

Request for Proposal (RFP)

RFP No. 03/2017-18 (**Revised**) dated 21st September, 2017

*SELECTION OF CAPACITY BUILDING SUPPORT AGENCIES FOR CAPACITY
BUILDING OF VAN PANCHAYATS*

**UTTARAKHAND FOREST RESOURCE MANAGEMENT PROJECT
(UFRMP)**

**Office of Chief Project Director
Uttarakhand Forest Resource Management Project
24, IT Park, Sahasradhara Road, Dehradun Pin: 248001, Uttarakhand**

**Office of the Chief Project Director
Uttarakhand Forest Resource Management Project
24, IT Park, Sahasradhara Road, Dehradun Pin:248001.**

RFP No. 03/2017-18 (Revised) dated 21st September, 2017

Request for Proposal (RFP) for selection of Capacity Building Support Agencies (CBSA) for capacity building of Van Panchayats

Uttarakhand Forest Resource Management Project (UFRMP), funded by Japan International Cooperation Agency (JICA), aims to achieve eco-restoration of degraded forests by empowering community institutions (Van Panchayats) and building capacities of local communities for sustainable management of forests.

The Project Management Unit (PMU), UFRMP, now solicits techno-financial proposals, in prescribed formats only, as per RFP document, from credible institutions from govt/private/NGO sector, having sufficient experience of capacity building of community-based institutions.

Firms participating in this bid must have Digital Signature Certificate (DSC), and must be registered at www.uktenders.gov.in. Only such firms are to submit their technical and financial proposal with supporting documents in the prescribed formats to the Project Management Unit (Office of the Chief Project Director, Uttarakhand Forest Resource Management Project, 24 IT Park, Sahasradhara Road, Dehradun Pin:248001)

Demand Draft of INR 25,000/- (Twenty-five thousand) only, as processing fee (non-refundable) and Earnest Money Deposit (EMD) of Rs. 2,00,000/- (Rupees two lakhs only) both in the name of Uttarakhand Forest Resource Management Society (UFRMS), payable at Dehradun are to be submitted along with technical proposal and scanned copies of the same are to be uploaded electronically on or before **October 09, 2017** by 5:00 pm on e-tender portal. RFPs received in formats other than the Prescribed Formats will not be entertained.

The RFP notice including prescribed formats and other details may be seen on the website www.jicauttarakhand.org

**Anup Malik
Chief Project Director, UFRMP**

1. About the Project

The Uttarakhand Forest Resources Management Project (UFRMP), funded by Japan International Cooperation Agency (JICA), seeks to contribute towards eco-restoration and development of degraded forest resources, by empowering the community, through livelihood development and income generation, so that community dependence on forests becomes sustainable. The Project in the field is being implemented by Van Panchayats, a community-based institution in the forestry sector in the State. Van Panchayats in Uttarakhand are unique and represent one of the largest and most diverse experiments in devolved common property management ever developed in collaboration with the State. In fact, they form one of the earliest examples anywhere in the world, of decentralized resource management through formal State-community partnerships.

Project is being implemented in Society mode, by Uttarakhand Forest Resource Management Society, registered under Society Registration Act, 1860, with the Registrar of Societies, Uttarakhand. To manage Project implementation at the State level, a Project Management Unit (PMU) has been established.

Since the project is being implemented in the field by VPs therefore capacity building of Van Panchayats is critical for effective implementation of project activities.

2. Context

One of the major goals of the Project is eco-restoration of degraded forests by empowering **750 community institutions (Van Panchayats)** and building capacities of local communities for sustainable management of forests.

We are seeking the services of Capacity Building Agencies, having sufficient experience in the following areas:

- Delivery of effective and innovative capacity building/training programs
- Developing area and subject/theme specific capacity building/training materials
- Capacity building of community organisations
- Handling issues concerning institutional capacity development

The bidders must go through the Terms of Reference to understand their role in the Project, which are provided at the end of this RFP document.

3. Deliverables

Capacity building of VP/SHG members and facilitating staffs at VP/SHG level will be a major focus area of the CBSA. **Deliverables would, *inter alia*, include:**

- a. Strengthening of VPs
- b. Improved capacities of VPs to plan and implement project activities.
- c. Building capacities of VPs to sustainably manage their resources.
- d. Assisting the VPs in accounting and documentation
- e. Reducing conflicts within VPs.

4. Time Schedule

Time is of essence in assignment. The CBSA shall be responsible for completion of the assignment as per the time schedule, which would be part of the contract to be signed with the successful bidder. CBSA shall complete all the deliverables in time.

5. Instructions to the Bidders

Due to the nature, complexity and comprehensiveness of the assignment, it requires adequate skill and experience of the bidder in dealing with the tasks and deliverables mentioned above.

The bidders are expected to be well versed and have adequate knowledge and experience in the sector. The bidders are required to deploy all necessary human resources with specified relevant qualifications and experience for providing the required operationalization support.

The bidders are suggested to meticulously go through the context, objectives, scope, deliverables, and ToR, and understand the functional requirements while preparing their technical proposals/solutions. The bidders are required to prepare the detailed approach, methodology and

work plan for execution of the work and submit the same along with the technical proposal in the formats provided.

- ❖ **RFP Document:** The RFP document can be downloaded from the official website www.jicauttarakhand.org. The Bidder is expected to examine all instructions, forms, terms & conditions, specifications etc. given in the RFP. Failure to furnish all information as desired in this RFP document may result in rejection of the Proposal. Queries, if any, regarding RFP, may be referred to the mail address: cpdufrmp@gmail.com.
- ❖ Joint-venture/ Consortium proposals are not acceptable.
- ❖ **Interested parties may e-mail their queries, if any, to the Chief Project Director, UFRMP (cpdufrmp@gmail.com) before 22nd September, 2017. A pre bid conference would be held on 22nd September, 2017 at 11:30 AM at Office of the Chief Project Director, UFRMP, 24, IT Park, Sahasradhara Road, Dehradun where clarifications on queries would be given. Interested parties may participate in the pre-bid conference at their own cost. However they have to send a communication about their participation in the pre-bid conference by e-mail.**
- ❖ The Bidder must submit the Technical Proposal and Financial Proposal for the complete scope of work as specified in **Section 4 and 5** of this RFP document; non-compliance in this regard shall lead to declaration of the Proposal as non-responsive and shall be summarily rejected. ***The proposal should be made using English Language only.*** Conditional proposals also shall not be acceptable.
- ❖ **Costs:** The Bidder shall be responsible for all costs incurred in preparation and submission of their Proposals. UFRMP shall not be liable for the costs incurred by the Bidder in any way.
- ❖ **Tender Fee:** Bidder is required to submit a **non-refundable fee of INR 25,000/- (Twenty-five thousand only) as processing fee**, along with the technical Proposal, in the form of a Bank Demand Draft drawn in favor of, **Uttarakhand Forest Resource Management Society,**

payable at Dehradun, Uttarakhand, from any scheduled commercial bank. Proposals submitted without processing fee will be summarily rejected.

