RFPs for Evaluation of Umbrella CSS under 10 Sectors

Pre-Proposal Conference

20th May 2019, 2 PM
Ambedkar Centre, New Delhi
• Development Monitoring and Evaluation Office (DMEO) was established in September 2015 as an attached office of NITI Aayog

• Erstwhile Program Evaluation Office and Independent Evaluation Office were merged to create DMEO

• DMEO will fulfill the mandates of monitoring and evaluation assigned to NITI Aayog
Vision and Mission

Vision: Improve sustainable outcomes and impacts of the government

Mission: To enable effective monitoring and evaluation of government programs to improve effectiveness, efficiency, and sustainability of service delivery, outcomes and impacts
Introduction to Evaluation of Centrally Sponsored Schemes (CSS)
## Background of the CSS Evaluation Studies

<table>
<thead>
<tr>
<th>Year</th>
<th>Evaluation of Government Scheme</th>
<th>CSS Schemes/ Output-Outcome Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td><strong>Ministry of Finance</strong>: Evaluation framework will be designed based on output-outcome framework. Continuation of any scheme beyond 14th FC contingent on the result of such evaluation to be conduced by NITI.</td>
<td><strong>Shivraj Singh Chouhan Report 2016</strong>: Need felt to reduce the number of CSS schemes. 28 Umbrella CSS announced to address National Development Agenda.</td>
</tr>
<tr>
<td>2019</td>
<td><strong>Department of Expenditure &amp; NITI</strong>: CSS schemes to be evaluated by DMEO; Central Sector schemes to be evaluated by Ministries/Departments— DMEO to review the TORs.</td>
<td><strong>Output-Outcome Monitoring Framework (OOMF)</strong>: Outcomes defined for each scheme by NITI and Respective Ministries/ Departments.</td>
</tr>
</tbody>
</table>
# Current CSS Distribution by Ministries

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Ministry</th>
<th>CSS</th>
<th>Cumulative budget for last 5 years (Rs. Cr.)</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ministry of Rural Development</td>
<td>11</td>
<td>517,111</td>
<td>38.7</td>
</tr>
<tr>
<td>2</td>
<td>Ministry of Human Resource Development</td>
<td>8</td>
<td>201,569</td>
<td>15.1</td>
</tr>
<tr>
<td>3</td>
<td>Ministry of Health and Family Welfare</td>
<td>6</td>
<td>133,788</td>
<td>10</td>
</tr>
<tr>
<td>4</td>
<td>Ministry of Women and Child Development</td>
<td>18</td>
<td>105,403</td>
<td>7.9</td>
</tr>
<tr>
<td>5</td>
<td>Ministry of Drinking Water and Sanitation</td>
<td>2</td>
<td>89,642</td>
<td>6.7</td>
</tr>
<tr>
<td>6</td>
<td>Ministry of Housing and Urban Affairs</td>
<td>5</td>
<td>85,386</td>
<td>6.4</td>
</tr>
<tr>
<td>7</td>
<td>Ministry of Agriculture and Farmers’ Welfare</td>
<td>39</td>
<td>78,796</td>
<td>5.9</td>
</tr>
<tr>
<td>8</td>
<td>Ministry of Social Justice and Empowerment</td>
<td>7</td>
<td>33,497</td>
<td>2.5</td>
</tr>
<tr>
<td>9</td>
<td>Ministry of Home</td>
<td>2</td>
<td>17,628</td>
<td>1.3</td>
</tr>
<tr>
<td>10</td>
<td>Ministry of Tribal Affairs</td>
<td>4</td>
<td>17,436</td>
<td>1.3</td>
</tr>
<tr>
<td>11</td>
<td>Ministry of Water Resources, River Development and Ganga Rejuvenation</td>
<td>10</td>
<td>13,864</td>
<td>1</td>
</tr>
<tr>
<td>12</td>
<td>Ministry of Minority Affairs</td>
<td>5</td>
<td>11,808</td>
<td>0.9</td>
</tr>
<tr>
<td>13</td>
<td>Ministry of Labor and Employment</td>
<td>1</td>
<td>10,575</td>
<td>0.8</td>
</tr>
<tr>
<td>14</td>
<td>Ministry of Skills Development and Entrepreneurship</td>
<td>1</td>
<td>10,360</td>
<td>0.8</td>
</tr>
<tr>
<td>15</td>
<td>Ministry of Environment, Forest and Climate Change</td>
<td>4</td>
<td>4,395</td>
<td>0.3</td>
</tr>
<tr>
<td>16</td>
<td>Ministry of Law and Justice</td>
<td>2</td>
<td>3,115</td>
<td>0.2</td>
</tr>
<tr>
<td>17</td>
<td>Ministry of AYUSH</td>
<td>1</td>
<td>2,235</td>
<td>0.2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>126</td>
<td><strong>1,336,608</strong></td>
<td></td>
</tr>
</tbody>
</table>
CSS Schemes by Budget Allocation

