



**STATE URBAN LIVELIHOOD MISSION (SULM)
(STATE URBAN DEVELOPMENT AGENCY (SUDA)),
UTTAR PRADESH**

**REQUEST FOR PROPOSAL (RFP)
For
EMPANELMENT OF RESOURCE ORGANISATIONS UNDER
NATIONAL URBAN LIVELIHOOD MISSION (NULM)**

RFP No. :1538/241/NULM/Teen/2001/(SM&ID)

| | |
|---------------------------------|---------------------|
| Date of Release of RFP : | 02-08-2014 |
| Last date of Submission of RFP: | 25-08-2014, 4:00 PM |

State Urban Livelihood Mission (SULM), Uttar Pradesh
Nav Chetna Kendra, 10 Ashok Marg, Lucknow – 226 001
Phone: 0522-2286709 Fax- 0522-2286711
Website: <http://www.sudaup.org>

BIDDERS DATA SHEET

| State Urban Livelihood Mission (SULM), Uttar Pradesh (State Urban Development Agency (Suda)) Nav Chetna Kendra, 10 Ashok Marg, Lucknow – 226 001 Phone: 0522-2286709 Fax- 0522-2286711 Website: http://www.sudaup.org | | |
|--|---|--|
| Inviting Request for Proposals (RFP) for Empanelment of Resource Organisations under NULM | | |
| RFP No. 1538/241/NULM/Teen/2001/(SM&ID) | | Date: 01-08-2014 |
| | Particular | Details |
| 1 | Name of the Client inviting RFP | Mission Director, State Urban Livelihood Mission (SULM), Uttar Pradesh |
| 2 | Name of the Assignment | Empanelment of Resource Organisations under NULM |
| 3 | Date of Issue of RFP | 02.08.2014 |
| 4 | Last date and time for receipt of RFP | 25.08.2014 up to 4:00 PM |
| 5 | Availability of RFP Document: | 02.08.2014 (downloadable from website: www.sudaup.org) |
| 6 | Proposals submit fee | Interested bidders may submit their proposals along with a non-refundable Demand Draft of Rs.5,000/- (Rupees Five thousand only) drawn in favor of Mission Director, State Urban Livelihood Mission, Uttar Pradesh payable at Lucknow, towards the cost of RFP Document. No liability will be accepted for downloading the incomplete document. |
| 7 | Earnest Money Deposit (EMD) | Rs 50000/-(Rupees Fifty Thousand only) in shape of refundable Demand Draft from any of the Nationalized Bank in favor of "Mission Director, State Urban Livelihood Mission, Uttar Pradesh" payable at Lucknow, UP to be submitted along with the proposal. |
| 8 | For any further information Contact to | State Urban Livelihood Mission (SULM), Uttar Pradesh, Nav Chetna Kendra, 10 Ashok Marg, Lucknow – 226 001, Phone: 0522-2286709 |
| 9 | Address for Submission of Proposal | Mission Director, State Urban Livelihood Mission (SULM), Uttar Pradesh, Nav Chetna Kendra, 10 Ashok Marg, Lucknow – 226 001, Phone: 0522-2286709 (Bidders are requested to submit their proposal through Speed Post / Registered Post / Courier or through special messenger, drop box facility available). Submission of proposal through other mode will not be accepted. |
| 10 | Proposals received without cost of RFP & EMD, document will be rejected. | |
| 11 | Mission Director, SULM, U.P. reserves the all right to accept or reject any or all proposals without incurring any obligation to inform the affected applicant/s. The proposals will be evaluated based on the information provided by the applicants and the evaluation will be done as per detailed criteria mention in RFP Document. | |
| | | Mission Director, SULM & Director, SUDA, U.P. |

SECTION: 1

BACK GROUND INFORMATION AND OBJECTIVE OF THE ASSIGNMENT

1. Project Background:

The National Urban Livelihoods Mission (NULM) rest on the foundation that the mobilization of urban poor households to form their own institutions is an important investment for an effective and sustainable poverty reduction programme. These institutions of the poor would partner with local self-governments, public service providers, banks, private sector and other mainstream institutions to facilitate delivery of social and economic services to the poor.

Self-Help Groups and their Federations : NULM envisages mobilization of urban poor households into a three tiered structure with Self-Help Groups (SHGs) at the grass-root level, Area Level Federations (ALFs) at the slum / ward level and City-level Federations (CLFs) at the city-level.

Self-Help Groups (SHGs) : SHGs are groups of 10 to 20 women or men who come together to improve their living conditions by group savings and loans. These groups conduct regular meetings where the savings of the group is collected into a corpus fund, which is used to provide short-term loans to the members. After some time when the credit requirements of the members increase, the Self Help Group may approach to a bank for loan.

Membership of SHGs : Under NULM, Self-Help Groups of urban poor will be formed. Non-poor may be included as members in SHGs where strong affinity or special reasons exist. However, at least 70% of the SHG members should be urban poor to qualify for funding support under NULM. SHGs may consist of 10 to 20 members. These groups need not be registered. Normally, women SHGs will be formed, however male SHGs of handicapped persons will be allowed to be formed. The objective is to organise all the urban poor families into SHGs; however, those areas may be taken up first where urban poor are concentrated.

NULM would lay particular emphasis on the mobilization of vulnerable sections of the urban population such as SCs, STs, minorities, female-headed households, persons with disabilities, the destitute, migrant labourers, and especially vulnerable occupational groups such as street vendors, rag pickers, domestic workers, beggars, construction workers etc.

2. Objective of the Assignment :

For catalyzing the formation of SHGs and their federations and to promote the financial inclusion of SHG members under NULM, Resource Organisations (ROs) will be engaged to facilitate the formation of SHGs, their development and bank-linkages, formation of their federations at the area and city levels, training and capacity building, and establishing links to ULBs and to mitigate social, occupational and residential vulnerabilities.

