

Himachal Pradesh Forests for Prosperity Project

Himachal Pradesh Forest Department, India

Request for Expression of Interest (REoI) for selection of Consultancy Firms for Baseline Survey for World Bank Assisted Himachal Pradesh Forests for Prosperity Project (FPP)

1. The Himachal Pradesh Forest Department (HPFD) has applied for financing from the World Bank towards the cost of the HP Forests for Prosperity Project (HP FPP) and intends to apply part of the proceeds for consulting services. The Project envisage to support forest service provision programs and strengthening the roles of communities and the private sector in forest-related activities, improve the effectiveness of forest management programs and thereby improve the effectiveness of Central government (Govt. of India), allocations to the state for afforestation. The Project Development Objective is “To improve management and community use of forests and pastures at selected sites in Himachal Pradesh.”
2. The HPFD has constituted a Project Monitoring Unit (PMU) w.r.t. HP FPP to work with World Bank to effectively formulate and implement the proposed project.
3. The PMU, HP FPP is seeking consultancy from reputed experienced organizations/ firms to undertake a detailed collection of socio-economic profiles for different representative villages located in project area (*Annexure-I*) and upto equal number of control villages outside the project area. This will be used to develop socio-economic baseline data before interventions which will serve as benchmark for monitoring project impact at the end of the project as well as provide information to HPFD and World Bank in developing further its community based conservation work in forests and pastures management. The survey should be based on the social principles of equity, social and gender inclusion, participation, transparency, accountability, good governance and land management.
4. The PMU, HP FPP hereby invites “**Expression of Interest (EoI)**” from eligible consulting firms (“consultants”) to indicate their interest in above mentioned work. Interested consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the services. The shortlisting criteria are (i) The Consulting firm must have experience of minimum 12 years in consulting field (ii) Must have successfully completed at least 2 assignments of similar nature (Letter of award from employer/Project completion certificate is to submitted); (iii) Past experience of working in and understanding of the state’s social context preferably experience of working on Sutlej Basin or similar basins, (iv) Preference will be given to those firms who have such experience in WB projects of similar nature.
5. The attention of interested Consultants is drawn to Section III (Governance), Clause 3.16, 3.17 of the World Bank Procurement Regulations for IPF Borrowers : Procurement in Investment Project Financing (Goods, Works, Non-consulting and Consulting Services) July, 2016, setting forth the World Bank’s policy on Conflict of interest.

6. Consultants may associate with other firms in the form of a joint venture or a sub consultancy to enhance their qualifications. The type of association should be clearly indicated.

The consultant will be selected in accordance with the Selection Based on the Quality and Cost Based Selection (“QCBS”) method set out in the *World Bank Procurement Regulations for IPF Borrowers : Procurement in Investment Project Financing (Goods, Works, Non-consulting and Consulting Services) July, 2016.*

The detailed Project Description/Activities, Area and TOR can be obtained from the O/o Deputy Project Director, HPFPP, Una, Himachal Pradesh on any working day. “**Expression of Interest**” documents supporting relevant experience clearly marked with “**Expression of Interest for Baseline Survey for Himachal Pradesh Forests for Prosperity Project (FPP)**” shall reach the o/o Chief Project Director, HP Forests for Prosperity Project, Opposite KVK Una, Santoshgarh road, Rampur, Una, 174303 Himachal Pradesh 01975-225855 (e mail : cpdffp1@gmail.com) up to dated 22 May 2018 , 11:45 AM. The REoI can also be submitted through scanned copies of the relevant documents through e-mail: cpdffp1@gmail.com .The submitted documents will be evaluated from 12 noon onwards on the same day followed by the evaluation result. All those interested may kindly attend personally or through their authorized representatives.

The detailed REoI and Terms of Reference are available at website <http://www.hpforest.nic.in>

Chief Project Director
HP Forests for Prosperity Project(FPP), Una, HP

Terms of Reference: Baseline Survey Report for World Bank supported Himachal Pradesh- Forests for Prosperity Project

These terms of reference have been prepared to guide the development of detailed Baseline survey report for the upcoming Himachal Pradesh Forests for Prosperity Project.

A. STATE CONTEXT AND PROJECT BACKGROUND

Himachal Pradesh, the land of apples and snow, is situated in the northern tip of India. It has geographical area of 55,673 sq kms and constitutes nearly 11 percent of the total area of Himalayas. Nearly 30 percent of its geographical area is permanently under snow and more than 66 percent is designated as forest-with nearly 15 percent falling within the Protected Area (PA) network. The state almost wholly comprises of mountain ranges, hills and valleys and has 4 major agro-climatic zones viz. Sub-tropical low hills (Shiwalik Range, below about 800 meters MSL), Mid-hills sub-temperate zone (between 800 to 2800 meters MSL), High hills temperate wet and sub alpine (above 2800 meters MSL) and High hills temperate dry alpine zone (higher reaches of inner and outer Himalayas).

