Terms of Reference
Baseline Survey
RFP/HPI/18/4

This term of reference contains background information related to the project including objectives, the desired methodology, the timeframe for conducting the baseline survey, and a list of deliverables. This document also contains information about the expertise that Heifer is seeking for this activity and provides guidance on how to submit a proposal for review, survey management, and intellectual property.

1. Background of Heifer International
Heifer International is a global non-profit working to end hunger and poverty and care for the Earth by using sustainable practices and engaging smallholder farmers in agricultural development. Heifer was founded on the simple belief that ending hunger begins with giving people the means to feed themselves, generate income and achieve sustainable livelihoods.

Since 1944, Heifer has helped 20.7 million households – more than 105 million people – in over 125 countries, through community-based training, appropriate technologies and agricultural resources, enabling communities to lift themselves out of poverty and hunger on to a path of self-reliance and economic prosperity. In Asia alone, up to 600,000 families benefited from Heifer, focusing on building rural value chains through programs that integrate income and asset generation, food security and nutrition, environmental protection, women’s empowerment and the creation of social capital.

More Info on Heifer: www.heifer.org

Heifer India’s Program History
Heifer’s India program started in 1955, when 20 Jersey cows were sent to India through the Ministry of Agriculture, Government of India. Since then Heifer has been working in disaster rehabilitation, technical training for the government on improved animal management practices, and to support local NGOs in Socio-Economic Development Projects.

In 2008, Heifer India was registered as a representative office and began partnering with local NGOs in Odisha, Bihar and Rajasthan, to socially and economically empower marginalized communities. Currently, Heifer’s programs are spread across 1,357 villages in these three states and aims to reach over 67,500 families. We partner with institutions and stakeholders at every level to build an ecosystem that fosters scaling of community-based enterprises and generate sustainable and equitable return to the producers and small holder farmers.

2. Project Description
Heifer International has initiated Hatching Hope Global Initiative Project in Mayurbhanj districts of Orissa. The Project will reach 30,000 households (1,705,000 individuals) in the first two-year phase to leverage the past investments in the state and will build on recently concluded projects that assisted smallholder farmers by promoting goat rearing and poultry health through vaccinations and deworming. Primary objective of this project is to empower the small and marginal holder farmers with sustainable livelihood opportunities. It aims to empower communities with Improved Poultry Management practices, strengthen family level nutrition and alternate livelihood sources like Back Yard Poultry. Collective efforts of small holder farmers with strengthened negotiating power to improve their sales and earnings will be promoted. Small holder farmers do not find farming lucrative in these rains fed areas. This region is predominantly rural with very high percentage of tribal population. Tribal communities have traditionally relied upon agriculture, animal husbandry and forests for their livelihoods. Heifer estimates that the first two-year phase of Hatching Hope India (HHI) will increase poultry
production from an average flock of eight birds to 80 by the end of the year, thereby increasing a smallholder farmer’s income from poultry production by USD 228 by the end of year 2. In this period, the initiative will reach 300,000 households (1,650,000 individuals) through production, consumption and sale of poultry products (Pathway One) and 10,000 households (55,000 individuals) through a targeted campaign promoting information on poultry production and consumption (Pathway Two).

**Project goal and objectives:**

**Goal:** Increase the incomes of 30,000 families toward the living income benchmark, sustainable livelihoods and resiliency through a holistic approach addressing improved Income and Assets, Nutrition, Environment and strengthen women empowerment and social capital.

**Objectives:**

- Net incomes of 30,000 tribal households is on par/above the livable income benchmark (LI benchmark: INR 27907 per capita per month)
- Availability of and accessibility to nutrition rich foods (eggs and poultry) through production and productivity
- Environmental degradation in the project area is prevented and reversed
- Women are socially and economically empowered via CBOs (including SHGs, Clusters and Federations)

**3. Baseline survey objectives**

- Establish and document the benchmark/status of the project’s qualitative and quantitative indicators in relation to the four stated objectives and impact areas.
- Review the project MEL Plan including targets based on the baseline Result Framework and Indicators Performance Tracking Table (IPTT) (these could be a Heifer activity).
- Generate a draft baseline report that will be validated during validation workshops and production of the final baseline report.

