

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

**REQUEST FOR PROPOSAL (RFP) THROUGH E-TENDRING  
For  
EMPANELMENT OF RESOURCE ORGANISATIONS UNDER  
SOCIAL MOBILIZATION & INSTITUTIONAL  
DEVELOPMENT(SM&ID) DEENDAYAL ANTODAYA YOJNA-  
NATIONAL URBAN LIVELIHOOD MISSION (DAY-NULM)**

**July, 2019**

**RFP No. :2882/241/DAY-NULM/Teen/2019-20(SM&ID)-RO, Date-16.07.2019**

Date of Release of RFP	18-07-2019
Date of Pre-bid meeting	29-07-2019, 11:00 AM
Last date of Uploading of RFP by Bidder	09-08-2019, 4:00 PM
Last date of Submission of RFP Cost & EMD	09-08-2019, 4:00 PM
Date of Opening/Downloading of RFP	14-08-2019, 11:00 AM



State Urban Livelihood Mission (SULM), Uttar Pradesh  
(State Urban Development Agency-SUDA. UP)

7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar, Lucknow – 226 027  
Ph.No-0522-2838081, 0522-2838064, Fax: 0522-2838082, Website: <http://www.sudaup.org>

**BIDDERS DATA SHEET**

**State Urban Livelihood Mission (SULM), Uttar Pradesh  
(State Urban Development Agency (SUDA), UP)**

**7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar, Lucknow – 226 027**

**Ph.No.- 0522-2838081, 0522-2838064, Fax: 0522-2838082, Website: <http://www.sudaup.org>**

**Inviting Request for Proposals (RFP) through E-Tendering for Empanelment of Resource Organizations under DAY-NULM**

RFP No.2882/241/DAY-NULM/Teen/2019-20(SM&ID)-RO,		Date: 16-07-2019
	Particular	Details
1	Name of the Client inviting RFP	Mission Director, State Urban Livelihood Mission (SULM), Uttar Pradesh
2	Name of the Assignment	<b>Empanelment of Resource Organisations (RO) under DAY-NULM</b>
3	Date of Issue of RFP	18.07.2019, 4:00pm
4	Last date and time for receipt of RFP by Bidder	09.08.2019, 4:00pm
5	Availability of RFP Document:	18.07.2019 (download from website: <a href="http://www.sudaup.org">www.sudaup.org</a> & <a href="https://etender.up.nic.in">https://etender.up.nic.in</a> )
6	Proposals submit fee	Interested bidders may submit their proposals along with a non-refundable Demand Draft of <b>Rs.5,000/- (Rupees Five thousand only)</b> drawn in favor of Mission Director, State Urban Livelihood Mission, Uttar Pradesh payable at Lucknow, towards the cost of RFP Document. No liability will be accepted for downloading the incomplete document.
7	Earnest Money Deposit (EMD)	<b>Rs 10000/- (Rupees Ten Thousand only)</b> in shape of refundable Demand Draft from any of the Nationalized Bank in favor of "Mission Director, State Urban Livelihood Mission, Uttar Pradesh" payable at Lucknow, UP to be submitted along with the proposal.
8	For any further information Contact to	State Urban Livelihood Mission (SULM), Uttar Pradesh, 7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar, Lucknow – 226027, Ph.No.- 0522-2838081, 0522-2838064, Fax: 0522-2838082, Website: <a href="http://www.sudaup.org">http://www.sudaup.org</a>
9	Uploading of Proposal	Bidders contact to U.P. Electronics Corporation Limited, 10, Ashok Marg, Lucknow-226001 for registration of e-tendering process.
10	Address for Submission of Original DD of RFP Cost & EMD	Bidders are requested to submit their original DD of RFP Cost & EMD in the drop box through only special messenger on or before last date at 4:00 PM. Without original DD of RFP Cost & EMD proposal shall not be considered for empanelment. Drop box facility will be available on working days (Monday to Friday) between 10:00am to 04:00pm. Mission Director, State Urban Livelihood Mission (SULM), 7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar, Lucknow – 226 027, Ph.No.- 0522-2838081, 0522-2838064, Fax: 0522-2838082
11	<b>Proposals uploaded without cost of RFP &amp; EMD, will be rejected.</b>	
12	Mission Director, SULM, U.P. reserves the all right to accept or reject any or all proposals without incurring any obligation to inform the affected applicant/s. The proposals will be evaluated based on the information provided by the applicants and the evaluation will be done as per detailed criteria mention in RFP Document.	
		<b>Mission Director/Director, SULM-SUDA, UP</b>

