

STATE PROJECT IMPLEMENTATION UNIT

UTTARAKHAND WORKFORCE DEVELOPMENT PROJECT

GOVT. ITI (WOMEN), 26 EC ROAD, DEHRADUN-248001

EMAIL: spiuuttarakhand@gmail.com

REQUEST FOR EXPRESSION OF INTEREST

ASSIGNMENT TITLE: Hiring of Consultancy firm for Independent Verification
/Third Party Validation (DLIs).

Government of Uttarakhand has received a loan from the World Bank towards the cost of Uttarakhand Work Force Development Project in Uttarakhand, India and intends to apply a part of proceeds for Hiring of Consultancy firm for Independent Verification/Third Party Validation (DLIs). The Expression of interest (EOI) are being invited for the assignment. Details for the assignment can be downloaded from the website: www.uksdm.org , EOIs must be delivered in a document form (Hard Copy) at the address given above (in person, by post) by 1700 hours on 10th Oct, 2019. A pre consultation meeting shall be held on 27th Sept. 2019, 11.00 AM at SPIU Conference Hall, Govt. ITI (Women), 26 E.C. Road, Dehradun.

PROJECT DIRECTOR

REQUEST FOR EXPRESSION OF INTEREST
(CONSULTING SERVICES-FIRMS SELECTION)

Name of Country: India
Name of Project: Uttarakhand Work Force Development Project (UKWDP)
Consulting service: Hiring of Consultancy firm for Independent Verification/Third Party Validation (DLIs).
Period of Consultancy: 3-4 Years
Project No.: P-154525
Expression of Interest:

1. The Project Director, Uttarakhand Work Force Development (UKWDP), Government of Uttarakhand, has received a loan from the International Bank for Reconstruction and Development (IBRD), and intends to apply part of the loan proceeds to make payments under the contract for Uttarakhand Work Force Development Project.
2. The UKWDP is a Workforce Development Project for improving the comprehensive quality and relevance of 25 priority Govt. ITIs in the 13 districts of Uttarakhand and industry cluster areas of the State and to conduct trainings of staff at all 148 functional govt. ITIs in the state. The period of the Project is from 2018 to 2023.
3. In order to strengthen state systems and capacity and ensure a strong focus on results, a Results Based Financing (RBF) modality will be used. The RBF approach utilises a system of Disbursement Linked Indicators (DLIs), which specifies targets that must be met, according to an agreed timeline, for funding to be released.
4. The loan agreement specifies 5 DLIs, which will measure progress towards key project outcomes. Please see annex 3 for DLI details. As the main implementing agency for the UKWDP, the Project Director is responsible for carrying out project monitoring and evaluation activities including verifying and reporting on DLI achievements.
5. This consultancy is for an independent verification agency (IVA) to verify and report on the achievement of selected DLIs (DLI-1,2,3,4) according to agreed protocols and standards.
6. The consulting firm will commence independent verification of DLIs immediately after signing of contract or the date specified by Project Director. The total period of consultancy shall be 3-4 years.
7. **The Evaluation Criteria for selecting the Consulting Firm:** Annexed as **Annexure-1**
8. **Terms of Reference:** Annexed as **Annexure-2**
9. The attention of interested Consultants is drawn to paragraph 1.9 of the World Bank's *Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers* (January 2011, revised July 2014) ("Consultant Guidelines"), setting forth the World Bank's policy on conflict of interest. In addition, please refer to the

following specific information on conflict of interest related to this assignment: conflict between consulting activities and procurement of goods, works or non-consulting services; conflict among consulting assignments; and relationship with borrower's staff.

10. Consortium or Joint venture is allowed by the consulting firm.
11. A Consultant will be selected in accordance with the QCBS method set out in the Consultant Guidelines.
12. Further information can be obtained at the address below during office hours from 10.00 to 17.00 hours or by attending a pre-consultation meeting which shall be held on **27th Sept, 2019 at 11:00 AM at SPIU Conference Hall, Govt. ITI (Women), 26 EC Road, Dehradun**. The consulting firms may participate in this meeting on their own expenses. Attending the pre-consultation meeting is not mandatory. The minutes of this meeting can be viewed by all on the website- www.uksdm.org
13. Expressions of interest (EOI) must be delivered in a written form and should include firm's demonstrated capacity to provide the required expertise. Expressions of interest must be delivered to the address below through registered post/speed post/ courier/ by-Hand by **10th October, 2019 till 1700 hrs**.

