-NRLM

### Draft Terms of Reference Evaluation of *Mahila Kishan Sashaktikaran Pariyojna (MKSP)*

#### Introduction

1. **Deendayal Antyodaya Yojana-National Rural Livelihoods Mission (DAY-NRLM)** is a centrally sponsored programme implemented since June 2011. The central objective of the Mission is to eliminate rural poverty through innovative implementation strategies involving four core components *viz.*, (i) social mobilization and community institution building; (ii) financial inclusion; (iii) livelihoods promotion; and (iv) convergence and social development.

#### Mahila Kishan Sashaktikaran Pariyojana (MKSP)

2. Mahila Kisan Sashaktikaran Pariyojana (MKSP) is a sub-scheme of DAY-NRLM and it aims at empowering women engaged in agriculture, livestock, NTFP and allied activities by making systematic investments in building the knowledge, skills and capacities of women farmers to enhance their participation, improve productivity and pursue sustainable livelihoods. MKSP also aims at creating a large number of best practices in farm livelihoods that could be scaled-up with the help of NGOs, CBOs and government agencies. The programme utilizes trained human resources as well as trained social capital or community resource persons (*Krishi Sakhis, Pashu Sakhis, Vana Sakhis etc.*) drawn from the community as the key agents to bring about the desired changes. The programme also seeks to create a large number of best practice sites which could be used for ‘immersion’ and ‘training’ of social capital from other areas.

3. Two interventions have been promoted under MKSP *viz.*, (i) sustainable agriculture based livelihoods for rural women since 2011; (ii) Non-Timber Forest based livelihoods for poor and vulnerable tribal women in the remote and interior forest and hilly terrains since 2012; and (iii) livestock based intervention in the form of creation of ‘Pashu Sakhi’ are integrated with both.

4. The MKSP is implemented in a project mode through Project Implementation Agencies (PIAs). The PIAs include the State Rural Livelihoods Missions (SRLMs), higher level SHG federations and NGOs with a good track record of promoting rural livelihoods.

5. The current pattern of central assistance for MKSP projects is 60:40 (center-state) in respect of all projects implemented in major states, while in the North-Eastern and Himalayan states the ratio of central to state assistance is 90:10. The ceiling on administrative cost of MKSP projects is 6% of the total approved cost.

6. MKSP is currently being implemented in 119 districts across 17 states by 42 partners covering 24.40 lakh Mahila Kisans across 22,827 villages (*Annex-I*). More than 18,000 CRPs (Para Professionals, Pashu Sakhis, Krishi Sakhis and others) are actively engaged in providing sustainable agriculture, livestock and NTFP services in the last mile. Apart from creating a huge reservoir of community livelihood professionals, the MKSP interventions have promoted efficient use of land and water resources and contributed to climate change resilience in agriculture. A good number of sustainable agricultural, livestock and NTFP management models have been promoted for wider adoption.

#### Key Activities

7. The key MKSP activities fall into two major themes *viz.*, sustainable agriculture and NTFP. As the poor households tend to have strong dependence on livestock, it is envisaged as the universal intervention in both the domains. The overall strategy seeks to enhance the access of Mahila Kisans to a basket of activities, which are designed to mitigate the risk associated with any individual livelihood activity. The activities undertaken are consistent with the larger objectives of promoting bio-diversity

and climate change resilient agriculture. More particularly, the emphasis has been on the following activities:

- soil health improvement;
- promotion of indigenous variety of seeds;
- promotion of low cost sustainable practices such as Non-chemical Pest Management (NPM) / Integrated Pest Management (IPM)/ Integrated Nutrient Management;
- soil and water conservation;
- reduction of water pollution affected by chemical pesticide usage;
- use of locally adopted community-centric technologies;
- development and promotion of effective regeneration practices for sustainable livelihoods around NTFP;
- development and promotion of sustainable NTFP management practices in pre-harvest, harvest and post-harvest technologies; and
- development of value chain for enhancing access to markets that could lead to better price realization.

### **Expected Outcomes**

8. The following outcomes are expected from MKSP interventions:

- increased level of skills and performance by women in agriculture;
- increased soil health and fertility to sustain agriculture based livelihoods;
- improvement in area under cultivation, cropping intensity and food production by women;
- increased access of women in agriculture to productive land inputs, credit technology and information;
- increased access to market and market information for better price realization;
- net increase in the incomes of women in agriculture on a sustainable basis;
- improvement in food and nutritional security of women in agriculture and their families;
- drudgery reduction for women in agriculture through use of gender friendly tools/ technologies; and
- increased visibility of women in agriculture as an interest group in terms of increased number of women institutions and improved entrepreneurship.

### **Purpose of the Study**

9. MKSP aims at bringing about sustainable changes in agriculture, NTFP and livestock management practices at the village level. Sustained changes in the practices adopted by the Mahila Kisans are eventually expected to bring about an improvement in their incomes, reduce drudgery and promote well-being and empowerment status. Substantial amount of resources have been invested in the programme. A huge network of trained social capital has been deployed to catalyze the desired changes at the community and household level. It is therefore imperative that an impact evaluation/ assessment be made of the programme at this juncture. The central purpose of the study is to:

- assess the community/village level outcomes of the programme;
- evaluate the women farmer level/household level impacts;
- identify factors contributing to the outcomes;
- extent of convergence catalyzed by the programme with line departments and NGOs;
- assess what has worked and what has not worked and why; and
- identify and document best practices, innovations and scalable models.

