



**USAID**  
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# USAF CAPACITY BUILDING MODULE

## MONITORING AND EVALUATION PART 2

**June 2013**

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# GLOBAL BROADBAND AND INNOVATIONS PROGRAM

USAF CAPACITY BUILDING MODULE: MONITORING &  
EVALUATION PART 2

JUNE 2013

## DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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# 1. Introduction

This is Capacity Building Module # 3 of the USAID/GBI program to support enhancement of Universal Service and Access Funds (USAFs) as a resource to promote ICT development. This module addresses **USAF Monitoring and Evaluation**, and will be presented in two separate documents. The current document, Part 2, will provide a more practical application of monitoring and evaluation, following the background, definitions and examples presented in Part 1. Other modules in this series address the following topics:

Module #1: USAF Strategic Planning Module #2: USAF Program Concepts Module #4: USAF Data Collection and Market Analysis Module #5: National Broadband Strategy Planning

Collectively, these modules offer a set of useful information resources and practical tools, based upon international experience and best practices, in the management of Universal Service and Access Funds. Combined with other capacity building resources, including direct technical assistance from GBI and others, these modules can help USAF administrations and staff to enhance Fund operations, and improve the effectiveness of ICT development financing on many levels.

## 1.1 Module Objectives, Concepts

The main objective of this module is to provide a stepwise approach to implement an M&E setup in the context of a USAF. It traverses through organizational capacity assessment in terms of M&E, the sourcing options, how to develop in-house capacity for implementing M&E, and how to out-source implementation of M&E, including: methodology of prequalification, prequalification criteria, scope of work for M&E, competition-based selection process.

Monitoring and Evaluation holds a pivotal position in efficient and effective project management for a Universal Service Fund. M&E can help the organization elicit required information from the activities being implemented. The information can be utilized for informed decision-making in addition to informing the project sponsors about various dimensions of project implementation such as efficiency, effectiveness, relevance, sustainability, etc. Without effective monitoring and evaluation there is a heightened risk that projects may fail and even worse, that failed projects might be replicated.

In order to keep the Report concise, the main sections offer basic overviews of the key issues and options, while many details and examples have been included within the Annexes.

## 2. Sourcing Options for M&E

This section addresses the two main options for USAFs to introduce an effective Monitoring and Evaluation function into its operations: establishing an In-House M&E Unit, or Outsourcing the bulk of the M&E tasks to a third party, private company. It indicates the nature of the assessment and factors that a USAF should take into account in determining the best source for its M&E needs.

### 2.1 Organizational Capacity Assessment (OCA)

It is important for an organization such a USAF to assess its own internal organizational capacity as a step toward deciding which approach will be most appropriate in terms of M&E operations. An Organizational Capacity Assessment (OCA) will assist in determining the current capacity of a USAF and will facilitate identifying the capacity gaps which need to be bridged in order to establish an effective M&E setup.

A sample checklist for an Organizational Capacity Assessment is provided in Annex I.

### 2.2 In-House vs. Outsource

The results of the Organizational Capacity Assessment will help in making the sourcing choice. If the OCA indicates that there is sufficient capacity within the organization for implementing the M&E function, then In-house sourcing is feasible, whereas if significant capacity gaps exist, then outsourcing would be the preferable option. Figure 1 below provides an analysis which responds to the question: “When is it viable to use one of the two options?”

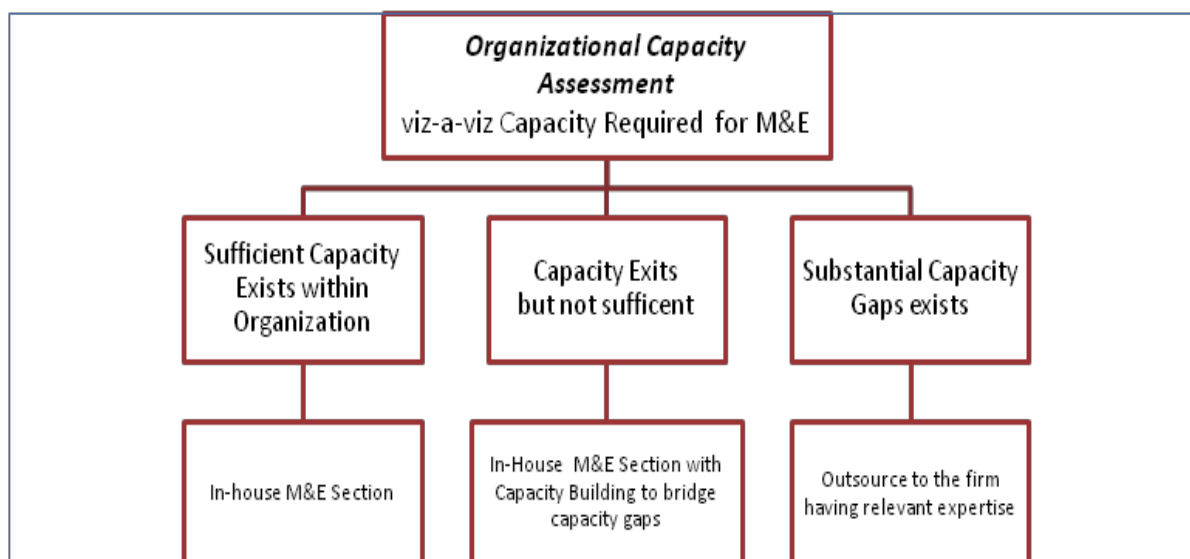


Figure 1: Sourcing Options based on existing capacity

Table 1 below provides a comparative analysis of three possible scenarios for undertaking M&E, with underlying assumptions and recommendations:

<b>Factors</b>	<b>Scenario 1</b>	<b>Scenario 2</b>	<b>Scenario 3</b>
Capacity level	Sufficient capacity exists within organization	Capacity exists but not sufficient	Substantial capacity gap exists
Assumptions	<ul style="list-style-type: none"> <li>• Required capacity to execute M&amp;E function exists</li> <li>• M&amp;E plan is available</li> <li>• Necessary staff with sufficient capacity is available</li> <li>• Necessary hardware and software are available</li> <li>• Office is available</li> <li>• Independent M&amp;E unit exists</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity to execute M&amp;E function exists but with some gaps</li> <li>• M&amp;E plan is not developed</li> <li>• M&amp;E team is deficient in terms of Human resources</li> <li>• Deficiencies in hardware and software</li> </ul>	<ul style="list-style-type: none"> <li>• No M&amp;E set up of any kind is available</li> <li>• No dedicated human resources</li> <li>• No infrastructure</li> </ul>
Recommendations for activating M&E Function	<ul style="list-style-type: none"> <li>• In-house implementation of M&amp;E</li> <li>• Execute M&amp;E Plan</li> </ul>	<ul style="list-style-type: none"> <li>• In-house Implementation of M&amp;E</li> <li>• Acquire human resources which are required</li> <li>• Develop M&amp;E team</li> <li>• Develop capacity of the team by acquiring relevant expertise</li> <li>• Procure necessary hardware and software</li> <li>• Develop M&amp;E Plan</li> <li>• Execute M&amp;E Plan</li> <li>• Outsource functions which are not feasible or which are of occasional nature</li> </ul>	<ul style="list-style-type: none"> <li>• Outsourcing</li> <li>• Engage a firm for the provision of M&amp;E services</li> </ul>

