Government of Nepal

Ministry of Forests and Soil Conservation

Adaptation for Smallholders in Hilly Areas Project Implementation Manual

**Project Implementation Manual**

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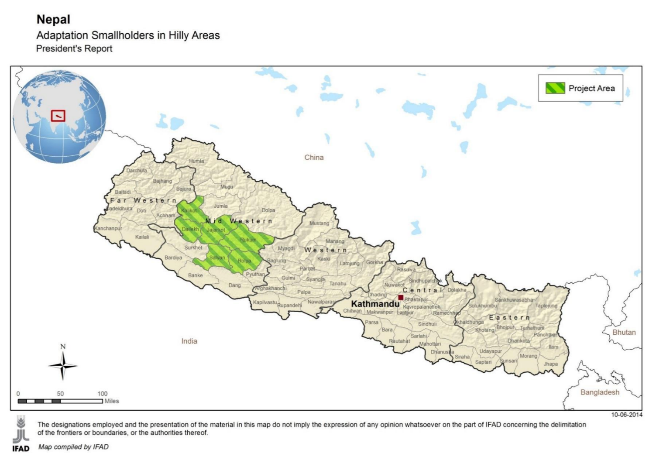
|  |  |  |
| --- | --- | --- |
| Currency Unit | = | Nepalese Rupees |
| US$1.0 | = | NPR 98 (as planned in PDR) |

Weights and measures

|  |  |  |
| --- | --- | --- |
| 1 kilogram | = | 1000 g |
| 1 kg | = | 2.204 lb. |
| 1 kilometre (km) | = | 0.62 mile |
| 1 metre | = | 1.09 yards |
| 1 square metre | = | 10.76 square feet |
| 1 acre | = | 0.405 hectare |
| 1 hectare | = | 2.47 acres |

|  |  |
| --- | --- |
| Abbreviations and acronyms | |
| CC  CCNN  CDR  CPCU  DADO  DDC  DEECCCC  DEECCS  DEEU  DEES  DDF  DFID  DPCU  ECARDS-Nepal  GESI  HVAP  ICIMOD  IFAD  LAPA  LGCDP  LRPs  MoFALD  MoSTE  MWDR  PPCR  NAPA  NCCSP  NLSS  NSDRM  NGOs  NRREP  NRRC  NTFP  SM  SP  TA  ToT  VDC  UNDP  WRD | Climate change  Climate Change Network Nepal  Central Development Region  Community Project Coordination Unit  District Agriculture Development Office  District Development Committee  District Energy, Environment and Climate Change Coordination Committee  District Energy, Environment and Climate Change Section  District Energy and Environment Unit  District Energy and Environment Section  District Development Fund  UK Department of International Development  District Programme Coordination Unit  Environment, Culture, Agriculture, Research and Development Society, Nepal  Gender Equality and Social Inclusion  High Value Agriculture Project  International Centre for Integrated Mountain Development  International Fund for Agriculture Development  Local Adaptation Plan of Action  Local Governance and Community Development Programme  Local Resource Person  Ministry of Federal Affairs and Local Development  Ministry of Science Technology and Environment  Mid-Western Development Region  Programme on Climate Resilience  National Adaptation Program of Actions  Nepal Climate Change Support Programme  Nepal Living Standards Survey  National Strategy for Disaster Risk Management  Non-governmental organizations  National Rural and Renewable Energy Programme  Nepal Risk Reduction Consortium  Non Timber Forest Products  Social mobilizer  Service providers  Technical Assistance  Training of Trainers  Village Development Committee  United Nation Development Programme  Western Development Region |
|  | |

Figure 1: Map oftheproject area





Part I – Introduction

A. Purpose and Content of the PIM

The Project Implementation Manual (PIM)is a fundamental document forrunning the Project, containing detailed instructions, processes and information on how to implement various components of the programme, monitoring and evaluation systems, reporting requirements during the life cycle of the Project. The importance of the PIM is recognized in the Financing Agreement and submission and approval of the PIM is a condition for disbursement. It promotes good management, administration, internal controls and a standardized approach to various tasks.

***The PIM is a ‘living and dynamic document’ and will be updated regularly on the basis of learning during project implementation.***

The PIM intends to serve the purposeof a “one-stop reference point” on the project implementation. It defines the roles and responsibilities for all processes and transactions, and includes references to other key documents such as Financing Agreement, Project Design Report including its Working Papers, Letter to the Receipiant and Disbursement Handbook, Procurement Guidelines and Handbook, Audit Guidelines, etc.

**Purpose of the PIM.** The PIM is a living and an operational guidelines that is designed and prepared for providing guidelines to Project management, staff, consultants, service providers and all key partners involving in project implementation at different levels and locations, in order to ensure the smooth implementation of all planned activities.

The PIM provides specific guidance on the role and responsibilities of institutions and individuals in carrying out their duties in key areas of project implementation. These key areas include (a) project summary, (b) detailed implementation procedure for the activities under each project components/sub-components (c) institutional arrangement including organizational structure of the project and roles and responsibilities of each actor, (d) project coordination and management, (e) project cost and financing, (f) financial management, (g) procurement procedures, (h) good governance and anti-corruption measures, (i) planning, monitoring and evaluation, (j) knowledge management and dissemination procedures, and (l) modification of PIM procedures.

B. Documents Referred

The following documents were consulted in the preparation of the PIM:

IFAD Appraisal Report and its Working Papers

IFAD Guidelines for Procurement and Handbook on Procurement 2010

IFAD Guidelines for Loans and Grants Administration

As experience is gained in implementation; the PIM will be updated with the support of

Government Orders and Regulations and the recommendations of IFAD Supervision missions.

**B. Project Summary**

The Government of Nepal (GoN) and the International Fund for Agricultural Development (IFAD) entered into an agreementon 26February 2015 to implement Adaptation for Smallholders in Hilly Areas (ASHA) Project in the selected districts of Mid-Western Region of Nepal. Ministry of Forests and Soil Conservation is the Lead Project Agency. ASHA is effective from the date of signing. ASHA aims at strengthening the adaptive capacity of the communities and institutions to better contend with climate change risks in the project districts.[[1]](#footnote-1)

**Project Goal.**Ruralpovertyreducedinthehillyregionsfacingconsequences ofclimatechange.

Theanticipatedmainoutcomesatthegoal levelare:

1. 100,000 direct beneficiary HHs (70% of target HHs) reporting at least 25% improvement in HH asset index, as compared to baseline (disaggregated by gender, caste and ethnicity of HH-head)[[2]](#footnote-2)
2. 15% reduction in the prevalence of child malnutrition, as compared to baseline[[3]](#footnote-3)

**Development Objectives.** Vulnerability of local communities to climate related risks reduced and enabling institutional environment for climate change adaptation strengthened.

The anticipated outcomes are:

1. 100,000 direct beneficiary HHs[[4]](#footnote-4) (70% of target HHs) moved down the CC vulnerability scale by at least one step (disaggregated by gender, caste and ethnicity of HH-head)[[5]](#footnote-5)
2. Each US$1 of ASAP financing leverages at least US$2 from other sources for LAPA implementation in at least 6 ASHA districts[[6]](#footnote-6)
3. 560,000 tons of greenhouse gas emissions (CO2E) avoided and/or sequestered[[7]](#footnote-7)

**Project Duration.** ASHA will be implemented for a period of six years (effective from 26 February 2015), divided into two phases, and covering a maximum of 12 districts.

**Target Area and Beneficiary.**The first phase of three years covers six districts from the Mid-Western Development Region, namely, Kalikot, Dailkekh, Jajarkot, Salyan, Rolpa and Rukum. The six districts have been selected based on the vulnerability mapping of the National Adaptation Plan of Action (NAPA), GoNand the United Nations Human Development Report – 2014. The Project will cover at least 200 Village Development Committees (VDCs) from the selected districts based on selected indicators and will serve 150,000 smallholder households. The direct beneficiaries of the Project would be at least 100,000 households and 500,000 population. Most households in selected VDCs not directly targeted by the Project will benefit indirectly through improved capacities, methodologies, systems and technologies adopted within their VDC and district. At Project mid-term review, adecision will be made as to whether to intensify project activities in the existing districts or to expand to other districts and/or regions of Central and Eastern Nepalin Phase II.

**Target Group and Targeting Strategy.** The Project will target climate vulnerable households (V4, V3 and V2) of project districts. Across these groups, in order to ensure GESI dimensions, representation of Dalit, ethnic groups and minorities will be ensured in various committees at the village level and in all cases atleast 33% of them will be women. Women will account for at least 33% of the direct participating beneficiaries.

**Project Components.** ASHA has two technical components: (i) Framework for local-level climate adaptation strengthened; and (ii) Climate resilience of vulnerable smallholder farmers improved, in addition to Project Management and Coordination component, detailed in Part II.

**Cost and Financing.** The total costs of the Project is estimated at USD 37.6 million. This is inclusive of all contingencies, beneficiary contribution of USD 6 million equivalent primarily in the form of labour and materials, USD 6.6 million equivalents as counterpart funding from the government including staff salaries, rentals and in the form of waiver of taxes and duties. Table1 below provides the summary of project costs:

|  |  |  |
| --- | --- | --- |
| **Table 1: Project Cost Summary** |  |  |
|  | Million USD | % |
| Total Project Costs including contingencies and taxes | 37.6 | 100 |
| IFAD ASAP Grant | 15.0 | 39.9 |
| IFAD PBAS Grant | 10.0 | 26.6 |
| GoN contribution including taxes | 6.6 | 17.6 |
| Beneficiaries contribution | 6.0 | 15.9 |

**Figure 2: Organization Structure**

**Ministry of Forests and Soil Conservation**

**Project Steering Committee**

Chair: MoFSC Secretary

18 members

**Project Coordination Unit (Kathmandu)**

Project Coordinator, Planning Officer, M&E Officer, Accounts Officer, Admin Assistant, Sub-accountant, FM and Procurement Specialist, Climate Change Specialist, MIS Specialist

**District Project Coordination Units**

District Project Coordinator, Accountant, District CC Specialist, LAPA Coordinator

**Extended TA (Surkhet)**

Specialists of Forestry, Agriculture, Livestock, Engineering, Planning and M&E, KM, and GESI

*Pilot Districts*

**GIS Spatial Planning Unit – DDC**

District GIS Specialist,

Land Use Planner

**AFEC | VDC**

Community representatives including lead farmers

District Line Agencies

&

Service Providers

Research Institutions

Community Organisations and Cooperatives

PART II –Project Components, Outcomes and Outputs

Closely interlinked and phased across the project life, ASHA has two main technical components in addition to Project Management: **Component 1.**Framework for local-level climate adaptationstrengthened, and **Component 2.**Climate resilience of vulnerable smallholder farmers improved.

**Figure 3:** The diagram below provides a basic overview of and interlinkages between the technical components, sub-components, outputs, and activities.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Component 1.**  Framework for local-level climate adaptation strengthened | | | | | | |
| **Sub-component 1.1.** Strengthened LAPA development process implemented | | |  | **Sub-component 1.2.** Enhanced climate adaptation knowledge disseminated | | |
| **Output 1.1.1.**  Participating Ministries and districts are climate informed | | |  | **Output 1.2.2.** Climate adaptation knowledge managed and disseminated |  | **Output 1.2.1.**  Building the evidence base for adaptation |
| **CCA-GESI screening** è  Ministries, districts, policies  and programmes | | **Institutional Capacity Building**  Ministries, districts, service centres, VDCs and communities |  | CCA Toolbox | ç è |  |
|  |  | CCA Research Fund |
|  | GIS-MIS. Tablet M&E. | Studies and workshops |
|  | Project Publications |  |
|  | Knowledge sharing | *Adaptation Research Programme* |
| ê |  | ê | í | ê |  |  |
| **Output 1.1.2.** Planning holistically |  | **Output 1.1.3.** Participatory LAPA Preparation |  | **Component 2.** Climate resilience of vulnerable smallholder farmers improved | | |
| **PSD - Climate forecasting** | è | **Social mobilisation  LAPA group mgmt LF selection and training** | è | **Sub-component 2.1.  Community Infrastructure and Land Management** | Grant selection and monitoring Technical support to grant activities Vocational training and youth involvement | |
| **GIS Sub-watershed based approach** | ê  **LAPA preparation** | **Sub-component 2.2.  Smallholder Production** |
|  | | |  |  |  |  |

Component 1.  Framework for local-level climate adaptation strengthened

The first component focuses on building capacity of the participating institutions for inclusive, scalable, CC adaptation within the most climate vulnerable communities in Nepal, in addition to the preparation of LAPAs. Further, through the Phase 1 piloting of tools for landscape-based climate adaptation and participatory scenario development (PSD), the Project aims to better address the multi-dimensional risks associated with climate vulnerability and provide a set of reliable tools for mainstreaming this approach across the NAPA/LAPA process during Phase 2 (PY4-6).

**Objective:**

A scalable climate change adaptation framework for the agriculture sector supported by participating institutions, districts and communities.

|  |  |
| --- | --- |
| **Outcomes and Outputs** | **Key Performance Indicators** |
| **Subcomponent 1.1 Strengthened LAPA development process implemented** | |
| **Output 1.1.1 Participating Ministries and districts are climate informed** | Institutional gaps and challenges for LAPA implementation identified and recommendation developed to address them |
| MoFSC, MoAD and MoLD staff in 6 districts trained on LAPA development and implementation |
| **Output 1.1.2 Planning holistically** | LAPA development methodology improved and applied by at least 6 districts. |
| GIS based system established in 6 districts to enhance LAPA preparation and implementation |
| GIS-based sub-watershed management plans covering at least 10 VDCs developed |
| **Output 1.1.3 Participatory Local Adaptation Plans for Action (LAPA) prepared** | At least 100,000 beneficiary households participate in LAPA preparation (disaggregated by gender, caste and ethnicity of HH-head) |
| At least 150 LAPAs incorporated into district development plans |
| **Sub-component 1.2 Enhanced climate adaptation knowledge disseminated** | |
| **Output 1.2.1 Building the evidence base for adaptation** | At least 8 climate-resilient farming systems tested and adopted by at least 800 farmers[[8]](#footnote-8). |
| **Output 1.2.2 Climate adaptation knowledge managed and disseminated** | At least 100,000 HHs with access to knowledge of climate resilient farming practices and diversified livelihood options |

Sub-component 1.1.Strengthened LAPA development process implemented

This sub-component will include three major outputs:

1. Participating Ministries and districts are climate informed
2. Planning holistically (GIS and PSD)
3. Participatory Local Adaptation Plans for Action prepared

Output 1.1.1.Participating ministries and districts are climate informed

**Key Performance Indicator.**Institutional gaps and challenges for LAPA implementation identified and recommendations developed to addressthem.

**Key Performance Indicator.** MoFSC, MoAD and MoLD staff in 6 districts trained on LAPA development and implementation.

To facilitate improved delivery of programmes and services, including LAPA development and implementation, that reduce vulnerability and improve resilience of smallholder farmers at risk of CC impacts, the Project will conduct: a) CCA and GESI screening of participating ministries and districts; and b)Institutional capacity building of participating Ministries and Districts.

* + - 1. **CCA and GESI screening of participating ministries and districts**[[9]](#footnote-9)

The Project will conduct a climate change adaptation screening of MoFSC, MoAD, MoLD, MoFALD, MoPE and participating districts to determine the alignment of current policies, major programmes and staff capacities with national CC policies and plans of action. In addition to CCA, thescreening will also take into account concerns of gender equality and social inclusion (GESI). At the district level, in particular, staff capacities will be assessed to support climate resilient agriculture development, together with district alignment with enhanced NAPA/LAPA preparation and implementation. .

The specific objective of the assignment is to conduct a *CC adaptation screening* of MoFSC, MoAD, MoLD, MoPE, MoFALD and ASHA Project Districts (Salyan, Rukum, Rolpa, Dailekh, Kalikot and Jajarkot) to assess the current policies, staff competencies and the required capacity building needs for the effective preparation and implementation of enhanced LAPAs in a gender and socially inclusive manner.

This screening programme will be implemented by a private service provider (see Annex8for detailed Terms of Reference), under coordination of the Project CC and GESI Specialists. The outputs of this activity willinform Project initiatives to enhance the policies, programmes and staff capacities of MoFSC, MoAD, MoLD, MoFALD and MoPE to improve LAPA preparation and implementation. A detailed report on identified capacity gaps and opportunities will be produced, clearly outlining assessments on the following:

* Knowledge gaps among management and senior technical staff on the CC impacts in Nepal, and on mitigation and adaptation strategies for vulnerable smallholder farmers,with a CCA training programme designed to address the identified gaps
* MoFSC, MoAD, MoLD, MoPE and MoFALD current capacities and procedures for monitoring climate change mitigation and adaptation impacts at field level, with clear recommendations for strengthening monitoring and its feedback loop to policy formulation and strategic planning
* Action plan to enhance district capacities to apply holistic climate change mitigation and adaptation planning through participatory community driven processes
* Gaps in sector policies’ relevance to CC risks and resulting vulnerabilities, and policy contribution to CC mitigation, adaptation and resilience building, with clear recommendations developed to address the enhanced NAPA/LAPA preparation and implementation.

This activity will be carried out twice along the project period. For the first screening, the activity will focus on capacity gaps within ministries and districts, and developing action plans to guide capacity building initiatives. After the project has gained significant implementation experience, the second screening will also look into policies to better facilitate effective preparation and implementation of enhanced LAPAs in a gender and socially inclusive manner.

* + - 1. **Strengthening Ministries: Institutional capacity building of key ministry staff**

Guided by the institutional, policy and human capacity gaps and opportunities identified through the screening programme, the Project will work to build the capacity of implementing institutions, partners as well as beneficiaries on CCA and GESI related issues**[[10]](#footnote-10)**.

**A. CCA capacity building of key ministry staff.** The Project will organise a **2 day familiarization trainingprogramme** for senior MoFSC, MoLD andMoADofficials. This will be followed by a **5-day workshop**, including a day on GESI inclusion in climate adaptation planning and implementation, targeted towards agriculture, forestry and livestock technicians within the respective ministries and departments. These trainings will be coordinated by the Project CC Specialist, with support from the Project GESI Specialist.National experts, preferably with international level experience, may be contracted for support on the delivery of the training programme.This central level capacity building will be followed by a CCA and GESI Training Programme at the District, service center and VDC level. Districts and VDCs and service center will have a 5 day training.

**B. Exposure visits.** National and international exposure and learning visits will be organised focused on innovative adaptation technologies and practices, to drive policy as well as implementation.

* + - 1. **Strengthening District: Institutional capacity building of district staff**

**A. Training of Trainers Curriculum.** For capacity building at the district, VDC and ward levels, the Project will first prepare a CCA and GESITraining Curriculum that is both **interactive** and **participatory**. Aimed at training the district level participants as trainers capable enough to organise workshops at the service center and VDC level, the curriculum will build on the strengths and weaknesses identified through the screening exercise.

An expert or anNGO specialized in facilitating adult learning on CC will be contracted to prepare the Training of Trainers (ToT) Curriculum, coordinated by the Project CC Specialist and the Project GESI Specialist. A first draft of the curriculum will be prepared based on a review of existing literature. The first training workshop will then be used to test and finalise the curriculum with the key implementers at district level.

The Training Curriculum will link identified development priorities with the available methods and technologies provided by respective service providers through participatory assessment and planning. Further, the curriculum will build on their expertise, enhance their skills and knowledge on climate mitigation and adaptation measure and provide technical inputs for a better integration of CC in their respective technical or thematic areas of expertise, including agriculture, forestry, animal health, soil and water conservation.

**B. Updating of District ToT Curriculum.** The curriculum will be revised and updated to include new developments and innovations in the following years.

**C. District training-of-trainers.** The5 day district-level capacity building will be designed as atraining of trainers(ToT), thatwill include 3 days on CCA knowledge, skills, attitudes, and 2 days on CCA planning, including LAPAs, taking into account gender and social inclusion. The participants of the training will include DFCC members, AFEC members, line agency technicians[[11]](#footnote-11), district NGOs and service providers, social mobilisers, and where possible, members of on-going IFAD funded projects.

With the objective of establishing the necessary enabling environment for inclusive LAPA preparation, the training will focus on (i) enhancing the understanding of CC issues and risks and adaptation and mitigation measures; (ii) building capacity to assess climate-related vulnerability and implement a participatory LAPA process; and (iii) to enhance the effectiveness of service delivery with a view to building a strong enabling environment for vulnerable communities, groups and households to respond to CC impacts. By the end of this training programme, line agency staff and service providers will have the necessary knowledge on CC issues, the communication and planning skills required to implement participatory LAPA preparation and an action plan on the provision of CC technologies and investments through ASHA processes.

In addition, the District level trainings will lead the preparation of a curriculum for training at the VDC and Ward level, and further, the development of user-friendly extension material for community groups such as posters, flyers, and comic strips.

The training of trainers (ToT) will be implemented by the Project CC and GESI Specialists, supported by the service provider that developed the training curriculum. Based on ASHA implementation experience, the service provider will prepare an updated curriculum in PY3, for implementation in Phase 2. The Project will review the capacity building initiatives of NCCSP and MSFPin common districts to provide complementary support and to addressidentified limitations.

**D. Exposure visits.** National and international exposure and learning visits will be organised focused on innovative adaptation technologies and practices, to drive implementation performance.

**1.1.1.4. Strengthening Service Centres**

**A. CCA training for Service Centre technicians.** A separate ToT and/or annual refreshers for service centre technicians will be organised, focused on technical aspects of CCA practices and technologies, for improved extension service delivery. Where possible, this training will be organized together with the District ToTs.

**B. Exposure visits.** National exposure and learning visits will be organised focused on innovative adaptation technologies and practices, to drive service delivery at the grassroots level.

**1.1.1.5. Strengthening VDCs through AFECs**

**A. Establishment of Agriculture Forestry Environment Committee (AFEC).** An AFEC will be established in each VDC to facilitate the Project in LAPA planning and implementation. The AFEC will be a group of leading local farmers that broadly represent the social structure of the local community. It will be composed of representatives from the VDCs, commercial farmers, VAHW, seedling (forestry, horticulture) producers, households of all categories, representatives of ongoing-project farmers’ groups or cooperatives, women, and vulnerable ethnic groups. Of the farmer representatives, women will be not less than 33 percent.

**B. CCA Training for AFECs.** The Project will establish and capacitate AFECs using the curriculum and extension materials produced at the district level trainings, with the participants of the district ToTs carrying out a 5 day training at the VDC level with support of the Project. The AFECs will then support the Project by facilitating the LAPA development and implementation process at the VDC level.

Legally constituted under the Local Self Governance Act 1999, the AFECs will have several responsibilities, including the selection of service providers and coordination of performance-based contracts for LAPA implementation. This will include the contracting of lead farmers as technical advisors to LAPA beneficiary groups, and the selection of engineers, market services, VAHW, and others, for implementing LAPA prioritised interventions.

**C. Exposure visits.** National and international exposure and learning visits will be organised focused on innovative adaptation technologies and practices, to drive effective LAPA preparation and implementation.

**1.1.1.6. Strengthening Communities**

**A. Community Knowledge Centre.** A knowledge centre will be created in each VDC to house CCA and Project knowledge products and extension material, provided by the Project and elsewhere, in an accessible manner. This centre will also work as an infrastructure for holding community group meetings and events. The VDC will select a suitable community space for the centre in a participatory manner, while the Project will provide a one-time support for furniture and fixtures.

**B. Information updates for LAPA Groups.**The project will support periodical updates of information and knowledge products at the centre, including project details as well as CCA extension material.

**1.1.1.7. ASHA Technical Assistance to CCA investments**

As a prelude to longer-term support toward policy and institutional reform, the Project will immediately address the human capacity gaps through its team of technical contracted specialists. This team will include a total of 2 centre (ASHA PCU) based, 7 region (Extended Technical Unit) based and 16 district based specialists to support the ASHA PCU and district line agencies in their respective areas of expertise. The role of the Project Climate Change Specialist, will also be to reinforce CC adaptation uptake across the IFAD Nepal country portfolio.

**Table:2** ASHA Technical Team

|  |  |  |  |
| --- | --- | --- | --- |
| **SN** | **ASHA Technical Specialists** | **Duty Station** | **Number of Positions** |
| 1 | Climate Change Specialist | Kathmandu | 1 |
| 2 | FM and Procurement Specialist | Kathmandu | 1 |
| 3 | Forestry Specialist | Surkhet | 1 |
| 4 | Livestock Specialist | Surkhet | 1 |
| 5 | Agriculture Specialist | Surkhet | 1 |
| 6 | Planning and M&E Specialist | Surkhet | 1 |
| 7 | MIS Specialist | Surkhet | 1 |
| 8 | GESI Specialist | Surkhet | 1 |
| 9 | KM Specialist | Surkhet | 1 |
| 10 | Engineer | Surkhet | 1 |
| 11 | District CC Specialist | District | 4 |
| 12 | LAPA Coordinator | District | 4 |
| 13 | Land Use Planner | District | 2 |
| 14 | District GIS Specialist | District | 2 |
| 15 | District Accountant | District | 5 |

The terms of reference for the all technical specialist positions are detailed in Annex 9.

Output1.1.2. Planning holistically

**Key Performance Indicator.** LAPA development methodology improved and applied by at least 6 districts.

**Key Performance Indicator.**GIS based system established in 6 districts to enhance LAPA preparation and implementation

**Key Performance Indicator.** GIS-based sub-watershed management plans covering at least 10 VDCs developed[[12]](#footnote-12)

While a good foundation has been established under the LAPA start-up phase for facilitating local level adaptation, several opportunities have been identified for strengthening of the LAPA development process. Maintaining focus on current vulnerabilities, the inclusion of a more forward looking approach that considers the spatial and temporal variability of target areas will allow for strategic decision-making in designing adaptation solutions.

The scope of a LAPA is currently limited to the geographic and administrative boundaries of the Village Development Committee (VDC). At present, post aggregation of LAPAs at District level for inclusion into the District Development Plan (DDP), there is no mechanism for assessing the inter-LAPA dynamics that extend beyond the geographic boundaries of a VDC. As a result, the potential for building synergies at sub-watershed or landscape level are lost. More concerning is the potential for inadvertent negative influences one LAPA may have on another. In a worst case scenario efforts in building resilience in one VDC may be undermined by an adjacent or more distant VDC. Unless this gap is filled, the LAPA development process will be unable to achieve its full potential of building both community and ecological resilience to climate shocks.

In terms of considering future climate scenarios for planning, the LAPA Manual developed by MoSTE does include a scenario development tool for enabling communities to visualize plausible future climate scenarios and impacts. However, a systematic use of this tool concurrently with vulnerability and risk assessment (VRA) would further help in integrating a temporal scale that goes beyond current vulnerabilities and risks.

Therefore, to improve and enhance the LAPA development methodology, both spatially and temporally, this output will consist of two activities:

**1. Landscape based approach to LAPA preparation developed**

**2. Climate change forecasting applied**

Both activities will be first piloted in two districts in Phase I (PY1-PY3), and eventually scaled up in all target districts incorporating the lessons learnt. To the extent possible, the trainings for both subwatershed based planning and PSD will be organised together, and in conjunction with trainings under Output 1.1.1. However, separate trainings will be provided to implementing staff and stakeholders, including AFED, service centres, social mobilisers, and the LAPA service provider.

**1.1.2.1. Landscape based approach to LAPA preparation developed**

To enable a more integrated approach at the district level, ASHA will promote a sub-watershed approach through the establishment of District GIS Spatial Planning Units. These units will inform the LAPAs and VDC/DDC plans on upstream and downstream linkages between Wards and VDCs. While the potential uses of GIS are many, the District GIS Spatial Planning Units will initially focus on hydrology and soil nutrient cycling at sub-watershed level, as they constitute the main constraints to agricultural productivity in the Mid-Western Districts.

Given the pilot nature of the GIS-based landscape approach, this activity will commence initially in two districts that overlap with the NCCSP and MSFP with a view to finding cross-project synergies[[13]](#footnote-13).

**Establishment of functional District GIS Spatial Planning Units**

ASHA will capacitate the DEECC through the provision of necessary GIS equipment and human resource for establishing a fully functional GIS Spatial Planning Unit. In each District, a GIS Specialist and a land-use planner with a strong background in hydrology and knowledge of CC will be recruited as members of the Unit. The housing and utility costs will be covered by the government, while internet connectivity and other miscellaneous items will be covered by the Project.

**Pre-project GIS exercise**

Funded by IFAD, a pre-project GIS exercise will be completedto facilitate the timely establishment and operationalisation of the GIS Spatial Planning Units. This Exercise will provide the details for the GIS hardware, software and capacity needs, and will also develop a GIS database of Project areas for the GIS Unit to adopt and begin work. The key outputs of the exercise are:

1. *Targeting and Planning Enhancement*

* Develop an ASHA district and sub-watershed level GIS database including the ASHA and NCCSP target Village Development Committees (VDCs)
* Using the NCCSP and MSFP Vulnerability Ranking, delineate geographically the VDCs where IFAD on-going projects, MSFP and NCCSP work in common in the 6 ASHA districts - Jajarkot, Kalikot, Dailekh, Salyan, Rolpa and Rukum
* Demarcate all eligible VDCs in the 6 Districts designated as vulnerable, based on the NCCSP and MSFP ranking (vulnerability score 2 – 4) and coverage
* Spatially analyse the sub-watershed units in relation to environment and CC vulnerability

1. *District GIS Spatial Planning Unit Establishment*

* Assessing the existing IT infrastructure and capacity at District level, propose a plan of action for establishing the District-level and portable GIS planning units, including recommendations for hardware, software, and capacity building needs
* Propose effective practices of data management and data consistency for operationalisation

The complete consolidated results of this Exercise are expected in Early 2016.

**A. GIS Equipment.** Based on outputs of the pre-project GIS exercise, and consultation with GIS Specialists at ICIMOD, the Project will procure the required GIS hardware for establishing a functional spatial planning unit.

**B. GIS Software.** Based on recommendations of the pre-project GIS exercise, and consultation with GIS Specialists at ICIMOD, the Project will procure the required GIS software for establishing a functional spatial planning unit.

**C. Capacity Building of the GIS Unit.** A series of 3 joint 5-day trainings on GIS and integrated land-use planning, spaced over a period of 6 months. The first training will be undertaken for familiarizing the teams with the project objectives and for assigning preparatory tasks. The 2nd training will assess how each District team has coped with the preparatory exercises and to provide additional technical guidance. The first two trainings will be undertaken within a span of 3 months. The 3rd training will be based on the expressed needs of the Unit after some experience has been gained with developing the first LAPA. This training will be provided by a national expert or service provider, preferably with international level experience on landscape and sub-watershed based planning and analysis.

The detailed objectives, content and outputs of the GIS capacity building programme will be based on the recommendations of the Pre-Project GIS Exercise. While the training will be targeted towards the District GIS Specialists and the LandUse Planner within the District GIS Spatial Planning Unit, the relevant Project technical specialists will also participate, and technical District GoNstaff with working experience of GIS may also join.

During the three training sessions, the District Spatial Planning Units will be capacitated and supported for various tasks, including the preparation of sub-watershed management plans, and the management and enhancement of the ASHA GIS Database.

1. **Sub-watershed management plans.** At the District level, the GIS spatial planning unit will support the District Development Committee (DDC) with preparation of a coherent **District Development Plan** by supporting the assessment of the LAPAs from both a thematic and sub-watershed perspective. The Enhanced LAPA Manual, developed by the Project, will define in detail the objectives, outputs, and the stages of intervention for spatially enhancing the LAPA preparation framework.

Upon completion of draft LAPAs within a particular targeted sub-watershed, the Unit will spatially align and harmonise the individual LAPAs to generate synergies and to identify potential contradictions. Based on this assessment, design enhancements for the DDC and VDC plans will be proposed for building ecological resilience at the sub-watershed level and preventing maladaptation. Further, larger sub-watershed based management activities will be identified based on common needs among communities. These adaptation activities can then be integrated, where possible, within the VDC level LAPAs and, more importantly, within the overall District Development Plan**.**

In addition, the District level review will also facilitate the identification of activities that extend beyond an individual VDC, or even District. These areas for action at a sub-watershed level will be clearly documented for defining national and external investments for strengthening ecological resilience.

To enhance LAPAs, and to support the formulation of coherent VDC and DDC plans, the GIS Spatial Planning Units with support of thematic specialists will develop sub-watershed management plans that:

* Identify the location, areal extent, present status, significance and sensitivity of the existing natural environment within a sub-watershed
* Assess cumulative impacts of proposed LAPA activities on the natural environment
* Establish considerations for the management of sub-watersheds to address local and downstream uses/needs within the area, with recommendations for appropriate environmental management practices to prevent development of conflicting village development plans
* Provide technical information that will assist in the development of community adaptation plans and prevention of maladaptive activities, including the identification of suitable areas for proposed LAPA activities
* Outline key areas for monitoring

1. **ASHA GIS Database Management and Enhancement.** The GIS spatial planning units will adopt and maintain the ASHA GIS database developed under the pre-project GIS exercise. Each Unit will populate the GIS database with the necessary datasets of respective districts relating to the Project. These datasets will include features such as roads, villages, towns, markets and natural environments, with clearly indicated flood, drought and landslide prone areas. More importantly, the datasets will also include geo-referenced vulnerable households, villages, wards, and VDCs, sourced from the GIS based Project M&E System. These geo-referenced datasets will help transcend the VDC boundaries and to gain a sub-watershed level view to support a holistic planning approach. Database management protocols will be defined by the pre-project GIS exercise.The Unit will work to enhance the VDC based data and extrapolate to the lowest possible administrative unit – ward or community groups.

**D. Orientation on subwatershed planning for district staff.** The District GIS Spatial Planning Units will support the Project in introducing concepts of natural resource management at the sub-watershed level. The Units will conduct trainings in each District for the capacity building of district staff and service providers engaged in LAPA preparation on the basic principles of sub-watershed planning. In addition, trainings on the use of the portable GISkit will also be provided. As a result, the LAPA service providers will also support in GIS data collection through the use of portable GIS kits (laptop, projector, battery pack and GPS) during the LAPA development process, particularly in developing **geo-referenced profiles** of beneficiary households.

**E. GIS-LAPA integration lessons learned and guideline for scaling up**

**F. Technical assistance on GIS.** A competitive selection process will enable the identification of the most suitable service provider or expert[[14]](#footnote-14) to assist with establishing the GIS spatial planning units, capacity building, trouble-shooting and quality assurance. The project will collaborate with ICIMOD while doing such activities.

**G. Technical assistance on subwatershed planning and PSD.**Anational level land-use planning specialist, preferably with international level experienceon sub-watershed based planning and PSD (under Output 1.2.2), will be contracted for guiding the preparation of subwatershedplans and enhanced LAPAs.

The Project will coordinate with other programmes and projects adopting landscape level management, such asthe Ecosystem-Based Approaches to Adaptation, a global project being implemented by UNEP, IUCN and UNDP; the USAID funded Hariyo Ban project adopting a biodiversity corridors approach; and the ADB funded Building Climate Resilience of Watersheds in Mountain Eco-Regions project.

**1.1.2.2. Climate change forecastingand participatory scenario development**

Given the uncertainty of climate change effects on a particular locality, it is useful to envision the range of effects which may be experienced over different time-scales. People typically envision by extending their own past experiences into the future. However, with climate change, conditions may evolve in ways that have never previously been experienced in that locality. Thus it is important to consider a range of situations that may occur, based on both scientific and local information. The LAPA Local Adaptation Plan of Action manual describes a tool for envisioning climate change scenarios. The ASHA will build on this approach, The Enhanced LAPA Manual, developed by the Project, will define in detail the objectives, outputs, and the stages of intervention for enhancing the LAPA preparation framework in terms of scenario development.

As with GIS based landscape analysis, PSD will be initially piloted in two Project districts during Phase 1, before being implemented across the project in Phase 2. At least one of those districts will include the GIS pilot programme. The NGOs recruited for supporting LAPA development will be trained under ASHA for use of the PSD toolas part of the LAPA preparation process.

Under the ASHA, LAPA planning at community level will be enhanced by the application of processes for planning beyond current vulnerability, throughParticipatory Scenario Development (PSD). The objective of PSD workshop will be to create climate resilient scenarios for development of key sectors of the local rural economy, particularly smallholder agriculture. Based on plausible descriptions of how the future might develop, using current information and assumptions about future trends, PSD methodologies provide a mechanism for communities to learn about and explore future development choices and pathways and the impacts of CC and adaptation options within their specific context, to inform investment choices needed to facilitate effective adaptation.

The PSD process will involve all relevant stakeholders, women and men of different age, livelihood, ethnic or other groups, recognizing their roles and utilizing their specific knowledge and capacities and will recognize, respect and build on both local and scientific climate knowledge. The PSD workshop will encourage open discussion, employing a range of participatory workshop methods to the engagement of all participants. The process will ensure that language and literacy are not a barrier to effective communication, with the use of creative mediums such as collage.