The High Hills Region covering Kinnaur, Lahaul & Spiti and Chamba districts, accounts for more than 30 percent of Himachal's geographical area. This zone is further divided into a sub- alpine and an alpine zone; the former lies at an altitude of 3000 - 3500 metres and the latter lies above 3500 metres. About 80 percent of this part of Inner Himalayas is under pastures, with cultivated and forested areas only spread over 10 percent of land, and inhabited by transhumant indigenous communities that use these alpine pastures for grazing their livestock.

The state is also home to nearly 1.7 million people belonging to vulnerable communities that constitute nearly 28 percent of its total population (24.7 percent SC and 4 percent ST). A significant proportion of the large rural population lives within and on forest fringes and has high dependence on forests and pastures for their lives and livelihoods. The state has been working on a green growth model that links prosperity of local communities to improved forest management for deriving multiple benefits.

Since forests produce a range of ecosystem services, they need to be managed for multiple benefits, not just for timber, but to maximize economic benefits for different stakeholders while managing these forests sustainably. In order to do this, Government of Himachal Pradesh is developing the ***Himachal Pradesh Forests for Prosperity Project***, with Department of Forests as the main implementing agency. The Project Development Objective is *'to improve the management and community use of forest and alpine pasture at selected sites in Himachal Pradesh by strengthening the institutional capacity of the state, strengthening value chain of select NTFPs and increasing the value of eco-tourism in select areas.* The five year project, to be implemented in the 7 district of state, is likely to be split into two phases, with the first phase aimed at institutional strengthening of the key implementing and other coordinating agencies for adaptive management, and subsequent phase on improving forest management for enhancing multiple uses of forest and pasture resources of the state.

The strategic guidance to the project will be provided by an inter-departmental Advisory Committee that will also provide the inter-sectoral coordination. Apart from using the project finance, the state will also leverage other state and central resources and opportunities by strengthening its institutional capacity for efficient use of GoI and state resources and by creating enabling conditions for private sector participation. It will also leverage resources made available from Compensatory Afforestation Management and Planning Authority (CAMPA) program for improving the quality of existing forests and establishing new forest areas.

A. Proposed Development Objective(s)

PDO: To improve management and community use of forests and alpine pasture at selected sites in Himachal Pradesh.

B. PROJECT COMPONENTS

1. PDO indicator #1: Area of forest managed in accordance with site-specific management plans (ha).
2. PDO indicator #2: Value-addition of selected commercial NTFPs (USD).
3. PDO indicator #3: Alpine pasture area with signs of degradation (ha).
4. PDO indicator #4: Public Performance Review of Forest and Alpine Pasture Sectors (number).
5. PDO indicator #5: Share of rural population in selected areas with rating 'Satisfied' or above on Project interventions (%).
6. PDO indicator #6: Public funds leveraged for improved management of forests and alpine (value expressed in USD or Indian Rupees).

PROJECT CONTEXT

A. Concept

1. Description

1. By making forest service provision programs more effective, and strengthening the roles of communities and the private sector in forest-related activities, the Project will contribute to the states' economic development goals, but also lay the foundation for broader benefits. Improving the effectiveness of afforestation programs will, for example, improve the effectiveness of Central government allocations to the state for afforestation such as those made under the Compensatory Afforestation Management and Planning Authority (CAMPA) fund. Given that, as per the 14th Finance Commission, 7.5 percent of the allocations to states are based on the state's forest quality, by helping HP improve its forest quality, the Project will help increase the fiscal allocations to the state and thereby the overall state budget for development programs. Improved forest quality will also lead to increased carbon sequestration, helping HP meet its state climate policy goals, and contribute to the achievement of India's NDC targets.

