

Terms of Reference

Feasibility Study in preparation of a Program to strengthen disaster risk reduction and climate resilience capacities in India and Nepal to be presented to the Ministry of Economic Cooperation (BMZ) by of Caritas Germany

Consultants are invited to present offers for supporting the process of planning and implementing the feasibility of a planned program on disaster risk reduction and climate change adaptation in Nepal and India to be submitted as a proposal in January 2025.

Due to scope and diversity of requirements we encourage proposals of teams ideally combining local/regional or international experience.

1. Introduction:

Caritas Germany's International Department (CG), in collaboration with its partners in India and Nepal, plans to implement a program focused on Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) for marginalized communities. This initiative will also work to enhance these communities' access to various public welfare programs across the Madhesh region in Nepal, the state of Bihar in India, and surrounding areas. The program is designed to build upon the insights and experiences gained from a previous program (Global Program India 2021–2024) (GPI).

2. Timeframe:

The consultancy shall take place from October 2024 to December 2024 (3 months).

3. Objectives of the consultancy:

The primary objective is to assist Caritas Germany and its partners to evaluate the logic and feasibility of the planned activities, and determine the thematic key elements, the relevance, and the effectiveness of the new planned project on Disaster Risk Reduction and Climate Change Adaptation in Bihar, India and Madhesh, Nepal, drawing on the insights and lessons learned from the Global Program India (2021–2024) and the related evaluations conducted. Building on existing activities and ensuring it aligns with the standards of the German Federal Ministry of Economic Cooperation and Development (BMZ), the study shall develop a realistic proposal for an implementation structure to reach the expected outcomes. The consultancy shall furthermore confirm the relevant stakeholders and target groups of the project identified. .

4. Expectations:

The consultant's support is specifically required in the following fields:

- Conduct an institutional capacity and SWOT analysis of potential partner organizations pre-selected by Caritas Germany and recommend criteria for final partner selection in the proposal.
- Assist in preparing a stakeholder analysis and identify networking opportunities at the micro (Beneficiary), meso (Community), and macro, political or state levels.
- Perform a comprehensive risk analysis.
- Facilitate a planning workshop with partner organizations.
- Suggest elements for a monitoring system, including impact indicators, and procedures for monitoring, data collection, and analysis.
- Collaborate with Caritas Germany and partner staff to draft the program, focusing on the thematic priorities outlined in the concept note: Disaster Risk Reduction, Climate Change Adaptation, and improved access for marginalized communities to public welfare programs.
- Present findings as part of a feasibility study and conduct a second workshop with partner organizations to discuss the results. The study should present the context of the planned project at all relevant levels (micro, meso, macro). The study must formulate concrete recommendations for adjustments to the specific project concept, including the impact matrix and measures.

5. Background information and Context

Discrimination of minorities, frequent disasters and food insecurity as consequence of climate change are frequent problems in Nepal and India, affecting especially poorer sections of the society. The access to State Welfare Programs, Education, Health and disaster relief and rehabilitation is still limited by various factors.

Caritas Germany is implementing the project together with its partners in Nepal and India. Two CG consultants will be coordinating the program in the participating states with the different implementing partners.

The projects duration is 24 months with an implementation period starting in July 2025 till July 2027. This project is considered a bridge project, following the Global Program India (2020 – 2024), and in preparation of a larger follow-up Global Program in India, Nepal and Bangladesh.

The Global Program India (GPI), launched in February 2021, focused on disaster risk reduction (DRR), nutrition and food security (NFS), and social inclusion in the Indian states of Assam, Bihar, Odisha, and the Sundarbans in West Bengal. Identified through a 2020 feasibility study, these thematic areas addressed the priorities of the Indian government. A fourth area, civil society learning, aimed to enhance knowledge exchange among civil society organizations (CSOs) and government agencies. The program sought to improve marginalized populations' access to government social benefits, enhance community resilience to disasters, boost food security, and support the implementation of government strategies for social integration. It contributed to SDG2 (zero hunger), SDG10 (reduce inequality), and SDG13 (climate action), while focusing on linking micro, meso, and macro levels to advocate for policy changes and improve access to resources. Twenty-three organizations, in partnership with Caritas India, were involved in executing the program.