While the detailed PSD processes[[15]](#footnote-15) will be defined by the Enhanced LAPA Manual, the key steps will include:

* **Collection and assessment of climate data.** Collection of qualitative stakeholder and quantitative scientific information on climate change projections and impacts. The climatic information will be interpreted into three probabilistic hazard scenarios, assessing risks posed by the hazards and developing impact scenarios. For this, the Project will bring together public and private research institutions, meteorological service staff, local government and technical service providers and local stakeholders to exchange and discuss climate information from local and scientific sources and generate an integrated analysis of the available knowledge.
* **Identification of key factors for local development:** Information will be gathered on the key factors of the community that impact local development and adaptation, particularly in the agriculture sector. These could include socio-economic factors such as migration, access to basic services, poverty levels, andavailable infrastructure, and environmental factors such as water resource management, agricultural practices and irrigation systems, biodiversity protection, and others.
* **Scenario development based on the key factors:** Desired visions or scenarios will be developed, for the key factors identified, along with key actions to achieve these visions. Only internally consistent combinations, where developments in one factor do not contradict developments in another, will be considered. For example, in the agriculture sector, these actions may include protection of agricultural land, use of improved variety and diversification, improved agricultural extension agencies, incentives for local markets, and others.
* **Review of scenarios under climate impacts:** Available climatic information will be interpreted at a downscaled level and major consequences of the impacts will be identified, based on past experiences and knowledge of the region.Local implications of the climate scenarios will be discussed, particularly the impact on achieving the local visions concerning food security, natural resource management and livelihoods.
* **Identification of adaptation options:**Evaluating lessons learnt from past extreme weather events and sharing experiences about the effectiveness of past responses, adaptation options will then be identified to achieve the visions, addressing the projected climate impacts such as reduction in summer precipitation, increased erosion, increasing temperatures and increased incident of wildfire and insect outbreaks. Adaptation options in the context of regional agriculture may include increased rainwater storage capacity to respond to drought, increased efficiency of irrigation techniques, increased diversity of planted crop varieties and species, including those tolerant to heat and drought, adjusted planting schedules, and others.
* **Strategy building:** Identification of short and long term actions, policies and programmes needed for facilitating the implementation of the identified development and adaptation actions, for integration into the LAPA.These may include short term actions such as programmes and policies for promoting water and energy efficient irrigation systems, and long terms actions such as revised land use policies for the protection of natural resources and agricultural land. These will particularly identify the respective implementation responsibilities of the local government, service providers and the community, with clear outlining of resource and capacity gaps.

Output 1.1.3. Participatory Local Adaptation Plans for Action prepared

**Key Performance Indicator.** At least 100,000 beneficiary households participate in LAPA preparation (disaggregated by gender, caste and ethnicity of HH-head)

**Key Performance Indicator.** At least 150 LAPAs incorporated into district development plans

The Local Adaptation Plan for Action (LAPA) framework aims to implement NAPA at the local level. Enhanced LAPA preparation, under this activity, will commence in PY2 in two Districts and 30 VDCs, and will cover **4 districts and 70 VDCs** by MTR (late 2018). Following a mid-term evaluation of the LAPA process, a decision will be made as to whether to expand the Project to additional districts, to intensify the Project in existing districts, or a combination of both. Project costs have been prepared on the assumption of expanding the Project to 6 additional districts and 100 additional VDCs.

As recommended by the first Supervision Mission for ASHA (14-21 March 2017), all LAPAs prepared under ASHA will adopt the enhanced approach as outlined under Output 1.1.2. Planning Holistically. The below table provides an overall scheduling of enhanced LAPA preparations up to the Mid Term Review. A total of 70 *enhanced* LAPAs will be prepared by end of FY 2017/18, with 30 in 2 districts in FY16/17, and 40 in 4 districts in FY 17/18.



The National Framework on LAPA aims to promote the preparation and implementation of LAPA (s), and integrate adaptation options into local and national plans. The use of this Framework will be at the core of the ASHA. The process of integrating climate adaptation and resilience into local and national planning is governed by four guiding principles which are:

* **Bottom-up** planning ensures proper consideration of the needs and resources of climate vulnerable people including knowledge, skill and practices of local communities and stakeholders in adaptation planning. Communities can also be categorised based on climate vulnerability.
* **Inclusive** planning ensures identification and integration of the needs of households and communities at the highest risk to the impacts of climate change, economically poor, deprived of public services and socially disadvantaged households and communities into development planning.
* A **responsive** LAPA ensures immediate, efficient and effective delivery of adaptation services to climate vulnerable communities and households.
* A **flexible** LAPA ensures immediate delivery of administrative, financial and institutional services to implement adaptation actions effectively

The LAPA Framework guides local to national level planning to:

1. **Identify the most climate vulnerable** Village Development Committee (VDC), , wards and communities and their adaptation challenges and opportunities, including possible activities;
2. Identify and **prioritise** adaptation actions in simple ways that local communities can decide on and prioritize their own needs;
3. Prepare and implement LAPAs and **integrate** adaptation options into local and national plans in accordance with the Local Self-Governance Act (LSGA, 1999);
4. Identify and mobilise appropriate **service delivery** agents and necessary resources for the implementation of the LAPAs;
5. Adopt and/or implement adaptation actions sequentially by the service providers in a **timely and resource efficient** manner;
6. Conduct **monitoring and evaluation** by ensuring effective implementation of the LAPA; and
7. Identify **cost-effective adaptation alternatives** for scale up and integration into local and national planning.



The steps outlined above for formulation and implementation in the LAPA Framework document should ultimately ensure integration and implementation of climate change adaptation and resilience actions into sectoral plans, programmes and projects, and ensure people, community and their resources are adaptive to climate change.

**LAPA Preparation.**The Project will, using competitively selected service providers, identify the most vulnerableVDCs in each district and support the VDCs with development of their LAPAs. In preparing theLAPAs, the Project will follow the 7-step LAPA preparation process and guidelines including:

(i) CC Sensitization; (ii) Vulnerability and Adaptation Assessment; (iii) Prioritization of Adaptation Options; (iv) Formulation of an Adaptation Plan; (v) Integration of the Adaptation Plan into the Planning Processes; (vi) Implementation of the Adaptation Plan; and (vii) ProgressAssessment.

The LAPA process will identify vulnerable households and their climate adaptation needs/demands and, building off existing IFAD project group structures where present and appropriate, assist vulnerable households to form climate adaptation groups in support of the implementation of their plans. The LAPA planning process will not exceed 5 months per districtto allow a quick start of implementation at field level.

The District LAPA preparation process will commence with a community leveltraining programme on CC awareness, trends and likely impacts and on the incorporation of GESI issues into LAPA planning and implementation. The training will cover awareness of CC and GESI issues, participatory planning, household vulnerability assessment, resource mapping and the 7-step LAPA preparation process. Geo-referencing of vulnerable households will be integrated into the LAPA preparation processes.

The LAPAservice provider will also train trainers (SPs/SMs/LFs) on group dynamics with the objective of strengthening groups, and cooperative capacity to plan and implement CC adaptation measures under the LAPA.

**Household vulnerability assessment**. The Project will assess household vulnerability on the basis of their climatic exposure, sensitivity and adaptive capacity, classifying them into highly vulnerability (V4), medium vulnerability (V3) and vulnerable (V2) groups. The rest are also vulnerable but at a low level (V1). As vulnerability level is a relative term and vulnerability classes are close toeach other, households that are in vulnerability groups V4, V3 and V2 will be classified as Climate Vulnerable. All households in this classification will be geo-referenced.

The LAPA process and the NCCSP use the ‘gateway system analysis methodology’, which is in accordance with formula described by the IPCC (2007). Within this methodology, vulnerability is assumed to emerge as a consequence of (i) the extent to which systems are exposed to climate change; (ii) the extent to which systems are sensitive to this exposure; (iii) the capacity of systems to adapt to exposure and sensitivity (IPCC, 2007).Systems are understood as providing a ‘gateway’ to those services that enable households and communities to adapt to the impacts of climate change. Focusing on systems provides an effective unit for analysing vulnerability as they mediate adaptive capacity. Systems are categorised as Core Systems (e.g. water & land); Secondary Systems (e.g. transport and infrastructure); and Tertiary Systems (e.g. markets and social networks).

The LAPA process will focus on the existence, quality and accessibility of systems. The ‘quality’of the system is the extent to which Core, Secondary and Tertiary systems are exposed to changes in climate, their sensitivity to this change, and their ability to adapt to this change. System quality influences the ability of households and communities to effectively switch livelihood strategies in times of climatic stress. ‘Access’ to the services that these systems provide is equally important in building household and community level resilience to climate change. For instance, tertiary systems like banks provide households with insurance services that help reduce risks borne by small-scale farmers during extreme weather events. Similarly, access to timely and accurate climate information allows households to adopt innovative, robust strategies and access to resilient transport systems (a secondary system) enables mobility and livelihood diversification opportunities.

The NCCSP, as part of its baseline survey (NCCSP 2012), has already conducted a vulnerability assessment in its respective project VDCs of the mid-west, which has identified several priority indicators under the Core System, Secondary System and Tertiary System following the gateway system analysis methodology. Similarly, a selection of the most common indicators for human impacts of hazards was used to prepare a Sensitivity Index. The NCCSP sample survey data was thereafter used to assess Adaptive Capacity, Exposure Index, and Sensitivity Index. Based on these indicators, the Vulnerability Index of each household was categorised into 4 vulnerability categories: V1 = Low vulnerability, V2=Medium vulnerability, V3=High vulnerability and V4=Very high vulnerability.

Considering the complementarity in objective and district coverage of the ASHA and the NCCSP, as well as the objective to support the LAPA development at VDC level, the ASHA will also use the gateway system analysis methodology’ for the vulnerability assessments in the ASHA VDCs and the LAPA development. ASHA will assess if further indicators would be required for the each of the system levels to ensure the specific ‘climate adapted agricultural systems’ ASHA will promote are adequately reflected in the vulnerability methodology.

**Inter-project Coordination.** In preparing LAPAs, the recruited service providers will, where applicable, draw on the knowledge, group dynamics and technologies developed under parallel IFAD and other donor funded projects in the districts, recognizing, however, that the key criteria of CC vulnerability may target a wider stakeholder group then existing poverty-targeted projects. In the process of LAPA preparation, existing IFAD project Community Investment Plans (CIP, under WUPAP) and Livelihoods Improvement Plans (LIP, under LFLP) will be enhanced to include CC concerns, thereby leveraging LAPA-based Project investments in vulnerability reduction and resilience enhancement.

**Facilitation through AFECs.** To facilitate LAPA planning and implementation, the Project will establish and capacitate Agriculture, Forest and Environment Committee (AFEC) at VDC level. The Local Self Governance Act and the Local Self Governance Regulations of 1999 permit the establishment of 5 committees at the VDC level, one of which is the AFEC. It is envisaged that once established and the committee members trained, the AFEC will be responsible for the development of the agriculture sector in the VDC and the operational management of the Lead Farmer extension approach under the ASHA.

The specific responsibilities of the AFEC will initially include:

* tapping resources for funding the LAPA approach and the overall agricultural development of the VDC – through the Block Grant system, and from donors and projects active locally
* conducting awareness campaigns on the LAPA approach and development plans
* collecting, assessing, evaluating and approving the farmer group proposals for LF support
* identifying and mobilizing the LFs with the appropriate required skills and experience.

Depending on their success, and in alignment with DDC policy, the Project could explore expanding the role of the AFECs, as defined by the LSGA, to include:

* endorsing and/or amending the existing by-laws and fund operating guidelines for effective and efficient use of the agriculture development funds;
* establishing the agricultural priorities of the VDC and developing annual plans;
* submitting the by-laws, local agricultural plans and budgets, and progress reports to theVDC Council, and obtaining endorsement.

Ward Citizen Forums will also be trained and engaged in LAPA preparation. At the district level, LAPA planning, budgeting and implementation will be supported by the DPCU officers and specialists.

**GESI Integration.**Once the LAPA process at community level has been completed, a workshop will be held to identify the gaps between the current situation and the expected development results and opportunities for GESI integration into LAPA implementation. This will be part of ongoing capacity building for implementers. The Participants will develop: (i) Project and (ii) beneficiary group level action plans for GESI integration that is to be implemented and tracked annually. The participants of this workshop will be: key project staff and partners from the PCU and DPCU, DDC, District Line Departments, NGOs, SPs. By the end of this workshop, they will have the knowledge to integrate GESI indicators in their annual plan. Consequently, the DPCU will hold one day meetings with the AFECs to familiarize them with the GESI principles and inform them of the outcome of the aforementioned workshop.

**LAPA Approval and Budgeting.**Prepared LAPAs, including estimated implementation costs, will be submitted by VDC Council to DDCs for evaluation and budget inclusion. At DDC level the LAPA will be submitted to DEECC (extended[[16]](#footnote-16)) for technical evaluation. Following technical evaluation, the DEECC will be responsible for final LAPA recommendation to the DDC for approval and inclusion as an “earmarked special programme” in the district AWPB. In a parallel exercise, the DPCU will collaborate with line technical departments to determine technical support requirements and costs for LAPA implementation for inclusion in the district ASHA AWPB for submission to the PCU.

**LAPA Framework Enhancement.** While LAPA planning will initially be based on individual VDCs, during Phase 1, the Project will develop a more holistic climate resilience planning process including landscape based approaches and participatory scenario development, that will be mainstreamed during Phase 2 (please see Output 1.1.2 for details).

The key actors and their roles in delivering LAPAs are suggested in thetable below:

**Table 3**: Key actors and their roles

| **SN** | **Entity (who)** | **Role (what)** | **Where** | **How** |
| --- | --- | --- | --- | --- |
| 1 | DDC | 1. Integrate LAPAs into DDC planning framework | DDC and VDCs |  |
| 2 | DFCC | 1. Monitor and facilitate the development and implementation of the LAPAs | DDC and VDCs | Periodic discussion with the DPCU, local stakeholders and the Service Providers |
| 3 | DFCC/ AFEC | 1. Help DDC/DEECC in taking policy decisions. 2. Help integrate LAPAs into DDC planning. 3. Monitoring. | DDC and VDCs | Meetings, field visits, etc. |
| 4 | DPCU | 1. Technical support to line agencies and SPs 2. Monitoring and supervision |  | 1. 14 step planning process. 2. Meetings, field visits, etc |
| 5 | District level line agencies | Coordination and the implementation of the LAPA activities directly in the respective technical or thematic areas of expertise (such as agriculture, forestry, animal health, etc.)  *A detailed work plan for the respective agency will be provided with specific references to LAPA activities in the respective VDCs.* | VDCs | Direct implementation based on a defined agreement between ASHA DPCU, VDC, DDC and respective agency, as appropriate |
| 6 | Service Providers  (NGOs/SPs, AFECs, LFs, etc.) | Implementation of the LAPA activities as contracted  *A detailed work plan for the respective agency will be provided with specific references to LAPA activities in the respective VDCs.* | VDCs | As assigned, through competitive processes as defined by the procurement plan |
| 7 | PCU | 1. Manage contracts with the service providers for LAPA preparation and implementation. 2. Technical and administrative backstopping to DPCU. | HQ and District | 1. Competitive bidding.   Capacity building, meetings, field visits, etc. |

Sub-component 1.2. Enhanced climate adaptation knowledge disseminated

This subcomponent will include two knowledge management (KM) activities:

1. Building an evidence base for adaptation
2. Knowledge management and dissemination.

This sub-component will be strongly linked to the Nepal national programme on CC adaptation, both to promote the results of the Project as well as to receive technical solutions applicable to ASHA.

Output1.2.1. Building the Evidence Base for Adaptation

**Key Performance Indicator.** At least 8 climate-resilient farming systems tested[[17]](#footnote-17) and adopted by at least 800 farmers.

To build the evidence base for scaling up innovative and effective adaptation practices,the Project will design and implement theASHA Adaptation Research Programme.

Under this programme, climate adaptation technologies and approaches will be tested and evaluated for scaling up. A core set of adaptation innovations, including **endogenous** adaptation responses already being practiced by smallholder farmers, as well as **new** resilience building technologies will be field tested.This may include field testing drought and heat tolerant seed varieties, forage incorporation into farming, forestry and land stabilization systems, soil degradation and organic matter inclusion, portable biogas units, and various other farming and forestry models.The environmental as well as economic benefits of such climate smart farming systems will also be assessed.

**Research Requirements. At least 8 climate resilient farming systems** will be tested involving at least 800 farmers, and will make use of Participatory Action Research (PAR) and applied research methods. As a component of PAR, the impact on labour and other inputs for men and women will be assessed to ensure that the **burden on women** is equitable. Further, the technologies and innovations will be tested along an **altitude gradient** for building a knowledge base on livelihood activities with potential at specific agro-ecological zones.

To facilitate AdaptationResearch Programme, the Project will: (i) plan a climate-smart research programme across an altitudinal gradient, and (ii) establish an end-user reference group of smallholder farmers to identify adaptive needs and evaluate adaptive technologies for feedback.

**ASHA Competitive Fund for Adaptation Research.**The Project will contract technically competent research institutionsto execute PAR/applied research programme on climate resilient farming systems in collaboration with smallholder groups identified through LAPA preparation. In partnership with other adaptation programmes, national andinternational,the research institute will alsomonitor, evaluate and promote appropriate endogenous adaptation responses, and test and promote resilience building measures and the end user reference group. Training in PAR methodologies and practices will be provided for scientists and to the national and district level MoFSC, MoLD and DoAD staff. Government organizations, including NARC and TU, will be prioritized for the fund, given they are technically capable to achieve the research objectives.

**Outputs.**The outputs of the research will feed into the regular revision and updating of the CCA Toolbox, development of extension material for use during LAPA preparation and implementation, and technical training on adaptation practices for extension service providers and lead farmers. Further,the knowledge products developed through the research programme, including studies and lessons learnt,peer-reviewed research papers and journal articles,will be shared at various national and international level climate change adaptation discussion forums and workshops.As recommended by the first Supervision Mission, a Service Provider will be recruited to put together the framework, guideline and process for developing the Participatory Research Agenda (PAR), and for accompanying the process until the agenda is approved. In addition, to ensure that adequate time is provided for undertaking research on agroecological systems (permaculture) along an altitudinal gradient, a call for proposals for technical assistance will be issued for this research priority so that on-the-ground action is commencedimmediately.

Output1.2.2. Climate adaptation knowledge managed and disseminated

**Key Performance Indicator.** At least 100,000 HHs with access to knowledge of climate resilient farming practices and diversified livelihood options

The effective management and dissemination of knowledge and information will be necessary both for generating adaptive capacity at community and institutional levels, and to build a bridge between adaptation research, on the ground investments, the integration of CC concerns into planning and budgetary processes, and for policy discussion.Project activities will includeGIS M&E, CCA Toolbox, ToT for Lead Farmers, participation adaptation discussion forums, and others discussed below.

**A. Data collection and Knowledge Development**

**Farmer-friendly CCA Toolbox**. The Project will collate the considerable amount of already available technical information on adaptation to CC in Nepal and establish technical libraries at the PCU and DPCU levels. This information will be analysed and adapted for the development of a simple and farmer-friendly technical “CCA Toolbox.” The Toolbox will make use of visuals and images more than text, with clear illustrations of good practices and guidelines for use by district staff and LFs for community level training and information[[18]](#footnote-18). The Toolbox will be regularly revised and updated based onlessons learnt, best practices and cases of success identified through the Project M&E System, the ASHA Adaptation Research Programme, and information collated through parallel CC investment programmes and climate adaptation networks such as CCNN.

**GIS-based M&E.**Directly linked to Output 1.1.2 District GIS Spatial Planning Unit, the Project will support the establishment of a Project GIS system to be usedas a planning tool and to monitor Project outputs, outcomes and impacts. Equipment and supportingsoftware will be provided at district level as part of Output 1.1.2.Technical members of the team, especially the specialists on planning, M&E, knowledge management, in addition to GIS and land use, will be trained on best practices of managing GISdatabases, andthe use of Project M&E data forspatialanalysis to facilitate effective project management (see Output 1.1.2 for more details). ThisGIS System will be linked to the overall Project M&E and the project indicators will becaptured and reflected in the geo-referenced database. Further, the project willestablish GIS systems and databases within both MoFSC, MoLD and MoAD, which will be connected to the overall ASHA GIS Database to promote GIS use for monitoring as well as planning at the ministry level.

Tablets will be provided to LFs, SMs, SC technicians, DPCOs, PM&E Specialist for M&E. The project will adapt/use existing templates for data recording/management such as AKVO FLOW and Development Check, tools to evaluate development aid initiatives and make informed investment decisions based on accurate, current data. Through the tablet, this basic geo-referenced M&E data of project activities will automatically be uploaded onto the internet, including maps.

**Documentation.**The Project will systematically document best practices and cases of success for sharing with all relevant end-users, within the Project and beyond. The M&E and KM officers will collect all available relevant information to document lessons learnt,including information from: progress reports, meetings and interviews, monitoring and evaluation reports, outputs evidence provided by targeted groups, market and value chain entities and other involved parties. A Project KM and Learning Strategy will be developed by the Project, closely linked to the Project M&E System.

**B. Knowledge Dissemination**

Knowledge sharing is a continuous process and an integral part of the project managementwork.The Project will implement a dynamic programme for information sharing, involving stakeholders at all levels of the Project:

1. **Knowledge sharing through Seminar/Workshop** Knowledge products developed by the project will be shared through organization of seminar, workshop and participation in the national and international events.
2. **Study tours for key ministry and district staff.** International and national,intra- and inter-district study tours,field visits, discussion and workshops for project and line ministry staff, AFECmembers and LFs will be organised to promote CC initiatives (see Output 1.1.1)
3. **IFAD Nepal Portfolio.** The on-going and future IFAD projects in Nepal are to adopt climate-smart planning and monitoring in their activities. To facilitate this process, the National CC Specialist will act as a technical advisor to update and audit investment plans in the IFAD Country Project to be climate-smart, as well as to advise and monitor CC adaptation, maladaptation and mitigation issues throughout the entire portfolio.
4. **District training of trainers.**Through the ASHA training programme, line agency staff and service providers at the district level will have the necessary knowledge on CC issues, the communication and planning skills required to implement participatory LAPA preparation and an action plan on the provision of CC technologies and investments (see Output 1.1.1).
5. **LF Training of trainers.**The Project will establishand train AFEC groups for the replication and scaling up of successful technologies andapproaches for pro-poor, CC-adapted systems(see Output 1.1.3). Lead farmers from within this group will be trained and contracted by the Project to provide extension support to smallholders on the use of adaptation technologies and systems (see Component 2).
6. **Local resource persons.**Field level monitoring will be conducted by contracted social mobilisers (SMs) and lead farmers (LFs) for follow up and continuous support to target groups. They will receive training on IT data collection and dissemination – electronic tablets will be provided for data entry to feed into the M&E system, as well as for information and knowledge sharing(extension material). Mobile phone technology will be explored for creative application in knowledge dissemination.
7. **Community Farmer-Farmer KM** will focus at the community level through regular meetings with AFECSs, LFs, SP and SM as a group platform discussions. The Project will create various discussion platforms and tools and activities will include, field visit, learning route (1/year), peer-to-peer monitoring review/learning.
8. **Project LessonsLearnt Report.** The PCU will prepare a series of reports that capture and manage theASHA development experience. Based on the information collectedalong project implementation, the KM Specialist will develop both a **mid-term** and an **end ofproject** Lessons Learnt Report, analysing the documented lessons learnt, best practicesand cases. It will be submitted to IFAD for feedback and, once feedback has been received (within a week), ifany, the report will be **shared widely**.
9. **Adaptation discussion forums**. The collation and dissemination of results through farmer-to-farmer extension, learning events, field visits and study tours and presentations of results at national CC forums and international **conferences** and events, and the **reporting** of lessons learned – both positive and negative. The costs for presentations of results at national and regional conferences and events will be borne by the Project.

Component 2. Climate resilience of vulnerable smallholder farmers improved

Guided by the participatory LAPAs prepared, the Project will implement LAPA highlighted activities eligible for IFAD and ASAP investment, to build climate resilience of smallholders at both household and community levels.The component will largely focus on financing public good climate adaptation/mitigation infrastructure and household adaptation/mitigation needs, identified by communities and district authorities through the LAPA. Further, the component will adopt a more gender sensitive approach in agriculture extension and natural resource management, especially to address impacts of feminization of agriculture in rural Nepal. A Small Grants Manual, developed as part of the Project Implementation Manual (PIM), will provide a detailed guideline for the implementation of this component, especially on inter-LAPA investments, allocation of funds for infrastructure construction supervision, and for operation and maintenance (O&M).

Considering the delay in start-up of the project, existing LAPAs developed under the NCCSP or MSFP initiatives will be financed in the non-pilot Districts of ASHA. As recommended during the first supervision mission, a total of 55 LAPAs will be supported in Rukum and Kalikot. The existing LAPAs will be selected for investment based on their vulnerability ranking, location within demarcated sub-watersheds and areas with the presense of other IFAD funded projects (particularly acknowledgingWUPAP developed Community Investment Plans and LFLP Livelihood Investment Plans).

**Objective:**

Climate informed and gender-sensitive natural resource management and climate smart agricultural and forestry practices and technologies implemented.

|  |  |
| --- | --- |
| **Sub-components** | **Key Performance Indicators** |
| **Sub-component 2.1 Climate adapted community infrastructure and land management operational** | * At least 150 VDCs prioritize and implement LAPA investment * At least 150 VDCs mobilise at least 20% co- or parallel financing for implementation of LAPA priorities[[19]](#footnote-19) * 100,000 beneficiary households adopting at least one climate resilient agriculture practice * At least 40,000 ha of land managed under climate-resilient land management practices (such as terracing, slope stabilisation, land rehabilitation, reforestation) * At least 25,000 households adopting livestock stall-feeding with adapted forage and fodder trees * At least 22,000 households apply efficient water use techniques and methods, including ponds, drip or sprinkle systems * At least 7,500 households adopt at least one new renewable energy technologies for domestic purposes * At least 400 lead farmers are providing quality services to farmer groups (disaggregated by gender, caste and ethnicity of HH-head) * A profitability analysis is undertaken to determine the IRR of LAPA investments in a representative sample |
| **Sub-component 2.2 Smallholder climate adapted production profitable** |

Sub-component 2.1. Climate resilient community infrastructure and land management activities operational

Climate adaptation infrastructure investment grants will be made available to beneficiary communities for the construction of prioritised infrastructure considered to provide public benefit. The infrastructure investment schemes and land management activities will be identified and prioritized during the LAPA process, and verified by the district line agencies with engineering support where required. Spatial analysis of LAPAs and sub-watershed management plans will further support this process by outlining priorities in target areas[[20]](#footnote-20), as well as identifying opportunities for cross-LAPA interventions[[21]](#footnote-21). The Enhanced LAPA Manual will complement the Small Grants Manual in detailing outputs and activities under this sub-component.

**Potential Infrastructure.** Infrastructure for Project investment may include potable water supply; marketing infrastructure for new climate adapted products; soil and water conservation including spring protection, watershed protection, eco-system services, slope stabilisation, flood control; water-efficient irrigation; renewable energy supply, limited maintenance of village access roads to withstands minor landslips, and others.

**Infrastructure financing**. Of a total financial envelope of NPR 6.4 million (USD 65,000) per VDC/LAPA, ASHA will finance up to 80% of community infrastructure costs while 20% will be beneficiary co-financing through in-kind contributions. Where sub-watershed/catchment/landscape approaches require higher levels of cross-LAPA investment, or where specialised installation is required (e.g. high lift pumping or community based solar power station) community investment fund allocation could be increased by up to 250% (USD 150,000).

In the event that ASHA funding is insufficient for high priority public good investments, the Project will explore the incorporation of VDC block grant, Poverty Alleviation Fund (PAF), or financing from other sources to bridge the funding gap. Individual public infrastructure investments will not exceed USD 50,000 without prior agreement with IFAD. An amount of 6% of the value of any climate adapted community infrastructure sub-project will be paid for the provision of supporting engineering services to design the structure and supervise its construction. The DPCU will maintain a register of local, qualified civil engineers able and available for such work. SPs and AFECs will assist local communities to identify a suitable engineer. .

**Infrastructure Operation and Maintenance.** VDCs will be the owners of community infrastructure projects, with the AFECs in benefitting communities taking responsibility for managing the implementation of the public investment. Beneficiary communities will be required to demonstrate an ability to support associated long-term operation and maintenance costs.

**Vocational Training for Infrastructure.**The Project will, where practical, use force account processes for community infrastructure investments, designed to create jobs for the vocational trainees and promote community ownership in the operation and maintenance. Wherever possible, local labour, particularly youth, will be used for works construction, supported by vocational training when required. The community-based climate adaptation public infrastructure programme will be supported by youth-targeted vocational training in skills that could be quickly applied through the community infrastructure programme. Early vocational training could focus on such skills as concreting, carpentry, plumbing, brick laying, road levelling and surfacing, pond construction, irrigation levelling and public infrastructure maintenance. Women’s and ethnic people’s participation in youth vocational training will be strongly promoted.

Sub-component 2.2. Smallholder climate adapted production profitable

This sub-component will involve investment by vulnerable household groups in climate adapted practices and technologies that significantly increase household income.The substantial costs that may be involved in shifting to climate adapted production practices, including procurement of new infrastructure and delayed yields, may constrain investment in improved resilience by vulnerable households. Therefore, to support and accelerate this investment process, ASHA will provide co-financing for CC adaptation.

**Potential Investments.** Forestry, agriculture and livestock production, resource management systems adapted to CC impacts; labour efficient farm equipment; on-farm renewable energy technologies, and collective marketing, particularly for new climate adapted products.

**Financing.** Based on detailed project proposals by vulnerable farmer groups identified through the LAPA, ASHA will provide co-financing that will cover up to 70% of the financing envelope of NPR 5.4 million (USD 55,000) per LAPA, which includes beneficiary co-financing of 30% through in-kind contributions. The maximum co-financing will be USD 1,200 per group (including co-financing). Grant applications under the LAPA, and the subsequent co-financed contracts, must clearly define each member’s share of the ASHA grant. SPs will be recruited at District level to support farmer investment in climate adapted technology, and will work under the guidance of AFECs at VDC level. The Small Grants Manual will provide a detailed fund flow and management guideline.

**Group eligibility.**To be eligible for ASHA co-financing, the members of a vulnerable farmer group, each of at least 6-8 households, must (i) be classified as vulnerable households (V4, V3, V2 levels); (ii) include at least 50% female members; and (iii) include wherever possible at least 50% Janajatis, Dalits or other minority groups. All supported sub-projects must demonstrate sustainability beyond the initial ASHA assistance. In particular co-financing must be closely linked to reduced household vulnerability and improved resilience.

**Technical support procurement.**Beneficiaries will receive technical support from the ASHA technical staff at technical centres and be able to use up to 30% of the grant to purchase: (i) private technical support through performance-based contracts with trained lead farmers, village animal health workers, or civil society support organisations in the district; (ii) numeracy or literacy training through local education providers; (iii) livestock insurance; or (iv) market services. Such performance-based contracts, to be coordinated by the AFECs, will be between the beneficiary group and the service provider. All co-financed groups will receive training in basic farm financial management.

**Trained LFs for agriculture extension support.**Lead farmers will be identified and mobilized by the AFEC to coach and train the farmer groups. As discussed under Output 1.1.3, LFs will be trained and coached by the Project’s SP at district level available to provide services in the establishment of improved climate-adapted technology. Only those farmers who are involved in farming, have experience of increasing profits and improving their own livelihoods through agriculture, are eligible for become LFs. These LFs will deliver demand-based services to ASHA farmers groups, in response to a proposal submitted by the farmer groups to the AFEC[[22]](#footnote-22). On approval of the proposal by the AFEC, the farmer group will use a proportion of their climate adaptation grant to pay for the training and coaching services received from the LF through a performance-based contract (Annex 10). The Project will support LFs to take the Level 1 and Level 2 tests of the National Skills Testing Board (NSTB) in order to be registered nationally.

Component 3: ProjectManagement and Coordination

3.1. Implementation Arrangements

The Ministry of Forests and Soil Conservation (MoFSC) is the lead implementing agency of the Project. MoFSC has the overall responsibility of project implementation including timely monitoring and supervision, reporting and audit. MoFSC is also responsible for the coordination with all central level agencies, government, private sector and civil societies.

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**Project Steering Committee (PSC)**. The PSC, as the apex body, provides overall implementation directives and policy guidance to the Project. It supervises all the activities implemented and provides strategic directions. PSC will meet at least twice a year,while additional meetingsmay be organized as required. The PSC meeting will be chaired by the Secretary of MoFSC, and the Project Coordinator will act as the Member Secretary. During absence, the Chairperson may delegate his/her power to another person from within the MoFSC. The following is the composition of the PSC:

1. Secretary, Ministry of Forests and Soil Conservation Chairperson
2. Joint Secretary, Foreign Aid Coordination Division MoFSC Member
3. Joint Secretary, IECCD, Ministry of Finance Member
4. Joint Secretary, Ministry of Federal Affairs and Local Development Member
5. Joint Secretary, Ministry of Population and Environment Member
6. Director General, Department of Forests Member
7. Director General, Dept. of Soil Conservation and Watershed Mgmt Member
8. Director General, Department of Agriculture Member
9. Director General, Department of Livestock Services Member
10. Regional Director, Mid-western Regional Forest Directorate Member
11. Two District Forest Officers (rotating annually) Member
12. Representative, Fed. of Nepal Chamber of Commerce and Industry Member
13. Representative, NGO Federation of Nepal Member
14. Representative, Civil Society Organization (working in project districts) Member
15. Two representatives of Forest/Agriculture based enterprise or NGO Member

(working in project district)

1. Project Coordinator Member Secretary

The PSC will ensure that project activities are carried out in accordance to the financing agreement, Project Design Report and relevant policies of the government. The main functions of the PSC are to:

1. Review and approve the AWPB
2. Coordinate the implementation of approved AWPBs
3. Review of implementation progress and monitoring
4. Provide policy guidance to PCU and address implementation issues
5. Ensure timely reimbursement and auditing of the project expenditures
6. Ensure effective coordination and information sharing between ASHA and other Government and donor-funded projects and programmes

**Project Coordination Unit (PCU).** A PCU will be established under MoFSC in Kathmandu to assist the PSC in coordination of the participating line agencies and districts and in actual management of GoN and IFAD resources. The PCU will report directly to the PSC. The PCU will include a management team of government- deputed officers, a technical team of externally recruited experts, and support staffs hired by the PCU.

The PCU will have an extended technical unit based at Surkhet, Mid-Western Region, in order to provide efficient and effective technical back-stopping services to the District Teams in implementation and also to reduce the travel time, resources and energy.

Reporting directly to the PSC, the PCU will assume the overall responsibility for project management and coordination. It will focus on planning, coordinating, monitoring and reporting.The mandate of the PCU will be to ensure: (i) coherence of the Project approaches and strategies, and integration among Project activities in order to produce the Project outcomes, outputs and impact; (ii) coordination and synergy of the co-implementing agencies and technical service providers, and the district level agencies, and grassroots communities; (iii) contracting of suitable service providers to undertake various forms of research, studies, technical assistance and training (co-implementing agencies will mostly manage these providers) under IFAD guidelines and GoN’s Development Cooperation Policy 2014; and Procurement Act 2007 and Procurement Regulation 2007 (iv) accountable management of IFAD and Government’s resources, including preparation of the PIM, AWPBs, procurement plans, selection of technical assistance and audit service providers, establishment and operation of M&E system, and other functions of the operational and financial management of the Project; and (vi) knowledge sharing in collaboration with co-implementing agencies.

Its specific responsibilities, among others, are as following:

1. Ensure that the Project design is applied through the implementation of all activities
2. Coordinate the programming of planned activities under the Project
3. Assume the inter-project coordination with the ongoing IFAD-assisted projects
4. Prepare and consolidate AWPBs
5. Coordinate the timely and proper implementation of approved AWPBs by each of the implementing line agencies
6. Consolidate Project-related budgets, statements of expenditure and progress reports
7. Ensure timely project M&E and progress reporting
8. Prepare withdrawal applications
9. Ensure the undertaking of the annual auditing of the Project
10. Other mandates and tasks that the GoN and IFAD agree to assign

**PCU staffing.** The PCU will be composed of the Project Coordinator, Planning Officer, M&E Officer, Accounts Officer, Admin Assistant / Store Keeper, and Sub-accountant deputed from the Government and assisted by support staff. A technical team of nine sectoral specialists (contracted positions) will be formed, composed of a Financial Management and Procurement Specialist, a Forestry Specialist, a Livestock Specialist, an Agriculture Specialist, a Climate Change Specialist, Planning Monitoring & Evaluation Specialist, MIS Specialist, Knowledge Management Specialist, GESI Specialist and an Engineer.This team would assist the PCU and District Project Coordination Unit and line agencies on the area of their expertise. All government-deputed staff and two specialists (Climate Change Specialist and Financial Management and Procurement Specialist), will be based at PCU Kathmandu whereas the rest of the technical experts will be based at Surkhet in the extended technical unit of the PCU. An Admin Assistant /Computer Operator will support the technical team at Surkhet on administrative matters.

**District Project Coordination Committee (DPCC).** District Forest Coordination Committee (DFCC) will act as the DPCC of the project. The District Project Coordinator will assist District Forest Officer (DFO) who work as the DPCC Member-Secretary. The main roles of the committee will be (i) review the district AWPB and recommend it to the DDC, (ii) review the progress reported by the implementing agencies in the districts, and (iii) synchronize inter-agency efforts for effective implementation and problem solving.

**District Project CoordinationUnit (DPCU).** A DPCU will be established in all project districts. Where possible, the DPCU will be embedded within the respective DFO. If there is no space available for DPCU at DFO separate house will be taken on rent.Under the overall direction of the PCU, the DPCU will be responsible for coordination and monitoring the project activities implemented by the district project line agencies, NGOs and other contracted service providers. It will collect physical and financial periodic progress reports from those implementing agencies, maintain district consolidated records, prepare periodic reports and deliver them to the PCU.