**4. Scope of Work:**

The selected consultant will work in close coordination with Heifer India’s PME unit in the following tasks:

- Develop an inception report with an action plan for the survey
- Review of the Heifer’s Baseline survey tool and implementing the same in the field
- Alignment with Heifer’s evaluation methodology
- Prepare and provide training on data collection to enumerators using survey CTO tool
- Collect, review and analyze survey data through Survey CTO platform
- Produce a draft survey report in English for review by Heifer and partners
- Provide a presentation on the initial findings to Heifer India, project partners, and stakeholders
- Finalize the report for submitting to Heifer HQ

**Deliverables**

- **Inception report**
  The inception report should include:
  - Conceptual framework for undertaking the survey
  - Proposed survey methodology, including detailed field procedures, data collection framework and data collection tools
  - Discussion of any limitations to the proposed methodology or approach
  - Quality control measures
- Communication protocol
- Work plan/schedule indicating key deliverables and milestones, including outputs and timeline
- Composition and roles of the baseline survey team
- Financial proposal
- Reviewing the PIRS and developing the data analysis strategy
- Reporting the evaluation findings in the inception report

It is envisaged that the methodology used during this survey will include, but not necessarily be limited to, the following (consultant free to suggest additional or other suggestions):

1. Review of existing secondary information and reports relevant to the baseline study topics. Previous studies and assessments in the project areas by other stakeholders may also be referenced.
2. Review of existing project level reports, documents and work plans relevant to the scope of the baseline study.
3. Discussion with key project staff of Heifer and partners at project and partner levels and other key informants.
4. Interviews with concerned partners and stakeholders.
5. Field visits in the implementation areas for data collection and observations.
6. Community level participatory meetings and focused group discussions for data collection and information gathering.
7. Household (HH) level survey for data collection through structured questionnaires developed to address the key project objectives and indicators (already developed by Heifer for review).
8. Following the Heifer’s sampling methodology, which must have statistical representation of different sub-sections
9. Data collection in the field based on statically calculated sample size by using the Heifer’s sample size calculator
10. Data analysis and verification of analyzed data.

The baseline study approach should have a strong focus on the application of participatory approaches and proven methodology that fits well in the context of local communities and stakeholders.

It should be noted that the HH survey data collection will be done using Survey CTO, Heifer’s standard data collection software, hence the consulting team should be aware of the system. If not, they will be brought up to speed with the Heifer India team.

➢ Preliminary findings from fieldwork will be shared with the Heifer team along with stakeholders and representatives of participants in a meeting to be organized by Heifer International India and interested Heifer staff members.

➢ Draft report – The report and all other outputs of the survey should be prepared in English. The draft is to be shared with Heifer. The report should be concise and within 20 pages excluding annexes and Executive Summary, and at a minimum should contain the following sections:

- List of acronyms and abbreviations
- Table of contents
- Executive summary
- Introduction (project)
- Baseline methodology, implementation details, and limitations
- Results and discussions
- Conclusions and recommendations
- Revised MEL plan template
• Annexes:
  o Survey instruments: questionnaires, interview guides, etc., as applicable
  o Any other annexes: maps, graphics, etc.

➢ **Final report** – The report will be finalized based on feedback provided in the final draft.

➢ **Final version** of quantitative data sets in agreed upon format and qualitative transcripts.

➢ **Add** Project related all the clean data and analyzed data needs to be handed over to Heifer India

5. **Proposed Timeline:**

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<thead>
<tr>
<th>No.</th>
<th>Deliverables/Tasks</th>
<th>Estimated Timeframe</th>
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<tbody>
<tr>
<td>1</td>
<td>Selection and notification</td>
<td>15 December 2018</td>
</tr>
<tr>
<td>2</td>
<td>Contract signed</td>
<td>20 December 2018</td>
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<tr>
<td>3</td>
<td>Training to enumerators on how to use the baseline survey tools/questionnaires</td>
<td>22 December 2018</td>
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<tr>
<td>4</td>
<td>Field work</td>
<td>23 December 2018</td>
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<tr>
<td>5</td>
<td>Present draft report and online presentation to Heifer team</td>
<td>20 Jan 2019</td>
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<tr>
<td>6</td>
<td>Final report due</td>
<td>30 Jan 2019</td>
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6. **Supporting Documents to Review:**

