

RFPs for Evaluation of Umbrella CSS under 10 Sectors

Pre-Proposal Conference



NITI Aayog

National Institution for Transforming India Government
of India

20th May 2019, 2 PM

Ambedkar Centre, New Delhi

Development Monitoring and Evaluation Office (DMEO)



DMEO

NITI Aayog

- 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

DMEO

Enabling better outcomes

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

Year	Evaluation of Government Scheme	CSS Schemes/ Output-Outcome Framework
2016	<p>Ministry of Finance: 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 conducted by NITI</p>	<p>Shivraj Singh Chouhan Report 2016: Need felt to reduce the number of CSS schemes. 28 Umbrella CSS announced to address National Development Agenda</p>
2019	<p>Department of Expenditure & NITI: CSS schemes to be evaluated by DMEO; Central Sector schemes to be evaluated by Ministries/Departments— DMEO to review the TORs</p>	<p>Output-Outcome Monitoring Framework (OOMF): Outcomes defined for each scheme by NITI and Respective Ministries/ Departments</p>

Current CSS Distribution by Ministries

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

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

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

64 Full evaluation

50 Midterm evaluation

12 Review

Evaluation Framework

National Priorities
India @ 75

SDGs & International
Commitments

Sector Coverage

Private Sector

State Government

Central Government

Policies, Laws
& Regulations

Umbrella CSS

Central
Sector

Outcomes

Outputs

Activities

Inputs

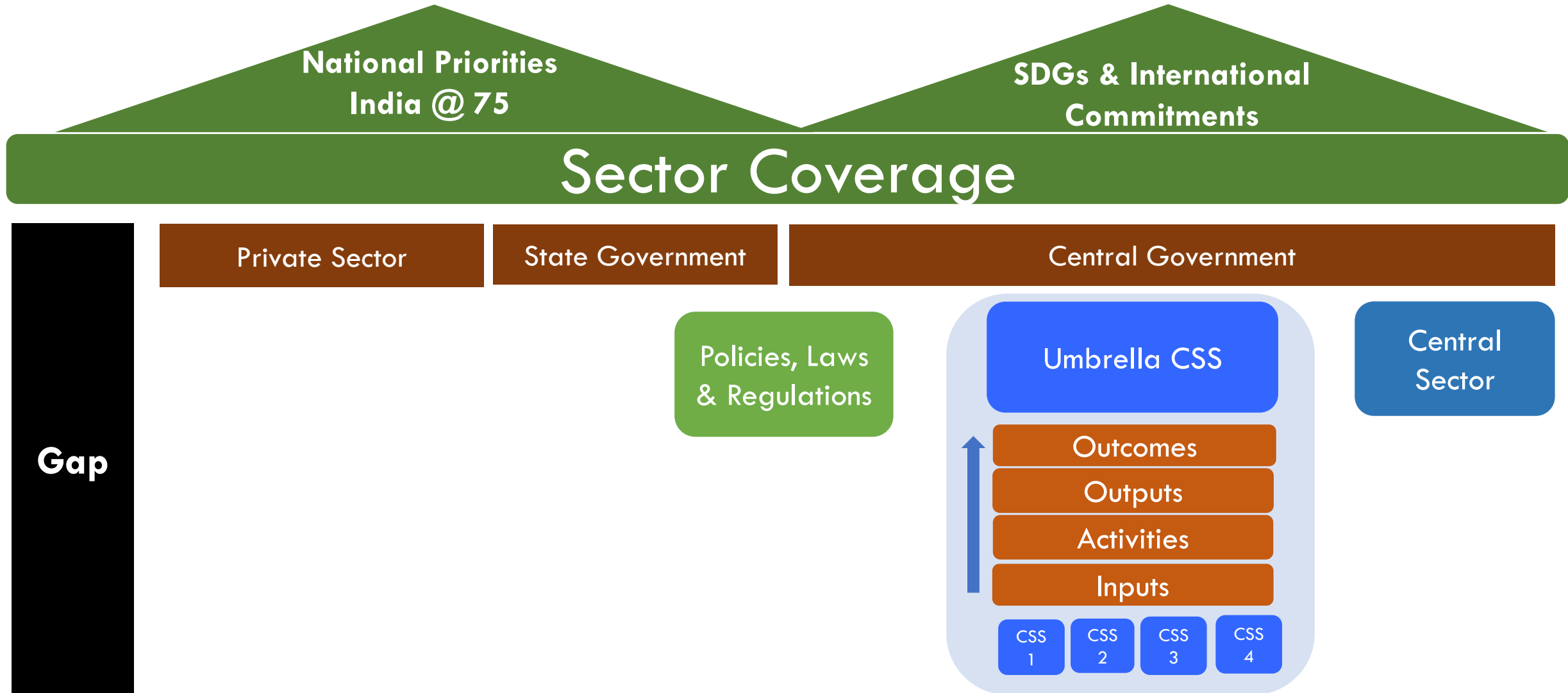
CSS
1

CSS
2

CSS
3

CSS
4

Gap



Broad Approach

Top Down

Sector level

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

Bottom Up

UCSS level

- REESI+E assessment through synthesis of scheme-wise analysis

CSS level

- REESI+E through individual CSS scheme-wise analysis