3. The functions of the ROs are as follows:

i. **Identifying Affinity Groups:** ROs should identify prior relationships of trust and mutual support and encourage those individuals to form SHGs. The membership should be preferably through participatory approach and self-selection.

ii. **Capacity Building:** Once the SHG is formed, ROs will be expected to train ALL members of the SHG (not just the leaders/representatives) in: (a) the basic concepts of functioning of a SHG like how to conduct meetings, basics of savings, lending money, repayment habits; responsibilities of group members; (b) bookkeeping and accounting, fund management, building bank and credit

linkages; (c) communication, decision making, conflict resolution, self-assessment, etc.; and (d) accessing government benefits under NULM and other programmes of the Government.

iii. **Handholding support for at least 15 months:** Once the groups are formed, ROs will be required to attend their meetings on a regular basis. The ROs will also bring in bankers, government officials from various departments, and members from established SHGs (for cross-learning) to interact with the SHGs. The ROs will assist the Community Organiser in the evaluation of the performance of SHGs being supported by them. Within a month of formation of the SHG, all groups which do not have bank-accounts should be helped to open SHG bank accounts and the ROs will also facilitate credit to SHG from banks. Groups should be encouraged to access credit from other formal sources as well.

iv. **Withdrawal of support between 15-24 months:** In this period, ROs will be expected to withdraw active support from those SHGs that are formed and performing satisfactorily. At this stage the level of monitoring will increase and at the end of the 24 months of support, a critical evaluation of the supported SHGs in collaboration with the Community Organiser must be undertaken to determine whether the SHG is self-sustaining. ROs will also ensure that SHGs are federated into ALFs and work closely with ALFs and CLFs to build their capacity.

v. ROs will also facilitate UID enrolment, opening of Basic Savings Bank Deposit Accounts (BSBDAs) and credit counseling of SHG members. These are indicative and for guidance only; States/ULBs may suitably amend these based on local conditions any time accordingly .

4. Area of operation of the ROs :

To ensure accomplishment of social mobilization, NULM will partner with Resource Organisations (ROs) to promote the formation of SHGs in the identified urban areas. ROs will be engaged to facilitate the formation of SHGs, their development and bank linkages, their federation at the mohallah, ward and city levels, training and capacity building, establishing links to ULBs and to mitigate social, occupational, and residential vulnerabilities in the following Urban Local Bodies :

| Sl. No. | Name of the District | Sl. No. | Name of the Urban Local Bodies (ULB) |
|---------|----------------------|---------|--------------------------------------|
| 1 | LUCKNOW | 1 | LUCKNOW (M Corp.) |
| 2 | KANPUR NAGAR | 2 | KANPUR (M Corp.) |
| 3 | GHAZIABAD | 3 | GHAZIABAD (M Corp.) |
| | | 4 | LONI (NPP) |
| | | 5 | MODINAGAR (NPP) |
| 4 | AGRA | 6 | AGRA (M Corp.) |
| 5 | MEERUT | 7 | MEERUT (M Corp.) |
| 6 | VARANASI | 8 | VARANASI (M Corp.) |
| 7 | ALLAHABAD | 9 | ALLAHABAD (M Corp.) |
| 8 | BAREILLY | 10 | BAREILLY (M Corp.) |
| 9 | MORADABAD | 11 | MORADABAD (M Corp.) |
| 10 | ALIGARH | 12 | ALIGARH (M Corp.) |
| 11 | SAHARANPUR | 13 | SAHARANPUR (M Corp.) |
| 12 | GORAKHPUR | 14 | GORAKHPUR (M Corp.) |

| | | | |
|----|-----------------|----|-----------------------|
| 13 | JHANSI | 17 | JHANSI (M Corp.) |
| 14 | FIROZABAD | 15 | FIROZABAD (NPP) |
| | | 16 | SHIKOHABAD (NPP) |
| 15 | MUZAFFARNAGAR | 18 | MUZAFFARNAGAR (NPP) |
| 16 | MATHURA | 19 | MATHURA (NPP) |
| 17 | SHAHJAHANPUR | 20 | SHAHJAHANPUR (NPP) |
| 18 | RAMPUR | 21 | RAMPUR (NPP) |
| 19 | MAU | 22 | MAUNATH BHANJAN (NPP) |
| 20 | FARRUKKHABAD | 23 | FARRUKKHABAD (NPP) |
| 21 | HAPUR | 24 | HAPUR (NPP) |
| 22 | ETAWAH | 25 | ETAWAH (NPP) |
| 23 | MIRZAPUR | 26 | MIRZAPUR (NPP) |
| 24 | BULANDSHAHR | 27 | BULANDSHAHR (NPP) |
| | | 28 | KHURJA (NPP) |
| 25 | SAMBHAL | 29 | SAMBHAL (NPP) |
| | | 30 | CHANDASI (NPP) |
| 26 | AMROHA | 31 | AMROHA (NPP) |
| 27 | HARDOI | 32 | HARDOI (NPP) |
| 28 | FATEHPUR | 33 | FATEHPUR (NPP) |
| 29 | RAEBARELI | 34 | RAEBARELI (NPP) |
| 30 | JALAUN | 35 | ORAI (NPP) |
| 31 | BAHRAICH | 36 | BAHRAICH (NPP) |
| 32 | JAUNPUR | 37 | JAUNPUR (NPP) |
| 33 | UNNAO | 38 | UNNAO (NPP) |
| 34 | SITAPUR | 39 | SITAPUR (NPP) |
| 35 | FAIZABAD | 40 | FAIZABAD (NPP) |
| 36 | BANDA | 41 | BANDA (NPP) |
| 37 | BADAUN | 42 | BADAUN (NPP) |
| 38 | LAKHIMPUR KHERI | 43 | LAKHIMPUR KHERI (NPP) |
| 39 | HATHRAS | 44 | HATHRAS (NPP) |
| 40 | MAINPURI | 45 | MAINPURI (NPP) |
| 41 | LALITPUR | 46 | LALITPUR (NPP) |
| 42 | DEORIA | 47 | DEORIA (NPP) |
| 43 | PILIBHIT | 48 | PILIBHIT (NPP) |
| 44 | GHAZIPUR | 49 | GHAZIPUR (NPP) |
| 45 | ETAH | 50 | ETAH (NPP) |
| 46 | BASTI | 51 | BASTI (NPP) |
| 47 | GONDA | 52 | GONDA (NPP) |

