

**Uttarakhand Forest Resource Management Project (UFRMP)**  
**(ID-P235)**

**Request for Proposal (RFP)**  
**Market Feasibility Study for Potential SHG**  
**Clusters identified under UFRMP**

**RFP No 1/2016**

**Office of Chief Project Director**  
**Project Management Unit (PMU)**  
**Uttarakhand Forest Resource Management Project**  
24, IT Park, Sahasradhara Road, Dehradun  
Telephone No: 0135-2740605  
Fax No: 0135-2740605  
Email: cpdufrmp@gmail.com

## Table of Contents

<b>Letter of Invitation .....</b>	<b>1</b>
<b>INSTRUCTIONS TO BIDDERS .....</b>	<b>3</b>
<b>TECHNICAL PROPOSAL TEMPLATE .....</b>	<b>10</b>
Sl .....	16
Name of the Client .....	16
Name of the Assignment .....	16
Value of Work .....	16
Status (On-going/ Completed) .....	16
Supporting document* (Work order/ Completion certificate) .....	16
<b>Tech 4B: Experience in Similar/Related Assignments (Market Feasibility Study related Only) in last 5 Years .....</b>	<b>16</b>
Sl .....	16
Name of the Client .....	16
Name of the Assignment .....	16
Value of Work .....	16
Status (On-going/ Completed) .....	16
Supporting document* (Work order/ Completion certificate) .....	16
<b>FINANCIAL PROPOSAL TEMPLATE .....</b>	<b>21</b>
<b>TERMS OF REFERENCE .....</b>	<b>1</b>

## Letter of Invitation

**PROJECT MANAGEMENT UNIT**  
**Uttarakhand Forest Resource Management Project (UFRMP)**  
*(Assisted by Japan International Cooperation Agency)*  
24, IT Park, Sahasradhara Road, Dehradun  
Telephone No: 0135-2740605  
Fax No: 0135-2740605  
Email: cpdufrmp@gmail.com

***Sub: Market Feasibility Study for Potential SHG Clusters identified under UFRMP***

Dear Sir/ Madam:

Uttarakhand Forest Resource Management Project (UFRM) is being implemented in the State since May 2014 with financial assistance from Japan International Cooperation Agency (JICA), as a part of bilateral cooperation between India and Japan.

The project is managed and implemented by an autonomous society through PMU (Project Management Unit) located at Dehradun, and is headed by Chief Project Director. The project is for a period of 8 years, and would close by March 2022.

The Project is being implemented in 17 forest divisions of which 13 divisions are identified for forestry and livelihood components and 6 divisions (two divisions are overlapping) are implementing the disaster component of the project. Disaster component of the Project is outside the scope of this study.

Livelihood component is to be addressed by focusing on Self Help Groups (SHGs)- existing or newly formed- that would be supported to undertake income generation activities (IGAs) by adopting "**cluster approach**". To establish and strengthen the clusters operations, project need to identify potential IGAs upfront in first year of its operation, so that the SHGs with similar interest could be identified and aligned with the clusters. Thus, project has planned to undertake a market feasibility study across the project divisions, to suggest feasible IGAs (both NTFP and non-NTFP) for promotion and cluster development under the project. Accordingly, after completion of the study, project would take lead to develop model business plans for such IGAs, and make them available for SHGs for adoption.

NGOs are already in place in the field, for providing facilitation support to the Project, for development of improved livelihoods and strengthening SHGs for augmenting income levels of the community in Van Panchayats situated in the Project area. Details regarding deployment of these NGOs is provided in ToR.

PMU now invites eligible agency/ institutions/ firms/ NGOs, who have sufficient and demonstrated experience of conducting Market Feasibility Study, to indicate their interest in providing the desired services. This is a short-term assignment (3- months duration) that need to be completed between June-August 2016

The scope of services, detailed ToR and eligibility criteria for shortlisting the consultants, including template to submit the Request for Proposal (RFP) along with other details is available on the project website at URL: <http://www.jicauuttarakhand.org/> or could be obtained from the **Office of the Chief Project Director, Project Management Unit, Uttarakhand Forest Resource Management Project (UFRMP), 24 IT Park, SahasradharaDhara Road, Dehradun** on working days between **3:00-4.00 PM** till the closing date.

Interested and eligible agencies may submit their Technical and Financial proposals in separate sealed envelopes to **“The Chief Project Director, Project Management Unit, Uttarakhand Forest Resource Management Project (UFRMP), 24 IT Park, SahasradharaDhara Road, Dehradun.”** Based on the evaluation of technical and financial proposals a suitable agency will be selected for the assignment. ***It is not permissible to transfer this invitation to any other organization.***

The proposals in the prescribed format should be submitted in sealed envelopes with a cover envelop labelled as **“Technical and Financial Proposal for Market Feasibility Study for Potential SHG Clusters identified under UFRMP”** would be accepted at the address mentioned above by **Courier/ Speed Post/registered post**, on or before the closing date i.e. **May 02, 2016 by 16:00 Hours (IST)**. Only eligible agency would be contacted further.

The Chief Project Director, PMU-UFRMP is not bound to select any or all of the agencies submitting the proposals and reserves the right to reject all proposals without assigning any reason thereof, thereby,not incurring any liability to the affected bidder or any obligation to inform the affected bidder or bidders.

***RFP Processing Fee:*** Non-Refundable Application Fee of Rs.25000/- (Rupees Twenty Five Thousand Only) in the form of Banker’s Cheque / Demand Draft issued by any Indian Bank drawn in favour of **‘Chief Project Director, Uttarakhand Forest Resource Management Project (UFRMP)’** and payable at Dehradun should be submitted with the RFP. Proposal submitted without the processing fee will not be accepted.