The feasibility assessment for the future program shall incorporate several key recommendations. It is essential to distil and apply the lessons learned from GPI, based on made experiences and learnings, created modules, project reports and mid- and end-term evaluation findings. Adopting a multi-sectoral approach is crucial for addressing various hazards and risks. The program shall collaborate with technically proficient partners experienced in working with government institutions and ensure the integration of climate change adaptation and DRR into planning and implementation. A flexible, context-responsive planning approach shall be developed, with provisions for local solutions and "soft" support

for consolidating DRR and CCA initiatives. These considerations will be vital for designing an effective and impactful future program.

6. Key Aspects of the Feasibility Study

The feasibility study shall focus especially on the following aspects:

Multi-Level Approach: To ensure scaling of impact from local to national levels and cross border.

1. How does the project idea account for and integrate a multi-level approach (micro, meso, and macro) including a strong focus on action at the local level, at the need of legislative action, and a focus on cross-border cooperation of state and non-state actors? Which lessons can be drawn from the Global Program India and how can collaboration between project partners maximize these efforts?
2. On which local potential existing structures (institutions, networks, umbrella organizations and others) and social mechanisms can be built? What gaps in the system are identified?
3. What is the baseline scenario in terms of disaster risk reduction, climate resilience, and access to social services for marginalized communities

Relevance: To assess the alignment of the project objectives with the identified needs and the Agenda 2030 framework.

1. Do the proposed project activities effectively address the priorities and needs of the target groups, particularly marginalized communities and those vulnerable to disaster risks and climate change?
2. Are the considered geographical areas strategically aligned with the impact goals of enhancing disaster risk reduction and climate resilience as well as improving access to social services?
3. Is the design and implementation strategy gender-sensitive? What specific measures are proposed to ensure meaningful participation of women and marginalized groups in project activities?

Effectiveness: To determine the extent to which beneficiaries will benefit from the project and achieve the overall outcomes.

1. To what extent will the beneficiaries at individual, community, and institutional levels benefit from the project activities? How will these benefits contribute to strengthening disaster risk reduction and climate resilience capacities?
2. How will the project facilitate mutual learning and best practice exchanges between India and Nepal? What mechanisms are in place to ensure effective knowledge transfer and integration?

Efficiency: To evaluate whether the project can meet its objectives within the stipulated timeframe and using the proposed resources effectively.

1. Can the project objectives be achieved within the stipulated timeframe? If not, what are the potential barriers or challenges, and how might they be addressed?
2. Is the proposed use of resources and the overall project setup efficient? Are there any areas where resource allocation could be optimized to enhance project outcomes?

Significance/ developmental impacts: To assess the potential impacts and risks associated with the project.

1. Is the intended impact of the project, including strengthening disaster risk reduction and climate resilience and improving access to social services, realistically achievable?
2. Could the proposed methodology produce any unforeseen negative impacts? What risk mitigation strategies are in place?
3. What are the potential positive side-effects of the intervention on government policies, community organization, solidarity, and integration of climate adaptation and DRR into government programs?

Sustainability: To ensure that the project's achievements and positive effects will be sustained over the long term.

1. Which specific achievements of the project are expected to remain long after the project's completion?

2. What factors or mechanisms will help to sustain the positive effects of the project, particularly in relation to improved disaster risk reduction, climate resilience, and access to social services?

Coordination: To evaluate the level of coordination with relevant actors and suggest improvements.

1. To what extent is the project coordinated with government agencies and other relevant stakeholders? How does this coordination support the project's objectives?
2. How can the proposed coordination mechanisms be improved to enhance collaboration and ensure effective implementation of project activities?

7. Approach and Methodology

The consultancy will be conducted through

- **Review of project documentation (Desk Research):** An array of major documents provide an introduction e.g. project documents, monitoring reports, final reports, as well as statistical data, documents pertaining to similar projects led by other donor organizations, etc. Existing project documents and reports are to be shared with the evaluator to facilitate the realization of the tasks. The evaluator is invited to request additional documents that may be needed for the completion of the study.
- **Interviews with the key informants and key players:** (semi-)structured interviews with beneficiaries are a must and should be supported by interview protocols and the list of respondents (e.g. direct project beneficiaries, local staff, etc.). The selection criteria shall be based on gender, age, beneficiaries/non-beneficiaries and geographical spread in the project region. The exact sample size shall be proposed by the evaluator and discussed together with Caritas Bangladesh and Caritas Germany before the start of the evaluation.
- Direct observation during field visits.
- **Focus group discussions** with beneficiaries, local leaders and local partner organizations and its staff (as far as feasible)
- Standardized questionnaires

