



Scope of Work

For Conducting Baseline Assessment on Investment for Flood Resilience (including Disaster Risk Reduction and Climate Change Adaptation)

1. Introduction

Mercy Corps is an international, non-governmental humanitarian and development agency that exists to alleviate suffering, poverty and oppression by helping people build secure, productive, and just communities. Mercy Corps works in 40 countries, and has been present in Nepal since 2005. Mercy Corps' current work in Nepal focuses on agriculture, food security, disaster risk reduction and climate change, access to finance, and youth engagement.

The Zurich Flood Resilience Alliance is a consortium of ten organizations from the public and private sectors with a shared vision that floods have no impact on people's ability to thrive. Mercy Corps leads Influence and Advocacy Workstream of the Alliance to influence government actors to improve national and sub-national policies leading to improved practice and investment for flood resilience.

The objectives of the project are:

- Increase amount of public funding specifically dedicated to pre-event flood resilience funding and it is available to the most vulnerable communities and countries
- National and local Governments increase investments in FR (through country team advocacy efforts and possibly lobbying international donors to bring pressure, contingency etc.)
- Support the creation of innovative forms of finance that includes investments in flood prevention/resilience

Mercy Corps Nepal with alliance members will work with key policy makers to ensure that investments in disaster risk reduction and climate change adaptation related to flood resilience are effectively planned, budgeted, and implemented, through research and evidence demonstrated in Alliance work.

3. Rationale

Nepal is a disaster prone country exposed to a multitude of natural hazards. According to the Nepal Disaster Report 2017, more than 80 percent of the total population of Nepal is at risk from natural hazards, including floods, landslides, windstorms, hailstorms, fires, earthquakes and Glacial Lake Outburst Floods (GLOFs) (MoHA, 2018). Flooding is a recurrent disaster which, affects the lives and livelihoods of communities across Nepal but particularly impacting the southern part of Nepal each year. In 2017, Nepal experienced its worst rains in 15 years that results in large scale impacts on life, livelihood and infrastructure across 35 out of 77 districts.

Almost, all the districts of Terai region were badly affected by the devastating flood. The Department of Hydrology and Meteorology (DHM) recorded the highest ever mean rainfall of 1,800 mm, substantially exceeding the average of 1,200 mm in the recent past (NPC, 2017).

According to the Post Flood Recovery Need Assessment 2017 the total damage caused by the Flood was NPR 60,716.6 (USD 584.7) million that is almost 3 percent of Nepal GDP (NPC, 2018). In order to reduce the potential adverse impact of floods on lives, livelihoods and infrastructure, pre-flood mitigating measures and flood resilient activities need to be in place in communities with risk. To enhance flood resilience policies and interventions, budgetary allocation and integration of risk reduction activities in annual and periodic government plans is vital. To understand the context and governance mechanisms on how such investment is planned, allocated, and spent, is another critical step to generate evidence on effective investment practices. The evidence generated on actual investment amounts, as well as the governance processes, including current challenges, will inform Mercy Corps and the Zurich Alliance with a baseline to track progress in the five year project, as well as provide background information on refining an advocacy strategy.

4. Purpose of the Assignment

Investing in disaster risk reduction for resilience is one of the priorities of the Sendai Framework for Disaster Risk Reduction 2015-2030. Nepal Disaster Report 2017 (MoHA, 2017) has identified the importance of adequate allocation of budget for disaster risk reduction and climate change adaptation at all levels (local, province and federal).

As highlighted above one of the key objectives of the Zurich Flood Resilience Alliance is improved investment in flood resilience activities. Accordingly, the objective of this study is to conduct a baseline study on the current budget allocations, expenditures, and governance processes on disaster risk reduction and climate change adaptation in Nepal, with a focus on flood resilience. In order for the Alliance to be able to track levels of investment and types of spending on flood resilience, baseline information is required of the budgetary allocation and implementation on disaster risk reduction and flood resilience activities in Nepal. Moreover, analysis on current governance structures and policies on investment for disaster reduction and climate change adaptation, including flood resilience, is required to understand process.