## Sample PIAs

10. Based on the progress achieved in three key focus areas of MKSP across the country, 10 PIAs have been selected purposively for the proposed impact study. In terms of the key intervention areas, the PIAs fall into three categories *viz.*, PIAs engaged in promoting (i) Pasu Sakhi model (1); (ii) Community Managed Sustainable Agriculture (7); and (iii) NTFP (2). It may be noted that the PIAs engaged in sustainable agriculture and NTFP also provide Pasu Sakhi services as part of the overall package of interventions.

**Table-1**  
**Broad Progress Details of MKSP Sample PIAs**

S. No.	State	Agency Name	Start Date/ Year	Districts	Blocks	Villages	Women Farmer HHs	No. of SHGs/ PGs
	<b>Pasu Sakhi Model</b>							
1.	Rajasthan	CmF, Jaipur	August, 2013	7	19	460	26641	460
	<b>Agro Ecological Practices</b>							
2.	Chhattisgarh	BSM, Jagdalpur	August, 2013	1	1	27	2200	165
3.	Madhya Pradesh	PRADAN	December, 2011	2	4	259	12284	0
4.	West Bengal	LKP	February, 2013	5	11	765	60790	232
5.	Jharkhand	RDA	December, 2013	1	2	41	2005	28
6.	Karnataka	MYRADA	December, 2013	1	1	20	3000	250
7.	Assam	NDC	September, 2013	7	14	140	14549	4
8.	Gujarat	SFT	October, 2013	1	2	91	7320	644
	<b>NTFP</b>							
9.	Jharkhand	Udyogini (Lac)	April, 2014	1	3	56	3012	0
10.	West Bengal	PRADAN (Tasar)	August, 2013	2	2	67	2654	0
	<b>Total</b>			<b>28</b>	<b>59</b>	<b>1926</b>	<b>134455</b>	<b>1783</b>

## Outcomes to be assessed

11. The proposed study is primarily an impact evaluation of MKSP interventions on the (i) agricultural; (ii) animal husbandry; and (iii) NTFP collection practices in the intervention villages and their impact on participant women farmer households in the areas covered by the 10 PIAs. The study is expected to track village level outcomes as well as household level changes. More particularly, the study is required to account for the factors contributing to the changes at the village and woman farmer/ household level. The study is *inter alia* expected to explore village and household level outcomes (Annex-I). In addition, the study is required to document few best practices, case studies and innovations.

## Scope of the Study

11. The study involves the following activities:

- Final design of the study
- Baseline/SECC data analysis
- Household and community level data collection
- Qualitative field work for documenting best practices, case studies and innovations
- Data analysis and final report

12. Inter-temporal comparison of the selected households to assess the impact pre-supposes a baseline assessment. However, baseline study was not conducted at the inception of the programme or at a later point of time in any area. The PIAs may have conducted some situational analysis as part of their project proposals, which cannot be treated as baseline studies. Further, simple “before” and “after” comparison will not answer what MKSP has contributed to the change in outcomes. For example, incomes increase over time, other policies come into play in 3 to 4 years, structural changes may occur in sectors, weather, market demand and prices may impact the expected outcomes, rendering attribution very difficult. Therefore, ‘comparison’ villages and potential women farmers / households are required to be sampled and studied as part of the evaluation/assessment.

13. In the absence of baseline studies and in the context of contemporaneous changes that could affect outcomes, the consultant is expected to select and assess the situation in comparable ‘control’ villages as well as comparable women farmers/households. The task is to identify villages with same probability of having been chosen for MKSP with the same social and agricultural characteristics as intervention villages. Further, there would be need to identify farmers with equal probability of having been covered in the intervention villages. But, it would be difficult to readily predict the take up in control villages. Domain knowledge and secondary data available could help determine the potential households in the control villages. The uptake rate in the existing MKSP intervention villages could also be a guide for the selection of ‘control’ households.

14. Given the average village uptake rate of about 20% in the intervention blocks, such control villages could come from the same block or from the neighboring blocks which have not received any intervention support. Ideally, such villages are not located in close proximity to the intervention villages to avoid spill-over effects being captured. Thus, the villages and households identified in the ‘control’ villages should be potentially eligible for MKSP interventions but have not received them. These villages and households may be eventually covered by the PIAs after 2-3 years. Keeping ‘control’ villages outside the interventions for 2 to 3 years would also facilitate follow-up/impact evaluation to capture longitudinal changes.

15. Thus, the real challenge for the consultant is to select comparable sample villages and households from such villages. The consultant is expected to select such villages using the propensity score matching method, based on certain comparable village level characteristics such as the proportion of the SC and the ST households, women headed households, proportion of irrigated area in the total cultivable area, cropping pattern, extent of livestock including small ruminants, access to agriculture and veterinary services etc. The consultant may use SECC data or Census 2011 data to match the villages. Once the cohort of eligible households is constructed, the consultant may randomly select sample households following normal randomization techniques and keeping in view the potential uptake rate.