The DPCU will be composed of a District Project Coordinator, Accountant (government deputed staff), District Climate Change Specialist and LAPA Coordinator.In Phase I Pilot districts, a GIS Spatial Planning Unit will be formed within the DDC, comprising of a District GIS Specialist and a District Land-use Planner.The responsibilities of the DPCU include:

1. Over-seeing the work of executing agencies and service providers and the selection of the target groups that will participate in project activities;
2. Facilitating district and lower levels’ LAPA-based participatory planning activities to determine which activities will be implemented in which communities;
3. Ensuring the smooth, timely processing of LAPAs and their annual implementation budgets through the DDC technical and administrative review processes;
4. Reviewing and recommending to the PCU the community-level implementation work plans prepared through the LAPA process, supported by the line agencies;
5. Coordinating the involvement of district technical agencies and their grassroots-level extension, NGOs, private sector players, as well as farmers’groups/cooperatives; and
6. Facilitating liaison with target communities, coordinating the collection of M&E data, and documentation of project activities.

**Agriculture Forestry Environment Committee (AFEC).** An AFEC will be established in each VDC to facilitate the Project in LAPA planning and implementation. The AFEC will be a group of leading local farmers that broadly represent the social structure of the local community. It will be composed of representatives from the VDCs, commercial farmers, VAHW, seedling (forestry, horticulture) producers, households of all categories, representatives of ongoing-project farmers’ groups or cooperatives, women, and vulnerable ethnic groups. Of the farmer representatives, women will be not less than 33 percent.The AFEC will assist in coordinating community discussion for LAPA development and subsequent LAPA investment, including the contracting of lead farmers as technical advisors to LAPA beneficiary groups.

Once training and coaching of the AFEC members has been completed the specific responsibilities of the AFEC will, initially, include:

* tapping resources for funding the LAPA approach and the overall agricultural development of the VDC – through the Block Grant system, and from donors and projects active locally
* conducting awareness campaigns on the LAPA approach and development plans
* collecting, assessing, evaluating and approving the farmer group proposals for LF support
* identifying and mobilizing the LFs with the appropriate required skills and experience.

Depending on their success, and in alignment with DDC policy, the Project could explore expanding the role of the AFECs, as defined by the LSGA, to include:

* endorsing and/or amending the existing by-laws and fund operating guidelines for effective and efficient use of the agriculture development funds;
* establishing the agricultural priorities of the VDC and developing annual plans;
* submitting the by-laws, local agricultural plans and budgets, and progress reports to theVDC Council, and obtaining endorsement.

**Community-level farmers’ organizations.** At the community level, existing farmers’ organizations in the form of groups or cooperatives will be supported to foster grassroots organization of rural women and men, through sustainable, self-governed mechanisms, established in pursuit of enhanced self-development, management, and climate adapted production and marketing.

**District Line Agencies.** District Forest Office, District Agriculture Development Office, District Livestock Service Office, District Soil Conservation Office will play a major role in coordinating and monitoring the related activities of the project implemented in the districts, facilitating harmonization of the project activities with the district development plans and providing technical support. DFO will be primarily responsible for coordinating among the line agencies and taking up district ASHA plan for endorsement through the DPCC.

**Service Providers.** Service providers, under performance based contract services**,** will be involved in various activities such as baseline survey, RIMS survey, LAPA preparation, training curriculum development, organizing training and coaching, and others as identified by the procurement plan. The service provider will work in close coordination with the PCU/DPCU.

**Recruitment of contracted positions.** Recruitment of contracted positions i.e. Financial Management and Procurement Specialist, Forestry Specialist, Livestock Specialist, Agriculture Specialist, CC Specialist, Engineer, GESI Specialist, Knowledge Management Specialist, M&E Specialist, etc. will be carried out by an external recruitment agency. The recruitment agency will follow the working procedures approved by PSC for the recruitment of specialists and other technical positions.

**Annual performance assessment.** The performance of the specialists and other technical positions will be assessed (first time - after the completion of probation period and on annual basis thereafter) by PC based on the criteria developed by PCU. IFAD Supervision and Implementation Support Missions may also assess the performance and suggest the PCU whether to renew the contracts or not. Contract will be renewed on annual basis based on satisfactory performance.

*Pilot Districts*

**GIS Spatial Planning Unit – DDC**

District GIS Specialist,

Land Use Planner

**AFEC | VDC**

Community representatives including lead farmers

3.2. Partnerships

Community Organisations and Cooperatives

ASHA will establishoperational partnerships with other climate change adaptation and resilience projects implemented by GoN, I/NGOs and bilateral agencies. ASHAwill use the Climate Change Network Nepal (CCNN) as a key platform for advancing evidence-based policy guidance and harmonisation. The Climate Change Specialist will be tasked with facilitating coordination with other donors and for leveraging supplementary funds for LAPA implementation as well.

**Government partnership.**The MoFSC has insufficient financial and human resources to improve its grassroots-level operational efficiency and its support extension at village level. With challenges increasingly emerging for forestry and land management in the context of climate changes, the MoFSC’s institutional and operational capacities should be strengthened to a level to support the sector development and especially to enable vulnerable communities to cope with climate-related uncertainties. Capacity building in the field of project management, coordination, M&E, gender mainstreaming and knowledge management will not only strengthen the operational capacities of the MoFSC’s field operational network in the participating district DFOs and their VDC level service extensions, and technical persons in the villages during the project life cycle, but also remain as part of the built institutional asset for the overall service support system in the sector development.

District level GoNimplementing agenciesincluding DFO, DADO, DLSO, DSCO, DEECC, DLDO and DDC,will be exposed to the CCoriented approaches tovulnerability reduction and agriculture and rural development introduced and implemented by the Project. VDCs will also be involved in the project implementation in the target villages, mainly through the AFECs. The VDC’s community resource person will be the focal point for coordinating the overall implementation of the project interventions and activities by the related implementing agencies.

**Non-government partners.** A range of international, national and local NGOs are working on climate issues, including UNDP projects funding LAPA’s are contracting local NGOs for implementation, and this model could be used in ASHA – where the DDC coordinate the work, with NGOs working with VDC and AFECs for LAPA planning and implementation. The Project will work closely with NGOs of proven competence and sustainability, particularly in the LAPA planning and implementation process.

**Private sector.** Private enterprises, cooperatives, farmers’ organizations and lead farmers engaged in the supply of goods and services, marketing or related fields will be contracted to support the project implementation as service providers and ensure highly technical implementation issues. This is crucial for LAPA implementation, specific infrastructures and linkages to markets.

**Academic and research organizations**. Academic and research organizations (both government and non-government) having experiences on CC adaptation will be contracted to support the project on research and studies on CC adaptation issues.

**Table4**: Potential partner for project implementation

|  |  |
| --- | --- |
| **Project Interventions** | **Potential partners** |
| Enabling environment for adaptation | DPCUs, VDCs, AFECs |
| LAPA planning and implementation | DDCs, DPCUs, AFECs, Service Providers |
| Community infrastructure and Land management | DDCs/VDCs/DFOs |
| Resilient and sustainable livestock | DLSOs |
| Resilient and sustainable crops | DADOs |
| Climate-resilient resilience | DPCUs, tech. line agencies, AFECs |
| Service support system | DPCUs, tech. line agencies, AFECs, Service Providers , LFs, private sector |

**Inter Project Coordination.** As the goal of the project is to improve resilience and reduce vulnerability of poor smallholder farmers to climate change impacts,this would scale up successful findings and approaches of ongoing IFAD funded projects in Nepal, namely LFLP,WUPAP, HVAP and KUBK, requiring significant inter-project coordination for successful implementation. The IFAD Nepal Country Project Management Team (CPMT) will lead the coordination.

3.3. Project Planning and AWPB

The Project will follow the GoN, LAPA and IFAD AWPB planning processes. The participatory preparation of LAPAs will be the principal planning process and instrument for the orientation of majority of the ASHA public financing. Consistent with the local planning processes, the LAPAs will be approved by the respective DDCs, and accounted into the VDC plans as well as the PCU and DPCU AWPBs.

In brief, the ASHA planning process will:

* Follow the current GoN rules and regulations, NPC directives and formats, directives of the leading and line ministries, and the IFAD policies and regulations (including the Project Design Document and the Financing Agreement)
* Adopt the 14-step bottom-up and participatory planning process as provisioned in Local Self Governance Act 1999.
* Use the approved LAPAs as the basis for developing the Project AWPB for implementation

**3.3.1. Local planning process and LAPA**

The local planning process under the LSGA, which has been formalized through the "Annual District Development Plan Preparation Procedures (2011)," prescribes a 14-step bottom-up and participatory planning process. The 7-step LAPA, on the other hand, results in a 5-year plan which complements and informs the following annual plans at the Ward and VDC levels.

Project interventions for building the climate resilience of vulnerable smallholder farmers will be at the household and community level. Therefore, the basis for investment planning will be derived directly from the LAPA process, which will initiate the preparation of development plans on household level climate adapted agriculture and community level adaptation enabling infrastructure. The prepared LAPAs, including estimated implementation costs, will be submitted by the VDCs to the respective DDC for evaluation and budget inclusion. The DDC and VDC will then allocate block grant funding to prioritized LAPA activities by including these in the respective DDC and VDC plans. At the same time, additional CC-and project financing will be earmarked for implementation of LAPA activities, in addition to the annual VDC block grant allocations.

A detailed Project Planning Manual will be prepared, and regularly updated, incorporating project implementation experience and new knowledge on improved planning practices and effective integration of the LAPA and GoN planning processes.In complement to the Project Planning Manual, an Enhanced LAPA Manual will also be developed which will include the Project’s experience in the integration of a spatially and temporally enhanced LAPA Framework (Output 1.1.2). Specifically, in complement to the 7-step LAPA development process prescribed by MoSTE, the ASHA planning process will include:

1. Preparation of a community plan representing HH level plans within a settlement or inter-settlement
2. Review and endorsement of the community plan by the WCF (Ward Citizen Forum)
3. Consolidation of the community plans for the development of individual LAPAs at VDC and endorsed by VDC council.
4. Forwarding of each LAPA to respective *ilakas* (an intermediary local body between VDC and DDC), and simultaneously to the concerned district coordination committee for technical review.
5. Final technical revisions made by the DEECC
6. Forwarding of the LAPAs to the DDC, including recommendation by the DEECC for approval of LAPAs by the district council, and inclusion of LAPA prioritised activities in the district AWPB as a “earmarked special programme”
7. In parallel, determination of the technical support requirements and costs for LAPA implementation by each DPCU, and service provider in collaboration with concern line agencies, for inclusion in the Project District AWPBs for submission to the PCU.
8. Revision of the LAPA as per the need of the community, or as defined by the Enhanced LAPA Manual developed by the project

**Phase 1 Piloting.** During Phase 1, ASHA will work on further strengthening the LAPA development process. In coordination with NCCSP, the Project will develop a more holistic climate resilience planning process which will include landscape based approaches and participatory scenario development for informing climate smart land management and agricultural activities. The Project will pilot two activities in two selected districts, as detailed in Output 1.1.2 Planning Holistically. In the two districts, the outputs of the activities, namely sub-watershed based planning and PSD, will be integrated into the LAPA preparation processes at various steps, as defined by the Enhanced LAPA Manual. With identified challenges, lessons and insight for improved implementation, Output 1.1.2 will be mainstreamed in all Project districts in Phase 2.These will be particularly valuable as the spatial analysis and future scenario based guidelines will significantly inform and enhance the multi-year LAPAs to further direct future VDC and DDC plans.

**Roles and Responsibilities.** The responsibility for the development of LAPAs will be given to service providers following competitive bidding processes. The PCU, DPCU, technical specialists and the service providers will ensure the LAPAs are genuinely representative and inclusive, as well as being consistent with ASHA strategies. The PCU and DPCUs officers will provide supervision to the support staff at the district and VDC levels and coordinate with the staff of the MoFALD and DDC to organize the LAPA planning process in the project target districts and VDCs. The Project will establish and train AFECs at the VDC level to facilitate the LAPA planning and implementation. The AFECs will assist in coordinating community discussions for LAPA development and subsequent LAPA investments. At the district level, LAPA planning, budgeting and implementation will be supported by the appointment of a LAPA Coordinator and District CC Specialist. In Phase 1 Pilot districts, the implementation of Output 1.1.2 will be supported by the establishment of a GIS Spatial Planning Unit within the DDC, comprising of a District GIS Specialist and a Land Use Planner.

3.3.2. Preparing the AWPB

The Annual Work Plan and Budget (AWPB) is an important management tool for planning, monitoring and reporting purposes, and a tool for orienting and coordinating the actions of diverse institutions and stakeholders of the Project. Its process should be completed through participatory exercise from the village level to avoid top-down planning. In preparing the AWPB the Project will follow a defined process to allow enough time for consultation of relevant stakeholders at all levels.

In preparing the AWPB, the Project Management should:

* Be aware of the available budget in order to prioritize identified critical investments.
* Anticipate the following project fiscal year’s budget to avoid a shortage of fund availability for the succeeding year.
* Secure and account counterpart matching funds in the AWPB.
* Use the Project Logical Framework as major reference, to create clear linkages between proposed budget requirements, planned activities, and expected outputs, outcomes and impacts (annual targets vs. achievements).
* Consider other resource documents, including the detailed project cost table, financing rules as defined in the financing agreement, annual progress and outcome reports, RIMS indicator handbook, and the Nepal COSOP.
* Utilise the Project G-MIS to guide the coordination and planning process.
* Include a detailed description of planned Project activities and an updated procurement plan, with clear definition of the fund source and categories.

A draft consolidated AWPB for each Fiscal Year will be prepared by the PCU based on district level plans and AWPBs prepared by each DPCU/service provider. In preparing the AWPB, the narrative presentation should be concise and precise, and spreadsheet tables and schemas should be used to illustrate targets, achievements, costs and financing (templates outlined in Annex3). The Project should ensure coordination between government agencies, IFAD funded projects, and externally financed projects in the ASHA target area.

An AWPB primarily consists of the following chapters, which first update the past achievements in the preceding year, then address the projections for the upcoming fiscal year:

1. Introduction, background and summary with projections for the upcoming fiscal year;
2. Summary Project description with implementation arrangements;
3. Summary of physical and financial achievement/progress (N/A for PY1AWPB);
4. Previous AWPB implementation assessment with proposed implementation focus for the upcoming year;
5. Strategic direction, activities by component and resources plan;
6. Implementation schedule, with the ordering of activities in a logical manner;
7. Implementation support needs, and summary training and technical assistance schedule;
8. Budget and financing plan;
9. Annual Procurement plan, performance and process;
10. Expected benefits and target group outreach;
11. M&E plan.

**AWPB Submission Deadline.** The PCU will submit a draft consolidated AWPB to IFAD for comments and approval by the end of March. If there is no comment of IFAD on the draft AWPB within 30 days after receipt, the AWPB shall be deemed approved. Once approved the PCU will submit the AWPB to PSC for its approval by the end of April. GoN through NPC will approve and publish it in Red Book with governments' planning mechanism. Annual stakeholder review and planning workshops will be organized for the assessment of annual project progress and for the support of the AWPB preparation process.

The PCU, DPCUs and implementing agencies will adopt the AWPBs in the form approved by GoN and IFAD. The PCU will provide approved copies thereof to IFAD, prior to the commencement of the relevant Project Year. If necessary, the PCU may propose adjustments in the AWPB with the approval of the PSC. Such adjustments will be effective upon approval by GoN and IFAD.

**Figure6:** Project planning processes

HH level plans

Settlement level plans

Ward level discussion

Endorsed by Ward Citizen Forum

VDC Council

Discussion and Endorsement

*Ilaka*

DEECC (extended) for technical input

District Council

Discussion and Approval

PCU

Compilation of AWPBs

PSC Endorsement

IFAD No Objection

=

MoFSC

Inclusion in Ministry level plan

NPC

Approval

MoF

Budget allocation

*Note : Before starting the planning process, budget allocation for each district, budgeting and planning guideline will be circulated and discussion will be conducted at center, region, district and VDC level.*

3.4. Project M&E and Reporting

The key functions of the Project M&E will be to support the management in ensuring performance-oriented critical reflection, integrating lessons to maximize impact, and presenting this impact to be accountable.[[23]](#footnote-23) For this, the ASHA M&E Framework will follow a systematic collection, analysis and reporting of information at three different levels:

1. **Output.** For the measurement of output-level indicators the Project will utilize its own activity monitoring system and GoN records and/or audits. The output level monitoring will be based on monitoring the physical and financial progress as laid out in AWPB as well as component and activity-wise technical action plans formulated by the PCU.
2. **Outcome.** This level of monitoring measures the immediate changes coming about as a result of programme interventions. Data for outcome monitoring will be collected through Annual Outcome Surveys (AOS) starting from the third year of the implementation. An AOS may also be carried out on a thematic basis in order to focus on a specific area of project intervention. Further, for Component 1 outcome indicators, the Project M&E framework will explore the use of innovative models of data collection and monitoring of HH-level satisfaction and participation. These may include mobile phone and tablet based monitoring systems, and the use of farmer’s diary as piloted by the IFAD supported HVAP. In measuring Component 2 outcome-indicators, the Project will assess if the estimated 150,000 beneficiary HHs represent the approximately 65% of households in Project VDCs belonging to vulnerability categories of V2-V4.
3. **Impact.** At this level, contribution of ASHA in achieving the overall Project goal and development objectives will be assessed, measuring changes in the livelihoods of the beneficiaries that relate to the implemented project activities. The impact evaluation will also attempt to reveal the efficiency, effectiveness, relevance, sustainability and targeting performance of project activities as well as consider replicability, lessons learned, and knowledge up-take. These evaluations will focus on the outcome and impact level indicators of the Project (RIMS 2nd level, RIMS 3rd level and ASAP indicators), and data will be collected through periodic surveys of RIMS and baselines three times for the Project: namely at beginning, mid-term and completion. Further, the project will explore available applications to estimate project impact on greenhouse gas emissions[[24]](#footnote-24).

**3.4.1. M&E Framework and Strategy**

With the output, outcome and impact level indicators aligned according to the Project components and activities, the Project will establish a comprehensive M&E Framework and Strategy to guide the Project monitoring, evaluations and reporting system. This system will be in line with the GoN requirements, IFAD COSOP, IFAD Results and Impact Management System (RIMS), the Project Logical Framework, and will be responsive to Project management needs. The ASHA M&E Framework and Strategy will include:

* **The Logical Framework**. The Project M&E framework will be designed to measure project indicators specified in the Logical Framework; to track and verify the levels of achievement of project outputs, the associated outcomes, and the success in achieving the project objective and its development goal (impact). These levels are all causally connected as set out in the project Logical Framework. The agreed measures of output/outcome/impact will form the framework for progress reporting by service providers, DPCU, and PCU to the PSC and IFAD.
* **Disaggregated HH data and indicators.** Special attention will be given to the effectiveness of targeting of the beneficiaries, with project data at HH level disaggregated by well-being, vulnerability and GESI criteria where applicable, including the gender, caste and ethnicity of the HH head.
* **Climate-smart indicators.** There is a need to mature to a common and manageable set of climate-change and climate-smart indicators for measuring intervention effectiveness, especially for assessing the profitability of adaptation technologies[[25]](#footnote-25). These will be particularly important to assess the performance of ASHA outputs related to research and the piloting of new tools and technologies (Output 1.1.2 Planning Holistically and Output 1.2.1 Building the evidence base for adaptation). The evidence based evaluation of and lessons from these project interventions will provide a strong basis for an improved scaling up of best practices and innovations.
* **RIMS.** As per IFAD’s guidelines, the ASHA PCU will prepare and report on the 3 levels of RIMS indicators, corresponding to the output, outcome and impact levels. The first level RIMS indicatorscorrespond to the project activities and outputs, derived from the logical framework, measuring the quantitative financial and physical progress. After mid-term, the Project will begin reporting on the RIMS second level indicators that correspond to project outcomes, assessing the effectiveness and sustainability of the Project interventions in a more qualitative manner. Various tools, including case studies, questionnaire surveys, focus group discussions, and others, can be used to measure and report on these outcome indicators. Finally, the third-level RIMS indicators assess the impact, measuring the combined effects of the first and second level results, and refer to the goal and objective levels of the Project log-frame.
* **SIMES.** The Project will make use of the Standard IFAD Monitoring and Evaluation Sheet (SIMES) to consolidate, store and analyse data collected from different indicators (RIMS, COSOP, Logical Framework). This standardized MS-Excel spreadsheet will be an integral part of the M&E framework, outlining activity wise cumulative physical and financial progress of the Project, and thereby, retaining the Project’s institutional memory in the event of unforeseen Human Resource changes.
* **M&E Matrix.** A Project M&E Matrix will be used to specify the Project data and information needs against each indicators, sources for data, frequency and methods of data collection, monitoring and reporting responsibilities as well as further use of and dissemination of data and information gained. M&E Matrix will also incorporate the baseline data.
* **Participatory M&E**. To a large extent, the ASHA M&E Framework will be participatory, involving the supported communities in the monitoring of Project activities. State of benefits and participation assessments at the levels of group, households and individual beneficiary will be undertaken through a grassroots recording and reporting mechanisms. This will be key in reporting on the Key Performance Indicator: 70% of beneficiary households report satisfaction with climate adaptation technical service support provided through line agencies and lead farmers.

**3.4.2. Innovations and Technologies in M&E**

The following innovations will be explored while developing the ASHA M&E Framework and Strategy in order to strengthen the technical quality of the framework, and to empower the communities by increasing their participation in the framework:

**Smart-phone and tablet based monitoring system.** The use of mobile phone and tablet in M&E will focus mainly on monitoring of output-level indicators and will be designed to encourage participation of beneficiary households, groups and cooperatives. Mobile-monitoring at HH/group/cooperative level should aim at data-accuracy, real-time reporting, recording and monitoring of the different trainings and field activities[[26]](#footnote-26).

The Project will explore existing examples and applications on a mobile phone or tablet monitoring software. Monitoring applications should align with the project landscape-approach, namely to build linkages and understanding between multiple LAPAs present in a single landscape. As the Project matures, the mobile monitoring system could be designed to send geo-referenced data to a web-database that would automatically process and aggregate the summary data for project use, including maps and statistical assessments. Examples of such systems are AKVO FLOW and Development Check, both open source tools to monitor and evaluate development aid initiatives. The project will explore adapting such technologies that are proven and already in use in Nepal.

Various Project outputs and outcomes can be measured through mobile applications. At the SM/Lead Farmer level, the measurement of output-level indicators should build on lessons learned by the IFAD Country Project in Nepal, namely HVAP. The performance of training activities (FFS, lead farmers, service provides, SMs) can also be monitored through pre and post training knowledge tests, followed by another test 6-12 months after the training to determine knowledge retention and adoption. As it will not be possible to monitor all training events at this level, random competency monitoring can be applied to training events across the project life.For facilitating M&E at various levels, the Project will provide electronic tablets to the DPCU, social mobilisers, service centres, and the AFECs.

**SMS.** While more complex mobile monitoring applications developed are based on android smart-phones and tablets, some simpler surveys and polling of information can also be conducted through basic SMS-functions.[[27]](#footnote-27) Further, in adapting the monitoring system, SMS-services should be maximized, innovated and extended further to provide farmers with valuable information on crop calendar, weather, market information, and meeting and training notifications. Taking into consideration the power and connectivity (both internet and mobile network) in Nepal, however, the feasibility of such a system should be studied within the M&E framework.

**Farmer’s Diary.** Activity diaries have helped in improving the accuracy and reliability of M&E data by having beneficiaries themselves recording data when still fresh in their minds. Piloted within HVAP, farmer’s diaries have two major objectives of: i) providing beneficiary farmers an improved understanding of their agriculture activities and business through basic record keeping on expenses and profits; and ii) improved data collection of beneficiary activities for M&E, KM, and impact assessment. However, basic literacy in reading and writing numbers remains a major challenge. Therefore, adopting the best practices within HVAP, ASHA will explore the use of Farmer’s Diary as an alternative or complementary to mobile phone and tablet based monitoring, and innovate further to address the challenges identified.

**G-MIS.** Geographical Information System based Management Information System (G-MIS) will form an integral part of the M&E framework. The Project will establish a G-MIS to provide a comprehensive system for record keeping, data collection and entry, analysis and exchange, with the main purpose of informing management decisions on project related matters and allowing quick management responses. Based on the M&E Matrix, the G-MIS will also form the basis of project progress reporting, where the quantitative measures of progress are to be supplemented with qualitative information and analysis of the project communities and proceedings. The G-MIS will be enabled through mobile phones and tablets for data entry at the field level, to support data-accuracy, real-time reporting, recording, monitoring, geo-referencing of individual HHs[[28]](#footnote-28), and to enhance the RIMS baseline, mid-term and completion surveys. Further, the project will establish GIS systems and databases within both MoFSC and MoAD, which will be connected to the overall ASHA GIS Database to promote GIS use for monitoring as well as planning at the ministry level.

**3.4.3. Impact Evaluation: Baseline, Mid-term and Completion Survey**

For measuring changes in the livelihoods of the beneficiaries that relate to the implemented project activities, and to assess the effectiveness and sustainability of project activities, the Project will conduct surveys at three phases of the project:

**Baseline Survey**. The Baseline Survey will be carried out at project start-up in line with IFAD’s Results and Impact Management System (RIMS) reporting requirements. The Baseline Survey will use the standard RIMS questionnaire form to collect key beneficiary data including household assets and base data used to establish the prevalence of child malnutrition in participating households, with a few added questions to reflect project-specific impact data particularly concerning household CC vulnerability. Relevant GESI indicators will also be incorporated.[[29]](#footnote-29) The participating households will be randomly selected from the 100 Phase 1 project VDCs. The data will be integrated and presented also in the Project GIS/MIS. The baseline survey will add a third layer to RIMS surveys in order to include households outside the project area, which noticeably would not be influenced by the project, but could be influenced by other factors. The baseline survey should be completed within 3 months with estimated cost of USD 50,000, and may be carried out by a service provider.

**Mid-Term & Completion Surveys**. The Project impact will be measured against the baseline data through mid-term and completion surveys, which will be carried out just before the MTR and towards the end of the project, timed so that that their results will be available for the MTR and PCR. These follow-on surveys will be carried out in the same manner as the Baseline Survey. Ideally they will visit the same households so that developments in the course of project participation can be measured, and household members who have left the project area as a result of finding employment elsewhere will be captured as well.

3.4.4. Progress Reporting

Regular and periodic reports will be generated by PCU, DPCU and service providers, to document achievements as well as challenges, and to habitually review the goal, objectives, status of the projects at various stages.

**Monthly, Trimester and Annual Progress Reporting**. Progress reviews provide a platform for analyzing implications of the results/outputs achieved in the previous years with respect to outcome and overall goal, and will be used to guide the AWPB process. The PCU, together with DPCU, will be responsible for the preparation of progress reports for submission to the GoN and IFAD. The PCU and DPCU will provide monthly, trimester, annual and other reports as per the guidelines and specified formats of the GoN. In addition, the Project will report on the trimester progress and consolidated annual progress, consistent with IFAD's project performance reporting system (Please see Annex5 for the annual progress report template).

**IFAD RIMS and SIMES Reporting.** To complement the Annual Progress Reports for IFAD, the Project will develop and maintain a consolidated SIMES excel spreadsheets with activity wise physical and financial progress will for submission to IFAD. The SIMES will include reporting on the RIMS, COSOP, Logical Framework indicators. The DPCUs will submit SIMES reports to the PCU, and the PCU will compile and submit the consolidated report to IFAD within one month from the end of reporting period.

**Reporting by implementing stakeholders/agencies**. To support timely reporting by the PCU and DPCUs, the service providers and implementing agencies will be required to provide their progress reports in a timely and accurate manner. Submission of progress reports to PCU/DPCU by service providers may be used as a condition for release of funds for the ensuing period.

**Table5:**Progress Reporting Deadlines

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PROGRESS REPORTING** | FIRST | | | | **|** | SECOND | | | **|** | THIRD | |  |  | **DEADLINE** |
| **J** | **A** | **S** | **O** | **N** | **D** | **J** | **F** | **M** | **A** | **M** | **J** | **J** |
| Service Provider to DPCU |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 3 days of end of trimester |
| DPCU to PCU |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 5 days of end of trimester |
| Monthly Progress |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 7 days of end of month |
| PCU Annual/Trim. to GoN |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 7 days of end of trimester |
| PCU Trimester to IFAD |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 30 days of end of trimester |
| PCU Annual to IFAD |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 60 days after end of FY |
| IFAD RIMS & SIMES |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 60 days after end of FY |
| Unaudited Financial St. |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 3 months after end of FY |
| Audited Financial St. |  |  |  |  |  |  |  |  |  |  |  |  |  | Within 6 months after end of FY |

**Roles & Responsibilities.** The overall responsibility for M&E and Reporting will be vested in the M&E Officer and PM&E Specialist in the PCU, and linked to the DPCU focal persons. However, it is important to note that all staff should be involved in monitoring the project progress in their own respective areas of expertise and responsibility. The M&E Framework and Strategy will further define M&E roles and reporting responsibilities as well as timelines for reporting for each implementing project stakeholder at each level of Project implementation (inter alia, household, community group/cooperative, SM/LF/FFS, service provider, DPCU, DDC and line-agencies, PCU, GoN, IFAD) in line with the project reporting requirements.

3.5. Knowledge Management and Learning

Knowledge management (KM) can be a valuable tool for the Project Management to drive continued evaluation of project implementation for the identification of innovations and lessons for improved performance and timely target achievement. Through M&E activities, large amount of quantitative and qualitative information is collected and analyzed. However, KM is only complete when the identified best practices and lessons are integrated into management and implementation processes.

**Knowledge Management and Learning Strategy.** The Project will develop a KM and Learning Strategy, closely linked to the Project M&E System, to facilitate the processes by which knowledge is created, shared and applied effectively for improved performance and sustainability. The Project will systematically document best practices and cases of success for sharing with all relevant end-users, within the Project and beyond. The M&E and KM Specialists will collect all relevant information to document lessons learnt, including information from: progress reports, meetings and interviews, monitoring and evaluation reports, outputs evidence provided by targeted groups, market and value chain entities and other involved parties.

Further, this strategy will apply the generated knowledge for both internal use (improvement of project performance through critical reflection, identification of problems, solutions, corrective actions and approaches) as well as external use (communication of knowledge to stakeholders and wider audience). Effective implementation of this strategy will be the responsibility of all project staff and stakeholders with facilitation by the PM&E and KM Specialists.

For effective learning and KM, the project will differentiate between two approaches:

* Action-based learning and KM that takes place within and during the project to facilitate project performance and management by immediate responses and corrective actions
* Learning and KM for informed GoN and IFAD decision making and policy dialogue

Key elements of the Project’s knowledge management and learning strategy include the following:

* Establishment of the M&E System to provide information and analysis on progress achieved against Logical framework, RIMS, and AWPB
* Routine conduct of planning, review and M&E workshops at various levels for effective capturing and consolidation of challenges and lessons learned
* Participatory M&E by beneficiary groups and representatives, including evaluation of the targeting performance and reviewing the wealth ranking
* Annual, targeted outcome assessment surveys and associated evaluation workshops
* Establishment of Communities of Practice within IFAD Nepal Portfolio and between stakeholders, and the use of existing climate networks for disseminating knowledge, including the CCNN
* Regular production and communication of knowledge products on good practices in CC adaptation, and use of other public media (TV, radio, internet) as a medium for sharing knowledge, experiences and innovative initiatives, and crowd sourcing comments
* PCUs will be responsible for sharing experiences and lessons learnt and to promote the approach publicly and through online exchange platforms (including IFAD Asia). Cooperating technical line agencies, NGOs, private sector, research institutes will be encouraged for sharing lessons learnt in the field of CC adaptation, poverty alleviation, gender mainstreaming in their nationwide network.

In addition, ASHA will participate actively in international and regional knowledge networking activities on CC adaptation, poverty alleviation, agricultural and rural development relevant to the Project, including:

* Diversified and climate-change adaptation household-level farming models,
* Development of a climate-smart technical toolbox,
* Improvement of technical service support systems in agriculture and rural development,
* Enhanced targeting approaches on poverty reduction.

**Knowledge Dissemination.**Knowledge sharing is a continuous process and an integral part of the project management work.The Project will implement a dynamic programme for information sharing, involving stakeholders at all levels of the Project (as explained in 1.2.2 B):

**3.6. Supervision and Implementation Support Missions**

**Joint Reviews and Implementation support missions:** Annual joint review missions will be undertaken to assess overall performance and progress in achieving objectives, identify gaps and provide implementation support and guidance.

**Annual Supervision.**Annual Supervision Support Missions will be jointly organized in cooperation by IFAD and GoN and other project partners. Annual follow-up outcome assessment missions will be organized jointly when and where needed. Missions will also include a consultation and review of SahaYatri regarding CC-support to other IFAD on-going projects.

**Mid Term Review (MTR):** In addition to the annual missions, a joint IFAD-GoN MTR will be undertaken in PY3. The ‘forward looking review’ will assess target group perceptions of project impacts and benefits, especially poor and vulnerable households, and the adequacy of targeting mechanisms. The Joint Review will re-visit the project logic, objectives, assumptions and risks, and suggest needed adjustments to project strategies, approaches and methods. Institutional arrangements, including for M&E and Learning, and partnership processes will be reviewed.

**Project Completion Review:** This will be carried out in Project Year 6 by an independent team and will focus on documenting achievement of component outputs and outcomes, and progression towards realisation of the Project Goal. The relevance, effectiveness, efficiency and sustainability of interventions will be reviewed, building on findings of the Joint Reviews. The issues of scaling-up, replicability and sustainability of development results will be analysed. The evaluation will distil lessons to guide future project design and implementation.

3.7. Targeting, Gender and Social Inclusion

**District Selection**

The recently published Human Development Report Nepal (May 2014) identifies addressing inequality as a major development objective for the Government of Nepal. In line with previous HD-Reports the Mid- and Far Westerns regions are singled out as the poorest, least inclusive and least developed regions in Nepal. The NAPA document of Nepal (2010) also highlights the Mid and Far Western regions as the most vulnerable to CC. Most IFAD projects have therefore in the past targeted the Mid- and Far Western regions. ASHA, building upon these IFAD projects and in line with the vulnerability mapping of the NAPA and the HD-Report will also concentrate on districts the Mid-West.

Within the Mid-Western Region the ASHA has selected six Phase 1 Project districts based on a further set of criteria:

* The most vulnerable districts, as per NAPA vulnerability category Very High and High
* Capturing a diversity of eco-zones (Mountain, Hills, Terai) and associated CC vulnerabilities, to ensure the climate smart solutions and approaches the ASHA project will cover all relevant climate vulnerabilities and can be up-scaled nation- wide
* A clustering of districts to facilitate a broader landscape and watershed approach to addressing climate vulnerabilities (upstream - downstream linkages)
* Districts covered by existing IFAD projects to build upon and leverage existing networks and to make existing investments more climate smart
* The presence of other relevant projects in the districts:
  + The leasehold forestry and livestock programme (LFLP), to build upon existing leasehold forestry groups and the successful project approach
  + The NCCSP, to ensure complementarity in terms of strengthening national systems, and to build upon already developed adaptation capacities in these districts
* A balance between achieving outreach to the most vulnerable districts, which are often more remote, and maintaining good accessibility to reduce transaction costs

Based on these criteria the following six districts have been selected in the mid-western region for phase I of the project: Jajarkot, Kalikot, Dailekh, Salyan, Rolpa and Rukum.

**Table 6:** Selected District

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Districts** | **Development Indicators** | | | **IFAD Funded Projects** | | | | | **NCCSP** |
| **NAPA** | **HDI 2011** | **HPI 2011** | **WUPAP** | **HVAP** | **LFLP** | **PAF** | **KUBK** |
| Jajarkot | VH | 0.393 | 44.2 | X | X |  | X |  | X |
| Kalikot | H | 0.374 | 45.2 | X | X |  | X |  | X |
| Dailekh | H | 0.422 | 41.4 | X | X |  | X |  | X |
| Salyan | H | 0.441 | 40.6 |  |  | X | X | X |  |
| Rolpa | M | 0.395 | 38.6 | X | X |  | X | X | X |
| Rukum | M | 0.431 | 39 | X | X |  | X | X | X |
| **Project area average** | | **0.41** | **35.00** |  |  |  |  |  |  |
| **Nepal average** | | **0.49** | **31.12** |  |  |  |  |  |  |

The impact of the Phase 1 programme will be assessed during MTR, at which time a decision will be made as to whether the expansion of the coverage of the ASHA will be best achieved through an increased number of VDCs in the existing districts, or through an expansion of the number of districts. The first option will likely be more cost-effective since it builds upon already existing networks and capacities and would not necessitate setting up an addition project ‘hub’. The selection of more districts, however, would allow for the scaling up and further testing of climate smart approaches and technology within a new setting. In the case of district expansion, district selection for Phase 2 of ASHA will be based on the same criteria as given above for Phase 1.

In addition, Phase 2 selection would give priority to districts with LFLP interventions, to further strengthen the link between ASHA and this successful programme.There are two clusters of LFLP districts which can be assessed for this purpose:

* The districts of Lamjung (VH vulnerability), Gorkha (H vulnerability), Dhading (H vulnerability) and Chitwan (H vulnerability) in the Central region
* The districts of Dolakha (VH vulnerability), Ramechhap (VH vulnerability), Okhaldhunga (H vulnerability) and Khotang (H vulnerability) along the boundary of Central and Eastern region

**VDC Selection**

A criticism on the NAPA vulnerability assessment and scoring is that it does not address pockets of high vulnerability within overall ‘less vulnerable’ districts. The Human Development Report Nepal also specifically mentions that addressing inequality is of prime importance to the development of Nepal and that the targeting of development benefits to the poorest and most vulnerable communities and households is thus of critical importance. The selection criteria of the VDCs, within the selected districts, reflect this urgent need, as well as other issues of importance concerning targeting, including:

* Most vulnerable VDCs in the district based on the vulnerability scoring v4 and if required v3 (LAPA/NCCSP methodology);
* Clustering of VDCs based on identified sub-watersheds and vulnerability ‘hotspots’, to allow for the development of a strategic sub-watershed/landscape approach to CC adaptation in the VDCs and districts;
* No municipalities, since the ASHA is dealing with agriculture and natural resource based adaptation;
* Capturing the large diversity in CC vulnerability and adaptation options within districts, based on the high diversity of geography and climate variability;
* Where feasible in terms of HH vulnerability targeting (avoiding the same households) an overlap with existing IFAD project VDCs for leveraging;
* No overlap with the VDCs selected under the NCCSP in terms of LAPA development and LAPA investment. However an overlap could be decided upon in coordination based on new adaptation demand coming from the ASHA sub-watershed/landscape approach.