**Chief Project Director  
PROJECT MANAGEMENT UNIT  
Uttarakhand Forest Resource Management Project (UFRMP)**

## INSTRUCTIONS TO BIDDERS

### Key Dates to remember

Particulars	Dates
Online RFP Document	Available online on project website at URL: <a href="http://www.jicauttarakhand.org/">http://www.jicauttarakhand.org/</a>
Email	cpdufrmp@gmail.com
Queries / Clarification ONLY through email	Latest by April 20, 2016
Submission of complete Technical and Financial Proposal	May 02, 2016 till 16:00 hours Technical Proposal (5 sets – one Original and four Copies); Financial Proposal – One Set Original
Award and Signing of Contract	May, 2016
Commencement of Work	June, 2016

### Eligibility (pre-qualification criteria)

Following are the screening criteria to be applied prior to completing Technical Evaluation of the eligible bids. Without clearing any or all 'Pre-Qualification Criteria' the bidder would be termed as non-responsive, and would not be considered further.

### Technical

- ❖ Minimum 5 years of working experience in providing services related to the development of livelihoods (both NTFP and Non-NTFP), as brought out clearly in the Terms of Reference.
- ❖ The firm must have successfully completed studies, related to assessment of IGAs, value chain promotion etc. in last 5 years, for clients engaged in livelihood promotion and income generation of the rural community.
- ❖ The respondent firm must not be blacklisted for fraudulent and corrupt practices. A declaration to this effect signed by head of the applicant organization in Original must be submitted with the Proposal.

**Financial.**

- ❖ The firm should have an annual turnover (minus assets) of minimum INR 2(two) crore for the last 3 years from livelihood Projects.
- ❖ The firm should be registered for Service Tax, Provident Fund and must not be a defaulter of Income Tax.

***Note: Firms/Agencies/NGOs having a base, and experience of working, in Uttarakhand, would be given additional weightage in Technical Evaluation, which has been reflected in the Evaluation Criteria.***

**Proposal to be submitted by the bidders shall consist of two sections.**

**Section A: Technical Proposal**

The Technical Proposal must include the following:

- a) Technical Proposal should be in 5 copies, one original and other 4 marked as copy.
- b) Technical Proposals should be page numbered with different sections clearly separated. Quality of proposal has been given separate marks.
- c) Each numbered page should be duly signed by the authorized signatory.
- d) **Tech 2** will provide general details of the bidding Firm and this together with **Tech 4A and Tech 4B** will also indicate whether the Firm fulfils the minimum eligibility criteria (pre-qualification) or not. The Proposals of the Firms, which do not fulfil the minimum criteria, will not be evaluated.
- e) Work experience in similar projects, if any, to be given in format (**Tech-4A**). Supporting documents (work order / completion certificates) are mandatory. No marks will be given if supporting documents are not provided.
- f) Work experience, only in similar/related assignments (Market-related), in last 5 years, as per format (**Tech- 4B**). Supporting documents (work order / completion certificates) are mandatory. No marks will be given if supporting documents are not provided.
- g) Details of Projects quoted at **Tech 4A and 4B** (Client Organization, nature/scope of the Project, Project value, etc.) to be given as per format provided(**Tech 5**), separately for 4A and 4B.
- h) Proposed approach, methodology, and strategy to be given in form **Tech 6**.
- i) CV of Key Resource Persons proposed for the assignment with their experience in conducting market feasibility survey (**Tech 7**).
- j) Work Plan process, deliverables and timeline to fulfil the desired objective and scope of work within the specified time schedule (**Tech-8**).
- k) Enclose supporting documents such as methodology, technical papers, etc. developed by the agency for such works

*NB: The proposed team of the firm for the job shall be required to make a presentation on the above along with credentials of the organization in the desired fields.*

**Section B: Financial Proposal**

- Financial Proposal to be submitted in the Prescribed format(Fin I), with cost break-up/ justification (Fin II).
- The Price and conditions of the offer should be valid for at least a period of 120 days from the date of opening. Proposals with validity of less than 120 days shall be rejected
- Each page of the Financial Proposal should be numbered clearly and duly signed by the authorized signatory.

**Evaluation and Selection Methodology**

The Bid evaluation will be a Quality and Cost based Selection, giving weightages as per the following details: -

- Technical Proposal: 80%
- Financial Proposal: 20%

**The Proposal shall be evaluated in a two-stage process.**

**Stage 1:**

Technical evaluation, based on past experiences and technical expertise, quality of resource persons, approach & methodology, shall be carried out for eligible bidders as specified below:

**Table 1: Technical Proposal Evaluation Criteria**

Sl. No.	Areas of Evaluation	Allocated score	Criteria
<b>A. Experience of the Agency/ NGO</b>			
1)	Strengths and Understanding on the Assignment	10	Relevant experience, understanding and strengths; Refer <b>Tech 3</b> .
2)	Completed Similar Assignments	10	Number of assignments successfully completed past 5 years; Refer <b>Tech-4 (A)</b> .
3)	Market Feasibility, Value Chain Assessment, IGAs related Study	10	Assignments successfully completed past 5 years; Refer <b>Tech-4 (B)</b> , best 3 would be evaluated.
4)	Experience of working in Uttarakhand	10	Demonstrated experience of working and having a base in Uttarakhand.
<b>Total Marks</b>		<b>40</b>	