8. Deliverables

Deliverables for the feasibility study are:

i. Work plan:

The consultant is required to submit a detailed schedule for developing the Feasibility Study, showcasing their understanding, and planning approach. This schedule will be reviewed and discussed collaboratively with Caritas Germany. It should include a comprehensive study design and methodology, detailing data collection methods and analysis techniques. The schedule must also provide a proposed timeframe for all activities and deliverables. Additionally, the consultant may suggest any relevant methodological frameworks they deem beneficial for the evaluation. The plan should be concise and not exceed five pages.

ii. Workshops/Meeting:

During a validation workshop, the consultant(s) will present their field findings to representatives from Caritas Germany and the implementing partners. The workshop will facilitate a discussion to refine and validate the findings and recommendations. Stakeholders will have the opportunity to provide feedback and engage with the proposed recommendations.

iii. Draft Report:

The consultant is expected to submit the preliminary findings and initial recommendations to the Caritas Germany desk officer. The Draft Report should be delivered following the completion of the fieldwork.

iv. Final Report:

The final report must present relevant evidence addressing the questions and criteria specified in the Terms of Reference. It must include an executive summary and is subject to approval by Caritas Germany. The proposed structure for the report is detailed in Annex 1 (Bengo Guidelines), and the report should not exceed 30 pages, excluding appendices. All documents must be written in English.

9. Timeframe

The actual evaluation work is to be carried out from 1st October starting with study of documents to 20th of December with the presentation of a final Report, and a total of max. 58 working days.

The timeline for the activities consists of the following phases:

Preparation Phase: 5 days

- Analysis of relevant project documents, as well as further research
- Preparation of inception report and exchange with Caritas Germany and prospective implementing partners
- Kick-off Workshop involving Caritas Germany and prospective implementing partners

Field Phase: 40 days

- Briefing with Caritas Germany and other relevant actors in the implementing States
- Field visits
- Determination of key areas and activities for the DRR/CCA program
- Validation workshop involving Caritas Germany and prospective implementing partners

Synthesis Phase: 13 days

- Reporting including management response workshop
- Draft feasibility study report
- Produce final study including revision as per feedback

The key products expected for the evaluation are the following:

Deliverable	Dates (to be agreed)
Evaluation Plan	08.10.2024
Draft Report	15.12.2024

The consultant should present a detailed work plan and timeframe of all activities including the relevant resource allocation.

10. Roles and Responsibilities

Caritas Germany and potential implementing partners are responsible for organizing and facilitating the logistics to and in Nepal and India. Caritas Germany will provide access to all relevant project documents.

The consultant will be working under and reporting to the Caritas Germany desk officer and the partner organizations during the Study phase.

Local teams will assess potential risks of the study activities in the field together with the consultant and design if necessary, a contingency plan.

11. Guiding Principles & Donor concepts

The consultant must take all required steps to ensure that the Study is designed and conducted to respect and protect the rights and welfare of the people and the communities of which they are members, as well as to ensure that the study is technically accurate, reliable, and legitimate, and conducted in a transparent and impartial manner. Moreover, the study shall contribute to organizational learning and accountability.

12. Professional Qualification and Experience

The consultant should meet with the following, required skills and competence profile:

- expertise with evaluations, ideally ex-ante or feasibility studies
- Experience in qualitative and/or quantitative data collection and data analysis techniques **Required**
- Strong expertise in using participatory tools **Optional**
- Fluency in written and spoken English
- expertise in the fields of the thematic areas of community mobilization strategies, Disaster Preparedness and/or Agriculture/Food Security, etc.,
- Country and regional experience in South Asia **Required**
- Minimum qualification of a master's degree or equivalent combination of education and relevant work experience **Required**

13. Terms of Payment

The evaluator is to receive payment from Caritas Germany in 2 instalments:

- a) **1st Payment:** 50 % upon signing of the contract
- b) **Final Payment:** 50 % upon the submission of the first draft of the evaluation report and final evaluation report, subject to its acceptance by Caritas

Caritas Germany will not settle any payment unless the consultancy institution accomplished all the tasks in a timely fashion. The basis for payment scheduling is to be determined during contract negotiations.