Component 1. Improving forest sector service provision by HPFD

Sub-Component 1.1: Improve forest and pasture management

2. This sub-component will finance a subset of key investments, including the procurement of goods, to improve forest and pasture management, forest quality, and community involvement, such as:
 - (i) **Development of nurseries and improvement of seed orchards using state-of-the art technologies.** This will include investments in: (a) the development of nurseries across the state (the potential of private sector participation will be explored during preparation); (b) the improvement of seedling techniques used in nursery enhancement; and (c) the development of seed collection, grading, certification and treatment facilities to improve the genetic quality and ecological suitability of seeds. PPP schemes will be explored during Project preparation.
 - (ii) **Establishment of new plantations and enrichment planting.** This activity links closely with the activity described above by helping to improve forest quality and density through adaptive planning and management, targeted investments at selected sites, and the use of improved techniques and models. International experience indicates that much better survival rates can be achieved if this is done through partnerships with local communities that go beyond labor contracts for planting. Benefit sharing arrangements that allow communities to harvest the productive assets in years to come are needed. The Project will analyze different schemes to promote communities' participation during preparation.
 - (iii) **Infrastructure for forest fire detection and equipment for forest fire suppression.** This activity will lead to a comprehensive forest fire detection, response and management action plan. The detection of forest fire will be linked to the state's Forest Management Information System (FMIS) for detection and response in real time, and to ensure a better alignment with the existing systems at the national level. Infrastructure for forest fire detection and equipment for forest fire suppression would include clothing, tools and vehicles.
 - (iv) **Improvement of pastures management.** These activities seek to augment the management of and community benefits derived from pastures, particularly alpine pastures above tree line that are managed by the HPFD and are often degraded through a set of actions that will address planning and other institutional constraints and finance key investments in the field. These activities will involve the development of new and upgrading of existing pasture management models for high altitude pastures, low lying pastures, and forest lands. They will be jointly implemented by the HPFD and the PFM committees. Specific mechanisms to pilot the proposed models through specific investments will be identified during Project preparation, including the potential

flow of funds to communities to support the implementation of the pilots.

- (v) **Management of invasive alien species:** this activity will lead to better management of alien invasive species in pasture/grazing lands in forests ex. *Lantana*, *Parthenium* and *Eupatorium* which have become a key issue for many communities in Himachal Pradesh. The use of Glyphosate (Round up) to kill weeds. HPFD will conduct a technical evaluation of the opportunities for its use accordingly; the necessary impact and mitigation measures, training on storage, handling and application would be examined.

Sub-Component 2.2 – Strengthen technical capacity

3. This sub-component seeks to improve the technical capacity at the HPFD, the availability of data/information, and planning and monitoring to help both generate increased revenues for the state and ultimately improve the quality of forest cover. This sub-component will also help strengthen technical capacity to improve the effectiveness of on-going and future investments in plantation and pasture management. The sub-component will finance technical assistance activities, procurement of goods (equipment), and some key investments, such as:
- a. **Strengthen forest management information systems (FMIS):** The FMIS will be improved so that the strategic development/planning/decision making can: i) be linked to other sectors and institutions (e.g. land registry, agriculture, tourism, etc.); ii) be based on accurate and agreed data; iii) provide the means for monitoring and verification; and, iv) increase transparency and allow for independent supervision. This will facilitate effective planning, implementation and monitoring of CAT Plans, forest accounts, benefit sharing in the catchments etc.
 - b. **Improve planning and training:** This activity will support the development of guidelines for multi-tier and multi-purpose forestry plantations, management and utilization of NTFP's and improving the quality of pastures, as well as the implementation of these guidelines in model plantation and pasture schemes. The activity will also support the improved implementation of monitoring plans, e.g. by updating plans with areas afforested, permits issued, NTFP removals, timber removals, incidence of pests and fire, etc. and by producing reports consolidated at the local and state levels. Planning activities supported under the CAMPA program will be aligned with this activity¹.
 - c. **Information Technology Strategy:** The project would help develop and implement an Information Technology Strategy to bring major

¹Allocation of CAMPA funds from the Ministry of Environment, Forests, and Climate Change is based on the Annual Planning of Operation (APO) that the HPFD prepares and shares with the GoI. The Project will support the review of the existing system of APO preparation for CAMPA-funded activities and will support reforms in the institutional setup for developing the APO/monitoring system and coordinating this system with the state forest sector strategy. To ensure that improvements in planning will be adopted and sustained in the future, however, this sub-component will also include investments in forest guard training schools and forest research training centers.

HPFD and ideally other government department programs and activities on a common platform to ensure that there are unique datasets and the data is entered only once. This platform will also serve as the basis of forest accounts and will help improve accountability and transparency by making data available to the public.

Sub-component 1.3. Manage catchment areas to maximize forest ecosystem services for hydropower

4. **CAT plans effectiveness.** To improve the effectiveness of comprehensive CAT plans, this sub-component will also support the development and implementation of a model CAT plan, the development of CAT planning approaches, targeted training of officers, investments in monitoring stations and silt laboratories, and investments to implement CAT plan activities. This activity has the potential to be replicated in Nepal and Bhutan and in other hilly terrains.
5. Specifically, under this sub-component, the Project will finance technical assistance and investments focused on the Sutlej basin (one of the five river basins in the state) to strengthen the flow of forest ecosystem services to forest-dependent sectors, such as hydropower. This basin has a length of over 200 km and an area of more than 50,000 hectares. The catchments within the basin are showing symptoms of degradation, such as landslides and uncontrolled erosion. In this context, the project will finance the application of hydrological and investment prioritization models to better understand sediment flows and to suggest appropriate treatment for optimal catchment area management. The development of the Sutlej CAT plan – a model CAT plan – will include activities designed to maximize the production of ecosystem services, such as improved *forest and pasture management, landslide management, erosion control, check dams, brush wood dams, and bio-engineering works*. The Project will support the HPFD to develop and implement this plan through coordination with the rural development, roads, tourism and other stakeholder departments and to demonstrate the advantages of model catchment management.
6. Both multi-layered plantations (grass, herbs, shrubs, and trees) and existing forests in the catchment will be managed to maximize ecosystem service flows. This sub-component will support water recharge to improve the hydrology of the catchment, such as: (i) forest spring rehabilitation, including spring monitoring, (ii) spring catchment protection and management program, and (iii) water harvesting based on investments in afforestation to improve percolation, infiltration, and year-round ground water availability. PPP schemes will be explored as part of these potential activities. PES schemes that include benefit sharing arrangements with local communities will also be piloted in these communities to encourage their participation and identify successful models.
7. This subcomponent would account among others the *impact of road construction on the sediment flows* in the Satluj Basin and would propose necessary management measures.