- 18 schemes cover 80%
  - 6 schemes cover 54% budget: RD-MGNREGS; National Rural Health Mission; Sarva Shiksha Abhiyan; PMAY-G; PMGSY; Anganwadi Services
  - 11 additional schemes together with 6 above cover 80% budget: SBM-G; Mid-day meal; Rural Drinking Water Mission; National Social Assistance Programme; PMAY-U; Rural Livelihood Mission; AMRUT; Smart Cities; Education Empowerment (Social Justice); Rashtriya Krishi Vikas Yojana; Rashtriya Madhyamik Shiksha Abhiyan

- 27 additional schemes cover additional 15%

- ~80 remaining CSS cover 5%
# Trends in Budget Outlays

<table>
<thead>
<tr>
<th>Scheme Launch Year</th>
<th>Outlay increased in the past 3 years</th>
<th>Outlay Static in past 3 years (Variation of 5-10%)</th>
<th>Outlay decreased in the past 3 years</th>
<th>Zero budget for past 2 years</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Before 14 FC</td>
<td>27</td>
<td>21</td>
<td>12</td>
<td>4</td>
<td>64</td>
</tr>
<tr>
<td>2015-16</td>
<td>11</td>
<td>12</td>
<td>4</td>
<td>2</td>
<td>29</td>
</tr>
<tr>
<td>2016-17</td>
<td>10</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>14</td>
</tr>
<tr>
<td>2017-18</td>
<td>3</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>2018-19</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>2019-20</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>51</strong></td>
<td><strong>39</strong></td>
<td><strong>16</strong></td>
<td><strong>8</strong></td>
<td><strong>126</strong></td>
</tr>
</tbody>
</table>

- **64** Full evaluation
- **50** Midterm evaluation
- **12** Review
Evaluation Framework

Sector Coverage

- National Priorities: India @ 75
- SDGs & International Commitments

Gap

- Private Sector
- State Government
- Central Government

Policies, Laws & Regulations

Umbrella CSS

- Outcomes
- Outputs
- Activities
- Inputs

CSS 1, CSS 2, CSS 3, CSS 4
**Broad Approach**

**Sector level**
- Sector Goals & Performance
- Role of Central Government
- Overall CSS Contribution
- Gaps

**CSS level**
- REESI+E through individual CSS scheme-wise analysis

**UCSS level**
- REESI+E assessment through synthesis of scheme-wise analysis

**Sector Coverage**
- Private Sector
- State Government
- Central Government

**Top Down**
- Sector Coverage
  - National Priorities
    - India @ 75
  - SDGs & International Commitments

**Bottom Up**
- National Priorities
  - Umbrella CSS
    - Policies, Laws & Regulations
  - CSS 1
  - CSS 2
  - CSS 3
  - CSS 4
  - Outcomes
  - Outputs
  - Activities
  - Inputs
Sector-wise 10 Evaluation Studies

28 Umbrella Centrally Sponsored Schemes

Centrally Sponsored Schemes
Terms of Reference
Objectives of Each Study

1. **Sector Level Analysis:**
   1. To assess the status and performance of the sector key outcomes
   2. To map the intended and actual contribution of Umbrella CSS schemes to the sector

2. **Umbrella and Scheme Level Analysis:**
   1. REESI + E
   2. Cross-sectional Themes, Best Practices

3. **Programme Harmonization:**
   1. Should the schemes be shut down/merged?
   2. If not, how should they be modified?
<table>
<thead>
<tr>
<th>REESI+E Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Relevance</strong></td>
</tr>
<tr>
<td>• Alignment with India’s national priorities</td>
</tr>
<tr>
<td>• Design appropriateness for achieving intended outcomes</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
UCSS and CSS Schematic Framework

- **Input**
  - Input Use Efficiency
  - <1 year
  - <1 year

- **Activities**
  - Key Bottlenecks
  - <5 years

- **Output**
  - Coverage
  - 5 years

- **Beneficiaries**
  - Convergence
  - 5-10 years

- **Impact**
  - Effectiveness

- **Ministries/Dept.**
  - Implementing Agencies

- **Cross-sectional Thematic Assessment**
  - Positive & Negative Externalities
  - Best Practices

- **Relevance to National Goals**
  - Assumptions & Attributions

- **Positive & Negative Externalities**

- **Best Practices**

- **Cross-sectional Thematic Assessment**

- **Convergence**

- **Effectiveness**

- **Coverage**

- **Activities**

- **Input**
## Cross-Sectional Themes

<table>
<thead>
<tr>
<th>Accountability and transparency</th>
<th>Direct/indirect employment generation</th>
<th>Gender mainstreaming</th>
<th>Climate change &amp; sustainability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Role of Tribal Sub-Plan and Scheduled Caste Sub-Plan</td>
<td>Use of IT/Technology in driving efficiency</td>
<td>Stakeholder &amp; beneficiary behavioural change</td>
<td>Research and Development</td>
</tr>
<tr>
<td>Unlocking synergies with other government programmes</td>
<td>Reforms &amp; regulations</td>
<td>Impact on and role of private sector, community and civil society/NGOs</td>
<td>Other sector-specific themes</td>
</tr>
</tbody>
</table>
Study Methodology