Table 1: A comparative analysis of three scenarios for M&E implementation

The sourcing choice is influenced by various factors, such as capacity gaps, level of staff knowledge and experience, the urgency of need for conducting evaluations, proprietary information, and others. Factors which favor each particular scenario are elaborated in Table 2 below:

In-House	Outsource
<ul style="list-style-type: none"> <li>• Cost considerations (in the long run it is less expensive to engage a team as compared to outsource)</li> <li>• Already have the desired expertise to undertake the task</li> <li>• Need to exert direct control over the process</li> <li>• Better quality control</li> <li>• Flexibility in managing the configuration of the system</li> <li>• Reliable and competent service providers are not available</li> <li>• Routine nature of the task</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of in house capacity</li> <li>• Service Providers’ research and specialized know-how exceeds that of the procuring entity</li> <li>• Cost considerations (for the moment it is less expensive to outsource the task)</li> <li>• External (third party) validation is required (like audit/ third party validation)</li> <li>• Avoid in house capacity building</li> <li>• May be a Legal requirement</li> <li>• May be based on notion that third-party M&amp;E is considered more “neutral” and less “heavy-handed” than in-house M&amp;E.</li> </ul>

**Table 2: Comparative analysis of In-house and outsourcing options**

If it is decided to keep the M&E in-house, the organization should acquire any missing M&E expertise and establish a commitment to continuous development of in-house capacity (Scenario 2, Table 1). However it may be decided to outsource the activity by engaging an organization/firm specializing in provision of M&E services (Scenario 3, Table 1). Even under this scenario, however, it may be advisable to treat the outsourcing approach as an interim, transitional method for conducting M&E, with the goal of bringing the functions in-house eventually, once the organization has had the opportunity to develop internal familiarity and capacity to take on this responsibility.

Section 3 following provides information on the structure and resources required for an in-house M&E setup. Section 4 provides details on outsourcing modalities.



### 3. In-House M&E Unit

This section identifies the key human resource and material resource requirements for setting up an in-house M&E unit within a USAF.

#### 3.1 M&E Unit Structure

The following figure illustrates a possible structure of an M&E setup. Further details regarding the relevant required staff are provided in Annex II.

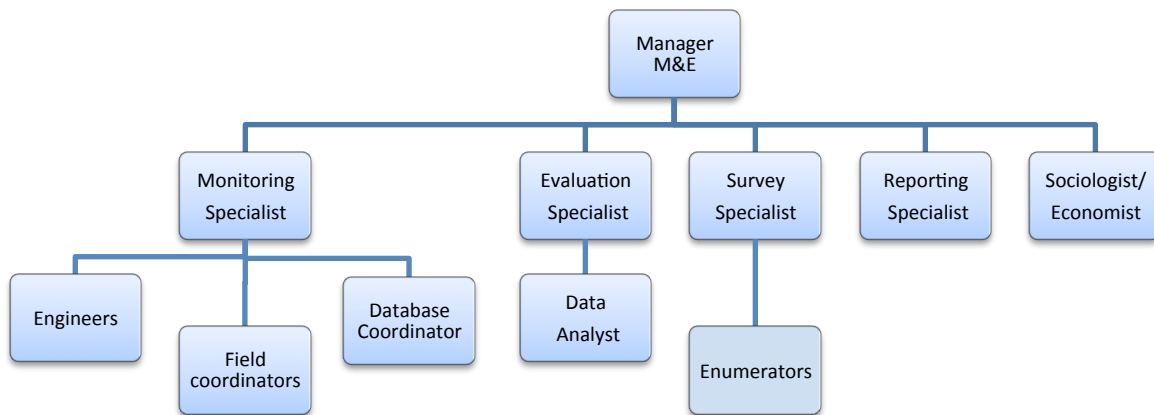


Figure 2: M&E unit structure

#### 3.2 M&E Unit Material Resources

The following represents a non-exhaustive list of resources, other than human resources, required to establish and operate an in-house M&E Unit (Note: quantities are dependent on methodology employed and scope/volume of work):

- Hardware and Software
  - ✓ Hardware:
    - Server
    - Semi-rugged laptops with processor equivalent or above Core I- 7
    - Network Laser Printer (30 pages per minute or above)
    - Stand-alone Laser Printer (10 pages per minute or above)
    - Flatbed Scanner with Automatic Document Feeder; scanning resolution up to 600 dpi

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- ✓ Software:
  - Licensed operating system: Windows 7 or above with updated Antivirus
  - Latest Licensed Office Suite, and other essential elements
  - Latest Project management software: e.g. Primavera, MS-Project
- Drive-Test Equipment
  - ✓ GPS devices with Laptop interface
  - ✓ Handsets/Datacards:
    - GSM Quadband (with inbuilt logs recording option)
    - WiMax Datacard
    - CDMA 1x Handset (450MHz)
    - EVDO (Rel0,RelA,RelB)
  - ✓ Licenses for drive-test software:
    - GSM
    - CDMA (1x, EVDO upto Rev B),
    - WiMAX
  - ✓ Drive-test Software package (like TEMS or NEMO), upgradeable to latest version
  - ✓ Software platform with provision of simultaneous support of EVDO RevC, WiMAX, UMTS, HSDPA, HSUPA, HSPA, LTE and all foreseeable future technologies
- Office furniture
  - ✓ Modular workstations with storage capacity like drawers
  - ✓ Office-chairs, ergonomically designed
  - ✓ File Storage cabinets
  - ✓ Other office items like stationary etc.
- Office communication
  - ✓ Broadband Internet Connectivity
  - ✓ LAN (depending on staff load)
  - ✓ PABX exchange (No. of lines and extensions depending on staff load)
- Vehicles
  - ✓ All-terrain vehicle(s) with minimum seating capacity for four persons including driver
  - ✓ Budget for petrol, repair, other transportation costs

## 4. Outsourcing M&E

This section, along with Annexes III and IV, provides advice and approaches for a the USAF to follow in the event that it chooses to outsource the M&E function. It is assumed, in these materials, that the USAF would utilize outsourcing as a transitional measure, with the intention of moving the M&E role in-house eventually, and that assistance with this transition would also be part of the M&E outsourcing firm's responsibilities.