16. Based on the above considerations, the following sample is recommended for the study. However, the agency may come up with an alternative design and pre-analysis plan of evaluation. The pre-analysis plan should include the technical design, power calculations with the final sample and a sampling framework. Thus, the agency is required to follow a retrospective design, building a control group using the SECC data at the village and household levels<sup>1</sup>. The final analysis will be done at the household level and will be representative of all the sub-components such as sustainable agriculture,

---

<sup>1</sup> A similar methodology was recently used for an independent assessment of NRLM. The study is available here:

pashu sakhi and NTFP as well as the sub components/ major activities. . The technical parameters<sup>2</sup> suggested for power calculations are as follows:

**Table 1: Technical parameters for power calculation<sup>3</sup>**

Assumed mean income of the population	Assumed standard deviation of income of the population	Minimum Detectable Change (%)
63,894	12,1283	15%

17. The agency will be required to select sample villages where the intervention has been implemented for at least 3 years and will spread across 10 states with oversampling of 10-15%. The following sample is suggested:

**Table 2: Proposed sample for the household survey<sup>4</sup>**

	States	Districts	Villages	Households
Control	10	28	200-250	2,250-3500
Treatment	10	28	200-250	2,250-3500
Total	10	28	400-500	4,500 - 7000

### **Village level data analysis**

18. Thus, the agency is responsible for identifying the control group of the MKSP villages using SECC and population census village level data through propensity score matching. After the villages have been identified, the agency will also need to build a household level control group of MKSP participant households. The MoRD will provide the agency with anonymized SECC household level data of the control and treatment villages. They would then be required to spend no more than 2-3 person months on cleaning the SECC data at the village and household level to set it up for analysis<sup>5</sup>.

### **Identification of participant households and sample selection**

19. After the SECC household data is cleaned, the agency will be responsible to hire field staff to conduct Key Informant Interviews (KII) with PIAs and their staff to identify MKSP participant households in the treatment villages from the SECC list. An additional 20% of the treatment villages may be required to avoid lower take-up and errors in the SECC list. The KII will be done on CAPI devices such that data is immediately available to the core study team. After the participant households in treatment villages have been identified, the agency will be required to build a retrospective household level control group using the SECC HH data in control villages through propensity score matching. This list of participants and matched control households will constitute the sampling frame of the study.

<sup>2</sup> The data is based on a recently completed full household income module (90 mins per household) done by IRMA. It is also similar to the data from IHDS – 2012.

<sup>3</sup> This is for a single level evaluation at the household level. A clustered evaluation at the village level can also be done if it can be done in the proposed sample range with the following technical parameters - Intra-cluster correlation: 0.08- 0.01; Baseline Correlation: 0-5%; no of households per village: 10 – 15 per village.

<sup>4</sup> Bidders can revise if the above the technical parameters are satisfied

<sup>5</sup> The SECC data has been used for similar analysis for other studies and other development partners.

20. After the sampling frame is finalized, it will be reviewed and approved by MoRD. The agency will then randomly pick the final treatment and control household from the sampling frame to meet the proposed sample requirement in the pre-analysis plan.

### **Household data collection**

21. After the sample is finalized by NMMU and the agency, the agency will be responsible for the household data collection of the final sample using CAPI devices. The household survey will be approximately two hours per household with a detailed income module. The detailed guidelines on data collection are provided in (Annex 2).

### **Qualitative fieldwork**

22. The quantitative evaluation should be accompanied with process evaluation and qualitative studies including documentation of best practices and case studies and will have following components:

- Process Evaluation
- Focus group discussions
- Personal Interviews
- Best practices and Case studies

### **Process Evaluation**

23. A critical part of MKSP is its implementation structure through various partners. It is envisaged that implementation through these partners can improve the effectiveness of implementation. The process evaluation subcomponent of the study aims to retrospectively assess how close was the implementation of the program to the operational manual or suggested methodology of implementation.

### **Focus group discussion**

24. The agency should also conduct focus group discussion for the following stakeholders:

- Project beneficiaries,
- Community in the village (SHG, Vos, POs )
- Non-participants members in the treatment areas (e.g. left out households, SHG members, etc.)
- Farmers in control areas.

25. For each treatment villages, 1-2 FGDs of the abovementioned stakeholders should be conducted. The FGDs should focus on documenting the perception of MKSP in the field, better understanding of the unmet demand of the participants etc, and provide information for documentation of best practices. The agency should include the focus of each type of FGD in their inception report.

### **Interviews**

26. In addition, KIIs should be conducted for the following stakeholders:

- SHG and VO office bearers
- Implementation staff at the block and village level
- Implementation staff at the district and state level
- Project staff at all levels

### **Best Practices & Case Studies**

27. The agency should also conduct 100-150 follow-up in-depth interviews from the sample of treated HHs. These interviews would try to observe the change in select households over the duration of MKSP. A detailed questionnaire would be administered after the HH survey. These case studies would be to assess the relevance and usefulness of the project activities. It should also assess some of the constraints that households had faced that MKSP resolved. Illustrate the success, failures and

usefulness of the MKSP through case studies of beneficiaries from the surveyed households. A template will be provided for documentation of best practices and case studies.

### Data analysis and final report

28. The agency will be required to clean the household data, build the HH income aggregate and other relevant aggregate indicators for the analysis. This data will be merged with the SECC data that was prepared earlier. After the finalization of the aggregates, the agency will be required to match the household on SECC data and a few additional time invariant household characteristics like caste, size-class of woman farmer etc. from the new household dataset using propensity score matching. In addition, some village level indicators from SECC, Population Census and the village level dataset collected in this study may be included in the matching algorithm. The draft ‘do’ files and data tables will then be shared with NMMU for review. After the do files and tables have been approved the agency is required to prepare a draft report for comments from MoRD. After all the comments, the agency will be required to submit the final report. There would be a separate report on the various process evaluations and qualitative work including best practices and case studies.

### Duration of Consultancy

29. The duration of study is 8 months from the date of contract. The final report along with the complete dataset shall be submitted within the stipulated period.