Period of Reference: 2015-16 to 2018-19

- **Secondary Meta-analysis**
  - Government
    - Ministry evaluations, annual reports, dashboard data on outputs-outcomes, NITI reports, CAG, State government reports, etc.
  - Others
    - Think tanks, academics, foundations, multi-laterals, etc.

- **Primary Data**
  - Qualitative
    - Key Informant Interviews
    - Focus Group Discussions
    - Facility Visits
  - Quantitative
    - Sample Survey
Geography Selection

Zoning
- 6 zones

States selection
- 11 States & 1 UT on key sectoral performance

District/Town Selection
- 2 to 3 from each state/UT using stratification & PPS/Systematic random sample selection

Village/Ward Selection
- 2 to 3 from each district/town using stratification & PPS/Systematic random sample selection

- Northern Hilly State
- North & Central States/UTs
- Western States/UTs
- Eastern States/UTs
- North Eastern States
- Southern States/UTs
<table>
<thead>
<tr>
<th>S. No.</th>
<th>Type</th>
<th>Minimum Number to be Sampled/Selected</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Households surveyed</td>
<td>10 households in each village/ward, min 1000-1500</td>
</tr>
<tr>
<td>2.</td>
<td>Focussed Group Discussion</td>
<td>1-2 in each village/block and/or ward level, min 100-200</td>
</tr>
<tr>
<td>3.</td>
<td>Facility Survey</td>
<td>1-2 at village/ward/block/district level, as applicable, min 100-200</td>
</tr>
<tr>
<td>4.</td>
<td>Key Informant Interviews</td>
<td>Between about <strong>700 to 900 across</strong> national, state and other <strong>levels</strong></td>
</tr>
</tbody>
</table>
Data Quality Assurance

- Field investigators: At least 3 years of experience
- Pilot testing: At least 2% of the sample size
- 100% data validation
- At least 50% telephonic data verification and if not verified via phone, back checks should be undertaken to ensure 50% data verification.
- Use of mobile-based, near real-time and geo-tagged data collection and validation tools
Appendix IV: References

1. Indicative list of schemes
2. Indicative stakeholder mapping
3. Indicative list of key documents
4. Output-Outcome Monitoring Framework indicators to be included/considered while preparing questionnaires and surveys
5. Specific scheme-wise areas of inquiry to further guide scheme-wise analysis
6. Guidelines for Evaluation Methodology

Sector-wise variations in ToRs include objectives, cross-sectional themes and sampling.
Request for Proposals
Structure of the Document

RFP

Invitation for Proposals
- Introduction
- Instructions to Applicants
- Criteria for Evaluation
- Fraud and Corrupt Practices
- Pre-proposal Conference
- Miscellaneous

Schedules
- Terms of Reference
- Form of Agreement
- Guidance Note on Conflict of Interest

Appendices
- I: Technical Proposal
- II: Financial Proposal
- III: List of Bid-Specific Provisions
- IV: References
Key Features

- **Single stage RFP**
- **Two envelope process**
  1. Technical
  2. Financial
- **QCBS: 80-20** between Technical and Financial

- Sections changing between Sectors/Packages:
  1. Conditions of Eligibility
  2. Criteria for Evaluation
    - **Key Personnel**: 5-6 core (full duration, to be evaluated) and other experts (fixed number of days, CVs for eligibility, not to be evaluated)
Conditions of Eligibility for Lead Firm

- Private/ Public limited company or partnership firm or expert institution
- In operation in India for a minimum period of five years
- Minimum professional fees received in each of the last three financial years (2017-18, 2016-17, and 2015-16) should be Rs. 50 crores or more
- Experience of at least 3 Eligible General Assignments over the last 5 years
- Experience of at least 1 Eligible Specific Assignments over the last 5 years
- No blacklisted organizations
Eligible Assignments

1. **General**: Any government/multilateral consulting/advisory project (programme evaluations, design, implementation, other projects etc.) above Rs. 50 lakh professional fees

2. **Specific**: Government/Multilateral evaluation study assignments, involving quantitative and qualitative research, household surveys etc., above Rs. 20 lakh professional fees
Technical Proposal
## Criteria for Evaluation