**KEY DATES**

<b>RFP TITLE:</b>	Inviting Request for Proposals (RFP) through E-Tendering for Empanelment of Resource Organizations under DAY-NULM
<b>RFP NO.:</b>	2882/241/DAY-NULM/Teen/2017(SM&ID)-RO
<b>DATE OF ISSUE:</b>	18/07/2019
<b>AVAILABILITY OF RFP DOCUMENT:</b>	18.07.2019 (download from website: <a href="http://www.sudaup.org">www.sudaup.org</a> & <a href="https://etender.up.nic.in">https://etender.up.nic.in</a> )
<b>DATE OF PRE-BID MEETING</b>	<u>29/07/2019, 11:00 AM at Meeting hall of SUDA, UP, 7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar, Lucknow – 226 027</u>
<b>LAST DATE AND TIME FOR UPLODING OF RFP BY BIDDER</b>	09/08/2019, 4:00 PM Bidders contact to U.P. Electronics Corporation Limited, 10, Ashok Marg, Lucknow-226001 for registration of e-tendering process.
<b>Date of Opening/Downloading of RFP</b>	14-08-2019, 11:00 AM
<b>ADDRESS FOR SUBMISSION OF RFP COST &amp; EMD IN ORIGINAL DD</b>	Bidders are requested to submit their original DD of RFP Cost & EMD in the drop box through only special messenger on or before last date at 4:00 PM. Without original DD of RFP Cost & EMD proposal shall not be considered for empanelment. Drop box facility will be available on working days (Monday to Friday) between 10:00am to 4:00pm. Mission Director, State Urban Livelihood Mission (SULM), 7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar, Lucknow – 226 027, Ph.No.- 0522-2838081, 0522-2838064, Fax: 0522-2838082, Website: <a href="http://www.sudaup.org">http://www.sudaup.org</a>

## SECTION: 1

### BACK GROUND INFORMATION AND OBJECTIVE OF THE ASSIGNMENT

#### 1. Project Background:

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

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

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

**Membership of SHGs** : Under DAY-NULM, Self-Help Groups of urban poor will be formed. Non-poor may be included as members in SHGs where strong affinity or special reasons exist. However, at least 70% of the SHG members should be urban poor to qualify for funding support of Revolving Fund (RF) under DAY-NULM. SHGs may consist of 10 to 20 members. These groups need not be registered. Normally, women SHGs will be formed, however male SHGs of handicapped persons and vulnerable occupational group like rag pickers, rickshaw puller & sanitation workers etc, activity based SHG of male member may also be formed. The objective is to organise all the urban poor families into SHGs; however, those areas may be taken up first where urban poor are concentrated.

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

#### 2. Objective of the Assignment :

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

#### 3. The functions of the ROs are as follows:

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

ii. **Capacity Building:** Once the SHG is formed, ROs will be expected to train all members of the SHG (not just the leaders/representatives) in: (a) the basic concepts of functioning of a SHG like how to conduct meetings, basics of savings, lending money, repayment habits; responsibilities of group members; (b) bookkeeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment, etc.; and (d) accessing government benefits under DAY-NULM and other programmes of the Government.

Capacity building of SHG, book keepers and internal Community Resources persons (CRP) will be done by Resource Organizations (ROs) as per training modules of the revised guideline of SM&ID. These training modules are available the revised guideline of SM&ID (revised guideline available on [www.sudaup.org](http://www.sudaup.org) & [www.mhupa.gov.in](http://www.mhupa.gov.in))

iii. **Implementing Community Managed book of accounts for SHGs:** ROs will facilitate identification of one bookkeeper per SHG and one senior bookkeeper per ALF. Book keepers to be provided adequate training in phased manner for maintaining book of accounts. Initial classroom training should be for at least 5 days. This should be followed by monthly refresher training and on the job training by ROs on regular basis. The gap between two trainings should not be more than 45 days. The RO will adopt uniform format for books of accounts as being used under DAY-NRLM (as per revised guideline of SM&ID Annexure VIII). However, some modifications may be made as per local requirements.

iv. **Developing Internal CRPs (Community Resource Persons):** ROs will facilitate identification of 2 active women out of 15-20 SHGs and develop them as internal CRPs. Internal CRPs may be the active member of SHGs who have established them as role model and who are willing to provide their services to the poor community. These active women are to be provided for at least 30-45 days training in phased manner. This will include engagement with external CRPs for 10-15 days, classroom training and exposure visit to better performing Self Help Groups/Area Level Federations/City Level Federations. After completion of the training, the Internal CRPs will be assessed by External CRPs/ROs. If necessary, additional inputs will be provided. After clearing assessment criteria, Internal CRPs can be engaged for conducting social mobilization process in other areas.

v. **Opening of Bank Accounts:** All the beneficiaries should be covered with various benefits under Prime Minister Jan Dhan Yojana. The SHGs and ALFs will be made aware about the process of opening bank account under this scheme and its related benefits.

vi. **Affordable Insurance (Health, Life and Pension):** SULM should ensure maximum coverage under to the existing/ on-going insurance schemes of Government of India such as Rashtriya Swasthya Bima Yojana (RSBY) for health insurance, Janashree Bima Yojana (JBY), Pradhan Mantri Jivan Jyoti Bima Yojana, Pradhan Mantri Suraksha Bima Yojana, Atal Pension Yojana any state specific insurance schemes and micro insurance products.

vii. **Checklist of Functional SHGs:** RO shall required to follow the guidelines and revised guideline of SM&ID their checklist of functional SHGs. such as Meetings: Minimum once in a week, Members are sitting in a circle, meeting are recorded in the meeting itself and are read out loudly by book-keeper/office bearers, Social agenda is included in SHG meeting, Meeting to be held in the house of each member on rotation basis, Agenda of meeting will be decided by SHGs. This may include - attendance, saving, internal lending, loan repayment, information of income & expenditure, benefits under different components of DAY-NULM, rights & entitlements, benefits under government programmes, social issues etc.

viii. **Maintenance of Records Book keeper is identified for the SHG:** There should be a record of every meeting in the minute book with signature/thumbprint of all members, Every meeting should have a record of attendance, Savings and internal loans register should be updated in every

meeting, Bank passbook to be updated once a month. The RO adopt prescribed format for books of account as per Annexure VIII of revised guidelines of SM&ID.

