

Terms of reference (ToRs) for the procurement of services below the EU threshold

Baseline Study for the SDG Compact Measure “Sustainable Farming Communities in the Mint Sector in India”	Project cost centre: 12.1003.8-239.01	number/
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0. List of abbreviations

AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
DPP	Development partnerships with the private sector
FPC	Farmer Producer Company
NABARD	National Bank for Agriculture and Rural Development
SFAC	Small Farmers Agribusiness Consortium
SHG	Self-Help Group
ToRs	Terms of reference

1. Context

Uttar Pradesh is the third poorest state in India with a per capita annual income of US \$ 200. 80% of the people live in rural areas and 66% depend on agriculture for their livelihood. The state's agricultural sector is characterized by very small sized land holdings; around 90% of the farmers in the state are small and marginal farmers. One of the most important crops for smallholder farmers is mint (75% of the Indian mint production is from Uttar Pradesh), which is used as a cash crop in the summer months in rotation with rice, wheat and potatoes as food and cash crops.

Mint farmers in Uttar Pradesh face a number of challenges ranging from a lack of access to knowledge on how to best manage farms, poor availability of quality inputs (especially high-quality mint stolons), new farming and processing technologies, access to markets as well as financial services. These challenges prevent farmers from increasing their productivity and incomes in the long run. Due to the various risks and insecure income prospects, youth are often not interested to continue farming activities. In addition, the impact of climate change and global warming is increasing, bringing new risks and new volatility. Moreover, it has been observed that water tables are getting deeper year by year, posing a severe threat of water scarcity in the near future.

1.1. Project Objective

This project is a partnership between Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, Symrise AG and Mars GmbH under the SDG Compact framework of the develoPPP.de programme. In addition, the project works with a nonprofit organisation, acting as implementing partner.

The objective of the project is to sustainably strengthen the mint supply chain in Uttar Pradesh, and to further develop the trainings and services established, reaching 10,500 new farmers, 7,750 farmers with 1 year of trainings received and 7,000 farmers with 2 years of previous training experience. In total, 25,250 farmers will benefit from improved and enhanced training services until the end of the proposed project.

The major project components are briefly mentioned below:

- Climate and water sensitive mint production including quality assurance of agricultural aspects while introducing solar pump powered micro irrigation system and integrated water resources management in a landscape approach
- Organisational capacity building and entrepreneurship to strengthen the governance and business of farmer collectives at different levels
- Technologies for farm mechanization and processing for bringing efficiency in farming and improving yields
- Access to finance for Farmer Producer Organisations & Agripreneurs across the mint value chain to strengthen farmers, improve their access to markets and make use of economies of scale
- Digital extension services for farmers for real time climate based crop advisories to make maximum outreach and make use of artificial intelligence for precision agriculture
- Monitoring & Evaluation, Knowledge Management, Communication and Implementation for regularly reviewing the progress of the activities and bridging the gaps through various informative tools.

1.2. Project Indicators

The main project indicators are the following:

1. 25,250 smallholder farmers increased their overall farm productivity (yield/ha) on average by 20%.

Baseline: to be defined after quantitative baseline study (max. 6 months after project start)

Endline: 25,250 smallholder farmers (30% women, 40% youth (18 – 35 years))

Method of assessment: quantitative baseline study vs. quantitative endline study, sampling representative for “old” and newly included farmers in the project

2. 25,250 smallholder farmers increased their overall net farm income on average by 20%.

Baseline: to be defined after quantitative baseline study (max. 6 months after project start)

Endline: 25,250 smallholder farmers (30% women, 40% youth (18 – 35 years))

Method of assessment: quantitative baseline study vs. quantitative endline study, sampling representative for “old” and newly included farmers in the project, ongoing monitoring by implementer for project farmers and control group for mint income.

3. 25,250 smallholder farmers decreased their water consumption for mint production on average by 30% (per kg of mint oil).