The specific objectives are as follows:

1. Review and acquire a comprehensive understanding of current governance mechanisms and policy at both the national and local levels which determine investment on DRR/CCA, with a focus on flood resilience.
2. Collect and understand DRR/CCA investment budget data, with special attention to flood resilience, at the municipality level (7 Palika's), including actual budget amount and percentage.
3. Develop a monitoring and evaluation plan on how to track the progress of the above information and data for the five year project.

5. Scope of Work and Methodology

5.1. Scope of Work

In close coordination and supervision of Mercy Corps Disaster Risk Reduction and Resilience Team, the consultant will gather and analyze information on disaster risk reduction and climate change budget allocation and expenditure, as well as governance structures on planning and executing the budget at the local government level, with special consideration on flood resilience. Therefore, the consultant will be intensively engaged in reviewing relevant DRR and CCA documents at both the national and local levels, and collecting data and information on investment amounts and processes through desk review, meetings, interviews, and field visits.

The consultant is expected to carry out the following tasks:

- Design methodology, tools and workplan for conducting Baseline Assessment on Investment for Flood Resilience (including Disaster Risk Reduction and Climate change Adaptation) in consultation with Mercy Corps team.
- Review relevant DRR and CCA related documents (such as Disaster Risk Reduction and Management Act 2074, National DRRM Policy 2075, National DRRM Strategic Action Plan 2075) and related secondary documents to identify the current governance structures, as well as status of investment, budgeting and expenditure in flood resilience activities including DRR and CCA, at the local government level. Although the focus of the research is on local investment, an analysis of national documents are necessary to highlight key policies and regulations which govern and influence investment at the local government level.
- Review regular and periodic municipal plans, guidelines, and programmes to understand the current status of budget allocation and expenditure in DRR/CCA focusing on flood resilience.
- Conduct meetings and key informant interviews (KIIs) with government officials from relevant ministries/departments as deemed relevant from the above review (such as the National Planning Commission, Department of Hydrology and Metrology, Ministry of Home Affairs, Ministry of Federal Affairs and General Administration, Ministry of Forest and Environment) and the relevant offices at the local level to understand the process of budget allocation; map out key stakeholders involved in flood resilience investment; and identify opportunities on how to increase and sustain investment on DRR/CCA, including flood resilience in regular and annual development planning process.
- Produce a synthesized report on the above findings, with a focus on highlighting trends, practices, governance mechanisms, gaps and barriers on budget allocation and implementation by government on flood resilience including DRR/CCA; and develop a plan for monitoring and tracking changes and developments in investments and practice in flood resilience documented in this report. The report should also give recommendations on possible policy windows for increasing investment in flood resilience.

- The consultant will need to travel in the districts of Far West, province no. 7 (Kailali, Kanchanpur, Baitadi and Dadeldhura) to carry out meetings, KIIs, and FGDs with municipal authorities (Mayors, Municipal Planners), officials from relevant government bodies and sectoral offices at local level, to provide specific recommendations on how flood resilience can be more effectively integrated in municipal and province government development plans and programmes; and how to increase investment in flood resilience.
- The consultant will work in close coordination and consultation with Mercy Corps DRR and Resilience team to ensure that the work plan and deliverables are met on time maintaining high quality standards. However, the final scope of work and deliverables for this assignment will be agreed with the selected consultant prior to signing contract.

5.2. Methodology

The following process and methodology is suggested for the consultant while conducting the Baseline Assessment on Investment for Disaster Risk Reduction, focusing on flood resilience activities.