| | | | |
|----|--------------------|----|-----------------------------|
| 48 | AMBEDKAR NAGAR | 53 | AKBARPUR (NPP) |
| 49 | AZAMGARH | 54 | AZAMGARH (NPP) |
| 50 | SULTANPUR | 55 | SULTANPUR (NPP) |
| 51 | SHAMLI | 56 | SHAMLI (NPP) |
| 52 | BALLIA | 57 | BALLIA (NPP) |
| 53 | KASGANJ | 58 | KASGANJ (NPP) |
| 54 | MAHOBA | 59 | MAHOBA (NPP) |
| 55 | BIJNOR | 60 | BIJNOR (NPP) |
| 56 | GAUTAM BUDDH NAGAR | 61 | DADRI (NPP) |
| 57 | AURAIYA | 62 | AURAIYA (NPP) |
| 58 | KANNAUJ | 63 | KANNAUJ (NPP) |
| 59 | BALRAMPUR | 64 | BALRAMPUR (NPP) |
| 60 | BARABANKI | 65 | NAWABGANJ (NPP) |
| 61 | PRATAPGARH | 66 | PRATAPGARH (NPP) |
| 62 | CHITRAKOOT | 67 | CHITRAKOOT DHAM KARVI (NPP) |
| 63 | BAGPAT | 68 | BAGPAT (NPP) |
| | | 69 | BARAUT (NPP) |
| 64 | KUSHINAGAR | 70 | PADRAUNA (NPP) |
| 65 | SANT KABIR NAGAR | 71 | KHALILABAD (NPP) |
| 66 | SONBHADRA | 72 | RABERTSGANJ (NPP) |
| 67 | HAMIRPUR | 73 | HAMIRPUR (NPP) |
| 68 | MAHARAJGANJ | 74 | MAHARAJGANJ (NPP) |
| 69 | SIDDHARTH NAGAR | 75 | SIDDHARTH NAGAR (NPP) |
| 70 | SHRAWASTI | 76 | BHINGA (NP) |
| 71 | CHANDAULI | 77 | CHANDAULI (NP) |
| | | 78 | MUGHALSARAI (NPP) |
| 72 | KANPUR DEHAT | 79 | AKBARPUR (NP) |
| 73 | KAUSHAMBI | 80 | MANJHANPUR (NP) |
| 74 | AMETHI | 81 | AMETHI (NP) |
| 75 | BHADOHI | 82 | GAYANPUR (NP) |
| | 75 District | | 82 Cities/ULBs |

(M Corp. = Municipal Corporation, NPP = Nagar Palika Parishad, NP = Nagar Panchayat)

5. Payment f ROs: (overall cast payable to ROs for the assignment)

RO will be paid Rs. 10,000/ per SHG for 2 year which includes community mobilization, SHG formation cost, handholding, capacity building/ training of all the SHG members, providing books of account & registers, learning material and technical guidance for entrepreneurial activities, bank linkage, formation of federation Area Level Federations & City Level Federations (ALF & CLF) and other related activities as per guideline (cost of SHG formation will be starts from date of account opening in banks)

6. Schedule of Payment:

Payment will be made as per following schedule:

| Sl. No. | Deliverables | Percentage of Payment |
|---------|---|-----------------------|
| 1 | <ul style="list-style-type: none"> • Mobilising the poor on the basis of affinity groups by proper selection of members and formation of SHGs as per the model SHG rules and regulations in the light of NULM guideline. • Within a month of formation of the SHG and all groups that are not linked with bank-account, should be helped to open SHG bank accounts. • <i>1st installment will be released after receipt of report from ROs containing the list of SHGs bank-account number.</i> | 30 % |
| 2 | <ul style="list-style-type: none"> • Building the capacity of SHGs by organizing training of all the members to further support livelihoods of their members and also facilitate social action. • Trainings to be conducted in basic issues such as (a) the SHG concept including savings, how a meeting of SHG is conducted, responsibilities of group members, federations, etc.; (b) book-keeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment, how to make bankable proposal for sustainable livelihood etc.; and (d) accessing government benefits under NULM and on successful completion of 6 (six) months of the SHGs after the opening of their Bank Accounts. • <i>2nd installment will be released after receipt of completion report of SHGs training from ROs.</i> | 20 % |
| 3 | <ul style="list-style-type: none"> • Handholding support for at least 15 months: Once the groups are formed, ROs will be required to attend their meetings on a regular basis, bring in bankers, government officials from various departments, and members from SHGs established for a period of at least 2 years (for cross learning) to interact with the SHGs (at the SHG and federation-levels). At this stage, ROs will also organise capacity building and encourage members of the SHG to access benefits under NULM and access bank link for entrepreneurship. The ROs will assist the Community Organiser in the evaluation of the performance of SHGs being supported by them. • <i>3rd installment will be released after receipt of satisfactory report of handholding support to SHGs after 15 months.</i> | 30 % |
| 4 | <ul style="list-style-type: none"> • Withdrawal of support between 15-24 months: In this period, ROs will be expected to withdraw active support from those SHGs that are formed and performing satisfactorily. At this stage the level of monitoring will increase and at the end of the 24 months of support, a critical evaluation of the supported SHGs in collaboration with the Community Organiser of the ULB must be undertaken to determine whether the SHG may be deemed self-sustaining. Here ROs will encourage SHGs to federate into ALFs and work closely with ALFs and CLFs to build their capacity to take over the handholding function after the RO fully withdraws support. • At least 75% formed SHG must be federated in to ALF & CLF • <i>Last & final installment will be released after receipt of final report of the SHGs sustenance & proper functioning of ALF & CLF as per guideline from</i> | 20 % |