Sl. No.	Areas of Evaluation	Allocated score	Criteria
<b>B. Approach &amp; Methodology</b>			
5)	Approach & Methodology proposed for the study	20	Quality and appropriateness; Refer <b>Tech-6</b> .
<b>Total Marks</b>		<b>20</b>	
<b>C. Team Composition</b>			
6)	Team Leader, Social Scientist, Livelihood Expert	15	<ul style="list-style-type: none"> <li>Evaluation will consider Experience Educational qualifications, Relevant Knowledge/ Expertise in the Sector</li> </ul> Refer <b>Tech-7</b> .
<b>Total Marks</b>		<b>15</b>	
<b>D. Work Plan</b>			
7)	Work Plan	15	<ul style="list-style-type: none"> <li>Explanation of work plan linking with team composition and strategy: 8 marks (max.)</li> <li>Level of efforts: 6 marks (max.)</li> <li>Work Plan: 6 marks (max.)</li> </ul> Refer <b>Form-8</b> .
<b>Total Marks</b>		<b>15</b>	
<b>E</b>	<b>Quality of Proposal and Presentation</b>	<b>10</b>	
<b>Total</b>		<b>100</b>	<b>(Qualifying marks 70 out of 100)</b>

## Stage-2

Financial Proposals shall be evaluated only of those bidders who score at least 70 marks out of 100, in Technical Proposal evaluation. The lowest evaluated Financial Proposal will be given the maximum financial score of 100 points. The financial scores ( $F_n$ ) of the other technically qualified Financial Proposals will be computed as per the formula given below:

$$F_n = 100 \times (F_{min} / F_b)$$

Where,

$F_n$  = financial score for the bidder under consideration

$F_b$  = price quoted by the bidder under consideration

$F_{min}$  = minimum price quoted by any bidder

Bids will be ranked according to their combined technical ( $T_n$ ) and financial ( $F_n$ ) scores using the weights  $W_T = 0.80$  (the weight given to technical proposal);  $W_F = 0.20$  (the weight given to the financial proposal). The combined technical and financial score (S) for the bidder under consideration shall be computed as per the formula given below:

$$S = (0.8 \times T_n) + (0.2 \times F_n)$$

**The bidder achieving the highest combined technical and financial score (S) shall be considered for award of the contract.**

## General Instructions

- Joint-venture/ consortium proposals are not acceptable.
- No sub-contracting is permitted.
- Proposal validity shall be for 120 days.
- The applicant organization (bidder) shall bear all costs associated with the preparation and submission of its proposal and UFRMP will in no case be responsible or liable for these costs, whether the proposal is finally accepted or not.
- Proposal is to be submitted in a sealed envelope. The documents are to be arranged systematically into Section A (Technical Proposal) and Section B (Financial Proposal). Section A (Technical Proposal), and Section B (Financial Proposal) are to be kept in separate sealed envelopes, which further should be kept inside an outer envelope and sealed as per instructions and formats provided for the purpose. **The envelop containing Financial Proposal should be clearly marked, “ Financial Proposal; Do not Open with Technical Proposal”.**

All the three envelopes must show the name of the participating firm, address and should be superscribed as **“RFP for Market Feasibility Study for Potential SHG Clusters identified under UFRMP**

- The Technical Proposals should not include any information related to financial proposal. Such proposals would be summarily rejected. All the inputs, which are part of the Technical Proposal, should be included in arriving at the total Project cost in financial proposal. If not, it will be presumed to have been included.
- After evaluation of Technical proposals, unsuccessful firms would be intimated and their financial proposals would be returned unopened. Successful bidders would be intimated about date and time of opening of their financial proposals. Their attendance during opening of the financial proposals would be optional.
- Complete offers are to be addressed to Chief Project Director, Uttarakhand Forest Resource Management Project, 24 IT Park, Sahastradhara Road, Dehradun, PIN: 246001.
- Offers duly filled and accompanying all supporting documents, should reach the above address by Registered Post/ Courier/speed post only, by **4 PM on or before May 02, 2016, after which no Proposals would be accepted.**
- Incomplete, illegible and unsealed Proposals will be summarily rejected. Telegraphic Proposals will not be accepted and no correspondence will be made in this regard.

- All offers should be made in English. Conditional offers, and offers qualified by such vague and indefinite expression such as “Subject to immediate acceptance”, “Subject to prior sale” etc. will not be considered.
- Participating firms shall carefully examine the RFP documents and the technical specification and fully inform themselves as to all the conditions and matters, which may in any way, affect the work or the cost thereof.
- Submitted forms, with overwritten or erased or illegible rate or rates not shown in figures and words in English, will be liable for rejection. In case of discrepancy between words and figures noted against each items of the tender and between unit rates and the total amount, amount quoted in words shall be considered and the decision of the evaluating authority in this regard will be final and binding. Clerical and arithmetical mistakes may result in rejection of the proposal.
- Chief Project Director, UFRMP reserves the right to accept or reject any proposal/all the proposals, without assigning any reason thereof.