Development of detailed methodology and workplan

The consultant should develop a detailed methodology, tools, and workplan for context analysis of disaster risk governance and review the status of investment in DRR/CCA focusing on flood resilience activities. The consultant should provide clear methods and techniques for consolidation and analysis of collected information and data. He/she should also develop coherent methodology for categorizing municipal budgets related to DRR, climate change, and if available, flood resilience, in a consistent manner across municipalities. The consultant is expected to review and propose his/her additional tools and detailed methodology in addition to the below, and agreed upon with Mercy Corps.

Literature/Documents Review

In order to achieve the proposed objectives of the assignment, the consultant is expected to first create a list of relevant documents and secondary research to be reviewed and agreed with the Mercy Corps DRR and Resilience team. Such documents should include, but is not limited to, the key documents mentioned in the scope of work.

The consultant will carry out literature reviews of Disaster Risk Reduction and Climate Change Adaptation related documents to highlight the governance process of budgeting and spending for such areas, and to identify opportunities to increase investment, with a special focus on flood resilience. The consultant will develop a methodology and tool on how to consistently and coherently categorize and track such investment and budget.

At least five municipalities should be chosen methodologically to review their current budget and spending, as well as noteworthy trends and governance structures in the field of disaster risk reduction and climate change adaptation, and if possible, flood resilience. Some suggested documents are National Periodic Plans (14th, 13th and 12th, and recent concept note for 15th Periodic plans), recent budget Speech, and Red Book.

Key Informants Interviews

Key informant interviews will be carried out at each municipality and with relevant sectoral offices at municipality level. They will target local representatives, LDMC members, representatives of government line agencies, and representatives of INGOs/Gos which have been identified as relevant stakeholders after the literature review. The consultant is required to list out the potential stakeholders to be involved in meetings and KKIs, to be shared with the Mercy Corps team. The KKIs and meetings should identify governance structures and current status of budgeting and implementation, challenges on budgeting and implementation, and further plans and priorities of government at local and province level on DRR and CCA focusing on flood resilience.

Focus Group Discussion

Focus group discussions will be carried out at institutional and Municipality (Palika) levels. Focus group discussions (FGDs) will be conducted among local representatives, Local Disaster Risk Management Committees, representative of local and international non-governmental organizations (INGOs and NGOs) involved DRR/CCA and Flood Resilience projects and programs in the study areas. The detailed guidelines and checklist for both FGDs and KKIs should be developed by the consultant and shared and agreed with Mercy Corps team before field visits. Through the FGDs, local practices, gaps and challenges on the investment and implementation of DRR/CCA activities focusing on flood resilience will be documented.

6. Deliverables and Timelines

The consultant is expected to deliver the following:

S. N.	Deliverables	Target delivery date
1.	<p>Submit an Inception report including:</p> <ul style="list-style-type: none">• Detailed work plan with tentative field visit schedule and timeline, methodology and tools for consistent data collection of DRR/CCA and flood resilience investments at the municipality level.• Detailed document / secondary document list related to budgets, policies, strategies, guidelines and annual and periodic plans of government related to DRR/CCA and flood resilience (Municipalities, Province and concerned line ministries).• Literature review of listed documents.• Methodological selection of 7 municipalities out of MC	By 2 nd week of March 2019

	<p>Nepal program municipalities to conduct local investment and governance analysis, with confirmation from MC Nepal.</p> <ul style="list-style-type: none"> • List of key stakeholders to conduct KIIs and FGDs. • Tools and Checklist for KIIs and FGDs with municipal authorities and government officials from sectoral offices and concerned stakeholders. • Clear list of deliverables covering all required baseline indicators and data sources (to be developed by the consultant in coordination with the MC Nepal team). 	
2.	<p>Submit draft report for feedback and inputs from Mercy Corps Nepal DRR and Resilience Team.</p> <p>The report should include:</p> <ul style="list-style-type: none"> • Narrative overview of the current status of government investment in DRR/CCA, and flood resilience, with learnings from the literature review, KIIs and FGDs. • Analysis of DRR/CCA budget and expenditure and how municipal authorities (7 Municipalities) budget DRR/CCA, and flood resilience. • Review effectiveness, impact, and challenges in current investment processes and amounts of DRR/CCA and flood resilience. • Highlight baseline assessment data sources and recommend monitoring and evaluation framework for tracking baseline indicators and budget related information throughout the ZFRA project. 	By 3 rd week of April 2019
3.	<p>Submit final report (with edits, comments and suggestions incorporate, including 2 pages of executive summary which highlight gaps, challenges and recommendations to increase investment in DRR and CCA, particularly in flood resilience) (at local, province and federal).</p>	By 1 st week of May 2019