8. **Operationalization of PES policy.** Payments for Ecosystem Services appear as one of the incentives for stakeholders to contribute to forest management. This sub-component will support (i) the development of rules and regulations for the Payment for Ecosystem Services Policy, (ii) the design of the system to incentivize communities to participate in forest protection and plantation management, and (iii) the HPFD has developed some studies to pilot PES in the watersheds of Kangra district and in the Renuka dam hydro catchment in Sirmaur district. Exploring gaps of these pilots and bringing in effective model of PES in major hydro catchments will be worked out within the Project. These activities will involve technical assistance to be implemented by the HPFD.

Component 2. Incentivizing communities to better manage forests

9. This component aims to remove barriers to and create incentives for improved forest management at the level of communities and private sector through a set of activities addressing institutional, governance, and technical constraints. Enhanced livelihoods benefits are expected to incentivize communities to contribute to improved forest quality. A clear policy environment will unlock private sector participation. These activities will also signal an institutional change at the level of the HPFD, getting it out of revenue generation where private sector and communities can play a role.
10. An NTFP sector strategy will underpin this component to catalyze the potential of NTFPs and support local livelihoods by securing communities' access rights and increasing value-addition through improved harvesting, processing, storage, and marketing of selected NTFPs. During preparation, the HPFD will explore the possibility of using project preparation funds to support the development of this strategy to help identify one or two NTFPs with market potential and secure communities' access to and use of the forest resource through a participatory process.² Increased value-addition supported initially by public financing would create a favorable investment climate to crowd-in private sector investments in NTFP enterprises, including potentially through PPPs. For this purpose, HPFD will involve a private entity that is experienced in this area. The selection of this entity will be discussed during Project preparation. The sub-component will support the following activities:
 - (i) Provide technical and financial support to communities and individuals to initiate and manage NTFP-based enterprises. This could include startup capital through microfinance schemes, training, and other

² The proposed Project will coordinate with the Agriculture GP to ensure synergy with the Bank - funded HP Horticulture Development Project (P151744), especially to leverage the cold storage and warehouse infrastructure being upgraded and built under the horticulture project for improving NTFP value chains. The location of these investments could be helpful in deciding the geographies for NTFP investments under the proposed Project. The T&C GP will also be involved in advising on this sub-component.

- business development support. The specific financial mechanisms and their implementation will be analyzed during Project preparation.
- (ii) Support the development and piloting of value chains and markets for specific NTFPs, such as *Chilgoza Pine*, *gucchi (mushrooms)* and those by Transhumant communities via certification, standards, targeted investments, etc.

11. A component on eco-tourism destination development would add to the complexity of implementation arrangements. For these reasons this option was dropped with the caveat that it could be picked up during a future engagement. However, and as a first step, the potential of ecotourism will be also explored and discussed with the HPFD during preparation. The following activities are likely to be supported to help create an enabling environment for private sector investments: (i) update the state's ecotourism policy to facilitate high value ecotourism development; (ii) develop ecotourism guidelines that balance the need for community, forest, and private sector benefits; and (iii) develop specific infrastructure to facilitate ecotourism in forest areas. These activities will be jointly analyzed with the T&C GP.

Component 3. Project management and institutional coordination

Subcomponent 3.1. Project management

12. This subcomponent will finance Project management activities (mainly through consultant services), which will be undertaken by a Project Implementation Unit (PMU) established in the HPFD. The PMU activities will include budgeting, preparing annual work plans, contract management, financial management, procurement, environmental and social risk management, and monitoring and evaluation. Under this component, all reporting on implementation progress will be prepared, including monitoring of the PDO and the Results Framework indicators.

