



## **REQUEST FOR PROPOSALS (RFP) No. 8074**

**RFP Title:** Mid-Term Evaluation for Sustainable Agriculture and Production Linked to Improved Nutrition Status, Resilience, and Gender Equity (SAPLING) project

Issue Date: **21 September 2016**  
RFP questions to be submitted by: **3 October 2016 17:00 Bangladesh Time**  
Proposal submission deadline: **14 October 2016 by 17:00 Bangladesh Time**

Anticipated decision on awarding the contract: **24 October 2016**

*The dates above may be modified at the sole discretion of HKI. Any changes will be published in an amendment to this RFP.*

**Contracting Entity:** Helen Keller International (HKI)

**Place of Performance:** Dhaka and the upazilas of Thanchi, Ruma, Lama, Rowangchari, and Bandarban Sadar, within the Bandarban District of the Chittagong Hill Tracts, Bangladesh

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*Offerors are encouraged to read this RFP in its entirety (including any and all attachments), paying specific attention to the instructions and requirements included herein. Issuance of this solicitation does not, in any way, obligate Helen Keller International to award a contract, nor does it commit Helen Keller International to pay for costs incurred in the preparation and submission of a proposal. All recipients of this RFP shall treat all information and details included herein as private and confidential.*

*Helen Keller International is an Equal Opportunity Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, sexual orientation, gender identity, genetic information, disability, or protected veteran status.*

## **SECTION 1: Introduction, Eligibility of Offerors, and Definitions**

### **Introduction**

Helen Keller International (HKI) is a nonprofit organization dedicated to saving and improving the sight and lives of the world's vulnerable by combatting the causes and consequences of blindness, poor health and malnutrition. In September 2015, HKI was awarded a cooperative agreement from USAID Food for Peace to lead the Sustainable Agriculture and Production Linked to Improved Nutrition Status, Resilience, and Gender Equity (SAPLING) project with the goal of reducing food insecurity and malnutrition in all unions of the upazilas of Thanchi, Ruma, Lama, Rowangchari, and Bandarban Sadar, within the Bandarban District of the Chittagong Hill Tracts (CHT). HKI invites all eligible Offerors to submit proposals for providing consultancy services to perform a mid-term evaluation in the Chittagong Hills Tracts in Bangladesh as described in this RFP.

The project is funded by the United States Agency for International Development (USAID) for a five-year period, 30th September 2015 to 29th September 2020. The total project value is USD \$28,777,000. The project anticipates assisting approximately 55,925 households (HHs) across three project "Purposes" in all unions within the five upazilas.

The three high-level purposes of the SAPLING project are as follows:

- i. **Purpose 1:** *Increased income and access to nutritious foods attained equitably by both women and men;*
- ii. **Purpose 2:** *Improved nutritional status of children under five years of age, pregnant and lactating women and adolescent girls; and*
- iii. **Purpose 3:** *Sustained gender equitable ability of people, households, communities, and systems to mitigate, adapt to and recover from human-induced, and natural shocks and stresses*

The purpose of this Request for Proposals (RFP) is to select a vendor who will conduct a mid-term evaluation of the SAPLING project that will provide best value to HKI, when both technical and cost factors are combined. The overall purpose of the Mid-Term Evaluation is to conduct an in-process review focused on implementation methods, inventions management and operational modalities. The MTE will evaluate how closely program activity is in alignment with the implementation plan. It is also designed to determine whether these activities are relevant and indeed appropriate to the determine the underlying root causes of food and livelihood insesecurity in SAPLING areas.

### **Eligibility of Offerors**

This RFP is open to consulting firms/agencies or other entities deemed capable of implementing the scope of work, with a solid record of integrity and business ethics, and meet the eligibility requirements stated in this Section.

Offerors submitting proposals in response to this RFP must meet the following requirements:

- 1) Evaluation consultants/firms or non-government entities (for-profit and non-profit companies, non-governmental organizations (NGOs), etc.) legally registered under the laws of the country where it is headquartered
- 2) Have demonstrated capacity and expertise to successfully implement the Scope of Work
- 3) Have completed the required representations and certifications incorporated in this RFP

- 4) Willing to comply with relevant USAID rules and regulations and HKI requirements.
- 5) Offerors of Nationality designated in the authorized Geographic Code, as described in Section 5 “Source of Funding and Authorized Geographic Code.” Nationality refers to the place of legal organization, ownership, citizenship, or lawful permanent residence (or equivalent immigration status to live and work on a continuing basis) of suppliers of commodities and services.