Uttarakhand Workforce Development Project
The Project Director,
State Project Implementation Unit (Govt. Girls ITI Campus),
26 EC Road, Near Survey Chowk, Dehradun, 248001, Uttarakhand
E-mail: spiuuttarakhand@gmail.com

Annexure – 1

EVALUATION CRITERIA FOR SELECTION OF CONSULTING FIRM

Evaluation Criteria: Expression of Interest (EOI)

| S. No. | Basic Requirement | Specific Requirement | Documents submitted to be with the EoI |
|---------------|--------------------------|--|--|
| 1 | Legal Entity | The entity must be legally registered under appropriate authority in India. The consultant must be registered under GST Act 2017. | a. Copy of certificate of Incorporation /Registration b. Copy of GST Registration c. Copy of valid PAN |
| 2 | Experience as IVA | The entity should have 5 years of experience in the field of Third-Party Evaluation/ End-line Study/ End-Term Evaluation/ Impact Assessment as on March 31, 2019. The consultant should have experience of carrying out minimum of five Third Party Evaluation/End line Study/End-Term Evaluation/Impact Assessment of projects under Central / State Government / EAPs / Autonomous Bodies / National & International organization (Externally aided projects funded through Ministry of Economic affairs, Govt of India by World Bank, DFID, JICA, ADB, etc.) each with contract value of \geq Rs. 15 Lakh and duration of \geq 2 months. | Copies of engagement such as Work Order / Contract Document / Completion Certificate (Information to be provided as per format A-4) |
| 3 | Turn Over | The entity should have an average annual turnover of Rs. 50 Lakh during the past three financial years (2016-17, 2017-18, 2018-19). | Copies of audited balance sheet and profit and loss account with all schedules and a turnover certificate certified by the Chartered Account and by the bidder along with the acknowledgement of Income Tax return as proof for passed 03 FYs (2016-17, 2017-18, 2018-19). |
| 4 | Affirmative statement | Bidder shall furnish an affirmative statement as to the existence of any potential conflict of interest on the part of the bidder due to prior, current or proposed agreements, engagements, or affiliations with the Client. | Self-Declaration from the Bidder as per the format (A-5) |

| | | | |
|---|-----------|---|--|
| 5 | Blacklist | The firm should not have unsatisfactory track record resulting in adverse action taken by Central/State Governments in India Mandatory Certificate to be enclosed with EoI. | An undertaking must be submitted notarized on Rs.100/- stamp paper to be given in this regard by the authorized person of the firm. (A-6). |
|---|-----------|---|--|

***Mandatory Requirement-**

It is mandatory for the consulting firm that it meets all the evaluation criteria as listed above. If any of the criteria is not met, then in that case the applicant consulting firm shall be declared ineligible.

Annexure -2

Government of Uttarakhand Uttarakhand Workforce Development Project (UKWDP)

Terms of References for Hiring of Consultancy firm for Independent Verification/Third Party Validation of Disbursement-Linked Indicators (DLIs)

I. Background

The Department of Skill Development and Employment (DSDE), Government of Uttarakhand (GoUK) with support from the World Bank is implementing the program "Uttarakhand Workforce Development Project (UKWDP)" during FY 2018-2023. The Project Development Objective (PDO) is to improve the quality and relevance of training at priority Industrial Training Institutes (ITIs) and to increase the number of labour market relevant workers through short term training in Uttarakhand. The program includes improving the job placement rate among graduates of priority ITIs, number of students enrolled in labour market relevant trades in priority ITIs, job placement rate among short course pass outs and number of target trainees who obtain certification from a short-term training course.

The program is supporting 25 Government Industrial Training Institutes (GITIs) of the state and Private Training Providers (PTPs).

The project is financed by the Government of Uttarakhand, in part by a loan of USD 74 million from the World Bank and USD 18.5 million from the Government of Uttarakhand. To improve the service delivery as per the committed objectives, a Results Based Financing (RBF) modality will be used. The RBF approach utilizes a system of Disbursement Linked Indicators (DLIs), which specifies targets that must be met, according to an agreed timeline, for funds to be released.

The loan agreement between the IBRD (The World Bank) and the Government of India specifies five DLIs, which will measure progress towards key project outcomes. The department of Skill Development and Employment (DSDE) is the main implementing agency for UKWDP and the Project Director (PD) is responsible for carrying out project monitoring and evaluation activities including verifying and reporting on DLI achievements. Out of 05 DLIs, 04 DLIs (DLI-1,2,3,4) shall be verified by an independent verification agency (IVA).

This consultancy is for engaging an IVA to verify and report on the achievement of all five DLIs according to agreed verification protocols, standards and sampling procedure, as approved by Project Director and the World Bank.

II. Objective

The IVA shall be responsible for the conduct of independent and transparent verification of achievement on 04 DLIs (see Annexure-3) and producing independent verification reports for submission to Project Director, UKWDP. The responsibilities of the IVA shall be to:

- a. Develop methodology for assessing achievement on each DLI (see Annexure-3) based on verification protocol, and approved by the Project Director, UKWDP.
- b. Verify achievement of each DLI per verification protocol and methodology using appropriate, approved data collection instruments
- c. Prepare individual and comprehensive verification reports for DLIs 1 to 4 on sampled Government ITIs and submit it to Project Director, UKWDP, in the form acceptable to Project Director, UKWDP. Also maintain all evidence and records from the verification activities (for example, data from surveys, interviews, documentary evidence, etc)
- d. Carry out all other relevant actions necessary for the successful conduct of the independent verification of achievement of the DLIs.