14. Application Procedure

Interested candidates should submit their application material by 20th September

Date: 23.08.2024

The application itself should include the following components:

- Curriculum Vitae (CV) including 3 professional references, and indication of daily rates
- Track record of conducted studies, research, publication and references
- A technical proposal for the evaluation, including the proposed evaluation methodology and work plan¹
- Financial proposal² underlying the evaluation, including proposed fee for a maximum of 58 working days
- A sample of recent writing (report or similar) relevant to the terms of reference stated above

The proposal should be addressed to:

Sören Ronge

Desk Officer

Caritas Germany

Karlstraße 40,

79104 Freiburg

Phone: + 49 (0) 761 200 415

Email: soeren.ronge@caritas.de

A copy is to be submitted to: Julia.Gietmann@caritas.de

Homepage: <http://www.caritas-international.de>

15. Annexes

Annex 1: Guidance notes of BENG0 for conducting feasibility studies

Annex 2: Template for Work plan

Annex 3: Caritas Internationalis and Caritas Germany Ethical Guidelines and Code of

Annex 4: Financial Proposal

Annex 5: Concept note and General overview of intended Impact (Logframe)

Annex 6: Steps and timeframe

¹ See Template for Work Plan *Annex 2*

² See Financial Proposal *Annex 6*

Date: 23.08.2024

Annex 1: Guidance for conducting feasibility studies for BMZ funded PT projects

English version can be downloaded [here](#)

Annex 2- Template for Work plan

Activities & Deliverables	Date
Meeting and briefing with Evaluation consultant and <i>[Insert local partner country]</i> and Caritas Germany	
Desk Review and write the Inception Report (if applicable)	
Submission of the Inception Report	
Meeting of evaluation consultant and <i>[Insert local partner country]</i> and Caritas Germany; and approve of Inception Report	
Preparation on the mission on the ground	
Travel	
Work in Field: <ul style="list-style-type: none"> • Kick- off – ; Mid-term; Validation Workshop/ Meeting • Interviews with beneficiaries; Key informant interviews, Focus Groups • Surveys 	
Travel	
Write and prepare Draft Report	
Approve Draft Report	
Submit Final Report, summary report incorporating feedback	
Final Report approved	
Presentation of findings to <i>[Insert local partner country]</i> and Caritas Germany	

Date: 23.08.2024

Annex 3 Caritas Internationalis and Caritas Germany Ethical Guidelines and Code of Conduct

Caritas Internationalis Guidelines found [here](#)

Caritas Germany Guidelines found [here](#)

Annex 4- Financial Proposal

The financial proposal shall be submitted in Euro and shall take into account various expenses incurred by the evaluation consultant during the contract period. The financial proposal shall include a breakdown of the lump sum amount as following:

- **Professional Fees (per diem):**
 - Maximum working days (1 working day = 8 hours) _____, -EUR
 - ____% VAT

- **Travel Cost (per diem):**
 - International travel cost (Air fare for the most direct, economical route)
 - Accommodation

- **Any additional Charges:**
 - Travel insurance
 - Visa
 - Translation cost if any

The payment will be effected only upon confirmation of Caritas Germany, following the handover of contractually required documents in a satisfactory manner. For more details regarding our General Terms and Conditions for Consultancy and Expertise Contracts” please contact our desk officer for the necessary documents.

We are looking for a cost-effective proposal. Please submit your proposal including an expected budget outline based on the aforementioned aspects.

Annex 5: Climate change adaptation and disaster risk reduction of marginalized communities in South Asia (India and Nepal) proposed by Caritas Germany to the Federal Ministry for Development and Economic Cooperation