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| | <i>ROs & final recommendation of CMMU/ULB/DUDA/SMMU.</i> | |
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7. Review of the performance of the ROs:

The performance of the ROs will be reviewed in phase manner by the officials from the concerned SMMU/CMMU/DUDA/SUDA. Intermittent monitoring of the assignment will also be done by the officials from the concerned SMMU/CMMU/DUDA/SUDA. Furnishing of false information is liable to disqualification of RO from the empanelled list and black listed for a period of 5 years.

8. Reporting by the ROs:

ROs are required to submit monthly report in prescribed formats in hard & soft copy to DUDAs/CMMUs in respective cities as well as to SUDA, UP by the end of every 5th day of next months on regular basis, falling which liable to disqualification and Director SUDA UP have the right to cancelled their empanelment and recover paid amount from the agency as per law.

SECTION: 2
INSTRUCTION TO THE BIDDER

1. Eligibility Criteria for the Bidders:

The interested entities / bidders to submit the proposal for the purpose of **"EMPANELMENT OF RESOURCE ORGANISATIONS under NULM"** shall be autonomous registered agencies set up by the state or central government or non-government organisations with relevant experience in under taking similar assignment. The eligible entities should meet the following requirements:

1. Organisations should have completed at least 3 years of existence as on 31st March, 2014.
2. Preference will be given to the bidders having past experience in handholding and formation of SHGs in urban areas (Documentary evidence in support of the same should be submitted along with the technical proposal).
3. Availability of appropriate team with qualified professionals and Infrastructure to motivate the urban poor and conduct trainings by drawing lessons from their personal experiences and best practices of their SHGs.
4. Total turnover of the organization is Rs. 15 lakh for the last 3 financial year ending of month 31st march 2014.

2. Requisite Documents to be submitted along with the Proposal:

The interested bidders have to furnish the attested copies of requisite documents and other statutory instruments along with their technical proposal:

1. The covering letter on bidder's letterhead requesting to participate in the selection process
2. Earnest Money Deposit (EMD) as applicable
3. Memorandum of Association of the organization and by laws
4. Copy of Registration Certificate
5. Organizational structure, professional, experience of the each member the management committee/board frequency of Board/Governing body's meeting.
6. Documentary evidence regarding engagement letter work order or letters from the clients served in similar assignments, if any
7. Audited annual statement of Income and Expenditure including balance sheet for the last 3 years.
8. Authorization Letter in the favour of the person signing the proposal documents on behalf of the bidder / organization. All the pages of the proposals should be duly signed and sealed by the authorized person on behalf of the bidder.
9. Any other supporting documents which would facilitate in the assessment indicated at para 7, evaluation of proposals.

Failure to submit any one of the documents as mentioned above list along with the technical proposal, leads to out rightly rejection of the proposal.

3. Earnest Money Deposit (EMD) :

a. The bidder shall furnish, as part of the Technical Proposal, an Earnest Money Deposit (EMD) amounting Rs 50000/- (Rupees Fifty Thousand only). The EMD shall be in Indian Rupees and in the form of Demand Draft from any of the Nationalized Bank in favour of "Mission Director, State Urban Livelihood Mission, Uttar Pradesh" payable at Lucknow. The EMD of unsuccessful bidder shall be refunded within 30 days after finalization of empanelment list by SULM, UP. EMD of the successful bidders will be refunded on request after the completion of empanelment period of **five years** without any interest. The Earnest Money will be forfeited on account of one or more of the following reasons:

- Bidder withdraws its proposal during the selection process
- Bidder does not respond to requests for clarification of its proposal.
- Bidder fails to provide required information during the evaluation process or is found to be non-responsive or submitted false information in support of its qualification.

4. Performance Guarantee :

The empanelled bidder shall furnish performance guarantee amounting Rs. 1,00,000/- (Rupees One lakh only) during signing of MOU.

5. Validity of the Proposal:

Proposals shall remain valid for a period of 90 (Ninety) days from the date of opening of the technical proposal. Mission Director, State Urban Livelihood Mission, Uttar Pradesh reserves rights to reject a proposal valid for a shorter period as non-responsive. The Mission Director, State Urban Livelihood Mission, (SULM) Uttar Pradesh will make the best efforts to finalization of the selection process within stipulated time period mentioned in the RFP .

6. Submission of Proposals:

The proposal should be as per the prescribed format as given in the RFP Document. Bidders shall submit their proposals through Registered Post / Speed Post/ Courier or through special messenger at the office address on or before the last date and time for receipt of proposals mentioned in their document. SULM, UP will not be responsible for any delay / postal delay in receiving of the proposal.

*The technical proposal must be submitted in a sealed envelope (with marking in bold letter) along with the information required as per the formats given in the RFP Document. The envelope boldly mark as "TECHNICAL PROPOSAL" should include the required information and documents duly signed in each page by the authorized representative of the bidder. The envelopes containing "Technical Proposal" should be put inside a separately sealed envelope marking on it "**EMANELMENT OF RESOURCE ORGANISATIONS under NULM**".*

The bidder can apply only for maximum 3 Cities/ULBs covered under NULM on the basis of their existence in the respective Cities/ULB (*Please fill separate form-4 for each applied City/ULB*). Empanelled ROs can be allotted more than 3 Cities/ULBs on the basis of their performance in future.