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

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

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

#### 4. Area of operation of the ROs :

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

Sl. No.	Name of the District	Sl. No.	Name of the ULB/City
1	LUCKNOW	1	LUCKNOW (M Corp.)
2	KANPUR NAGAR	2	KANPUR (M Corp.)
3	GHAZIABAD	3	GHAZIABAD (M Corp.)
3	GHAZIABAD	4	LONI (NPP)
3	GHAZIABAD	5	MODINAGAR (NPP)
3	GHAZIABAD	6	MURADNAGAR (NPP)
4	AGRA	7	AGRA (M Corp.)
5	MEERUT	8	MEERUT (M Corp.)
5	MEERUT	9	MAWANA (NPP)
5	MEERUT	10	SARDHANA (NPP)
6	VARANASI	11	VARANASI (M Corp.)
7	PRAYAGRAJ	12	PRAYAGRAJ (M Corp.)
8	BAREILLY	13	BAREILLY (M Corp.)
8	BAREILLY	14	FARIDPUR (NPP)
8	BAREILLY	15	BEHERI (NPP)
8	BAREILLY	16	AWALA (NPP)
9	MORADABAD	17	MORADABAD (M Corp.)
10	ALIGARH	18	ALIGARH (M Corp.)
10	ALIGARH	19	ATRAULI (NPP)
11	SAHARANPUR	20	SAHARANPUR (M Corp.)
11	SAHARANPUR	21	DEOBAND (NPP)
11	SAHARANPUR	22	GANGOH (NPP)
12	GORAKHPUR	23	GORAKHPUR (M Corp.)

Sl. No.	Name of the District	Sl. No.	Name of the ULB/City
13	FIROZABAD	24	FIROZABAD (NPP)
13	FIROZABAD	25	SHIKOHABAD (NPP)
13	FIROZABAD	26	TUNDLA (NPP)
14	JHANSI	27	JHANSI (M Corp.)
14	JHANSI	28	MAURANIPUR (NPP)
15	AYODHYA	29	AYODHYA(M Corp.)
16	MATHURA	30	MATHURA VRINDAVAN (M Corp.)
16	MATHURA	31	KOSI KALAN (NPP)
17	MUZAFFARNAGAR	32	MUZAFFARNAGAR (NPP)
17	MUZAFFARNAGAR	33	KHATAULI (NPP)
17	MUZAFFARNAGAR	34	BUDHANA (NP)
18	SHAHJAHANPUR	35	SHAHJAHANPUR (NPP)
18	SHAHJAHANPUR	36	TILHAR (NPP)
19	RAMPUR	37	RAMPUR (NPP)
20	MAU	38	MAUNATH BHANJAN (NPP)
21	FARRUKKhabad	39	FARRUKKhabad (NPP)
22	HAPUR	40	HAPUR (NPP)
22	HAPUR	41	PILKHUWA (NPP)
23	ETAWAH	42	ETAWAH (NPP)
24	MIRZAPUR	43	MIRZAPUR (NPP)
25	BULANDSHAHR	44	BULANDSHAHR (NPP)
25	BULANDSHAHR	45	KHURJA (NPP)
25	BULANDSHAHR	46	SIKANDRABAD (NPP)
25	BULANDSHAHR	47	JAHANGIRABAD (NPP)
25	BULANDSHAHR	48	GULATHI (NPP)
26	SAMBHAL	49	SAMBHAL (NPP)
26	SAMBHAL	50	CHANDAUSI (NPP)
27	AMROHA	51	AMROHA (NPP)
27	AMROHA	52	HASANPUR (NPP)
27	AMROHA	53	GAJRAULA (NP)
28	HARDOI	54	HARDOI (NPP)
28	HARDOI	55	SHAHABAD (NPP)
28	HARDOI	56	SANDILA (NPP)
29	FATEHPUR	57	FATEHPUR (NPP)
30	RAEBARELI	58	RAEBARELI (NPP)
31	JALAUN	59	ORAI (NPP)
31	JALAUN	60	JALAUN (NPP)
31	JALAUN	61	KONCH (NPP)
31	JALAUN	62	KALPI (NPP)
32	BAHRAICH	63	BAHRAICH (NPP)
33	JAUNPUR	64	JAUNPUR (NPP)
34	UNNAO	65	UNNAO (NPP)
34	UNNAO	66	GANGAGHAT (NPP)
35	SITAPUR	67	SITAPUR (NPP)
35	SITAPUR	68	LAHARPUR (NPP)
35	SITAPUR	69	BISWAN (NPP)
35	SITAPUR	70	MAHMUDABAD (NPP)
36	BANDA	71	BANDA (NPP)
37	BADAUN	72	BADAUN (NPP)
37	BADAUN	73	SAHASWAN (NPP)
37	BADAUN	74	UJHANI (NPP)
38	LAKHIMPUR KHERI	75	LAKHIMPUR KHERI (NPP)
38	LAKHIMPUR KHERI	76	GOLA GOKARANNATH (NPP)
39	HATHRAS	77	HATHRAS (NPP)
40	MAINPURI	78	MAINPURI (NPP)