**Chief Project Director**  
**PROJECT MANAGEMENT UNIT**  
**Uttarakhand Forest Resource Management Project (UFRMP)**  
24, IT Park, Sahasradhara Road, Dehradun  
Telephone No: 0135-2740605  
Fax No: 0135-2740605  
Email: [cpdufrmp@gmail.com](mailto:cpdufrmp@gmail.com)

## TECHNICAL PROPOSAL TEMPLATE

## 1) Tech-1: Cover letter for Technical Proposal

### Technical Proposal Submission Form

Date:

Ref:

**Chief Project Director**  
**PROJECT MANAGEMENT UNIT**  
**Uttarakhand Forest Resource Management Project (UFRMP)**  
24, IT Park, Sahasradhara Road, Dehradun.  
Email: cpdufrmp@gmail.com

Your Ref:            RFP No.                            Dated

Dear Sir,

**Sub: REQUEST FOR PROPOSAL (RFP) – Market Feasibility Study for Potential SHG Clusters identified under UFRMP**

Dear Sir,

We, the undersigned, in accordance with your Request for Proposal, dated [Insert Date], offer to provide our proposal for providing **Market Feasibility Study for Potential SHG Clusters identified under Uttarakhand Forest Resource Management Project (UFRMP)**. We hereby submit our Proposal, which includes this Technical Proposal, and a Financial Proposal, sealed under a separate envelope.

We hereby declare that:

- a) All the information and statements made in this Proposal are true and we accept that any misrepresentation contained in it may lead to our disqualification by the Client.
- b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Proposal.
- c) We confirm our understanding of our obligation to abide by JICA's policy with regard to corrupt and fraudulent practices.
- d) We undertake to negotiate a Contract on the basis of the proposed Experts. We accept that the substitution of Key Experts for reasons other than those stated in the Technical Proposal may lead to termination of Contract negotiations.
- e) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We understand you are not bound to accept any Proposal that you receive.

We remain,

Yours Sincerely,

Authorised Signature [*in full and initials*]

Name and Title of Signatory:

Name of the Consultant [*company name*]:

In the capacity of: -----

***Enclosed:*** Cover sealed envelope contains two separate sealed envelopes inside – one containing ***Technical Proposal*** along with the ***Cover Letter*** and ***Processing Fee***, and second sealed envelope containing ***Financial Proposal***

## 2) Tech-2: Brief Description of Agency/ NGO

<b>1</b>	<b>About Organization</b>			
	Name of organization			
	Name of Authorized Signatory			
	Designation			
	Mobile			
	Email			
<b>2</b>	<b>Address &amp; Contact</b>			
	Postal Address of the Organization			
	Telephone nos.(with STD code)			
	Official Email			
	Website URL	http://www.		
<b>3</b>	<b>Establishment Details</b>			
	Nature of Organization	<input type="checkbox"/> NGO <input type="checkbox"/> Academic Institution	<input type="checkbox"/> Company/ firm <input type="checkbox"/> Any other (specify) .....	
	Entity details (attach copy of the certificate)	Registration No.		
		Registering Authority		
		Place of Registration		
		Year of Registration		
<b>4</b>	<b>Audited Financial Statements</b>			
		<b>FY 2012-13</b>	<b>FY 2013-14</b>	<b>FY 2014-15</b>
<b>a</b>	<b>Total Income before Tax</b>			
<b>b</b>	<b>Profit before Tax</b>			
<b>c</b>	<b>Income from the sectors, which are the requirement of this study</b>			
<b>d</b>	<b>Other Relevant Information</b>			
<b>e</b>	<b>Mandatory Supporting Documents</b>	<p>i. <b>Audited Certified financial statements for the financial years ending March 2013, 2014, 2015.</b></p> <p>ii. <b>Service tax return for the financial years for the above years.</b></p> <p>iii. <b>Certification by the firm auditors supporting the income break-up for income from sectors, which are the requirements of this study.</b></p> <p><b>Note: with out above-mentioned supporting documents, the response would be treated as incomplete.</b></p>		
<b>5</b>	<b>Processing Fee</b>			
	RFP processing fee (Rs.25000/-)	DD/ Banker's Ch.no.		

twenty fivethousand only drawn in favour of “ <b>Chief Project Director, UFRMP</b> ” payable at Dehradun)	Date of DD/ Banker’s Ch.	
	DD/ Banker’s Cheque Amount (Rs.)	
	Name of the Bank	

**Note:**

- For Non-profit making organisations, item no 4 should reflect total outlay for each financial year and separate details regarding income from sectors, which are the requirements of this sector.
- For 2015-16, unaudited figures may be provided as additional financial information.

### **3) Tech-3: Experience of the Agency/ Firm**

**Narrative summary:** *(Not more than 700 words; please read and refer the TOR)*

**a) Relevant Experience and Expertise***(200 words)*

**b) Understanding on the Assignment** *(300 words)*

**c) Strengths for undertaking this Assignment***(200 words)*

**Tech 4A: Details of Experience in Similar Community-based Projects in last 5 Years**

Sl.	Name of the Client	Name of the Assignment	Value of Work	Status (On-going/ Completed)	Supporting document* (Work order/ Completion certificate)

\* Work order/ agreement/ completion certificate enumerating Scope, value of work, etc. to be annexed

**Tech 4B: Experience in projects related to Assessment and Market Feasibility of IGAs, Value-chain Analysis only, in last 5 Years (Rural Markets)**

Sl.	Name of the Client	Name of the Assignment	Value of Work	Status (On-going/ Completed)	Supporting document* (Work order/ Completion certificate)

\* Work order/ agreement/ completion certificate enumerating Scope, value of work, deliverables etc. of best three assignments to be annexed (one page abstract of each assignment)

**Tech 5: Project Experience Details for Tech 4A and 4B separately. Mention as Tech 5 (for Tech 4A) and Tech 5 (for Tech 4B)**

Project Reference	Form/Sr. No.
Name of the Project	
Client for which Project was executed	