III. Key Steps and Methodology

All costs necessary for completing the assignment will be borne by the IVA as per the budget approved by Project Director, UKWDP.

The IVA will be engaged for 1 year initially and its contract can be renewed in subsequent years' subject to satisfactory performance.

The IVA will be engaged for 90 days each year. Table 1 summarises the task to be carried out by IVA to accomplish the assignment each year.

Table 1: Tasks and Timeline for IVA

| S. No. | Tasks for each round of verification | Timeline |
|--------|---|--------------------------|
| | | T=Contract Signing date. |
| 1 | Submit the list of team members for Approval by Project Director, UKWDP | T+07 Days |
| 2 | Develop methodology for verification of each DLI with plan for data collection and instruments to be used | T+20 Days |
| 3 | Data collection from ITIs/Students/etc. as specified in the methodology | T+50 Days |
| 4 | Submit draft verification report to Project Director, UKWDP | T+70 days |
| 5 | Suggestions of Project Director, UKWDP | T+80 Days |
| 6 | Submit final verification report to Project Director, UKWDP | T+90 Days |

Table-2: Key Steps and Methodology for IVA

| Verification Step | Specific Tasks |
|---|--|
| 1. Develop work plan and methodology | <ul style="list-style-type: none"> Understand the verification protocol for DLIs 1 to 4. Identify the primary data to be collected and secondary data available for each DLI Design a verification methodology, based on the verification protocol, that provides the strongest evidence for the assessed value of each indicator, given data and institutional constraints Carry out sample verification as per Project Director, UKWDP requirement Provide copies of the verification methodology and tools used to PD for review and approval Follow the timeline for verification strictly and assign personnel as specified under section 6 of the ToR. Identify the time frame for verification, establish strict timelines and assign personnel. |
| 2. Develop sampling strategies and data collection instruments (if required) | <ul style="list-style-type: none"> Design appropriate questionnaires and interview schedule for each indicator Design a sampling strategy that is representative across the various categories of institutions and/or individuals covered by the indicator Provide copies of the questionnaires, interview schedule and sampling strategy to Project Director, UKWDP for review and approval. Identify and train personnel to carry out the data collection |

| | |
|---|--|
| 3. Carry out assessment and verification activities | <ul style="list-style-type: none"> • Collect data in strict adherence to the approved verification methodology • Employ data quality checks as required • Assess the value of each indicator, following the verification protocol • Document any deviations from the approved methodology and identify any assumptions made to assess the value of the indicator |
| 4. Carryout Quality Assurance Activity | <ul style="list-style-type: none"> ○ The IVA shall develop and adhere to quality assurance protocols which ensure appropriate quality checks at the ITIs / Project Director, UKWDP levels as well as internally. |
| 4. Maintain documentary evidence, records and datasets | <ul style="list-style-type: none"> • Maintain records of all verification activities • Maintain well-formatted datasets so the computation procedure used can be replicated, if required • Provide records and data to the Project Director, UKWDP. |
| 5. Analyse discrepancies | <ul style="list-style-type: none"> • Identify any discrepancies between the verified value of each indicator and the value reported by the Project Director, UKWDP or Government ITI. • Identify differences in data sources, collection methodology, sampling strategy or computation procedure that may have led to the discrepancy and provide a brief explanation |
| 6. Prepare verification reports | <p>Prepare a verification report on all four DLIs, which contains-</p> <ul style="list-style-type: none"> • A summary of verification activities • The verified value of each indicator. • Details of any deviation from the approved verification methodology and assumptions made to assess the value of each indicator • An analysis of any discrepancies in indicator values (step 5) • Recommended disbursement levels • A list of all available datasets and records of verification activities |
| 7. Other Responsibilities | <p>In addition to the key steps and methodology outlined in Table 1, the IVA will:</p> <ol style="list-style-type: none"> a) Maintain regular communication with the Project Director, UKWDP regarding verification activities. b) Provide timely responses and feedback to queries and instructions issued by the Project Director, UKWDP. c) Obtain prior approval before amending agreed upon work plans, verification methodologies, data collection instruments and sampling strategies. d) Obtain prior approval for any changes in personnel assigned to this consultancy. e) Maintain the highest standards of independence, confidentiality and professional ethics. |

IV-**Scope of Work:**

The IVA will be responsible for the following activities related to the conduct and management of the independent verification of the achievements of the DLIs:

- ***Inception Stage Work-Plan and Sampling Plan:*** The IVA shall submit a detailed work-plan as written in table-1 from serial no. 3 to 6 for each year and confirm the deployment of management structures. In addition, the IVA shall prepare the sampling plan for approval by Project Director, UKWDP.
- ***Deployment of Team:*** The IVA shall specify the following teams: Dedicated personnel to be available during the entire period of the verification process and analysis/reporting. This team should comprise 01 Team Leader, 01 Monitoring and Evaluation Specialist, 01 civil engineer, 2 Field Investigators and 01 Data Entry Operator. The IVA will deploy Field Investigators who will carry out field data collection including ITIs surveys, and observation-based data. The proposal shall indicate the system of deployment of investigators for field data collection, back-checks, and quality assurance.
- ***Data Processing and Analysis Systems:*** The IVA shall design and set up the back-end data processing systems (simple and robust) to host field data and share with Project Director, UKWDP.
- ***Finalize Data Collection Instruments:*** The IVA shall be responsible for the design of data collection instruments, pre-testing, and finalization for each DLI in consultation with Project Director, UKWDP.
- ***Data Collection and Reporting:*** The IVA shall produce a field visit report to Project Director, UKWDP for the entire data collection period. This will include sampling procedures, and protocol of supervision and quality checks. The IVA shall update on the progress on independent verification of the sample ITIs as per table-1 serial no. 4 and validation checks undertaken by it. Dates of fieldwork, listing of samples (students, PTPs, ITIs, and documents) and record of any substitution of samples that may have been required along with reasons for the same, will be presented in the draft final report.
- ***Independent Verification Reports:*** The IVA shall be responsible for final data processing including running internal parity checks. The IVA shall produce detailed independent verification reports on achievement on all DLIs.

V. **IVA's Inputs and Resources Required**

Project Director, UKWDP will assess the demonstrated experience and capacity of the interested agencies applying for this consultancy assignment for ensuring credible verification. The assignment requires a firm or agency with skills and experience in independent third-party assessment / verification, relevant M&E systems, and in conducting evaluations of Education, Technical/Vocational Education or other social sector.

The IVA team must comprise the following managerial, field investigators and data entry operator positions, with qualifications and experience as mentioned.

Table 2: Suggested Team Composition and Time to be Engaged

| <i>Position</i> | Nos | Time Required | Qualifications and Experience |
|--|------------|----------------------|--|
| Key – Expert; K – 1 Team Leader - Represent IVA in meetings at state level. Plan, supervise, coordinate and manage the entire independent verification process. | One | 03 Months | <ul style="list-style-type: none"> • Post Graduate in Education, Economics, Statistics, Mathematics, Social Sciences or equivalent. • At least 7 years of experience in managing large-scale surveys/studies (end-line, end-term evaluation/impact assessment) as Team Leader. • Experience in managing surveys/studies in education, Technical/Vocational Education correlated sectors, is an advantage. |
| Key Expert: K – 2 Monitoring and Evaluation Specialist- Plan, supervise, coordinate and manage the entire independent verification process. | One | 03 Month | <ul style="list-style-type: none"> • Post Graduate in Education, Economics, Statistics, Mathematics, Social Sciences or equivalent. • At least 5 years of experience in managing large-scale surveys/studies (end-line, end-term evaluation/impact assessment). • Experience in managing surveys/studies in education, Technical/Vocational Education correlated sectors, is an advantage. |
| <i>Civil Engineer- shall assess the activities (Civil works, procurement of equipment's etc. activities completed as per IISP</i> | One | 01 Months | BE / B. Tech / B.Sc. Engg. In Civil Engineering with 5 years' experience of civil construction works and assessment of various infrastructure facilities. |
| Field Investigators –Carry out field data collection, institutions surveys and collect observation-based data from ITIs and PTPs as per work plan. | Two | 01 Month | <ul style="list-style-type: none"> • Undergraduate in any field with one year experience in Data collections |
| Data Entry Operator – Support the team in secretarial assistance as well as data entry. | One | 03 Month | <ul style="list-style-type: none"> • Undergraduate in any field with computer skills/ NSQF Level-3 or, above in relevant trade with one year relevant experience |

Note:

1. CVs of only key experts will be evaluated at the Technical evaluation stage.
2. Consultants may propose experts; support staff etc. as may be required to accomplish the task on time as part of non-key experts.
3. The firm will make its own arrangements for all the activities it has to perform in meeting the scope of services under this consultancy. This will include all travel and logistic arrangements required for its team for field verification and desk review for each DLIs.

VI. Implementation Arrangement

The IVA will report to PD and also work closely with officials of SPIU, UKWDP for completion of the assignment. PD will provide the required project documents and access to any available data sets. PD will also arrange, as required, introductions to ITIs, PTPs and other stakeholders. The IVA will be responsible for administering all data collection instruments.