Sl. No.	Name of the District	Sl. No.	Name of the ULB/City
41	LALITPUR	79	LALITPUR (NPP)
42	DEORIA	80	DEORIA (NPP)
43	PILIBHIT	81	PILIBHIT (NPP)
43	PILIBHIT	82	BILASPUR (NPP)
44	GHAZIPUR	83	GHAZIPUR (NPP)
45	ETAH	84	ETAH (NPP)
46	BASTI	85	BASTI (NPP)
47	GONDA	86	GONDA (NPP)
48	AMBEDKAR NAGAR	87	AKBARPUR (NPP)
48	AMBEDKAR NAGAR	88	TANDA (NPP)
49	AZAMGARH	89	AZAMGARH (NPP)
49	AZAMGARH	90	MUBARAKPUR (NPP)
50	CHANDAULI	91	MUGHALSARAI (NPP)
50	CHANDAULI	92	CHANDAULI (NP)
51	SULTANPUR	93	SULTANPUR (NPP)
52	SHAMLI	94	SHAMLI (NPP)
52	SHAMLI	95	KAIRANA (NPP)
53	BALLIA	96	BALLIA (NPP)
54	BAGPAT	97	BARAUT (NPP)
54	BAGPAT	98	BAGPAT (NPP)
55	KASGANJ	99	KASGANJ (NPP)
56	MAHOBA	100	MAHOBA (NPP)
57	BIJNOR	101	BIJNOR (NPP)
57	BIJNOR	102	NAGINA (NPP)
57	BIJNOR	103	NAJIBABAD (NPP)
57	BIJNOR	104	CHANDPUR (NPP)
57	BIJNOR	105	SHERKOT (NPP)
57	BIJNOR	106	KIRATPUR (NPP)
57	BIJNOR	107	SEOHARA (NPP)
57	BIJNOR	108	DHAMPUR (NPP)
58	G B NAGAR	109	DADRI (NPP)
59	AURAIYA	110	AURAIYA (NPP)
60	KANNAUJ	111	KANNAUJ (NPP)
60	KANNAUJ	112	CHHIBRAMAU (NPP)
61	BALRAMPUR	113	BALRAMPUR (NPP)
62	BARABANKI	114	NAWABGANJ (NPP)
63	PRATAPGARH	115	PRATAPGARH (NPP)
64	CHITRAKOOT	116	CHITRAKOOT DHAM KARVI (NPP)
65	KUSHINAGAR	117	PADRAUNA (NPP)
66	SANT KABIR NAGAR	118	KHALILABAD (NPP)
67	SONBHADRA	119	RABERTSGANJ (NPP)
68	HAMIRPUR	120	HAMIRPUR (NPP)
68	HAMIRPUR	121	RATH (NPP)
69	MAHARAJGANJ	122	MAHARAJGANJ (NPP)
70	SIDDHARTH NAGAR	123	SIDDHARTH NAGAR (NPP)
71	SHRAWASTI	124	BHINGA (NP)
72	KANPUR DEHAT	125	AKBARPUR (NP)
73	KAUSHAMBI	126	MANJHANPUR (NP)
74	BHADOHI	127	GAYANPUR (NP)
74	BHADOHI	128	BHADOHI (NPP)
75	AMETHI	129	GAURIGANJ (NPP)
75	AMETHI	130	AMETHI (NP)
	<b>75 District</b>		<b>130 Cities/Towns</b>

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



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

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

**6. Schedule of Payment:**

Payment will be made as per following schedule:

Sl. No.	Deliverables	% of Payment
1	<ul style="list-style-type: none"> <li>• Mobilizing the poor on the basis of affinity groups by proper selection of members and formation of SHGs as per the model SHG rules and regulations in the light of NULM guideline.</li> <li>• Within a month of formation of the SHG and all groups that are not linked with bank-account, should be helped to open SHG bank accounts.</li> <li>• Revival of old SHGs, Formation of new SHGs and Bank Account opening,</li> <li>• Identification of book keeper@1 per SHG from within the SHG members.</li> <li>• Basic orientation to book keeper for recording the minutes of meeting</li> <li>• Identification of active women @2 per slum</li> <li>• Opening of saving bank account</li> <li>• <b><i>1st installment will be released after receipt of report from ROs containing the list of SHGs bank-account number.</i></b></li> </ul>	30 %
2	<ul style="list-style-type: none"> <li>• Building the capacity of SHGs by organizing training of all the members to further support livelihoods of their members and also facilitate social action.</li> <li>• Trainings to be conducted in basic issues such as (a) the SHG concept including savings, how a meeting of SHG is conducted, responsibilities of group members, federations, etc.; (b) book-keeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment, how to make bankable proposal for sustainable livelihood etc.; and (d) accessing government benefits under NULM.</li> <li>• And on successful completion of 6 (six) months of the SHGs after the opening of their Bank Accounts.</li> <li>• 2nd installment will be released after receipt of completion report of SHGs training from Ros. Basic training to SHG members (Meeting process, SHG fund management, social, book keeping, role of office bearers etc.)</li> <li>• Four days training to book keepers (Meeting proceeding register, individual passbook)</li> <li>• 3 days training to Active Women (to develop them as Internal CRPs)</li> <li>• First Grading of SHGs and submission of application for revolving fund to SHGs,</li> </ul>	20 %
3	<ul style="list-style-type: none"> <li>• Handholding support for at least 15 months: Once the groups are formed, ROs will be required to attend their meetings on a regular basis, bring in bankers, government officials from various departments, and members from SHGs established for a period of at least 2 years (for cross learning) to interact with the SHGs (at the SHG and federation-levels). At this stage, ROs will also</li> </ul>	30 %