Name & Contact details of the Client	
Current Status of the Project	
Main Project Objective	
Geographical location of the project	
Project Outcomes	
Technologies Used	
Infrastructure including Human Resource Used	
Total Cost of the Project	
Total Duration of the Project (no. of months, start date, completion date)	
Total duration of the Services provided by the Bidder	
Total cost of the Services provided by the Bidder	
Mandatory Supporting Documents:	
<p>a) Work order/agreement/completion certificates indicating clear scope of work and value of the assignment.</p> <p>b) Project details should be furnished year-wise so that the details given in this Form match with financial details provided by the Firm in Form 2</p>	

**Total Cost of the Projects as detailed in Form 5 (separately for 4A and 4B).**

Total number of Projects	Total Cost of Projects in INR Crore

#### **4) Tech-6: Approach and Methodology**

**Narrative summary:** *(2-3 pages; please read and refer the TOR)*

**a) Overall Approach, Strategy and Methodology for the study;** *(2-3 pages narrative summary, not excluding figures, photo and diagrams)*

**b) Expectations from the Client (PMU)** *(200 words)*

## 5) Tech-7: Proposed Team Composition

### a) Team Composition for the Assignment/ Study

*(Narrative maximum 300 words followed by Table; please read and refer the TOR)*

**Table: Proposed Team Composition**

<b>Team Coordinator details</b> (authorized representative of agency/ firm)  <i>(To be made responsible by agency to coordinate with PMU and the Team during the Contract period)</i>	Name:
	Contact Number:

Position in Team	Name	Educational Qualifications	Areas of expertise	Years of work experience	Key Responsibilities in the team
Team Leader					
Social Scientist					
Market Expert					

**Note:** Maximum TWO-pages short CV is essential for Team Leader and Social Scientist and Market Expert positions with their latest colour photo pasted on CV; for other proposed positions only ONE page short CV should be submitted. The CVs must include name, position, date of birth, nationality, education qualification, areas of expertise, work experience, professional associations/ memberships, languages known

### b) Strengths with the proposed study Team

*(Narrative maximum 300 words followed by Table; please read and refer the ToR)*

## 6) Tech- 8: Work Plan

*(Narrative maximum 2 pages excluding Tables; please read and refer the ToR)*

**Note:** Please explain the proposed work plan and activities in context of the level of efforts (no of person days) by the study team and proposed strategy/ methodology.

**Table A: Level of Efforts by the proposed Team for Market Feasibility Study**

Sl. No.	Position in Team	Name of Team member	Person days					Total days
			Wk1	Wk2	...	...	...	

**Table B: Work Plan for Market Feasibility Study**

Sl. No.	Activity Name	Time Required/ Estimated				
		Wk1	Wk2	...	...	...

<END>

## FINANCIAL PROPOSAL TEMPLATE

## 7) From 8: Cover letter for Financial Proposal

### Financial Proposal Submission Form

Date:

Ref:

**Chief Project Director**  
**PROJECT MANAGEMENT UNIT**  
**Uttarakhand Forest Resource Management Project (UFRMP)**  
24, IT Park, Sahastradhara Road, Dehradun  
Telephone No: 0135-2740605; Fax No: 0135-2740605  
Email: cpdufrmp@gmail.com

Your Ref: RFP No.

Dated

Dear Sir:

**Sub: REQUEST FOR PROPOSAL (RFP) – Market Feasibility Study for Potential SHG Clusters identified under UFRMP**

In response to your announcement dated {date}, we {name of agency/ NGO} are pleased to submit Request of Proposal (RFP) for providing **Market Feasibility Study for Potential SHG Clusters identified under UFRMP**.

We hereby submit our Financial Proposal in prescribed format for the amount Rs..... {insert amount in figures and words} which shall be confirmed or adjusted, if needed, during negotiations. In addition, applicable Service Tax would be charged on the invoiced amount. All other taxes and duties, if any would be borne by us.

We hereby declare that all the information and statements made in this RFP are true and accept that any misinterpretation contained in it may lead to our disqualification.

We understand you are not bound to accept any RFP you receive.

Thanking you.

Yours truly,

Authorized Signature [In full and initials]:

Name and Title of Signatory (Firm/ NGO):

Name of Lead Firm:

Address:

## Financial Proposal

### Market Feasibility Study for Potential SHG Clusters identified under UFRMP

**Note:** Please understand and carefully access requirements and quantum of work reading ToR prior to making financial quote

#### FIN 1

Particulars	Qty	Unit Rate Rs.	Amount (Rs.)
<b>A. Remuneration</b> <i>{This amount should include cost towards remuneration paid to the specialist/ key professionals}</i>			
<b>B. Reimbursable</b> <i>{This amount should include cost towards travel and field work, local transport, stay, data compilation, stationery, printing reports and communication, other incidentals and all costs that are visualized for conducting the study}</i>			
<b>Total amount without Service Tax Rs.</b>	<b>In figures</b>		
	<b>In words</b>		
<b>Service Tax on item A (xx.x%) Rs.</b>			
<b>Total amount including Service Tax Rs.</b>	<b>In figures</b>		
	<b>In words</b>		

#### FIN 2

Please justify the cost as provided in A (Remuneration) and B (Reimbursable) in FIN 1, with complete details. Figures in FIN 2 should match with the total cost provided in FIN 1.