### 4.1 Procedures for selecting firm(s) for the M&E function

The process for selecting a firm to be responsible for establishing a Monitoring and Evaluation program typically involves two stages:

Stage 1: Prequalification of eligible firms and formation of a pool of qualified firms which fulfill the prequalification criteria. (Details are provided in Annex III a, b, and c).

Stage 2: Sending specific TORs to the panel of prequalified firms and selecting the firm obtaining at least a certain minimum points and quoting the lowest price (Details are provided in Annex IV a, b, and c).

A flow diagram illustrating the process flow for the selection of an M&E outsource firm is given below (Figure 3).

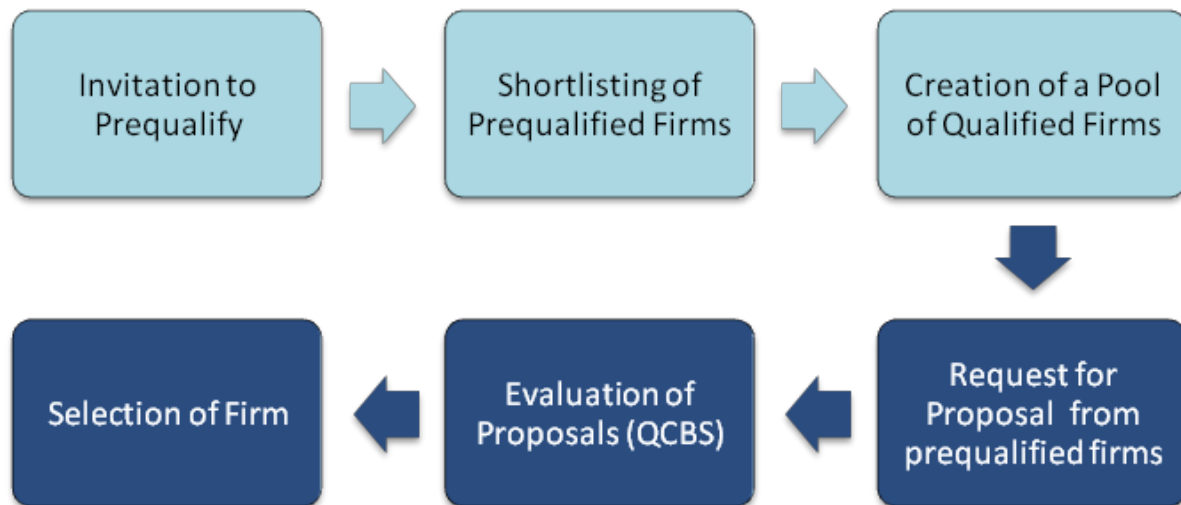


Figure 3: Process flow for the selection of firm for M&E support

The following descriptions briefly summarize each stage process in the selection process illustrated in Figure 3.

1) Invitation to Prequalify

An invitation to prequalify is floated in national and international media calling for expressions of interest from eligible firms. (Sample 'Invitation to Prequalify' is provided in Annex III.)

2) Shortlisting of Prequalified Firms

Each expression of interest is evaluated based on the prequalification criteria which will evaluate the credibility, technical capacity, experience, financial capacity of the firm. (Sample prequalification criteria are provided in Annex III-c.)

3) Creation of a Pool of Qualified Firms

Based on the prequalification criteria, firms securing [80%] or more points are declared qualified and both eligible and ineligible firms are informed about the results of the evaluation.

4) Request for Proposal from Prequalified Firms

A Request for Proposal (RFP) is then circulated among the pool of prequalified firms, to solicit technical and financial Bids. The RFP comprises organizational information, instructions to the bidders, TORs, evaluation criteria, and any other information essential for the preparation of technical and financial Bid. (A sample RFP is included in Annex IV).

5) Evaluation of Bids

Firms are required to submit both a Technical Bid and a Financial Bid at the same time. The Technical Bids are opened first and evaluated based on the evaluation criteria (see Annex IV b), against a maximum of 1,000 points. Any firm scoring less than a pre-set threshold [e.g.: 800 points] (this can vary according to organizational policy) is considered technically non-responsive and is dropped from the list. Financial Bids of technically responsive firms are then opened and ranked by price.

6) Selection of Firm

The responsive firm quoting the lowest Financial Bid is declared the winner. This firm is issued a Letter of Intent (LoI) and if the firm accepts the LoI within the given time-period, contractual formalities are initiated. If the firm expresses its inability to undertake the assignment, then the contract is offered to the next lowest priced technically responsive Firm. The Bid Bond (if required) of the 1st ranked Firm, who backs out from signing the contract, is confiscated.

## 4.2 System Development and Support

The contracted outsourcing firm will be responsible for establishing and managing the M&E system for a period of time that will be specified in the contract, and to provide full support for that time period, as well as further assistance in the transition to an internal M&E function.

The tasks under this assignment are divided in two phases:

Phase 1: System development and implementation phase

Phase 2: System transition (to internal USAF function) and ongoing support

The details of these phases are given in the Boxes below:

#### **4.2.1 Phase 1 – System Development and Implementation**

- Develop a detailed configuration of an M&E unit which includes: identification of required human resources, their job descriptions, competency levels; and organization structure;
- Developing M&E Plan which should address questions such as: What will be done? How it will be done? Who will do it? When it will be done? How much resources are required?
- Develop a computer based M&E reporting system, along with user manuals and documentation;
- Install hardware and software required for M&E and arrange training of computer operators;
- Develop an Operational Manual on M&E for the staff;
- Build capacity of the staff in terms of M&E;
- Train \_\_\_ persons to conduct/supervise the data collection process;
- Design and conduct baseline surveys in the project areas;
- Develop impact assessment methodology and conduct impact assessment;
- Develop a resource pool of sufficiently trained local professionals in M&E;
- Identify problems with the M&E system and come up with solutions to those problems;
- Propose a transition strategy, which includes a description of how the system will be handed off to the USAF, and managed, subsequent to the exit of the firm (optional).