Note: HKI will not award a contract to any firm that is debarred, suspended, or proposed for debarment by the U.S. Government, or who proposes to do business with firms or firms’ principals who are debarred, suspended, or proposed for debarment, in the performance of the requirement of this activity.

## **SECTION 2: Proposal Instructions**

HKI will evaluate all proposals received in response to this RFP in accordance with the evaluation criteria described in this document.

The Offeror’s proposal will consist of two separate parts:

### **Part 1 - Technical Proposal**

### **Part 2 - Cost Proposal**

The Technical Proposal and the Cost Proposal must be submitted separately. The Offeror should not include any cost data in the Technical Proposal.

The proposal should be concisely presented and structured, and should explain in detail the Offeror’s availability, experience and resources to provide the requested services.

Proposals that are incomplete or do not address these criteria may not be considered in the review process. All proposals **must be submitted in English**.

Both the Technical Proposal and Cost Proposal must be submitted with a **Cover Letter** which must include the following information and must be signed by an authorized representative of the Offeror organization:

- i. Date of proposal submission
- ii. Name of the company or organization
- iii. Name and title of authorized representative of organization
- iv. Type of company or organization
- v. Address
- vi. Telephone
- vii. E-mail
- viii. Taxpayer Identification Number
- ix. Other required documents that shall be included as attachments to the cover letter:
  - a) Copy of registration or incorporation in the public registry, or equivalent document from the government office where the offeror is registered.
  - b) Copy of company tax registration, or equivalent document.
  - c) Copy of trade license, or equivalent document.

HKI may choose to contact the Contractor prior to making a final decision. Please confirm whether this would be possible, ensuring that full contact details are also included (email, telephone number).

## **Part 1: TECHNICAL PROPOSAL**

The Technical Proposal should be written in the English language, typed in Microsoft Word, single-spaced, using Times New Roman sized 12 fonts with one inch margins on narrative, with each page numbered consecutively. A maximum number of pages for each component of the technical proposal is given below.

The Technical Proposal should include the following:

**1) Offeror past performance record/relevant experience– 2 pages maximum**

Information related to Offeror's past performance/prior experience in conducting work in the country/region similar in nature and volume to the services requested (brief description, deliverables, date, client etc.).

Offerors must also provide contacts for at least three (3) professional references for previous work and/or experience under similar SOWs. Contact information should include, at a minimum: name of individual, name of company, brief information on relationship to Offeror, address, email, and phone number. HKI reserves the right to contact any and all references provided. Contact information for references is not subject to the page limitation for this section.

**2) Technical approach – 10 pages maximum**

The technical approach must describe the proposed approach to achieving the stated objectives and must address the following:

- a) **Information as to whether the Offeror currently has a presence in the country/region, and the nature of this presence.**
- b) **A brief description of the Offeror's understanding of the objectives and scope of work for the consultancy.**
- c) **An overview as to how the Offeror would propose to manage the delivery of the MTE's field logistics and to achieve objectives of the MTE as specified below.**

**Offeror should explain how they will achieve the following objectives:**

**1. Assess the impact of SAPLING interventions to date, projected impact to project end, and their sustainability beyond the life of the project**

- What are the changes - intended and unintended, positive and negative - that have resulted from SAPLING interventions, and what are the key factors in the design, implementation and context that either impede or promote these changes?
- To what extent are current SAPLING implementation strategies likely to deliver against agreed project outcomes and targets and, where these are assessed to fall short, what are the specific ways in which strategies and activities can be strengthened to achieve project outcomes and targets?
- To what extent have SAPLING capacity building and service provision processes been designed and are being implemented to successfully continue after project end, and what progress has been made on implementing sustainability strategies?
- To what extent will service providers have continued access to resources and capacity strengthening support, to ensure that both demand from participants and provider capacity to meet those demands is sustained past the end of the project?
- What are the motivations of service providers to continue service provision after project

end, and the motivations of participants to continue accessing those services, and are effective strategies in place to build and sustain those motivations?

- To what extent are government officials, and formal and informal local leaders involved in project activities and included in ongoing program discussions?
- What are effective strategies that could be adopted by SAPLING to ensure sustained positive outcomes past the end of the project, that are not already part of sustainability plans?