The Organization/NGO should not have been lodged FIR, default Inquiry, Blacklisted by any State, Centre Government or any other public sector undertaking or a Corporation as on the date of bid. An undertaking to this effect should be submitted by the authorized signatory.

FIR, Inquiry and

7. Selection Process:

The selection for the empanelment would be done by a competent committee formed by Mission Director, State Urban Livelihood Mission, (SULM) Uttar Pradesh. The authority reserves all rights to accept or reject all or any of the proposals at any stage without assigning any reasons thereof.

8. Evaluation of the Proposals:

Evaluation of the proposals will be done by the selection committee as the following parameters mentioned below:

| Sl. No. | Criteria of evaluation of technical proposal |
|---|---|
| 1. Existence of Organizational | |
| a) | For more than 10 years |
| b) | 5 to 10 years |
| c) | 3 to 5 years |
| 2. Past Experience and Expertise (during last 3 year) : No. of SHG formed and still existing | |
| a) | Upto -100 SHG |
| b) | 101 - 200 SHG |
| c) | 201 - 300 SHG |
| d) | 301 - 400 SHG |
| e) | > 400 SHG |
| 3. No. of SHG/Group involved economic activities through bank finance (marks given on the basis overall financial track record of SHG) | |
| a) | Upto - 50 SHG |
| b) | 51 - 100 SHG |
| c) | 101 - 150 SHG |
| d) | 151 - 200 SHG |
| e) | > 200 SHG |
| 4. Registered Place of the Organization / present geographical working areas | |
| a) | Having the Registered office is same for which city Organization/NGOs has applied |
| b) | Organization Registered in the others city & applied for other city |
| 5. Physical presence | |
| a) | Location of the RO office in the town applied for |
| b) | Located elsewhere but has been functioning in the town applied for |
| c) | Neither located nor functioning in the town applied for |
| d) | Rapport with the local agencies like Banks, Government agencies and other developmental agencies (depending on the good rapport developed by the NGO with various agencies, marks may be awarded on a scale of 0 to 2) |

| | |
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| 6. Present activity of the Organization / NGO | |
| a) | Agency is actively involved in economic activities such as providing forward & backward linkages and micro credit. |
| 7. Establishment /Management of NGO | |
| a) | Existence of Regular Board/ Governing Body, which meets regularly |
| b) | Trained and experienced persons in the management |
| c) | Organisational structure i.e. Existence of a proper hierarchy in functioning and there is proper work allotments among the functionaries. |
| 8. Book keeping / Accounts | |
| a) | Accounts are properly maintained and audited up to date |
| b) | Accounts are maintained properly but audit in arrears for more than 2 years |
| c) | Accounts not properly maintained/ not audited for long |
| 9. Infrastructure of the agency | |
| a) | Agency has adequate infrastructure like land, own building, office infrastructure etc. for carrying out their activities smoothly |
| b) | Agency has no land or building but works in a rented premise with adequate infrastructure support including office infrastructure for carrying out their activities smoothly. |
| 10. Project implementation infrastructure | |
| a) | Agency has adequate infrastructure for training & meeting like hall/ training & meeting premises, required for conducting the training & meeting by themselves. |
| b) | Agency does not have the training & meeting infrastructure of its own but can arrange the same for the smooth conduct of training & meeting (documents to be furnished if any such programmes already conducted by hiring such infrastructure). |
| 11. Manpower | |
| a) | Agency has at least 10 permanent field staff for implementing the project, including subject matter expert pertaining to the proposed activity. |
| b) | Agency does not have the required manpower/ some of the required persons for implementing the project, but can arrange the same for by hiring / appointments from outside. |
| 12. Organization's work experience | |
| a) | Agency has the past experience in organising similar programmes in the last three years for formation of SHG in urban area any department/organization/funding agency |
| b) | Agency has the past experience in urban poverty alleviation areas. |
| c) | Agency has the past experience in organising similar programmes but was not in urban area. |
| 13. Monitoring arrangement | |
| a) | Agency has good arrangement for regular monitoring system (MIS) of the project |
| b) | Agency has been regular/ has good system for submitting MIS returns as required by the funding agency (monthly/quarterly/ annual report required to submit for documentary proof) |
| 14. Operations Sustainability of the agency | |

| | |
|----|---|
| a) | (marks may be awarded based on the perception of the appraising committee regarding the standing of the agency and the possibility of continuing its work for long without winding up in between, on a scale of 0 to 4) |
|----|---|

The bidders, whose proposal secures above the minimum qualifying technical score of 60% Marks during the technical evaluation stage, will be eligible for empanelment by State Urban Livelihood Mission, Uttar Pradesh. It is instructed to the bidders to furnish the required information as per the prescribed format as mentioned in the RFP. Any deviation to the above instruction, results in out rightly rejection of the proposal.

9. Finalization of the Empanelment List:

SULM, UP will notify all the successful bidders in writing after finalization of the empanelment list. The successful bidders have to submit an acknowledgement to SULM, UP within 10 days from the date of receipt of the communication. The Empanel list will be valid for a period of five years from the date of notification. SULM, UP shall enter into a Memorandum of Understanding (MOU) with the Empanel NGOs. The Empanel NGOs shall assist the ULBs/CMMUs/DUDAs in formation/training of the SHGs in accordance with the standards, norms, terms and conditions stipulated in the MOU. The Mission Director, State Urban Livelihood Mission, (SULM) Uttar Pradesh reserves the rights to disqualify any of the entity from the list if the performance of the same is found to be unsatisfactory during the period of empanelment. It is the responsibility of the bidders to seek any clarification from the client prior to submission of their proposal. During any stage of the selection process, manipulation of information, submission of wrong information will lead to out rightly rejection of the proposal and the bidder will be black listed for a period of five years in the SULM, UP.