#### **4.2.2 Phase 2 – System Transition and Ongoing Support**

- Develop a transition plan to support the USAF in taking over M&E functions;
- Provide refresher training on M&E to the USAF designated staff;
- Oversee the design and conduct of various M&E activities by the USAF;
- Review the results of studies undertaken and propose improvements;
- Assist in data analysis and interpretation;
- Ensure that staff is receiving adequate support to be able to implement their M&E functions and that data collection and analysis is on schedule and proving useful to the end-users;
- Review the system and propose amendments if required;
- Technical support for maintaining computer based M&E system.

### **4.3 In-House Staffing Requirements for Outsourced M&E**

In the case where the M&E function is outsourced to a contractor, the USAF will still require certain in-house staff to take on responsibilities for interacting with and overseeing the contractor's work. These roles will depend upon a specialized skill set among the designated USAF staff. However, in such cases a very lean internal M&E structure should be maintained.

The key capabilities among the staff should be in the following areas:

1. Project Management
2. Contract Management
3. Financial Controlling
4. Technical Monitoring
5. Socio-Economic Monitoring

The internal USAF M&E Manager ideally should possess skill sets 1 thru 3 listed above. An assigned Engineer should have experience with monitoring the technical aspects of the contract execution, and a Sociologist/Economist should have expertise in overseeing the non-engineering aspects. All of these positions can be part-time, with the designated personnel sharing these responsibilities with other functions within the agency. The ultimate objective of the team should be to ensure the desired level of results through proper monitoring and control of the contract, and to act as knowledgeable discussion partners for the contractor.

The table below provides a snapshot of recommended experience and minimum qualifications along with the level within the organizational hierarchy of the proposed M&E assigned staff:

<b>S. No</b>	<b>Designation</b>	<b>Experience</b>	<b>Level</b>	<b>Minimum qualification</b>	<b>Number</b>
1.	Manager M&E	5+ years of experience of project management	Manager	Masters level — Management, Social Sciences, or Engineering	1
2.	Sociologist/ Economist	3+ years of experience in capturing socio-economic aspects of development interventions	Professional	Masters level — Social Sciences (economics/sociology or other similar disciplines)	1
3.	Engineer	3+ years of field experience	Professional	Bachelors level — Engineering Electronics / Telecom	Workload dependent

## Annex I: Organizational Capacity Assessment

The following set of questions will help in assessing the capacity of the USAF organization in terms of M&E.

Question-1	Score
What is the organizational structure in context of M&E?	

Response	Scores
A separate M&E Unit with clear reporting lines existing, indicate a strong M&E setup viable for in-house M&E	2
A dedicated M&E human resource with no clear reporting line implies a weak M&E system within an organization	1
No M&E system within an organization structure	0

Key 1: Key to question 1

Question-2	Scores
What is the current M&E setup - human, financial, and technical resources?	
2.1 Human resources	
2.2 Budget (financial allocation) for M&E	
2.3 Equipment available for M&E	

Response	Scores
Sufficient	2
Needs Improvement	1
Non-existent	0

Key 2: Key to question 2 and 4

Question-3	Score
What is the rationale for creating M&E within the organization (Management's perspective)?	

Response	Scores
Clearly defined objectives, and policy exists regarding M&E	2
Management aware about M&E's importance but no written policy or objectives exist	1
No information available	0



Question-4	Scores
What skills exist within the organization in the following areas;	
4.1 Domain Knowledge of Monitoring & Evaluation	
4.2 Experience of working and demonstrated capability of managing M&E	
4.3 Designing and conducting research/surveys	
4.4 Data collection, management, and reporting	
4.5 Statistical Analysis	
4.6 Knowledge about econometrics	
4.7 Using research findings for decision making through recommendations	
4.8 Project management	
4.9 Development of computer based M&E system	

### Recommendations

- Maximum attainable score = 28
- Score above **90%** indicates sufficient capacity for In-house M&E
- Score between **60-89%** indicates capacity, which need to be built
- Score less than **60%** indicates weak capacity, where Outsourced M&E is the most plausible option

## Annex II: Human Resource Requirements for In-House M&E Setup

S. No	Designation	Experience	Level	Minimum qualification	Number
1	Manager M&E	10+ years of experience Project management, Monitoring & Evaluation of related projects in development sector	Manager	Masters Level Degree — Management, Social Sciences, and Engineering	1
2	Monitoring Specialist	(5+ years of experience in monitoring )	Specialist	Masters Level Degree — Management, and Social Sciences	1
3	Evaluation Specialist	(5+ years of conducting Evaluation )	Specialist	Masters Level Degree — Social Sciences	1
4	Survey Specialist	(5 + years of experience in developing and conducting surveys)	Specialist	Masters Level Degree — Management, and Social Sciences	1
5	Reporting Specialist	(5+ years of experience in report writing	Specialist	Masters Level Degree — Social Sciences (economics/sociology or other relevant disciplines)	1
6	Sociologist/ Economist	( 5+ years of experience in capturing of socio-economic aspects of development interventions)	Specialist	Masters Level Degree — Social Sciences (economics/sociology or other relevant disciplines)	1
7	Engineers	(3+ years of Experience)	Professional	Bachelors Level — Engineering electronics/ Telecom	Workload dependent

8	Data Analyst	(3+ years of experience in conducting data analysis and interpretation of data)	Professional	Masters Level Degree -- Management or Statistics	1
9	Database Coordinator	(5+ years of experience in developing and managing of databases)	Professional	Masters Level Degree — computer Sciences Database Management	1
10	Field coordinators	(3+ years of experience in field coordination)	Junior Professional	Bachelors Level Degree -- Sociology and other relevant disciplines	Workload dependent
11	Enumerators	( 3+ years of experience in enumeration of surveys)	Junior Professional	Bachelors Level Degree -- Sociology and other relevant disciplines	Workload dependent

Human resource requirements for M&E unit

# Annex III: Pre-Qualification EOI for Outsourcing M&E Firms

## Invitation to Pre-qualify (ITP)

Deadline: [INSERT TIME & DATE]

### Invitation for Prequalification For Providing Monitoring & Evaluation Services for [INSERT USAF] EOI-ITP/ [INSERT USAF]/M&E/[INSERT Ref No]

#### Technical Assistance for setting up, managing, and supporting M&E Services for [INSERT USAF]

The [INSERT USAF] of the [insert government body] calls for **Expressions of Interest (EOI) from international and national companies**, who have the capacity to provide technical assistance in setting up and managing Monitoring and Evaluation Services on behalf [INSERT USAF]. Firms having presence and experience within the region are highly encouraged to participate.