**2. Review the SAPLING TOC and LF and assess the extent to which the activities being implemented accurately reflect the TOC and LF and the extent to which there is evidence that the hypotheses articulated in the TOC and LF are holding true (i.e., the relationship between activities and outcomes), and, where this is not the case, summarize the reasons why and detail adjustments needed.**

- What is the extent of evidence that the hypotheses articulated in the TOC are holding true?
- What is the extent of evidence that any of the hypotheses articulated in the TOC are *not* holding true?
- In what ways, if any, might the TOC be revised to better articulate the relationship between specific activities and outputs, and specific outputs and outcomes?
- Are there any external factors that have not been adequately captured in the TOC and how should these be incorporated going forward?
- To what extent is the current M&E plan and associated activities adequately capturing information that can assess the hypotheses set out in the TOC, and what additional data could be captured to strengthen SAPLING's ability to make timely and accurate assessments about the TOC and how this may need to be adapted to meet project objectives?

**3. Evaluate the functions, efficiency and quality of partnership between all implementing and technical partners, and SAPLING's engagement with traditional institutions, district and regional councils, local government officials, and other relevant development actors.**

- Are there effective relationships between SAPLING implementing and technical partners and in what ways could these be strengthened in support of SAPLING objectives?
- Are there effective, collaborative arrangements with the regional and district councils, national and local government counterparts, traditional institutions (headmen and karabari) and local institutions/key actors and in what ways might these be strengthened in support of SAPLING objectives?
- To what extent do the relationships established with traditional institutions, district and regional councils, national and local government and local institutions support the long-term sustainability of project activities and outcomes?
- What other bodies, institutions, agencies or organizations could SAPLING consider partnering with to improve project outcomes?

**4. Review and assess the processes in place for capturing and documenting lessons**

**learned and assess the extent to which they are used in project implementation and refining project design, including feedback from the perspective of stakeholders and participants.**

- What processes are in place to ensure that evidence, including baseline results and monitoring data, are used to adjust project strategies, and how can these be strengthened?
- To what extent and how effectively is SAPLING seeking out, testing and adapting new ideas and approaches to enhance project effectiveness or efficiency?
- How have SAPLING management and technical specialists to date used data to inform programmatic decisions, referral and follow up?
- What processes have been instituted to improve data collection and data quality and how might these be strengthened?
- How has the project improved effectiveness or efficiency as a result of new ideas or approaches brought into the activities?

**5. Determine the appropriateness and effectiveness of strategies to support cross-cutting objectives relating to gender, youth and environmental risk.**

- Assess the extent to which project interventions target youth, support greater capacities for local governance and address sources of environmental risk.
- How effective are program design and implementation mechanisms in addressing the cross-cutting issues of gender, local capacity building, the environment and targeting of youth?
- What (if any) challenges have the project encountered in these areas that may not have been anticipated in the project design, and how has the project responded?
- To what extent do project interventions and implementation mechanisms reflect integration of these cross-cutting priorities?
- What steps have the activities taken to ensure that staff has adequate capacity for addressing these cross-cutting issues?
- In what ways is the project changing roles, relationships, communication and decision making dynamics among women and men, young and old, in relationship to food security at the HH and community levels?
- How are the findings and recommendations of the FY17 gender analysis considered in the revised FY18 program strategy and project activities and what specific changes were made?
- Have gender gaps and related concerns been addressed adequately?
- Is the project drawing on the potential of women, men, boys and girls as much as possible?

**6. Assess and make recommendations for adjustments to resource allocation, and management structures that will increase the likelihood of SAPLING achieving desired outcomes and targets by project end.**

- To what extent do SAPLING management structures support effective implementation towards meeting project objectives?
- To what extent does the current resources allocation to activities support effective implementation of SAPLING?

- In what ways could structures and resource allocation be amended to better support SAPLING implementation?

**d) MTE Team Composition, Qualifications, and Roles– 3 pages maximum, excluding CVs**

- a) Team structure: Offerors must describe the structure of the team that will deliver against the objectives and scope of work described in this RFP. Team structures must identify the project manager (or Team Leader) and other team members and the roles and responsibilities that each will have over the duration of the consultancy.