	<p>organise capacity building and encourage members of the SHG to access benefits under NULM and access bank link for entrepreneurship. The ROs will assist the Community Organiser in the evaluation of the performance of SHGs being supported by them.</p> <ul style="list-style-type: none"> <li>• 3rd installment will be released after receipt of satisfactory report of handholding support to SHGs after 15 months.</li> <li>• Handholding support to SHGs (training on leadership, conflict resolution, concept of ALFs)</li> <li>• 2nd round training to book keepers (on Monthly progress report of SHG, loan register and cash book)</li> <li>• On the job training to Active women/Internal CRPs</li> <li>• Documentation for bank linkage, grading for bank linkage submission of loan application to banks Formation of ALF.</li> </ul>	
4	<ul style="list-style-type: none"> <li>• Withdrawal of support between 15-24 months: In this period, ROs will be expected to withdraw active support from those SHGs that are formed and performing satisfactorily. At this stage the level of monitoring will increase and at the end of the 24 months of support, a critical evaluation of the supported SHGs in collaboration with the Community Organiser of the ULB must be undertaken to determine whether the SHG may be deemed self-sustaining. Here ROs will encourage SHGs to federate into ALFs and work closely with ALFs and CLFs to build their capacity to take over the handholding function after the RO fully withdraws support.</li> <li>• At least 75% formed SHG must be federated in to ALF &amp; CLF</li> <li>• Last &amp; final installment will be released after receipt of final report of the SHGs sustenance &amp; proper functioning of ALF &amp; CLF as per guideline from ROs &amp; final recommendation of CMMU/ULB/ DUDA/SMMU.</li> <li>• Training of Internal CRPs for ALF management Action Plan for Internal CRPs for ALF management Gap analysis and skill training to SHG members and book keepers.</li> <li>• Training on different components of DAY-NULM and other schemes and programmes for urban poor and role Community Institutions in convergence with schemes.</li> </ul>	20 %

### 7. Review of the performance of the ROs:

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

### 8. Reporting by the ROs:

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

**SECTION: 2**  
**INSTRUCTION TO THE BIDDER**

**1. Eligibility Criteria for the Bidders:**

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

1. Organisations should have completed at least 5 years of existence as on 31st March, 2019.
2. The organizations should have retaining at least 100 SHGs formed during last 5 years (formed SHG must be under Center or State Govt. schemes/programs/NABARD) with their proper handholding support. The organization should submit documentary evidence in support of the same along with the technical proposal).
3. Bidder Preference will be given to the bidders having past experience in handholding and formation of SHGs in urban areas (Documentary evidence in support of the same should be submitted along with the technical proposal).
4. Availability of appropriate team with qualified professionals and Infrastructure to motivate the urban poor and conduct trainings by drawing lessons from their personal experiences and best practices of their SHGs.
5. Total turnover of the organization is Rs. 10 lakh for the last 5 financial year ending of month 31<sup>st</sup> march 2019.

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

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

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

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

### 3. Earnest Money Deposit (EMD) :

The bidder shall furnish, as part of the Technical Proposal, an Earnest Money Deposit (EMD) amounting Rs 10000/- (Rupees Ten Thousand only). The EMD shall be in Indian Rupees and in the form of Demand Draft from any of the Nationalized Bank in favour of "Mission Director, State Urban Livelihood Mission, Uttar Pradesh" payable at Lucknow. The EMD of unsuccessful bidder shall be refunded within 30 days after finalization of empanelment list by SULM, UP. EMD of the successful bidders will be refunded on request after the completion of empanelment period without any interest. The Earnest Money will be forfeited on account of one or more of the following reasons:

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

### 4. Performance Guarantee :

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

### 5. Validity of the Proposal:

Proposals shall remain valid for a period of 120 (one hundred twenty) days from the date of opening of the technical proposal. Mission Director, State Urban Livelihood Mission, Uttar Pradesh reserves rights to reject a proposal valid for a shorter period as non-responsive. The Mission Director, State Urban Livelihood Mission, (SULM) Uttar Pradesh will make the best efforts to finalization of the selection process within stipulated time period mentioned in the RFP.

### 6. Instructions for uploading/submission of Proposal

- 6.1 These instructions should be read in conjunction with information specific to the consulting services contained in the Covering Letter, Data Sheet, and Instructions to Bidders for participation in Tendering and accompanying documents.
- 6.2 **Proposals must be uploaded before the deadline specified in the Data Sheet/Key Dates. Original DD of RFP cost & EMD must be submitted to the address specified on the Data Sheet and delivered on or before the time specified in the Data Sheet.**
- 6.3 **The proposal should be as per the prescribed format as given in the RFP Document. Bidders shall upload their proposals through contacting to U.P. Electronics Corporation Limited, 10, Ashok Marg, Lucknow-226001 for registration of e-tendering process.**
- 6.4 **The proposal must be uploaded before the last date and time mentioned in RFP. SULM, UP/SUDA, UP will not be responsible for any delay/technical error.**
- 6.5 The bidder can apply for maximum 3 Cities/ULBs covered under DAY-NULM on the basis of their existence in the respective Cities/ULB. List of Cities /ULBs mentioned in Section - 1 of point no. 4.- Area of operation of the ROs.
- 6.6 Empanelled ROs can be allotted more than 3 Cities/ULBs on the basis of project requirement of SULM, UP as well as more no. of cities can also be allotted on the basis of their performance. The right to take this decision shall vest in Mission Director, SULM, UP/Tender Committee.
- 6.7 The Organization/NGO should not have been lodged FIR, default Inquiry, Blacklisted by any State, Centre Government or any other public sector undertaking or a Corporation as

on the date of bid. An undertaking to this effect should be submitted by the authorized signatory.