#### Background

[INSERT USAF background: its size and scope, projects, geographical presence, and other relevant information]

#### USAF Objectives:

[INSERT information about the core USAF objectives from the strategic plan]

#### Scope of the Work

The scope of work includes establishing and managing the M&E system for a period of XX year/s, assisting with the transition to an in-house M&E function within [INSERT USAF], as well as providing support to [INSERT USAF]'s operation of the system for another YY year/s, with the ultimate aim of developing the capacity of [INSERT USAF] staff to manage the M&E system independently.

The tasks under this assignment are divided in two phases:

Phase 1: System development and implementation phase

Phase 2: System transition (to internal USAF function) and ongoing support

The details of these phases are given in the Boxes below:

<b>Phase 1- System Development</b>
<ul style="list-style-type: none"><li>• Develop a detailed configuration of an M&amp;E unit which includes: identification of required human resources, their job descriptions, competency levels; and organization structure;</li><li>• Developing M&amp;E Plan which should address questions such as: What will be done? How it will be done? Who will do it? When it will be done? How much resources are required?</li><li>• Develop a computer based M&amp;E reporting system, along with user manuals and documentation;</li><li>• Install hardware and software required for M&amp;E and arrange training of computer operators;</li><li>• Develop a manual on M&amp;E for staff;</li><li>• Build capacity of the staff in terms of M&amp;E;</li><li>• Train ___ persons to conduct/supervise the data collection process;</li><li>• Design and conduct baseline surveys in the project areas;</li><li>• Develop impact assessment methodology and conduct impact assessment;</li><li>• Develop a resource pool of sufficiently trained local professionals in M&amp;E;</li><li>• Identify problems with the M&amp;E system and come up with solutions to those problems;</li><li>• Propose a transition strategy, which includes a description of how the system will be handed off to the USAF, and managed subsequent to the exit of the firm (optional).</li></ul>
<b>Phase 2-System Support</b>
<ul style="list-style-type: none"><li>• Develop a transition plan to support the USAF in taking over M&amp;E functions;</li><li>• Provide refresher training on M&amp;E to USAF designated staff;</li><li>• Oversee the design and conduct of various M&amp;E activities by [INSERT USAF];</li><li>• Review the results of studies undertaken and propose improvements;</li><li>• Assist in data analysis and interpretation;</li><li>• Ensure that staff is receiving adequate support to be able to implement their M&amp;E functions and that data collection and analysis is on schedule and proving useful</li></ul>

to the end-users;

- Review the system and propose amendments if required;
- Technical support for maintaining computer based M&E system.

The closing date for submitting a complete pre-qualification application form is [INSERT DATE] before [INSERT TIME] (**local time**). For further details and the Pre-qualification document, please visit [INSERT WEB LINK]

All documents on Pre-Qualification must be submitted in a sealed envelope marked:

*“Prequalification for Technical Assistance in M&E Services” at*

[INSERT MAILING ADDRESS]

[INSERT TELEPHONE & FAX]

Any requests for clarification about the contents of the Prequalification Application Document shall be sent via email to [INSERT EMAIL] and cc [INSERT ALTERNATE EMAIL ADDRESS]. Such request for clarification should be sent no later than **07 days** before the closing date above. No phone calls will be accepted. Answers to questions/inquiries will be posted on the [INSERT USAF] web site, and other web sites, on which this ITP is posted. While [INSERT USAF] will endeavor to provide response/clarification expeditiously, any delay in providing such information will not be considered a reason for extending the submission date of application for prequalification.

The submission for this ITP does not entail any commitment on the part of [INSERT USAF], either financial or otherwise. [INSERT USAF] reserves the right to accept or reject any or all ITPs without incurring any obligation to inform the affected applicant/s of the grounds.

[INSERT USAF] is not obliged to invite to participate in the subsequent bidding process any particular company which may have submitted a Prequalification application.

## Annex-III-a: Instructions To Applicants (ITA)

In addition to the essential guidance/instructions (provided through the ITA) vis-à-vis the Application for the Prequalification, the following are also to be considered during the submission of prequalification proposals by applicants.

### **1. Scope of Application:**

Procuring Entity [INSERT USAF] issues this EOI for Prequalification to applicants interested in bidding for “**Technical Assistance for setting up, managing, and supporting M&E Services for [INSERT USAF]**”.

### **2. Eligible Applicants:**

- a) An applicant shall be a Joint Venture (JV) or a legally established Single Entity. If it is a JV, it may have a maximum of [ ] members. One of the members of the JV shall be the lead member of the JV who shall have a majority (at least 50%) share of interest in the JV. The other members shall have a share of not less than 20%. In case of a JV, the lead partner cannot be an individual, i.e. it should be a Firm.
- b) An applicant shall submit only one application in the Prequalification process, either as a stand-alone Applicant or as a partner of a JV. No applicant can be a subcontractor while submitting an application in the same Prequalification process. A subcontractor in any application may participate in more than one application, but only in that capacity. An applicant who submits, or participates in, more than one application will cause all his applications in which the Applicant has participated to be disqualified.

### **3. Contents of Prequalification Document:**

The document for the prequalification of Applicants (hereinafter “Prequalification Document”) consists of the annexes indicated below, and should be read in conjunction with any Addendum that may be issued by the Procuring Entity ([INSERT USAF]).

- Annex-III-a: Instructions to Applicants
- Annex-III-b: Prequalification Data Sheet (PDS)
- Annex-III-c: Qualification Criteria and Requirements
- Annex-III-d: Application Forms

### **4. Amendment of Prequalification Document:**

- a) At any time prior to the deadline for submission of Applications, the Procuring Entity may amend the Prequalification Document by issuing addenda.
- b) Any addendum issued shall be part of the Prequalification Document and shall be communicated in writing by posting the addendum to the web page(s) on which the Prequalification Document is posted.
- c) To give prospective Applicants reasonable time to take an addendum into account in preparing their applications, the Procuring Entity may, at its discretion, extend the deadline for the submission of applications.

## **Preparation of Applications**

### **5. Cost of Applications:**

The Applicant shall bear all costs associated with the preparation and submission of the Application. The Procuring Entity will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the prequalification process.

### **6. Language of Application:**

The Application prepared by the Applicant and all correspondence and documents relating to the Application exchanged by the Applicants and the Procuring Entity shall be in English Language.

### **7. Documents Comprising the Application:**

The submitted pre-qualification information should include all relevant documents that are required for meeting the pre-qualification criteria as well as to enable the project management to undertake the evaluation. Applicants must provide the information that they are qualified to perform the services required during the course of the proposed project. The EOI must comprise of the following documents:

- i. Legal Registration of the firm/ company
- ii. Profile of the firm / company
- iii. List of contracts for similar job(s) done with name of client(s)
- iv. Indicate the financial worth and duration of the contracts during the last three years
- v. Provision of audited reports and / or financial accounts showing the financial strength of the firm in last 3 years
- vi. List of employees of the firms, professional and technical, with their qualification and experience
- vii. Distribution and location network of the company.