10. LEGAL JURISDICTION:

All legal disputes are subject to the jurisdiction of civil court of Lucknow only.

SECTION: 3
TECHNICAL PROPOSAL

FORM -1

Technical Proposal Submission Form
(On the letterhead of the Organization/ NGO)

[Location, Date]

FROM:

[Name of Bidder with Complete Address of Communication]

TO:

Director,
Mission Director, State Urban Livelihood Mission, Uttar Pradesh,
Nav Chetna Kendra, 10 Ashok Marg,
Lucknow – 226 001

Subject: **PROPOSAL FOR EMPANELMENT OF RESOURCE ORGANISATIONS under NULM” - TECHNICAL PROPOSAL**

Dear Sir,

I/We the undersigned, offer to provide the services in respect to your Request for Proposal. I/We are hereby submitting our Proposal which includes this Technical Proposal sealed under a separate envelope. Our proposal is valid for acceptance for 90 Days and we confirm that this proposal will remain binding upon us and may be accepted by you at any time before this expiry date

I/We, hereby declare that all the information and statements made in this proposal are true and accept that any of our misrepresentation contained in it may lead to our disqualification from the selection process.

I/We hereby declare that our organisation has not been debarred / black listed by any Government / Semi Government organizations. I further certify that I am the competent authority and my organisation authorized me to make this declaration and as signatory authority on behalf of the organisation.

I remain,

Yours sincerely,

Authorized Signatory [Signature with Date and Seal]:

Name and Title of the Signatory: _____

Name of the organization with complete address: _____

FORM -2

**General Information of the Organization / NGO
(On the letterhead of the Organization/ NGO)**

1. Name of the Organization / NGO :

2. Nature of the Organization / NGO :

3. Incorporated as _____ in year _____ at _____

(Registered Agency set up by the Centre/State or Non Government Organization)

(furnish copy of the Certificate of Registration/Incorporation & Memorandum of Association)

4. Registered Office Address:

5. Name of the Head of the Organization / NGO :

6. Designation :

7. Telephone /Mobile Number:

8. Address of Communication:

9. FAX and E-Mail:

Authorized Signatory [In full and initials]: _____

Name and Title of Signatory: _____

Designation: _____

Name of Firm: _____

Address: _____

(Organization Seal)

FORM - 3
FINANCIAL STANDING - ANNUAL TURNOVER

Certificate from the Statutory Auditor regarding Annual Turnover of the Bidder in the immediately preceding 3 Financial Years.

Based on its books of accounts and other published information authenticated by it, this is to certify that (Name of the Bidder) had, over the last three Financial Years, a Total Annual Turnover of Rs. Lakhs as per year-wise details noted below:

| Financial Year ending 31st March | Total Turnover (In Rs. Lakhs) | Total Turnover in Govt. Sector Work (In Rs. Lakhs) |
|---|--------------------------------------|---|
| 2011-12: | | |
| 2012-13: | | |
| 2013-14: | | |
| total | | |

(submit audited balance sheet including Audit Report & all annexure)

Name of the audit firm / Chartered Accountant:

Authorized Signatory [In full initials and Seal]: _____

Name of the Organisation: _____

FORM -4**Supporting document for Technical Assessment****Name of Cities/ULB -***(Please fill separate form-4 for each applied City/ULB)*

| Sl. No. | Document details for evaluation | Supporting document will be provided in hard copy |
|----------------|--|--|
| 1 | Existence of Organization | Photo copy of Registration Certificate |
| 2 | Past Experience and Expertise (during last 3 year) : No. of SHG formed and still existing | Work order / completion report & acceptance of funding agency |
| 3 | No. of SHG/Group involved economic activities through bank finance (marks given on the basis overall financial track record of SHG) | Complete filled Form 5 & certificate from Banks along with financial details (amount of loan, repayment, default etc) |
| 4 | Registered Place of the Organization / present geographical working areas | Registration Certificate & other authenticated document (i.e. brief profile) |
| 5 | Physical presence | Authenticated document proof (Work order for respective Cities/ULBs) |
| 6 | Present activity of the Organization / NGO | Authenticated document to verify the organization's involvement in economic activities including backward & forward linkages and micro credit i.e. (complete filled Form 5) |
| 7 | Establishment /Management of NGO | Regular Board/ Governing Body meeting minutes, List of Trained and experienced persons in the management with their role & responsibilities |
| 8 | Book keeping / Accounts | Year wise audited balance sheet & report for last 3 year |
| 9 | Infrastructure of the agency | Own / rented Office buildings documentary proof with infrastructure details |
| 10 | Project implementation infrastructure | Documentary proof of infrastructure for training & meeting like hall/ training & meeting premises (own / rented) etc. i.e. organizational undertaking (in plain paper) along with photograph |
| 11 | Manpower | at least 10 permanent field staff appointment letter & their salary details (complete filled Form 7) |
| 12 | Organization's work experience | Work order / project sanctioned letter & annual report of the agency for last 3 year |
| 13 | Monitoring arrangement | Details of monitoring arrangement system |

Note : All the above document shall be attested by Authorized Signatory with Seal of the organization. All document must be mentioned respective serial number as per Form-4 and properly annexed with the proposal. In case any of the above documents are not provided by the organization get the 0 marks in the respective column.