Baseline: to be defined after quantitative baseline study (max. 6 months after project start)

Endline: 25,250 smallholder farmers (30% women, 40% youth (18 – 35 years))

Method of assessment: quantitative baseline study vs. quantitative endline study, sampling representative for “old” and newly included farmers in the project compared to a control group of non-project mint farmers, regular monitoring system

4. 430 SHGs are operational (=members save regularly) and 5 FPCs are operational (=members supply 250 tons of high quality, traceable mint oil to their selected buyers).

Baseline: 340 SHGs and 4 FPCs

Endline: 430 SHGs and 5 FPCs

Method of assessment: M&E system, formal registration documents of SHGs and FPCs

5. 2 FPCs and 30 SHGs and 10 agripreneurs have access to financial services for the mint value chain.

Baseline: 0

Endline: 2 FPCs and 30 SHGs and 10 agripreneurs

Method of assessment: qualitative mid-term review and quantitative endline study, sampling representative for “old” and newly included farmers in the project; product information sheets of financial institutions

access = products are locally available and known to farmer representatives, average farmer group/FPC can qualify in terms of collateral, Know Your Customer and other requirements, 80% of farmer groups/FPCs using financial products rate the experience positively

2. Tasks to be performed by the contractor

The contractor shall provide the following work/service:

- Develop an M& E framework for project after reviewing project documents, discussion with project partners.
- Collect basic data on the project households, enabling the evaluation of the achievement of the project objective.
- Determine the initial values of the project objectives and result indicators.
- Establish the current level of financial literacy, access to financial services and financing needs among target groups.
- Analyse the impact of COVID-19 on the mint production and marketing / incomes during the season of 2020 and potential implications beyond

Proposed Methodology:

- Quantitative baseline assessment. Minimum requirement: confidence level 95% and 5% margin of error.
- The respondents should be sampled according to the different target groups of farmers (a. 10,500 new farmers; b. 7,750 farmers with one year of training experience; c. 7,000 farmers with two years of training experience), SHG leadership and members, FPC leadership and members as well as agripreneurs on a random basis. Consultants may suggest a detailed sampling methodology in the research strategy.
- Development of questionnaires for different target groups, based on project indicators, results and milestones outlined in project concept and operational plan. The following data should be included (not exhaustive):
 - o overall and crop-specific farmer income (for mint and main rotating crops), productivity and water consumption;
 - o Household income/ expenses
 - o access to credit at household level
 - o access to previous trainings and satisfaction with them as well as participation in such;
 - o agricultural (for all rotational crops) and financial literacy knowledge;
 - o adoption of agricultural and financial practices;
 - o potential reasons for non-adoption;
 - o attitude and risk appetite (e.g. towards learning, adoption, commercial interests);
 - o feedback to and farmers' use of digital tools (smartphones, regular phones, digital agricultural advice, digital banking);
 - o types of services received through from other projects;
 - o role of women and youth;
 - o social networks and information flows;
 - o group structures and market context;

as well as potential other aspects which GIZ and partner or the consultants may suggest necessary for measuring the project impact. The consultants are required to find a good balance between the level of detail required for analysis and a tolerable length of the questionnaire for respondents.

- Pre-testing of all questionnaires in the field and respective adjustments are required.
- Information should be collected through interviews as well as direct observation in some of the respondents' farms. The bidder may suggest additional qualitative

research elements (e.g. Key Informant Interviews or Focus Group Discussions), in the research strategy.

- Preference for a digital data collection approach.
- It will be critical to keep non-response rates as close to zero as possible. Non-response includes both refusals to participate in the survey and refusal to answer particular questions. While it should always be stressed to respondents that they have the option of not answering certain questions, enumerators should be able to achieve a level of comfort with the respondents that they are interviewing so as to minimize non-response rates for each question.
- Data collection, cleaning and analysis has to be fully compliant with the EU GDPR and national legislation on data protection.