All Firms must have the requisite experience and proven technical and financial capacity for the areas of preference and preferred level of engagement.

### **8. Signing of the Application and Number of Copies:**

The Applicant shall prepare one original of the documents comprising the Application and clearly mark it "ORIGINAL". The original of the Application shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Applicant.

## **Submission of Applications**

### **9. Sealing and Identification of Applications:**

The Applicant shall enclose the original in a sealed envelope that shall

- a) bear the name and address of the Applicant;
- b) be addressed to the Procuring Entity; and



- c) bear the specific identification of this prequalification process indicated in the Prequalification Data Sheet

The Procuring Entity will accept no responsibility for not processing any envelope that was not identified as required.

The preferred method for sealing and identifying the outer envelope is provided below.

<p><b>FROM:</b> Applicant's Name and Address</p> <p><b>TO:</b> [INSERT PROCURING ENTITY NAME] [INSERT ADDRESS] <b>Tel.:</b> [INSERT TELEPHONE NUMBER(S)] <b>Fax:</b> [INSERT FAX NUMBER(S)]</p> <p><b>REF:</b> [INSERT REF NUMBER ]</p> <p><b>SUB:</b> " Technical Assistance for setting up, managing, and supporting M&amp;E Services for [INSERT USAF]"</p> <p><b>Deadline for Submission of Bids:</b> [INSERT TIME &amp; DATE]</p> <p style="text-align: center;"><b>DO NOT OPEN BEFORE OPENING DATE AND TIME!</b></p>
--

**10. Deadline for Submission of Applications:**

[INSERT DATE & TIME].

**11. Late Applications:**

Late applications shall be rejected.

**Procedures for Evaluation of Applications**

**12. Confidentiality:**

Information relating to the evaluation of Applications, and recommendation for prequalification, shall not be disclosed to Applicants or any other persons not officially concerned with such process until the notification of prequalification is made to all Applicants.

**13. Clarification of Applications:**

To assist in the evaluation of Applications, the Procuring Entity may, at its discretion, ask any Applicant for a clarification of its Application which shall be submitted within a stated reasonable period of time. Any request for clarification and all clarifications shall be in writing. If an Applicant does not provide clarification/s of the information requested by the date and time set in the Procuring Entity request for clarification, its Application may be rejected.

**14. Responsiveness of the Application:**

The Procuring Entity may reject any Application which is not responsive to the requirements of the Prequalification Document.

### **Evaluation of Applications and Prequalification of Applicants**

#### **15. Evaluation of Applications:**

The Procuring Entity shall use the factors, methods, criteria, and requirements defined in Annex-III-c, Qualification Criteria and Requirements to evaluate the qualifications of the Applicants. The use of other methods, criteria, or requirements shall not be permitted.

#### **16. Procuring Entity's Right to Accept or Reject Applications:**

All Applicants whose applications meet or exceed the specified threshold requirements will, to the exclusion of all others, be prequalified by the Procuring Entity.

#### **17. Invitation to Bid (after prequalification)**

- a) After the notification of the results of the prequalification, the Procuring Entity shall invite Financial Bids from all the Applicants that have been prequalified.
- b) Bidders may be required to provide a Bid Security or a Bank Guarantee acceptable to the Procuring Entity in the form and an amount to be specified in the Bidding Documents, and the successful Bidder shall be required to provide a Performance Security as specified in the Bidding Documents.

#### **18. Changes in Qualifications of Applicants:**

Any change in the structure or formation of an Applicant after being prequalified and invited to bid shall be subject to a written approval of the Procuring Entity prior to the deadline for submission of bids. Such approval shall be denied if as a consequence of the change the Applicant no longer substantially meets any one of the qualification criteria set forth in the Qualification Criteria and Requirements, or if in the opinion of the Procuring Entity, a substantial reduction in competition may result. Any such changes shall be submitted to the Procuring Entity not later than 14 days after the date of the Invitation for Bids.

## Annex III-b: Prequalification Data Sheet

(To be provided by the Procuring Entity – the USAF – to all potential Applicants)

Introduction		
1	Procuring Entity	[INSERT USAF]
2	Application Process:	Invitation to Prequalification (ITP) For Setting up Monitoring & Evaluation Unit for [INSERT USAF]
3	Identification No.	[INSERT NO]
4	Title of the project	Technical Assistance for setting up, managing and supporting M&E Unit for [INSERT USAF]
5	Procuring entity address	[INSERT COMPLETE MAILING ADDRESS] [INSERT PHONE NUMBER] [INSERT FAX NUMBER] [INSERT EMAIL]
6	Clarification Requests	Requests for clarification should be received by the Procuring entity no later than <b>7 (seven) days</b> prior to the deadline for submission of prequalification-proposals to the fax number or email given at serial number 5 above
7	Language of the Application	Language of the application should be English

## Annex III-c: Pre-qualification Evaluation Criteria

Description	Total 'getable'
<b>Eligibility of firm (15)</b>	
Constitution or legal status of Bidder ( <i>Place of registration, Principal place of business, Power of attorney Company representative</i> )	5
General organizational capabilities, size of the firm, geographical coverage	10
<b>Experience (30)</b>	
Experience in M&E support contracts in the role of contractor, sub-contractor, or management contractor during at least the last five (5) years.	5
Participation as contractor, management contractor or sub-contractor, in at least three (3) contracts within the last five (5) years, each with a value of at least US\$ [ <i>Determine the value of contract</i> ] that have been successfully and substantially completed and that are similar to the proposed services.	10
For the above or other contracts executed during the last five (5) years, a minimum M&E experience in the following key areas: - <i>Ability to develop and manage M&amp;E systems.</i> - <i>Ability to deploy competent human resources in the project areas and develop the capacity of the local staff</i> - <i>Demonstrated ability of conducting evaluations in similar geographic areas, preferably in Africa.</i>	15
<b>Financial capacity (15)</b>	
Audited Financial Statements for the last <b>three (3) years</b> .	15
<b>Personnel Qualification (25)</b>	
Staff having project management experience (five years or above)	5
Staff having experience of developing monitoring systems (five years or above)	5
Staff having experience of conducting evaluation (five years or above)	5
Experience in developing computer based M&E system (five years or above)	5
Experience of Capacity Building (five years or above)	5

<b>Local Presence (15)</b>	
Firm has local presence either own office or through partnership with a local firm	15
<b>Qualifying Marks 80% (proposed)</b>	<b>100</b>