National Priorities
India @ 75

SDGs & International
Commitments

Sector Coverage

Private Sector

State Government

Central Government

Policies, Laws
& Regulations

Umbrella CSS

Central
Sector

Outcomes

Outputs

Activities

Inputs

CSS
1

CSS
2

CSS
3

CSS
4

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?

REESI+E Framework

Relevance

- Alignment with India's national priorities
- Design appropriateness for achieving intended outcomes

Effectiveness

- Intended outcomes achieved
- Unintended adverse effects i.e. social and envtl risks

Efficiency

- Resource use efficiency to achieve outcomes
- Economic cost-benefit
- Unit cost analysis as a proxy for economic efficiency

Sustainable

- Financial sustainability
- Institutional sustainability
- Environmental sustainability
- Social sustainability

Impact

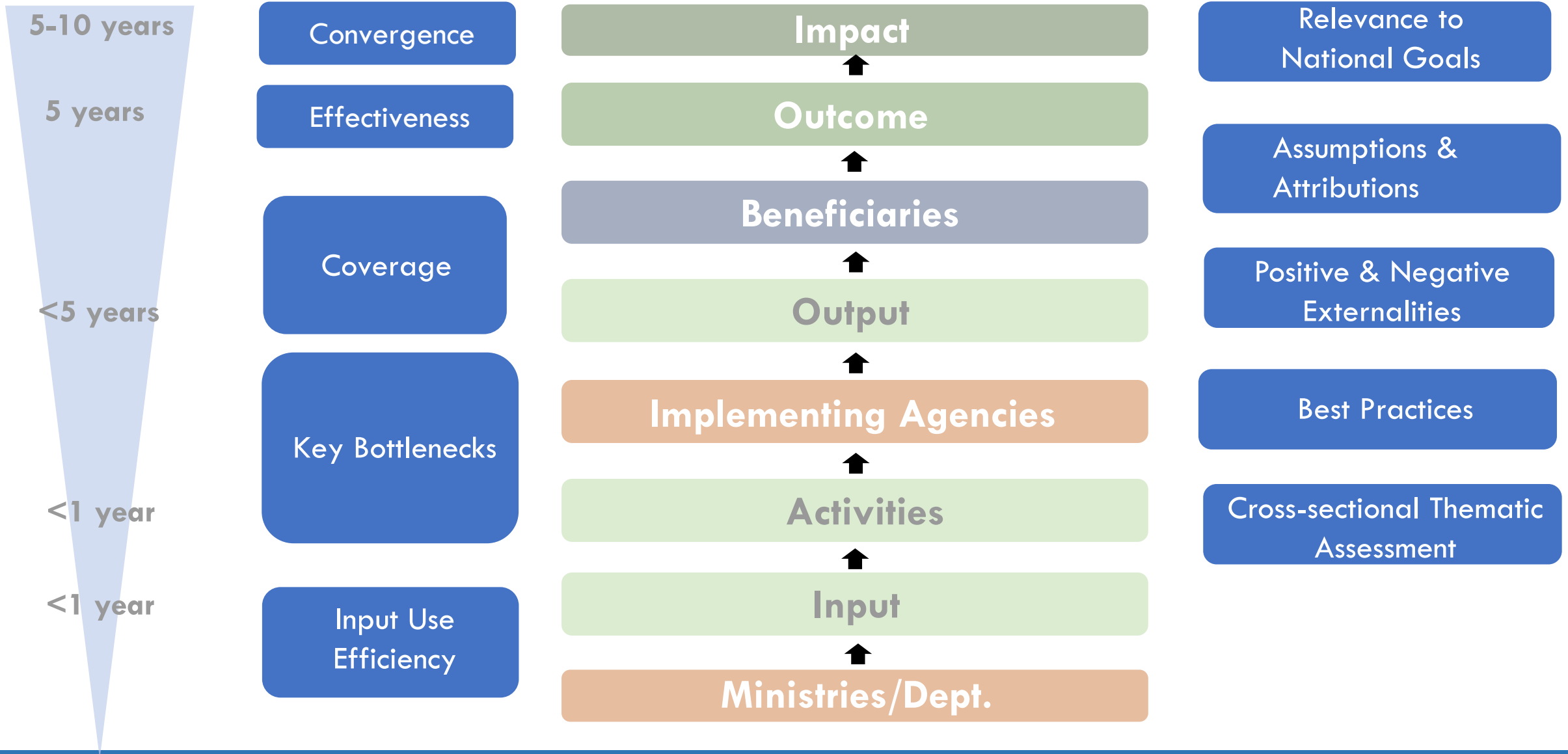
- Assessment of long-term, far-reaching impacts