At a minimum, the Offeror should provide the following information:

- b) A complete and current CV for the proposed personnel in a format provided in Annex C. The CV must not exceed three pages in length and shall be in chronological order starting with the most recent experience and summarizing relevant experience and qualifications.
- c) The country of residence for all persons proposed for the provision of this Service (meaning the country in which the person or persons resides and from which they would be flying from in order to reach Bangladesh to undertake this consulting work). Preference for personnel composition to be mixed to include personnel from the Host Country of Bangladesh itself.

The Offeror must notify HKI if it intends to replace a member of the Contractor's team (with an explanation for doing so) prior to the award date and provide HKI with the information required for the approval of a replacement proposal. Any replacement shall be subject to the approval of HKI. This is also valid for any replacement taking place during the contract duration.

**Detailed information team requirements:**

The MTE Team Leader will be the primary implementer of the MTE. S/he will provide oversight to the evaluation throughout the entire evaluation cycle. The MTE Team Leader will work in close collaboration with the SAPLING point of contact and USAID at all times throughout the MTE process, ensuring good communication, receiving and acting on all inputs and comments, and calling meetings as necessary to resolve any problems that arise during the process.

To ensure the security of the expatriates and all other MTE team members, all movement within the country will be made following the country security protocol. The individual team members will manage their security by themselves; SAPLING will have no liability to assure it. The MTE consultant will be responsible for obtaining, and providing SAPLING with visa(s), written proof of health and accident insurance for all foreign personnel working with the MTE consultant in Bangladesh. SAPLING will assist the MTE team with approvals for foreigners to enter the CHT if/when necessary, keeping in mind the approval process takes approximately eight weeks.

If the security situation permits and MTE requests, SAPLING may assist the MTE consultant to rent vehicles for the team's use. The MTE team should present themselves as separate from SAPLING as much as possible, but more importantly, the consultant's activities must not be compromised by a lack of transportation.

To ensure the MTE is as unbiased as possible, and to avoid the disruption of project implementation that could affect the results of the evaluation, the MTE consultant will not use SAPLING vehicles and project staff as translators, primary data collectors, or supervisors. The MTE consultant/ team members will be responsible for adhering to national and local formalities and all security protocol while in-country.



### **MTE Team Composition**

The MTE team will typically consist of a team leader who is an evaluation specialist, plus three to five technical specialists who bring expertise and practical experience in one or more of the activity's technical sectors and interventions in addition to strong quantitative and qualitative research skills and experience. The team may include a data analyst experienced in analyzing and relating data across various technical sectors.

The following areas are counted as minimum requirements for MTE team members' qualifications:

- Every team member's resume must show substantial application of qualitative and quantitative research skills in developing countries – preference to south Asia.
- The team leader must have significant formal education in a field relevant to evaluation (e.g., project evaluation, statistics, economics, agricultural economics, anthropology, applied research, organizational development, sociology, or organizational change) at a post-graduate level or with an undergraduate degree and a minimum of ten years of relevant experience. S/he must have extensive practical experience and expertise in evaluation using mixed methods of investigation (qualitative and quantitative) and demonstrated strength in communicating clearly and concisely. Knowledge and experience of the conceptual framework of food security and experience evaluating food security projects with a LogFrame and TOC is highly desirable.
- Each technical specialist should have a post-graduate degree or sufficient experience in a field related to at least one of the technical sectors of the activity, plus extensive practical experience in developing countries with interventions similar to those implemented by the activity.
- At least one member of the team must have substantial demonstrated experience in gender integration.
- The MTE team should comprise technical expertise from all activity sectors and activity management.
- No member of the MTE team, in particular the key personnel, should have had any prior input or substantial direct engagement to the project's activity design or implementation.
- Having conflict sensitivity expertise on the MTE team is also desirable, particularly when an MTE will be undertaken in a context that is prone to violent conflict, such as in the CHT.

All personnel working on the MTE must show substantial successful application of ~~mixed method~~ research skills (a combination of qualitative and quantitative research skills and experience conducting PRA sessions, FGDs, in-depth interviews, etc. would add additional value) in developing countries (preference for south Asia) and have excellent communication skills in English, Bengali, or the language of the community in which the data collection is being conducted. The team must include technical expertise from the following areas:

- Logical Framework (LF) and Theory of Change (TOC)
- M&E system, including automation
- Knowledge management systems
- Staff management
- Partnerships
- Food Security
- Livelihoods (on- and off-farm)
- Climate-smart Agriculture
- Disaster Risk Management (DRM)
- Natural Resource Management (NRM)
- Income Generating Activities (IGA)
- Agriculture Value Chain and Markets
- Savings and Lending
- Maternal and Child Health and Nutrition (MCHN)
- Water, Sanitation, and Hygiene (WASH)
- Climate Change and Resilience
- Gender and Social Equality

- Governance
- Social and Behavior Change Communication (SBCC)
- Commodity and Financial Management

The application/Expression of Interest must include a formatted CV/resume for each MTE team member that details relevant education, experience, relevant and requisite qualifications and must conform CV template. The application must clearly describe how the person is qualified for his/her specific role(s) on the team and adds value to the MTE.