### Annex III-d: Application Prequalification Submission Form:

*(To be printed on company letterhead, signed, dated and stamped)*

Date: [insert day, month, year]

To: [INSERT USAF]  
[INSERT Address]

We, the undersigned, apply to be prequalified for the referenced EOI and declare that:

- (a) We have examined and have no reservations as to the Prequalification Documents, including any Annexure (or Addenda to same effect), issued by the procuring entity in accordance with Instructions to Applicants.
- (b) We understand that you may cancel the prequalification process at any time and that you are neither bound to accept any application that you may receive nor to invite the prequalified applicants to bid for the contract subject of this prequalification, without incurring any liability to the Applicants.
- (c) The following information shall be used by [INSERT USAF] to notify us:

Point of Contact Name:
Title of point of Contact:
Firm's Name:
Address:
Telephone:
Fax:
Email:

Regards

Signed [insert signature(s) of an authorized representative(s) of the Applicant]

Name [insert full name of person signing the application]

In the Capacity of [insert capacity of person signing the application]

Duly authorized to sign the application for and on behalf of: Applicant's Name [insert full name of Applicant] Address [insert street number/town or city/country address]

Dated on [insert day number] day of [insert month], [insert year]

# Annex IV: RFP for Monitoring and Evaluation Setup, Service, and Support

## A. Introduction

This Request for Proposal (RFP) is to solicit proposals (Bids) from prequalified firms, which have expressed their interest to develop a Monitoring and Evaluation (M&E) system and to provide M&E services to a USAF.

[INSERT DETAILS OF PROJECT].

Prequalified firms are requested to submit their technical and financial Bids in line with the following sections, no later than [INSERT DATE & TIME].

## B. General Instructions to Bidders

General instructions for the submission of Bid are listed below:

- The bidder shall submit, according to the required specifications, a formal Technical and Financial Bid simultaneously.
- The Bid shall be evaluated in accordance with the specified evaluation criteria (see subsequent RFP part)
- [INSERT USAF] reserves the right to revise, delete, modify or add to the technical requirements or evaluation criteria. Under such circumstances bidders will be asked to submit fresh Bids.
- The Bid shall be clear and elaborative. Different sections of the Bid shall be separated using colored separators, flags or tags.
- The Bid shall be in the English language.
- The Bid should be valid for a period of three months from the date of submission.
- Each page of the Bid shall be signed by an authorized representative of the bidder.
- The representative's authorization shall be confirmed by power of attorney accompanying the Bid.
- Bidder may request in writing for clarification of any of the provisions of this RFP [INSERT THE NUMBER OF DAYS] days before the Bid submission date.
- [INSERT OTHER INSTRUCTIONS AS PER THE PROCUREMENT POLICIES ]

## C. Specific Instructions for submission of the Technical Bid

Bids shall be in compliance with the requirements laid down in this RFP and Terms of Reference (**Annex-IV-a**).

Technical Bids shall include:

- a) **Covering Letter:** A covering letter from the head of the company or an authorized representative summarizing the Bid submitted.
- b) **Company's profile:** A brief description of the company, major areas of expertise, with special references of work experience for similar projects, names of the clients, assignment duration, geographical presence, financial statements of the company and any other information that the company would like to share about itself.
- c) **Organization Chart and Team Composition:** Team composition and roles and responsibilities of the proposed team members.
- d) **CVs of the core team members:** CVs of the proposed core professional staff shall be attached. The key information in the CVs shall include the current assignment, relevant working experiences, degree of responsibility held at various assignments and the details of relevant expertise.
- e) **Profiles of Partners/Partner Organizations:** Brief profiles of suggested partners/partner organizations, major areas of expertise, geographical presence, with special references of work experience of similar projects and any other information that the company would like to share about the partners.
- f) **Description of the methodology:** Detailed methodology, work plan and list of activities shall be given. Work flows and the roles and responsibilities of the individuals and partners working on the assignment shall be clearly defined. The proposed methodologies will be evaluated during the technical evaluation and will form an integral part of the contract.
- g) **Contact list:** A contact list of the concerned staff for this project shall be attached. Please provide details of at least two persons; one primary, one secondary.
- h) **Financial Reports**
- i) [ANY OTHER INFORMATION REAQUIRED AS PER THE ORGANIZATIONAL POLICY/PROCEDURE]
- j) **Additional Information** (If any)

**D. Specific Instructions for submission of the Financial Bid**

The bidder is requested to submit a detailed, itemized budget along with the Technical Bid.

**E. Submission, Receipt, and Opening of Bids**

The original Bid shall be prepared without any interlineations or overwriting. Please note:

- a) Bids must be delivered at the address given below on or before [INSERT DATE & TIME].

[INSERT NAME OF PROCURING ENTITY OFFICIAL]



[INSERT COMPLETE MAILING ADDRESS]

[PHONE]

[EMAIL]

- b) Bids shall be opened at [INSERT TIME, DATE, & VENUE] in front of all the bidders who choose to be present.

#### F. Evaluation Criteria

The evaluation committee appointed by the [INSERT USAF] will evaluate the Bids on the basis of their compliance with the RFP and the Terms of Reference, applying the evaluation criteria, sub-criteria and the point system as specified below. A Bid shall be rejected at this stage if it does not respond to the basic idea and other important aspects of the RFP and Terms of Reference or if fails to obtain the minimum [800] points.

Item	Assigned weights
<b>1- Qualifications of Bidder (150)</b>	
a. Experience in similar projects	50
b. Experience in similar geographic areas	50
c. Prior experience of working with the USAF	50
<b>2- Approach and methodology (400)</b>	
a. Understanding of objectives	100
b. Quality of methodology	100
c. Innovation in proposed approach	50
d. Work plan/ time lines	50
e. Presentation of the Bid	50
f. Partnership with a local firm	50
<b>3- Personnel (450)</b>	
a. Team leader	100
b. Monitoring specialist	50
c. Evaluation specialist	50
d. Survey specialist	50
e. Sociologist/Economist	50

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f. Reporting Specialist	50
g. Other Staff	100

### **G. Financial Bids**

The sealed Financial Bid in response to the RFP of all the Firms declared Technically Responsive will be opened by the Committee formed for this purpose (Auction Committee) in front of representatives of all the Applicants who choose to be present. The Firm quoting the lowest price among the 'Technically Responsive' Applicants will be declared as the Winner.

### **H. Award of Contract**

The contract will be awarded to the Firm, which offers the lowest price among the technically responsive Firms.