1. Project document (original and revised)
2. Draft questionnaire developed by Heifer India for review
3. Theory of Change
4. Project MEL Plan template (Results Framework, IPTT, Performance Indicator Reference Sheet)

7. **Required Expertise**

Heifer International India is looking for an individual consultant or a firm with substantial experience performing baseline surveys in evaluating similar development interventions in a developing country setting. More specifically, the lead consultant should have a proven track record in conducting baseline surveys and evaluations of complex projects, experience with country situations similar to that of India and with similar projects, especially related to sustainable livelihood projects. The consultant team should have expertise in gender analysis, local economic and enterprise development, value chain development in agriculture and livestock sectors, excellent analytical skills and report writing skills in English.

Heifer would appreciate and encourage consultant(s) to make suggestions for any changes in the SOW to improve the quality of work.

Required expertise, skills and knowledge are as follows:

- Minimum five (5) years of work experience in conducting sound and thorough technical evaluations of similar projects
- Evidence of success in completing similar evaluations in terms of size, design and rigor
- Proven expertise, knowledge and skills in applicable value chain
- Strong qualitative and quantitative research and analytical skills
- Ability to design the evaluation Data Quality Control strategy
- Proven record of excellent management, leadership, decision-making and interpersonal skills
- Proven strong, clear technical writing and oral presentation skills in English
- Proven ability to prepare high-quality technical reports on time
8. Baseline Survey Management

**Baseline Survey Coordinator (Heifer)**

Heifer International India will assign this responsibility to one of its staff, who will manage and coordinate the whole baseline survey process from Heifer’s side. S/he will serve as the primary contact with the survey and project teams and will facilitate the required support from Heifer. Any changes in SOW, plan and process, methodology, etc. must be agreed on by Heifer. During the survey, the contractor may seek and receive additional advice or guidance from the Heifer baseline survey coordinator, but the consultant team will operate independently, without direct supervision by any Heifer staff.

**Local support**

The Heifer India country office will:

- Provide all related documents
- Make all contacts for the consultants with partners and community
- Provide a list of registered/profiled HHs to be used as a sampling frame
- Provide draft baseline tool
- Allow access to survey CTO Platform for data collection
- Lead in the sample size calculation for baseline survey
- Review and approve the inception report including proposed methodology and sampling methodology
- Review draft reports
- Organize a feedback workshop
- Address any issues that may arise from time to time

The assignment will require travel to and possible staying in the target project region in India. Other than related documents, all resources (transport, hotel reservations, data collection enumerators, etc.) should be arranged by the consultant team and factored into the financial proposal.

9. Consultant Submission Requirements:

All interested consultants/firms will submit their or organization’s profile with the following information:

**Technical Proposal (not to exceed 10 pages)**

a. **General information (not to exceed 2 pages):**
   - Organization overview
   - Capacity statement
   - Website

b. **Technical Approach (not to exceed 8 pages):**

   - A detailed methodology on how the assignment will be conducted, including qualitative and quantitative data collection approaches, sampling strategy, data collection methods and systems/technology to use, field procedures, quality control practices and data analysis.
   - List and briefly describe the team and its proposed personnel, indicating what role each proposed individual will have; CVs of team members to be provided in an attachment.
   - A clear and comprehensive work plan (draft), outlining the major activities, people responsible and time schedule.
   - Organizational capacity statement, including past experiences and activities related to the theme of the study. Reference information must include the location, award numbers, and brief description of work performed.
   - At least three references of other clients for which similar evaluation assignments were undertaken with contact information for each.
c. Financial Proposal

- Itemized budget
- Narrative explanations of line items

Interested local or international firms legally eligible to implement this assignment in India are requested to submit a proposal. Please include the name of the person in your organization who will be involved in negotiating the contract as well as your telephone and email contact information.

Submissions must be in English and typed single-spaced using Times New Roman font size 12, with a complete set of appendices/attachments as applicable. All pages must be numbered and include the SOW reference number in the cover page, and name of the organization at the bottom of each page. As mentioned on the cover page, all documents can be submitted by email.