- ❖ **Bid Security:** The Technical Proposal document submitted by the bidder must be accompanied by an Earnest Money Deposit (EMD) of **Rs.2,00,000/ (Rupee two lakhs only)** in the form of a Bank Demand Draft drawn in favor of **Uttarakhand Forest Resource Management Society, payable at Dehradun, Uttarakhand** from any scheduled commercial bank. Proposals without EMD will be summarily rejected. EMD is refundable or may be adjusted towards security deposit in case of successful bidder.
- ❖ **Bid Validity:** The Proposal submitted, must be valid for a period of at least 180 days from the date of opening of the Technical Proposal.
- ❖ **Amendment of RFP Document:** Any time prior to the last date of submission of the Proposal, the Project, may for any reason, whether at its own initiative or in response to any clarification requested by a prospective bidder, modify the RFP document. The same shall be notified on the official website mentioned above.
- ❖ **Cancellation of bid:** The Project reserves the right to cancel the bidding process at any time either prior to or subsequent to the bidding process. The same shall be notified on the official website mentioned above. In such eventuality, the tender fee may be refunded to all the bidders.
- ❖ **Terms of Execution:**
 - The selected bidder shall deliver all the deliverables as per the timeline to be specified in the contract document, to be signed with the successful bidder.
 - The selected bidder shall provide on-site support as and when required and as specified in “Instructions to Bidders” of this RFP document.
 - The selected bidder shall provide necessary human resources as specified and shall be responsible for operationalization of various tasks.

❖ **Submission of Bid**

The Technical Proposal should be kept in a sealed envelope and shall be marked as **“TECHNICAL PROPOSAL”** on the top. The Financial Proposal should also be kept in a sealed envelope and shall be marked as **“FINANCIAL PROPOSAL, DO NOT OPEN WITH TECHNICAL PROPOSAL”** on the top. Both the sealed envelopes should be kept in an outer envelope which shall be marked as **“Selection of Agency for capacity building of Van Panchayats under UFRMP”**.

- The Technical proposal should not include any information related to the Financial Proposal. Technical proposals containing any indication of financial quote shall be summarily rejected. All the inputs which are part of the Technical Proposal, should be included in arriving at the cost of the project in the Financial Proposal.
- Proposals, complete in all respect shall be addressed to **Chief Project Director, Uttarakhand Forest Resource Management Project, 24, IT Park, Sahasradhara Road, Dehradun Pin:248001**
- **The Proposals should reach the above address by Registered Post/ Courier/ By Hand on or before October 09, 2017 by 5:00 PM, after which no proposals shall be accepted.**

❖ **Submission of Technical Proposal**

The technical proposal of the bidder should contain the Processing Fee (**non-refundable**), EMD and all the information in duly filled-in Forms with necessary supporting documents as proof of their eligibility, capabilities and experiences as required for the assignment. List of Tech Forms is given below:

- Tech 1: Covering letter
- Tech 2: Letter of Authorization for signing & submission of bid
- Tech 3: Organization details

- Tech 4: Auditor certified Annual Turnover and Net-worth statement along with Copies of Audited balance sheet with original auditor certified turnover statement
- Tech 5: Strength of Organization to cater to the Project Objectives
- Tech 6A: Details of resource persons with the NGO in key areas related to fulfillment of objectives related to the Assignment.
- Tech 6B Details of personnel to be provided by the NGO in accomplishing tasks.
- Tech 7A: Past experience of the Bidder in execution of Projects related to capacity building particularly those involving community based organisations. Details of Projects (top 5 projects in last 3 years) with supporting work order/agreement/ completion certificate/ or any other reasonable evidence to back their claim.
- Tech 7B: Details as asked in 7A above (only top 5 projects executed during 7 years prior to last 3 years)
- Tech 8: Technical Solution (Methodology and Work plan)

- The Technical Proposal document should be neatly page numbered and shall have the section separators with proper Heading/Title of the Section. Each page of the Technical Proposal shall be seal stamped and signed by the Authorized Signatory. Quality of the Technical Proposal document shall also be considered during technical evaluation and has been assigned separate marks. Evaluation will cover the quality of proposal and clarity in presenting the proposal before the Evaluation Committee.
- The Technical Proposal should be submitted in **5 copies (1 Original + 4 Copies)**
- The Original Proposal should be clearly marked “ORIGINAL” and the copies should be clearly marked “COPY”
- The Earnest Money Deposit (EMD) and processing fee (**non-refundable**) should be kept with the “ORIGINAL” technical proposal.
- The Technical Proposal documents shall be enclosed in a sealed envelope super scribed with “**TECHNICAL PROPOSAL**” on the top of the envelope

❖ **Submission of Financial Proposal**

- The Financial Proposal must be submitted as per the specified format **Fin-I**. Financial Proposal not submitted in the specified format, shall be summarily rejected.
- The Financial Proposal shall be valid for a period of at least 180 days from the date of actual opening of the technical Proposal.
- Each page of the Financial Proposal shall be seal stamped and signed by the Authorized Signatory.
- Submitted Forms with illegible, overwritten, erased, illegible rate or rates not shown in both figures and words shall be rejected. Financial Proposals with Clerical and/ or arithmetic errors shall be summarily rejected. In case of mismatch between the quoted value in Figures and Words, the value quoted in words shall be considered. Decision of the evaluating authority of the Project shall be final and binding.