Year wise Verification Schedule of DLIs

| S No. | Name of DLI | Year 2 FY(19-20) | Year 3 FY(20-21) | Year 4 FY(21-22) | Year 5 FY(22-23) | Remarks |
|-------|---|---|---------------------|---------------------|---------------------|--|
| 1 | <i>DLI-1 Increasing the quality of training and enrollment in Priority ITIs</i> | To be Verified | To be Verified | To be Verified | To be Verified | All 25 Priority ITIs to be verified each year. |
| | <i>Frequency of Verification</i> | To be verified in Oct/Nov each year. | | | | |
| 2 | <i>DLI-2 Continuous professional development of all ITI teachers and staff</i> | To be Verified | To be Verified | To be Verified | To be Verified | 10% of Total Staff trained to be verified each year |
| | <i>Frequency of Verification</i> | To be verified in Apr/May each year. | | | | |
| 3 | <i>DLI-3 Improving employment outcomes of ITI graduates</i> | - | To be Verified | To be Verified | To be Verified | 10% sample verification for graduates (DLI3-ii) |
| | <i>Frequency of Verification</i> | To be verified in Oct/Nov each year. | | | | |
| 4 | <i>DLI-4 Strengthening financial Management capacity of ITIs.</i> | To be Verified | To be Verified | To be Verified | To be Verified | All priority ITIs with activities reported (up to 25) to be verified every year |
| | <i>Frequency of Verification</i> | To be verified in Apr/May each year. | | | | |

VII. Payment Schedule:

| Submission of Inception Report- 05% of Contract Value. | | | | |
|--|-------|-------|--------|--------|
| | Year2 | Year3 | Year 4 | Year 5 |
| DLI-1 | 8 | 9 | 9 | 9 |
| DLI-2 | 6 | 6 | 6 | 6 |
| DLI-3 | 0 | 6 | 6 | 6 |
| DLI-4 | 4 | 4 | 5 | 5 |

Figure indicates % (percentage) of Contract value.

VIII. Reporting

The IVA shall carry out the assignment under the overall supervision of the Project Director, UKWDP for the independent verification process. The IVA shall submit the verification reports to the Project Director, UKWDP and the World Bank. The IVA shall ensure that verification reports are timely, accurate, objective and are backed-up by evidence and a clear rationale. The IVA will be required to make presentations as needed in Dehradun and clarify, in a timely manner, any issues and questions raised by Project Director, UKWDP and the World Bank.

The SPIU, UKWDP shall provide the IVA with relevant data and documents necessary to verify DLI achievements. The SPIU shall make arrangements to ensure that the IVA's staff and consultants have access to all Institutions under the Project.

Annexure-3

Protocol for Independent Verification of Disbursement Linked Indicators

DLI Matrix

| Disbursement-linked Indicators | Baseline | Disbursement-Linked Results | | | | |
|--|---|--|--|--|--|--|
| | | Results to Be Achieved in FY2018/19 (Year 1) | Results to Be Achieved in FY2019/20 (Year 2) | Results to Be Achieved in FY2020/21 (Year 3) | Results to Be Achieved in FY2021/22 (Year 4) | Results to Be Achieved in FY2022/23 (Year 5) |
| 1. <i>Increasing the quality of training and enrollment in Priority ITIs</i> | (i) There are 143 NCVT trades in priority ITIs; however, most trades do not meet the updated NCVT standards, and the exact gap needs to be assessed. (ii) Enrollment for NCVT courses in priority ITIs is 4,065 in 2017. | The Steering Committee has approved Master Plans for all Priority ITIs.* | (i) Priority ITIs have completed the upgrade of at least five percent (5%) of trade courses identified in the approved Master Plans; * and (ii) Priority ITIs have achieved an increase in enrollments of at least five percent (5%) in NCVT Courses in FY2019/20 compared to baseline. | (i) Priority ITIs have completed the upgrade of at least twenty-five percent (25%) of trade courses identified in the approved Master Plans; * and (ii) Priority ITIs have achieved an increase in enrollments of at least fifteen percent (15%) in NCVT Courses in FY2020/21 compared to baseline. | (i) Priority ITIs have completed the upgrade of at least fifty percent (50%) of trade courses identified in the approved Master Plans; * and (ii) Priority ITIs have achieved an increase in enrollments of at least twenty five percent (25%) in NCVT Courses in FY2021/22 compared to baseline. | (i) Priority ITIs have completed the upgrade of at least ninety-five percent (95%) of trade courses identified in the approved Master Plans; * and (ii) Priority ITIs have achieved an increase in enrollments of at least fifty percent (50%) in NCVT Courses in FY2022/23 compared to baseline. |