Certain milestones, as laid out in the table below, are to be achieved by certain dates during the contract term, and at locations:

Milestone	Timeline
<ul style="list-style-type: none"> - Kick-off meeting with partners, team and relevant stakeholders 	<p>5 August, 2020</p>
<ul style="list-style-type: none"> - Inception report clearly outlining the M&E framework for project, methodology of baseline, sampling, proposed study participants, number of enumerators and supervisors as well as data collection instruments, i.e. questionnaires for the different project target groups. The report should entail an overview (“framework”) of all results, milestones and indicators to be measured. The inception report will be reviewed and approved by the GIZ team and project partners. 	<p>20 August, 2020</p>
<ul style="list-style-type: none"> - Final baseline report including a clean and final data set of all quantitative data in Excel, summary notes for any qualitative interviews conducted, analysis of data, highlighting opportunities and potential risks/threats as well as mitigation strategies, recommendations for implementation and the M&E framework filled with initial values. The final report will be reviewed and approved by the GIZ team and project partners. 	<p>5 November, 2020</p>
<ul style="list-style-type: none"> - Presentation of results 	<p>10 November, 2020</p>

Period of assignment: 1 August to 15 November 2020

Location of the project: Barabanki & Lucknow districts villages under project, Uttar Pradesh

3. Concept

In the bid, the bidder is required to show how the objectives defined in Chapter 2 are to be achieved, if applicable under consideration of further specific method-related requirements (technical-methodological concept). In addition, the bidder must describe the project management system for service provision.

Technical-methodological concept

Strategy: The bidder is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1). Following this, the bidder presents and justifies the strategy with which it intends to provide the services for which it is responsible (see Chapter 2).

The bidder is required to present the actors relevant for the services for which it is responsible and describe the **cooperation** with them.

The bidder is required to describe the key **processes** for the services for which it is responsible and **create a schedule** that describes how the services according to Chapter 2 are to be provided. In particular, the bidder is required to describe the necessary work steps and, if applicable, take account of the milestones and contributions of other actors in accordance with Chapter 2.

The bidder is required to describe its contribution to knowledge management for the partner and GIZ and promote scaling-up effects (**learning and innovation**).

Project management of the contractor

The bidder is required to explain its approach for coordination with the GIZ project.

- The contractor is responsible for selecting, preparing, training and steering the experts (international and national, short and long term) assigned to perform the advisory tasks.
- The contractor makes available equipment and supplies (consumables) and assumes the associated operating and administrative costs.
- The contractor manages costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ.

The contractor reports regularly to GIZ in accordance with the AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH from 2018

The bidder is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the bid; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

4. Personnel concept

4.1 The bidder is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 6), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points.

Team leader

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Technical contributions for developing research design for agriculture and rural livelihoods
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, as well as planning and steering assignments and supporting local short-term experts
- Regular reporting in accordance with deadlines
- Development of research strategy and implementation plan, suitable research tools and revisions according to GIZ (and partner) feedback, testing of research tools and translation into local language, field staff selection and trainings, data cleaning and analysis

Qualifications of the team leader

- Qualifications (2.1.1): University qualification (Master) in relevant area (e.g. Economics, Agricultural Economics, Rural Development, International Development, Research Methods)
- Language (2.1.2): Excellent written and oral English & Hindi along with communication skills
- General professional experience (2.1.3): 10 years of professional experience in the International Development Cooperation sector; 5-7 years of executing evaluations of development programs including baselines, midterm and endline evaluations; relevant experience in designing, conducting, and managing field work and data collection for empirical research
- Specific professional experience (2.1.4): 6 years in Project Evaluation and Qualitative & Quantitative Research Methods and Analysis, preferably in the area of Rural Development, agronomy, finance; experience with statistical analysis software (e.g. Stata, SPSS)
- Leadership/management experience (2.1.5): 3 years of Management/ Leadership experience as project team leader or manager in a company
- Regional experience (2.1.6): 6 years of experience in projects in India
- Development Cooperation Experience (2.1.7): Experience of working with multilateral organisations funded projects