## 6.8 Format and signing of Proposals

- 6.8.1 **All Technical Proposals shall be uploaded in specified technical formats available in RFP only along with photo copy of DD for Cost of RFP & EMD.**
- 6.8.2 **Original DD of RFP cost & EMD must be submitted to the address specified on the Data Sheet and delivered on or before the time specified in the Data Sheet.**
- 6.8.3 Without original DD of RFP Cost & EMD proposal shall not be considered for empanelment.
- 6.8.4 The Technical proposal shall be typed or written in indelible ink and shall be signed by a person duly authorized to sign on behalf of the Training Provider. This authorization shall consist of a written confirmation and shall be attached to the Technical Proposal. The name and position of each person signing the authorization must be typed or printed below the signature. All pages of the Proposal, except cover page and printed literature, shall be signed or initialed by the person signing the Proposal.
- 6.8.5 Any interlineations, erasures, or overwriting shall be valid only if signed or initialed by the person signing the Proposal.
- 6.8.6 **All bids must contain original DD of RFP cost & EMD shall be sealed in an envelope. This envelope shall be sealed, and signed over the seal, and will be clearly labeled with:**
  - 1. **Title of Consulting Services: "EMPANELMENT OF RESOURCE ORGANISATIONS UNDER SOCIAL MOBILIZATION & INSTITUTIONAL DEVELOPMENT (SM&ID) DEENDAYAL ANTODAYA YOJNA-NATIONAL URBAN LIVELIHOOD MISSION (DAY-NULM)IN UTTAR PRADESH".**
  - 2. **RFP Number: .....**
  - 3. **Date of submission of original DD of RFP cost & EMD: .....**
  - 4. **Name & Address of the applied Resource Organisation: .....**  
.....

## 7. Selection Process:

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

## 8. Tenure of the Empanelment:

Successful bidders can be empanelled till March, 2022 subject to continuation of schemes by the GoI. However initially agreement will be done for 2 years after that agreement can be extended for another 1 years or more on the basis of ROs performance in the respective cities. Empanelment and agreement will also be extended for another two year on satisfactory performance of the RO and mutual consent, subject to continuation of the Schemes. The right to take this decision shall vest in Mission Director, SULM-SUDA, UP.

**9. Coordinator for entire project-** The bidders has to submit the name, qualification, experiences and contact details of coordinator in respective cities. Bidder cannot be change the coordinator without proper intimation of the DUDA/CMMU. Bidders are required to form SHG on CRP strategy only.

**10. Evaluation of the Proposals:**

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

Sl. No.	Criteria of evaluation of technical proposal	Maximum Marks	Marks to be awarded
<b>1.Existence of Organizational</b>		<b>10</b>	
a)	5 to 8 years		6
b)	8 to 10 years		8
c)	For more than 10 years		10
<b>2.Past Experience and Expertise (during last 5 year): No. of SHG formed and still existing</b>		<b>25</b>	
a)	Upto -100 SHG		15
b)	101 - 200 SHG		20
c)	>201 SHG		25
<b>3.No. of SHG/Group involved economic activities through bank finance / Bank linkages(marks given on the basis overall financial track record of SHG)</b>		<b>15</b>	
a)	Upto - 25 SHG		10
b)	26 - 50 SHG		12
c)	>51 SHG		15
<b>4. Registered Place of the Organization / present geographical working areas</b>		<b>10</b>	
a)	Having the Registered office is same for any of which city Organization/NGOs has applied		10
b)	Organization Registered in the others city & applied for other city		0
<b>5. Manpower</b>		<b>10</b>	
a)	Agency has at least 10 permanent field staff for implementing the project, including subject matter expert pertaining to the proposed activity.		10
b)	Agency does not have the required manpower/ some of the required persons for implementing the project, but can arrange the same for by hiring / appointments from outside.		8
<b>6. Organization's other gross root work experience</b>		<b>20</b>	
a)	Agency has the past experience in organising similar programmes in the last 5 years for formation of SHG in urban area any department/organization/funding agency		8
b)	Agency has the past experience in urban poverty alleviation programmes.		6
c)	Agency has the past experience of community mobilization in		6

	similar programs at gross root level.		
<b>7. Proposal for Building Community Institutions</b>		<b>5</b>	
a)	Writ up of Building Community Institutions as per DAY-NULM guideline including CRP strategy		1 to 5
<b>8. Operations Sustainability of the agency</b>		<b>5</b>	
a)	Marks may be awarded based on the perception of the appraising committee regarding the standing of the agency and the possibility of continuing its work for long without winding up in between, on a scale of 0 to 4)		5
<b>TOTAL</b>		<b>100 marks</b>	

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

The Mission Director, State Urban Livelihood Mission, (SULM) Uttar Pradesh//Tender Committee reserves the rights to reduce the minimum qualifying criteria for the empanelment of the ROs on the basis of project requirement to achieve the target under DAY-NULM.