❖ **General**

- Incomplete, illegible and unsealed proposals shall be summarily rejected. Telegraphic proposals shall not be accepted and no communication shall be entertained in this regard.
- **Chief Project Director, Uttarakhand Forest Resource Management Project** reserves the right to accept/ reject any/ all proposal(s) without showing any reason.

7. Eligibility Criteria

Bidders are to meet the following eligibility criteria for evaluation of their bids. Proposals from bidders unable to meet the eligibility criteria shall not be considered.

1. Bidders are to submit organization's registration/ incorporation document.
2. Bidder to submit RFP processing fee (**non-refundable**) of INR 25,000/- (twenty-five thousand only) in shape of Demand Draft drawn in favour of, **Uttarakhand Forest Resource Management Society, payable at Dehradun, Uttarakhand**, from any scheduled commercial bank. Proposals submitted without processing fee will be summarily rejected.
3. Bidder to submit EMD for Rs.2,00,000/- (two-lakh only) in shape of Demand Draft drawn in favour of **Uttarakhand Forest Resource Management Society, payable at Dehradun**,

Uttarakhand, from any scheduled commercial bank. Proposals submitted without EMD will be summarily rejected.

4. The bidder should have proven experience of capacity building at the community level, especially of community-based organisations for not less than 10 years as on date of submission of the Proposal, including with at least one government agency. Copies of work orders for projects/agreements along with completion certificates or any other reasonable document, as supporting documents, to back their claims, to be submitted.
5. Bidder should must exhibit sufficient experience of executing projects related to capacity building in last 3 years, and at least one project should be involving some government agency. Preference would be given to those agencies, having prior experience of capacity building of Van Panchayats. Preference would also be given to those who have more experience of working in government sector and to those agencies who have experience of working in Uttarakhand.
6. Bidder should have minimum average annual turnover of INR 1.0 crore (one crore) during the last 3 financial years from capacity building related projects only. Copies of audited balance sheet along with auditor certified turnover certificate for financial years 2013-14, 2014-15, 2015-16, to be submitted as supporting. Information must corroborate with that provided in Tech (7A & 7B).
7. Bidder should have Net worth of at least INR 25 Lakh (twenty five lakhs) as on 31-Mar-2016. Auditor certificate on Net worth as on 31-Mar-2016 in original to be submitted as supporting.
8. Bidder to also submit a copy of the following:
 1. Certification of registration/incorporation as required under relevant laws.
 2. IT return for FY: 2013-14, 2014-15 and 2015-16;
 3. GST registration certificate, if required under the Act.
9. The Bidder should not be under a declaration of ineligibility for corrupt and fraudulent practices nor should have been blacklisted by any Government or Government undertaking organizations at the time of submission of the bid. To that effect, bidder to submit a self-declaration certificate, signed by the authorized signatory.

10. We are strictly looking for a partner agencies working in the sector, “**Capacity Building of community based institutions**” only; other agencies need not apply. Proposals from such agencies not working in this sector will be summarily rejected.

8. Opening of Bid

The Technical Proposal document shall be opened on the scheduled date and time as specified in the RFP document/ subsequent notifications, if any. The Technical Proposal shall be first scrutinized to verify the eligibility of the Bidder as per the Eligibility Criteria. Only those Technical Proposals, completely satisfying the Eligibility Criteria shall be declared as responsive proposal and shall be considered for technical evaluation by the Evaluation Committee.

9. Evaluation of Selection Methodology

Quality and Cost Based Selection methodology shall be adopted for selection of the successful bidder. The process shall assign weightages to both Technical Proposal as well as Financial Proposal in the following manner:

- Technical Proposal: 70%
- Financial Proposal: 30%

The proposal shall be evaluated in a 2-stage process.

Stage-1: Technical Proposal Evaluation

Evaluation of the Technical Proposal shall be strictly based on the past experience and technical expertise of the bidder in execution of assignments related to Livelihood Development and promotion of IGAs, involving the local community, and capacity building experience over last 10 years. The evaluation shall be carried out as per the Technical evaluation criteria specified below.

Technical Evaluation Criteria

Sl. No	Description	Max. Marks
1	Past experience of the Bidder in execution of projects related to capacity building. Weightage would be given to experience of capacity building of Van Panchayats (top 5 projects in previous 3 years)	10
2	Past experience of the Bidder in execution of projects related to capacity building. Weightage would be given to experience of capacity building of Van Panchayats (top 5 projects in 7 years prior to last 3 years)	10
5	Past experience in execution of similar projects in different states in last 3 years. Weightage would be accorded to agencies having experience of working in different projects/situations.	10
6	Strength of Organization to cater to the project objectives including experience of key resource persons;	10
7	Competence and suitability of proposed team members for the assignment: CBSA Coordinator (1) – 10 marks <ul style="list-style-type: none"> ▪ General Qualification- 3 ▪ Relevant experience- 7 Training organizer (1) – 5 marks <ul style="list-style-type: none"> ▪ General qualification – 2 ▪ Relevant experience – 3 Resource Persons (5) – 5 marks each <ul style="list-style-type: none"> ▪ General qualification - 2 ▪ Relevant experience – 3 	40
8	<u>Work Plan:</u> Approach, Methodology & Work Plan to fulfill objectives of the assignment as indicated in the RFP document	10
9	Overall Quality of Proposal Document and Presentation by the Agency	10
10	Total Marks	100

Note- The applicant shall be required to make a detailed presentation before the PMU in which they shall highlight their past experience, proposed work plan and approach, qualifications and experience of proposed team members. The date and venue for the presentation would be intimated by the PMU to the applicant firms through e-mail.

Bidder scoring minimum **60 marks out of 100** in the Technical evaluation process shall be declared as the Technically Qualified bidder. The Financial bids shall be opened only for the Technically Qualified bidders. The marks secured by the Technically Qualified bidder shall be considered as the **Technical Score (TS)**.