| Disbursement-linked Indicators | Disbursement-Linked Results | | | | | |
|---|---|--|--|--|--|---|
| | Baseline | Results to Be Achieved in FY2018/19 (Year 1) | Results to Be Achieved in FY2019/20 (Year 2) | Results to Be Achieved in FY2020/21 (Year 3) | Results to Be Achieved in FY2021/22 (Year 4) | Results to Be Achieved in FY2022/23 (Year 5) |
| 2. <i>Continuous professional development of all ITI teachers and staff</i> | 9% (61 out of 701) teachers and staff received training in 2015. | DSDE has approved, a Professional Development Plan (“PDP”) for public ITIs’ teachers and staff.* | At least fifty percent (50%) of teachers and staff in all public ITIs have completed at least one (1) annually held professional training program contemplated in the PDP during Year 2. | At least seventy percent (70%) of teachers and staff in all public ITIs have completed at least one (1) annually held professional training program contemplated in the PDP during Year 3. | At least ninety percent (90%) of teachers and staff in all public ITIs have completed at least one (1) annually held professional training program contemplated in the PDP during Year 4. | At least ninety five percent (95%) of teachers and staff in all public ITIs have completed at least one (1) annually held professional training program contemplated in the PDP during Year 5. |
| 3. <i>Improving employment outcomes of ITI graduates</i> | (i) Graduate for NCVT courses in priority ITIs is 2,027 in 2015. (ii) 21% of students got placement from all ITIs in 2017. | | | (i) Priority ITIs have achieved an increase of graduates at least three percent (3%) in NCVT Courses in FY2020/21 compared to baseline; and (ii) At least twenty seven percent (27%) of students completing their training in FY2019/20 in Priority ITIs are placed in jobs within six (6) months of their training completion. | (i) Priority ITIs have achieved an increase of graduates at least five percent (5%) in NCVT Courses in FY2021/22 compared to baseline; and (ii) At least twenty nine percent (29%) of students completing their training in FY2020/21 in Priority ITIs are placed in jobs within six (6) months of their training completion. | (i) Priority ITIs have achieved an increase of graduates at least fifteen percent (15%) in NCVT Courses in FY2022/23 compared to baseline; and (ii) At least thirty two percent (32%) of students completing their training in FY2021/22 in Priority ITIs are placed in jobs within six (6) months of their training completion. |
| 4. <i>Strengthening financial management capacity of ITIs.</i> | No policy or practices for ITI’s revenue-generating activities. | DoF has approved a new policy providing for an additional allocation to ITIs equivalent to the amount of | At least five (5) Priority ITIs have carried out revenue generating activities. | At least fifteen (15) Priority ITIs have carried out revenue generating activities. | At least twenty (20) Priority ITIs have carried out revenue generating activities. | At least twenty five (25) Priority ITIs have carried out revenue generating activities. |

| Disbursement-linked Indicators | Disbursement-Linked Results | | | | | |
|--------------------------------|-----------------------------|--|--|--|--|--|
| | Baseline | Results to Be Achieved in FY2018/19 (Year 1) | Results to Be Achieved in FY2019/20 (Year 2) | Results to Be Achieved in FY2020/21 (Year 3) | Results to Be Achieved in FY2021/22 (Year 4) | Results to Be Achieved in FY2022/23 (Year 5) |
| | | any revenue obtained through revenue generating activities.* | | | | |

DLI-1: Increasing the quality of training and enrolment in Priority ITIs

(I) Improving the quality standard of existing trades

Target Year 1: MPs would be developed with the support of consulting firms. MPs will include technical assessments and upgrading proposals for achieving the following four outputs: (a) upgrading equipment and facility to comply with the NCVT requirements, (b) switching less-demanded trades with more-demanded trades based on discussions with industry and stakeholders, (c) converting trades from the SCVT to NCVT, and (d) increasing enrolment capacity by opening new labour market demanded trades and introducing new shifts. Activities (a) and (b) mentioned above will qualify for sub-DLI (i), and activities (c) and (d) are meant for sub-DLI (ii). The total number of trades in priority ITIs identified for up gradation (a and b) under MPs will be used as the denominator for indicator calculation. Specific technical contents will include the following:

- Assessment of current facilities, equipment, and infrastructure and identification of needs for meeting the NCVT registration requirements and norms, the GoUK’s skills development objectives (capacity/capability expansion), and scope of requirements from recognized industry groups
- Female participation and disadvantaged population participation enhancement plans
- Civil engineering assessments and list of items to be procured
- Development of scope options for consultations
- Estimates of investment cost and recurrent costs after completion of works
- Implementation plans including required list of contractors, timelines, and site management plan during construction phase
- The SCVT courses can be kept and considered as relevant with rationales for keeping them as the SCVT and with appropriate quality standard set and met.

MPs need to be discussed and reviewed by industries. Proof of consultation in the form of written comments and/or meeting minutes needs to be attached. Project Director, UKWDP. The MPs have to be approved by the Steering Committee.