Equity

- Equitable availability of govt services to different social groups
- Factoring equity at design stage



UCSS and CSS Schematic Framework



Cross-Sectional Themes

Accountability and
transparency

Direct/indirect
employment
generation

Gender
mainstreaming

Climate change &
sustainability

Role of Tribal Sub-
Plan and Scheduled
Caste Sub-Plan

Use of
IT/Technology in
driving efficiency

Stakeholder &
beneficiary
behavioural change

Research and
Development

Unlocking synergies
with other
government
programmes

Reforms &
regulations

Impact on and role
of private sector,
community and civil
society/NGOs

Other sector-specific
themes

Study Methodology

Period of Reference: 2015-16 to 2018-19



**Secondary
Meta-analysis**

Primary Data

- 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.

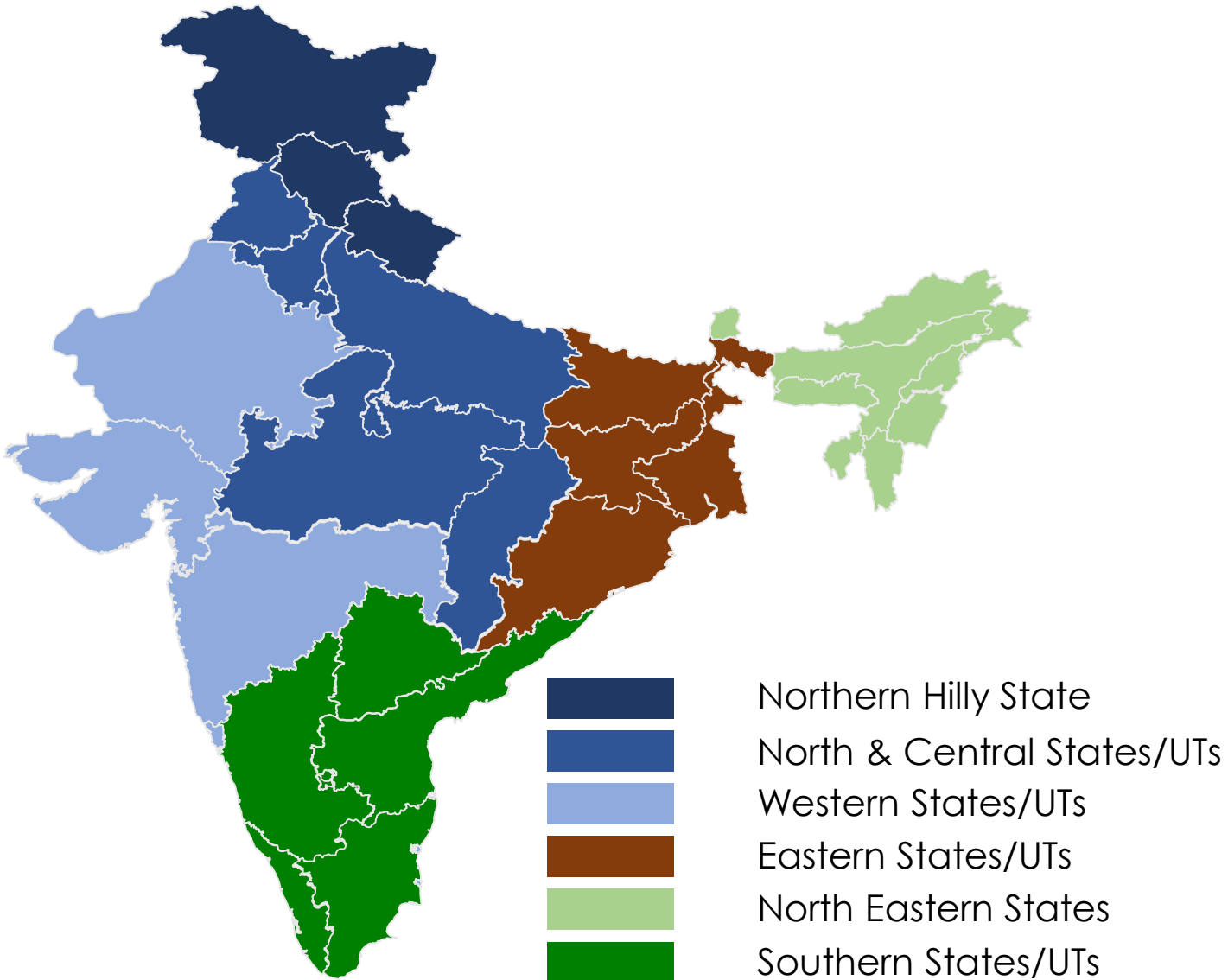
- Qualitative

- 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

Sample Size

S. No.	Type	Minimum Number to be Sampled/Selected
1.	Households surveyed	10 households in each village/ward, min 1000-1500
2.	Focussed Group Discussion	1-2 in each village/block and/or ward level, min 100-200
3.	Facility Survey	1-2 at village/ward/block/district level, as applicable, min 100-200
4.	Key Informant Interviews	Between about 700 to 900 across national, state and other levels