Stage-2: Financial Proposal Evaluation

Financial proposal of the Technically Qualified Bidders only shall be considered for evaluation. The technically qualified bidders shall be intimated the *venue, date and time* of opening of Financial Proposals through publication of notice on the website as well as through the email address provided by them for communication. Financial Proposals shall be opened in presence of the Bidders who may choose to be present during opening of the Financial Proposal.

The Financial Proposals shall also be scrutinized for their adherence to the specified format, company seal and signature of the authorized signatory. The Financial Proposals which are found to be incorrect and/or not bearing the seal of the Company/Firm or not in specified format shall be summarily rejected. Only those Financial Proposals found to be valid after scrutiny, shall be considered for further evaluation.

Financial Proposals should be as per solution/methodologies proposed in the Technical Proposal. Financial Proposals, which are found to be incoherent with the Technical Proposal will be summarily rejected

The Financial Proposal with the lowest financial quote shall be awarded 100 marks. The marks obtained by the bidders in the financial proposal evaluation shall be considered as Financial Score (Fs). The Financial Score (Fs) of the other Technically Qualified Financial Proposals shall be computed as per the following formula

$$Fs = 100 \times (Fmin / Fb)$$

Where,

Fs = Financial Score for the Financial Proposal under consideration

Fmin = minimum price quoted by any bidder in their Financial Proposals

Fb = price quoted by the bidder under consideration in his Financial Proposal

Quality and Cost Based Selection (Technical and Financial)

The Technical Score (Ts) and the Financial Score (Fs) secured by each bidder in their Financial Proposal shall be subjected to the Technical Weightage $W_t = 0.70$ (the weight given to the technical proposal); $W_f = 0.30$ (the weight given to the financial proposal). The combined technical and financial score (S) for the bidder shall be computed as per the following formula.

$$S = (T_s \times 0.7) + (F_s \times 0.3)$$

Proposal of the bidder securing the highest combined score (S) shall be declared as the successful bidder and shall be considered for award of the contract.

The unsuccessful bidders shall be duly intimated and their EMD will be returned after a period of one month from the date of issue of work order to the successful bidder.

10. Terms of Payment

Terms of payment will be settled with the successful bidder before commissioning of the assignment/work, at the time of signing of the contract and after contract negotiations, if so required.

11. Cancellation of Order

If the selected Bidder fails to deliver the services in terms of quality and time, **Chief Project Director, Uttarakhand Forest Resource Management Project** reserves the right to cancel the contract and shall take appropriate steps against the defaulting bidder as deemed fit by law.

12. Force Majeure

Notwithstanding the above provisions, the selected bidder shall not be liable for penalty or cancellation of order for default if and to the extent that its delay in performance or other failure to perform its obligations under the contract is the result of an event of Force Majeure. For the purpose of this clause, "Force Majeure" means an event beyond the control of the Bidder and not involving the Bidder's fault or negligence and not foreseeable. Such events may include but not restricted to, wars or revolutions, epidemics and natural calamity. In case a Force Majeure situation arises, the Bidder shall promptly notify the Project in writing of such condition and the cause thereof. Unless otherwise directed by the Project, the bidder shall continue to perform its

obligations under the contract as far as is reasonably practical, and shall seek all reasonable alternatives of performance not prevented by Force Majeure.

13. Disputes & Arbitrations

All disputes arising out of the contract shall be amicably settled by both parties. In the unfortunate event of any dispute or differences, breach and violation relating to the terms of this agreement, the said dispute or difference shall be referred to the sole arbitration of the Arbitrator appointed by Chief Project Director, UFRMP. The award of the arbitrator shall be final and binding on both the parties. The adjudication of arbitrator shall be governed by the provision of the Arbitration and Conciliation Act, 1996, or any statutory modification or re-enactment thereof or any rules made thereof. All legal disputes are subject to the jurisdiction of courts in Uttarakhand only.

Tech I:

Covering Letter

(To be submitted on Organisation's Letterhead only)

Date: _____

To

Chief Project Director

**Uttarakhand Forest Resource Management Project 24, IT Park, Sahasradhara Road,
Dehradun Pin:248001**

Sub: RFP for Selection of Capacity Building Support Agency (CBSA) for capacity building of Van Panchayats in Uttarakhand Forest Resource Management Project.

Ref: Your RFP no _____ dated _____

Dear Sir,

Having examined the Request for Proposal (RFP), the receipt of which is hereby duly acknowledged, we are pleased to submit our bid along with all supporting documents, requisite RFP processing fee, and EMD, for your evaluation.

We confirm that the information contained in this response or any part thereof, including its exhibits and other supporting documents & instruments delivered or to be delivered to the office of Chief Project Director, Uttarakhand Forest Resource Management Project is true, accurate, verifiable and complete. This response includes all the information necessary to ensure that the statements therein do not in whole or in part mislead the Project in its shortlisting process.

We fully understand and agree to comply that on verification, if any of the information provided here is found to be misleading this shortlisting process, we are liable to be dismissed from the selection process or termination of the contract during the execution phase of the assignment, if awarded. We agree to unconditional acceptance of all the terms & conditions set out in the RFP document.

We further unconditionally accept all the Terms & Conditions mentioned in the above referenced RFP document. Deviations if any, from the Terms & Conditions mentioned in the above referenced RFP document, shall make our bid liable to be summarily rejected without any reference to us.

Contacts Information

Name of the contact person	
Designation	
Name of Agency	
Address of Agency	
Web-site	
Phone	
Mobile	
Fax	
E-mail	

It is hereby confirmed that I/We am/are entitled to act on behalf of the organization and am/are authorized to sign this document as well as such other documents, which may be required in this connection.

Dated this day of _____ Month, 2017

(Signature) in the capacity of

Name & address of the firm with seal stamp of the bidder

Witness signature

Witness name

Tech – 2

Letter of Authorisation

(to be submitted on Organisation's letter head)

Date: _____

To

**Chief Project Director,
Uttarakhand Forest Resource Management Project 24, IT Park, Sahasradhara Road,
Dehradun Pin:248001**

Sub: RFP for Selection of Capacity Building Support Agency (CBSA) for capacity building of Van Panchayats in Uttarakhand Forest Resource Management Project.