### Suggested Team Composition

30. The agency is required to hire the following key experts for the assignment.

**Table 3: Team composition with required skillsets**

S. No.	Position in Core Team	Area of Expertise Required	Minimum Qualifications & Professional Experience desired
<b>I Key Staff</b>			
1.	Team Leader	Monitoring and evaluation of rural development projects, poverty studies	Ph.D. in Economics/Rural Management/Agriculture Economics/Agriculture/Veterinary/ Social Science with over 15 years of experiencing in conducting rigorous quantitative evaluations with causal inferences is required. In particular, experience in randomized evaluations, quasi experiment evaluations or evaluations using propensity score matching with double difference, RDD or IV is also required.
2.	Sampling Specialist	Statistics, sampling theory	Ph.D. in Statistics/Mathematics/ Rural Management/ Econometrics with 10 years of experience in providing technical advice on sampling, estimation, design of surveys etc.,
3.	Evaluation Specialists(2)	Design of surveys, design of survey and qualitative tools, management and implementation of large surveys, data management and analysis, preparation of reports	P.G. in Rural Management/ Economics/Social Work/Sciences with at least 10 years of experience in rigorous quantitative evaluations with causal inferences. In particular, experience in randomized evaluations, quasi experiment evaluations or evaluations using propensity score matching with double difference, RDD or IV is required.

S. No.	Position in Core Team	Area of Expertise Required	Minimum Qualifications & Professional Experience desired
<b>I Key Staff</b>			
4.	Programmer (1)	Developing/customizing data entry software such as CS Pro, development of data entry forms/management of database/analysis of data using SPSS/STATA/Atlas.ti and generation of tables and graphics	Degree in Software Programming with at least 8 years of experience in development of data formats, database design and generation of reports for social research
<b>II Non-Key Staff</b>			
5	Analysts (2)	Data base management, data cleaning and data analysis	Degree in B.E/ B.Tech/ MCA with at least 5 years of experience in with Data analytics skills
6	Field Survey Manager	Planning and supervision of field work, field data cleaning/editing	P.G. in Social Sciences/Management with 5 years of experience in supervising and managing field surveys

31. In addition to the core team indicated above, the consultant firm should deploy adequate number of field survey supervisors, enumerators, back-checkers required to complete the study within the stipulated period. Suggested qualifications for the field staff have been provided in Annex 2. As the key respondents of the survey are women members of SHGs, it is important to deploy persons as enumerators and supervisors who are sensitized to issues of feminization of poverty and the socio-economic dynamics of rural poverty with whom the respondents can interact freely and fully. It is desirable therefore that the majority of field staff are women. It is equally important to orient the enumerators to the Mission strategy and components.

### Key Deliverables

32. The consultant firm shall perform the following key activities and deliver the outputs against the timeline suggested:

**Table 4: Key outputs and deliverables with timelines**

S. No.	Key Activity/Deliverable	Details	Weeks from Date of Contract
1.	Inception Report/ Work Plan Approved by the Mission	<ul style="list-style-type: none"> <li>Detailed work plan using a Gnat chart for all key activities, clearly indicating responsibility and timeline, details of the core team and field teams being deployed, training and logistic arrangements made<i>etc.</i>,</li> </ul>	2
2.	Approved Sampling Plan	<ul style="list-style-type: none"> <li>Analysis of SECC data and</li> <li>Detailed document on the methodology adopted for sampling, methodology used to construct weights and such other details</li> </ul>	6
3.	Survey Instruments and Survey Plan	<ul style="list-style-type: none"> <li>All questionnaires and data collection instruments including coding guides, interviewer and supervisor manuals and data entry manual, translation and back translation, skip patterns, coding open ended questions <i>etc.</i>,</li> </ul>	7



S. No.	Key Activity/Deliverable	Details	Weeks from Date of Contract
		<ul style="list-style-type: none"> <li>▪ Guidance note on survey implementation, implementation plan</li> <li>▪ Training modules for enumerators and supervisors</li> <li>▪ Detailed survey implementation plan including movement and field procedure plan for the survey teams</li> <li>▪ Schedules for KIIs and FGDs with other stakeholders</li> </ul>	
4.	Software app for data entry of HH interviews, KIIs and FGDs	<ul style="list-style-type: none"> <li>▪ Design/ customization of app for Household Survey/ KIIs/ FGDs with individuals, SHGs, CBOs and provide user manual and details of application</li> <li>▪ Details of storage/ data security facilities/</li> </ul>	8
5.	Details of Core Team and Field Teams	<ul style="list-style-type: none"> <li>▪ Details of core team, survey/field team members, data entry/management persons recruited and trained/to be trained as per the agreed norms, along with their CVs and details of availability</li> </ul>	8
6.	Field Manuals /Guides	<ul style="list-style-type: none"> <li>▪ Report on training of field teams, training modules used, field manuals and implementation of orientation and field training and post-training evaluation of field teams</li> </ul>	8
7.	Report on Field Pilot Testing	<ul style="list-style-type: none"> <li>▪ Report on process and results of pilot testing of all instruments and tools and the revisions made to them</li> </ul>	10
8.	Report on Qualitative/ Process Study	<ul style="list-style-type: none"> <li>▪ A report on the qualitative study outlining key observations and responses provided by the stakeholders</li> </ul>	18
9.	Field Work Completion Report	<ul style="list-style-type: none"> <li>▪ Report on completion of field work as per the sample plan approved</li> </ul>	24
10.	Report on Database	<ul style="list-style-type: none"> <li>▪ Detailed report on progress of data cleaning and entry along with compiled database of all the completed data including listing of data, household data, village data <i>etc.</i>, which would facilitate seamless dataset integration</li> </ul>	26
11.	Draft Report	<ul style="list-style-type: none"> <li>▪ Draft report on Evaluation of MKS (covering finding from both qualitative and quantitative studies) along with complete set of data in an electronic form</li> <li>▪ Presentation on key findings</li> </ul>	30
12.	Revised Report	<ul style="list-style-type: none"> <li>▪ Revised report on Evaluation of MKSP incorporating feedback from the Mission along with final data set in electronic and physical form</li> <li>▪ Final presentation on key findings</li> </ul>	32