Subcomponent 3.2. Institutional coordination

13. This subcomponent will support, though the financing of recurrent expenditures, the creation and maintenance of the Project's Steering Committee (SC) as a key vehicle to ensure multi-sectoral coordination and participation among the HPFD and other relevant sectors that are involved with the project and have the institutional mandate to advise or implement activities related to watershed treatment, NTFPs, or ecotourism. The Project will finance (i) technical meetings of the SC and (ii) knowledge exchange activities with other states and countries facing similar challenges.

B).WORLD BANK'S FOREST ACTION PLAN: ROLE OF FORESTS IN INCREASING SHARED PROSPERITY

WBG recognizes the need for forests to become an integral part of national development priorities and be better recognized for opportunities they offer, especially

since a large part of the world's vulnerable population lives in or near forests. World Bank's Forest Action Plan for the period 20016-20 (FAP)³ provides guidance on how forest smart activities can create pathways to help lift communities out of poverty and vulnerability. The FAP identifies 2 key areas, namely sustainable forest management and forest smart interventions that can contribute to creating lasting and positive forest outcomes-greater climate resilience, ensuring rights and participation, and strengthening institutions and governance in the management of forests, to maximize their development benefits.

Sustainable Forestry- The Action Plan supports investments for enhancing benefits from natural forests, in terms of creating cash and non-cash income opportunities for forest dependent communities by planting new forests, responding to growing demand for fuel, fodder and food and reducing pressure on natural forests. It also promotes investments for rehabilitating degraded forests and strengthening value chains through forest-based enterprises. Potential interventions in this area include:

1. Protection and optimization of the management of natural forests through:
 - *Participatory forest management*
 - *Sustainable management of production forests*
 - *Sustainable production of non-timber forest products*
 - *Forest biodiversity protection*
 - *Nature-based tourism*
 - *Payment for ecosystem services*
2. Sustainable plantations and tree plantings through:
 - *Responsible investments in large-scale commercial reforestation*
 - *Smallholder plantations and tree planting*
3. Sustainable forest value-chains through:
 - *Small and medium forest enterprises*
 - *Private investments in forest value chains*

Forest Smart Interventions-This approach supports investments which minimize or avoid adverse impacts on forests and their bio-diversity, and identifies opportunities to increase productivity and resilience of other related sectors-agriculture, watershed, flood control by delivering multi-sectoral solutions. Potential interventions in this area include:

1. Informed decision making on land use by:
 - *Introducing forest considerations as key element of Sustainable Development Agenda*
 - *Promoting land use planning as a key tool*
2. Deliver on forest-smart operations in sectors such as:
 - *Agriculture and water*
 - *Infrastructure (transport, dams, and hydropower)*
 - *Energy*
 - *Extractive industries*

³<http://documents.worldbank.org/curated/en/240231467291388831/pdf/106467-REVISED-v1-PUBLIC.pdf>

Apart from these two key areas, FAP also identifies certain cross cutting themes, engagement in which can lead to positive outcomes. These include developing innovative solutions for forest based climate change mitigation and using a landscape based approach for developing resilience among ecosystems and societies to climatic shocks. The world's most carbon-rich and bio-diverse forests are often found in regions where **participation and rights** related to access and use of forests /forest products are ill-defined, contested or insecure.

The Action Plan commits to support client countries that are willing to clarify forest access and user rights, improve land tenure (for indigenous and forest-dependent communities), and modernize land administration. In addition, the FAP also seeks to establish platforms to foster enhanced stakeholder participation, since effective forest **governance and strong institutions** are pre-conditions for sustainably managed forests. To this extent, it strives to support clients willing to strengthen their institutional capacities and policy framework to sustainably manage their forests and its interfaces with other sectors.

The framework provided by FAP can be used as the guiding principles for the present baseline survey of Himachal Pradesh Forests for Prosperity Project.

C) PURPOSE AND OBJECTIVE OF THE STUDY

The objective of this assignment is to undertake a detailed collection of socio-economic profiles for different representative villages located in project area (*Annexure-I*) and upto equal number of control villages outside the project area. This will be used to develop socio-economic baseline data before interventions which will serve as benchmark for monitoring project impact at the end of the project as well as provide information to HPFD and World Bank in developing further its community based conservation work in forests and pastures management. The survey should be based on the social principles of equity, social and gender inclusion, participation, transparency, accountability, good governance and land management.

The key objectives area as under:

- To provide an in-depth indicative information on the socio economic status of community and its participation, interest, knowledge, skills and attitudes in forests and pastures management (especially the target groups in the community and/or development initiatives in the target communities).
- To provide analytical benchmark information on the Government plans/programs and their policies with regard to the forests and pastures management and to what extent they are well aligned with the adaptation needs of the local communities and provide in-depth understanding of the capacity and coordination gaps at the institutional levels

- To provide benchmark information for measuring project achievements and impact (at the project objectives, intermediate result levels based on the project proposal).
- To provide analytical information on the number of civil society/women/youth/children groups already actively engaged in issues of forests and pastures management in the target constituencies and provide a benchmarks of their knowledge, attitude and skills in forests and pastures management.
- To identify benchmarks and indicators; this can be used as a point of reference for monitoring and evaluation of the Project.
- To review HPFPP result frame work document for inclusion of indicators for project activities.