Ref: Your RFP no _____ dated _____

Dear Sir,

With reference to your RFP Notice No. _____ dated _____, we hereby authorize Mr/Ms **<name>**, **<designation>** of our organization whose signature is attested below, as our authorized representative to sign the bid documents including all documents in support of our bid on our behalf.

We hereby agree to ratify the acts, deeds and things lawfully done by our aforesaid representative shall and shall always be deemed to have been done by us and accordingly binding on us.

(Signature of Authorised Representative)

Yours Sincerely,

(Signature)

Name:

(Designation/ Head of the Organisation)

Tech 3:
Organisation Details (to be submitted on letter head)

Name of the organization	
Year of Establishment	
Address of Registered office	
Location of works (address)	
Telephone numbers	
Fax numbers	
Email address	
Web Site address	
Name of Head of Organisation	
Designation of Head of Organisation	
Head of Organisation's Mobile no.	
Head of Organisation's Email	
Name of the Contact Person	
Contact Person's designation	
Contact Person's Mobile no.	
Contact Person's Email	

Tech 4
Turnover & Net Worth statement
(to be submitted on letter head)

Sl.	Financial Year	Turnover from assignments related to "capacity building" (in INR Lakhs)	Total Net Worth (in INR lakhs)
1.	2013-2014		
2.	2014-2015		
3.	2015-2016		

- Note:*
1. Auditor certified Turnover and net-worth Certificate in original to be attached
 2. Copy of the Balance sheet and P/L statement to be attached

Tech 5

(Strength of organisation to cater to the objectives of the Assignment including details of facilities with the agency including experience related to capacity building of community-based organisations)

Details of experiences, human resources and skill sets, infrastructure available with the organization pertinent to the assignment in 500 words.

Tech 6A

Details of Key Resource Persons with the Organisation
(Permanent Human Resource with Organisation)

S. no.	Position	Name	Qualification	Experience (Years)
1				
2				
3				
4				
5				

NB: CVs of Key-resource persons to be attached as per format provided below

Tech 6B

Details of Proposed Personnel

S.no.	Position	Name	Employment status with organisation (permanent, full time, part-time or assignment basis)	Qualification	Experience (Years)
1	CBSA Coordinator				
2	Training Organizer				
3	Resource Person (1) Account				
4	Resource Person (2) General				
5	Resource Person (3) General				
6	Resource Person (4) General				

7	Resource Person (5) General				
---	--------------------------------	--	--	--	--

Note:

- 1. CVs must be attached in the format attached*
- 2. The resource persons proposed must be from relevant disciplines based on the capacity building needs as specified in "Section 4 Methodology – Deliverables" on page number 31 of this document.*

FORMAT FOR CV

1. NAME:
2. DATE OF BIRTH:
3. NATIONALITY:
4. MARITAL STATUS:
5. ADDRESS:
6. PHONE AND E-MAIL:

7. EDUCATION:

Institution	Qualification

8. MEMBERSHIP OF PROFESSIONAL ASSOCIATIONS:

9. COUNTRIES OF WORK EXPERIENCE:

10. LANGUAGE PROFICIENCY:

Language	Read	Write	Speak

11. EMPLOYMENT RECORD

Duration	Position	Organisation	Brief work profile

12. RELEVANT WORK EXPERIENCE

13. PUBLICATIONS

14. CERTIFICATION

I, the undersigned, certify to the best of my knowledge and belief that this CV correctly describes myself, my qualification and my experience.

I understand that any willful misstatement described herein may lead to disqualification or dismissal, if engaged.

Name and Signature

Date

Tech 7 A

Past experience of the Organisation in execution of assignments for capacity building

{Important projects; 5 projects executed in last 3 years}

Sl.	Work order/ Agreement/any other proof no. and date	Name of Client Organisation	Name of the Project	Value of Work (in Rs.)	Reference of supporting work order

NB: Copies of work order/ agreement/or any other reasonable proof indicating scope of work and value for each of the above- mentioned projects to be enclosed as attachments with attachment reference no indicated in the above form

Minimum three projects in three different states/situations in last 3 years should be included.

Tech 7 B

Past experience of the Organisation in execution of Assignments for capacity building

{Important projects; 5 projects executed during 7 years, prior to last 3 years}.

Sl.	Work order/ Agreement/any other proof no. and date	Name of Client Organisation	Name of the Project	Value of Work (in Rs.)	Reference of supporting work order

NB: Copies of work order/ agreement/or any other reasonable proof indicating scope of work and value for each of the above- mentioned projects to be enclosed as attachments with attachment reference no indicated in the above form

Tech 8:
Technical Solution (Methodology and Work plan)

Approach, Methodology & Work Plan to fulfill objectives of the assignment as indicated in the RFP document (*to be submitted on company letter head*)

FIN 1:

Financial Proposal (to be submitted on letter head)

Date: _____

To

**Chief Project Director,
Uttarakhand Forest Resource Management Project 24, IT Park, Sahasradhara Road,
Dehradun Pin: 248001**

Sub: RFP for Selection of *Capacity Building Support Agency (CBSA)* for capacity building of Van Panchayats in Uttarakhand Forest Resource Management Project.

Ref: Your RFP no _____ dated _____

Dear Sir,

We the undersigned, offer to provide the services to UFRMP for capacity building of Van Panchayats with requisite manpower support in accordance with your RFP number _____ dated _____.

Our Financial Proposal is for Rs _____ (in words Rs _____), the break-up of which is provided in Fin-1-1, 1-2 and 1-3. The Financial Proposal shall be binding upon us subject to the modifications, if any, as a result of contract negotiations, up to expiration of the validity period as mentioned in the RFP. It is also certified that the financial proposal is as per the methodologies suggested in the technical proposal.