### Services to be provided by the Client

33. The MoRD would continuously supervise the assignment and facilitate conduct of the surveys. The Mission would facilitate sharing of information by MORD/National Mission Management Unit, SMMU, DMMU, and BMMUs and NGO PIAs with the consultants. The Mission would also ensure provision of logistic support for smooth conduct of field surveys. All Mission documents, including MIS, which are not in the nature of classified documents, will be made available to the consultant on

request. The Mission M&E team will also facilitate interviews with the key staff, on prior appointment. However, the consultant will be responsible for all study related travel including field travel and food and accommodation for the field staff throughout the contract. The consultant should also provide regular feedback about progress and status of survey, issues therein and inputs on the basis of field assessment, as and when available.

### **Review Committee to Monitor Consultant's Works**

34. The Mission Director -NRLM or an Officer designated by him shall be responsible for reviewing and monitoring the progress of the consultant's work and the deliverables. The state Mission may also constitute a review/steering committee to monitor the progress of the consultants and hold consultations with the firm. The CEO or his nominee will act as the Chairperson of such a committee which could include external experts nominated by him. The committee may also seek comments and inputs on the consultant's work from the domain experts at MORD, MORD or the World Bank program staff. The CEO may convene meetings of the review committee at occasional intervals and seek its opinion and comments on the deliverables of the consultant and forward all such comments to the consultants for appropriate changes in the reports.

### **Ownership of Data and Reports**

35. The NRLM shall be the owner of the outputs and other deliverables of the consultancy. The consultant will have no right of claim to the assignment or its outputs. Any report/document/material produced as part of these assignments shall be deemed to be the property of the state Mission funding the assignment and the consultant will not have any claim over such outputs and will not use or reproduce the contents of the documents without the explicit written permission of the state Mission.

## **Annex 1: Implementation Details of MKSP**

As the poor households have strong dependence on livestock as their livelihoods options, livestock is envisaged as the universal intervention in both the domains. The overall strategy endeavors to increase the access of Mahila Kisan to a basket of activities, which is significantly reducing the risk associated with any single livelihoods activity. This has been done keeping intact the bio-diversity and promoting climate change resilient agriculture. Emphasis has been put on the following activities to achieve the desired outcome:

- Soil health improvement and use of compost
- Promotion of indigenous variety of seeds
- Low cost sustainable practices such as Non-chemical Pest Management (NPM) / Integrated Pest Management (IPM)/ Integrated Nutrient Management
- Soil & water conservation
- Reduction of water pollution affected by chemical pesticide usage
- Use of locally adopted community centric technologies
- Development and promotion of effective regeneration practices for sustainable livelihoods around NTFP
- Development and promotion of sustainable NTFP management practices in pre harvest, harvest and post harvest technologies to enhance livelihoods opportunities for NTFP collectors leading to climate change resilience and improved bio diversity
- Development of value chain for access to markets leading to better price realization

**Sustainable Agriculture** aim to impact the following:

- The extent of women empowerment in agriculture (Role of women members in decision making in agriculture , promotion of institutions of women farmers and their roles etc)
- Introduction of new sustainable agricultural practices and techniques to women farmers
- Creation of social capital in the form of Community Resource Persons (CRP) on sustainable agriculture and livestock interventions and their capability to provide support to women farmers
- Net increase in the income of women in agriculture on sustainable basis.
- Increase the total cultivated area of the HH, increase in food production and reduction in cost of cultivation
- Improved food & nutritional security
- Improved access to market and market information
- Adoption of sustainable practices by women farmers for soil health and fertility, soil moisture conservation, water harvesting, seed treatment, pest and disease management
- Introduction of gender friendly tools and technologies for drudgery reduction of women farmers
- Increased access to inputs (land, credit, technology, information etc.) and services of government and other agencies for women farmers.
- Diversification of livelihoods
- Development of knowledge products and IEC material

**NTFP** aims to impact the following:

- The extent of women empowerment in NTFP (Role of women members in decision making, promotion of institutions of women NTFP collectors and their roles etc)
- Introduction of new sustainable and scientific practices and techniques to women NTFP collectors in pre harvest, production/harvest, post harvest, regeneration practices

- Availability of social capital in the form of NTFP CRPs and their capacity to provide support to women NTFP collectors
- Adoption of sustainable pre harvesting, production, harvesting and post harvesting techniques by NTFP collectors
- Increase in the incomes of women NTFP collectors on sustainable basis
- Introduction of value chain intervention to access better market for the NTFP products
- Improved access to inputs, credits, technology and information for women NTFP collectors'
- Improvement in food & nutritional security of women
- Development of knowledge products and IEC tools

## **Annex 2: Broad Guidelines for household survey**

The central responsibility of the agency is to carry out a comprehensive household survey as per the sample indicated. The agency is required to undertake the survey using the technology platforms indicated, such as, hand-held electronic devices for data capture and real-time data transfer using digital servers for data storage (popularly called computer-assisted personal interviewing, or CAPI). The agency bidding for the contract must demonstrate prior experience with digital data collection using tablets and/or hand-held devices. The broad scope of work of the agency for household survey is listed below.