It is clear that the selection of districts and VDCs is only a first step in the targeting the most vulnerable communities and households. The vulnerability assessment methodology to be applied by ASHA as part of the LAPA process, should ensure that within each VDC again the most vulnerable Wards, communities and households will be targeted.

**Target group and targeting strategy**

The Project will target category climate vulnerablehouseholds (V4, V3 - NCCSP household survey mid-western districts) estimated to be about50% of the population within target districts. Across these groups, the Project will particularly meet the specific needs of the different vulnerable groups including poor women and men, landless households, Dalits,Janajatis and other ethnic minority and socio-economically marginalized groups. Women will account for at least 33% of the direct participating beneficiaries.

It is estimated that the Project would include at least 200 VDCs and 150,000 smallholder households, and assuming a70% success rate, directly benefit at least 100,000 households and 500,000 people. Most households in selected VDCs not directly targeted by the Project would benefit indirectlythrough improved capacities, methodologies, systems and technologies adopted within theirVDC and district. A scaling up strategy will be developed for achieving this.

**Gender and targeting.** Poor women and women-headed household face significantly greater obstacles in escaping poverty. These include specific obstacles to their participation in commercial activities, including illiteracy, a general lack of farm management and technical skills, less access to factors of production and time constraints imposed by cultural anddomestic factors. The Project will implement specific measures to ensure women’s empowerment and social inclusion, through the enhancement of their assets and capabilities tofunction and to engage, influence and hold accountable the LAPA process and addressing any institutional barriers to development opportunities.

Specific action will include gender sensitisation of all participants in LAPA planning and implementation, quotas on women’sparticipation in LAPA-related groups, ensuring women’s forest, agricultural land and water userights, women’s group formation, women-targeted numeracy, literacy and farm management training and the promotion of a “household methodologies” approach, empowering women within their households through improved intra-household gender relations.

The current approaches and definitions used to define vulnerable groups are unclear and generalized which can dilute the gender and social inclusion issues. Thus to avoid the dilution of the GESI issues in project planning cycle, attention will be given to develop gender equality and social inclusion sensitive vulnerability assessment tools which are simple and user-friendly and can be used far beyond the scope of the project. On the other hand to avoid conflict in benefit sharing of resources, the Project will ensure that the mix of benefits offered and transaction costs involved do not eliminate the better off who are also vulnerable to CC.

The Project will work with both cooperatives and groups. Emphasis will be given in strengthening and working with the Project’s existing groups and cooperatives. The existing projects will select the groups based on their performance, readiness and commitment of the farmers to implement CC interventions, diversity in terms of GESI, poverty and vulnerabilities.

**GESI Integration Strategy in CCA.**The Project’s GESI Integration approach will consider Women, Disadvantaged Groups and Youths as key actors and agents of change. This approach will focuson developing their confidence by building their leadership skills to influence development decisions, make demands and mobilize resources mainly allocated state and non-state funds, technical inputs and capacity building opportunities. Equal emphasis will be given on strengthening the understanding andGESI analysis skills of organizations and service providers to ensure effective integration of GESI in the projects cycle management and be responsive towards these target groups.

Part III – Financial Management and Procurement

4.Procurement Procedures

The capacity assessment of the LPA during the project design indicates that the staffs deputed in procurement unit have limited experience on handling large volume procurement packages, especially donor funded project procurement. Majority of the current procurement activities in the LPA are small in nature and value, these procurement activities are following the GON procurement act, regulations and guidelines while processing the procurement activities and contracting.

The ASHA project will not have big value procurement packages and specialized nature of procurement activities to attract ICB; Majority of the procurement activities will be within the thresholds of NCB, national shopping (quotations), community procurement and direct procurement. Thus, the procurement of goods, works and services of this project will follow the Government of Nepal’s procurement Act, Regulations and Guidelines to that extent these are consistent with IFAD Procurement Guidelines. Any of future amendment on GON’s Procurement Act, Regulations and Guidelines will be communicated to IFAD. The Project will follow the procurement thresholds of IFAD Procurement Guidelinesas a guideline to prepare and update eighteen months procurement plan.

The responsibility of project implementation and procurement of works, goods and consulting services rest with the project authority. The PCU, and DPCUs will follow the following basic principles while processing the procurement activities (i) economy and efficiency, (ii) giving equal opportunities to all eligible bidders, (iii) encouraging the development of domestic capacity to provide goods, works and consulting services, especially community participation in infrastructures construction (iv) fairness, integrity, transparency and good governance, and (v) selecting the most appropriate method for the specific procurement.

**4.1. Procurement Methods**

The methods which are permitted for the procurement of goods and works are, (i) international competitive bidding (ICB) or open competitive bidding, (ii) limited international bidding (LIB) or restricted tendering, (iii) national competitive bidding (NCB) or limited tendering, (iv) international or national shopping or requests for quotations, (v) direct contracting or single sourcing or sole sourcing, (vi) procurement from commodity markets, (vii) work by force account, and (viii) procurement with community participation.

The methods which are permitted for the procurement of consulting services are, (i) quality and cost-based selection, (ii) quality based selection, (iii) selection under a fixed budget, (iv) selection based on consultant’ qualifications, (v) least cost selection, (vi) single-source selection, and (vii) selection of individual consultants.

The Project will follow the procurement thresholds of IFAD Procurement Guidelines as a guideline to select the appropriate procurement method and will be proposed in annual procurement plan for IFAD review and no objection.

Whenever possible, procurement of goods and works will be bulked into sizeable bid packages to attract competitive bidding process and make more cost-effective. The procurement of goods above USD 200,000, works above USD 1,000,000 and services above USD 100,000 will follow the International Competitive Bidding and will be the mandatory method in IFAD funded projects. In ASHA, it is unlikely to have such procurement packages to attract ICB.

**4.1.1.Goods and Works:**

1. National Competitive Bidding: applies to contracts valued over NPR 1,000,000
2. National Shopping: applies to contracts valued equal to and over NPR 300,000 up to and including NPR 1,000,000; and
3. Direct contracting for contracts below NPR 300,000

**4.1.1.Consultancy and Services:** Consulting service will include project management technical assistance, implementation support technical assistance for different components, conducting studies, mobilization/establishment of community groups, technical training and strengthening of community groups, and monitoring and evaluation.

1. Each contract for the selection of consultancy services, shall be selected in accordance with any one the selection method listed below:
2. Quality and Cost Based Selection (QCBS)
3. Fixed Budget Selection (FBS)
4. Least Cost Selection (LCS)
5. Selection Based on Consultants Qualification (CQS)

**4.1.2. Selection of individual consultants**: Individual consultant are selected on the basis of their qualification for the assignment of at least three candidates among those who have expressed interest in the assignment or have been approached directly by the PCU or Implementing Agencies. Individuals employed by the PCU, and the Implementing Agencies/Partners shall meet all relevant qualifications and shall be fully capable of carrying out the assignment. Capability is judged on the basis of academic background, experience and, as appropriate, knowledge of the local conditions, such as local language, culture, administrative system, and government organization.

**4.1.3. Individuals consultants or consultancy firms** may be selected on a sole-source basis with due justification in exceptional cases such as: (a) tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively; (b) assignment lasting less than six months; (c) emergency situations resulting from natural disasters; and (d) when the individual consultant is the only consultant qualified for the assignment.

**4.2 Procurement Planning**

Planning is a critical part of the procurement process to enable objectives and priorities to be set, workloads to be estimated and resources allocated. It enables the procuring entity to plan, organise, forecast and schedule its procurement activities and to identify potential areas for aggregation of needs. It is also a mandatory requirement of the IFAD procurement Guidelines to prepare a procurement plan covering first 18 months of the project followed by 12 months successive plans synchronised with the AWPB during the implementation; before the commencement of procurement and thereafter annually the Project (PCU) will furnish Procurement Plan to the PSC and the Fund for approval.

The procurement Plan must include, as a minimum:

1. A brief description of each procurement activity to be undertaken during the planning period;
2. The estimated value of each activity;
3. The method of procurement to be adopted for each activity; and
4. The method of review that IFAD will undertake for each activity.

Where national procurement plan templates exits and are agreed by IFAD for use on a project then such templates can be used. If national Procurement Plan templates are not approved by the IFAD the project will use IFAD sample procurement plan templates of Procurement Handbook.

**4.3Procurement of Vehicles and Equipment**

The vehicles, motorcycles, desktop computers, laptops, multimedia projectors, furniture, other office equipments and materials etc. will be procured through competitive bidding process. The procurement method will be proposed in respective year’s annual procurement plan considering the budget allocation of the year and estimated amount of each packages. Procurement of goods and services will be carried out by the PCU by bulking into sizeable bid packages to attract national competitive bidding, in exception of stationeries, fuel items, small maintenance works, beneficiaries training and on farm materials i.e. seeds and seedlings.

**4.4Procurement of studies, survey, and other specialized services**

A number of studies, survey and other specialized services like institutional development and delivery of specialized trainings will be implemented by contracting outside organizations. These tasks include baseline surveys, IFAD RIMS surveys, impact studies, specialized training etc. Procurement of consultants/service providers to carry out those tasks will follow the Request for Proposals (RFP) method, with either QCBS or SFB to select successful bidder. SFB (Selection under Fixed Budget) may be useful for studies, surveys and trainings where the scope and cost is well defined – and the competition is for the firm who can make the best technical proposal within the fixed amount. In some cases Single Source Selection (SSS) may also be used if the tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively, if the topic is highly specialized and there is only a single qualified bidder. Based on the nature of services/studies the PCU will select appropriate procurement method and proposed in the procurement plan for IFAD review and no objection. IFAD will make a prior review of the selection of firms to undertake this work (especially for the baseline survey and RIMS surveys).

**4.5 Recruitment of Contracted Position**

Recruitment of contracted positions i.e. Financial Management and Procurement Specialist, Forestry Specialist, Planning M&E Specialist, Livestock Specialist, Agriculture Specialist, CC Specialist, Engineer, GESI Specialist, Knowledge Management Specialist, MIS Specialist etc. will be carried out by an external recruitment agency. The selection of the recruitment agency will follow the procurement method QCBS (Quality and Cost based selection). Under this method RFP will be issued to the agencies to provide their best technical and financial proposals in separate envelopes. Evaluation of all technical proposals will be completed first. The price envelopes are then opened in public and the prices read out aloud. The agency that scored minimum marks set out to qualify in technical proposal andgets highest score combining technical and financial proposal among the rest will be selected and invited to negotiate and contract agreement.

Written exams and oral presentation of the candidates will be conducted by the contracted recruiting agency independently. The highest scoring candidates (up to 3) in each position will be invited for interview. The Joint Secretary of FACD/MOFSC will chair the interview panel and the Project Coordinator will be the member-secretary; the rest of the members will be from the Admin Division of MoFSC and individual professional expert (other than the borrower’s employees) or from university professor/lecturers. The combined (written exam, oral presentation and interview) highest scoring candidate will be selected and recommended to the PCU for appointment.

**4.6 Selecting NGO for Specialized training/support services**

Two stages procurement process will be adopted to select the National NGO. In first stage; an advertisement for EOI will be published in widely circulated national newspapers. The National NGO who have expressed interest to participate in the project and scored minimum marks set out to qualify will be short listed by the PCU. The number of short listed National NGO will be in between four to seven, the top scorer. In second stage, only the short listed National NGOs will be invited to submit the RFP, the QCBS orSFB method will be followed. The Bid evaluation committee will be constituted by the PCU with representation of independent professional experts and Financial Management and Procurement Specialist of PCU.

**4.7 Procurement of works**

The construction of milk collecting centers, goat marketing centers, agricultural collection centers, irrigation canals, sprinkles, lift irrigations, rope ways, goat sheds, cow sheds etc. will be implemented in two models, (i) Group/community property, and (ii) individual household property. Both will be implemented in cost sharing basis. The fund will be disbursed on the form of matching grant for private owned property i.e. goat shed construction, cowshed improvement etc. Group\community type of infrastructures will be constructed on community participation through user committee. All community constructed infrastructures will be audited using public hearing and auditing guideline of Local Government (DDC).

**4.8 Review of Procurement Decisions**

IFAD will review the arrangements for procurement of goods, works and consulting services proposed by the PCU, including borrower’s procurement procedures, contract packaging including composition of bid evaluation committees, bid evaluations, recommendations for award of contract, draft contracts documents, applicable procedures and the planning and scheduling of the procurement process to ensure their conformity with Financing Agreement, Borrower’s Procurement Act, Rules, Regulations & Guidelines, IFAD Procurement Guidelines and the proposed implementation and disbursement schedule.

**4.9 Thresholds for prior review from the IFAD**

IFAD will undertake to review the provisions for the procurement of goods, works and services to ensure that the procurement process is carried out in conformity with its Procurement Guidelines. For the purposes of IFAD’s Procurement Guidelines, the following procurement decisions shall be subject to prior review by the Fund for the award of any contract for goods, equipment, materials, works, consultancy and services under ASHA.

1. Procurement of goods, materials and works
2. Prequalification documents and shortlist when prequalification is undertaken;
3. Bid Documents for goods, materials and works;
4. Evaluation Report and Recommendation for Award; and
5. Contract and amendments
6. Procurement of consultancy services and services
7. Prequalification documents and shortlist when prequalification is undertaken;
8. Request for Proposal (RFP)
9. Combined (technical and financial) evaluation report and the recommendation for award; and
10. Contract and amendments

**Prior or Post Review**: Except as IFAD may otherwise agree, the prior or post which applies to various procurement of goods, works and consultant recruitments shall be defined as follows:

|  |  |  |
| --- | --- | --- |
| Procurement Method | Prior or Post | Comments |
| 1. **Procurement of Goods and Services (non-consulting)** | | |
| ICB | Prior | All contracts |
| NCB | Prior | Except contract valued below NRP 1,000,000 |
| Shopping | Post | All contracts |
| Direct Goods | Post | Except contract valued below NRP 300,000 |
| 1. **Recruitment of Consulting Firms** | | |
| Quality and Cost Base Selection (QCBS) | Prior | Except procurement valued below NRP 500,000 |
| Fixed Based Selection (FBS) | Prior | Except procurement valued below NRP 500,000 |
| Least Cost Selection (LCS) | Prior | Except procurement valued below NRP 500,000 |
| Selection Based of Consultants Qualification (CQ) | Prior | Except procurement valued below NRP 500,000 |
| Sole Source Selection (SSS) | Prior | All contract except for exception covered by paragraph 28 of the LTR |
| 1. **Recruitment of Individuals Consultants** | | |
| Individual Consultants | Prior | Except or as per provision covered paragraph 28 of the LTR |

The aforementioned thresholds may be modified by IFAD during the course of Project implementation

**Table7:**Prior review – Procurement of goods and works

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description of Activity** | **Documents to be furnished to IFAD** | **Responsibility** | **Time for Submission** | **IFAD**  **No Objection** |
| In cases where prequalification is used. | Prequalification documents and shortlist | PCU | After shortlist undertaken. | Required |
| Bidding Documents | Complete sets of Bidding Documents with invitation notice. | PCU | Before bids invitation or send to the short-listed bidders or published in newspapers. | Required |
| Evaluation Report and Recommendation for Award | Complete sets of evaluation report and recommendation for award | PCU | Before issuing the award notification | Required |
| Contract | Two conformed copies of the contract and amendments (if required) | PCU | Upon signature | Required |

**Table7:**Prior review – Procurement of consulting services

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Description of Activity** | **Documents to be furnished to IFAD** | **Responsibility** | **Time for Submission** | **IFAD**  **No Objection** | **Remarks** |
| Prequalification documents (EOI) and shortlist | Prequalification (EOI) documents and shortlist | PCU | After shortlist undertaken | Required |  |
| Request for Proposal (RFP) to the short-listed consultants or consultancy firms | Complete sets of RFP Documents | PCU | Before sending RFP to the short-listed consultants or consultancy firms. | Required |  |
| Technical Evaluation Report | Technical Evaluation Report.  The Project is to request IFAD’s concurrence if the evaluation report recommends rejection of all proposals; | PCU | Before opening of Financial Proposal. | Required |  |
| Combined (technical and financial) evaluation report and the recommendation for constract award | Combined (technical and financial) evaluation report and the recommendation for constract award | PCU | Before final decision on the award of contract. | Required |  |
| Contract | Two conformed copies and amendments (if required) | PCU | Upon signature of the contract |  |  |

**4.10 Ex-post review time/year**

With respect to any contract not governed by prior review, the Project will retain all documentation up to two years after the closing date of the grant agreement for examination by IFAD or by independent auditors. This documentation includes, but not be limited to, the signed original contract, the evaluation of the respective proposals and recommendation of award. IFAD does not finance expenditures for goods, works or consulting services that have not been procured in accordance with the procedures specified in the financing agreement. In such cases, IFAD may, in addition, exercise other remedies under the financing agreement, including cancellation of the amount in question from the grant accounts. Even if the contract was awarded after obtaining a “no objection” from IFAD, IFAD may still declare misprocurement if it concludes that the “no objection” was issued on the basis of incomplete, inaccurate or misleading information furnished by the Project or the terms and conditions of the contract had been modified without IFAD’s approval.

**4.11 Register of Contracts**

A record of the contracts awarded within a calendar month that are to be financed - in part or in full - by the proceeds of the Grants will be recorded in a separate register called “Register of Contracts”. When a contract is amended, the amendment will be recorded in the Register of Contracts. If a contract is cancelled or declared ineligible for financing by IFAD, this information will be written in the Register of Contracts. The PCU and DPCUswill maintain and update a “Register of Contracts” in their respective offices.

**4.12 Monitoring of Procurement Activities**

For successful implementation of the procurement plan, the strong procurement monitoring systems need to be established in the project. The monitoring system will focus in two key areas, tracking status of implementation and monitoring the process of each implementation. Tracking status of procurement activities will be compared with the approved procurement plan. This includes comparisons of cost, procurement method, deadline for preparation of bid documents, bid invitation, bid opening, bid evaluation, award of contract and contract signing etc. The process monitoring will focus on ensuring compliance with applicable regulations, rules, policies, procedures and guidelines of GON and IFAD. Such monitoring will take place in each quarter by Financial Management and Procurement Specialist. The Specialist will prepare and deliver a detail monitoring report to Project Coordinator that includes recommendations and action plan for improvement/correction and future strategy. A copy of such report (respective section only) will be send to the concerned DPCUs.

**4.13 Contract Management and Documentation**

Contract management and administration refers to all actions undertaken after the award of a contract relating to the administrative aspects of the contract, such as contract amendment, contract closure, record retention, maintenance of the contract file, and handling of security instruments (e.g. performance security). Contract administration is the responsibility of the procurement official, in this project Financial Management and Procurement Specialist will have the responsibility of contract management and documentation with involvement of the Accounts officers/procurement staff, and DPCUs, as required.

The period for active contract management usually starts at the moment the contract is signed and ends when the final completion certificate is issued. The task of contract monitoring is to ensure that both parties to the contract perform in accordance with that contract agreement and to take action as required to address any problems or delays, whether actual or anticipated. On the contract of supply of goods and materials, the monitoring process ensuring that goods are delivered on time, are acceptable to the project in terms of quantity, quality and supporting documentation. When contracting services, the Specialist must monitor the performance of the contractor by ensuring timely receipt and acceptance of the deliverables specified in the contract (e.g. inception reports, progress reports, reports from workshops or training sessions etc.).

The nature of civil works in this project is related to community infrastructures under the LAPA implementation, Technical part of contract monitoring will be the responsibility of Project Engineer. The Financial Management and Procurement Specialist will be responsible only for contract administration with the assistance of DPCUs.

***Maintenance of Records and Files.*** The Project must establish a procurement file for each procurement process/activity. In addition to information documentation of the procurement process (cost estimate to contract signing), the file must include all information required to successfully administer the contract. Any issues of clarification or change of the contract must be fully documented in this file. In order to provide their input throughout the contract administration phase, the procurement unit will normally have a separate file with a copy of the contract as part of the each procurement activity.

The Project should maintain all documents and records related to the bid and contract for three years after the completion of the bid or contract as specified in Section 7.05, clause b (ii) of IFAD General Condition for Agricultural Development Financing (as amended September 2010).

**4.14 Staffing and Capacity Development**

There will not be separate procurement staff at the PCU and DPCUs. The GON deputed staff and the project recruited staff will be assigning to look over the procurement activities of their respective offices. Prevailing GON Procurement Regulations require establishing a procurement unit in each offices, this will be applied in ASHA too. The Project Coordinator will assign the staff to work in procurement unit either from the administrative cadre or technical; depending on availability of staffs. There is no separate cadre of procurement in civil service of Nepal; the right approach for establishing sound procurement management system in the project will be capacity development of these staffs.

Considering the GON organizational setup for procurement management and existing practices, the project will focus on capacity development of the project staffs responsible for implementation of procurement activities. Extensive procurement management training will be organized with close coordination and collaboration of IFAD and PPMO at the beginning of the project implementation and a refresher course in every alternate year. A training module will be developed for ASHA project in line with the nature of project procurement and applicable acts, regulations and guidelines of GON and IFAD. The Financial Management and Procurement Specialist contracted from project fund will assist the Project Coordinator and procurement staffs at PCU, and DPCUs as required and requested. His/her duties and responsibilities will be detailed in TOR.

The implementation status of each activity with approved procurement plan and procurement process monitoring lead the project on successful implementation of planned procurement activities within as indicated in the approved procurement plan. There will be two sides of monitoring; procurement process monitoring and tracking implementation of activities of approved procurement plan. The Financial Management and Procurement Specialist will prepare a report of both procurement processes and procurement tracking each month and deliver to Project Coordinator.

1. Project Financing

5.1 Cost and Financing

Total Project Costs is estimated at USD 37.62 million. This is inclusive of price contingencies of USD 3.36 million, beneficiary contribution of 5.98 million equivalent mostly in the form of kinds (labour and materials), USD 6.64 million equivalents as counterpart funding from the government to cover staff salaries, taxes and duties.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Table8: Project Cost Summary | | | | | |
| Amount in million | | | | | |
|  | NPR | | USD | | |
| Total Project Costs including contingencies and taxes | | 3632.09 | | 37.62 |
| IFAD Grant amount | | 2583.54 | | 25.00 |
| GON contribution including staff salaries, taxes & duties | | 654.05 | | 6.64 |
| Beneficiaries contribution | | 394.50 | | 5.98 |
|  | | | | | |

The financiers for the Project are IFAD, the Government of Nepal and the beneficiaries. IFAD will finance about USD 25 million about 66.5% of total project costs, the government counterpart funding will be about USD 6.6 (17.6%) million equivalents; and the beneficiaries’ contribution will be approximately USD 6 million (15.9%). Financing plan is summarised in Table below.

|  |
| --- |
| Table9: Project Financing by Financier and Components |
|  |

5.2 Expenditure Categories and Financing Percentages

The Project will have four expenditure categories each in IFAD Grant and ASAP Grant. The expenditures categories and their financing percentage are shown in tables below:

**Table 10: Expenditure Categories and Percentage of Financing from IFAD**

|  |  |  |
| --- | --- | --- |
| Disbursement category | Amount Allocated  (SDR ‘000) | % of Eligible Expenditures to be Financed by IFAD |
| IFAD Grant |  |  |
| I-G Goods, Services and Inputs | 500 | 100% net of Taxes |
| II- G Grants and Subsidies | 2,660 | 74% of the total cost net of Taxes & Beneficiaries’ Contributions |
| III- G Vehicles | 160 | 100% net of Taxes |
| IV- G Training | 2,510 | 100% net of Taxes |
| Unallocated | 640 |  |
| Total | 6,470 |  |
| ASAP Grant |  |  |
| I-A Goods, Services and Inputs | 480 | 100% net of Taxes |
| II- A Grants and Subsidies | 5,290 | 74% of the total cost net of Taxes & Beneficiaries’ Contributions |
| III- A Consultancies | 1,600 | 100% net of Taxes |
| IV- A Operating Cost | 1,370 | 100% net of Taxes and Contribution by the Government of the Recipient |
| Unallocated | 970 |  |
| Total | 9,710 |  |

5.3 Project Costs by Project Component

The total investment and incremental recurrent Project costs, including physical and price contingencies, as detailed in, are estimated at about USD 37.62 million (NPR 3.7 billion). Price contingencies make up about 10% of the total Project costs. The foreign exchange component is estimated at USD 1.37 million or about 3.6% of the total Project costs. Taxes and duties make up approximately USD 2.8 million (7.4%). Project management costs amount to USD 3.5 million (about 9% of the total Project costs).

Project costs are organized into three components: (i) Strengthened Framework for Local Level Climate Adaptation, ii) Climate resilience of vulnerable smallholders improved, and (iii) Project Management. Project baseline costs together with contingencies are summarised in Table below.

|  |
| --- |
| Table 11: Project Costs by Project Components |
|  |

The actual percentage of IFAD financing in each category are shown in Schedule 2 of the Financing Agreement.

6. Financial Management

The Government of Nepal has its own national accounting standards namely Nepal Public Sector Accounting Standards (NPNAS), 2070 for financial reporting under the cash basis accounting system. Currently used accounting, and reporting ledgers and forms were developed by FCGO and approved by the Auditor General Office. Since 2005 WB led multi donor trust fund (MDTF) is supporting OAG and FCGO to strengthen Public Sector Financial Management system; mainly on institutional and human resources capacity development. As part of its achievement Treasury Single Account (TSA) is established in all 75 districts and National Accounting Standards is replaced by NPSAS (Nepal Public Sector Accounting Standards, 2070) incompliance with IPSAS to strengthening financial reporting standards in public and private sector.

**Book of Accounts:** The GON’s Financial Procedure Act 2055 & Financial Procedure Rules 2064 will be used as the basis for accounting and appropriate controls over financial transaction of the project. As per the requirement of financing agreement a separate ledgers, registers/forms and reporting formats will be developed, introduced and maintained to record and report IFAD expenditures in categories, components, sub-components and activities. This will be supplementary to the GoN existing accounting ledgers/formats for project purpose.

The Accounting software will be installed at PCU and six DPCUs, and trained the accounting staffs of those offices. Identification and selection of accounting software is one of the additional general conditions for IFAD Grant fund withdrawal. After the installation of accounting software IFAD will only accept financial records, reports and statements generated by the software for WA processing and fund disbursement of this project. The software developer/Service provider will be required to adhere on project financial management procedures (accounting, book keeping and reporting) requirement of the GON system and the IFAD financing agreement, the details of which will be included in the contract agreement between the Project and the software developer/Service provider.

**Designated Account/Project Account.**Two Designated Accounts in USD for IFAD grants will be opened in Nepal Rastra Bank. Signatory of Designated Account in USD and local currency account opened by PCU will be Project Coordinator with counter-signing by the Accounts Officer. Both of whom will be Government employees deputed to the project. There will be only one cost center in each project district. A streamlined and effective DPCU will be created in all project districts and supported by a District Project Coordinator and the Accountant deputed from the FCGO. The DPCU Accountant will maintain project account at district level. The main signatory of the DPCUs account will be the respective District Project Coordinator and Accountant.

Treasury Single Account (TSA) system does not allows the project to open separate bank account in their project districts but the project will have to maintain separate cash books and accounts of their expenditures. The DTCO will release the payment cheques on the request of the PCU & DPCUs through payment order issued to them. The PC/DPC and the Accounts Officer/Accountant of the PCU/DPCUs will be the co-signatory to issue payment order. In TSA system accounting records will be reconciled with DTCO records; no bank reconciliation will be prepared except two Designated Accounts opened in Nepal Rastra Bank in USD to received the grants funds from IFAD.

**Funds Flow/Disbursement.** The Project will be funded from four sources – IFAD grant, ASAP Grant (IFAD), Government, and beneficiaries. The GON is pre-financing for the implementation of approved AWPB activities in ongoing IFAD projects, this practice will be continued in ASHA too.

The project fund/budget will flow from MOF to MOFSC to PCU to DPCUs following the customary procedures of GON budget release. The PCU/DPCUs will sign the MOU with concerned line agencies at the center and the district to implement the planned activities of their specialised services/research work. The line agencies will have full authority to implement the activities. The fund for central level line agencies and research center will be released by the PCU and for district level line agencies by the DPCUs. The modality of fund disbursement will be agreed in the MOU.

**Funds Flow Mechanism**

MoF

Budget authorization issued

by MoF to MoFSC

MoFSC

Budget authorization issued

by MoFSC to PCU

DDC

PCU

Budget authorization issued Submission of financial reports

District Treasury Controller Office (DTCO)

by PCU to DPCU

Issuance of Payment Orders

DPCU

Cheques handed over to DPCU

Submission of statement of

expenses with supporting Cheques issued

documents

Line departments, VDC/municipality/ community groups or other service providers

According to the approved work plan and provisions of the contractual agreements signed between the DPCU and the concerned VDC/municipality/community groups or other service providers, the DPCU will release the necessary funds to the local levels (VDCs, community groups, municipality, and service providers) or ensure payments of expenditures for the prioritised LAPA activities implemented at the local level. The mode of release of funds from the DPCUs to the local level will follow the schedule of payment and the terms and conditions agreed on the signed contractual agreement.

Beneficiaries contribution/funds will flow directly to the respective projects or activities; either on the form of physical (labour, materials) contribution or cash.

IFAD fund will flow following the standard disbursement procedures as outlined in IFAD loan disbursement handbook for loan disbursement and will be in categories as specified in the Schedule 2 of Financing Agreement. On the request of the PCU through WA supported by approved AWPB, an initial advance to cover roughly six months of anticipated expenditures of the first year will be transferred by IFAD in the Designated Accounts opened in USD. Replenishment in the Designated Account will be on actual eligible expenditures incurred and reported to IFAD through WAs during the project implementation period. Additionally, IFAD will disburse funds to the Service Provider/Contractor/Supplier directly or reimburse to the GON on the request of the PCU through withdrawal applications.

**Statement of Expenditure (SOE).** Withdrawals from the Grant Accounts will be made against Statements of Expenditure (SOEs) in respect of Eligible Expenditures in such amounts as IFAD will/may designate from time to time by notice to the Borrower. SOE facility threshold of the project for all type of expenditures will be as mentioned in the LTR. The original records evidencing expenditures need not be submitted to IFAD, but shall be retained by the PCU and DPCUs for inspection by IFAD representatives, in accordance with sections 10.03 (Visits, Inspections and Enquiries) and 10.05 (Evaluations of the Project) of the General Conditions. The relevant supporting documentation (including contract documents, bills, invoices, purchase orders, receipts, evidence of payments, etc.) should not be submitted to IFAD but should be retained by the PCU and its implementing agencies and partners, unless otherwise agreed between the recipient and IFAD, and made available for review by the representatives of IFAD during implementation support or supervision or other missions, audits or on request. Such documentation should be retained for 10 years after the financing closing date.

**Disbursement Procedures.** The project funds disbursement will be based on actual eligible expenditures incurred on the implementation of the approved AWPB. Funds will be disbursed under the following categories: I-G Goods, Services and Inputs, II- G Grants and Subsidies, III-G Vehicles, IV-G Training, I-A Goods, Services and Inputs, II-A Grants and Subsidies, III-A Consultancies, IV-A Operating Costs. Fund Allocation under the different categories and % of IFAD financing are written in Schedule 2 of Financing Agreement. The method of disbursement to the line agencies/service provider/NGO will depend on the terms and conditions of MOU/contract agreements between the line agencies/NGO/service provider and the Project.

There are 4 standard procedures that are used for disbursing Grant fund from IFAD. They are:

**Procedure I: Replenishment in Designated Account in USD**

This procedure provides a mechanism like a revolving fund to assist the Project in financing eligible expenditures defined in the Financing Agreement as payment falls due. While the project implementation is underway the account is replenished when satisfactory evidence of expenditure incurred is received.

* Deposits to replenish the Designated Account in USD are claimed under this procedure using Application for Withdrawal – FORM 100.
* Summary sheet (SS) Form 101 is used when additional space is required, that is, more than one contractor, or if expenditures relate to multiple suppliers on a reimbursement basis. Summary sheet FORM 101 is used to summarise several invoices or receipts claimed for replenishment. Separate summary sheets are used for each disbursement category.
* SS Form 102 is used when expenditures are claimed under Statement of Expenditures (SOEs).
* If expenditures are claimed under the SOE, supporting documents are not submitted with the withdrawal applications; a SS Form 102 is attached to the withdrawal application, supported by Summary Sheet(s) in Form 101 in which the corresponding itemised expenditures and related information is provided.
* If the expenditures are not claimed under a SOE, the supporting documents (bills, invoices, receipts, evidence of payment and evidence of shipment) are submitted and attached to the withdrawal application.

**Procedure II: Direct Payment**

Under this procedure, the PCU requests IFAD to pay suppliers directly from the Grant funds. The procedure is similar to Procedure I described above but the payment is made direct to the third party as advised and instructed by the Project.

**Procedure III: Direct Payment to a Foreign Supplier**

Under this procedure, the Project uses a Letter of Credit (L/C) as a mode of payment to a foreign supplier. Form 301, an Application for a Special Commitment, Form 302 Letter of Commitment from IFAD to a Bank and Form 303 Bank’s Request for Payment. This is extensively used for financing import of goods and under this procedure IFAD gives assurance to the suppliers.

**Procedure IV: Reimbursement**

All eligible expenditures pre-financed by the government are claimed for reimbursement under this procedure using Application for Withdrawal –Form 100 and Summary sheets Forms 101 & 102 as with Procedure I above. This type of disbursement will be very common with the project.

This procedure is followed when expenditures have already been incurred, that is, the suppliers of goods or services have already been paid by the Project from its own funds. The reimbursement procedure normally requires full documentation. However, there are special cases where the IFAD accepts simplified documentation.

**Withdrawal Application.** The Financial Comptroller General Office (FCGO) has adopted a policy of granting a four month period for reimbursement of their pre-financed expenditures to all development projects implemented by the Government line agencies. If the project fails to reimburse the pre-financed expenditures within that time, the Project will not be entitled to get budget release for the following trimester. To ensure timely budget release from the treasury; the PCU will send at least one withdrawal application in each trimester and reimburse the pre-financed expenditures to the Government treasury accordingly. No taxes and duties will be financed out of the proceeds of the IFAD Grants.

**Staffing and Cost Centre.** The PCU will have two accounting staffs; Accounts Officer and Sub-accountant deputed from the FCGO. The Financial Management and Procurement Specialist contracted from project fund will assist the Project Coordinator and Accounts Officer at PCU; and the Accountant in DPCUs to maintain sound financial management system as envisages by the IFAD. His/her duties and responsibilities will be detailed in TOR. Each project district will have only one cost centre at DPCU. An Accountant deputed from the FCGO to DPCUs will have the sole responsibility of accounting, book keeping, reporting and auditing. Additionally, s/he will also maintained the district account in categories, project components, sub-components and activities, prepare all kinds of reports and deliver to PCU as detailed in PIM - the reporting requirement and deadline.

**Capacity Development.** The project will focus on capacity development of the project accounting and stock management staffs as part of its regular activities. An extensive financial management and stock management training will be organized at the beginning of the project. Separate training module will be developed to address both the Government and IFAD accounting and reporting requirement, participant of the accounting training will be PCU Accounts Officer, Sub-accountant and DPCUs Accountant. Thereafter, a refresher training and workshop focusing on financial reporting will be organized in first trimester each year. The objective of this training cum workshop will be facilitating on knowledge sharing, updating the participant’s knowledge on recent circulars, amendment on financial acts, regulations and guidelines; and preparing annual financial reports. Additionally, training on Accounting Software will be organized, the participants of this training will be the Project Coordinator, Accounts Officer, Sub-accountant and Financial Management and Procurement Specialist of PCU, District Project Coordinator and Accountant of DPCUs and one participant of DTCO from each project district (if interested). Participants from Reimbursement Section of FCGO and the project auditor of OAG will be invited in all training events for knowledge sharing.

The Project Accounts Officer/Accountants will have chance to visit neighbouring country to observe the financial management system of IFAD funded projects. The selection of the Officer/Accountants for the exposure visit will be based on their performance rating. Only the top best performer will be selected. The performance evaluation, marking and list of selected candidate will be shared with IFAD. The indicator and mark allocation for the performance evaluation will be finalized by the PCU before the evaluation is started.

**Assets Management.**A substantial amount of the Project fund will be spent every year on procurement of vehicles, stationeries, office equipments, furniture and various kinds of assets. The expenditures incurred for such purposes reflect equivalent amounts of increases in the assets of the Project. It is therefore important for the Project to maintain and update inventory of its assets at all times and ensure that those are properly maintained and utilized for rightful purposes, that their ownership do not get diluted, and that there is always an officer/staff to remain accountable in respect of assets.

The responsibility for the proper accounting, safeguarding and utilization of all Project assets will primarily rest upon the Project Coordinator at PCU, and District Project Coordinator at DPCUs. The Project Coordinator, and District Project Coordinators without disowning their own accountability, may delegate the authority and responsibility for safe custody and utilization of assets to subordinate officials. Transfer of custody of Project assets will be carried out through proper handing and taking over mechanism. The records of assets will be maintained either in fixed assets register or consumable assets register depending on the nature of assets and its value.