D) SCOPE OF THE ASSIGNMENT

The Consultants will be responsible to perform the following tasks:

- a) The study should focus on issues listed in *annexure-II* to bring out their present status in both project and control villages. However the consultant is free to add issues to bring out the assessment of indicators as mentioned in RFD.
- b) Demographics (including ethnicities and minority groups), main economic drivers and activities, livelihoods and incomes, including trends and barriers. Gather information and review relevant documents and literature about household, socioeconomic, cultural profile and political characteristics in project area villages (the household survey will only be conducted in representative villages to be selected based on consultant's methodology and in consultation with PMU/World Bank) based on previous studies conducted and data available from other organizations.
- c) Laws, policies and institutions relating to community based natural resource management, gaps and needs.
- d) Draft the socio-economic profile outline, and key questions for interviews and survey including an identification of key respondents and contributors to the baseline study; to consult World Bank/ project management team in finalizing the key questions (questionaries'). Key community stakeholders, roles and social structure and governing customary laws and responsibilities for community participation in natural resources management, and a detailed innovative plan for community involvement in the project, addressing challenges of effective involvement
- e) Conduct interviews, meetings and survey on socio economic situation as well as level of the communities' awareness on natural resource management and traditional forests management knowledge and communities' understanding and awareness of relevant laws and regulations in community forestry. The interviews will be conducted mainly with targeted communities, local authorities and concerned departments, NGOs, and other stakeholders.

- Household survey.
 - Focus group discussions with elected representatives, civil society/ women/ youth groups and community members.
 - Key informant interviews with government bodies (state and national) and partners.
- f) A gender assessment will be undertaken, reviewing the roles of both females and males in sustainable natural resources management and potential impacts of the project on each gender group.
- g) Data analysis and formulate conclusions and recommendations for future assessment/study and potential sites of sustainable livelihood assessment in order to identify the potential community based NRM & NTFP enterprises development for improving the socio-economic condition in those villages. *(Provide an overview analysis of the principle value chains/markets in each location that provide livelihood options and essential services, their vulnerability to different shocks and stresses and provide actionable recommendations to strengthen these value chains for better economic empowerment of actors in the value chain. Incorporate findings from the market systems analysis conducted partners in the project areas including overview of market systems, understanding of systemic constraints, seasonality, sustainability and response options into the overall baseline report. Establish gaps, realistic targets and procedures for capacity building and financial assistance interventions in specific areas providing specific baseline figures and logical targets).*
- h) Validation through meeting / workshop
- i) Prepare and consolidate all the socio economic baseline profile for supported communities based on the result of this study, and the other studies conducted by other organizations.

- j) Report write-up. The reports should conform to the following specifications:
- **Cover page** (Title of the study, the date of the study, recipient's name, name(s) of the evaluation team).
 - **Preface or Acknowledgements** (Optional)
 - **Table of Contents**
 - **List of Acronyms**
 - **Lists of Charts, Tables or Figures** [Optional]
 - **Executive Summary** [Stand-Alone, about 5 pages, summary of report. This section may not contain any material not found in the main part of the report]
 - **Main Part of the Report**
 - ✓ *Introduction/Background and Purpose* (Overview of the baseline process. Covers the purpose and intended audiences for the study and the key questions).
 - ✓ *Study Approach and Methods* (Brief summary. Additional information, including instruments should be presented in an Annex).
 - ✓ *Findings*: (This section, organized in whatever way the team wishes, must present the basic answers to the key questions, i.e., the empirical facts and other types of evidence the study team collected including the assumptions)
 - ✓ *Conclusions* (This section should present the team's interpretations or judgments about its findings). Conclusions should be stated as objectively as possible.
 - ✓ *Recommendations on project activities and project monitoring (if applicable)*
 - **Annexes**
- k) 15 sets of hard copies along with 3 sets of soft copies (CD) of final report.

E) ASSIGNMENT DELIVERABLES AND PAYMENT SCHEDULE

This assignment is expected to be completed **within 8 weeks** from the time of signing of contract between the PMU/ nodal department and the consultant firm. The draft final report should be submitted after incorporating all comments and suggestion received from stakeholders, PMU and the World Bank during the sharing and disclosure workshops.

Power Point Presentations on the key elements of the report will need to be prepared and presented to the nodal agency/PMU and the Bank at different stages of the assessment and also for sharing the summary of the draft and final reports.