### **1 Questionnaire Development**

#### **1.1 Draft Paper Questionnaire**

The agency will develop a draft paper KII questionnaire for identification of participant households as mentioned earlier. In addition, a draft HH paper questionnaire with the following modules will also be prepared:

- household roster and socio-economic modules, including individual level demographic, education, labor/employment and other information;
- household economy module, including a detailed assets, occupation and employment and other productive activities, income (total and from different sources);
- household savings and debt module that includes savings, investment, access to formal and informal sources of borrowing, indebtedness and cost of debt servicing and other conditions of loans;
- household participation in SHG-module
- access of household to basic services
- GPS/GIS information relating to each household.

The questionnaire has to be limited to 120-140 mins per household and a draft will be prepared in paper form.

#### **1.2 Field test of Paper Questionnaire**

The agency is expected to conduct two rounds of pilot testing of the paper based surveys in non-sampled areas and fine-tune it at least in 50 households from 5 villages.

#### **1.3 Final Paper Questionnaire and CAPI Questionnaire Development**

The agency will undertake translation of paper-based questionnaires in relevant languages and then develop software application which is compatible with mobile devices and digital servers. The agency is expected to conduct two rounds of pilot testing of CAPI based surveys in non-sampled areas and fine-tune the software for data digitization and capture in at least 100 households from 10 villages. After each pilot, the agency will work closely with the evaluation team to adapt, revise and finalize the CAPI survey instruments and tools. The completed surveys will have to be uploaded on to a back-end server. The agency must also possess capacity and experience with the development and use of the required server. The NRLM team must be provided real-time access to data being uploaded on the servers. It is suggested that the agency will adopt CAPI-based data collection software such as CSPro or ODK. The agency will ensure that all data is checked for accuracy and discrepancies before entry.

The data entry application must be robust and satisfy the following conditions:

- to the greatest extent possible, the data entry program should conduct range and consistency checks, as the questionnaire is key punched;
- violations of these checks should lead to an immediate and transparent message sent to the key puncher, along with a practical method for correcting keypunch errors, and/or over-riding and documenting any answers that violate the range and consistency check rules;
- the program should allow valid open-ended and “other” textual responses outside of the response options provided in the questionnaire;

- variable names generated by the program should correspond clearly and logically to the question labels used in the questionnaire;
- coding strategy should be developed in order to maintain consistent, unique identifiers for households for matching longitudinal data; and
- the program and the devices should be able to record the complete interview audio.

The agency must have relevant experience in handling the data collection through technology-based modes. The agency will be expected to propose a Software Development Team (either in-house or through a partnership with another agency) to manage the software as well as server development for the survey.

## **2 Training of field staff**

The agency will ensure that all supervisors participate in the centralized training programme. This training will include classroom training followed by field training for a total of 4 to 6 days. The supervisor training will be followed by enumerator training, which will include field training for a total of 6 to 8 days. The batch size for supervisor training has to be 10-12 per batch and the enumerator training has to be in batches of 30-40 per batch. The evaluation team will lead the classroom trainings with the agency. However, the agency is expected to support in all aspects of the training, particularly the field training. Supervisors from the agency are expected to lead the field training with the support of the evaluation team. The agency will translate training manuals from English to Hindi, Assamis, Bengali, Gujarati and Marathi. Specific training duties which are required of the agency include but not limited to:

- translation of training materials and detailed interviewer, supervisor and data entry manuals in close collaboration with the evaluation team;
- in-depth training of all field staff, including practice interviews, role plays and other similar exercises; and
- field training to conduct interviews as per agreed procedures (initially by team supervisors).

## **3 Data Collection Activities**

The agency will ensure that the following surveys are conducted as per the sample plan prescribed and using the tools approved:

### **3.1 Household Survey Schedule**

The household survey schedule comprising multiple modules is expected to take about 120-140 minutes per household in 1-2 sittings for each household. However, the modules will be administered to men and women from the households in different time slots to avoid respondent fatigue. Information will have to be collected through interviews as well as direct observation. Locating these households will be the responsibility of the enumerators and supervisors. The agency will be required to prepare materials for field staff including maps, names of heads of household and any other identifying characteristics with the support of the evaluation team. The methodology to identify 'replacement households' will be provided to the agency.

### **3.2 SHG Survey Schedule**

The SHG survey schedule will be administered to a group of (2-3) Office Bearers and other informed persons who are members of SHG covered in the baseline survey. The SHG survey schedule will *inter alia* include:

- a module on basic information of SHG covering such as details of members in the SHG, their basic socio-demographic information of SHG members (age, occupation, which social group they belong to), age of the SHG, membership attrition (in the last 2 years etc.);
- a module on micro-finance activities of SHG including savings generated, inter-lending undertaken by purpose, assets and liabilities of the SHG, economic activities of the members (individual and collective) and books, bookkeeper and bookkeeping practices;

- a module on access of the SHG to RF, CIF, VRF, other livelihood funds and access to bank credit as well as use of the funds received among different members and the recovery of such funds and repayment to the banks;
- a module on governance processes instituted in the SHG (internal group dynamics, leader selection, participation, regularity of meetings), and SHG links with Village Organizations as well as external organizations (GP/block office, NGOs, village leaders *etc*);
- a module on inclusion of the poor and vulnerable in SHGs, in which detailed data on social background of members, disbursement of loan funds among households belonging to different social groups and Office Bearers, percentage of funds received by poor and ultra poor households, other information on members and leaders; and
- a module on SHG level interactions assessed through participatory tools.