Expert 1: Data Analysis

Qualifications of expert

- Qualifications (2.2.1): Advanced degree in Applied Statistics with specialization in Data Science with Agribusiness background from a recognized and reputable institution;
- Language (2.2.2): English
- General professional experience (2.2.3): 5 years of professional experience in analysis of research / survey especially in agribusiness / rural livelihood-based projects
- Specific professional experience (2.2.4): Specific experience of developing strategy for improving farm / non-farm incomes
- Regional experience (2.2.6): India
- Other (2.2.8): Proven experience in conducting baseline, impact and research studies

Expert 2: Survey Design

Qualifications of expert

- Qualifications (2.3.1): Degree in Commerce / Mathematics / Statistics or a related degree from a reputable and recognized university/institution
- Language (2.3.2): English and Hindi
- General professional experience (2.3.3): 5 years of professional experience in various survey design development;
- Specific professional experience (2.3.4): Experience and knowledge in Agriculture / Rural Livelihoods related projects
- Leadership/management experience (2.3.5): None
- Regional experience (2.3.6): India
- Other (2.3.8): Experience and knowledge in developing survey designs for more than 300 sample size especially related to farm / non- farm incomes

Expert 3: Enumerators (4 Nos)

Qualifications of expert

- Education/training (2.4.1): Degree / Diploma in Commerce / Mathematics / Statistics or a related degree from a reputable and recognized university/institution
- Language (2.4.2): English / Hindi / Gujarati
- General professional experience (2.4.3): 3 years of professional experience in various survey/ data collections / Participatory Rural Appraisal;
- Specific professional experience (2.4.4): Experience and knowledge in Agriculture / Rural Livelihoods related projects
- Leadership/management experience (2.4.5): None
- Regional experience (2.4.6): India
- Development Cooperation (DC) experience (2.4.7): None
- Other (2.4.8): Experience and knowledge in conducting surveys for more than 300 sample size especially related to agriculture and allied sectors

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

4.2 Required Qualification / experience for the consulting agency

The Agency should have the following administrative and financial requirements for conducting the assignment:

- Average annual turnover for the last three financial years should be at least 50,000Euros.
- Number of employees as at 31.12.2019 should be at least 10 persons.
- Agency must have handled at least 3 projects on development of surveys / research/ studies and need assessment with a focus on agribusiness / rural livelihoods / farm & non - farm incomes

- Have legal status enabling the organization to perform the above-mentioned tasks.
- Ensure full data protection for all processes and procedures before, during and after data collection according to Indian legislation and the EU GDPR.

The agency should have the following experiences for conducting the assignment: (Can be amended)

- Minimum 5 years of technical expertise in consulting on development projects in conducting surveys/ research/ studies/ need assessment in agribusiness
- Minimum 3 years of experience in collaboration with public sector enterprises for the welfare of the farmers and farm incomes
- Minimum 3 years of experience in developing strategies for farming sector to improve the rural household incomes from farm & non- farm activities
- Minimum 3 years of experience of collaboration with private sector to improve the agricultural value chains

5. Costing requirements

Assignment of personnel

Team leader: Assignment in country of assignment for 40 expert days
Expert 1: Assignment in country of assignment for 40 expert days
Expert 2: Assignment in country of assignment for 20 expert days
Expert 3: Assignment in country of assignment for 20x4 expert days

Travel

The bidder is required to calculate the travel by the specified experts and it has proposed based on the places of performance stipulated in Chapter 2 and list the expenses separately by daily allowance, accommodation expenses, flight costs and other travel expenses.

6. Requirements on the format of the bid

The structure of the bid must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 3) is to be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). It must be legible (font size 11 or larger) and clearly formulated. The bid is drawn up in English (language).

The complete bid shall not exceed 10 pages (excluding CVs).

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 2 pages. The CVs must clearly show the position and job the proposed person held in the reference project and for how long. The CVs can also be submitted in English (language).

Please calculate your price bid based exactly on the aforementioned costing requirements. In the contract the contractor has no claim to fully exhaust the days/travel/workshops/ budgets. The number of days/travel/workshops and the budget amount shall be agreed in the contract as 'up to' amounts. The specifications for pricing are defined in the price schedule.