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

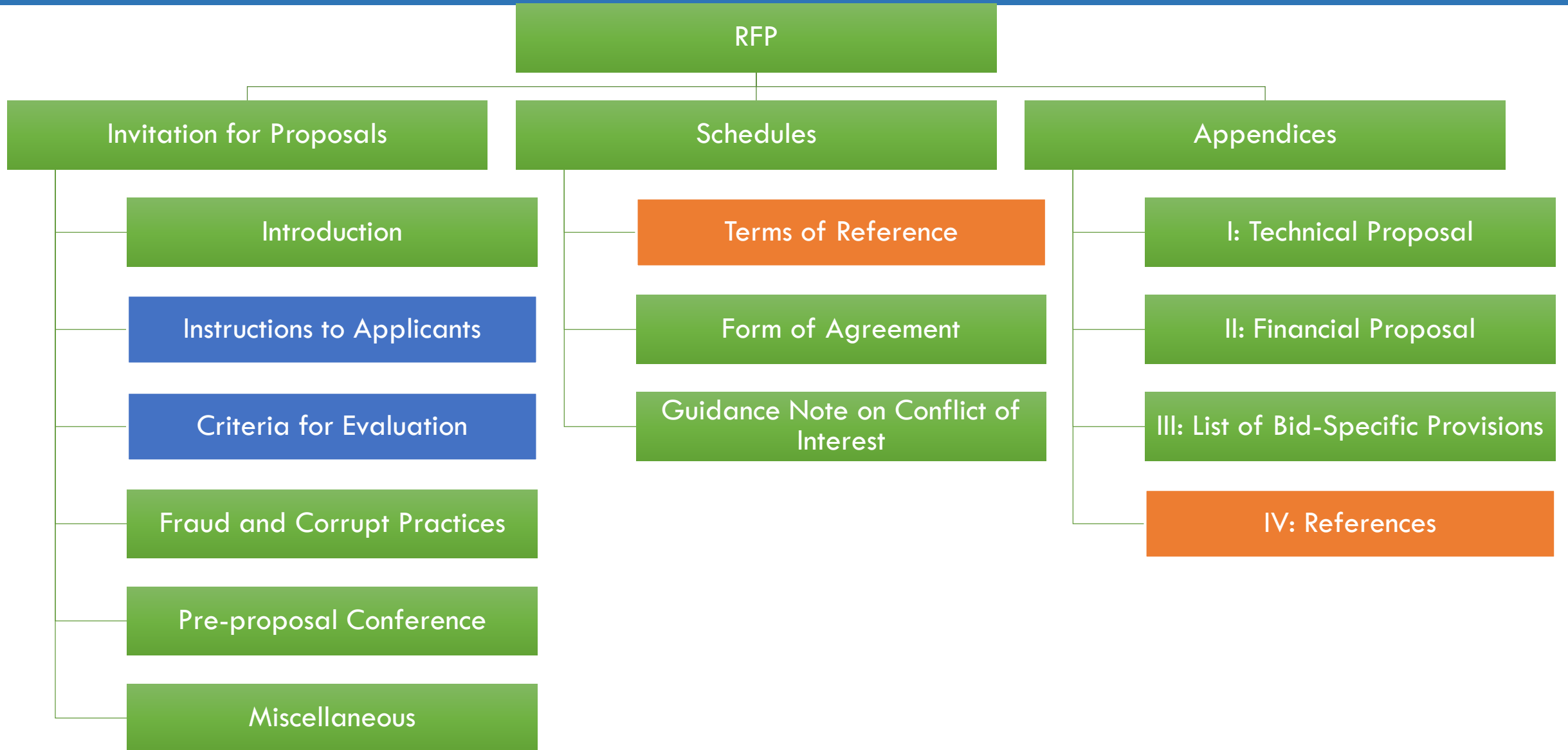
Appendix IV: References

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



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

S. No.	Parameter	Maximum Marks	Criteria
1.	Relevant Experience of the Applicant	25	<ul style="list-style-type: none">▪ 30% of the maximum marks shall be awarded for the number of Eligible Assignments undertaken by the Applicant firm▪ 70% shall be awarded for: (i) the comparative size and quality of Eligible General and Specific Assignments; (ii) overall professional income, experience and capacity of the firm
2.	Proposed Methodology and Work Plan	10	Evaluation will be based on the quality of submissions.
3.	Relevant Experience of the Key Personnel	65	<ul style="list-style-type: none">▪ 30% of the maximum marks for each Key Personnel shall be awarded for the number of Eligible Assignments the respective Key Personnel has worked on▪ 70% shall be awarded for the comparative size and quality of Eligible Assignments
Grand Total		100	

Key Personnel

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

*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.

Conflict of Interest

- 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:

$$S_F = 100 \times F_M / F$$

(F = 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

Key Date No.	Description of Deliverables	Week No.	Day	Payment
KD1	Inception Report approved by Authority	3	+15	20%
KD2	Mid term Report approved by Authority	7	+45	30%
KD3	Draft Evaluation Report	13	+85	30%
KD4	Final Evaluation Report approved by Authority	14	+100	20%
	Total			100%

- Bid Security: Rs. 1 Lakh, DD payable to PAO, NITI Aayog at New Delhi
- Performance Security: 10%

Timelines

- 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