### ***Roles and Responsibilities of the MTE Team***

#### **Team Leader**

- Organize and lead the overall evaluation. Provide oversight to the evaluation throughout the entire evaluation cycle. Be the point person to liaise with SAPLING and USAID.
- Ensure a thorough review and analysis of activity monitoring data and other available secondary data by the appropriate team members
- Lead the selection of a purposively selected sample of implementation sites and outputs for primary data collection
- Ensure an MTE plan that includes adequate triangulation and validation of evidence collected in all sectors
- Lead the collection and analyses of primary and secondary data to evaluate the activity's M&E processes and the integration of activity sectors and interventions
- Ensure the final report is logical and presented in a way that clearly separates the evidence collected, conclusions, and recommendations in different sections of the report, and that conclusions and recommendations are based on the evidence presented in the report and adequately supported by primary and/or secondary data.
- Interact, on the part of the MTE team, with SAPLING and USAID
- Lead the team and manage human and financial resources
- Serve as a technical specialist for a specified sector (optional) as long as it does not affect her/his performance in his/her primary team leadership role and analyses of M&E processes and inter-sector integration.

#### **Technical Specialists**

- Lead the collection and analyses of primary and secondary technical data related to his/her field(s) of expertise, document findings, and draw conclusions and form recommendations for the sector(s)
- In close collaboration with the Team Leader, purposively select a sample of implementation sites and outputs for primary data collection for his/her technical sector(s)
- Evaluate the general aspects of the implementation of all interventions related to his/her sector(s) and write relevant sections of the report. While the team leader will likely be tasked as the primary investigator for the activity management overall, a technical specialist must consider management aspects of the implementation of interventions in his/her technical sector and the interaction between his/her technical sector and other activity sectors by examining:
  - Staff and material resources
  - Communication, both internal and external
  - Community involvement
  - Participant targeting (especially overlap/consistency with other sectors)
  - Monetization
  - Branding and marking
  - Partnerships and linkages
  - Sub-grant management (using a consortium approach)
  - Routine monitoring and data quality assurance for all interventions
  - Exit/sustainability strategies
  - Gender integration
  - Environmental protection

### ***Roles & Responsibilities of the SAPLING team***

- The primary roles of the SAPLING staff, including all partners with a direct stake in the project, are as informants and observers.
- Review and provide comments on data collection tools and instruments before they are finalized.
- Observe some of the MTE processes, but they must not collect primary data, or participate in translation, analysis, or interpretation of the data.
- Provide comments on, and give final approval for, the evaluation plan, data collection tools, timeline and logistical plan before the MTE consultant begins field work.
- Provide comments on, and give (internal) approval for, the MTE Report and all required annexes and accompanying documents.

### ***Roles and Responsibilities of USAID***

- Act as informants and observers.
- Review and provide comments on data collection tools and instruments before they are finalized.
- Observe some of the MTE processes, but not collect primary data, or participate in translation, analysis, or interpretation of the data.
- Provide comments on, and give final approval for, the evaluation plan, data collection tools, timeline and logistical plan before the MTE consultant begins field work.
- Provide comments on, and give final approval for, the MTE Report and all required annexes and accompanying documents.

### **ADDITIONAL SAPLING TEAM RESPONSIBILITIES**

Below describes how SAPLING will or will not support the MTE team during the evaluation process.

#### ***Provision of Secondary Data***

The following is an illustrative, non-exhaustive, list of resources and secondary data that will be shared with the MTE contractor:

SAPLING will supply the date each resource will be available to the evaluators. To enable adequate time for secondary data analyses, SAPLING will assemble maps, documents, databases, and other resources for the evaluators' use and deliver them to the evaluators at least two months before the start of primary data collection, and the MTE team members should accomplish the review before arriving at the activity site. The contractor should budget time during this period for each team member to review the secondary data.