**Receipt, Inspection and Acceptance of Property:** The Store Officer and/or a technically competent official nominated by the Project Coordinator, District Project Coordinator shall inspect and examine the goods prior to acceptance to ensure that the quantity is correct and quality and other specifications have been complied with. The supplier shall be given the opportunity to be present at the time of examination/verification. In the case of complex machinery/equipment, inspection shall be carried out by the technically competent officials either at the factory, manufacturing premises or at the place of delivery, to be decided by the Project Coordinator depending on the nature and value of the assets.

The quantity accepted shall be recorded in the relevant Stock Register (Fixed Assets or Non Fixed Assets Register) and quantity rejected, if any, shall be returned to the party concerned immediately. If the goods cannot be returned immediately, notice of rejected goods shall be issued by the Store Officer/Keeper to the party concerned indicating clearly that the goods has been rejected and kept by the Project at the risk and cost of the party concerned within three days.

**Assets Registers:** All assets will be recorded on the respective assets registers before making payment to the supplies. Basically there will be two types of assets registers, one for fixed (durable) assets and another for consumable assets. The columns of both assets registers will be filled properly. In addition to that, there will be another register for issuing fixed assets. It is mandatory to all Project offices (PCU, and DPCUs) to maintain these three types of assets registers namely Fixed Assets Register, Consumable (Non Fixed) Asset Registers and Fixed Assets Issue Register in their respective offices. Any assets handover between PCU and the project offices will be recorded on the respective assets register by both parties. Assets entry number, date and page number of recipient’s assets register will be recorded on the respective pages of givers stock register. The format of assets registers will be developed by the PCU and deliver to the DPCUs and project line agencies.

Training materials which will be procured specifically for a training program and issued to participants need not be recorded in Consumable Asset Register. A separate register will be maintained to record the training materials and stationeries. A receipt of trainees will be the supporting document for the use of such assets. Copy of distribution records of livestock, seeds and seedlings, agriculture inputs and other materials to the beneficiaries by the service centres/sub centres or service provider will be kept in district project offices. The Original receipts will be kept at service centre or in the office of service provider/ distributing agencies.

**Issue of Property (Assets):** None of the Project assets will be issued or handed over to other agencies which are not part of the project implementation. The procurement plan of each year shall be supported by a list of vehicles and equipment that is planned for procurement and with its potential users or owner. After the approval of AWPB and Procurement Plan, any changes on this list and ownership will be the subject of IFAD review.

Requests for assets (goods) shall be submitted in “Requisition Form” to the Store Officer/Keeper with the approval of the Project Coordinator, District Project Coordinators or an officer delegated by them. If the items requested are readily available in stock, the Store Officer/Keeper shall issue the goods based on the approved Requisition Form and record in the respective column of the Assets Register. If the requested goods are not readily available, action for acquiring the property shall be taken after ascertaining the budget availability and other procedural requirements.

**Physical Verification of Assets:** Verification of the assets will be conducted at least once a year. The Project Coordinator, either directly or through an authorized officer independent of the person responsible for inventory management will conduct a verification of PCU assets. For DPCUs, the Project Coordinator will issue a letter and TOR to PCU or/DPCUs staff to conduct assets verification. Such verifications will be undertaken in order to establish ownership of assets, to verify the actual existence of assets in accordance with the book balances, descriptions and existence of any lien or encumbrance on the assets and to identify the assets that are surplus, obsolete, damaged or unserviceable or not useable.

**Maintenance of Vehicles and Equipment:** Maintenance of vehicles, motorcycles and office equipments will be carried out by a service provider or workshop in the roster. A notice will be issued in the beginning of each fiscal year requesting for registration in the roster. The roster will be valid for one fiscal year. All the maintenance works will take place only after the confirmation of need of maintenance by the staff in-charge responsible and due approval from the Project Coordinator at PCU and District Project Coordinator/head of project offices in the district or officer authorized by him/her.

A register will be maintained to record maintenance costs and details of major replaced parts of office equipment and vehicles/motorcycles separately (by equipment/vehicle/motorcycle). At the end of each fiscal year an individual and collective (whichever will be applicable) assets maintenance assessment will be carried out by the respective offices. A report of such assessment will be delivered to the PCU, and PCU will consolidate and prepare the maintenance reports and deliver to IFAD within three month of the following fiscal year.

None of the Project assets will be maintained which is not in use in project implementation.

**Reporting**

The Project will prepare and deliver reports as detailed below.

**Monthly reporting:** A copy of Ma. Le. Pa. Form numbers 13, 14, 15 and category wise breakdown of each payment will be sent by the DPCUs (Accountant) to the PCU by the 15th day of the following month. The report will include category and component/activities wise expenditure report and the consolidated report of the district. The report will include beneficiaries’ contribution in each category, component, sub-component and activities. In addition, record of the contracts awarded within a calendar month will be submitted to the PCU on the format for “Register of Contracts”. Activity, sub-component and component wise expenditure report will follow the AWPB format to record the expenditures and physical progress. The reporting format will be developed and sent by the PCU to the DPCUs. The Financial Management and Procurement Specialist will developed all requires reporting formats with consultation of Project Coordinator and the Accounts Officer.

**Financial Progress Reporting:** The PCU will prepare and furnish to the IFAD periodic consolidated progress reports of the expenditures, in such form and substance as the IFAD will reasonably request. At the minimum, such reports will address (i) the status of sources and uses of funds, (ii) Schedule of withdrawal application (iii) comparison of planned budget and actual expenditures (iv) Status of Designated Accounts in USD with reconciliation statement (v) problems encountered during the reporting period, (vi) steps taken or proposed to be taken to remedy these problems, and (vii) the expected financial progress during the following reporting period. The PCU will deliver such report on trimester basis to the IFAD within 45 days of the end of each trimester.

**Project Financial Statement:** The PCU will deliver detailed unaudited financial statements of the operations, resources and expenditures related to the Project for each fiscal year to the IFAD within four (4) months of the end of each Fiscal Year (Article IX of the General Conditions). An audited Project Financial Statement will be delivered along with External Audit report. The project financial statements consist of (a) yearly and cumulative statements of sources and application of funds by category and by component/sub-component/activities, which discloses separately IFAD’s grants funds, counterpart funds (government), and beneficiaries’ funds, (b) the balance sheet, which disclose bank and cash balances that agree with the statement of sources and application of funds, fixed assets and liabilities, (c) comparison of budget and actual expenditure, (d) SOEs Withdrawal Application Statement, (e) Statement of Designated Account movement/activities (f) Designated Accounts reconciliation and (g) Note on the Project Financial Statements.

**Records of Assets:** The DPCUs will maintain and update consolidated records of fixed assets at district level with description, unit, quantity/numbers, location and user; and delivering to the PCU at least twice a year. The PCU will prepare and maintain consolidated records of project fixed assets. This record will be delivering to IFAD along with physical and financial progress report.

The LTR will specify procedures for disbursement, opening of accounts, SOE facility, procurement thresholds, methods, audit procedures, reporting requirement and deadline to deliver IFAD as agreed between Government and IFAD.

**Internal Control.** The Financial Management and Procurement Specialist will have the key responsibilities in project expenditure tracking, assets management, monitoring fiduciary aspects of district level project activities, and procurement management. The Internal Control Specialist (firm of individual contracted for short period each year) will assist Project Coordinator and the Financial Management and Procurement Specialist to identify the weak areas that may need internal control intervention.

The DSA and travel funds will be utilized strictly only for project related activities and the payments or advance adjustment will be process only upon the submission of travel report in standard format. A register will be maintained to record the travel order, issued by a competent project authority with the clear purpose of travel, the date and place. A standard travel report will be made mandatory for payment and adjustment of travel related expenses. All travel reports will be reviewed as part of project M & E. The quality of travel report and strictness on the proper use of travel budget will be considered part of the performance evaluation of individual staff.

The PCU, DPCUs and all Project line agencies in the district will maintain Log Books for all vehicles, fuel consuming machineries and equipments to record the utilization of these assets. The format of the Log Book will be developed by the PCU and send to DPCUs and district project line agencies. The Project staff member in charge of managing fuel consuming equipment will append a performance summary of each item at the end of each quarter in the Logbook i.e. average fuel consumption per kilometer or per hour; whichever is applicable. The use of vehicles will follow the guidelines, rules or circulars issued by the government from time to time, and only will used to Project related work.

**Internal Audit.** One of the weakest areas identified by the IFAD FMA in 2012 is the quality, timeliness and coverage of internal audit of ongoing IFAD projects in Nepal. After the full implementation of TSA, there will be need of structural adjustment on internal audit responsibility. Series of discussions are going on in FCGO to strengthen the quality of internal audit and making it more independent. There is likely a possibility to establish separate regional offices or separate unit in DTCOs responsible only for internal audit.

Prevailing financial rules and regulations of GON does not allow the project to hire independent internal auditor from project funds. The internal audit of the donor funded projects implemented by the GON line agencies is the responsibility of DTCO; which was assessed weak in IFAD FMA. The DTCO staffs involved in the payment process (TSA) are also acting as an internal auditor. This is contradictory with independent auditing principal. To mitigate internal auditing risk, the project will hire an Internal Control Specialist experience in internal auditing for short period in each year to conduct the internal audit of the project or contracted Financial Management and Procurement Specialist will be given additional responsibility of internal control/audit to assist the Project Coordinator for timely action and correction if required. It will be supplementary to the DTCO internal audit.

**External Audit.** IFAD requires that the project accounts be audited in accordance with auditing standards acceptable to the Fund and the IFAD’s Guidelines for Project Audits (for Borrower’s use) by independent auditors acceptable to the Fund. The Office of the Auditor General of Nepal has sole mandate for final audit of the government agencies including donor funded project by interim constitution and audit act and regulations. Under the terms of reference satisfactory to the IFAD, the OAG, Nepal will carry out audits of the accounts related to the project annually. The PCU will share the TOR, sample reporting formats and delivery deadline of audit report with the auditor before the audit of first year’s financial statement.

The auditors will express an opinion on the annual consolidated financial statements and determine whether the designated accounts have been correctly accounted for and have been used in accordance with the financing agreements. They will also determine the adequacy of supporting documents and controls on the use of Statement of Expenditures (SOEs) as a basis for disbursement. The auditors will also furnish a separate Management Letter which will identify any material weakness in accounting and internal controls at all levels and report on the degree of compliance of financial covenants of the IFAD financing agreement including procurement of goods, works and consultant services and IFAD no objection requirement. A certified copy of the annual audit report of the Project together with the PCU’s replies to the management Letter will be sent to IFAD within six months after the end of each fiscal year, i.e. before 15th January. This requirement will be stipulated in LTR.

**Log of Audit:** The PCU and DPCUs will maintain a Log of Audit Observations made by the Auditors and the Table of Summary Status of Audit Observations in their respective offices for their operational accounts. In addition to it a consolidated Log of Audit Observations and Table of Summary Status of Audit Observations will be maintained by the PCU. Templates are given in LDH.

**Project Completion**

The Project completion date will be the 31 March 2021 and financing closing date will be 30 September 2021.

* Withdrawal Applications may be continued to be submitted up to the Grants Closing date (i.e. six months after the Project completion date).
* Only payments made prior to Grants Closing date, or payments due for goods, works and services which have been provided prior to the project completion date, qualify for disbursement.
* No replenishment will be made after the Project completion date.
* The Designated Accounts recovery will begin early enough to ensure that no balance remains in the Designated account at the closing date.

**List of Annexes**

**Annex 1: Project Logical Framework**

| **Narrative Summary** | **Key Performance Indicators** | **Means of Verification** | **Assumptions** |
| --- | --- | --- | --- |
| ***Goal***: | | | |
| *rural poverty reduced in the hilly regions challenged facing consequences of climate change* | * 100,000 direct beneficiary HHs (70% of target HHs) reporting at least 25% improvement in HH asset index, as compared to baseline (disaggregated by gender, caste and ethnicity of HH-head)[[30]](#footnote-30) * 15% reduction in the prevalence of child malnutrition, as compared to baseline[[31]](#footnote-31) | * RIMS and baseline surveys; * LAPA preparation,implementation and M&E |  |
| ***Development Objective***: Vulnerability of local communities to climate related risks reduced and enabling institutional environmentfor climate change adaptation strengthened[[32]](#footnote-32) | * 100,000 direct beneficiary HHs[[33]](#footnote-33) (70% of target HHs) moved down the CC vulnerability scale by at least one step (disaggregated by gender, caste and ethnicity of HH-head)[[34]](#footnote-34) * Each US$1 of ASAP financing leverages at least US$2 from other sources for LAPA implementation in at least 6 ASHA districts[[35]](#footnote-35) * 560,000 tons of greenhouse gas emissions (CO2E) avoided and/or sequestered[[36]](#footnote-36) | * Climate responsiveness audits of Districts and relevant Ministries * Ministry policies and plans * DDC plans * Sector studies * Technical agencies’ reports and studies * Research and academic studies * Project M&E | No major socio-economic slow down, political upheaval or natural disasters  Stability of government policies and donor investments in CCA  “Toolkit” technologies primarily remain profitable  Project investments are realized as design |
| **Component 1: Framework for local-level climate adaptation strengthened.**  A scalable climate change adaptation framework for the agriculture sector supported by participating institutions, districts and communities | * At least 150 LAPAs incorporated into district development plans * GIS-based sub-watershed management plans covering at least 10 VDCs developed[[37]](#footnote-37) * At least 8 climate-resilient farming systems tested[[38]](#footnote-38) and adopted by at least 800 farmers * LAPA development methodology improved and applied by at least 6 districts | * Project M&E reports * Contracted studies * RIMS and benchmark * GoN circular on adoption of enhanced LAPA methodology | Stability of government policies and donor investments in CCA  Project financing is disbursed in time to support field implementation  LAPAsareprepared and implemented at field level  Farmers are willing to adopt recommended methods and technologies  Technical service support system is strengthened and responds to the grassroots level needs |
| **Sub-components:**   * 1. Strengthened LAPA development process implemented | * At least 100,000 beneficiary households participate in LAPA preparation(disaggregated by gender, caste and ethnicity of HH-head) * MoFSC, MoAD and MoLD staff in 6 districts trained on LAPA development and implementation * GIS-based system established in 6 districts to enhance LAPA preparation and implementation * Institutional gaps and challenges for LAPA implementation identified and recommendations developed to address them. | * Project progress report * Line agencies’ reports * Climate adaptation screening and capacity building reports |  |
| 1.2 Enhanced climate adaptation knowledge disseminated | * At least 100,000 HHs with access to knowledge of climate resilient farming practices and diversified livelihood options | * Project progress report |  |
| **Component 2:**  **Climate resilience of vulnerable smallholder farmers improved**  Climate informed and gender-sensitive natural resource management and climate resilient agricultural and forestry practices and technologies implemented. | * At least 150 VDCs prioritize and implement LAPA investment. * At least 150 VDCs mobilise at least 20% co- or parallel financing[[39]](#footnote-39) for implementation of LAPA priorities * 100,000 beneficiary households adopting at least one climate resilient agriculture practice. | * Project M&E reports * RIMS and benchmark * Line agencies’ reports * Sector studies and reports * Statistically significant sample survey of beneficiaries | As above in Component 1  Project financing is disbursed in time to support field implementation  LAPAscontinue to beprepared and implemented at field level  Quality services are being rewarded through contracting |
| **Sub-components:**:  2.1 Climate resilient Community infrastructure and land management activities operational  2.2 Smallholder climate adapted production profitable | * At least 40,000 ha of land managed under climate-resilient land management practices (such as terracing, slope stabilisation, land rehabilitation, reforestation) * At least 25,000 households adopting livestock1stall-feeding with adapted forage and fodder trees * At least 22,000 households apply efficient water use techniques and methods (including ponds, drip or sprinkle systems) * At least 7,500 households adopt at least one new renewable energy technologies for domestic purposes * At least 400 lead farmers are providing quality services to farmer groups(disaggregated by gender, caste and ethnicity of HH-head) * A profitability analysis is undertaken to determine the IRR of LAPA investments in a representative sample | * Project progress report * Sector and LAPA reports and studies | As above |

**Annex 2: Detailed Cost Tables: Component and Categories**

**Table 2.1: Project cost by Component**



**Table 2.2: Project costs by Categories**

|  |  |  |
| --- | --- | --- |
| Disbursement category | Amount Allocated  (SDR ‘000) | % of Eligible Expenditures to be Financed by IFAD |
| IFAD Grant |  |  |
| I-G Goods, Services and Inputs | 500 | 100% net of Taxes |
| II- G Grants and Subsidies | 2,660 | 74% of the total cost net of Taxes & Beneficiaries’ Contributions |
| III- G Vehicles | 160 | 100% net of Taxes |
| IV- G Training | 2,510 | 100% net of Taxes |
| Unallocated | 640 |  |
| Total | 6,470 |  |
| ASAP Grant |  |  |
| I-A Goods, Services and Inputs | 480 | 100% net of Taxes |
| II- A Grants and Subsidies | 5,290 | 74% of the total cost net of Taxes & Beneficiaries’ Contributions |
| III- A Consultancies | 1,600 | 100% net of Taxes |
| IV- A Operating Cost | 1,370 | 100% net of Taxes and Contribution by the Government of the Recipient |
| Unallocated | 970 |  |
| Total | 9,710 |  |

**Annex 3: Template for AWPB**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Results #** | **Objectives/ Expected Results** | **Indicators** | | Timetable | | | **Responsible Unit/ Staff** | **Implementation targets** | | | | | | | | | **Budget** | | | | | | | | | | |
| Project | RIMS | T1 | T2 | T3 | Unit | Appraisal (Total) | Revised (Total) | Planned (Annual) | Unit Cost | Achieved Cumulative | % | Achieved Annual | % | Appraisal (Total) | Revised (Total) | Planned (Annual) | Budget Cate-gory | Financiers | | | Spent Cumu-lative | % | Spent Annual | % |
| IFAD | Gov. | Ben. |
|  | (A) | (B) | (C) | (D) | | | (E) |  | (F) | (F.a) | (G) | (Ga) | (H) | (I) | (J) | (K) | (L) | (L.a) | (M) | (N) | (O) | | | (P) | (Q) | (R) | (S) |
| C1 | **Component 1** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| SC1.1 | **Sub-Component 1.1:** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.1 | Output 1.1.1: |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.1.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.1.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.1.3 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***Total Budget for Output 1.1.1:*** | | | | | | | | | | | | | | | | |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.2 | Output 1.1.2. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.2.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.2.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***Total Budget for Output 1.1.2:*** | | | | | | | | | | | | | | | | |  |  |  |  |  |  |  |  |  |  |  |
| 1.1.3 | Output 1.1.3. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.3.1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Activity 1.1.3.2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***Total Budget for Output 1.1.3:*** | | | | | | | | | | | | | | | | |  |  |  |  |  |  |  |  |  |  |  |
| ***Total Budget for Sub-Component 1.1:*** | | | | | | | | | | | | | | | | |  |  |  |  |  |  |  |  |  |  |  |

**Annex 4: Template for Procurement Plan**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| PROCUREMENT PLAN FOR GOODS/WORKS | | | | | | |  |  |  |  |  |  |  |  |  |  |  |
| Fiscal year: |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| DATE OF GPN: ……………. | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| STATUS AS OF (Date): …. | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| IFAD APPROVAL DATE: Original: …………… Current: …………… | | | | | | | | | |  |  |  |  | USD 1 = NPR | |  |  |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | SL No. | | Package No. | | Review by IFAD Prior/Post | | Description of Goods/Works | | Qty | | Estimated Cost (NPR in '000) | Estimated Cost (USD in '000) | Method of Selection @ | | Advertising for EOI (Date) | | | TOR/ Prequalified Shortlist Finalized (Date) | | RFP Final Draft forwarded to the IFAD (Date)\*\* | | IFAD’s No Objection for TOR Shortlist/ Final REP (Date)\*\* | | RFP Issued (Date) | | Proposals Received by the Project Authorities (Date) | | Evaluation Finalized (Technical /# Combined/Draft Contract/Final Contract) (Date) | | IFAD’s No Objection (Technical /# Combined/Draft Contract/Final Contract) (Date)\*\* | | Contract Number, Value and Currency | | Name of Contractor/Nationality | | Expenditure incurred to Date (USD) |
|  | 1 | | 2 | |  | | 3 | | 4 | | 5 | 6 | 7 | | 8 | | | 9 | | 10 | | 11 | | 12 | | 13 | | 14 | | 15 | | 16 | | 17 | | 18 |
| **PMO** | |  | |  | |  | |  | |  | |  |  |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| \*PP | 1 | |  | |  | |  | |  | |  |  |  | |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| R |  | |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| A |  | |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
|  |  | |  | |  | |  | |  | |  |  |  | |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
|  |  | |  | |  | |  | |  | |  |  |  | |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| \*PP: Target dates agreed as per Procurement Plan R: revision 1,2 etc. | | | | | | | | | | | | | | | | A: actual dates ¨RFP (Request for Proposal): Same as ‘Bid Document’ #Technical and Financial | | | | | | | | | | | | | | | | | | | | |
| \*\* Applicable in case of ‘Prior Review’ by IFAD | | | | | | | | | | | |  |  |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| @ State whether | | | | | | (i) Direct Contracting; or | | | | | |  |  |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  |  | |  | |  | | (ii) Competitive. If Competitive, then state whether International Competitive Bidding (ICB), National Competitive Bidding (NCB), International or National Shopping | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|  |  | |  | |  | | (iii) Work by Force Account (**if applicable)** | | | | | | | |  | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |

**Annex 5: Template for Annual Progress Report**

**Project name**

**(add pictures as you like)**

**Annual Report**

**Project Year: ……..**

**Fiscal Year: Nepali (English)**

**Project Management Office**

**Address**

**Date (Month and Year)FACTSHEET**

**PART I**

|  |  |
| --- | --- |
| **Country:** | *NEPAL* |
| **Project Title:** |  |
| **Project Number:** |  |
|  |  |
|  |  |
| **Financial year:** | *Indicate financial/fiscal year for the proposed budget* |
| **Reporting period:** | *Indicate which period is covered by the report (e.g. June 2006/May 2007)* |
| **Year of implementation** | *Situate reporting period within the overall project duration (e.g. Year 3)* |
|  |  |
| **Total expenditure (*in USD):*** |  |
| **Total expenditures to date (*in USD):*** | *IFAD source: USD*  *Government source: USD*  *Co-financier: USD*  *Beneficiary contribution: USD* |
| **Total expenditure for this Year (USD)** | *IFAD source: USD*  *Government source: USD*  *Co-financier: USD*  *Beneficiary contribution: USD* |
|  |  |
| **Date of loan effectiveness:** |  |
| **Date of project start:** | *Indicate date of actual start of project implementation[[40]](#footnote-40)* |
| **Project duration:** | *Indicate number of years for total project duration* |
| **Date of project closing:** | *Indicate estimated year of project closing* |
|  |  |
| **Date of latest Logframe revision** | *Indicate date of latest approved Logframe revision* |
|  |  |
| **Date of RIMS benchmark survey**: | *Indicate date when the initial RIMS baseline survey was carried out* |
| **Date of RIMS mid-term survey**: | *Indicate date when the mid-term RIMS survey was (or will be) carried out* |
| **Date of RIMS completion survey**: | *Indicate estimated date for carrying out the RIMS completion survey* |
|  |  |
| **Date of Mid-Term Review** | *Indicate date when the Mid-Term Review was (or will be) carried out* |
| **Date of Completion Review** | *Indicate date when the Completion Review will be carried out* |

1. **Background** 
   1. **Introduction:** *This section provides a brief introduction of the project indicating the following information: goal and objectives,* c*overage (geography and beneficiaries), executing agency, key implementing partners.*
   2. **Target Group:***This section provides information on the target group served during the year such as production groups/cooperatives, agri-business/traders etc. This section also explains any changes that become effective over the reporting period in regards to the situation or attitude of the project Target Group.*
   3. **Implementation arrangements:***This section provides a brief description on the implementation arrangements and highlights the changes occurred in such arrangements during the reporting period. This may include staffing structure, hiring of the service providers relating to the initial implementation arrangements.*
   4. **Cost and Financing:***This section provides the total expenditure amount with contribution from various financing agencies. A table as under indicating total project resources, actual expenditure by the end of reporting period and amount available for the remaining project period as under after a brief narrative summary.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sno | Category | Total Project Budget | Total Actual Expenditure (reporting year) | Cumulative Actual Expenditure | Available resources for remaining project period |
| A | B | C | D | E | (B-E) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  | Total |  |  |  |  |

**Costs:** *Highlight any major changes in unit costs due to inflation/deflation or changes in design compared to previous years and their probable impact on project budget. Indicate the manner in which these changes are being dealt within the next years (e.g. budget re-allocation).*

**Financing:***Indicate encountered issues related to the flow of funds, to the timeliness of budget approval and funds availability and to disbursement procedures for all project financiers. Suggest measures to overcome these constraints in future.*

* 1. **Government policies:** *Indicate any change or new policies that became effective over the reporting period and how they impacted on project implementation. Briefly explain the measures adopted to mitigate potential negative effects or to take advantage of potential opportunities.*
  2. **Production factors/local economic context:** *Discuss major changes in the external economic context with an impact on the sustainability or economic rate of return of project’s investments (e.g. decline in market prices, persistent droughts in target area). Briefly explain the measures adopted to mitigate negative effects or to take advantage of opportunities.*
  3. **2. Achievements to date:** *This section provides a summary of key achievements during the reporting period mainly focusing on the objective of the Project such as outreach, increased income of the beneficiaries, partnership/collaboration established that the project is proud of. And also provides a summary of cumulative achievements on various Logframe and COSOP indicators covering physical and financial aspects as under.*

***2.1Physical progress****: This section summarizes the key achievements, for the reporting year and cumulative, on main Logframe and COSOP indicators. A brief narrative summary highlights the cumulative achievements and a table below presents the achievements for the reporting year.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Sno* | *Key Indicators* | *AWPB Target* | *Achievements of the year* | *Achievements (%)* | *Cumulative Progress (as at…..)* |
| *Logframe Indicators* | |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| *COSOP Indicators* | |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

***2.2 Financial progress****: This section mainly highlights on the disbursement from various financers for the reporting period. A brief narrative summary and a table below can be used for the purpose.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Financer | AWPB Target | Actual Expenditure | Total WA Claim | Disbursement (%) |
| GON |  |  |  |  |
| IFAD Loan |  |  |  |  |
| IFAD Grant |  |  |  |  |
| Financer 1 |  |  |  |  |
| Financer 2 |  |  |  |  |
| Total |  |  |  |  |

**3. Detailed Achievements by Components**

**3.1 Component 1: Component Name**

***Objectives****: Describe the component objectives and physical targets as underlined in the original design.Indicate any substantial changes in objectives and physical targets for the reporting period following a major change in the context or a revision of the project Logframe.*

***Changes in implementation strategy:*** *Briefly indicate any changes in the project implementation strategy as compared to original design/previous year(s). Justify why these changesand present the benefits of this change.*

***Activities and results:*** *Detail out key activities and results from the implementation of activities. Information on outreach, changes in the income level of the beneficiaries, capacity building at various level would be worth indicating. Please refer to the annex (Part II) for detailed information.*

**3.2 Component 2: Same as above.**

**3.3 Component 3: Same as above.**

**3.4Component 4: Same as above.**

**4. Annual Procurement**

*Provide a narrative summary on the total procurement made during the period including goods and services, equipment, machinery and vehicles. Also comment on problems encountered during the procurement process and provide information as indicated below.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| *Sno* | *Particulars* | *Qty* | *Budgeted Amount* | *Spent Amount* | *Procurement Method Used* | *Custodian (materials & equipment)* | *Remarks* |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

**5. Implementation support *[Suggested length 0.5 page maximum]***

*[Refer back to the AWPB where a last section is about implementation support needs. Indicate whether the requested implementation support needs were met during the reporting period or not. Also highlight the principal capacity gaps identified among the PMU staff -or any other staff from other implementing agencies- during the course of implementation during the reporting period.*

**6. Conclusion and Recommendation**

**Annex 6: Template for Annual Outcome Survey**

|  |  |
| --- | --- |
| [*Insert logo of implementing agency*]  QUESTIONNAIRE ID: **/\_\_\_/\_\_\_/\_\_\_/** | |
| ANNUAL OUTCOME SURVEY | |
| [*Insert name of the project and country*] | |
| **I** | Date (D/D/M/M/Y/Y/Y/Y) : */\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/* |
| **II** | Name of the enumerator: *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |

*Note for enumerator : Before starting the interview, introduce yourself, explain what are the objectives of the survey and ask the person if he/she consents to respond to the questions. If not, go to the next household.*

*Circle codes corresponding to the answers in the right column.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| A – HOUSEHOLD IDENTIFICATION | | | | |
| **A.1** | Village \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | A.2 | District or Province \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| **A.3** | Name of the head of household : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| **A.4** | What is the gender (sex) of the household head? | | | A. Male B. Female |
| **A.5** | In terms of income group, in which of the following categories would you consider that your households belongs?: | | | A. Well off  B. Average  C. Poor  D. Very poor |

|  |  |  |
| --- | --- | --- |
| B – PARTICIPATION IN PROJECT ACTIVITIES | | |
| **B.1** | Since when is your household involved in project activities (year)? | /\_\_\_/\_\_\_/\_\_\_/\_\_\_/ |
| **B.2** | Over the last 12 months, were you (or any household member) involved in any activity of the [*insert name of the project*] | A. Yes  B. No (->***go to B4***) |

|  |  |  |
| --- | --- | --- |
| **B.3** | In which of the following project activities were you (or any member of your household) involved during the past 12 months? *[For each main set of activity below (e.g. “Forestry training”, circle the corresponding code]* | |
|  | *B.3.1 -* [*Insert name of activity a*] | A. Yes B. No |
|  | *B.3.2* **-** [*Insert name of activity b*] | A. Yes B. No |
|  | *B.3.3* **-** [*Insert name of activity c***]** | A. Yes B. No |
|  | *B.3.4* - [*Insert name of activity d*] | A. Yes B. No |
|  | *B.3.5* **-** [*Insert name of activity e*] | A. Yes B. No |
|  | *B.3.6* **-** [*Insert name of activity f*] | A. Yes B. No |
|  | *B.3.6* **-** [ *continue list of activities…*] | A. Yes B. No |
| **B.4** | In general, regarding how your participation in project activities has impacted on your living conditions, are you: | A. Very satisfied  B. Moderately satisfied  C. Not satisfied at all |
| **B.5** | How often do you have contact with project staff (extension workers; facilitators, etc.)? | A. Frequently  B. Occasionally  C. Rarely |

|  |  |  |  |
| --- | --- | --- | --- |
| C - LIVELIHOODS | | | |
| **C.1** | Do you have a source of cash income? | | A. Yes  B. No (no cash income, only subsistence agriculture) |
|  | C.1.1 **–** Compared to last year (*i.e. 12 months ago*), would you say that, this year, your ***income*** is: | | A. Higher  B. Equal  C. Lower |
| **C.2** | What is the ***main source of income*** of your household?  *[Use codes below and write corresponding code on the right]* | | /\_\_\_/  *[*One answer only] |
|  | *[Adapt the response options below to the context of your project*]  A. Agriculture and sales of crops  B. Fishing and sales of fish  C. Livestock and sales of animals  D. Natural resources  E. Petty trading  F. Unskilled labour | G. Salaries, wages (employees)  H. Handicraft  I. Remittances  J. Begging, assistance  K. Other (specify: | |
| **C.3** | Do you have other sources of income? | | A. Yes B. No (->*go to* ***D.1***) |
|  | *C.3.1 -* What are these **other *income*** sources for your household?  *[Use same codes as above ]* | | /\_ \_ \_/ ; /\_ \_\_/ ; /\_\_ \_/  *[Max 3 answers]* |

|  |  |  |
| --- | --- | --- |
| D – FOOD SECURITY | | |
| **D.1** | Over the last 12 months, was there any period(s) during which you were ***not able to provide 3 meals per day*** for your household (*food shortage period*)? | A. Yes  B. No *(->go to* ***D.2****)* |
|  | *D.1.1-* For how many weeks in total, over the last 12 months? | /\_\_\_/\_\_\_/ |
|  | *D.1.2 –* Was there an improvement as compared to previous year? | A. Some improvement  B. Same  C. Situation is worse |

|  |  |  |
| --- | --- | --- |
| E – LAND TENURE | | |
| E.1 | Do you ***own*** productive land (including fish ponds)? | A. Yes B. No (*->go to* ***E.2***) |
|  | *E.1.1*- What is the ***size*** of your land (in acres)? | /\_\_\_/\_\_\_/ acres |
| E.2 | Do you have ***property rights*** on a land? | A. Yes B. No (->*go to* ***F.1***) |
|  | *E.2.1 -* How ***secure*** do you consider your property rights? | A. Very secure  B. Moderately secure  C. Insecure  D. Very insecure |

|  |  |  |
| --- | --- | --- |
| F - AGRICULTURAL PRODUCTION AND IRRIGATION | | |
| **F.1** | Do you cultivate land, and if so, for what purpose? | A. Yes, own consumption only  B. Yes, sales only  C. Yes, consumption and sale  D. No (->*go to* ***F.5***) |
|  | *F.1.1* - Do you grow high value crops? [*provide definition of high value crop*] | A. Yes B. No |
|  | *F.1.2* - Compared to last year (*i.e. 12 months ago*), did the ***productivity*** of your crops increase this year? | A. Yes B. No (*-> go to* ***F.2***) |
|  | *F.1.2.1* **-** How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | *F.1.2.2* **–** Is this increase related to any project activity? | A. Yes B. No |
|  | | |
| **F.2** | During the past 12 months, did you adopt any new ***agricultural production technology*** promoted by the project? | A. Yes B. No (*-> go to* ***F.3***) |
|  | *F.2.1* - Which one? *[response options to be adapted by project]* | */\_\_\_\_/ ; /\_\_\_\_/*  *[Two answers maximum]* |
|  | *[Adapt the response options below to the context of your project*]  A. Technology a  B. Technology b  C. Technology c  D. Technology d  E. Technology e |  |
|  | | |
| **F.3** | Compared to last year (*ie. 12 months ago*), this year, did your***crop production area*** increase: | A. Yes B. No (->*go to* ***F.4***) |
|  | *F.3.1*- How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | *F.3.2***–** Is this increase related to any project activity? | A. Yes B. No |
|  | | |
| **F.4** | Do you use ***irrigation***system(s)? | A. Yes B. No (->*go to* ***F.5***) |
|  | *F.4.1* - Did you manage to increase your irrigated area this year compared to last year (*i.e. 12 months ago*)? | A. Yes B. No (->*go to* ***F.5***) |
|  | *F.4.1.1-* How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | *F.4.1.2***–** Is this increase related to any project activity? | A. Yes B. No |
|  | | |
| **F.5** | Do you have access to a ***fish pond***? | A. Yes B. No (->*go to* ***F.6***) |
|  | *F.5.1 -* Compared to last year (*i.e. 12 months ago*) did the productivity of this fish pond increase this year? | A. Yes B. No (*-> go to* ***F.6***) |
|  | *F.5.1.1-* How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | *F.5.1.2***–** Is this increase related to any project activity? | A. Yes B. No |
|  | | |
| **F.6** | Do you own ***livestock***? | A. Yes B. No (->*go to* ***G.1***) |
|  | *F.6.1-* Compared to last year (*i.e. 12 months ago*), is your herdsize larger this year? | A. Yes B. No (->*go to* ***G.1***) |
|  | *F.6.1.1 -* How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | *F.6.1.2***–** Is this increase related to any project activity? | A. Yes B. No |

|  |  |  |
| --- | --- | --- |
| G – ACCESS TO MARKETS | | |
| **G.1** | Do you get an income from ***sales of agricultural production***? | A. Yes B. No (->*go to* ***G.2***) |
|  | *G.1.1* - Compared to last year (*i.e. 12 months ago*), hasyourincome from***sales of agricultural production*** increased? | A. Increased  B. Did not change  C. Decreased |
|  | *G.1.2* - Do you have a ***contract*** for selling your production? | A. Yes B. No (->*go to* ***G.2***) |
|  | *G.1.2.1*- Has this contract improved your financial situation? | A. Yes B. No |
| **G.2** | Compared to last year (*i.e. 12 months ago*), has your ***physical access*** to market improved this year? | A. Yes B. No |