The detailed activities and timeline of the deliverables will be shared by the consultant and agreed with Mercy Corps team prior to signing the contract.

7. Monitoring and Supervision

The consultant will report directly to the Zurich Alliance Advocacy Coordinator and work in close coordination with Mercy Corps MRED Project team. The Mercy Corps Zurich Alliance Advocacy Coordinator will be responsible for assimilating all technical inputs to ensure and maximize standard and quality deliverables.

8. Duration

The duration of the assignment will be from 1st March to 25 May 2019 with 40 total estimated working days.

9. Administrative and Financial Arrangement

The consultant hiring process will be initiated by Mercy Corps Country Office Nepal based on track record of expertise on research, policy review on DRR, CCA and flood resilience. The consultant should have registered in PAN/VAT as per existing rules and regulations of Government of Nepal. The transportation, food and accommodation cost during field visit of the consultant will be covered by Mercy Corps Nepal in its own compliance. The Advocacy Coordinator in Mercy Corps will review the progress and quality of assignment upon submission of reports prior to approval of the payment.

Payment will be made in installments based on satisfactory completion of the deliverables and submission of the reports:

Payment Plan	Deliverable	Content to be covered	Targeted date
1st installment Payment (20%)	1	Inception Report (As per detailed deliverables highlighted above in the deliverable section).	2nd week of March 2019
2nd installment Payment (20%)	2	Draft Report (As per detailed deliverables highlighted above in the deliverable section).	3 rd week of April 2019
3rd installment Payment (60%)	3	Final Report with Executive Summary (As per detailed deliverables highlighted above in the deliverable section).	1 st week of May 2019

10. Work Experience and Required Qualifications

- Master's degree in Environmental Science, Development Studies, Disaster Risk Management, Climate Change, Social Science or a related field.
- Minimum of 5 years of experience in research for Disaster Risk Management, or on issues related to environment, flood resilience or climate change adaptation. Experience in environmental economics/economic analysis a plus.
- Professional expertise in development, Disaster Risk Management, specifically significant understanding of policies, plans, programs, guidelines and national strategies on Disaster Risk Management and climate change adaptation.
- An ability to analyze, legal framework, policies, strategies related to DRR and find out the gaps, suggest solutions, and recommendations
- Prior experience conducting baseline study and policy review and sustainable development related issues
- Excellent communication and coordination skill with multiple stakeholder and government authorities

12. Deadline for Proposal Submission

Interested individual consultant should submit a detailed proposal on the basis of this Scope of Work to the following address by 18th February 2019. The proposal should include:

- Technical proposal including detailed methodology to be adopted
- Detailed work plan and timetable
- Detailed budget including tax
- An Example of previous similar work
- CV of consultant highlighting his/her experience in similar type of work
- VAT/PAN registered certificate

13. Selection Criteria

The selection of the consultant will be made after reviewing the below components.

1) Technical proposal (90%)

2) Financial proposal (10%)

A quality proposal with clear methodology, tools, and work plan, as well as a financial proposal which matches the technical expertise and experience, will be selected after review by an internal committee. Only work that has been determined as meeting technical standards as mentioned in the scope of work will be evaluated.

The interested Consultant can drop the proposal (both technical and financial) in below address:

Mercy Corps Nepal Country Office

Sanepa Chowk, Lalitpur

PO.Box 24374

Phone: +977 5012571,555532

Email: np-procurement@mercy Corps.org