An illustrative list of resources that would be useful for the MTE and made available to the evaluators includes:

- Lists of intervention sites, identifying the type(s) of interventions at each location, with start dates of implementation, numbers of direct and indirect participants, etc., for each type. (This list should include locations of all community assets developed or rehabilitated using activity resources, including those still in process of development or rehabilitation.)
- Maps showing the activity area with administrative boundaries, roads, markets, intervention sites, partner offices, lodging, livelihood or ecologic zones, etc.
- Approved activity proposal narrative and relevant attachments with documentation of approved modifications
- Life of Award (LOA) Detailed Implementation Plan (DIP)
- Baseline study report
- Reports from all research conducted for the activity's benefit (e.g., formative research, barrier analyses, gender analyses, and market analyses)
- Project Management, Coordination and Staffing Plan, including a current organogram of

activity staff (with names and phone numbers for incumbents and notation of vacancies)  
showing partner organization and supervision/management lines

- Intervention implementation protocols and guidelines and identification of activity staff who use each
- Descriptions, dates and number of participants of capacity building activities, activity staff and participants (individuals, groups, and communities)
- Complete M&E Plan, including monitoring tools, manuals, Indicator Performance Tracking Table (IPTT) and reports
- Examples and lists of recipients of all types of M&E reports
- Activity monitoring databases
- Descriptions of the nature (e.g., format, location) and contents (e.g., type of data, period of collection) of the various data sets that the awardee will provide for the evaluation
- Exit strategy and sustainability plan
- Initial Environmental Examination (IEE), Environmental Monitoring & Mitigation Plan (EMMP), and all related environmental reports
- All FFP reporting including ARR, Pipeline and Resource Estimate Proposals (PREPs), and Quarterly Reports
- USAID'S Office of Food for Peace Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Security Activities, December 2016

#### ***Logistical and Administrative Advice and Support***

SAPLING may provide the following logistical administrative support:

- Arrange meetings between the evaluation team and USAID, at the beginning and end of the evaluation process.
- Provide contact details for key partners' staff and local GoB Offices
- Advise about local protocols and permissions to gain entry to operational areas
- Provide advice related to travel (international travel, travel routes, security conditions, local vehicles, and drivers for hire)
- Provide limited information on local firms with potential to provide technical expertise, including translation, to the MTE team (Note: The awardee may not interact with the firm on the MTE team's behalf, discuss the evaluation with the firm prior to contracting, or contract the local firm, nor will it be held responsible for the quality of work performed if hired by the contractor)

To remain as independent as possible, the MTE team is expected to:

- Arrange and manage its own administrative support, communication, photocopying, printing, binding, etc.
- Arrange the virtual meetings and set-up for all electronic communication and data entry, processing and overall management.
- Use its own computers and other electronic devices (e.g., audio-visual instruments and authentic software required for the MTE, including data collection, entry, processing and reporting).

#### **Part 2: COST PROPOSAL**

As part of the Cost Proposal, Offerors must include a detailed budget, submitted in **Microsoft Excel**, expressed in U.S. Dollars (USD), with an accompanying budget narrative, submitted in Microsoft Word, describing the basis for the listed cost elements. Supporting information should be provided in sufficient detail to allow a complete analysis and determination of reasonableness of each cost element. Offerors are required to include and clearly label **all** costs deemed necessary to complete the work called for hereunder.

The MTE proposal should include a reasonable detailed budget to cover all costs associated with the MTE. This should be submitted by major activities and line items for SAPLING project review and decision. This would include a breakdown of the costs of contracted MTE team members,

international and local travel, and in-country lodging and per diem, etc. Salary for technical specialists who are members of the awardee's organization may be charged for the time that they are directly involved with the evaluation. Other related costs that might be in the budget include expenditures for hiring local personnel (drivers, translators, enumerators, local technical experts, translating reports), and renting meeting rooms for presentations.

The MTE proposal should also outline possible solutions to unexpected situations that may affect the MTE, such as strikes and political movements. They should keep options for contingency plan and alternatives without compromising the overall quality, purpose and timeline.

The cost proposal template can be found in Annex D and must include the following:

#### **A. Labor Cost**

The Offeror must provide information related to the proposed team structure, daily rates and Level of Effort (LoE) (measured in days) for the deliverables listed. Please state assumptions made when submitting the cost information including any additional options, and stating all conditions.