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Parameter</th>
<th>Maximum Marks</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Relevant Experience of the Applicant</td>
<td>25</td>
<td>▪ 30% of the maximum marks shall be awarded for the number of Eligible Assignments undertaken by the Applicant firm</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>▪ 70% shall be awarded for: (i) the comparative size and quality of Eligible General and Specific Assignments; (ii) overall professional</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>income, experience and capacity of the firm</td>
</tr>
<tr>
<td>2.</td>
<td>Proposed Methodology and Work Plan</td>
<td>10</td>
<td>Evaluation will be based on the quality of submissions.</td>
</tr>
<tr>
<td>3.</td>
<td>Relevant Experience of the Key Personnel</td>
<td>65</td>
<td>▪ 30% of the maximum marks for each Key Personnel shall be awarded for the number of Eligible Assignments the respective Key Personnel</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>has worked on</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>▪ 70% shall be awarded for the comparative size and quality of Eligible Assignments</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Grand Total 100</td>
</tr>
</tbody>
</table>
### Key Personnel

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Team Member</th>
<th>Broad Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Team Leader</td>
<td>Subject matter expertise, coordination of the team, liaising with DMEO etc.</td>
</tr>
<tr>
<td>2.</td>
<td>Deputy Team Leader</td>
<td>Management expertise, assistance to Team Leader etc.</td>
</tr>
<tr>
<td>3.</td>
<td>Monitoring and Evaluation Expert</td>
<td>Study design, evaluation techniques, data collection tools, analysis etc.</td>
</tr>
<tr>
<td>4.</td>
<td>Economist</td>
<td>Economic perspective, poverty alleviation, employment generation etc.</td>
</tr>
<tr>
<td>5.</td>
<td>Subject Matter Lead*</td>
<td>Subject matter expertise in study design, synthesis and analysis etc.</td>
</tr>
</tbody>
</table>

*Packages 9 and 10 contain 2 Subject Matter Leads as per requirement.*
Substitution of Key Personnel

- Request for substitution of Key Personnel will not normally be considered
  - Except for reasons of any incapacity or due to health
  - Subject to equally or better qualified and experienced personnel being provided to the satisfaction of the Authority

- Penalties:
  - For first substitution: 20% of the remuneration specified for the original Key Personnel shall be deducted from the payments due
  - For second substitution: 50% of the remuneration specified for the original Key Personnel
  - Any further substitution may lead to disqualification of the Applicant or termination of the Agreement

- Substitution of the Team Leader will not normally be considered and may lead to disqualification of the Applicant or termination of the Agreement.
With reference to clause 6 of the Guidance Note on Conflict of Interest, any personnel who is currently engaged in design, implementation, PMC/PMU etc. of any of the Centrally Sponsored Schemes under the respective package cannot be engaged as Key Personnel.
Financial Proposal
Evaluation of Bids

▪ The lowest Financial Proposal (FM) will be given a financial score ($S_F$) of 100 points. The financial scores of other Proposals will be computed as follows:

$$S_F = 100 \times \frac{F_{M}}{F}$$

($F = \text{amount of Financial Proposal}$)

▪ Proposals will finally be ranked according to their combined technical ($S_T$) and financial ($S_F$) scores as follows:

$$S = S_T \times T_w + S_F \times F_w$$

Where $S$ is the combined score, and $T_w$ and $F_w$ are weights assigned to Technical Proposal and Financial Proposal, which shall be 0.80 and 0.20 respectively.
**Costing and Payments**

<table>
<thead>
<tr>
<th>Key Date No.</th>
<th>Description of Deliverables</th>
<th>Week No.</th>
<th>Day</th>
<th>Payment</th>
</tr>
</thead>
<tbody>
<tr>
<td>KD1</td>
<td>Inception Report approved by Authority</td>
<td>3</td>
<td>+15</td>
<td>20%</td>
</tr>
<tr>
<td>KD2</td>
<td>Mid term Report approved by Authority</td>
<td>7</td>
<td>+45</td>
<td>30%</td>
</tr>
<tr>
<td>KD3</td>
<td>Draft Evaluation Report</td>
<td>13</td>
<td>+85</td>
<td>30%</td>
</tr>
<tr>
<td>KD4</td>
<td>Final Evaluation Report approved by Authority</td>
<td>14</td>
<td>+100</td>
<td>20%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

- **Bid Security:** Rs. 1 Lakh, DD payable to PAO, NITI Aayog at New Delhi
- **Performance Security:** 10%
Release of RFP: 06 May 2019
Submission of Bids: 04 June 2019
Award of contracts: 19 June 2019 (T)
Final Evaluation Report: End September 2019
Key Points to Note

- All lists of reports and stakeholders are indicative/suggestive.
- Indicative Report Structure has also been included in TORs.
- RFP conditions are the same for all 10 packages and answers will apply accordingly.
- All Applicants must evaluate all schemes under a package/sector.
- Please check the website regularly for corrigendums containing updates.
Questions
Thank you