FORM -5

Organisation's Past Experience in promotion of Self Help Groups

Bank linkage details of SHGs promoted by the NGO in last 3 years:

| Year | No. of the group | Location/ (City/District) | Year of formation from..... to..... | Average No. of member in the group | No. of operational groups on the day of submission the Bid | Name of the Bank with their address having the linkages of the groups (Pl. mention No. of groups having the Linkages in Bank) | Funding Agency (Pl. mention No. of groups formation funded by each agency) |
|------------------------|------------------|---------------------------|-------------------------------------|------------------------------------|--|---|--|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| I st Year | | | | | | | |
| II nd year | | | | | | | |
| III rd year | | | | | | | |

(amount in Lakh)

| Saving & Credit details | | | | Bank loan | | | | | | economic activities | |
|-------------------------------|---|------------------------|---|--|---|---------------|---|---|---|--------------------------------------|------------------------------------|
| Saving mobilized (cumulative) | Amount on inter loaning / lending amount as on 31.3.14 (cumulative) | Amount in bank account | Amount of bank credit for inter loaning | Amount of loan for economic activities | Year of loan sanction by bank from..... to..... | Interest rate | Repayment made to Bank as on 31.3.14 or upto the organization's support to SHGs | Pending repayments as on 31.3.14 or upto the organization's support to SHGs | Balance outstanding payable on 31.3.14 or upto the organization's support to SHGs | Type of activities group/ individual | Name of economic activities/ trade |
| 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| | | | | | | | | | | | |
| | | | | | | | | | | | |

The organization must attach the documentary proof in support of the information provided above from the group records.

Authorized Signatory [In full and initials]: _____ with Seal

FORM -6

**Format of Curriculum Vitae (CV) for Key Professional of the organization.
(use additional sheet for every key professional)**

1. Name of Staff:
2. Position:
3. Name of organization:
4. Profession:
5. Date of Birth:
6. Number of years with the organization:
7. Nationality:
8. Membership in Professional Societies:
9. Detailed Tasks Assigned

Key Qualifications:

[Give an outline of experience and training attended pertinent to the assignment. Describe degree of responsibility held by member on relevant previous assignments and give dates and locations.

Education:

[Summarize college/university and other specialized education of staff member, giving names of schools, dates attended, and degrees obtained.

Employment Record:

[Starting with present position, list in reverse order every employment held. List all positions held by staff member since graduation, giving dates, names of employing organizations, titles of positions held, and locations of assignments. For experience in last ten years, also give types of activities performed and client references, where appropriate.

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.

Date:

[Signature of Key Professional with Date _____

Full name of the Key Professional: _____

Authorized Signatory [In full and initials]: _____

FORM -7

DETAILS OF FIELD STAFF IN ORGANIZATION/NGO

| Sl No | Name of Field Staff | Area of Expertise | Position Assigned | Employment Status with the organization (Permanent / Part Time) | Highest Educational Qualification | No of Years in the organization | Salary (in Rs.) |
|-------|---------------------|-------------------|-------------------|---|-----------------------------------|---------------------------------|-----------------|
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |

Authorized Signatory [In full initials and Seal]: _____

Name of the Organisation: _____

FORM -8

Proposal for Building Community Institutions

(Formation of Self-help Groups and their Federations)

| Particulars of Activities | Write up to be submitted by the bidder |
|---|--|
| Formation of Self-Help Groups: identification of members and opening of bank accounts (at least 70% of the SHGs members should be urban poor to qualify for funding support. SHG may consist of 10 to 20 members and need not be registered. Normally women SHGs will be formed. Male SHGs of handicapped persons are allowed). | |
| Rules and regulations covering membership, role of office bearer, conduct of meetings/special meetings, management of savings, maintenance of records, disqualification of membership and imposition of fine etc. | |
| Training Plan along with Duration of the Training | |
| Handholding support for bank linkages inter-loaning & entrepreneurial activities of the group within backward & forward linkages | |
| Formation of Area (Ward) Level Federations (ALF) | |
| Formation of City Level Federations (CLF) | |
| Financial inclusion: Financial literacy, opening of bank accounts and affordable insurance. | |

[Detailed proposal including strategy, process, timeframe etc for above activities need to be submitted by the bidder. The bidders may also make a presentation on the same, if client desires]

➤ Use require no. of additional Sheets

Authorized Signatory [In full initials and Seal]: _____

Name of the Organisation: _____

IMPORTANT INFORMATION TO THE BIDDERS

(These are simply an indication of how ROs can be engaged by SULM, UP for Community Mobilization)

A: Background

The National Urban Livelihoods Mission (NULM) aims at reducing poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, by building strong grassroots level institutions of the poor.

To ensure accomplishment of social mobilization, NULM will partner with Resource Organisations (ROs) to promote the formation of SHGs in urban areas. ROs will be engaged to facilitate the formation of SHGs, their development and bank linkages, their federation at the area and city levels, training and capacity building, establishing links to ULBs, and to mitigate social, occupational, and residential vulnerabilities.

B: Expected outcomes of the engagement with ROs

1. At least 1 member from each identified urban poor household, preferably a woman has to be a member of an SHG.
 - 1.1. At least 70% of the members of SHGs should be urban poor.
 - 1.2. ROs to train SHGs to build their capacity on issues such as: (a) the SHG concept (including savings), how to conduct meetings, responsibilities of group members, etc; (b) book-keeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment; and (d) accessing government benefits under NULM, and other social programmes of the central, state and local governments
 - 1.3. All SHGs to have a bank account for deposit of savings;
 - 1.4. All SHGs to be linked to banks for credit;
 - 1.5. All new SHGs formed access revolving fund support under NULM
2. SHGs will be federated at the area-level and at least one City-level Federation will be formed per City.
 - 2.1. ROs to ensure that all members of ALFs/CLFs undergo training to build their capacity on issues such as: (a) the federation concept (including savings), how to conduct meetings, responsibilities of group members, federations etc; (b) bookkeeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment; and (d) accessing government benefits under NULM, and other social programmes of the central, state and local governments;
 - 2.2. All ALFs/CLFs to be registered;
 - 2.3. All new ALFs formed access revolving fund support under NULM

C: Principles of partnerships with ROs

1. At the city-level, the work on NULM will begin with a mapping of the existing SHGs and social mobilisation that already exists in urban areas under NULM, the erstwhile Swarna Jayanti Shahari Rozgar Yojana (SJSRY) and other local schemes. This exercise will also identify pockets

where the urban poor have not been mobilised into SHGs at the city-level. The aim of this exercise is to assess the quality of existing SHGs (and where applicable, federations), identify the need for interventions

in existing SHGs / Federations to strengthen them and transition them from SJSRY to NULM, and identify where further / new community mobilisation is needed.