We understand that 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 Organisation:

In the capacity of _____

Address _____

Table FIN 1-1 for Showing Fixed Cost Calculations for Financial Bid for Various Items							
S. No.	Item Description	Cost Per unit per month (in Rs.)	Total Units	Total Man-Months	Unit Cost	Total Cost (in Rs.)	Comments
1	2	3	4	5	6	7 (5x6)	8
1	Human Resource						
A	CBSA Coordinator	Honorarium: Communication: Local Travel: D.A: Total:	1	4 (4 man months in a year).			
B	Training Organizer	Honorarium: Communication: Local Travel: D.A: Total:	1	4 (4 man months in a year)			
C	Resource Person (Accounts)	Honorarium: Communication: Local Travel: D.A: Total:	1	8 (8 man months in a year)			
D	Resource Persons (for other disciplines)	Honorarium: Communication: Local Travel: D.A: Total:	2	16 (16 man months in a year)			
2	Total of 1						
Project Management Costs							
3	Administrative Cost (Stationery and Printing, 01 Data Entry Operator)		NA	(No. of months to be mentioned here)	NA	(Column 3x5)	No other costs will be admissible
4	Total 2+3 (Total Fixed cost)						

Note:

1. On an average 15 days of training are expected to be conducted in a month.
2. Cost of venue and other logistic expenses for the trainees will be borne by the Project. One desktop and two laptop computers and portable mini LCD projectors will be provided by the Project to the team for carrying out training related activities.
3. Study/Training material has to be developed by the resource persons. Proprietary rights of the Study/Training material will exclusively vest with the Project. Cost of printing for the training material will be borne by the Project.
4. Although in the Technical Proposal, CVs of 5 Resource Persons have been asked for, cost calculations must be based on the cost of 3 resource persons only who would eventually be engaged for imparting trainings on subjects specified in "Section 4 Methodology – Deliverables" on page number 31 of this document.
5. The number of Resource Persons (3) mentioned in Table FIN 1-1 is only an indicative number for the purpose of cost estimations. The actual number of Resource Persons would depend upon the nature and topics of the trainings identified on the basis of TNA.
6. You may use excel sheet for the above table for cost calculations
7. An estimation of the costs of variable/reimbursable expenses such as communication, local travel, daily allowance (DA) etc is to be given. It must be noted that the reimbursement would be as per actual expenses incurred.
8. Above chart for cost calculations is to be used as a standard, meaning thereby that calculations have to be done using the same format.

Section 5. Terms of Reference

TERMS OF REFERENCE FOR SELECTION OF CAPACITY BUILDING SUPPORT AGENCIES UNDER UFRMP

1. BACKGROUND:

The Uttarakhand Forest Resource Management Project (UFRMP) aims to promote eco-restoration of degraded forests for sustainable forest management in the state with a larger goal of supporting rural livelihoods. Two main components of the project are restoration of degraded forests and community development through community empowerment, Income Generation Activities (IGA) and Livelihoods Improvement.

Capacity Building is one of the key components of the project. The project needs to adopt a twin strategy of in-house training and training through external resource agencies, both inside and outside the state to train project staff and Van Panchayats (VPs) and Self Help Group (SHG) members. UFRMP wishes to institute a training program that is defined, designed, and delivered to achieve measurable results.

VP is the primary unit of implementation and the building block of the project. Effective during-project and post-project management of VPs' affairs, accounts and assets, is incumbent upon the capability of VP members. VP members require capacity enhancement support through organized and well-structured capacity building programs to efficiently deliver these responsibilities. Towards this, the project has made provisions for different capacity building programs, viz., training of VPs, empowerment of VP members, village level meetings etc.

Considering the requirement and capacities of the VP's presently engaged with the project under Batch 1 it is imperative that there is a well-coordinated capacity building (CB)/ empowerment programs of VP members. In view of the project consolidation and sustainability, CB programs of VPs and other stakeholders become highly imperative to strengthen and sustain the investments under the project.

Towards Capacity Building of VPs, UFRMP proposes to go beyond mere physical achievement of ensuring 100% training coverage. In this context, UFRMP is planning to engage credible institutions from govt/private/NGO sector (to be called as Capacity Building Support Agencies or CBSA). The agencies will have proven capacities and will be interested in getting involved in the delivery of effective and innovative capacity building/training programs in the project area. Under the overall and supervision of the project institutions such as Project Management Unit (PMU) and Project Management Consultancy (PMC), these agencies will be engaged in planning of capacity building/training programs, developing area specific capacity building/training materials, delivering capacity building/training programs, and handling issues concerning institutional capacity development.

2. OBJECTIVES

1. To equip VPs with knowledge/skill in technical, institutional and financial aspects for consolidating and sustaining VP as an empowered village institution for sustainable conservation and management of forest resources.
2. To develop a cadre of trainers/local resource institutions at division/range level on participatory and sustainable forest resource management.

3. To develop coordination and monitoring mechanism within PMU, DMU and FMU level for ensuring and facilitating desired delivery of accountable services by CBSA

3. FLOW OF ACTIVITIES

The following Table illustrates the flow of activities of CB (outsourcing) for VPs promoted in UFRMP areas based on the above approaches:

STEPS	ACTIVITIES	RESPONSIBILITY	TIME LINE
Step-1	Advertisement of Expression of Interest (EoI), Screening & Selection of CBSA	PMU	Month 1 & 2
Step-2	Signing of Agreement	DMU	Month 2
Step- 3	Team Deployment and Orientation of CBSA	DMU & CBSA	Month 3
Step -4	Submission of Training strategy, calendar and Inception Report	CBSA	Month 3
Step-5	DMU-level Consultations to finalize training calendar	CBSA	Month 3 & 4
	PMU level consultation to finalize strategy and training modules	CBSA	Month 4
Step-6	Development of Course Materials	CBSA	Month 4
Step-7	Organizing & Conducting Training Submission of Monthly Reports	CBSA	Month 4 onwards
Step-8	Facilitation and Monitoring of training programs (monthly review meetings at DMU & PMU and field monitoring and facilitation)	CBSA	

4. METHODOLOGY

UFRMP envisages that capacity building programs need to be project intervention focused and intensive, and facilitated by a specific team of committed trainers/facilitators to maintain quality.

The following methodology will be used for capacity building of VPs/SHGs in the Project.