Signed by:

Office Seal

Authorized Signature [In full and initials]:

Name and Title of Signatory (Firm/ NGO):

Name of Lead Firm:

Address:

## **TERMS OF REFERENCE**

## **Uttarakhand Forest Resource Management Project (UFRMP)**

### **Terms of Reference for Short-term Consulting Services Market Feasibility Study for Potential SHG Clusters identified under UFRMP**

#### **Office of Chief Project Director**

Uttarakhand Forest Resource Management Project  
24, IT Park, Sahasradhara Road, Dehradun.

**Telephone No: 0135-2740605**

**Fax No: 0135-2740605**

Email: [cpdufrmp@gmail.com](mailto:cpdufrmp@gmail.com)

## Table of Contents

1. Introduction .....	1
2. Context.....	1
3. Scope and Approach for the Assignment .....	2
4. Outline of the tasks to be carried out by the Agency/ Firm .....	3
5. Data, services and facilities to be provided by the Client (PMU) .....	4
6. Duration of the Study.....	5
7. Outputs expected from the Agency/ Firm .....	5
8. Team qualifications and expected level of effort: .....	5
9. Performance Evaluation of Deliverables.....	6

## Uttarakhand Forest Resource Management Project (UFRMP)

### Terms of Reference for Short-term Consulting Services

#### Market Feasibility Study for Potential SHG Clusters identified under UFRMP

## 1. Introduction

Uttarakhand Forest Resource Management Project (UFRM) is being implemented in the state since May 2014 with financial assistance from Japan International Cooperation Agency (JICA), as a part of bilateral cooperation between India and Japan.

The project is managed and implemented by an autonomous society through PMU (Project Management Unit) located at Dehradun, which is headed by Chief Project Director. The project is for a period of 8 years, and would close by March 2022.

The Project is being implemented in 17 forest divisions of which 13 divisions are identified for forestry and livelihood components and 6 divisions (two divisions are overlapping) are implementing the disaster component of the project. Disaster Mitigation component is outside the scope of this study. So the study is to be carried out in 13 forest divisions.

The project aims at mitigating forest degradation in the Project areas by creating suitable livelihood options and augmenting incomes of people residing in target areas by supporting income generating activities (IGAs), thereby reducing their direct dependence on forests. The project would mainly be implemented through existing Van Panchayats (VPs) – a community institution in forestry sector, which are currently governed by Panchayati Forest Rules (PFR) 2005.

For details one could visit the project website at URL: <http://www.jicauttarakhand.org/>.

## 2. Context

Self-Help Groups (SHGs) – either existing or newly formed, identified in the selected Van Panchayats would be supported to undertake income generation activities that could fall in NTFP or non-NTFP domain. It is expected that such interventions would provide the SHGs an alternative means of earnings, and thereby lead to better quality of life and financial stability. The project will encourage the SHGs to select their own activities that may be suitable particularly, for poor households (HHs) with small or no farm land, and according to the locally available resources and skills, interest of the SHG members, and market demand.

In addition to financial support that would be extended to the selected SHGs through respective Van Panchayats emphasis would also be on capacity development of the SHG members. At initial stage, trainings would be conducted to enhance group cohesion, documentation and record keeping skills, bank operations etc., and at later stages trainings would focus on business plan development, entrepreneurship skill development, financial and business management, technical knowledge/ skills improvement, product development and marketing etc.

The issues that are identified with IGAs to be implemented by SHGs include; 1) no access to continuous technical guidance and back-stopping; 2) inability to select economically viable activities; 3) no successful model on cluster development; and 4) lack of coordination amongst the SHGs for better access to market and support services.

Further, it is often difficult for small SHGs to operate in isolation and sustain its initiatives. Thus, the project will promote cluster development for selective IGAs and enable formation of a cluster level organization to provide further support to the SHGs. The cluster level organization would facilitate its member SHGs to procure required inputs/ raw material and services at competitive/ lower rates, access to market, linkages with financial institutions and capacity development resources etc.

To establish and strengthen the clusters' operations, project need to identify potential IGAs upfront in the first year of its operation, so that the SHGs with similar interests could be identified and aligned with the clusters. Thus, project has planned to undertake a market feasibility study across the project divisions, to suggest feasible IGAs (both NTFP and non-NTFP) for promotion and cluster development under the project. Accordingly, after completion of the study, project would take lead to develop model business plans for such IGAs, and make them available to SHGs for adoption.

### 3. Scope and Approach for the Assignment

A feasibility study looks at the viability of an idea with an emphasis on identifying potential problems and attempts to answer one main question: Will the idea work and should one proceed with it?

Feasibility study is done on ideas, campaigns, products, processes and entire businesses. Things that includes market feasibility study are:

- Description of the Enterprise/ Trade (in domain of income generation)
- Current Market-chain Analysis
- Competition
- Anticipated Future Market Potential
- Scope for scaling up the activity/ activities accordingly
- Potential Buyers and Sources of Incomes
- Sales Projections

The project has identified some of the NTFP and non-NTFP activities as listed in table below. The list is only indicative and could be expanded further.

NTFP	Honey, Nettle Fiber, Nettle Yarn, Medicinal and Aromatic Plants (MAPs), Tejpat, Lichen & Moss, Pine Needle
Non-NTFP	Dairy, Spice, Off-season Vegetables, Poultry

There could be numerous potentials and possibilities for income generation around the identified activities as collector, producer, processor/ value addition, seller/ trader. The study would examine all possible IGAs and nature of business operations around such IGAs to suggest cluster development. Thus, scope of the study would not be limited to the given list, and would examine all existing and potential clusters and suggest course of action to satisfy the project requirement.