## Annex IV-a: Terms of Reference (ToRs) for M&E Contract

### A. Preamble

[PLEASE INSERT RELEVANT BACKGROUND INFORMATION]

### B. Project

[INSERT DESCRIPTION OF PROJECT INCLUDING GEOGRAPHIC OUTREACH, CONFIGURATION, NUMBERS AND OTHER RELEVANT INFORMATION]

### C. Scope of Work

The scope of work under this assignment comprises of two phases. The first phase comprises the development and implementation of the M&E system on behalf of [INSERT USAF]. The second phase comprises assisting with the transition to in-house management of the M&E system by [INSERT USAF], and providing ongoing support for a period [To be determined]. The detail of tasks under each phase is given in the list below.

#### **Phase 1- System Development**

- Develop a detailed configuration of an M&E unit which includes: identification of required human resources, their job descriptions, competency levels; and organization structure;
- Developing M&E Plan which should address questions such as: What will be done? How it will be done? Who will do it? When it will be done? How much resources are required?
- Develop a computer based M&E reporting system, along with user manuals and documentation;
- Install hardware and software required for M&E and arrange training of computer operators;
- Develop a manual on M&E for staff;
- Build capacity of the staff in terms of M&E;
- Train \_\_ persons to conduct/supervise the data collection process;
- Design and conduct baseline surveys in the project areas;
- Develop impact assessment methodology and conduct impact assessment;
- Develop a resource pool of sufficiently trained local professionals in M&E;
- Identify problems with the M&E system and come up with solutions to those problems;
- Propose a transition strategy, which includes a description of how the system will be handed off to [INSERT USAF] and managed subsequent to the exit of the firm (optional).

#### **Phase 2- System Support**

- Develop a transition plan to support [INSERT USAF] in taking over M&E functions;

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- Provide refresher training on M&E to USAF designated staff;
- Oversee the design and conduct of various M&E activities by [INSERT USAF];
- Review the results of studies undertaken and propose improvements;
- Assist in data analysis and interpretation;
- Ensure that staff is receiving adequate support to be able to implement their M&E functions and that data collection and analysis is on schedule and proving useful to the end-users;
- Review the system and propose amendments if required;
- Technical support for maintaining computer based M&E system.

### D. Key Personnel

A list of key personnel anticipated to be required to carry out the services is given below; bidders should identify the proposed persons for each position:

- a) Team leader
- b) Monitoring Specialist
- c) Evaluation Specialist
- d) Survey Specialist
- e) Sociologist/Economist
- f) Reporting Specialist
- g) Other staff as per the methodology

### E. Obligations of the successful Contractor

The selected firm will work in very close collaboration with the USAF Project Manager, or anyone assigned by the USAF, will exchange information regarding progress of the assignment, and take his/her advice wherever required.

### F. Time Frame

The total (tentative) duration of the assignment will be [three] years: i.e. [two] years for the system development and implementation/management phase; and [one] year for system transition and ongoing support, subsequent to the completion of phase 1.

### G. Deliverables

The key deliverables are listed below:

#### Phase 1

- a) Design of M&E system
- b) M&E Plan
- c) Computer based M&E System, user manual(s), and documentation
- d) Manual on M&E functions and operations
- e) Interim reports covering progress

**Phase 2**

- a) M&E Transition Plan
- b) Comprehensive Baseline Report
- c) Annual Progress Monitoring Report/s
- d) Impact Assessment Report/s
- e) Other reports (*added as per the requirements of the organization*)

**H. Payment Modality**

[INSERT PAYMENT SCHEDULE AS PER ORGANIZATIONAL POLICY/PRACTICE]

Annex IV-b: Criteria for evaluation of Technical Bid

<b>Item</b>	<b>Assigned weights</b>
<b>1-Qualifications of Bidder (150)</b>	
a. Experience in similar projects	50
b. Experience in similar geographic areas	50
c. Prior experience of working with USAF	50
<b>2-Approach and methodology (400)</b>	
d. Understanding of objectives	100
e. Quality of methodology	100
f. Innovation in proposed approach	50
g. Work plan/ time lines	50
h. Presentation of the Bid	50
i. Partnership with a local firm	50
<b>3-Personnel (450)</b>	
j. Team leader	100
k. Monitoring specialist	50
l. Evaluation specialist	50
m. Survey specialist	50
n. Sociologist/Economist	50
o. Reporting Specialist	50
p. Other Staff	100
<b>TOTAL</b>	

Qualifying score: 800 or above

## Rating Definition

Rating	Marks	Definition
<b>Excellent</b>	100%	The Bid substantially exceeds the sub-criteria requirements.
<b>Very Good</b>	90%	The Bid exceeds the sub criteria requirements.
<b>Above Average</b>	80%	The Bid fully meets the sub-criteria requirements.
<b>Average</b>	70%	The Bid adequately meets the sub-criteria requirements, but there are minor deficiencies.
<b>Below Average</b>	50%	The Bid has significant deficiencies against the sub-criteria requirements that will probably impact negatively on the implementation of the assignment.
<b>Non-complying</b>	0%	The Bid either does not comply with the sub-criteria requirements or does not provide enough information to allow a higher rating.

Annex- IV-c: An Example of Evaluating a Technical Bid**Methodology for Evaluating Technical Bid**

The technical Bids will be evaluated based on the evaluation criteria (**Annex-IV-b**). Each item is evaluated based on the rating criteria and then total points are calculated. Firms meeting or exceeding the preset threshold (e.g. 800 points), are declared responsive and firms unable to meet the threshold are declared non-responsive.

Following is an illustrated **EXAMPLE** of an evaluation of a technical Bid.

Items	Assigned weights	Evaluated Rating	Points
<b>1- Qualifications of Bidder (150)</b>			
a. Experience in similar projects	50	100%	50
b. Experience in similar geographic areas	50	90%	45
c. Prior experience of working with USAF	50	0%	0
<b>2- Approach and methodology (400)</b>			
a. Understanding of objectives	100	90%	90
b. Quality of methodology	100	100%	100
c. Innovation in proposed approach	50	90%	45
d. Work plan/ time lines	50	80%	40
e. Presentation of the Bid	50	90%	45
f. Partnership with a local firm	50	70%	35
<b>3- Personnel (450)</b>			
a. Team leader	100	80%	80
b. Monitoring specialist	50	70%	35
c. Evaluation specialist	50	90%	45
d. Survey specialist	50	100%	50
e. Sociologist/Economist	50	80%	40



f. Reporting Specialist	50	90%	45
g. Other Staff	100	90%	90
Total Evaluated Points			<b>835</b>

In the above example, the threshold is 800 points so the Firm is declared “Technically Responsive”.