2. Resource Organisations will be selected on the basis of strict criteria including registration status of the organization, turnover, number of years of experience, sound procurement and financial management capacity, number of dedicated expert staff, domain knowledge and prior experience in social mobilisation of poor households, training and capacity building, livelihood promotion and bank linkage of the community organisations.
3. SULM, UP will assign the RO to a compact geographical area of the city within which the RO will function; this assignment will be done on the basis of the capacities of the respective ROs. The RO should cover a minimum of 50 SHGs. As per local conditions, more than one city may be covered by a single RO to achieve critical mass and ensure quality training.

D: Selection criteria for ROs

1. Only those NGOs with a strong and proven track record of working in the field will be considered.
2. As per legal requirements, the potential RO should be a registered body.
3. All potential ROs should maintain its accounting records and have properly audited annual statements of income and expenditure
4. The orientation and philosophy of potential ROs should confirm to the essential features of community mobilisation and institution building under NULM namely, adherence to participatory processes, belief in the objective of self-reliance and empowerment of the urban poor, experience in the formation of affinity groups, preferably groups managing credit and involved in income generating activities, and experience of capacity building of grass root institutions of the poor.
5. The potential RO has a base in the city in which it proposes to work and has field experience in the area with an adequate number of trained field-level staff and a clear understanding of the socio-economic, cultural and political situation of the area. A demonstrable rapport with the community in which the potential RO proposes to work will be an advantage.
6. Resource Organisations may engage Community Resource Persons (CRPs) on their team for the formation of SHGs under NULM; however sub-contracting will not be allowed.
7. The RO should have successfully promoted the formation and bank linkage of at least 100 SHGs.
8. The potential RO should be secular in nature and not be affiliated with any political organisation.
9. The potential RO should be willing to sign a Memorandum of Understanding with SULM, UP committing itself:
 - 9.1. To pursuing the objectives and components of NULM;
 - 9.2. To making changes within its strategy and systems if there are obstacles in achieving the objectives of the project;
 - 9.3. To nurture and support SHGs formed as per the guidance and philosophy of NULM;

9.4. To attend meetings and contribute to the feedback systems and procedures required by NULM, including regular reporting.

E: Scope of work of ROs

The tasks of ROs will include the following in a specific geographical area within a city assigned to them:

1. Implementing the model of institution building as outlined under NULM via guidelines and advisories issued from time-to-time.
2. Mobilising the poor on the basis of affinity groups and building quality SHGs and their federations. The selection of members and the formation of SHGs should be participatory in nature.
3. The RO should ensure that at least 70% of SHG members are urban poor
4. Building the capacity of these institutions by organising training and exposure visits and learning events in order for them to further support livelihoods of their members and also facilitate social action.
5. Once the SHG is formed, ROs will be expected to train ALL members of the SHG (not just the leaders/representatives) in basic issues such as:
 - (a) the SHG concept including savings, how a meeting of an SHG is conducted, responsibilities of group members, federations, etc.;
 - (b) book-keeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment, etc.; and (d) accessing government benefits under NULM (especially universal financial inclusion, skill training and micro-enterprise development) and other social programmes of the central, state and local governments
6. Handholding support for at least 15 months: Once the groups are formed, ROs will be required to attend their meetings on a regular basis, bring in bankers, government officials from various departments, and members from SHGs established for a period of at least 2 years (for cross learning) to interact with the SHGs (at the SHG and federation-levels). At this stage, ROs will also organise capacity building and encourage members of the SHG to access benefits under NULM. The ROs will assist the Community Organiser in the evaluation of the performance of SHGs being supported by it. Within a month of formation of the SHG, all groups that are not linked with bank accounts, should be helped to open SHG bank accounts.
7. Withdrawal of support between 15-24 months: In this period, ROs will be expected to withdraw active support from those SHGs that are formed and performing satisfactorily. At this stage the level of monitoring will increase and at the end of the 24 months of support, a critical evaluation of the supported SHGs in collaboration with the Community Organiser of the ULB must be undertaken to determine whether the SHG may be deemed self-sustaining. Here ROs will encourage SHGs to federate into ALFs and work closely with ALFs and CLFs to build their capacity to take over the handholding function after the RO fully withdraws support.
8. Orchestrating convergence of relevant government programmes including facilitating UID enrolment, opening of Basic Saving Bank Deposit Accounts (BSBDAs) and credit counseling of SHG members

G: Monitoring & Evaluation

NULM is process intensive and at various levels it will constantly review, assess and learn from the qualitative and quantitative progress achieved. A robust IT-based monitoring and evaluation MIS would be in place to facilitate this and support informed decision making at all levels. SULM, UP will put in place various mechanisms for monitoring the progress of the programme in the state.

These will include:

1. Accountability in SHGs including institutional self-monitoring, peer internal audit of processes and local social audit
2. MIS based input-output monitoring
3. Independent social audit, and third-party evaluation.
4. Impact assessments through baseline assessments, and impact evaluation studies on key result indicators
5. Annual reports
6. Internal review mechanisms including monthly / quarterly planning / progress reporting, field visits by staff / officials, joint half-yearly / annual review, review and consultation workshops and meeting of convergence and coordination committees at various levels.