#### **11. Finalization of the Empanelment List:**

SULM, UP will notify all the successful bidders in writing after finalization of the empanelment list. The successful bidders have to submit an acknowledgement to SULM, UP within 10 days from the date of receipt of the communication. The Empanel list will be valid up to March, 2022 from the date of notification. SULM, UP shall enter into a Memorandum of Agreement (MOA) with the Empanel NGOs. The Empanel NGOs shall assist the ULBs/CMMUs/DUDAs in formation/training of the SHGs in accordance with the standards, norms, terms and conditions stipulated in the MOA.

The Mission Director, State Urban Livelihood Mission, (SULM) Uttar Pradesh reserves the rights to disqualify any of the entity from the list if the performance of the same is found to be unsatisfactory during the period of empanelment. It is the responsibility of the bidders to seek any clarification from the client prior to submission of their proposal. During any stage of the selection process, manipulation of information, submission of wrong information will lead to out rightly rejection of the proposal and the bidder will be black listed for a period of five years in the SULM, UP.

**12. It is not essential that all empanelled organizations should be allotted the work. Allotment of work will be done on the basis of availability of target in applied cities. Mission Director reserves the right to allot the surrounding cities/city to any empanelled organization on the basis of project requirement and consent of the empanelled organization.**

#### **13. LEGAL JURISDICTION:**

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

**SECTION: 3**  
**TECHNICAL PROPOSAL**

**FORM -1**

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

[Location, Date]

FROM:

[Name of Bidder with Complete Address of Communication]

TO:

Mission Director,  
State Urban Livelihood Mission (SULM), Uttar Pradesh,  
7/23, Sector-7, Gomti Nagar Vistaar, Near Dial 100, Gomti Nagar,  
Lucknow – 226 027, Telefax- 0522-2307798

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

Dear Sir,

I/We the undersigned, offer to provide the services in respect to your Request for Proposal. I/We are hereby submitting our Proposal which includes this Technical Proposal sealed under a separate envelope. Our proposal is valid for acceptance for 120 Days and we confirm that this proposal will remain binding upon us and may be accepted by you at any time before this expiry date

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

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

**We are submitting the RFP for 1-..... 2-.....  
3-..... (name of Cities/ULBs as per list given in point 4. Area of  
operation of the ROs.)**

I remain,

Yours sincerely,

**Authorized Signatory [Signature with Date and Seal]:**

Name and Title of the Signatory: \_\_\_\_\_

Name of the organization with complete address: \_\_\_\_\_



**FORM -2**

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

1. Name of the Organization / NGO :

2. Nature of the Organization / NGO :

3. Incorporated as \_\_\_\_\_ in year \_\_\_\_\_ at \_\_\_\_\_

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

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

4. Registered Office Address:

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

6. Designation :

7. Telephone /Mobile Number:

8. Address of Communication:

9. FAX and E-Mail:

Authorized Signatory [In full and initials]: \_\_\_\_\_

Name and Title of Signatory: \_\_\_\_\_

Designation: \_\_\_\_\_

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_

(Organization Seal)

**FORM - 3**

**FINANCIAL STANDING - ANNUAL TURNOVER**

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

Based on its books of accounts and other published information authenticated by it, this is to certify that ..... (Name of the Bidder) had, over the last 5 Financial Years, a Total Annual Turnover of Rs. .... Lakhs as per year-wise details noted below:

<b>Financial Year ending 31st March</b>	<b>Total Turnover (In Rs. Lakhs)</b>	<b>Total Turnover in Govt. Sector Work (In Rs. Lakhs)</b>
2014-15:		
2015-16:		
2016-17:		
2017-18:		
2018-19:		
<b>total</b>		

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

Name of the audit firm/ Chartered Accountant:

Authorized Signatory [In full initials and Seal]: \_\_\_\_\_

Name of the Organisation: \_\_\_\_\_

**FORM -4****Supporting document for Technical Assessment**

<b>Sl. No.</b>	<b>Document details for evaluation</b>	<b>Supporting document will be provided in hard copy</b>
<b>1</b>	<b>Existence of Organization</b>	Photo copy of Registration Certificate
<b>2</b>	<b>Past Experience and Expertise (during last 5 year) : No. of SHG formed and still existing</b>	Work order / completion report & acceptance of funding agency
<b>3</b>	<b>No. of SHG/Group involved economic activities through bank finance/bank linkages (marks given on the basis overall financial track record of SHG)</b>	Complete filled Form 5 & certificate from Banks along with financial details (amount of loan, repayment, default etc)
<b>4</b>	<b>Registered Place of the Organization / present geographical working areas</b>	Registration Certificate & other authenticated document (i.e. brief profile)
<b>5</b>	<b>Manpower</b>	At least 10 permanent field staff appointment letter & their salary details (complete filled Form 7)
<b>6</b>	<b>Organization's other gross root work experience</b>	Work order / project sanctioned letter & annual report of the agency for last 5 year
<b>7</b>	<b>Proposal for building community institution</b>	Complete filled Form 8