Years 2–5: The definition of the first sub-DLI is average percentage of trades in priority ITIs that complete up gradation activities as envisaged by the institutional development MPs. The denominator is the total number of trades in priority ITIs identified for up gradation, and the numerator is total number of upgraded trades in any priority ITIs according to the MPs. If the MP is to be revised and approved, the denominator would be updated accordingly. The indicator will be for the average for all priority ITIs, and there are no minimum thresholds for each ITI.

Timely achievement of ITI improvement: This is an incentive to ensure timely achievement of sub-DLI targets in Years 3 and 4. Failure to achieve the timely incentive cannot be retroactively recovered, and the unclaimed amount will be pooled under contingency, until it is formally restructured.

(ii) Increasing enrolment for the NCVT courses

This sub-DLI is monitored from Year 2. Enrolment in the NCVT courses is expected to increase as a result of (a) increased number of seating capacity for the NCVT courses and (b) increased seat occupancy rate. Student seats are expected to increase because of conversion of trades from the SCVT to NCVT, opened through additional shifts, and opening new trades according to MPs. Percentage increase is measured against the baseline. The denominator is the number of students in the NCVT courses in priority ITIs at the baseline, and the numerator will be the total number of students in the NCVT courses in priority ITIs in each year. The indicator will be for the average for all priority ITIs, and there are no minimum thresholds for each ITI.

Protocol to Evaluate Achievement of the DLI and Data/Result Verification

Year 1:

Procedure: Submission of MPs for all priority ITIs, including the specified contents, evidence of industry consultations, and approval by the Steering Committee.

Year 2–5:

(a) Procedure: Submission of a letter indicating the completion of activities, with evidence.

(b) Procedure: Submission of a letter indicating the completion of activities, with evidence of accreditation by the NCVT.

Verification entity: Independent third-party validation (TPV) undertaken to confirm that all the activities are completed according to the MPs for all years.

(II) DLI-2; Continuous professional development of all ITI teachers and staff

Year 1: PDPs will be developed with support of consulting firms. The PDP will include training programs with contents and plans for all ITI principals, foremen, and teachers in the public ITI system in Uttarakhand. It will also specify the list of training partners, courses of training or expected areas of training, training cost, and timeline of training. ITI principals, foremen, and teachers and industries will be consulted for finalizing the draft PDP. The PDP needs to be discussed and reviewed by industries. Proof of consultation in the form of written comments and/or meeting minutes needs to be attached and submit to the Project Director, UKWDP.

Years 2–5: The types of training considered here include (a) domain-specific training, (b) pedagogical or management training, (c) soft-skills training, (d) industry-based training, (e) competency-based teacher training, and (f) any other training that is specified in the PDP. Definitions of qualifying training are listed in annex 3 and further elaborated in the PDP.

All regular principals, foremen, and teachers in public ITIs will be included for this indicator. Contract teachers who have at least a one-year contract will also be included in this indicator. In the last year of the project, teachers who have less than 6 months of recruitment at the time of project completion could be excluded from the calculation for this DLI. The indicator will be for the average for all concerned teachers and staff in ITIs, and there are no minimum thresholds for each ITI.

Teachers and staff at private ITIs are also invited for the training at their own cost. Although it is not part of the DLI requirement, training opportunities are regularly shared with private ITIs through invitations.

Timing: The indicated activity in Years 2–5 is time-bound and recurrent. Failure to achieve this target cannot be retroactively recovered, and the unclaimed amount will be pooled under contingency until it is formally restructured.

Disbursement: The full amount will be disbursed upon achievement of this DLI. However, 50 percent partial disbursement will be made if at least 70 percent of the targeted percentage is achieved for each year.

Protocol to Evaluate Achievement of the DLI and Data/Result Verification

Year 1:

Procedure: Submission of the PDP, including the specified contents, evidence of industry consultations, and approval by the DSDE.

Years 2–5:

Procedure: Submission of a letter indicating the completion of training, with evidence of list of individuals and training received and full list of regular and contract (more than 1 year) teachers and staff.

Verification entity: Independent TPV undertaken to confirm that all the activities explained are completed for all years.

(III) DLI-3: Improving employment outcomes of ITI graduates

(i) Increasing graduates from the NCVT courses

This sub-DLI will measure the number of students who successfully graduate in the NCVT courses from the priority ITIs. Graduates from the NCVT courses are expected to increase as a result of sub-DLI 1-(ii) that will measure increased enrolment. The denominator is the number of students in the NCVT courses in priority ITIs at the baseline, and the numerator will be the total number of graduates in the NCVT courses in priority ITIs in each year. The indicator will be for the average for all priority ITIs, and there are no minimum thresholds for each ITI. This sub-DLI is monitored in Years 3, 4, and 5.

(ii) Improving employment outcomes

The aim of this DLI is to ensure employment outcomes. The DSDE will collect information of their fresh graduate's employment outcomes in 6 months since their graduation and report average employment rate for priority ITIs. Employment includes paid contract, including permanent, term, part-time workers, as well as apprenticeship programs. The data needs to be collected by confirming the employment status of ITI graduates within 6 months of training completion.