10. Late Submissions and Modifications:

Proposals received after the submission deadline will not be considered. Offerors are responsible to ensure their proposals are submitted according to the instructions stated herein.

Heifer retains the right to terminate this RFP or modify the requirements upon notification to the Offerors.

11. Selection Criteria

Submitted proposals must clearly demonstrate alignment with the SOW outlined above with appropriate level of detail. Proposals will be evaluated according to the following criteria:

- Accuracy and relevance of the proposed technical approach and methodology 20%
- Completeness of the proposal (activity plan, budget, team expertise, etc.) 15%
- Proposed team: expertise and competencies to address project components 20%
- Relevance of the baseline survey skill base to implement/manage the assignment 20%
- Budget justification and costs reasonableness 25%

The selection committee will evaluate the technical proposal based upon the criteria listed above, and the financial proposal will be assessed for its cost-effectiveness in the budget.

12. Validity of Proposals

Proposals submitted shall remain open for acceptance for ten (10) days from the last date specified for receipt of the proposal. This includes, but is not limited to, pricing, terms and conditions, and service levels. If your organization is selected, all information in this document and the negotiation process are contractually binding.

13. Limitations

This call does not represent a commitment to award a contract, to pay any costs incurred in the preparation of a response to this RFP, or to procure or to contract for services or supplies. Heifer reserves the right to fund any or none of the applications submitted and reserves the right to accept or reject in its entirety and absolute discretion any proposal received.


Section 1. Ownership Generally. Subject to Section 2 below, any intellectual property (including but not limited to copyrights, trademarks, service marks, and patents), intellectual property rights, deliverables, manuals, works, ideas, discoveries, inventions, products, writings, photographs, videos, drawings, lists, data, strategies, materials, processes, procedures, systems, programs, devices, operations, or information developed in whole or in part by or on behalf of Contractor or its employees or agents in connection with the Services and/or Goods
(collectively, the “Work Product”) shall be the exclusive property of HPI. Upon request, Contractor shall sign all documents and take all actions necessary to confirm or perfect HPI’s exclusive ownership of the Work Product.

**Section 2.** Prior-Owned Intellectual Property. Any intellectual property owned by a Party prior to the Effective Date (“Prior-Owned IP”) shall remain that Party’s sole and exclusive property. With regard to any of Contractor’s Prior-Owned IP included in the Work Product, Contractor shall retain ownership, and hereby grants HPI a permanent, non-exclusive, royalty-free, worldwide, irrevocable right and license to use, copy, reproduce, publicly display, edit, revise, perform, and distribute said intellectual property, in any format or any medium, as part of the Work Product.

**Section 3.** Work Made for Hire. To the extent copyright laws apply to the Work Product, the Parties agree that (a) HPI specially ordered or commissioned the Work Product, (b) the Work Product is a “work made for hire” under United States copyright laws, and (c) HPI shall be deemed the author thereof and shall own all right, title, and interest therein. To the extent such rights, in whole or in part, do not vest in HPI as a “work made for hire”, Contractor hereby irrevocably grants, assigns, and transfers to HPI, exclusively and in perpetuity, all of Contractor’s rights of any kind or nature, now known or hereafter devised, in, to, and in connection with the Work Product, and HPI shall solely and exclusively own any and all rights therein, and in the elements thereof, including but not limited to any and all allied, ancillary, subsidiary, incidental, and adaptation rights. Contractor hereby waives all rights known as “moral rights”, and any similar rights, which Contractor may have in connection with the Work Product. The description of Services and/or Goods provided in this Agreement shall in no way limit the manner in which HPI may use the Work Product.

15. **Applicable Regulations**

Offerors must be legally registered to operate within India and comply with local applicable legislation, including but not limited to labor law, financial requirements, taxes, etc.

The proposal should be submitted as per the format described in this TOR and send to: heifer-india@list.heifer.org the subject of email shall be the RFP Number i.e. RFP/HPI/18/4 followed by the “Bidder’s Name”.

**Deadline of Submission:** 07 December 2018, 18:00 PM IST

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