### **3.3 Village Survey Schedule**

A village survey will be implemented in each sample village. The survey will be collected through key informant interviews with a group of (3-5) key informants. The informants should be people who are knowledgeable about the village. Data collected in this survey will include information on locality characteristics, services, infrastructure and access to markets, village-level public spending and program implementation. The purpose of this survey is to assess how initial conditions (general access to services and infrastructure, literacy *etc*), and links to markets and the presence of other government and non-government programs/spending influence the impact of the Mission.

### **3.4 Village Organization Survey Schedule**

The Village organization survey will be administered to a group of (2-3) key respondents who are members of Village organizations. The VO survey schedule will include:

- a module on the operational details of the VO, in which data collected will include basic background information of the VO, number of SHG members in the VO, age of the VO;
- governance structures and processes – OBs, EC and GB, registration details, transparency and accountability systems instituted; social and educational background of OBs and EC members, VO internal group dynamics, leader selection/rotation, regularity of meetings *etc*;
- financial transactions of the VO – own funds, funds received (CIF and VRF) and rotated among member VOs, bookkeeper and bookkeeping, audit compliance *etc*;
- economic activities undertaken – collective economic activities undertaken such as collective procurement, marketing and sale and production;
- external relations – VOs relations with cluster federations, PRIs, NGOs, line agencies;
- collective social activities undertaken (e.g., alcoholism, gender-based violence, child marriages *etc*.); and
- self-reliance and sustainability issues.

### **3.5 Monitoring Data Collection in Field**

The agency will be responsible for monitoring to ensure that the field survey is of high quality, yielding accurate and verifiable data and conducted in accordance of the field plan approved by the MoRD. The monitoring activities of the agency include:

- confirming that the locations of field work are in accordance with field plan approved by the MoRD;
- conduct of timely random quality field checks to ensure proper administration of survey and data collection;
- conduct of spot checks (visual observation) of at least one interview of each enumerator on any given day;
- revisit of supervisors to a randomly selected sample of at least 15% of the households visited by each enumerator, to double-check the data recorded in respect of key variables;
- implementation of the field protocols provided to the agency by the MoRD;
- back-end data scrutiny of all uploaded questionnaires to ensure that all information recorded is clear and consistent and, where deemed necessary, to clarify with respondents any inconsistencies in their answers with that of the enumerator; and

- deployment of a separate team of back-checkers would be required in the field to confirm the veracity and quality of data collected.

The agency will also be required to report field errors observed and (i) provide feedback on the instruments to the central team; and (ii) trouble shoot any data system errors that may occur during data collection.

### 3.6 Data Collection using CAPIS , Management and Quality Assurance

The agency will be responsible for developing a data entry application for undertaking household Survey/ KIIS and FGDs with individuals and CBOs using CAPIS. The application should enable listing information and carrying out consistency checks and provide final dataset to the client, if listing is needed. The agency will provide access to internet or other platforms through which data can be transferred from hand-held devices to the server. The final dataset will be provided in STATA and ASCII formats. The agency is required to provide copies of the datasets and data entry error reports/logs that show the frequency of discrepancies noted and actions taken to rectify to the NRLM team. The agency will scrutinize all errors and inconsistencies detected during data entry and consistency programs by revisiting households if major errors are detected. With CAPI-based data collection, real time data will be provided to the NRLM team. Before submitting the data to the NRLM team, supervisors will have to ensure quality of all questionnaires. Should the NRLM team notice more than 5% errors in data entry, the agency must be prepared to make corrections. For this, the agency will be required to hire the services of data entry operators.

The agency will provide the raw as well as final clean copies of the datasets along with a complete codebook to the NRLM team within one week of completion of field work. The agency will maintain log books and documentation of field work which would be submitted at the completion of the survey. The MoRD retains the right to the full quantitative and qualitative data, with complete access to all names, addresses, and listing and survey data for individuals, households, SHGs and VOs surveyed through this exercise. The agency must be available to respond to queries after the submission of the datasets.

## 4 Key Staff

The agency must provide a minimum of:

- **One Full-time Project Manager:** Post graduate degree in economics/ rural management/ business management/ finance/engineering with minimum of 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 Family Health Survey (NFHS) and other similar large scale surveys for the GoI, state governments or multilateral agencies and work experience.
- **Two Full-time Field Managers:** Post-Graduate degree in Economics/ Statistics/ Econometrics/Rural Management or other social sciences with a minimum experience of 8 years in working with large household level surveys such as the National Sample Survey (NSS), Rural Economic Development Survey (REDS), National Family Health Survey (NFHS) and such other large scale surveys for the GoI, state governments or multilateral agencies. Experience of working with other surveys where data is entered concurrently with the interview/data collection process preferred.
- **One Full-time Data Manager:** Post-Graduate Degree in Computer Applications or Computer Science or B.Tech in Computer Science or related fields with experience in developing applications using existing sophisticated data entry software (such as CPro, Blaise, ODK) and managing large database construction and quality control with a minimum of 5 years experience.

### 4.1 Field Team

Each field survey team should comprise a minimum of four enumerators and should be headed by one supervisor. Each household interview will be conducted by one enumerator. It is expected that one team



(of 4) completes 12 household interviews per day. The agency is required to hire personnel accordingly with a buffer of 25%.