At initiation of the study, mapping of cluster development efforts being done by various on-going projects in the state would be attempted by organizing one-day 'Consultation Workshop' at Dehradun

inviting all key stakeholders for experience sharing. The agency contracted for the study would develop the workshop design and finalize it in consultation with the client (PMU).

The study would enlist and consider all possible alternatives along with an explanation as to why the preferred income generation activity has been suggested for cluster development. For each of the suggested income generation activity based Cluster, market-chain analysis would need to be done. Governance and institutional structure of the existing Clusters would also be studied and their success, gaps/ issues need to be identified and highlighted.

The study would also suggest governance and institutional structure to be adopted in the project, and highlight its advantages over the existing Cluster models. The overriding considerations though should be:

- Does the recommended approach satisfy the project requirements?
- Is it also a practical and viable solution?

These suggestions should necessarily be given for each project division. One or more potential income generation activity based Cluster should be identified in each division, and must be supported with all required analysis. This will help the project to prioritize actions at planning stage.

The work plan to be framed for the study should include following steps to ensure wider coverage in shortest possible time. Digital photographs should be captured during the entire study period.

Step	Days	Indicator
Planning Phase	5	Inception Report submitted that includes detailed methodology, tools and work plan
Consultation Workshop	5	One-day workshop organized at Dehradun inviting key stakeholders representing on-going livelihood focused Projects for experience sharing. Objective of the workshop would be to map Cluster Development efforts being done in the state around SHGs or income generation activities.
Field / Survey Work	45	Field Work completed visiting all 13 project divisions; tools like Focus Group Discussion (FGD), community/ stakeholder consultations, meetings with departments/ financial institutions/ NGOs, rapid market survey, in-depth interviews etc. could be adopted.
Report Writing	20	Draft Report Submission as per Table of Contents mentioned at Inception stage
Presentation & Feedback	5	Feedback by the Client based on the Draft Report and Presentation made by the Agency/ Firm
Final Report	10	Finalized Report Submission incorporating all suggestion and feedback from the Client
<b>Total days</b>	<b>90</b>	<b>All deliverables completed</b>

#### 4. Outline of the tasks to be carried out by the Agency/ Firm

The tasks listed below, are not exhaustive and the agency/ firm may use their own experience in concurrence with PMU to accomplish the tasks within the scope of the study in timely manner.

The emphasis should be on quality and accurate representation of the ground situations captured by applying various tools & techniques. The information generated through the field survey together with

the suggestions given in the final report submitted by the Agency/ Firm would be utilized by the project for strategic planning and prioritizing IGAs that will support and nurture cluster development. The key tasks involved would include, but not limited to:

- a) Carefully review the applicable laws and regulations on trading / marketing of the NTFPs and MAP, and their produces;
- b) Assessment of the NTFP/ MAP, farm and off-farm produces in the supply chain of the project villages as well as adjoining villages, and to collect information on volume and marketable surplus;
- c) Assessment of current marketing scenario (i.e. channels, market players/ actors, etc.), barriers, bottlenecks and opportunities in the cluster;
- d) Explore possibilities of collaborative collection, grading, processing, value addition, and trading of surplus produce in the cluster;
- e) Assessment of legal compliances and systems required for marketing of produce (both NTFP and Non-NTFP) through the cluster approach;
- f) Develop strategy for collective marketing of produce and possible role of various players and stakeholders (i.e. NGOs, individuals, market players, government agencies, producer groups, federation, PRIs etc.) in the chain;
- g) Assessment of potentials IGAs in each project divisions for cluster development for supporting marketing interventions;
- h) Any other points that are important for the successful promotion of clusters under the project domain.

## **5. Data, services and facilities to be provided by the Client (PMU)**

Following services/ facilities shall be provided by the client for the study purpose:-

- a) The agency/ firm would be provided with all the documents relevant to the study. The client shall also facilitate interaction with the concerned offices, field establishments and other participating agencies that may help, to design study, tools/ questionnaires, check-lists/ other formats, work plan for the assignment
- b) Space for organizing one-day Consultation Workshop at Dehradun, and issue invitations to all key project officials/ individual for experience sharing
- c) The agency/ firm shall be facilitated by the client to identify project sites/ villages and provide field support to help study team mobilize target groups for interaction.
- d) Field NGOs will also provide field inputs regarding market assessment done by them with respect to potential IGAs. Position of FNGOs has been described in detail in item 10.

## 6. Duration of the Study

Total duration of study is 3 months that includes all time required for planning phase, field/ survey work, data analysis, report writing and presentation.

## 7. Outputs expected from the Agency/ Firm

The agency/ firm is expected to submit following deliverables/ outputs to PMU as per the time schedule indicated in the following table.

Report	Submission Date
<b>Inception Report</b> Given the scope - understanding on the assignment, Approach and Methodology, survey tools, table of content/ template of the reports, Work Plan, Staff deployed along with the roles and responsibility of the Key Professionals etc.	Within 5 days of signing of contract; three hard copies along with electronic file to be submitted.
<b>Proceedings of the Consultation Workshop</b> The entire workshop proceedings need to be recorded in detail and document need to be produced along with the photographs.	Within 2 days after conduct of Consultation Workshop, but not exceeding 10 days from signing of contract.
<b>Draft Report</b> The field work is expected to be completed within <b>45 days</b> . The agency/ firm would inform about initiation and completion of field work by written communication to PMU, and submit the report as per the Report Structure approved in the Inception Report.	Within 20 days from completion of field work but not exceeding 75 days from signing of contract; three hard copies along with electronic file to be submitted.
<b>Final Report</b> The presentation is expected within <b>5 days</b> of submission of the Draft Report. The agency/ firm would inform about the presentation date by written communication to PMU, and submit the final report after incorporating suggestions/ feedback received from PMU.	Within 10 days after receipt of feedback/ comments but not exceeding 90 days from signing of contract; three hard copies along with electronic file to be submitted.