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

*The following sections (H, I and J) are optional: they should be included in the questionnaire only if the project is involved in activities related to the particular topic. For example, if the project has a natural resources management component, include the section on NRM (section J). Remove the sections that are not relevant to the project*

|  |  |  |
| --- | --- | --- |
|  | H – ACCESS TO RURAL FINANCIAL SERVICES |  |
| H.1 | Did you (or any household member) ***borrow money*** over the last 12 months? | A. Yes B. No (->*go to* ***H.2***) |
|  | *H.1.1* **–** What was the source of credit? | A. Informal (friends, NGOs, Cooperatives/credit group)  B. Formal (bank/micro-finance institution) |
|  | *H.1.2* **-** How much did you borrow (total last 12 months)?  *[Write the amount in the local currency]* | /\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/  *[Currency]: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
|  | *H.1.3 –* Have you repaid the amount borrowed? | A. Yes  B. Not yet, but soon  C. No, cannot repay |
|  | *H.1.4-* What did you - or will you - use the money for?  *[One answer: only the main use should be reported]* | A. Consumption (food, clothes, ceremonies, etc.)  B. Income generating activities (tools; equipment, etc.)  C. Other investments (housing improvement, land acquisition; etc.)  D. Education  E. Health |
| H.2 | Overall, do you consider that, compared to last year (*ie. 12 months ago*), your household has now a better***access to financial services***? | A. Yes B. No |
|  | *H.2.1-* Would you say this is related to any project activity? | A. Yes B. No(->*go to* ***I.1***) |

|  |  |  |
| --- | --- | --- |
| I - ENTERPRISE DEVELOPMENT AND EMPLOYMENT | | |
| I.1 | Do you or any household member have a ***non-farm enterprise***? [*Provide definition of non-farm enterprise e.g. handicraft activities*] | A. Yes B. No (->*go to* ***I.2***) |
|  | *I.1.1* – In addition to yourself, how many employees do you have? | A. No employee  B. One to two employees  C. Three to five employees  D. More than five employees |
|  | *I.1.2* - Did the project help your household establish or expand your enterprise/business? | A. Yes, establish  B. Yes , expand  C. No (->*go to* ***I.2***) |
| I.2 | **Did project help you find a job or improve your employment conditions?** | A. Yes B. No |

|  |  |  |  |
| --- | --- | --- | --- |
| J – ACCESS TO NATURAL RESOURCES | | | |
| ***[Section to adapt. Select only the parts that are relevant for your project activities.].*** | | | |
| **J.1** | Do you have access to community ***fish ponds***? | | A. Yes B. No (->*go to* ***J.2***) |
|  | *J.1.1* – Is this access regulated? | | A. Yes B. No |
|  | *J.1.2 –* Has your *access* to the fish ponds improved since last year? | | A. Yes B. No |
|  | *J.1.3* – Do you consider that the productivity of the fish ponds has improved as compared to last year? | | A. Yes B. No (->*go to* ***J.2***) |
|  | *J.1.3.1* - If yes, was it thanks to project activities? | | A. Yes B. No |
|  | | | |
| **J.2** | Do you have access to ***marine fisheries***? | | A. Yes B. No (->*go to* ***J.3***) |
|  | *J.2.1* –Is the access regulated? | | A. Yes B. No |
|  | *J.2.2 –* Has your *access* to marine fisheries improved since last year? | | A. Yes B. No |
|  | *J.2.3* –Do you consider that the productivity of the ***marine fisheries*** has improved as compared to last year? | | A. Yes B. No (->*go to* ***J.3***) |
|  | *J.2.2.1* –If yes, was it thanks to project activities? | | A. Yes B. No |
|  | | | |
| **J.3** | Do you have access to ***forest***? | | A. Yes B. No (->*go to* ***J.4***) |
|  | *J.3.1* –Is this access regulated? | | A. Yes B. No |
|  | *J.3.2* –Do you consider that your access to the *forest* has improved as compared to last year? | | A. Yes B. No (->*go to* ***J.4***) |
|  | *J.3.3* – Do you consider that the productivity of the forest has improved as compared to last year? | | A. Yes B. No (->*go to* ***J.4***) |
|  | *J.3.3.1* –If yes, was it thanks to project activities? | | A. Yes B. No |
|  | | | |
| **J.4** | | Do you have access to community ***pasture land***? | A. Yes B. No (-> end) |
|  | | *J.4.1* –Is this access regulated? | A. Yes B. No |
|  | | *J.4.2* –Do you consider that your access to *pasture land* has improved as compared to last year? | A. Yes B. No |
|  | | *J.4.3* – Do you consider that the productivity of the forest has improved as compared to last year? | A. Yes B. No (->*go to* ***J.4***) |
|  | | *J.4.3.1* –If yes, was it thanks to project activities? | A. Yes B. No |

**THIS IS THE END OF THE INTERVIEW, THANK YOU**

# *QUESTIONNAIRE B*

# *FOR NON BENEFICIARIES*

*This questionnaire is the same as questionnaire A except that it does not contain the questions related to project activities. The numbering should not be changed, so that same questions have the same number in both questionnaires.*

|  |  |  |  |
| --- | --- | --- | --- |
| C - LIVELIHOODS | | | |
| **C.1** | Do you have a source of cash income? | | A. Yes  B. No (no cash income, only subsistence agriculture) |
|  | C.1.1 **–** Compared to last year (*i.e. 12 months ago*), would you say that, this year, your ***income*** is: | | A. Higher  B. Equal  C. Lower |
| **C.2** | What is the ***main source of income*** of your household?  *[Use codes below and write corresponding code on the right]* | | /\_\_\_/  *[*One answer only] |
|  | *[Adapt the response options below to the context of your project*]  A. Agriculture and sales of crops  B. Fishing and sales of fish  C. Livestock and sales of animals  D. Natural resources  E. Petty trading  F. Unskilled labour | G. Salaries, wages (employees)  H. Handicraft  I. Remittances  J. Begging, assistance  K. Other (specify: | |
| **C.3** | Do you have other sources of ***income***? | | A. Yes B. No (->*go to* ***D.1***) |
|  | *C.3.1 -* What are these **other income** sources for your household?  *[Use same codes as above ]* | | /\_ \_ \_/ ; /\_ \_\_/ ; /\_\_ \_/  *[Max 3 answers]* |

|  |  |  |
| --- | --- | --- |
| D – FOOD SECURITY | | |
| **D.1** | Over the last 12 months, was there any period(s) during which you were ***not able to provide 3 meals per day*** for your household (*food shortage period*)? | A. Yes  B. No *(->go to* ***D.2****)* |
|  | *D.1.1-* For how many weeks in total, over the last 12 months? | /\_\_\_/\_\_\_/ |
|  | *D.1.2 –* Was there an improvement as compared to previous year? | A. Some improvement  B. Same  C. Situation is worse |

|  |  |  |
| --- | --- | --- |
| E – LAND TENURE | | |
| E.1 | Do you ***own*** productive land (including fish ponds)? | A. Yes B. No (*->go to* ***E.2***) |
|  | *E.1.1*- What is the ***size*** of your land (in acres)? | /\_\_\_/\_\_\_/ acres |
| E.2 | Do you have ***property rights*** on a land? | A. Yes B. No (->*go to* ***F.1***) |
|  | *E.2.1 -* How ***secure*** do you consider your property rights? | A. Very secure  B. Moderately secure  C. Insecure  D. Very insecure |

|  |  |  |
| --- | --- | --- |
| F - AGRICULTURAL PRODUCTION AND IRRIGATION | | |
| **F.1** | Do you cultivate land, and if so, for what purpose? | A. Yes, own consumption only  B. Yes, sales only  C. Yes, consumption and sale  D. No (->*go to* ***F.5***) |
|  | *F.1.1* - Do you grow high value crops? [*provide definition of high value crop*] | A. Yes B. No |
|  | *F.1.2* - Compared to last year (*i.e. 12 months ago*), did the ***productivity*** of your crops increase this year? | A. Yes B. No (*-> go to* ***F.2***) |
|  | *F.1.2.1* **-** How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | | |
| **F.2** | During the past 12 months, did you adopt any new ***agricultural production technology (e.g. promoted by government extension services or by a donor-funded project)***? | A. Yes B. No (*-> go to* ***F.3***) |
|  | *F.2.2* **–** How did you learn about this *new technology?* | A. Through government extension services  B. Through an NGO  C. Through donor-funded project  D. Through a neighbour/friend  E. On my own initiative |
|  | | |
| **F.3** | Compared to last year (*ie. 12 months ago*), this year, did your***crop production area*** increase: | A. Yes B. No (->*go to* ***F.4***) |
|  | *F.3.1*- How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | | |
| **F.4** | Do you use ***irrigation***system(s)? | A. Yes B. No (->*go to* ***F.5***) |
|  | *F.4.1* - Did you manage to increase your irrigated area this year compared to last year (*i.e. 12 months ago*)? | A. Yes B. No (->*go to* ***F.5***) |
|  | *F.4.1.1-* How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | | |
| **F.5** | Do you have access to a ***fish pond***? | A. Yes B. No (->*go to* ***F.6***) |
|  | *F.5.1 -* Compared to last year (*i.e. 12 months ago*) did the productivity of this fish pond increase this year? | A. Yes B. No (*-> go to* ***F.6***) |
|  | *F.5.1.1-* How would you quantify this increase? | A. Small  B. Medium  C. Large |
|  | | |
| **F.6** | Do you own ***livestock***? | A. Yes B. No (->*go to* ***G.1***) |
|  | *F.6.1-* Compared to last year (*i.e. 12 months ago*), is your herdsize larger this year? | A. Yes B. No (->*go to* ***G.1***) |
|  | *F.6.1.1 -* How would you quantify this increase? | A Small  B. Medium  C. Large |

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| G – ACCESS TO MARKETS | | |
| **G.1** | Do you get an income from ***sales of agricultural production***? | A. Yes B. No (->*go to* ***G.2***) |
|  | *G.1.1* - Compared to last year (*i.e. 12 months ago*), hasyourincome from***sales of agricultural production*** increased? | A. Increased  B. Did not change  C. Decreased |
|  | *G.1.2* - Do you have a ***contract*** for selling your production? | A. Yes B. No (->*go to* ***G.2***) |
|  | *G.1.2.1*- Has this contract improved your financial situation? | A. Yes B. No |
| **G.2** | Compared to last year (*i.e. 12 months ago*) has your ***physical access*** to market improved this? | A. Yes B. No |

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

*The following sections (H, I and J) are optional: they should be included in the questionnaire only if the project is involved in activities related to the particular topic. For example, if the project has a natural resources management component, include the section on NRM (section J). Remove the sections that are not relevant to the project*

|  |  |  |
| --- | --- | --- |
| H – ACCESS TO RURAL FINANCIAL SERVICES | | |
| H.1 | Did you (or any household member) ***borrow money*** over the last 12 months? | A. Yes B. No (->*go to* ***H.2***) |
|  | *H.1.1* **–** What was the source of credit? | A. Informal (friends, NGOs, Cooperatives/credit group)  B. Formal (bank/micro-finance institution) |
|  | *H.1.2* **-** How much did you borrow (total last 12 months)?  *[Write the amount in the local currency]* | /\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/\_\_\_/  *[Currency]: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
|  | *H.1.3 –* Have you repaid the amount borrowed? | A. Yes  B. Not yet, but soon  C. No, cannot repay |
|  | *H.1.4-* What did you - or will you - use the money for?  *[One answer: only the main use should be reported]* | A. Consumption (food, clothes, ceremonies, etc.)  B. Income generating activities (tools; equipment, etc.)  C. Other investments (housing improvement, land acquisition; etc.)  D. Education  E. Health |
| H.2 | Overall, do you consider that, compared to last year (*i.e. 12 months ago*), your household has now a better***access to financial services***? | A. Yes B. No |

|  |  |  |
| --- | --- | --- |
| I - ENTERPRISE DEVELOPMENT AND EMPLOYMENT | | |
| I.1 | Do you or any household member have a ***non-farm enterprise***? [*Provide definition of non-farm enterprise e.g. handicraft activities*] | A. Yes B. No (->*go to J.1*) |
|  | *I.1.1* – In addition to yourself, how many employees do you have? | A. No employee  B. One to two employees  C. Three to five employees  D. More than five employees |
|  | *I.1.2* - Did anyone help you establish or expand your enterprise or business? | A. Yes (*Establish*)  B. Yes *(Expand*)  C. No |
|  | *I.1.2.1* - If yes, who helped you? | A. Government extension services  B. An NGO  C. A donor-funded project |

|  |  |  |  |
| --- | --- | --- | --- |
| J – ACCESS TO NATURAL RESOURCES | | | |
| ***[Section to adapt. Select only the parts that are relevant for your project activities.].*** | | | |
| **J.1** | Do you have access to community ***fish ponds***? | | A. Yes B. No (->*go to* ***J.2***) |
|  | *J.1.1* –Is this access regulated? | | A. Yes B. No |
|  | *J.1.2* – Has your access to fish ponds improved compare to last year? | |  |
|  | *J.1.3* –Do you consider that the productivity of the fish ponds has improved as compared to last year (*i.e. 12 months ago*)? | | A. Yes B. No (->*go to* ***J.2***) |
|  | | | |
| **J.2** | Do you have access to ***marine fisheries***? | | A. Yes B. No (->*go to* ***J.3***) |
|  | *J.2.1* –Is the access regulated? | | A. Yes B. No |
|  | *J.2.2* – Has your access to fish ponds improved compare to last year? | |  |
|  | *J.2.3* –Do you consider that the productivity of the fish ponds has improved as compared to last year (*i.e. 12 months ago*)? | | A. Yes B. No (->*go to* ***J.3***) |
|  | | | |
| **J.3** | | Do you have access to ***forest***? | A. Yes B. No (->*go to* ***J.5***) |
|  | | *J.3.1* –Is this access regulated? | A. Yes B. No |
|  | | *J.3.2* – Has your access to fish ponds improved compare to last year? |  |
|  | | *J.3.3* –Do you consider that your access to the forest has improved as compared to last year (i.e. 12 months ago)? | A. Yes B. No (->*go to* ***J.4***) |
|  | | | |
| **J.4** | | Do you have access to community ***pasture land***? | A. Yes B. No (-> end) |
|  | | *J.4.1* –Is this access regulated? | A. Yes B. No |
|  | | *J.4.2* – Has your access to fish ponds improved compare to last year? |  |
|  | | *J.4.3*–Do you consider that your access to pasture land has improved as compared to last year (*i.e. 12 months ago*)? | A. Yes B. No |

**THIS IS THE END OF THE INTERVIEW, THANK YOU**

**Annex 7: Terms of Reference: PCU Project Coordinator and Accounts Officer**

**Project Coordinator**

1.The Project Coordinator will coordinate Project management and ensure that implementation is realised according to the conditions of theloan agreement and based on theProject appraisal report. S/he needs to ensure effective and timely implementation of the Project,with special attention to providing overall inter-agency coordination and facilitation at various levels.Under the direction and supervision of the PSC, the PC coordinates the PCU and DPCUs to ensure that the strategic outcomes of the Project are achieved.Particularly,the PC leads the PCU to ensure the M&E requirements described are developed and implemented in a timely manner that represents the views of key stakeholders. S/he is also responsible for making sure there are sufficient and appropriate personnel with the right level of resources and other support needed to implement the Project.

2. In particular, the PC will serve as leader of the Project management team in order to achieve the following responsibilities: (i)Project Implementation Coordination; (ii)Financial/Asset Management; (iii)Contract Management; (iv) Personnel Management (v) Government Liaison/External Relations;and(vi)Knowledge Management and Policy Development.

**Organizational relationships**

3. The PC will be responsible for Project progress and will be accountable to thePSC,the government ministries and relevant staff of IFAD. S/he will also be accountableto the Project stakeholders for Project progress,problems and improvements.

**Responsibilities and tasks**

Early implementation tasks

a) Lead formulation of Project Implementation Manual (PIM)and other guidelines;

b) Assist the Secretary MoFSC in establishment of the Project SteeringCommittee;

c) Appoint keyPCU staff and supervise their activities;

d) Guide the establishment of administrative, accounting and Project-outcome M&E

systems;

e) Coordinate training workshops on the Project strategy and approaches, AWPB and procurement for the first year with key stakeholders to ensure an updated andshared understanding of the Project strategy and information needs;

f) Ensure that an effectiveandparticipatoryM&E system is established and effective. Ongoing operational management tasks

a) Prepare the AWP Band revise the M&E plan and system by seeking stakeholder inputs inorder to produce these plans with the full commitment of al lthe organizations involved in the Project. Present theAWPB and M&E plan to the relevant approval bodies in a timely manner for review and approval;

b) For each service provider contract,ensure that detailed specifications are prepared in a timely,objective,fair and transparent manner, including the M&E responsibilities and administration of terms and awards;

c) Ensure the holistic implementation of the Project, ensuring theProject outcomes and levels are seamlessly joined in the pursuit of market-led poverty alleviation amongst poor and minority households;

d) Make sure the business of the Project is conducted in an efficient manner by supervising and monitoring Project implementation. Ensure that timely decisions on corrective actions are madeand implemented;

e) Direct and supervise the day-to-day operations of the Project, guided by the Project document and the AWPB, providing any necessary amendments to ensure smooth performance;

f) Mobilize relevant technical assistance in a timely manner, with clearly demarcated responsibilities that are based on the participatory and equityprinciplesoftheProject;

g) Assure that all contractual obligations are adhered to and make the necessary contacts and efforts to ensure implementation meets Project targets;

h) Regularly appraise staff and provide feedback and support to enable them to do their jobs.

Ongoing financial management tasks

a) Ensure that Project expenses are kept, consistent with Government and IFAD

administrative and financia lprocedures and practices;

b) Ensure that Project suppliers and locally paid staff are paid promptly and adequately through liaison with Ministryof Finance and the IFAD Country Office finance staff;

c) Ensure that Project expenditure is being coded correctly and consistently (that is allocated to correct category and budget line) and that Project funds are used solely for the purposes for which they were granted and in accordance with relevant IFAD guidelines;

d) Establishan asset register for all assets purchased by or provided to the Project in line with stand ard IFAD policies;

e) Check the monthly Project financial report for accuracy and appropriateness.Regularly meet with the Finance Manager concerning financial reporting issues, errors, trends, payment delays and related matters;

f) Monitor expenditure on a monthly basis against the approved AWPB inorder to prepare and send timely fund with drawal applications to IFAD.Review expenditure projections to ensure that expenditure stays within budget. Significant actual or anticipated expenditure variances against the budget should beincluded in the monthly report to line management together with any recommendations for changes to the budget.

Communication

a) Develop close working relationships with all Project participants and stakeholders– including the primary stakeholders, line departments, private sector and NGOs–all parties required to establish a shared vision of the Project to achieve objectives;

b) Establish and maintain good working relations with the relevant government ministries, as well as other higher-level stakeholder groups;

c) Ensure easy public access to M&E reports and data and makesurethey are widely distributed;

d) Submit required analytical reports on progress–including indications of planned actions and financial statements–on time and to there levant bodies,with assistancefrom M&E staff;

e) Encourage staff to report frankly on fieldwork, highlighting problems and possible solutions plus lessons learned.Reward innovation in critical reflectionand learning;

f) Ensure the planning of and participate in key reflection moments–inparticular,the annual Project reviews;

g) Sign implementation agreements with the implementing partners,defining the modalities for implementation and M&E. Ensure that participatory M&E and learning initiatives are specified interms consistent with the direction of theProject;

h) Control the budget and safeguard against Project funds and assets mis-use;

i) Makeall efforts to engage keystakeholders in important external evaluations to ensure an understanding of locally perceived impacts and problems;

j) See that all ad-hoc evaluation studies needed to gain timely and relevant insights into emerging areas ofconcern areundertaken.Make sure the resulting data are sharedwith all those involved in decision making and followup on the implementation of any decisions;

k) Support external missions inways that foster a joint learning process that identifie show the Project couldbe improved further to achieveimpact.

Knowledgesharing and Policy interventions

a) Consolidate a culture of lessons learning involving all Project staff and allocate specific responsibilities of knowledge management to Project staff,implementing agencies and Project stakeholders;

b) Ensure that the Project captures and share lessons learned through theM&Esystem, supervision and evaluation missions and periodic visits to sites;

c) Document, package and disseminate lessons frequently and not less than once every three months;

d) Facilitate exchange of experiences by supporting and coordinating participation in knowledge sharing workshops,tele conferences, development of IFAD Nepal website and any other existing knowledgesharing network of IFADat the regional and countrylevel;

e) Identify and participatein additiona lnetworks, for example scientific or policy-based networks that may also yield lessons that can benefit Project implementation.

Selection Criteria

**Core Competencies**

a) People Skills: Ability to work independently and as a team player who demonstrates leadership an disable to support and train local and international staff and is able to work with ethnic minority communities in a sensitiveandparticipatorymanner;

b) CommunicationSkills:Well developed written and oral communicationskills.Ableto communicate clearly and sensitively with internal and external stakeholders as a representative of an IFAD Project.This includes effective negotiationandrepresentation skills;

c) Integrity:Works with trustworthinessand integrityand has a clear commitment to poverty reduction of local communities;

d) Resilience/Adaptability and flexibility: Ability to operate effectively under extreme circumstances including stress,high security risks an dharshliving conditions.Works and lives with a flexible,adaptable and resilient manner;

e) Awareness and sensitivity of self and others:Demonstrates awareness andsensitivityto gender and diversity.Hasexperience and the ability to live and work in diverse cultural contexts in a culturally appropriate manner;

f) Work style: Is well organized even with in a fluid working environment and has a capacity for initiative and decision making with competent analytical and problem solving skills;

g) Readiness to work with people of all backgrounds without bias;

h) Ability to coach and mentor staff in across culturalenvironment. Technical Competencies

a) Sound experiencein working for IFAD Projects;

b) Ability to develop and foster external organizational relationships and applied representati on skills;

c) Knowledge and skills: knowledge of Government and IFAD policies and procedures on gender,environment, corruption and general Project finance and administration management;

d) Have telecommunication skills and proficiency in information technology/computerskills;

e) Written and spokenEnglish language skills preferred.

**AccountsOfficer**

1. The Project will employ an Accounts Officer. S/he could be seconded from the regular government service.

**Reporting**

2. The Accounts officer will report to theProject Coordinator.

**Responsibilities**

3. The Accounts Officer of the PCU will be responsiblefor establishing and maintaining the overall financial management system of theProject with the assistance of Financial Managementand Procurement Officer.He/she will work in close coordination with the Project Coordinator, Financial Management and Procurement Specialist and DPCU Accountants.He/she will report directly to theProject Coordinator.His/her functions and responsibilities will include but are not limited to:

(a) Ensure installation of a computerized accounting system.Thesystem should becapable of capturing project expenditureby category,bycomponent and by activity.The system should automatically generate trail balance,bank reconciliation,Project Financial Statements,the register of contracts and withdrawal application for replenishment/ reimbursement inI FAD specified formats;

(b) Establish and maintain essential financial recording,stock management andreporting systems for Project operations according totheProject ImplementationManual;

(c) Establisha ndmaintain the DesignatedAccounts in USD and the operational Accountin

Local Currency ifapplicable;

(d) Prepare andsubmi tWithdrawal Applications atleast oncein each trimester for replenishment in Designated Accounts in USD or reimbursement in GoN treasury,and ensure correct supporting documentsare submitted,and that currency conversionsare done in accordancewithIFADrequirements;

(e) Ensurethat all project consolidated reports are prepared and sent to IFAD and meet the

IFAD reporting requirement and deadline;

(f) Assist the Project Coordinator with thepreparationof Annual WorkPlan and Budget (AWPB);·Ensure that flow of funds from IFAD to PCU, PCUto DPCUs and district project line agencies are release in accordanceto the approved AWPB;

(g) Ensure that the expenditures arein accordancewith IFAD FinancingAgreement;

(h) Ensure that theproject accounts areaudited in time and audit reports aresent toIFAD;

(i) Establish and maintain project Logof AuditObservation andTableof Summary Report of Audit Observations;

(j) Assist DPCUAccountants in preparation of statements of accounts for regular reporting and auditing,and speedy resolution of audit observations and recommendations;

(k) Provide orientation and necessary training to the DPCUAccountants and thestaff involved in project financial management;

(l) Conduct a periodic visit of DPCUs and district project lineagencies with thepurpose of internal control and expendituretracking;

(m) Such other duties as may be assigned by the Project Coordinator including assisting the

Project Coordinator incomplying fiduciary responsibilities.

**Qualifications**:

4. Bachelor Degree in Business Studies or Commerce(the latter with accounting as a major subject) and atle as t5years’experience in theposition ofAccountsOfficer, responsible for the overall management and approval oforganizational financial records.Familiarity with all key aspects of GoN accountingsystems.A minimum of 2 years’ experience in the financial management and account spreparation of a donor funded project would behighly desirable. Excellent computer skills in Microsoft OfficeExce land Microsoft Office Word. Posting to this position from GoN will require a commitment from both GoN and theperson involved for a minimum duration of 3 years prior to any transfer or reassignment.

**Annex 8: Terms of Reference CCA and GESI Screening**

**Invitation to bid for the CCa daptation screening of MoFSC, MoLD, MoAD, MoPE, MoFALD and Project Districts for climate adaptation preparedness.**

**INTRODUCTION**

1. The Adaptation for Smallholders in Hilly Areas (ASHA) Project aims to strengthen the adaptive capacity of communities and institutions to better contend with climate change risks. Implemented by the Ministry of Forests and Soil Conservation (MoFSC), the project target is to directly benefit at least 100,000 households in 6 mid-western districts over a period of 6 years. Funded by the International Fund of Agricultural Development (IFAD), the total budget of ASHA is estimated at USD 37.6 million, including IFAD PBAS USD 10 million, IFAD ASAP USD 15 million, GoN USD 6.6 million, and USD 6 million in kind beneficiary contribution. Closely interlinked and phased across the project life, the Project has two main components in addition to Project Coordination.
2. Component 1. Framework for local-level climate adaptation strengthened: This component focuses on building the capacity of participating institutions for inclusive, scalable, climate change (CC) adaptation within the most climate vulnerable communities in Nepal, in addition to the preparation of enhanced LAPAs. Through the Phase 1 piloting of tools for enhanced LAPAs, includingsub-watershed based adaptation plansand participatory scenario development (PSD), the Project aims to better address the multi-dimensional risks associated with climate vulnerability and provide a set of reliable tools for mainstreaming this approach across the LAPA process.
3. Component 2. Climate resilience of vulnerable smallholders improved: Guided by the participatory LAPAs prepared, the Project will implement LAPA highlighted activities eligible for IFAD and ASAP investment, at household and community levels.
4. As part of Component 2 of ASHA to strengthenthe local-level adaptation framework, this CC adaptation screening activity aims to assess the central and district staff capacities within the MoFSC, MoAD, MoLD, MoPE and MoFALD to facilitate adaptation and reduce the vulnerability of smallholder farmers to climate related risks in a gender and socially inclusive manner. Through the assessment of current staff and institutional capacities to implement sector programmes on adaptation and environmental management, and through participatory dialogue with the national and local experts, this activity willdefine the capacity building, knowledge management and institutional strengthening needs of the respective line ministries and districts. The activity, in particular, will develop an action plan to build the capacity of key line ministry staff, district technical officers in agriculture, forestry, livestock, soil conservation, irrigation and others, and staff at sub-district service centres to support the effectivepreparation and implementation of enhanced LAPAs.

**OBJECTIVES & EXPECTED RESULTS**

Overall objectives

1. To enable GoN line ministries, district institutions and extensions to be effectively responsive to smallholderfarmer’s adaptation needs through the NAPA and LAPA preparation and implementation.

Specific objective

1. The specific objective of the assignment is to conduct a *CC adaptation screening* of MoFSC, MoAD, MoLD, MoPE, MoFALD and ASHA Project Districts (Salyan, Rukum, Rolpa,n Dailekh, Kalikot and Jajarkot) to assess the current staff competencies and the required capacity building needs for the effective preparation and implementation of enhanced LAPAs in a gender and socially inclusive manner.

Results to be achieved by the Consultant

1. The Consultant(s) will screen the MoFSC, MoAD, MoLD, MoPE, MoFALD and ASHA Project Districts in accordance with the following criteria, and will prepare detailed reports on capacity gaps and an action plan detailing the means for their mitigation.

At Ministry level:

* Whether CCA is mainstreamed in sector guidelines, especially for local level planning and development, and if the climate risks and adaptation guidelines take into account GESI considerations
* If the level of awareness on CC risks and impacts, including future scenarios, particularly on rural women and minority groups, is acceptable
* If the quality of knowledge and understanding on GESI sensitive adaptation planning (NAPA, LAPA) and innovative adaptation tools, practices and technologies to address local level challenges is adequate
* Whether specific functions or institutional capacity is empowered to utilise enhanced LAPA preparation tools (sub-watershed based planning and PSD)
* Whether budgets and responsibilities are allocated to climate smart innovation,knowledge and capacity development
* If the Ministry has a human resource development strategy and plan in place to support its district or regional level staff to implement sector programmes on adaptation and environmental management
* If knowledge products on climate adaptation arepublished and disseminated within and outside the Ministry; e.g. the Ministry promotes CC mainstreaming and adaptation practices on its website
* If climate information and knowledge is actively collected and used for developing CC adaptation strategies and programmes
* If feedback loop from the levels of local government and communities is in place for making Policies and Plans more climate smart
* If the Ministry is actively participating in CCA related coordination and knowledge platforms, promotes the need for a joint and coordinated (inter-sectoral) approach

For the districts:

* If the level of awareness on CC risks and impacts, including future scenarios, particularly on rural women and minority groups, is acceptable
* If the quality of technical knowledge and implementation experience on GESI sensitive adaptation planning (NAPA, LAPA) and innovative adaptation tools, practices and technologies to address local level challenges is adequate
* If district staff have access to guidelines and extension materials on adaptation best practices, innovative tools and technologies
* If District line agencies and extensions are empowered to facilitate effective preparation and implementation of enhanced LAPAs (sub-watershed based planning and PSD)
* If District line agencies and extensions actively participate in CCA related inter-sectoral coordination and knowledge platforms
* Whether a landscape and watershed approach is used in the local planning process, and vulnerability/risk maps produced and disseminated to all relevant stakeholders including VDCs and communities
* If the DEECC and AFECs are functional and if capacity is in place for facilitation and monitoring of LAPA preparation and implementation
* If the DDC reports on CCA expenditures and key CCA issues
* If DDC and VDC profiles include natural resources and CC vulnerabilities and risks
* If the design of infrastructure is done with improved climate resilience (updated design standards addressing e.g. high intensity rainfall, wind storms, erosion and earthquake); and if engineering expertise exists in the districts to support climate resilient infrastructure development
* If maintenance budgets are allocated and used for infrastructure, reflecting the importance good maintenance for dealing with increased pressures of e.g. high intensity rainfall and erosion
* If Community Awareness Centers (CACs) have CCA integrated in their knowledge base and services
* Whether Ward Citizen Forum (WCF) and VDCs are able to understand the impacts of CC on local development and have the capacity to judge and plan activities on their CC attribution and climate smartness

**ASSUMPTION & RISKS**

1. The following assumption are made:

* That management within the MoFSC, MoAD, MoLD, MoPE and MOFALD and participating Project Districts will engage effectively with the consultants in identifying and redressing climate adaptation capacity gaps;
* That MoFSC, MoAD, MoLD, MoPE and MoFALD and participating Project District technical staff are committed for enhancing the capacities to address climate adaptation needs within the smallholder-farming sector.

1. The following risks are identified:

* The MoFSC, MoAD, MoLD, MoPE and MoFALD and participating Districts are unable to release management and senior technical staff in sufficient numbers or in a timely manner for an effective climate adaptation screening process;
* The project team does not have the appropriate skills and roles;
* The proposed ASHA project design is not functional;
* The project is not completed within the expected timeframe.

**DURATION OF THE WORK**

1. The Consulting Firm is required to complete the assignment within thefive month time period from the date of contract has been signed.

**METHODOLOGY OF THE WORK**

1. The Consultant will organize interaction meetings to present clear definitions of the set criteria to improve the NAPA and LAPA preparation and implementation, to validate the research tools and methodologies, and to collect information on staff capacities of line ministries and the district line agencies on climate change adaptation, NAPA and enhanced LAPA preparation and implementation. The consultant shall prepare the preliminary report based on the desk review, data analysis and interaction meeting and workshop held with line ministries and line agencies. Further, the consultant shall coordinate with relevant institutions for gathering existing data, including FAO Nepal which has also engaged in an activity to assess the institutional gaps and capacity needs of line ministries and districts in regards to climate adaptation.
2. ***Central Level.*** While assessing central level capacities and training needs, the consultant will:carry out careful analysis of institutions and distribution of tasks and responsibilities with regard to policy making and execution of policies to identifykey participants; and, organize a workshop with line ministries and line agencies of the centre level tovalidate their qualitative and quantitative research tools designed for data collection and analysis.
3. A one–day validation workshop will be organized in Kathmandu in which the consultant shall brief on methodology, outcome, limitation, capacity and knowledge gap and proposed capacity enhancement and institutional strengthening plan. The Kathmandu Workshop will be participated by the officials of MoFSC, MoAD, MoLD, MoPE, MoFALD and other line agencies as required. During the Workshop the consultant will encourage the National stakeholder consultation and dialogues to enhance CCA measures and institutional strengthening for CCA.The consultant will incorporate the comments and suggestion of the workshop in the final report and shall submit it for approval.
4. ***District level.*** The consultant will conduct the field visitand hold the interaction meeting with stakeholder in all six project districts (Salyan, Rukum, Rolpa, Jajarkot, Dailekh and Kalikot) with the validated research tool and then prepare draft reports of the capacity gap assessmentsat district level and the plan for capacity development. The consultant will organize atwo-day validation workshop at the regional level for district stakeholders and share the methodology, outcome, limitation of the draft reports. During the Workshop the consultant will encourage the local stakeholder consultation and dialogues to enhance CCA of smallholder farmers.The consultant will incorporate the comments and suggestion of the workshop in the final report and shall submit it for approval.

**SCOPE OF THE WORK**

1. Theclimate adaptation capacity screening programme will achieve the following results within the MoFSC, MoAD, MoLD, MoPE, MoFALD and participating Project Districts:

* Knowledge gaps among management and senior technical staff on the CC impacts in Nepal, and on GESI sensitive local adaptation frameworks and strategies for vulnerable smallholder farmers (particularly the LAPA preparation and implementation process), with a GESI-integrated CCA training programme designed to address the identified gaps
* Knowledge and capacity gaps of management and technical staff, particularly at the district level, in sub-watershed based planning and participatory scenario development (PSD) to support holistic local level planning
* MoFSC, MoAD, MoLD, MoPE and MoFALD current capacities and procedures for monitoring climate change mitigation and adaptation impacts at field level, including the use of mapping and geo-referencing tools, with clear recommendations for strengthening monitoring mechanism for enhanced LAPA preparation and implementation.
* Action plan to enhance ministry and district capacities to apply holistic climate change mitigation and adaptation planning through enhanced LAPA preparation and implementation

**REQUIREMENTS**

1. The Consultant is required to provide an experienced team of climate change, GESI, economic and agriculture technical experts including:

* A team leader with a post-graduate qualification in climate change or natural resource management and extensive experience in climate change mitigation and adaptation within Nepal;
* A number (to be specified by the Consultant) of graduate level economics, social and agricultural specialists, knowledge management specialist and policy analyst with experience in climate change mitigation and adaptation;

1. It is essential for the success of the consultancy that experts co-operate and consult with each other and the client on a continuous basis in order to achieve the best possible outcome. The technical proposal should include an explanation of how the consultant proposes to establish and maintain teamwork.

**REPORTING REQUIREMENTS**

1. All reports should follow the general reporting requirements to be agreed with the Client at contract negotiations.
2. **A Detailed work plan** shall be submitted to the Client within 15 days after signing the contract
3. Preliminary technical reports of capacity gaps and capacity development plan reports will submitted four months after signing the contract
4. The **Consultant** shall submit the following technical reports center and districts separately:

|  |  |  |
| --- | --- | --- |
| **No.** | **Activity** | **Output (Report Delivery)** |
| 1 | Capacity gap assessment | Detailed assessment of institutional, and staff capacity gaps in enhanced LAPA preparation and implementation with GESI consideration |
| 2 | Plan for capacity development | Action plan to enhance centre and district capacities to apply holistic climate change mitigation and adaptation |

1. Six copies of central level and twelve copies of district level final reports shall be prepared at the end of the contract. The settlement of the final invoice is subject to acceptance of the Final Report.
2. The Final Report should include:

* A complete overview of all the activities implemented during the contract;
* A summary of outputs, and the identification of any major problems, which may have arisen during the performance of the contract; and
* An assessment of the impact of the project measured against the stated project objectives and the indicators of achievement.
* All technical reports.

1. An electronic format of all reports shall be submitted to the Client written in English.

**BUDGET NORMS**

1. Central level workshop will be conducted for two times with the participant from the different line ministries and departments. In each workshop consultant should manage the logistic arrangements for around thirty participants.
2. District level workshop will be conducted for one time with around fifty participants including thirty four government staff. The consultant should manage the logistic arrangements for the participants.