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

**FORM -5****Organisation's Past Experience in promotion of Self Help Groups****Bank linkage details of SHGs promoted by the NGO in last 5 years:**

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

(amount in Lakh)

Saving & Credit details				Bank loan						economic activities	
Saving mobilized (cumulative)	Amount on inter loaning / lending amount as on 31.3.19 (cumulative)	Amount in bank account as on 31.3.19	Amount of bank credit for inter loaning fill 31.3.19	Amount of loan for economic activities apart from CCL	Year of loan sanction by bank from..... to.....	Interest rate	Repayment made to Bank as on 31.3.19 or upto the organization's support to SHGs (plz mention date)	Pending repayments as on 31.3.19 of or upto the organization's support to SHGs (plz mention date)	Balance outstanding payable on 31.3.19 or upto the organization's support to SHGs (plz mention date)	Type of activities group/ individual	Name of economic activities/ trade
9	10	11	12	13	14	15	16	17	18	19	20

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

Authorized Signatory [In full and initials]: \_\_\_\_\_ with Seal

**FORM -6**

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

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

**Key Qualifications:**

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

**Education:**

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

**Employment Record:**

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

**Certification:**

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

**Date:**

[Signature of Key Professional with Date \_\_\_\_\_

Full name of the Key Professional: \_\_\_\_\_

Authorized Signatory [In full and initials]: \_\_\_\_\_

**FORM -7**

**DETAILS OF FIELD STAFF IN ORGANIZATION/NGO**

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

Authorized Signatory [In full initials and Seal]: \_\_\_\_\_

Name of the Organisation: \_\_\_\_\_

**FORM -8**

**Proposal for Building Community Institutions**

(Formation of Self-help Groups and their Federations)

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

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

➤ Use require no. of additional Sheets

Authorized Signatory [In full initials and Seal]: \_\_\_\_\_

Name of the Organization: \_\_\_\_\_

## **IMPORTANT INFORMATION TO THE BIDDERS**

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

#### **A: Background**

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

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

#### **B: Expected outcomes of the engagement with ROs**

1. At least 1 member from each identified urban poor household, preferably a woman has to be a member of an SHG.
  - 1.1. At least 70% of the members of SHGs should be urban poor.
  - 1.2. ROs to train SHGs to build their capacity on issues such as: (a) the SHG concept (including savings), how to conduct meetings, responsibilities of group members, etc; (b) book-keeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment; and (d) accessing government benefits under DAY-NULM, and other social programmes of the central, state and local governments
  - 1.3. All SHGs to have a bank account for deposit of savings;
  - 1.4. All SHGs to be linked to banks for credit;
  - 1.5. All new SHGs formed access revolving fund support under DAY-NULM
  - 1.6. All SHG member must have Aadhar No. if not RO will required to facilitate for getting the Aadhar before release of Revolving Fund of respective SHGs.
  - 1.7 All SHG member should be covered with various benefits under PM Jan Dhan Yojna.
2. SHGs will be federated at the area-level and at least one City-level Federation will be formed per City.
  - 2.1. ROs to ensure that all members of ALFs/CLFs undergo training to build their capacity on issues such as: (a) the federation concept (including savings), how to conduct meetings, responsibilities of group members, federations etc; (b) bookkeeping and accounting, fund management, building bank and credit linkages; (c) communication, decision making, conflict resolution, self-assessment; and (d) accessing government benefits under DAY-NULM, and other social programmes of the central, state and local governments;
  - 2.2. All ALFs/CLFs to be registered;
  - 2.3. All new ALFs formed access revolving fund support under DAY-NULM



### **C: Principles of partnerships with ROs**

1. At the city-level, the work on DAY-NULM will begin with a mapping of the existing SHGs and social mobilisation that already exists in urban areas under DAY-NULM, the erstwhile Swarna Jayanti Shahari Rozgar Yojana (SJSRY) and other local schemes. This exercise will also identify pockets where the urban poor have not been mobilised into SHGs at the city-level. The aim of this exercise is to assess the quality of existing SHGs (and where applicable, federations), identify the need for interventions in existing SHGs / Federations to strengthen them and transition them from SJSRY to DAY-NULM, and identify where further / new community mobilisation is needed.
2. Resource Organisations will be selected on the basis of strict criteria including registration status of the organization, turnover, number of years of experience, sound procurement and financial management capacity, number of dedicated expert staff, domain knowledge and prior experience in social mobilisation of poor households, training and capacity building, livelihood promotion and bank linkage of the community organisations.
3. SULM, UP will assign the RO to a compact geographical area of the city within which the RO will function; this assignment will be done on the basis of the capacities of the respective ROs. The RO should cover a minimum of 50 SHGs. As per local conditions, more than one city may be covered by a single RO to achieve critical mass and ensure quality training.

### **D: Selection criteria for ROs**

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

- 9.2. To making changes within its strategy and systems if there are obstacles in achieving the objectives of the project;
- 9.3. To nurture and support SHGs formed as per the guidance and philosophy of DAY-NULM;
- 9.4. To attend meetings and contribute to the feedback systems and procedures required by DAY-NULM, including regular reporting.

### **E: Scope of work of ROs**

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

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

8. Orchestrating convergence of relevant government programmes including facilitating UID enrolment, opening of Basic Saving Bank Deposit Accounts (BSBDAs) and credit counseling of SHG members

### **G: Monitoring & Evaluation**

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

These will include:

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