Impact	Implementation of Agenda 2030: strengthen disaster risk reduction and climate resilience capacities across individual, community, and institutional levels, improve access to social services for marginalized groups, enhance local administration and civil society coordination, foster policy integration of climate adaptation and DRR, and promote mutual learning between India and Nepal, contributing to SDGs 1 (No Poverty), 11 (Sustainable Cities and Communities), 13 (Climate Action), and 17 (Partnerships for the Goals).
Overall Outcome:	
<ul style="list-style-type: none"> • 1. Disaster risk reduction and climate resilience capacities at individual, community and institutional levels are strengthened. • 2. Mutual learning and exchange of best practices on DRR and CCA between India and Nepal promoted. • 3. Access to governmental and non-governmental social services for marginalized communities improved. 	
Outputs:	
<ul style="list-style-type: none"> • <u>Micro level</u>: Access to social services improved and disadvantaged groups in disaster risk reduction strengthened • <u>Meso-level</u>: Local administrations and civil society organizations capacities are strengthened and platforms and networks for coordination enhanced • <u>Macro level</u>: Policy development through critical monitoring and involvement of political decision-makers. CCA and DRR integrated into government programs 	

Annex 6: Timeframe

Task s	Responsibility	Timeframe
1. <u>Planning Workshops with regional project staff:</u> <ul style="list-style-type: none"> - Self-evaluation of project partners (in which thematic areas are we strong?; Which of the proposed thematic area should be addressed where, how and by whom?) - Assessment of project staff, tasks and responsibilities, Stakeholder analysis; identification of project areas, common project goal and indicator for programme, etc.) - Results of workshop: (1) Specific areas of work for project identified, (2) each partner must write concept note 	Caritas Germany & project staff	October 2024
<u>Desk work and study of documents</u>		
2. <u>Analysis of previous programs to prepare final selection of implementing Partners:</u> (Bihar/Madhesh) <ul style="list-style-type: none"> - Quality-check of financial and narrative partner reports - Evaluating the existing monitoring system, quality of baseline data and impact indicators, - Analysing existing data exchange systems with Government and other NGOs, suggestions for improvement - Achievements and existing gaps at micro – meso and macro-level - Analysis of other scientific studies available - Analysis of mid-term, end-evaluation and audit reports 	Thematic teams of partner organizations plus consultant(s)	October 2024 / November 2024
<u>Field work with Partners</u>		
3. Identify details for the specific thematic areas: DRR, CCA and improved access to welfare schemes: SWOT Analysis and assessment of consistency of program and strategic institutional goals of partner organizations	Partner organizations together with thematic consultants	30 Days from November 2024
4. <u>Selection of potential partners for PT Project (3 – 4 Partners total; minimum 1 in Nepal)</u> <ul style="list-style-type: none"> - Institutional capacity analysis of Implementing partners: History, previous experience, infrastructure, institutional linkages, options and willingness for intensified involvement at State Level (Macro) - Assessment of partners' staff in terms of project management skills (PME), financial management setup, professional background etc. and identify training needs for improvement of performance - Competencies of Caritas India regional and thematic staff and identify training needs for improvement of performance - Document quality check: What kind of documents are available, what is lacking, quality of financial and narrative reports, etc. 	Caritas Germany Cross check with external consultants	November 2024
5. <u>Stakeholder analysis:</u>	Thematic teams of	December 2024

Date: 23.08.2024

<ul style="list-style-type: none"> - Assessment of other development NGOs/ projects, etc. working in Districts and States: What are they doing? - Assessment of relevant Government programs and institutions in the area - Identify options for networking and joint L&A 	Caritas India plus consultant(s)	
Coordination		
6. Identification of the required accompanying structure <ul style="list-style-type: none"> • Define a monitoring system, indicators and exchanges procedures with Gov. institutions • Define a financial management and quality control setup 	Caritas Germany together with partner organizations and Consultants	December 2024
7. Identification of the options for joint learning and the thematic overall umbrella of the program: <ul style="list-style-type: none"> • Options to improve public supervision and control of government welfare programs by different committees and democratic structures at municipality, block, district and State level • Community mobilization methodologies • Identify needs for thematic exchange fora 	Caritas Germany together with partner organizations and Consultants	December 20
Planning Phase		
8. Elaboration of a draft of the Feasibility study	External consultants supporting staff of partner organizations	December 2024
9. Presentation and discussion of results of feasibility study	Consultants	December 2024
10. Project proposal writing of regional teams with consultant support	Caritas Germany & Project staff	January 2025
11. Final Project proposal writing	Caritas Germany Consultants	January 2025
12. Caritas Germany submits proposal to Bengo	Caritas Germany	February 2025
13. Feedback rounds and Bengo submits programme to BMZ	BMZ/Bengo	February / March 2025
14. Programme start		July 2025 or later