**MONITORING AND EVALUATION**

1. Project monitoring and evaluation will be based upon periodic assessment of the progress of the delivery of specified project results against their targets, and the achievements of the project objectives. The nominated performance monitors are:
2. ASHA Project Coordinator
3. ASHA CC Specialist
4. ASHA M&E Specialist

**Annex 9: Terms of References Technical Specialists**

**1. Terms of Reference| Climate Change Specialist**

|  |  |
| --- | --- |
| Job Title: | Climate Change Specialist |
| No. of positions: | 1 |
| Duty Station | Kathmandu |
| Mode of Contract | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the Adaptation for Smallholders in Hilly Areas (ASHA) Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate adapted agriculture and natural resource management programme at the national and smallholder level across the IFAD project portfolio. The position will be based in Kathmandu, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of climate change adaptation, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

1. Provide technical advice for ensuring, across the IFAD project portfolio, effective implementation of strategies for climate change adaptation, and alignment with national activities and policies on climate change;
2. Ensure effective coordination and collaborative ownership of stakeholders on climate change initiatives and activities, at all levels, particularly within ASHA Project districts;
3. Develop and maintain strategic partnerships and promote networking with IFAD project portfolio stakeholders in the area of climate change adaptation, mitigation and capacity development;
4. Provide technical guidance to the ASHA PCU for the effective implementation of the Project, through an interdisciplinary and comprehensive approach;
5. Support the ASHA PCU in the identification, prioritisation, and implementation of activities, proposed in the LAPAs, informed by GIS and landscape analysis;
6. Work in close coordination with ASHA Technical Team to ensure intervention processes, outputs, and outcomes are climate adapted and/or climate proof, paying close attention to preventing mal-adaptation;
7. Support and capacitate the regional and local level environment and climate change officials and service providers in the implementation of climate adapted and/or climate proof activities;
8. In coordination/collaboration with project team, particularly the District Climate Change (CC) and Gender and Social Inclusion (GESI) Specialists, lead environment and climate change focused project activities, including but not limited to:

Capacity building on climate change adaptation, targeting participating ministries, districts, Service Centers (SCs), Agriculture, Forests and Environment Committees (AFECs) and community groups

Sub-watershed level planning for Local Adaptation Plan of Actions (LAPA) enhancement with District Geographical Information System (GIS) Spatial Planning Units, with analysis of all LAPAs to inform understanding on landscape level vulnerabilities, impact on regional natural systems, and opportunities for coordination/collaboration between Village Development Committees (VDCs) and districts where relevant

Enhance LAPA Manual incorporating the GIS, Participatory Scenario Development (PSD), and other project initiatives

Technical Advisory Group (TAG) and the Climate Research Programme with Nepal Agriculture Research Council (NARC)

1. Support the ASHA PCU in coordination and implementation of Project activities with project team, service providers and national/international Technical Assistance (TAs), including but not limited to Climate Change Adaptation (CCA) Screening of participating ministries and districts, CCA and GESI Curriculum, CCA Toolbox, Project GIS-Based M&E System, PSD, and LAPA formulations;
2. Explore opportunities and advise on the adoption of climate-smart planning in on-going and future International Fund for Agriculture Development (IFAD) activities;
3. Monitor climate change adaptation, mal-adaptation and mitigation issues across the IFAD Country Programme;
4. Provide technical support on environment and climate change issues during Joint Supervision Support, and participate on missions when required;
5. Consider the key drivers of climate change and environmental degradation, including but not limited to, demand, consumption, and waste management, while providing support/guidance to the project team to facilitate sustainable rural development, especially through promotion of environmentally smart and resource efficient tools and technologies, at all levels (farmer to PCU);
6. Consider long-term sustainability of environmental systems while pushing for project performance, adopting a holistic systems approach to tackling climate change adaptation issues;
7. In collaboration with the Forestry Specialist, M&E and KM Specialist, and in a timely manner, prepare the annual work plan and budget and trimester performance reports indicating the achievement of work plan targets and corresponding expenditures.
8. Support Knowledge Management (KM) Officers of IFAD supported projects in Nepal to establish and manage a Community of Practice for knowledge sharing on climate change adaptation across the IFAD portfolio, and support the organisation of training and workshops for climate change adaptation knowledge dissemination to all stakeholders;
9. Work closely in collaboration with the IFAD Country Programme technical experts, particularly with knowledge management specialists, to identify climate-smart innovations, and to disseminate information and knowledge to relevant stakeholders;
10. Support the ASHA PCU in channeling or leveraging external climate change financing for project activities, including LAPA implementation
11. Provide technical advice to update and audit all IFAD investments in Nepal in terms of climate change adaptation and provide technical advice accordingly;
12. Support in the assessment of national as well as project policies and processes on climate change adaptation, providing recommendations to improve project performance, and to make interventions practical and effective;
13. Other tasks as directed by the Project Coordinator (PC).

**Minimum Qualification and Experience**

* Masters degree in climate change, environment management, natural resource management, sustainable rural development or related discipline
* At least 7 years of professional experience in environment and natural resource management, including 3 years experience in the senior level in climate change adaptation and mitigation programmes, and at least 3 years work experience at the field level
* Excellent knowledge of local, national, and global innovations in the field of climate change adaptation and mitigation
* Familiarity with GIS, sub-watershed and landscape level planning and analysis
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Develop the Project CCA Strategy, and integrate into the CCA and GESI Curriculum
* Coordinate CCA screening of capacities, programmes and policies of participating ministries and districts, and implement capacity building initiatives accordingly
* Develop the Enhanced LAPA Manual through effective implementation and lessons learned from the GIS-based sub-watershed plans and Participatory Scenario Development (PSD)
* Implement the climate adaptation research programme in collaboration with NARC and DoA
* Leverage/channel external climate finance for LAPA implementation
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**2. Terms of Reference | Forestry Specialist**

|  |  |
| --- | --- |
| Job Title: | Forestry Specialist |
| No. of positions: | 1 |
| Duty Station: | Surkhet |
| Mode of contract: | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the Adaptation for Smallholders in Hilly Areas (ASHA) Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate adapted forestry and watershed programme at smallholder level in ASHA participating districts. The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of sustainable forestry and watershed management, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

1. Provide technical support in the identification, prioritisation, designing and implementation of forestry and watershed related activities proposed in the LAPA, with attention to watershed/sub-watershed level plans linking upstream and downstream areas of the hydrological system;
2. Provide technical inputs to the District GIS Spatial Planning Unit in identifying and prioritizing the zoning of the land area according to land capability classes, land form and environmental sensitivity;
3. Support the district forestry and/or soil and watershed officers to ensure that Local Adaptation Plan of Actions (LAPA) activities, prioritized by target beneficiaries, are implemented effectively and on a timely basis, with adequate technical support to beneficiary groups engaged in forestry activities;
4. Ensure forestry and watershed concerns are integrated into important project activities, including but not limited to LAPAs, Participatory Scenario Development (PSD), sub-watershed plans, and Climate Change Adaptation (CCA) Toolbox;
5. In coordination with relevant district offices, support activities to strengthen the capacity of District Forest Office (DFO) and/or District Soil Conservation Office (DSCO) staff, forestry officers and service providers in target districts, to facilitate the implementation of LAPA prioritized forestry activities through trainings and workshops linking upstream-downstream in watershed/sub-watershed areas or river system;
6. Work in close coordination with PCU technical staff to ensure forestry/watershed activities are climate smart and/or climate proof, paying close attention to preventing mal-adaptation;
7. Ensure the production and dissemination of forestry/watershed related knowledge, including manuals and videos, for training of beneficiaries as well as district forestry/watershed officers;
8. In collaboration with the Climate Change Specialist, M&E and KM Specialist contribute to the preparation of the annual work plan and budget and prepare trimester performance reports indicating the achieve ment of work plan targets and corresponding expenditures, as well as knowledge products exploring and analyzing forestry/watershed-related adaptation practices with potential for scaling up linking upstream-downstream in watershed/sub-watershed areas or river system;
9. Participate in annual or other periodic meetings and supervision missions with ASHA stakeholders at the district, regional and national level, with direction from the ASHA Project Coordinator;
10. In collaboration with the Procurement Specialist, finalize the terms and conditions under which competitive grants will be selected and approved under the LAPA process;
11. In collaboration with the Procurement Specialist, schedule and facilitate the PCU level forestry/watershed related procurement, including the purchase of seedlings, gabion wire and required equipment;
12. Assist in M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
13. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
14. Provide technical support to other IFAD funded projects in Nepal with direction from ASHA Project Coordinator;
15. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Masters degree in forestry, watershed management, natural resource management, or related discipline
* At least 7 years of professional experience in forest/watershed management, with at least 3 years experiences in the senior level and at least 3 years work experience at the field level
* Excellent knowledge of local, national and global innovations in climate adapted forestry and watershed management
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* As guided by the LAPAs, provide effective technical support to smallholder farmers in adopting climate smart sustainable resource management practices and systems that enhance both production and profit
* Provide technical support to ensure the project climate adaptation research programme with NARC addresses issues and produces results that are relevant to field realities
* Contribute to the development and regular updating of the CCA toolbox and extension material by the identification, analysis and selection of best practices observed in the field and elsewhere
* Support preparing GIS based sub-watershed plans for LAPA enhancement
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**3. Terms of Reference | Livestock Specialist**

|  |  |
| --- | --- |
| Job Title: | Livestock Specialist |
| No. of positions: | 1 |
| Duty station: | Surkhet |
| Mode of contact: | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate adapted livestock production programme at smallholder level in ASHA participating districts. The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of sustainable livestock production and management, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the national, regional and global level, the responsibilities include (but are not limited to) the following:

1. Provide technical support in the identification, designing, prioritization, and implementation of livestock-related programmes proposed in the LAPA, focusing forage and fodder development, and best practices that are environmentally sensitive and non-detrimental to forest and local ecosystems, including promotion of stall-feeding, biogas systems, and others;
2. Assist and support the district livestock officers to ensure that LAPA activities prioritized by target beneficiaries are implemented effectively and on a timely basis, with adequate technical support to beneficiary groups engaged in livestock programmes;
3. In coordination with relevant district offices, support activities, process, outputs, and outcomes to strengthen the capacity of District Livestock Service Office (DLSO) staff, livestock officers and service providers in target districts, building their capacity in implementation of LAPA prioritized livestock activities through trainings and workshops;
4. Ensure concerns for sustainable livestock production are integrated into important project activities, including but not limited to LAPAs, PSD, sub-watershed plans, and CCA Toolbox;
5. Work in close coordination with PCU technical staff to ensure livestock activities are climate smart and/or climate proof, paying close attention to preventing mal-adaptation;
6. Ensure the production and dissemination of livestock and dairy related knowledge, including manuals and videos, for training of beneficiaries as well as district livestock officers;
7. Provide technical guidance on the selection and establishment process of livestock markets, including preparation of market management procedures and guidelines, and negotiations with VDCs, District Development Committees (DDCs), municipalities and/or Chambers of Commerce and Industry where necessary;
8. In collaboration with the Climate Change Specialist, M&E and KM Specialist contribute to the preparation of the annual work plan and budget and prepare trimester performance reports indicating the achievement of work plan targets and corresponding expenditures as well as knowledge products exploring and analyzing livestock-related adaptation practices with potential for scaling up;
9. Participate in annual or other periodic meetings and supervision missions with ASHA stakeholders at the district, regional and national level, with direction from ASHA Project Coordinator;
10. In collaboration with the Procurement Specialist, finalize the terms and conditions under which competitive grants will be selected and approved under the LAPA process;
11. In collaboration with the Procurement Specialist, schedule and facilitate the PCU level livestock related procurement, including the purchase of standard quality forage seeds, bucks, and required equipment;
12. Assist in M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
13. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
14. Provide technical support to other IFAD funded projects in Nepal with direction from ASHA Project Coordinator.
15. Other tasks as directed by PC

**Minimum Qualification and Experience**

* Masters degree in livestock production, veterinary science or related discipline
* At least 7 years of professional experience in the management of livestock production or animal health services, including at least 3 years experience in the senior level and at least 3 years work experience at field level
* Excellent knowledge of local, national and global innovations in climate adapted livestock production and animal health
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* As guided by the LAPAs, provide effective technical support to smallholder farmers in adopting climate smart livestock management practices and systems that enhance both production and profit
* Provide technical support to ensure the project climate adaptation research programme with NARC and DLS addresses issues and produces results that are relevant to field realities
* Contribute to the development and regular updating of the CCA toolbox and extension material by the identification, analysis and selection of best practices observed in the field and elsewhere
* Support Participatory Scenario Development (PSD) for LAPA enhancement
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**4. Terms of Reference | Agriculture Specialist**

|  |  |
| --- | --- |
| Job Title: | Agriculture Specialist |
| No. of positions: | 1 |
| Duty station: | Surkhet |
| Mode of contract: | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate adapted agriculture production programme at smallholder level in ASHA participating districts. The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of sustainable agriculture production, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the national, regional and global level, the responsibilities include (but are not limited to) the following:

1. Provide technical support in the identification, designing, prioritization, and implementation of agriculture activities proposed in the LAPA, ensuring activities are climate smart and/or climate proof, with prevented mal-adaptation and support to watershed/sub-watershed condition focusing on multipurpose and perennial crops including agro-forestry
2. Assist and support the district agriculture officers to ensure that LAPA activities, process, outputs, and outcomes prioritized by target beneficiaries are implemented effectively and on a timely basis, with adequate technical support to beneficiary groups;
3. In coordination with relevant district offices, support Project activities to strengthen the capacity and network of farmer groups, District Agriculture Development Office (DADO) staff, regional seed quality laboratories, agriculture service providers and agro-vets in target districts, building their capacity in implementation of LAPA prioritized activities through trainings and workshops;
4. Ensure concerns for sustainable agriculture production are integrated into important project activities, including but not limited to LAPAs, PSD, sub-watershed plans, and CCA Toolbox;
5. Coordinate and maintain partnerships with relevant sector stakeholders including the National Seed Board, the Seed Quality Control Center, Nepal Agriculture Research Council (NARC) and related divisions, and private sector representations, to facilitate effective implementation as well as improved policies and regulations;
6. Provide technical and coordination support to the PCU in the development of PAR/applied research programme to be implemented by NARC, and the evaluation of climate adaptation technologies and approaches with potential for scaling up;
7. In collaboration with the Climate Change Specialist, M&E and KM Specialist contribute to the preparation of the annual work plan and budget and prepare trimester performance reports indicating the achievement of work plan targets and corresponding expenditures, as well as knowledge products exploring and analyzing agriculture-related adaptation practices with potential for scaling up;
8. Participate in annual or other periodic meetings and supervision missions with ASHA stakeholders at the district, regional and national level, with direction from ASHA Project Coordinator;
9. In collaboration with the Procurement Specialist, finalize the terms and conditions under which competitive grants will be selected and approved under the LAPA process;
10. In collaboration with the Procurement Specialist, schedule and facilitate the PCU level agriculture related procurement;
11. Provide technical support to other IFAD funded projects in Nepal upon request, with direction from ASHA Project Coordinator.
12. Assist in M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
13. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
14. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Masters degree in agriculture, plant protection, soil sciences or related discipline
* At least 7 years of professional experience in agriculture production programmes, including at least 3 years experience in the senior level and at least 3 years work experience at field level
* Excellent knowledge of local, national and global innovations in climate adapted agriculture production and sustainable land management practices
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* As guided by the LAPAs, provide effective technical support to smallholder farmers in adopting climate smart agriculture and sustainable resource management practices and systems that enhance both production and profit
* Provide technical support to ensure the project climate adaptation research programme with NARC and DoA addresses issues and produces results that are relevant to field realities
* Contribute to the development and regular updating of the CCA toolbox and extension material by the identification, analysis and selection of best practices observed in the field and elsewhere
* Support Participatory Scenario Development (PSD) for LAPA enhancement
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**5. Terms of Reference | Engineer**

|  |  |
| --- | --- |
| Job Title: | Engineer |
| No. of positions: | 1 |
| Duty station: | Surkhet |
| Mode of Contract: | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate adapted rural infrastructure programme at smallholder level in ASHA participating districts. The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of sustainable rural infrastructure development, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

1. Provide technical support in the identification, designing and prioritization of infrastructure schemes proposed in the LAPA such as check-dam, irrigation schemes, watershed conservation structures, drinking water structures, construction of protection measures for settlements and strategic infrastructures etc.
2. In close coordination with the technical team, ensure efficient and cost-effective implementation of small and community based infrastructure schemes identified by the LAPAs, with design that is environmentally sustainable, climate smart and/or climate proof
3. Within the context of the target areas, determine potential water management and irrigation methodologies, providing guidance on their suitability for small groups, including average installation and operating costs per hectare, and the overall advantages and disadvantages in different situations
4. Ensure concerns for sustainable infrastructure development are integrated into important project activities, including but not limited to LAPAs, PSD, sub-watershed plans and CCA Toolbox;
5. Develop and implement appropriate design parameters and tools, and support to build capacity of district level field technicians in adequate monitoring and maintenance of infrastructures, climate risk assessments and the prevention of mal-adaptation
6. In collaboration with the Procurement Specialist, schedule and facilitate infrastructure related procurement activities, process, outputs, and outcomes identified through the LAPA process, including finalization of the terms and conditions of service procurements, assessment of the investment proposals for infrastructure, and subsequently supervising the selection of design/supervision and construction contractors, and monitoring the work;
7. In collaboration with the Climate Change Specialist, M&E and KM Specialist contribute to the preparation of the annual work plan and budget and prepare trimester performance reports indicating the achievement of work plan targets and corresponding expenditures, as well as knowledge products exploring and analyzing infrastructure-related adaptation practices with potential for scaling up
8. Participate in annual or other periodic meetings and supervision missions with ASHA stakeholders at the district, regional and national level, with direction from ASHA Project Coordinator
9. Provide technical support to other IFAD funded projects in Nepal upon request, with direction from ASHA Project Coordinator;
10. Assist in M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
11. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
12. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Bachelors degree in civil engineering or related discipline
* At least 3 years of professional experiences in rural infrastructure development, with at least 1 year of field experience
* Excellent knowledge of local, national and global innovations in climate adapted engineering and sustainable rural infrastructure development
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* As guided by the LAPAs, design, develop and operationalize climate adapted community infrastructure within target VDCs, or across VDCs/Districts where applicable
* Provide technical support to ensure the project climate adaptation research programme with NARC addresses issues and produces results that are relevant to field realities
* Contribute to the development and regular updating of the CCA toolbox and extension material by the identification, analysis and selection of best practices observed in the field and elsewhere
* Support Participatory Scenario Development (PSD) and GIS based sub-watershed plans for LAPA enhancement
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**6. Terms of Reference | Gender and Social Inclusion Specialist**

|  |  |
| --- | --- |
| Job Title: | Gender and Social Inclusion (GESI) Specialist |
| No. of positions: | 1 |
| Duty station: | Surkhet |
| Mode of contract: | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation,and to oversee and implement Project GESI strategies to ensure project target groups, including women, disadvantaged groups and indigenous minorities are provided with equal opportunities to participate in Project activities.The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in mainstreaming GESI concerns in the context of climate change adaptation, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

1. Prepare an Operational Guideline for mainstreaming GESI in ASHA;
2. Formulate short term and long term implementation strategies and plans for the operationalization of GESI related activities, process, outputs, and outcomes in the ASHA;
3. Support participating line Ministries, Districts and other Stakeholders (MoFSC, MoAD, Project districts, VDCs, AFECs and Service Providers) on GESI related activities in ASHA implementation;
4. Review, monitor, and report on the progress of GESI related targets and work plan on a regular basis;
5. Review and revise Project checklists, forms and formats for all levels based on GESI Operational Guidelines;
6. Assist the MoFSC, MoAD and Project Districts on the inclusion of GESI related issues in policies, acts, regulations and, directives, etc.;
7. Support in strengthening GESI within MoFSC and MoAD;
8. Assist the M&E specialist with the collection, analysis and reporting of GESI disaggregated data and information;
9. Assist the KM specialist with the inclusion of GESI issues in Project knowledge products;
10. Ensure GESI concerns are reflected in all project activities in addition to CCA and GESI Curriculum, including LAPA, PSD, CCA Toolbox, CCA Extension Material, M&E Framework, sub-watershed level planning (assessment of cross-LAPA GESI concerns), and others;
11. Participate in the development of detailed TORs and tender documents for the national and local service providers for various project components;
12. Closely collaborate and coordinate with the CC Specialists and District CC Specialists in assessment of project outputs and activities and capacity building initiatives from GESI perspective;
13. Assist in the M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
14. Support in the assessment of national as well as project policies and processes, and recommend areas of improvement to make field implementation practical, effective, and gender-responsive;
15. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Masters degree in gender, social sciences, economics or related field
* At least 7 years of professional experience in relevant fields, including 3 years in GESI related work and 3 years experience at field level
* Sound knowledge of GESI issues in rural Nepal, particularly in Project districts
* Ability to develop and foster external organizational relationships and applied representation skills
* Strong research and report writing skills
* Excellent knowledge of local, national and global innovations in mainstreaming GESI into climate change adaptation and mitigation initiatives
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Develop the Project GESI Strategy, and integrate into the CCA and GESI Curriculum
* Integrate GESI concerns into the CCA Screening of capacities, programmes and policies of participating ministries and districts, and implement capacity building initiatives accordingly
* Integrate GESI-related concerns and indicators into the GIS-based M&E System and KM Strategy for effective analysis and support for results based management
* Ensure the Enhanced LAPA Manual, CCA toolbox, Climate adaptation research programme (NARC) and extension materials address key GESI concerns, and are sensitive to the varying needs of vulnerable groups and communities
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**7. Terms of Reference | Planning, Monitoring and Evaluation Specialist**

|  |  |
| --- | --- |
| Job Title: | Planning, Monitoring and Evaluation Specialist |
| No. of positions: | 1 |
| Duty station: | Surkhet |
| Mode of contract: | Annual, with 3-month probation period, and extendable up to the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee an effective planning, monitoring and evaluation system in ASHA to support results based management. The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of monitoring and evaluations in the context of climate change adaptation, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the national, regional and global level, the responsibilities include (but are not limited to) the following:

*Planning support*

1. Support in preparing annual work plan and budget (AWPB) in consultation with local community, district stakeholders and the project team;
2. Prepare planning process working guidelines in close consultation with district stakeholders and the project team;
3. Facilitate in organizing district and project level review annual and periodic meetings and get feedback for further improvement;
4. Prepare timely and relevant trimester, annual and periodic progress report of the project.

*Setting up the Project GIS-based M&E system*

1. Develop the overall framework and plan for Project M&E in accordance to the Project document, with focus on both qualitative and quantitative measures;
2. Conduct a readiness assessment regarding M&E on what are the incentives at the system level, who are the beneficiaries;
3. Guide and coordinate the review of the Project log-frame including:
4. Provide technical advice for the revision of performance indicators;
5. Ensure realistic intermediate and end-of-Project targets are defined;
6. Conduct a baseline study (situation at Project start) and/or through hiring service provider;
7. Identify sources of data, collection methods, who collects data, how often, cost of collection and who analyses it, with strong verification mechanisms;
8. Ensure all critical risks are identified.
9. Identify the core information needs of PCU, the Project Steering Committee, IFAD and the MoFSC;
10. Identify the requirements for collecting baseline data, prepare terms-of-reference for and arrange the conduct of a baseline survey, as required;
11. Clarify M&E responsibilities of different Project personnel;
12. Contribute to the development of the AWPB, ensuring alignment with Project strategy, agreement on annual targets and inclusion of M&E activities in the work plan;
13. Prepare detailed M&E budget;
14. Prepare calendar of M&E activities;
15. Identify M&E technical assistance that the Project needs to contract and guide its recruitment.
16. Develop the Project GIS-based MIS (Management Information System)

*Implementation of the Project GIS-based M&E system*

1. Oversee and execute M&E activities included in the AWPB, with particular focus on results and impacts as well as in lesson learning and good practices;
2. Based on the AWPB design the framework for the physical and process monitoring of Project activities;
3. Promote a results-based approach to monitoring and evaluation, emphasizing results and impacts;
4. Coordinate the preparation of relevant Project reports. Guide staff and executing partners in preparing their progress reports in accordance with approved reporting formats and ensure their timely submission. This includes quarterly progress reports, annual Project report, inception report, and ad-hoc technical reports;
5. Collaborating closely with the Project KM Specialist, prepare consolidated progress reports for Project management including identification of problems, causes of potential bottlenecks in Project implementation, and providing specific recommendations;
6. Check that monitoring data are discussed in the appropriate forum (such as the review meetings of PCU, the semester meeting of the Project Steering Committee) and in a timely fashion in terms of implications for future action. If necessary, create such discussion forums to fill any gaps;
7. Undertake regular visits to the field to support implementation of M&E and to identify where consolidations might be needed;
8. Foster participatory planning and monitoring by training and involving primary stakeholder groups in the M&E of activities;
9. Support the design of a GIS-based mobile M&E System (SMS, electronic tablet), and coordinate the MIS (Management Information System) development through selection of a competent and experienced service provider.
10. Prepare M&E reports for annual supervision missions, mid-term review and final evaluation in accordance to IFAD guidance;
11. Facilitate, act as resource person, and join if required any external supervision and evaluation missions;
12. Monitor the follow up of supervision and evaluation recommendations;
13. Identify the need and draw up the TORs for specific Project studies. Recruit, guide and support consultants or service providers that are contracted to implement special surveys and studies required for evaluating Project outcomes and impacts;
14. Organize (and provide) refresher training in M&E for Project and implementing partner staff, local organizations and primary stakeholders with view of developing local M&E capacity;
15. Focus on simplification of e-M&E and reporting tools to achieve effectiveness and efficiency;
16. Consider the need for comparative M&E of pilot activities (PSD, GIS, NARC research, and others) to develop strong rationale for scaling up proven practices within ASHA as well as other GoN initiatives;
17. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
18. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Masters degree in monitoring and evaluation, development, management or related discipline
* At least 7 years of professional experiences in the field of research and studies, statistics and at least 3 years proven M&E experience with:

1. The logical framework approach and other strategic planning approaches;
2. M&E methods and approaches (including quantitative, qualitative and participatory);
3. Planning, design and implementation of M&E systems and MIS;
4. Training in M&E development and implementation and/or facilitating learning-oriented analysis of M&E data;
5. GIS working knowledge and experience;
6. Computer based data processing and information analysis;
7. Report writing.

* A solid understanding of public policies, development approaches with a focus on participatory processes, market economy management, and gender issues
* Familiarity with and a supportive attitude towards processes of strengthening local organizations and building local capacities for self-management
* Willingness to undertake regular field visits and interact with different stakeholders, especially primary stakeholders
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Desirable**

* Understanding of the IFADsystem and procedures

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Develop the project M&E Plan and Framework to support results based management, including a strong comparative M&E of pilot initiatives for scaling up in Phase II
* Design, develop, implement and maintain the Project GIS-based M&E System, taking advantage of existing and emerging communication technologies such as SMS and electronic tablets, while ensuring simplicity to achieve a high level of adoption across the project
* Coordinate and lead project baseline and outcome studies, progress monitoring, analyses and reporting
* Implement capacity building and strengthening of M&E Systems within district line agencies, service providers and stakeholders
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**8. Terms of Reference | Knowledge Management Specialist**

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| --- | --- |
| Job Title: | Knowledge Management Specialist |
| No. of positions: | 1 |
| Duty station | Surkhet |
| Mode of contract: | Annual, with 3-month probation period, and extendable upto the project period based on satisfactory performance |
| Reports to: | Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a CC adaptation knowledge management programme at smallholder level in ASHA participating districts. The position will be based in Surkhet, with at least 50% field travel.

**Key Responsibilities and Duties**

The main responsibilities and duties of the KM Specialist will include gathering and analyzing project information and effectively communicating results to project beneficiaries, management and wider agricultural community. Other responsibilities includes the following activities:

1. Design and implement a KM Strategy to identify, analyse, document and disseminate lessons learned;
2. Consider the GIS/geospatial nature of products in KM outputs, including spatially analytical maps, while designing the KM Strategy;
3. Ensure that TORs for consultants recruited by the project also incorporate mechanisms to capture and share lessons learned through their inputs to the Project, and to ensure that the results are reflected in the reporting system described above;
4. Consolidate a culture of lessons learning involving all Project staff and allocate specific responsibilities, to document, package and disseminate lessons frequently;
5. Establish and manage a Community of Practice for knowledge sharing on climate change adaptation across the IFAD portfolio, and support the organisation of training and workshops for climate change adaptation knowledge dissemination to all stakeholders;
6. Facilitate exchange of experiences by supporting and coordinating Project participation in workshops and support development of IFAD Nepal’s website and any other existing network of local government;
7. Identify and participate in additional networks, for example scientific or policy-based networks that may also yield lessons that can benefit Project implementation.
8. Ensure effective KM of key project activities, including CCA Toolbox, Extension Materials, LAPA Manual, PSD, CCA and GESI Curriculum, NARC Research;
9. Clarify the responsibility to explore, introduce and manage various KM tools relevant to the project, with particular focus on policy engagement such as the Adaptation Pathway;
10. Ensure KM of important Project activities such as the PSD, Sub-watershed Plans and CCA Toolbox;
11. Assist all technical team members in the KM of their respective fields, with particular attention to CC, GESI, and CCA policy engagement;
12. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
13. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Masters degree in natural resource management, agricultural economics, information and communication technology or related discipline
* At least 7 years of professional experience in relevant fields with at least 3 years of experiences in knowledge management work
* Sound knowledge and skills in documentation and dissemination
* Strong research and report writing skills
* Extensive experience in institutional strengthening and participatory processes
* Ability to develop and foster external organizational relationships and applied representation skills
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Develop the Project KM Strategy, and integrate into Project M&E System
* Produce strong analytical knowledge and lessons on pilot initiatives for scaling up, including GIS-based sub-watershed plans, PSD, Climate adaptation research programme (with NARC)
* Establish a CCA-knowledge sharing community of practice for policy engagement, involving stakeholders at all levels
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**9. Terms of Reference | Financial Management and Procurement Specialist**

|  |  |
| --- | --- |
| Job Title: | Financial Management and Procurement Specialist |
| No. of positions: | 1 |
| Duty station: | Kathmandu |
| Mode of contract: | Annual, with 3-month probation period, and extendable upto the project period based on satisfactory performance |
| Reports to: | Project Coordinator, copy to Accounts Officer |

**Purpose**

To strengthen the capacities of the ASHA Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee an effective financial, procurement and contract management system in ASHA to support results based management. The position will be based in Kathmandu with occasional visit to the project districts.

**Key Responsibilities and Duties**

Working closely with Project Coordinator, Accounts Officer, and the DPCU Accountant, the Financial Management and Procurement Specialist supports financial management and procurement works including training to the staff engaged in financial management and procurement. His/her functions and responsibilities will include but not be limited to:

*Financial Management*

1. Assist the Accounts Officer on installation and effective management of a computerized accounting system. The system should be capable of capturing project expenditure by category, by component, by source of fund and by activity. The system should automatically generate trail balance, bank reconciliation, project financial statements, the register of contracts and withdrawal application for replenishment/reimbursement in IFAD specified formats;
2. Assist in establishing and maintaining essential financial recording, stock management and reporting systems for Project operations according to the Project Implementation Manual;
3. Assist in preparing accurate and timely withdrawal applications at least once in each trimester for replenishment in Designated Accounts or reimbursement in GoN treasury, and ensure that correct supporting documents are submitted, currency conversions are done in accordance with IFAD requirements and sent to IFAD within the agreed time schedules;
4. Ensure that all project consolidated reports are prepared and sent to IFAD and meet the IFAD reporting requirement and deadline;
5. Assist the Project Coordinator with the preparation of the Annual Work Plan and Budget;
6. Ensure that flow of funds from IFAD to PCU, as well as from the PCU to DPCUs and district project line agencies, are disbursed in accordance with the approved AWPB;
7. Ensure that the expenditures are in accordance with the IFAD Financing Agreement;
8. Assist PCU Accounts Officer in preparing unaudited and audited financial statement and ensure that the statements are sent to IFAD before the deadline.
9. Ensure that the project accounts are audited in time and audit reports are sent to IFAD;
10. Assist in preparing and updating consolidated project Log of Audit Observation and Table of Summary Report of Audit Observations;
11. Ensure the timely preparation by DPCU statements of accounts to ensure regular reporting
12. Assist PCU Accounts Officer and DPCU Accountants in the preparation of statements of accounts for regular reporting and auditing, and in the speedy resolution of audit objections and observations;
13. Provide orientation and necessary training to the PCU Accounts Officer, DPCU Accountants and the staff involved in project financial management;
14. Conduct periodic visits to DPCUs and district project line agencies with the purpose of internal control and expenditure tracking;
15. Review Project Implementation Manual (PIM) and suggest for further improvement;
16. Other duties as may be assigned by the Project Coordinator and requested by the Accounts Officer.

*Procurement*

1. Prepare and update periodically the project procurement plan.
2. Prepare procurement documents required for the procurement of goods, works, and consulting services including drafting contract documents (Terms of References, Expressions of Interest, Requests for Proposals etc.), specifications, bill of quantities, work schedules, evaluation criteria etc.;
3. Drafting and obtaining approval from the Project Coordinator for invitations to tender for procurement of goods or works or services contracts as agreed by the IFAD in approved procurement plan;
4. Participate in or provide support for the pre-qualification, short-listing, organization of pre-bid meetings, preparing answers/clarifications/modifications and bid opening;
5. Receiving and examining bids/proposals; (i) organizing technical evaluation committees, and participating as appropriate; and (ii) writing evaluation reports;
6. Participation on evaluation panel as a non-voting secretary, supplying copies of all bids (including those disqualified or otherwise rejected) to the committee, as requested and keeping minutes of all issues raised and decisions of the panel;
7. Assist in negotiating with bidders, as and when required, and preparing contract documents, for approval by the concerned authority and the IFAD;
8. Ensuring that all decisions on procurement of goods, works and services or the awarding of competitive or partial grants are fully documented and made available, as requested, through annual reports or such other format as may be deemed appropriate;
9. Ensure quality of procured services, through assessment of previous performances of specialist/service provider candidates
10. Ensure the sustainability of post project completion while procuring goods
11. Conduct periodic monitoring visit of DPCUs and district project line agencies to track the progress and procedures as agreed on approved procurement plan, the report of each visit copy the IFAD country office.
12. Assist DPCUs and district project line agencies on procurement related issues when requested.
13. Assist in M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
14. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective;
15. Prepare and update consolidated “Register of Contracts” on a monthly basis;
16. Take overall responsibility of contract management;
17. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Masters degree in business administration, business studies, commerce, or related discipline
* At least 7 years of professional experience in financial management, including at least 3 years in procurement management, and at least 3 years of experience in donor funded projects and programmes
* Training on procurement and Financial management will be advantage.
* Proficiency in computer-based financial management systems and accounting software
* Extensive experience in institutional strengthening and participatory processes
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Desirable**

* Understanding of the IFAD financial system and procedures

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Establish and maintain financial recording and reporting system capturing project expenditure by category, by component, by source of fund and by activity
* Prepare withdrawal applications at least once in each trimester for replenishment in Designated Accounts or reimbursement in GoN treasury
* Prepare unaudited and audited financial statement and ensure that the statements are sent to IFAD before the deadline.
* Prepare the project procurement plan and procurement documents required for the procurement of goods, works and consulting services including drafting contract documents
* Examine bids/proposals, organize technical evaluation and prepare evaluation reports
* Document all decisions on procurement of goods, works and services or the awarding of competitive or partial grants
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**10. Terms of Reference | District Climate Change Specialist**

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| --- | --- |
| Job Title: | District Climate Change Specialist |
| No. of positions: | 4 |
| Duty Station | Project Districts |
| Mode of Contract | Annual, with 3-month probation period, and extendable annually upto the project period based on satisfactory performance |
| Reports to: | District Project Coordinator (DPC), and copy to Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA District Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate change adaptation programme at smallholder level in ASHA, and across the IFAD portfolio, in close coordination with national level Climate Change Specialist. The position will be based in the selected Project district, with at least 70% field travel.

**Key Responsibilities and Duties of the District Climate Change Specialist**

Maintaining a good understanding of the advances in the field of climate change adaptation and sustainable rural development, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, regional and national level, the responsibilities include (but are not limited to) the following:

* 1. Provide technical advice for ensuring effective implementation of strategies for climate change adaptation, and alignment with activities and policies on climate change in general;
  2. Build coordination and collaborative ownership of stakeholders on climate change initiatives and activities, process, outputs, and outcomes at all levels, particularly in assigned Project districts;
  3. Prepare the participatory data in the assigned project districts to contribute to the preparation of the annual work plan and budget
  4. Prepare assigned district level trimester performance reports indicating the achievement of work plan targets and corresponding expenditures, as well as knowledge products
  5. Develop and maintain strategic partnerships and promote networking with IFAD project portfolio stakeholders in the area of climate change adaptation, mitigation and capacity development in assigned Project districts;
  6. Under the technical guidance to the PCU/DPCU (District Project Coordination Unit), effectively implement the Project, through an interdisciplinary and comprehensive approach in the project districts;
  7. Support the district team in the identification, prioritisation, and implementation of activities, process, outputs, and outcomes proposed in the LAPA, informed by GIS and landscape analysis;
  8. Under the technical guidance of PCU/DPCU, ensure community and district level activities, process, outputs, and outcomes are climate adapted and/or climate proof, paying close attention to preventing mal-adaptation;
  9. Support in capacity building on CCA targeting participating districts, SCs, AFECs and community groups;
  10. Support in sub-watershed level planning for LAPA enhancement with GIS Specialist
  11. Support in updating LAPA Manual considering GIS, PSD, and other new tools
  12. Support IFAD projects knowledge management (KM) Officers to establish and manage a Climate Change-Community of Practice for knowledge sharing on climate change adaptation across the IFAD portfolio, and support the organisation of training and workshops for CC adaptation knowledge dissemination to all stakeholders;
  13. Explore opportunities and advise on the adoption of climate-smart planning in on-going and future activities at community and district level;
  14. Monitor climate change adaptation, mal-adaptation and mitigation issues across the community and district level Programme;
  15. Work closely in collaboration with technical experts of all IFAD funded projects in Nepal to identify climate-smart innovations, and staff responsible for KM to disseminate related knowledge;
  16. Assist in M&E and KM of LAPA formulation and implementation, with particular attention to CC, GESI, and CCA policy engagement;
  17. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective at the farmer level, for integration into CCA and GESI Curriculum and Enhanced LAPA manual;
  18. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Bachelors degree in climate change, environment management, natural resource management, sustainable rural development or related discipline
* At least 5 years of professional experiences in relevant field, including at least 2 years of experience in the management of climate change adaptation and mitigation programmes, and 2 year working experience at the field level;
* Excellent knowledge of local and national innovations in the field of climate change adaptation and sustainable rural development
* Familiarity with GIS, sub-watershed and landscape level planning and analysis
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Coordinate and implement capacity building initiatives of participating districts guided by the CCA and GESI Curriculum
* Develop GIS based sub-watershed plans to enhance LAPA implementation, and coordinate with other District teams for cross-District collaborative interventions
* Coordinate, monitor and evaluate the Participatory Scenario Development (PSD) processes and outputs produced by the service provider for quality assurance
* Ensure effective CCA knowledge access and dissemination at the district level through Community Knowledge Centres, CCA toolbox and extension material
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**11. Terms of Reference | LAPA Coordinator**

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| --- | --- |
| Job Title: | LAPA Coordinator |
| No. of positions: | 4 |
| Duty station: | Project districts |
| Mode of contract: | Annual, with 3-month probation period, and extendable annually upto the project period based on satisfactory performance |
| Reports to: | District Project Coordinator and copy to Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA District Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee Local Adaptation Plan of Action (LAPA) at VDC/sub-watershed level in the project district. The position will be based in the selected Project district, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of climate change adaptation, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

Provide advice for preparing technically sound LAPAs at VDC level, and its alignment with national activities and policies on climate change;

Ensure coordination and collaborative ownership of stakeholders on LAPA initiatives and activities in ASHA Project districts;

Develop and maintain strategic partnerships and promote networking with IFAD project portfolio stakeholders in the area of LAPA for climate change adaptation, mitigation and capacity development;

Provide technical support for the effective implementation of the LAPA, through an interdisciplinary and comprehensive approach;

Support the VDCs in the identification, prioritisation, and implementation of activities, process, outputs, and outcomes proposed in the LAPA, informed by GIS and landscape analysis;

Work in close coordination with other district technical staff to ensure LAPA prioritised activities are climate adapted and/or climate proof, paying close attention to preventing mal-adaptation;

Prepare the participatory data, based on the LAPA, to contribute to the preparation of the annual work plan and budget

Prepare LAPA trimester performance reports indicating the achievement of work plan targets and corresponding expenditures, as well as knowledge products

Support local level environment and climate change officials and service providers in implementation and capacity building of climate adapted and/or climate proof activities;

Provide technical advice to update and audit all IFAD investments at district level in terms of climate change adaptation and provide technical advice accordingly;

Explore opportunities and advise on the adoption of climate-smart planning at district level;

Monitor LAPA, CC adaptation, mal-adaptation and mitigation issues at district level;

Work closely in collaboration with district agencies to identify climate-smart innovations, and with KM Officers to disseminate related knowledge.