- **Empanelment of CBSA:** Based upon the Expression of Interests (EoI) in response to advertisement by UFRMP, a Committee constituted by Chief Project Director, will empanel Institutions and recommend two names, one each for Kumaon and Garhwal regions. Based upon the financial bid, the Committee will also decide the financial terms and conditions for the engagement. Selection Committee will also finalize the Terms of Reference template for engagement of two CBSA, one each for Kumaon and Garhwal regions.
- **Selection of CBSA and Signing of Agreement:** PMU will identify CBSA, as per the technical and institutional strength of the institution and local suitability and execute an agreement with it following fine-tuning of the Terms of Reference as per the local conditions.

- **Team Deployment and Orientation:** The CBSA will engage a team as per the Terms of Reference and place the list for endorsement by PMU. Orientation of the team will be organized by CBSA in consultation with DMU. Representatives from DMU including FNGO Field Experts and PMC representative will be present in the orientation.
- **Development of Training Plan:** Through a series of steps including development and sharing of Training strategy, calendar and Inception Report, DMU-level Consultations to finalize training calendar and PMU level consultation to finalize strategy and training modules, CBSA will finalize the Capacity Building Plan of each DMU for 1 year.
 - **Contents of Inception Report**
 - Status of CB of VPs : List of VPs and training programs/exposure visits completed with date and contents
 - Status of Trainings Needs of VP Members : As per rapid appraisal based upon the requirement for VP consolidation and sustainability
 - Training Strategy and Indicative modules
 - Detailed annual work plan, outlining activities, time line (preferably weekly for first quarter), Training Calendar and deliverables.
- **Development of Course Materials:** Course materials will be prepared in local language and should bear ample application of audio visual tools, group tasks, role plays etc. Every module will be subject to further improvement by learning from previously organized events and feedback from the participants. CBSA has to develop relevant IEC (Information, Education and Communication) materials and provide it to the Project for multiplication in advance.
- **Execution of CB Program:** Each capacity building event will be organized with an effective module corresponding to the existing capacity of the community members and respect regional/local seasonality. CBSA has to develop and submit a Training Report for each of the training imparted. The report should contain training module, follow up plan, list of participants and resource persons with certification of the same by Marketing Specialist (FNGO), DFO/DCF level respectively. These reports will have to be submitted to DMU with copy marked to Project Director of respective regions and PMU, along with photographs of training as annexure to monthly reports. These reports should describe the activities carried out during the reporting period, out-puts as well as processes followed by the CBSA. The suggested structure of the reports will be
 - Executive Summary
 - Background
 - Objectives
 - Employed methodology
 - Findings
 - Constraints and Challenges

- Lessons Learned
- Way forward

Three number of human interest stories maximum of three pages (illustrating perspective of an implementing partner/member of VPs/SHGs or implementer) will be annexed to the reports.

- **Handholding Support:** This will be among major strategies of capacity building in the Project. Resource agencies will constantly give handholding support to VPs/SHGs for organizing training and Capacity Building to improve the effectiveness of programs at community level.
- **Facilitation, Monitoring and Review:** CBSA will submit monthly progress report to DMU with copy to PMU. Their activities and outputs will be monitored against the plan. As part of the monthly and quarterly report, CBSA will also submit plans for next month and quarter. Monthly review of their progress will be carried out at DMU and PMU. All training programs will be monitored by UFRMP (DMU and PMU) with the assistance of PMC. PMU and DMU will provision suitable institutional arrangement at PMU/DMU/FMU for facilitation, coordination and monitoring of CBSA activities in the field. PMU will set up two committees (one each for Kumaon and Garhwal) under Chairpersonship of respective Project Directors to review the content of the modules developed, approve quarterly training calendar, and approve quarterly work undertaken by CBSA.

DELIVERABLES:

Capacity building of VP/SHG members and facilitating staffs at VP/SHG level will be a major focus area of the CBSA. A suggestive list of training programs that are expected to be carried out are given in the table below. However, based upon the field requirement and training need assessment, CBSA will plan and take up trainings in consultation with PMU, wherein, more training programs would be finalized.

	Technical	Institutional
Consolidation	<p><i>Compulsory (2)</i></p> <ol style="list-style-type: none"> 1. Capacity building of VPs for preparation/ review of microplans and annual plans, planning of EPA/ incentives to best performing VPs and revision, map interpretation, use of GPS etc. 2. Business Development Services for Livelihood Promotion in VPs <p><i>Optional (1)</i></p> <ol style="list-style-type: none"> 3. Soil and Moisture Conservation 	<p><i>Compulsory (2)</i></p> <ol style="list-style-type: none"> 1. How to prepare minute and draft VP resolutions, orientation on existing NTFP related regulations, Provisions under VP/SHG management manual of UFRMP, conducting meetings of EC and GB of VPs 2. VP financial management, accounting procedures, audits, transparency, MIS, reporting <p><i>Optional (1)</i></p> <ol style="list-style-type: none"> 3. Legal/institutional provision under VP rules, and Biodiversity act etc. 4. VP Institutionalization, leadership, conflicts resolution
Sustainability (Selected better performing VP - 25%)	<p><i>Compulsory (2)</i></p> <ol style="list-style-type: none"> 1. ANR/ silvicultural operations (viz. thinning, cleaning etc.), working plan prescriptions for the area, exposure on biodiversity issues 	<p><i>Compulsory (2)</i></p> <ol style="list-style-type: none"> 1. Management of VP Revolving Fund : Collection of membership and user fees, repayment on revolving fund, user fee on forest products, income

	<p>2. Microenterprise management; Livelihoods analysis, planning, market and Value Chain analysis, collective marketing, clusters, scaling up and going up in value chain</p> <p><i>Optional (1)</i></p> <p>3. Preparation of People's/ Community Biodiversity Register</p> <p>4. Innovative development concepts</p> <p>5. Model VP development – Technical aspects</p>	<p>generation of VPs</p> <p>2. Institutional Interface and Convergence: Interaction and interface with other VLI, PRI; Convergence with line department, PRI; potential schemes and provisions;</p> <p><i>Optional (1)</i></p> <p>3. VP as forest management/governance institutions; Participatory Monitoring and review of VP/SHG level activities such as EPA,IGA, and SHG loan</p> <p>4. Institutional strengthening, leadership, democratization, conflict resolution</p> <p>5. Model VP development – Institutional aspects</p>
--	--	---

5. EXPECTED OUTCOME

Through engagements of CB Support Agencies, UFRMP expects to strengthen the ability of VPs/SHGs to achieve a desired and durable outcome. Expected outcome of the engagements of CB Support Agencies are

- (a) A positive change in the external relationships, internal structure, leadership, and internal management systems of VPs/SHGs
- (b) Enhanced understanding, skills and access to information and knowledge base of members of VPs/SHGs enhanced and enable them to perform effectively.
- (c) Structures, processes and procedures of VPs/SHGs are strengthened

6. INSTITUTIONAL ARRANGEMENT:

The entire capacity building for VP/SHG members will be led by the Capacity Building Support Agency (CBSA) in the guidance of PMU/PMC.