Payment and Work Delivery Schedule

Tranche	Deliverable	Condition	Time Limit
30% of the contract value	Submission of the Scoping and Inception report	Subject to satisfaction of the PMU /World Bank	1 week
30% of the contract value	Submission of revised Draft Report	Subject to satisfaction of the PMU /World Bank	6 weeks
40% of the contract value	Submission of Final report incorporating recommendations emerging from disclosure and public consultation	Subject to satisfaction of the PMU /World Bank	8 weeks

Travel Requirements - The Specialist/firm hired to conduct baseline survey will be required to undertake extensive field-visits in the proposed project areas as part of the report preparation.

F) QUALIFICATIONS OF THE CONSULTANT FIRM

The Consultant Firm hired for conducting the social assessment for Himachal Pradesh Forests for Prosperity Project should have the following qualifications:

- Prior experience of conducting baseline survey studies for World Bank, or other multi/ bi-lateral agencies, for large scale projects; understanding of safeguard policies and their triggers.
- Demonstrable experience of working with communities and community collectives on issues related to forestry, environment, NRM or undertaking similar studies/assessments.
- Understanding and knowledge of issues around NRM, forest and tribal governance, bio-diversity, climate change, watershed, forest based livelihoods/ enterprise.
- Sound understanding of social and gender issues around NRM, forest dependant livelihoods related to inclusion, restrictions/ access, ownership, rights, participation, governance, social conflicts, accountability and benefit sharing.
- Past experience of working in and understanding of the state's social context, preferably experience of working on community based NRM / livelihoods issues.
- Team members deployed for the assignment should demonstrate a sound understanding of issues allocated to them and some familiarity with the state context.

Recommended Team Composition

Position	Desired Qualification and Experience
<i>Team Leader- NRM Expert</i>	<i>Sound understanding of NRM, substantive multi-sectoral experience, preferably both in implementation as well as project formulation, sound understanding of public systems and institutional arrangements for large scale projects, past experience of undertaking baseline surveys for large projects</i>
<i>Social Development/ Tribal Specialist /Community Development / Gender Specialist</i>	<i>Sound overall understanding of social development and issues of tribal mainstreaming in development projects, understanding of and past experience of working in NRM, forestry from social side, familiarity with social principles, safeguards, and their application. Experience of closely working with rural communities in the state, sound understanding of issues vulnerable communities and women related to participation and inclusion</i>
<i>Economist</i>	<i>Past experience of implementing NRM or forest based / rural livelihoods projects with collectives, understanding of community constraints related to access, use, co- management of resources</i>
<i>NTFP / Agri business Specialist</i>	<i>Should be able to cover all NTFP issues of the project. S/he may have proven experience in assessment of NTFPs/ availability, management, value chain systems / marketing etc with exposure to Himalayan region.</i>

G) CONTRACTUAL TERMS

Responsibilities of the consultant firm:

1. *Field visits:* Visit to potential project implementation sites, as identified by the implementing agency, for understanding the key social issues, community perceptions and the project context. Sites selected for field visits should be representative of the situation/ context to be found in most project areas in the state. The firm will be required to undertake field-visits as per the project requirements.
2. The Consultant Firm will assist the PMU and implementing agency in public disclosure and consultation process of SMF in compliance with the safeguard policies of the World Bank.
3. All information gathered, including raw and clean data as well as interview transcripts, photographs, questionnaires, minutes or proceedings of meetings/ discussions, among others, belong to the Government of Himachal Pradesh and the World Bank, and will be handed over during and upon the completion of the assignment, as requested.
4. The Firm will work under the overall supervision the Project Director, who will facilitate the consultancy in contacting the district administration, forest divisions, public and private institutions, civil society in the field and will help in accessing information and data needed to carry out the assessment. The Consultant shall be able to communicate with the Bank to request clarifications, etc. if necessary on the feedback received on draft assessment reports.
5. The Firm will report to the Project Director and any other official designated by the Project Director in the PMU for providing updates, seeking feedback and guidance.

Responsibilities of the PMU/Nodal Agency:

1. PMU will make available all background documents, data, progress reports, studies and evaluations that will inform the social assessment.
2. It will make all necessary arrangements for supporting the work of the Consultant(s), by facilitating access to other government authorities, project stakeholders, field staff and government institutions.
3. Support the disclosure of draft documents, send out invitations for consultation workshops, organize venues for public hearings and stakeholder consultation, and being present as participant at all the public hearings and meetings.
4. Periodically review the work and performance of the Consultant and provide feedback.
5. Provide detailed comments and feedback on the draft reports prepared by the Consultant within 14 days of draft submission.
6. Submit the draft reports to the Bank to determine their acceptability and for final clearance.

Disclaimer

1. There will be potential adjustments in the scope of work due to potential changes in the scope of the components and the activities.
2. No. of district will be increased or decreased as per need of project.