1. Analyse for cross-LAPA coordination and collaboration, adopting a sub-watershed perspective and maintaining a close relationship with other district teams;
2. Assist in M&E and KM of LAPA formulation and implementation, with particular attention to CC, GESI, and CCA policy engagement;
3. In collaboration with the Procurement Specialist, schedule and facilitate the procurement of relevant goods/services/works;
4. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective at the farmer level, for integration into CCA and GESI Curriculum and Enhanced LAPA manual;
5. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Bachelors degree in climate change, environment management, natural resource management, sustainable rural development or related discipline
* At least 5 years of professional experiences in natural resource management, including at least 2 years of experience in LAPA preparation for local level climate change adaptation, and 2 year working experience at field level;
* Excellent knowledge of local and national innovations in the field of climate change adaptation and sustainable rural development
* Familiarity with GIS, sub-watershed and landscape level planning and analysis
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Coordinate, monitor and evaluate the LAPA formulation processes and outputs produced by the service provider for quality assurance, efficiency and ownership
* Coordination and collaboration with district level stakeholders, including other LAPA related projects (NCCSP, MSFP…)
* Support in development of Enhanced LAPA Manual, with participation in pilot initiatives including sub-watershed planning and PSD
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**12. Terms of Reference | Land Use Planner**

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| --- | --- |
| Job Title: | Land Use Planner |
| No. of positions: | 2 |
| Duty station: | Project districts |
| Mode of contract: | Annual, with 3-month probation period, and extendable upto the project period based on satisfactory performance |
| Reports to: | District Project Coordinator and copy to Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA District Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee a climate adapted sustainable land management programme and spatial planning for LAPA framework enhancement in selected ASHA districts. The position will be based in the selected Project district, within the District GIS Spatial Planning Unit, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of sustainable land management practices, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

* 1. Provide technical support in the identification, mapping, prioritisation, and implementation of sustainable land management practices at landscape and sub-watershed level for improved agriculture, livestock, forestry and other activities according to the land capability classes and land systems for LAPA, ensuring activities are climate smart and/or climate proof, with reduced mal-adaptation.
  2. Working together with the District GIS Specialist, assist and support the district line-agencies and farmers on land use planning according to land capability classes, land system, hydrology and support in effective zoning of the rural land resources;
  3. Support the team in identifying and verifying the environmentally fragile and sensitive or vulnerable zone which need strict protection and/or special treatment for the protection of settlements, strategic infrastructures or structures.
  4. In coordination with relevant district offices, support activities to strengthen the capacity of lead farmers, network of farmer groups, land-based planning agencies including forestry, agriculture, livestock on sustainable planning based on land capability classes and building their capacity in implementation of LAPA prioritized activities through trainings and workshops;
  5. Coordinate and maintain partnerships with relevant sector stakeholders at district level including the production sectors and private sector representations, to facilitate effective implementation as well as improved land use policy and other relevant policies;
  6. Contribute to the District Climate Change Specialist, LAPA coordinator and District Project Coordinator in preparing trimester performance reports indicating the achievement of work plan targets and corresponding expenditures, as well as knowledge products exploring and analyzing adaptation practices with potential for scaling up at district level;
  7. Participate in annual or other periodic meetings with ASHA stakeholders at the district, regional and national level, with direction from ASHA Project Coordinator;
  8. In collaboration with the Procurement Specialist, finalize the terms and conditions under which competitive grants will be selected and approved under the LAPA process;
  9. In collaboration with the Procurement Specialist, schedule and facilitate the procurement of relevant goods/services/works;
  10. Provide technical support to other IFAD funded projects in Nepal upon request, with direction from ASHA Project Coordinator.
  11. Ensure the effective use of geo-spatial planning tools in Project activities, particularly LAPAs, sub-watershed plans, and PSD;
  12. Ensure concerns for sustainable land management practices are integrated into important project activities, including but not limited to LAPAs, PSD, sub-watershed plans, and CCA Toolbox;
  13. Assist in M&E and KM of the respective field, with particular attention to CC, GESI, and CCA policy engagement;
  14. Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective
  15. Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Bachelors degree in rural development, development studies, environmental planning, hydrology, geology or similar discipline;
* At least 4 years of professional experiences in relevant field, including at least 2 years of experience in land use planning, environmental planning and/or land management, and 2 years working experience at field level
* Excellent knowledge of local and national innovations in the field of climate change adaptation and sustainable land management practices
* Strong knowledge on hydrology
* Familiarity with GIS, sub-watershed and landscape level planning and analysis
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Short listing and Selection Criteria**

As stated in Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Develop GIS based sub-watershed plans in coordination with Project Specialists as well as other District staff for cross-district collaborative efforts
* Develop spatial socio-economic and environmental analysis of project area (individual districts and regional) in the context of climate change adaptation and sustainable rural development to support planning of district development initiatives
* Implement district level GIS-based M&E of LAPA formulation and implementation, and support other initiatives such as the climate adaptation research programme and PSD
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**13. Terms of Reference | District GIS Specialist**

|  |  |
| --- | --- |
| Job Title: | District GIS Specialist |
| No. of positions: | 2 |
| Duty station: | Project districts |
| Mode of contract: | Annual, with 3-month probation period, and extendable upto the project period based on satisfactory performance |
| Reports to: | District Project Coordinator and copy to Project Coordinator |

**Purpose**

To strengthen the capacities of the ASHA District Project Coordination Unit (PCU) and participating government and community institutions to facilitate effective project implementation, and to implement and oversee GIS-based spatial planning for LAPA framework. The position will be based in the selected Project district, within the District GIS Spatial Planning Unit, with at least 50% field travel.

**Key Responsibilities and Duties**

Maintaining a good understanding of the advances in the field of geo-spatial analysis for climate change adaptation, with particular attention to the relevant technological, operational, institutional and other innovations and best practices at the local, national and global level, the responsibilities include (but are not limited to) the following:

Plan and implement Remote Sensing (RS) and Geographical Information System (GIS) study and activities in coordination with the DPCU and other specialists in the team, which aims to generate spatial data required for the ASHA Project particularly on upstream-downstream of landscape for LAPA planning and implementation.

Spatially analyse land-use and vulnerability assessment data on a sub-watershed level to enhance LAPA planning and implementation, and facilitate cross-LAPA linkages

Identify the areas of application of RS and GIS technology for generating, analyzing and presenting geospatial information about situation, sensitivity and vulnerability of the geo-ecology and people of the selected areas of the district

Organize, mobilize and support the RS and GIS team to produce a wide variety of biophysical and socio-economic data, RS and GIS service product as per requirement of the selected sub-watershed areas of upstream-downstream of the selected districts of ASHA Project within the accepted time frame.

Prepare a planning for ground truthing and organize field visits.

Perform desk review of the relevant literatures, and develop and design RS and GIS methodology for identifying both environmental and socio-economic parameters, which measures sensitivity, hazard/degradation, vulnerability and risk. Produce a report on aforementioned aspects.

Perform GIS analysis of the terrain, geology, watershed characteristic, sensitivity, hazard and vulnerability assessment with the help of other staff in consultation with Project Coordinator and National GIS specialist.

Use, maintain and improve the GIS database developed in the Pre-Project GIS Exercise

Periodically report and share progress on the RS and GIS activities and update the results and findings to DPC/PC, National GIS expert and other specialists in the team.

Prepare a technical report on the situation and trend analysis of biophysical characteristics (topography, slope process, fluvial system characteristics and land use and land cover change) of the selected areas in the project districts.

Work as part of multidisciplinary team to provide RS and GIS generated data and information to the project team.

Give expert opinion and GIS supported feedbacks to the Project team.

Support the team in communication (to convey GIS/spatial information to non-RS and GIS/technical people) through written, oral, and cartographic means.

Ensure output and data quality.

Support in the assessment of national as well as project policies and processes, providing recommendations to improve project performance, and to make field implementation practical and effective

Other tasks as directed by PC.

**Minimum Qualification and Experience**

* Bachelors degree in geo-spatial mapping, geography, earth science, or related discipline
* At least 4 years of professional experience in relevant field, including 3 years of experience in remote sensing and GIS analysis in the context of climate change adaptation, vulnerability and risk assessment, natural resource management and related fields
* Excellent knowledge of local and national innovations in the field of geo-spatial planning and analysis to support results based management and effective rural development
* Experience in sub-watershed and landscape level planning and analysis
* Extensive experience in institutional strengthening and participatory processes at the smallholder level
* Proficiency in computer, information and communication technology
* Fluency in written and spoken English and Nepali

**Benefits and Remuneration**

Salary, allowance and leave: As stated in the Working Procedure for Recruitment

**Short listing and Selection Criteria**

As stated in Working Procedure for Recruitment

**Performance Assessment**

The performance assessment of the consultant will be based on the quality and timely completion of or contributions to Project outputs and activities, including, but not limited to, the following:

* Develop GIS based sub-watershed plans in coordination with Project Specialists as well as other District staff for cross-district collaborative efforts
* Develop spatial socio-economic and environmental analysis of project area (individual districts and regional) in the context of climate change adaptation and sustainable rural development to support planning of district development initiatives
* Implement district level GIS-based M&E of LAPA formulation and implementation, and support other initiatives such as the climate adaptation research programme and PSD
* Effectively manage, update and maintain the Project GIS Database
* Support preparing Annual Work Plan and Budget, Trimester and Annual Progress Reports, IFAD RIMS M&E

The Project reserves the right to terminate the contract if the performance of the consultant is assessed as being unsatisfactory

The Terms of Reference are subject to revision/update as per requirement of the Project based on planning trajectory, design changes, and lessons learned, to achieve effective results

**Annex 10: Performance based contract guidelines**

1. As a general principle, ASHA will use output- ased contracts as a basic tool for service delivery. An output based contract is an agreement between the Programme and a service provider which would be managed by the PCU, DPCU, or AEFC for community level service delivery, creating a relationship for the delivery of servics or products. The driving force behind the contract is that it focuses on deliverables in measurable terms, rather than checking that the activities have been undertaken, or assessing the service delivery methodologies. This signals a move from payments for inputs or activities (e.g. completing a training workshop) to payments for a tangible measurement of the results from such activity. For example a tangible measure of a training program would be farmers applying some of the knowledge and skills attained on their farms to provide some measureable benefits.

2. The main advantages of output-based contracts are:

 Simplicity in administration as payment is based on delivery of specific milestones and milestone deliverables based on an agreed price, rather than on acquittal and reconciliation of all expenditure receipts.

 Risks of non-performance are reduced as if milestones are not delivered, no payment is made.

 Definition of milestones based on project objectives and outputs makes measurement of impact much easier.

3. The main difficulty of output based contracts is the increased effort required to define and agree the milestones, deliverables and price. Milestones have two parts (i) milestone definition and (ii) milestone deliverables. It is easier to define milestones and deliverables for infrastructure contracts than for service delivery contracts (especially “soft services” such as extension where impacts are dependent on the recipients of the service making a decision to change or adopt.

4. Output-based contracts are lump sum. There is agreement on price for service delivery and the contract specifies that price and payment schedules. For the contract owner the key task is to ensure value for money. Once this has been achieved almost all the risks are borne by the service provider. If the service provider can provide specified services at a lower price then there is additional profit to be made. However the reverse applies if the service provider costs are higher than the agreed price (budget). An example of an output-based service delivery contractis detailed below.

5. Service Providers will be required to self-monitor the implementation of their contracts. In general this will require delivery of Milestone Reports by the service provider to trigger milestone payments and contractholders to inspect and provide assurance that project milestones and deliverables have been completed to an acceptable level. In doing this the contract holder will sign a “Declaration” that the contract holder is satisfied that the service provider has delivered the milestone deliverables to the standard required. The Declaration, provides the trigger for milestone payments.

6. Service Providers are responsible for evaluation of the benefits the investment (infrastructure and service delivery). The process is to establish baselines prior to the commencement of each project and at the end of the project the changes inrelation to the baselines will be documented. Project Baselines and Project Validation Reports (comparing socio-economic baselines to end of project status) will be payment milestones. Simple formats for baseline surveys of all project beneficiaries will be developed as a template for infrastructure and service provider projects Service Providers may appoint (sub-contract) expertise (e.g. lead farmers) to undertake baseline and project completion socio-economic surveys.

7. Trained evaluators will conduct an impact evaluation of at least 15% of all service delivery projects. Methodologies for impact evaluation will be developed by national extension specialists, but must include key evaluation criteria (relevance, effectiveness, efficiency, impact and sustainability). For service delivery contracts where financial information is available from baseline and end of project surveys estimates of benefit ─cost ratios should be attempted.

***Example: Service Delivery Sub-project***

Objective: To successfully establish a Leasehold Forestry User Group (LFUG)

Project Time frame: January2015–December2017

Agreed Budget: Total Budget is NPR50,000

Service Provider: (Lead Farmer to Farmer Extension under AFEC supervision)

Potential Milestones, Deliverables and Payment Schedules:

|  |  |  |  |
| --- | --- | --- | --- |
| Milestone | Deliverable | Payment[[41]](#footnote-41) | Expected  Delivery |
| ContractAgreement | Contract between LFUG andLead Farmer signed | 5,000 | 15/1/2016 |
| ProjectBaseline | Participatorydescription bybeneficiaries(village) of:  Existing physicalandsocio-economicstatusofleasehold forest,includingnumber andpovertylevelsof households, ethnicstatusexistingland usepracticesand income generatedfromforestryactivities. | 10,000 | 01/3/2016 |
| Re-afforestation  plans and land allocation | Declaration fromLFUG LeadertoAFECthat:  LFUGplansandguidelinesare agreed by allmembers  LFUGmaleandfemalemembershaveforestlanduse leaseholdrights | 10,000 | 30/08/2016 |
| NurseryOperational | Nursery established and members generating planting material\* | 10,000 | 30/10/2016 |
| Agro-forestry  Demonstrations | Declaration fromLFUG LeadertoAFEC that:  5haofintensiveagro-forestrywithforageproductionfor householdlivestockproduction established | 10,000 | 30/08/2017 |
| ProjectValidation | Participatory description of benefits following project  completion(comparedwith baseline) | 5,000 | 30/12/2017 |
| TOTALContractFeePaidtoLead Farmer | | 50,000 |  |

Notes:\*costs for establishment ofNurseryarefrom theASHA climateadaptedtechnologyfunding stream

Thiscontractdemonstratessomekeypointsaboutoutputbasedcontractsforservicedelivery:

 TheOwneris the AFEC

 Theabovecontractincludescontributionsfromprojectbeneficiaries.LFUGsarenot requiredtocontributetothecostsofimprovingknowledgeandskills,butwillberequired tocontributeifproduction inputsorsmallscaleinfrastructurearerequired. Whereinputs arerequiredthecontractwillspecify theinputsanddetailthemilestoneanddeliverables requiredto ensurethattheinputcostsareusedfortheirintendedpurpose.

 ThecontractisbetweentheLFUGandtheServiceProviderwhoisundertakingthe trainingandskillsattainmentandisresponsible forassisting theLFUGwith implementationof smallscaleinfrastructure(nursery).

 Thecontractmanageris the AFECat VDClevelwhowilloverseeprojecimplementation

 TheimplementeristheLeadFarmerwhohasresponsibilitiesforself-monitoringthe implementation withtheLFUGverifyingandsigningoffthoseserviceshavemet expectations.

 Evaluationisthroughacomparisonbetweenthebaselineandprojectvalidation. In servicecontractstheServiceProviderisresponsible forsimplebaselinesurveysand projectvalidation. Assistance todothiswillbeprovided byevaluators fromtheAFECor theDistrictForestryServiceCentre.

**Annex 11: List of Training**

|  |  |
| --- | --- |
| **1.1.1. Participating Ministries and districts are climate informed** | |
| **Institutional capacity building** | **Key participants** |
| Ministry staff capacity building (as guided by the CCA and GESI Screening; focus on knowledge, planning, GESI, FM, M&E and policy); 2 days for senior, 5 days for technical staff | Senior technical officials from MOFSC and MoAD, MoLD |
| District staff capacity building - 5 days ToT focused on knowledge, participatory planning/LAPA, and improved service delivery; training for sector extension staff may be held separately  *First draft of district level curriculam will be used to test during the training and then curriculam will be finalized with the key implementers at district level. District level trainings will lead the preparation of VDC level curriculum and further, the development of user-friendly extension material for community groups such as posters, flyers, and comic strips.* | Line agency technicians, District NGOs, Service provider, SMs and where possible members of ongoing IFAD funded projects  Line Sectors: DDC / DEECC Section Head. Forest. Agriculture. Livestock. Soil conservation. Energy. Water. Irrigation. WDO. |
| If necessary, a separate training for extension agents, with annual refreshers will be organised, with technical focus on CCA practices and technologies, for improved extension service delivery |  |
| GESI Integration Training / with Curriculum, including M&E of ASHA interventions with GESI perspective | SM, SPs, and relevant stakeholders |
| AFEC capacity building - 5 days training on CCA knowledge and planning, including LAPA, for support with LAPA preparation facilitation | NGOs, SPs/AFEC, LF |
| Study tours and exposure visits (regional, national or international, as relevant) |  |
| **1.1.2. Planning Holistically** | |
| **A. GIS** | |
| GIS Unit capacity building - Set of 3 \* 5 day trainings within 6 months; focused on GIS and subwatershed based planning | GIS specialist, land use planner, relevant project technical specialist, technical district government staffs with working experience of GIS |
| Training to District staff - Training on subwatershed level planning and management, and use of portable GIS kit, to district staff and service providers (SM, LAPA, LF); provided by GIS Unit itself, if possible | Sector technicians from: DDC/DEECC. Forest. Soil. Agriculture. Irrigation. Livestock. Energy. Water. |
| **B. PSD** | |
| PSD capacity building of ministry staff training - may be integrated in 1.1.1.B. Institutional capacity building |  |
| PSD capacity building and workshop for district staff and stakeholders | LAPA SP, AFEC/LF and SM, organised by PSD-LAPA Manual developer |
| **1.1.3. Participatory LAPA Preparation** | |
| Training to field and technical staff on LAPA steps and prioritisation activities. | Service provider, AFEC, SMs and relevant district staffs |
| Training on social mobilisation and group management | SMs |
| LF selection and technical training on CCA practices and technologies for extension services and scaling up | Lead farmers |
| LAPA group leadership training (with curruculum) | Key LAPA member |
| Training of women leaders, Coaching/mentoring for women | Female leader of LAPA group |
| Community level training, including planning, resource mapping, HH VA ranking and prioritisation, 7-step LAPA | LAPA group member |
| Awareness campaigns by SMs | Community member |
| **1.2.1. Building an evidence base for adaptation** | |
| Training of PAR/applied research if necessary, to private and/or public research institutions | Selected private/public research institution |
| **1.2.2. CCA knowledge management and dissemination** | |
| GIS-MIS M&E capacity building | Project staff and other relevant stakeholder |
| Use of electronic tablets for M&E, and information/knowledge sharing (including weather data for LF, as indicated below) | Lead farmer, SMs |
| Training on weather data observations and data recording/transfer through electronic tablets | Lead farmer |
| **2.1. Community Infrastructure for climate adaptation operational** | |
| Vocational training on skills related to infrastructure development, operation and management | Prioritising local youth |

**Annex 12: Sample Chart of Account**

|  |  |
| --- | --- |
| Budget Head No. 3291563 | |
| Budget Head No. | Budget Code |
|
| 21111 | Salary |
| 21112 | Local Allowance |
| 21113 | Inflation Allowance |
| 21119 | Other Allowance |
| 21121 | Clothing |
| 22111 | Water and Electricity |
| 22112 | Communication Expanses |
| 22121 | Office Rent |
| 22122 | Other Rent |
| 22211 | Fuel |
| 22212 | Repair and Maintenance |
| 22213 | Insurance |
| 22311 | Office Expenses |
| 22314 | Vehicle Fuel & Others |
| 22321 | Maintenance expenditure of Public Properties |
| 22411 | Consultancy Services |
| 22412 | Other Service Charge |
| 22512 | Training & workshops |
| 22611 | Monitoring and Evaluation |
| 22612 | Travel Expenses |
| 22711 | Miscellaneous |

**Annex 13: Designated Account Reconciliation Statement**

|  |  |  |  |
| --- | --- | --- | --- |
| **Particular** | | **NRs** | **US $** |
| Balance as per Nepal Rastra Bank Statement |  | - | - |
| **sub total** |  | **-** | **-** |
| **a)** | **Outstanding Replenishment as of FY ...** |  |  |
|  | Transfer to Designated Account | - | - |
|  | Direct Payment through L/C by NRB | - | - |
|  | **Total** | **-** | **-** |
| **b)** | **Disbursement during this FY ...** |  |  |
|  | Ka-7- 17 transfer | - | - |
|  | Direct Payment through Imprest A/C | - | - |
|  | **Total** | **-** | **-** |
| **c)** | **Replenishment received during this FY ...** |  |  |
|  | Transfer to Designated Account | - | - |
|  | Direct Payment | - | - |
|  | **Total** | **-** | **-** |
| **d)** | **Outstanding Replenishment as of FY ...** |  |  |
|  | Ka-7-15 & 17 transfer | - | - |
|  | Direct Payment | - | - |
|  | **Total (a+b-c)** | **-** | **-** |
|  | **Initial Deposit @ US $ 1 = NRs** | **-** | **-** |
|  | **Total Initial Deposit** | **-** | **-** |
|  | **Exchange Gain** | **-** | **-** |

**Annex 14: Checklist for Withdrawal Application**

IFAD Financing No. ---- WA No. --- Reporting period [from --- to ---]

|  |  |
| --- | --- |
| FORM 100 - APPLICATION FOR WITHDRAWAL  1. Sequential numbering of withdrawal application | Yes or No |
| 2. Withdrawal application amount tallies with sequentially numbered summary sheets |  |
| 3. Categories/subcategories charged according to schedule 2 of financing agreement |  |
| 4. Percentage of financing applicable for each category or subcategory |  |
| 5. Availability of funds in categories and the overall financing amount |  |
| 6. Currency of payment |  |
| 7. Completeness and accuracy of banking instructions |  |
| 8. Complete name and address of correspondent bank |  |
| 9 Signed by authorized WA signatory |  |
| STATEMENT OF EXPENDITURE  1. Eligibility of expenditures claimed  (a) Within SOE financial ceiling (expenditures below USD 20,000 equivalent) |  |
| (b) Expenditures under specific category [-----] eligibility |  |
| 2. Form 102 signed by designated Project Accountant, Project Director, Authorized Representative |  |
| 3. Form 102 supported by signed Form 101 (for items reported in 2, but over the financial ceiling) |  |
| DESIGNATED ACCOUNT – REPLENISHMENT REQUESTS  1. Amount within ceiling figure agreed as a reasonable limit [-- US$ or --]; or per AWP/B period |  |
| 2. Amount at least equal to 20 per cent of the agreed limit; or per AWP/B projected requirements |  |
| 3. Amount agreed sufficient to cover a specific reporting period (revolving fund option) |  |
| 4. Exchange rate used |  |
| 5. Completeness of designated account banking and account details |  |
| 6. Enclosed designated account reconciliation and bank statements |  |
| SUPPORTING DOCUMENTATION (attached when/if required)  1. Copy of contract |  |
| 2. Copy of invoice, certified by Project Manager |  |
| 3. Copy of bank guarantee and performance guarantee (for advance payment) |  |
| 4. Copy of delivery receipt |  |
| 5. Copy of evidence of payment |  |
| 6. Completed Form 101 |  |
| 7. Completed Form 102 (A or B) |  |
| PROCUREMENT  1. Copy of ‘no objection(s)’ provided by IFAD (attached)  2. Copy of Contract Payment Monitoring Form(s) (attached) |  |
| COMPLIANCE WITH CONDITION(S) FOR DISBURSEMENT  1. In accordance with terms in section E of the Financing Agreement  2. In accordance with terms in the Letter to the Borrower/Recipient |  |
| EXPENDITURE INCURRED/COMMITTED BEFORE PROJECT COMPLETION DATE  1. Expenditure verified as eligible:  (a) contract signed before project completion date  (b) goods delivered before project completion date  (c) services completed and/or rendered before project completion date |  |

Remarks:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Prepared by: Project Account Officer Certified by: Project Manager

Dated: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Dated: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Annex 15: Sample Financial Statement**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  | ***Amount in NRs.*** | |  |
| **Resources** | **Note** | **As of ...** | **...** | **As of ...** | **Applications** | **Cat. No.** | **Note** | **As of ...** | **...** | **As of ...** |
| GON Fund |  | - |  |  | Goods, Services and Inputs | I-G |  |  | - | - |
| GON Reimbursable Fund |  | - |  |  | Grants and Subsidies | II-G |  | - | - | - |
| Imprest A/C Replenishable (ASAP Grant) |  | - |  | - | Vehicles | III-G |  | - | - | - |
| Imprest A/C Replenishable (IFAD Grant) |  |  | - | - | Training | IV-G |  | - |  |  |
|  |  |  |  |  | Unallocated |  |  |  |  |  |
|  |  |  |  |  | Goods, Services and Inputs | I-A |  | - |  |  |
|  |  |  |  |  | Grants and Subsidies | II-A |  | - |  |  |
|  |  |  |  |  | Consultancies | III-A |  | - |  |  |
|  |  |  |  |  | Operating Costs | IV-A |  | - |  |  |
|  |  |  |  |  | Unallocated |  |  | - |  |  |
| ***(a) Sub Total*** |  | **-** | **-** | **-** | ***(a) Sub Total*** |  |  | **-** |  |  |
| Imprest A/c initial deposit (ASAP Grant) |  |  |  | - | Imprest A/C Balance (IFAD Grant) |  |  | - |  | - |
| Imprest A/c initial deposit (IFAD Grant) |  |  |  | - | Imprest A/C Balance (ASAP Grant) |  |  |  |  |  |
| Replenishable (ASAP Grant) |  |  |  | - | Imprest A/C Replenishment(IFAD Grant) |  |  |  |  |  |
| Replenishable (IFAD Grant) |  |  |  | - | Imprest A/C Replenishment(ASAP Grant) |  |  |  |  |  |
| Exchange gain (IFAD Grant) |  |  |  |  |  |  |  |  |  |  |
| Exchange gain (ASAP Grant) |  |  |  | - |  |  |  |  |  |  |
| ***(b) Sub Total*** |  | **-** | **-** | - | ***(b) Sub Total*** |  |  | **-** | **-** | - |
| ***Grand Total*** |  | ***-*** | ***-*** | - | ***Grand Total*** |  |  | ***-*** | **-** | **-** |

**Annex 16: Sample Fixed Asset Register**

1. NON-CURRENT ASSETS (for disclosure purposes only)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| *Financial Statement Currency* | |  |  |  |  |  |
|  | **Cat 1 -Infrastructure** | | **Cat 2 Vehicles** | | **Cat 3-Equipment** | |
|  | **200X** | **200X-1** | **200X** | **200X-1** | **200X** | **200X-1** |
|  |  |  |  |  |  |  |
| Opening Balance | XXX | XXX | XXX | XXX | XXX | XXX |
| Additions (Statement of Receipts and Payments) | XXX | XXX | XXX | XXX | XXX | XXX |
| Disposals | XXX | XXX | XXX | XXX | XXX | XXX |
| Closing Balance | XXX | XXX | XXX | XXX | XXX | XXX |

**Annex 17: Sample Form for Record of Contracts**

57 .tif

**78.tifAnnex 18: Sample Form for Contract Payment Monitoring**

1. Under ASHA, a resilient smallholder household will be defined as a household with the following characteristics: (i)diversified livelihood and income streams; (ii) access to, and adoption of, improved land, water or energy management techniques; iii) membership in social networks, particularly farmer groups; (iv) access to community infrastructure which supports climate riskmanagement; and (v) engagement in the LAPA process. [↑](#footnote-ref-1)
2. RIMs compulsory indicators [↑](#footnote-ref-2)
3. RIMs compulsory indicators [↑](#footnote-ref-3)
4. 100,000 HHs equals approximately 500,000 people [↑](#footnote-ref-4)
5. Strengthened institutional adaptive capacity will continue to benefit a much larger population than 100,000 post-project completion. The vulnerability scale being used is the nationally adopted scale developed under the NAPA Vulnerability Mapping for Nepal (2010) exercise. [↑](#footnote-ref-5)
6. Leverage ratio of ASAP grant versus non-ASAP financing, including IFAD PBAS allocation and on-going investments, other donor financing and national budgetary allocations [↑](#footnote-ref-6)
7. ASAP core indicator [↑](#footnote-ref-7)
8. The tests should incorporate criteria on profitability and resilience. [↑](#footnote-ref-8)
9. Under the FAO-GEF project for “Reducing vulnerability and increasing adaptive capacity to respond to impacts of climate change and variability for sustainable livelihoods in agriculture in Nepal,” FAO has applied for a Project Implementation Facility (PIF) to support the (i) analyse institutional gaps, capacity needs and strategies for enhancing coordination mechanisms within the MoAD, DoAD, DoLS, NARC, districts and community-based organizations; (ii) establish analytical frameworks, methods and tools for assessment of vulnerabilities and climate impacts and for location specific early warning systems; (iii) stocktake and list adaptation practices in the agriculture sector; and (iv) identify and assess knowledge management tools and methods. ASHA will coordinate closely with this project to ensure synergies and avoid overlaps and replications. [↑](#footnote-ref-9)
10. For a consolidated list of training activities accord, please see Annex 11 [↑](#footnote-ref-10)
11. If necessary, a separate training and/or annual refreshers for service centre technicians may be organised, focused on technical aspects of CCA practices and technologies, for improved extension service delivery. [↑](#footnote-ref-11)
12. This refers to the pilot phase only (PY1 to PY3). If proven successful, all 200 VDCs will have GIS-based sub-watershed plans [↑](#footnote-ref-12)
13. The Project will coordinate with the 3 NCCSP staff based in each district for coordination of LAPAs [↑](#footnote-ref-13)
14. Although there is little experience of Government departments using GIS for planning purposes, there are a number of GIS service providers in Nepal. Genesis Consultancy provided services as a partner to the Nepal Forest Resource Assessment project (2010-2014), and is the service provider for the ASHA pre-project GIS exercise. The Institute for Social and Environmental Transition Nepal (ISET-N) provides services to the Ecosystem Based Approaches to Adaptation (EBAA). Similarly, the Local Initiative for Biodiversity Research and Development (LI-BIRD) provided GIS support for developing the NAPA National Vulnerability Map. WWF has its own GIS unit, while the International Centre for Integrated Mountain Development (ICIMOD) has an in-house geo-information unit with links to international agencies such as NASA and ESRI. [↑](#footnote-ref-14)
15. References on PSD:

    Bizikova, Dickinson, and Pintér. *PSD for climate change adaptation*. Participatory Learning and Action

    Chaudhury et al. 2013. Participatory scenarios as a tool to link science and policy on food security under climate change in East Africa. CGIAR CCAFS [↑](#footnote-ref-15)
16. An extended DEECC may be organized, including including members from NRM Committee, Agriculture committee, technical staff from other concerned line agencies for discussion on the LAPA [↑](#footnote-ref-16)
17. The tests should incorporate criteria on profitability and resilience. [↑](#footnote-ref-17)
18. A good reference is the Farmers’ Handbook developed by the Himalayan Permaculture Centre (HPC), available in both Nepali and English. The HPC Permaculture Demonstration Centre closest to the ASHA PCU is the Sunrise Farm near SitaPaila in Kathmandu - http://www.himalayanpermaculture.com/#/sunrise-farm/4532754592 [↑](#footnote-ref-18)
19. Includes co- or parallel financing from IFAD (on-going projects), government funds and other donor-funded programmes [↑](#footnote-ref-19)
20. See Activity 1.1.2.A. Landscape based approach to LAPA preparation – Spatial analysis of individual LAPAs and sub-watershed management plans [↑](#footnote-ref-20)
21. See Activity 1.1.3. Participatory LAPA preparation – selection of cross-LAPA investments [↑](#footnote-ref-21)
22. The Project will explore the existing system of Barefoot Consultants, managed by the Himalayan Permaculture Centre, to adopt best practices in LF selection, training and management. [↑](#footnote-ref-22)
23. The IFAD Guide for Project M&E is to be referred to while developing the Project M&E Framework: http://www.ifad.org/evaluation/guide/index.htm. The Project shall also refer to the National M&E Guidelines by NPC. [↑](#footnote-ref-23)
24. E.g. EX-Ante Carbon-balance Tool (EX-ACT) - an appraisal system developed by FAO providing prior estimates of the impact of agriculture and forestry development projects, programmes and policies on the carbon-balance: http://www.fao.org/tc/exact/ex-act-home/en/ [↑](#footnote-ref-24)
25. MoFALD Environment Friendly Local Governance Framework 2013 indicators will be referred to as an example. M&E Framework is also to be aligned with other national systems to the extent possible; for reference see ‘The monitoring and evaluation of climate change adaptation in Nepal: a review of national systems’ by Susannah Fisher, IIED& Michelle Slaney, Practical Action Consulting, IIED Publication 2013. [↑](#footnote-ref-25)
26. Resource. FAO 2011. Study on potential of mobile phones in investment and development projects [↑](#footnote-ref-26)
27. Examples of projects using SMS monitoring include FAO Conservation Agriculture Project; RAIN & HELVETAS: Building resilience and adaptation to climate extremes and disasters (BRACED) &WASH Alliance programme in Nepal. Examples of applications include AKVO Flow: http://akvo.org/products/akvoflow/; AKVO RSR: http://akvo.org/products/rsr/; https://esoko.com/ [↑](#footnote-ref-27)
28. In developing the G-MIS, the Project will draw on lessons learned from the IFAD Country Programme in Nepal, particularly from HVAP’s experience in developing its MIS. [↑](#footnote-ref-28)
29. The relevance and incorporation of IFAD gender questionnaire (a pilot, complementary to RIMS impact survey) is to be explored upon the Baseline Survey. [↑](#footnote-ref-29)
30. RIMs compulsory indicators [↑](#footnote-ref-30)
31. RIMs compulsory indicators [↑](#footnote-ref-31)
32. A resilient smallholder HH under ASHA will have the following characteristics: (i) diversified livelihood and income streams; (ii) access to and adoption of improved land, water or energy management techniques; iii) membership in social networks, particularly farmer groups; (iv) access to community infrastructure which supports climate risk management; and (v) engagement in the LAPA process. [↑](#footnote-ref-32)
33. 100,000 HHs equals approximately 500,000 people [↑](#footnote-ref-33)
34. Strengthened institutional adaptive capacity will continue to benefit a much larger population than 100,000 post-project completion. The vulnerability scale being used is the nationally adopted scale developed under the NAPA Vulnerability Mapping for Nepal (2010) exercise. [↑](#footnote-ref-34)
35. Leverage ratio of ASAP grant versus non-ASAP financing, including IFAD PBAS allocation and on-going investments, other donor financing and national budgetary allocations [↑](#footnote-ref-35)
36. ASAP core indicator [↑](#footnote-ref-36)
37. This refers to the pilot phase; if proven successful, all 200 VDCs will have GIS-based sub-watershed management plans. [↑](#footnote-ref-37)
38. Testing incorporates profitability and resilience criteria [↑](#footnote-ref-38)
39. Includes co- or parallel financing from IFAD (on-going projects), government funds and other donor funded programmes [↑](#footnote-ref-39)
40. *e.g. official date when the PMU was formed or first field activities implemented* [↑](#footnote-ref-40)
41. Thecostofundertaking eachmilestoneareexamples only andthetotalcontractandpayment for eachmilestone shouldbebasedonthecost/pricesquotedby thepreferred serviceprovider [↑](#footnote-ref-41)