- **Nodal Person:** On behalf of the PMU, Project Director (for Kumaon and Garhwal) will be respective nodal person for training to the VP/SHGs. All strategic decision-making will be done at this level. CBSA(s) will develop the capacity building solutions based on the field assessment.
- **CBSA coordinator (for each region)** will design, implement, coordinate and report capacity building events for VPs/SHGs at PMU level. He will be responsible for physical completion and quality control.
- **Training Organizers:** Specialist training organizer, will be responsible for all logistic arrangement for capacity building programs.
- **Resource Persons** proposed by CBSA will be empaneled by CBSA and their services will be utilized for different training on payment of approved honorarium, as proposed by CBSA as part of financial proposal. For other specified trainings CBSA can outsource trainers from other institutions/departments with expertise on the subject, subject to prior approval by the PMU.

- **Qualifications & Experience of Resource Persons:** It is expected that the Resource Persons proposed by the agency will have 10-15 years of experience in their domain areas. It is desirable that the proposed Resource Persons have prior experience in training of community institutions and institutional members.
- **Venue:** Suitable local venue would be identified for training programs by Project and costs will be borne by the Project/PMU.
- **TNA:** (Rapid) Training Needs Assessment will be undertaken periodically (half yearly).

7. TEAMS MOBILIZATION, PLACEMENT AND PROJECT FAMILIARIZATION:

The CBSA will mobilize appropriately qualified and experienced personnel for the agreed upon positions at different project levels and place them following approval of the project.

Positions	Responsibility	Key Competencies
CBSA Coordinator (CC) 1	<ul style="list-style-type: none"> • Support the team in creating an enabling environment that is conducive to implement Capacity Building approaches at community level • Support the organization of CB activities • Undertake rapid training needs assessment to identify strengths and weaknesses • Facilitate the development of appropriate training materials and tools • Responsible for mobilization of quality resource persons to conduct the training and other CB events. • Work closely with Forest Department staff and CB Support Agencies to roll-out capacity building activities • Support DMU level follow-up activities after trainings to assess how training was used, what worked and challenges faced e.g. through district level action planning review workshops • Undertake periodic assessment of the training approach and individual events in terms of what is working and what needs to be improved • Support the preparation of training and periodic reports as per the obligation of the contract in terms of the capacity building component 	<ul style="list-style-type: none"> • Postgraduate degree or higher qualifications • At least 5 years of experience working on development issues. Having experience on or exposure to forestry/livelihoods would be an added advantage. • Strong written and communication skills • Understanding of the administrative systems of government and ability to operate within these; • Ability to coordinate with other members in the team and consultants • Good organization skills; • Ability to work independently, seeking guidance on complex issues • Fluency in English and Hindi. Able to travel extensively
Training Organiser 1	Overall implementation of CB activities at VP/SHG	Graduate with 2-5 years experience as a trainer.
Resource Persons for Capacity building Team of CBSA	Carrying out capacity building of SHG, VP members and project staff as per finalized training modules within stipulated time line	<ul style="list-style-type: none"> • Experience in conducting trainings on Institution building, community empowerment and livelihood improvement. • One of the Resource Persons must have experience in conducting capacity building programmes related to management of accounts such as book keeping, day-to-day

		financial management and accounting of community based organisations. She/he must have at least 5 years experience of training/capacity building, preferably with government agencies/local bodies.
--	--	---

8. ROLES AND RESPONSIBILITIES OF VARIOUS STAKEHOLDERS INVOLVED:

#	Stakeholders	Roles / Responsibilities
1	PMU	<ul style="list-style-type: none"> ○ To build consensus on Outsourcing, ○ Facilitating Policy related matters as and when required; ○ Review of Training Modules, Quarterly Plans and Reviews; ○ Quality Check through Quarterly Review and Monitoring Visits; ○ Suggesting areas of improvement and mid-course correction
2	PMC	<ul style="list-style-type: none"> ○ Orientation of CBSA to the UFRMP Strategies and Interventions and expectation of the Project; ○ Review of Training Needs Assessment and Training Content/Modules developed by CBSA ○ To provide Technical Assistance from time to time; ○ Coordinate between PMU and CBSA ○ Participate in Monitoring through Quarterly Reviews ○ Effecting mid-course correction, if any, based on monitoring report(s).
3	FMU	<ul style="list-style-type: none"> ○ Ensuring participation of VP members in the training programs; ○ Reviewing the training report and forwarding it to DMU with comments.
4	Capacity Building Support Agency(CBSA) /Resource Person	<ul style="list-style-type: none"> ○ Signing the Agreement with Competent Authority, ○ Assigning resource persons/training team to work with DMU and FMU; ○ Submission of Inception Report ○ Getting oriented to the project strategies and intervention and understanding project's expectations; ○ Developing Training calendar along with DMU/FMU representatives, ○ Developing Course Materials ○ Organizing and Facilitating Training program; ○ Periodical Report preparation and submission to DMU/PMU; ○ Incorporating mid-course corrections; and ○ Raising Invoice and Settlement of Accounts

5	VP/FNGO	<ul style="list-style-type: none">○ Deputing Members for training and○ Sharing the learning with other VP members
---	---------	--

9. DURATION

The duration of the contract will be initially for a period of one year from the date of signing of the contract. The CBSA will be paid, upon presentation of invoices and contingent upon timely submission of agreed deliverables. Actual travel expenses for all pre-approved travel will be reimbursed upon submission of receipts.