HP FPP- Target Project Ranges

Sr. No.	Subcatchment	District	Division	Range
1	22	Kinnaur	Kinnaur	Moorang
2	16	Kinnaur	Kinnaur	Moorang & Kalpa
3	7	Kinnaur	Kinnaur	Kilba
4	Sp	Kinnaur	Sarahan WL	Rupi WL
		Shimla	Rampur	Rampur
5	10	Kinnaur	Kinnaur	Kalpa
6	Sq	Mandi	Karsog	Karsog
		Shimla	Rampur	Rampur, Bahli
7	Sj	Shimla	Shimla	Bhajji
			Kotgarh	Kumarsain
		Mandi	Karsog	Pangana
8	21	Kinnaur	Kinnaur	Moorang
9	Sh	Mandi	Karsog	Pangana
10	24	Kinnaur	Kinnaur	Kalpa & Kilba
11	Si	Mandi	Karsog	Karsog, Pangana, Seri
12	Sk	Kullu	Ani	Chowai
		Mandi	Karsog	Magroo, Seri
13	Sn	Shimla	Rampur	Nankhari, Bahli, Rampur,
			Kotgarh	Kumarsain, Kotgarh

14	9	Kinnaur	Kinnaur	Kalpa
15	13	Kinnaur	Kinnaur	Kalpa
16	5	Kinnaur	Kinnaur	Kilba
17	14	Kinnaur	Kinnaur	Moorang & Kalpa
18	23	Kinnaur	Kinnaur	Moorang
19	6	Kinnaur	Kinnaur	Kilba
20	3	Kinnaur	Kinnaur	Kilba
21	15	Kinnaur	Kinnaur	Moorang
22	12	Kinnaur	Kinnaur	Kalpa
23	11	Kinnaur	Kinnaur	Kalpa
24	Sg	Shimla	Shimla WL	Chandi WL
			Shimla UR	Shimla UR
			Shimla	Bhajji/Dhami
		Solan	Kunihar	Darlaghat
25	4	Kinnaur	Kinnaur	Kilba

Abstract			
Sr.No.	Particular	Qty (No.)	
1	Subcatchment	25	
2	District	5	
3	Division	10	
4	Range	19	

Baseline Survey Data Collection Requirements

<p>PDO indicator #3: Index of living conditions.</p>	<ul style="list-style-type: none">• Accessibility to timber and NTFPs e.g. volume/value of NTFPs harvested per year (both permitted and unofficial)• Own labor/cost of labor and cost of transport spent on collection• Income and expenditure on NTFPs/household• Profit from NTFP use and processing• Investments in value addition• Cost and quantity of storage• Cost of marketing
<p>IRI#2: Land area under sustainable landscape management practices</p>	<ul style="list-style-type: none">• Number of livestock/ha (Animal units e.g. as per grazing policy i.e sheep = 1, cow = 4 – optimum grazing area .5 ha per unit)• Area of pasture available by season• Amount of fodder collected from forest (headloads) by month• Amount of grown fodder by month• Amount of fodder purchased by month and possibility of home grown fodder• Willingness to accept rotational grazing or other restrictive systems• Availability of improved pasture area for grazing• Suggestions for improving pasture/NTFP management• Willingness to adopt improved animal husbandry techniques• Availability of extension and technical services• Willingness to protect areas of forest and pasture for improvement• Willingness to participate in fire watching and control• Availability of NTFPs (quantity by month)
<p>IRI#3: Targeted communities participating in natural resources monitoring mechanisms</p>	<ul style="list-style-type: none">• Do the community feel ownership of the resource, and if not what should the department do to encourage this• Does community participate in natural resource monitoring• Do community members provide feedback and on what issues they'd like to provide feedback

<p>IRI#5: Communities participating in fire control scheme</p>	<ul style="list-style-type: none"> • Does the FD ask you to a) participate in fire watching and b) control when fire occurs c) do you associate? if not why not? • If you see a fire do you a) report it and b) try to control it? If not why not? • Do you receive notification when it is too dangerous to burn agricultural waste and pasture? • Do you participate in the clearing of fire lines and early burning as arranged by the FD? • Any other comments re forest fires • Is there a village organization that could arrange to keep village area fire free and on what terms?
<p>IRI#8: Survival rate of planted seedlings after one year</p>	<ul style="list-style-type: none"> • Are you prepared to protect new planted areas from a) grazing through social fencing and b) fire? If not why not?
<p>IRI#11: NTFP value chains supported under the project</p>	<ul style="list-style-type: none"> • Have you received training in NTFP value chains? • Have you received support for NTFP harvesting, transport and storage? • Have you had support from business development services, grants/credits and or infrastructure?
<p>IRI#13: Proportion of females in targeted communities participating in decision making</p>	<ul style="list-style-type: none"> • What is your gender? • What community organizations are you a member of? • Which organizations are you involved in the decision-making process, i.e. committee member?