#### **4.1.1 Supervisors**

Each team will need to have one supervisor to oversee the survey work of four enumerators. The field supervisors will travel with their teams and be responsible for day-to-day supervision and logistics, including contacting community leaders in selected enumeration areas and arranging appointments with respondent households. The field supervisor will also perform quality controls on the information collected by his/her team by randomly attending some interviews, re-interviewing 15% of households on specific modules or overall questionnaires, and reviewing questionnaires. The field supervisor will further be responsible for organizing, tracking of the daily supply of completed questionnaires and submission of the data. Each field supervisor will be responsible for completing the village questionnaire, SHG questionnaires and village organization questionnaire. Field supervisors should have experience in conducting or managing household surveys. The preferred educational requirement for field supervisors is a university degree. Basic ability to communicate in English would be preferred. Knowledge of Hindi is essential. In addition to supervision activities, field supervisors will participate in the pilot test. Field supervisors will also need to participate in all of the training. The agency shall also recruit and train at least **twenty five** percent more supervisors than needed. The agency must ensure that attrition of supervisors is less than **five** percent during the entire course of field survey.

#### **4.1.2 Enumerators/ Interviewers**

The minimum educational requirement for a household interviewer is a university degree (i.e. 5 years of study after high school). As some knowledge of separate dialects may be required in remote areas, it is advised that the agency recruits interviewers living in such areas. This is not a mandatory requirement and is left to the discretion of the agency. The agency shall also recruit and train at least **thirty** percent more interviewers than required to ensure that suitable replacements are available for the team members leaving during field work or those who do not demonstrate sufficient proficiency following training. The agency must ensure that attrition of enumerators is less than **ten** percent during the entire survey. The agency is required to provide atleast 40% female enumerators for the training.

#### **4.1.3 Back-Checkers**

Once data collection from a village is complete and CAPI questionnaires provided, the village would need to be revisited by one back-checker. The back-checker will be responsible for verifying the data submitted by ensuring that interviews were conducted according to protocol, the correct households were interviewed, field some modules of the questionnaires and match responses to check for fraudulent or erroneous data. This will be done for 5% of the sample. Back-checkers should have experience in conducting or managing household surveys. The preferred education requirement for field supervisors is a university degree. Basic ability to communicate in English would be preferred. Knowledge of Hindi is essential. In addition to back-checking activities, they will participate in the pilot test. Back-checkers will also need to participate in the training. The agency shall also recruit and train at least **twenty** percent more back-checkers than required to provide for replacement due to attrition. The agency must ensure that attrition of supervisors is less than **five** percent during the entire survey.

### **5 Equipment and Logistics**

The agency will provide the requisite number of hand-held devices and other tools to facilitate digital data collection in the selected states by survey teams. The MoRD will bear no responsibility for the payment, storage and field level deployment and use of hand-held devices. Following is a suggested list of equipment to be provided and logistic arrangements to be made during the contract duration:

- **Field Supplies:** The agency will provide all supplies required for field staff viz. This should include a token of appreciation to be given to interviewees, in lieu of their time.
- **Office Equipment:** The agency will secure the necessary office and computer equipment for survey management and adequate number of CAPI devices. Sample copies of printed questionnaire in English, Hindi, Marathi, Assamis, Bengali, Gujarati etc., and training manual will be provided to each supervisor and enumerators.

- **Maintenance:** The agency will take steps to ensuring that all equipment and vehicles are properly maintained and can be quickly serviced so as to remain operable.
- **Authorizations:** The agency will secure all required authorizations and clearances necessary to perform the data collection in a timely fashion from different SRLMs with the support of MoRD.
- **Transportation:** The agency will make appropriate transportation arrangements to conduct field work. Sufficient transportation to ensure that the field work is carried out smoothly will be needed. Evidence that supervisors will be able to travel to observe interviews, provide support to their team members, as well as evidence that interviewers have the transportation needed to reach their households will be required.

## Annex-3 MKSP

## Broad Progress Details of Sample PIAs

S. No.	State	Agency Name	Intervention	Start Date/Year	Districts	Blocks	Villages	Women Farmer HHs	No. of SHGs/PGs
1.	Rajasthan	Centre for Micro-Finance, Jaipur (CmF)	Pasu Sakhi Model	August, 2013	7	19	460	26641	460
2.	Chhattisgarh	Bastar Sewak Mandal (BSM), Jagdalpur	SA	August, 2013	1	1	27	2200	165
3.	Madhya Pradesh	Professional Assistance for Development Action (PRADAN)	SA	December, 2011	2	4	259	12284	0
4.	Jharkhand	Udyogini	NTFP (Lac)	April, 2014	1	3	56	3012	0
5.	West Bengal	Loka Kalyan Parishad (LKP)	SA	February, 2013	5	11	765	60790	232
6.	Jharkhand	Rural development Association	SA	December, 2013	1	2	41	2005	28
7.	Karnataka	MYRADA	SA	December, 2013	1	1	20	3000	250
8.	Assam	NDC	SA	September, 2013	7	14	140	14549	4
9.	Gujarat	Shroff Foundation Trust	SA	October, 2013	1	2	91	7320	644
10.	West Bengal	PRADAN	NTFP (Tasar)	August, 2013	2	2	67	2654	0
	<b>Total</b>				<b>28</b>	<b>59</b>	<b>1926</b>	<b>134455</b>	<b>1783</b>

Note: for detailed progress of MKSP please visit <http://mksp.gov.in/ViewProjectsStatus.nic>.