## 8. Team qualifications and expected level of effort:

The agency/ firm is free to propose team for the assignment, but for proposal evaluation two key positions of the team would be considered. It would be important that the study team is conversant with the local situations and local language/ dialects. The two key positions whose CVs would be evaluated are:

Position	Qualification	Experience	Role/ Responsibility
Team Leader (one)	PG in Sociology/ Social Work/Economics/Agriculture/Agri-business/ PG diploma in Rural Development	Demonstrated experience of minimum 10 years in development sector, particularly specialised in Livelihood Promotion, and in	For overall guidance and liaison with PMU. Responsible for preparation of Inception Report and Draft/ Final

Position	Qualification	Experience	Role/ Responsibility
		conducting studies (NTPF and Non-NTPF related)	Report, making presentations, and other outputs ensuring desired quality and time-schedule.  Should devote 50% or more of his time in field visits for first hand assessment and should supervise survey.
Social Scientists (one)	PG in Sociology/Social Work/ Agriculture/ PG diploma in Rural Development	Sociologist/ Social Scientist with minimum 7 years of experience in rural development sector / conducting similar studies/research work.  Having expertise in designing market survey tools, FGDs and other field-based data gathering techniques etc.	Assisting Team Leader and work as per his direction and TOR scope.
Market Expert	PG in Economics/Agri-business/PG Diploma in Rural Marketing	Minimum 7 years of experience of working in rural development, with specific reference to development of market linkages, value chain analysis, IGA development etc.	Assisting Team Leader and work as per direction and TOR scope.

## 9. Performance Evaluation of Deliverables

Project Management Unit (PMU), Uttarakhand Forest Resource Management Project (UFRMP), would review the performance of the agency/ firm and would provide acceptance to the outputs delivered as per the ToR. The progress of the field work will be monitored by the PMU officials and its field officers from time to time.

## 10. Field NGOs

The NGOs called Field NGOs(FNGOs) in the Project are already in place, which are responsible for strengthening the capacity of VPs and SHGs for sustainable forest management and improved livelihoods. It involves community mobilisation, facilitation of micro planning processes, convergence with other schemes and projects, providing guidance in income generating activities, management of revolving funds to be provided to SHGs and carrying out technical trainings for VPs and SHGs to build their capacity in implementing the Project activities. FNGOs are also to assist the Project in organizing exposure visits for VPs and SHGs. In executing the above tasks, FNGOs are providing qualified personnel, which are placed at DMU/FMU level in the field and working in close coordination with PMU/DMU/FMU to achieve the desired Project objectives.

### Team composition of FNGOs

To accomplish the above tasks, Field NGOs have engaged Marketing Specialists at the DMU level for duration of 5.5 years and field coordinators at VP level for 3 years. 750 target VPs would be selected in 4 batches (consisting of 150, 250, 250 and 100 VPs respectively) The Field Level coordinators (FLCs) are to be engaged batch wise. First batch consisting of 150 VPs has commenced and would continue up to April 2018. Similarly, activities in second batch of 250 VPs would be from October 2016 to September 2019, third batch of 250 VPs from April 2017 to March 2020 and fourth batch also from April 2017 to March 2020. Activities of different batches would overlap as mentioned above. Each FLC will work with about 4 to 6 VPs and 8 to 12 SHGs. FLCs would be placed at the level of FMU, but their main task would be to facilitate micro planning and other Project interventions at the VP level. Number of VPs in different FMUs will vary as per the selection process of VPs, which will be intimated to NGOs accordingly. In addition, NGOs will also engage subject matter specialists at each circle (at the level of Forest Conservators) for a period of up to 5 months a year, to provide technical support as per requirement of the SHGs, for different subject areas such as horticulture, livestock and handicrafts. The need for these Subject Matter Specialists would be spelled as per the requirements of SHGs and potential business activities chosen by them. Therefore, the probable list of areas mentioned above is indicative and not exhaustive. The above team composition is again elaborated in the tabulated form below:

Position	Placements	Period
Marketing Specialists	One at each DMU	For a period of 5.5 years
Subject Matter Specialists	Shiwalik Circle (Lansdowne Soil Division) Yamuna Circle (Mussoorie Division)	3 subject matter specialists for 25 person months in all.
	Bhagirathi Circle (Narendra Nagar Division and Tehri Dam I Division)	3 Subject Matter Specialists for 25 person months in all.
	Garhwal Circle (Pauri Civil Division and Alaknanda Soil Division)	3 Subject Matter Specialists for 25 person months in all.
	North Kumaon Circle (Almora Civil, Bageshwar, Pithorgarh and Champawat Divisions)	3 Subject Matter Specialists for 35 person months in all.
	South Kumaon Circle (Ranikhet Soil, Ramnagar Soil and Nainital Soil Divisions)	3 Subject Matter Specialists for 30 person months in all.
Field Level Coordinators (FLCs)	At the level of FMUs in 4 batches as mentioned above.	One FLC for a period of 3 years to work with a cluster of 4 to 6 VPs and 8 to 12 SHGs.

The Agency/ Firm would coordinate with the FNGOs and their field teams and the inputs provided by the field teams would be validated by the Agency/ Firm in view of the findings of their own studies and used as per their relevance.