Timing: The indicated activity in Years 3–5 is specific to each cohort, hence time-bound and recurrent. Failure to achieve this target cannot be retroactively recovered, and the unclaimed amount will be pooled under contingency until it is formally restructured.

Protocol to Evaluate Achievement of the DLI and Data/Result Verification (i) and (ii)

Years 3–5:

Procedure: Submission of a letter indicating the completion of activities, with defined evidence.

Verification entity: Independent TPV undertaken to confirm that all the claimed activities are completed for all years.

(IV) DLI-4: Strengthening financial management capacity of ITIs

Policy of revenue-generating activities

Year 1: The policy providing for an additional allocation to ITIs equivalent to the amount of any revenue obtained through their revenue-generating activities is to be approved by the Department of Finance (DoF).

Years 2–5: Any activities for which ITIs receive revenue for service provided or products/designs sold are qualified. The full list of activities will be included in the PIP. Some key activities include, among others: (a) training activities (for example, ITIs providing training to industry employees or any interested parties for fees, including ones that are supported by government schemes such as SDM short courses), (b) service provided using industry skills (for example, providing maintenance of automotive and practicing beauty care), (c) rents and fees generated through industry partnership (for example, industries or any interested parties using specialized equipment or space at ITIs), and (d) sales of products (for example, spare parts or products manufactured by teachers or students). Interest gained by depositing the money in a bank account or student fees are not considered as a revenue-generating activity.

Timing: Target for Year 1 is indicative and is not time-bound.

The indicated activity in Years 2–5 is time-bound and recurrent. Failure to achieve this target cannot be retroactively recovered, and the unclaimed amount will be pooled under contingency, until it is formally restructured.

Disbursement: The full amount will be disbursed upon achievement of this DLI. However, 50 percent partial disbursement will be made if at least the specified percentage of the targeted number is achieved for each year.

Protocol to Evaluate Achievement of the DLI and Data/Result Verification

Year 1:

Procedure: Submission of a copy of the Government Order confirming the new policy

Years 2–5:

Procedure: Submission of a letter indicating the conducted activities, with evidence of list of activities that have taken place for each ITI with dates and generated revenue.

Verification entity: Independent TPV undertaken to confirm that all the claimed activities are completed for all years

(Bidder's Past Experience Details)**Table-1 (List of completed or ongoing assignments on Third Party Evaluation/End line Study/End-Term Evaluation/Impact Assessment** in any sector during last 5 years)**

| | Period | Name of the Assignment with Details thereof | Name of the client | Contract Value (in Rs.) and Duration in Month | Date of Award / Commencement of assignment | Date of Completion of Assignment | Remarks if any | Page No |
|----|--------|---|--------------------|---|--|----------------------------------|----------------|---------|
| A | B | C | D | E | F | G | H | I |
| 1 | | | | | | | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |

Authorized Signatory [In full and initials]: _____

Name and Designation with Date and Seal: _____

Note: Bidders are requested to furnish the list of the assignments undertaken/completed during the last 5 Years (FY 14-15, 15-16, 16-17, 17-18 and 18-19) as per the above prescribed format only. Information not conforming to the above format will be treated as non-responsive. Copies of the Work order/ Contract Document/ Completion Certificate from the previous Clients need to be furnished along with the above information.

**Assignments having Contract Value of \geq Rs. 15 Lakh & Duration of \geq 2 Months only will be taken into consideration.*

*** Bidders are requested to refer to the eligibility criteria available at Annexure: 1- Evaluation Criteria*

Information Regarding any Conflicting Activities and Declaration Thereof

Are there any activities carried out by your agency which are of conflicting nature as mentioned in Eligibility Criteria: S. No-04. If yes, please furnish details of any such activities.

If no, please certify,

In Bidders Letter Head

I, hereby declare that our agency is not indulged in any such activities which can be termed as the conflicting activities as mentioned in **Eligibility Criteria: S. No-04.**

I, also acknowledge that in case of misrepresentation of any of the information, our proposal / Contract shall be rejected / terminated by the Client which shall be binding on us.

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

Communication Address of the Bidder: _____

Declaration on Rupees 100/- Stamp Paper not having unsatisfactory track record

To

**The Project Director
Uttarakhand Workforce Development Project
Govt. (Women), ITI Campus,
26 EC Road, Dehradun**

Ref.: EOI Dated _____

Sir,

I hereby declare that our agency does not have unsatisfactory track record resulting in adverse action taken by Central/State Governments in India as mentioned in **Eligibility Criteria: SNo-05**.

I, also acknowledge that in case of misrepresentation of any of the information, our proposal / Contract shall be rejected / terminated by the Client which shall be binding on us.

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

Communication Address of the Bidder: _____