#### **B. Other Direct Costs**

The Offeror should provide a breakdown estimate of other main direct costs which are considered necessary for completion of the work. Other direct costs will cover transportation costs, visa, and per diem. Any other direct costs shall be agreed prior with HKI.

Regarding logistics costs, the MTE team will be responsible for the evaluation logistics, including accommodation, transport, foods, etc. To avoid compromising activity implementation during the MTE and to maintain a separation between the MTE team and the implementers, activity vehicles and other vehicles branded to identify them with SAPLING or any of the project partners may not be used by the MTE team while they are in the activity area.

#### **C. Indirect Rates and Fixed Fee**

If it is an Offeror's regular practice to budget indirect rates, e.g. overhead, fringe, G&A, administrative, or other rate, Offerors must explain the rates and the rates' base of application in the budget narrative. HKI reserves the right to request additional information to substantiate an Offeror's indirect rates. Proposed fixed fee must also be explained in the budget narrative and represented as a separate line item in the budget.

### **SECTION 4: Evaluation Criteria and Basis for Award**

The Offeror's Conflict of Interest Declaration Form will be assessed to establish whether the Offeror has any present or potential future conflict of interest according to the definition in Annex A. If the conclusion is reached that any conflict of interest declared by the Offeror could have a negative impact on the Offeror's ability to perform the Service, HKI may decide to reject the submitted proposal. Failure to accurately complete the Conflict of Interest Declaration Form may also lead to the rejection of the submitted proposal.

#### **Selection Criteria**

HKI will make an award to an eligible, responsive (one that complies with all the requirements of the RFP without material deviation) and responsible Offeror that presents the best value (as determined by the technical/cost trade-off analysis) to HKI. Offerors may not modify non-responsive offers after the proposal deadline in order to make them responsive. However, HKI may request an Offeror to clarify its offer as long as no material deviation exists.

The criteria below will serve as the basis upon which proposals will be evaluated. Selection will be based principally on the technical merits of the proposals but price and other factors will be considered and award will be made only if the proposal is determined to be technically acceptable and cost reasonable.

The evaluation criteria are divided into technical and cost factors. In assessing the Offeror's proposal HKI allocates greater importance to technical factors than to cost factors and thus the evaluation is split **70% weighting**, for technical factors, and **30% weighting**, for cost.

A two-stage procedure will be utilized in evaluating the proposals, with the evaluation of the technical proposal being completed prior to the cost proposal being considered. The evaluation of the cost proposal is only undertaken for technical submissions that score above the minimum (49 points).

An impartial evaluation committee at HKI will evaluate proposals in accordance to the following criteria:

### **Technical Evaluation (70 points)**

A minimum technical score of 49 points out of a maximum of 70 point is required to pass the technical evaluation. A proposal which fails to achieve the minimum technical threshold will not be considered further. Technical proposals will be evaluated against the following criteria:

1. Offeror track record and relevant experience (including professional references) – **20 points maximum**
2. Technical approach, including the Offeror's demonstrated understanding of the role and the challenges of the country and program context; and approach to quality service delivery, including location of the proposed team – **25 points maximum**
3. Proposed team structure, quality of key expert(s) and Team Leader qualifications – **25 points maximum**

### **Cost Evaluation (30 points maximum):**

When at least **49 points out of 70 points** has been scored for the Technical Evaluation, a review of the cost proposals will be conducted. The cost proposal will be evaluated based on clear linkages to the technical proposal, compliance with USAID cost principles, and presentation of a competitive offer. Cost proposals will be evaluated against the following criteria:

1. Costs are realistic, reasonable, and allowable for the work to be performed – **10 points maximum**
  2. Costs reflect clear understanding of RFP requirements – **10 points maximum**
- Costs are consistent with the technical proposal – **10 points maximum**

### **SECTION 5: Source of Funding and Authorized Geographic Code**

Any award resulting from this RFP will be financed by USAID funding and will be subject to U.S. Government and USAID regulations. The authorized USAID geographic code for this RFP and any resulting contract is Code 935. Code 935 is defined as any area or country including the recipient country, but excluding any country that is a prohibited source. A list of prohibited countries and sanctions is available at the U.S. Treasury Department website (<https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx>). All commodities and services supplied under any

award resulting from this RFP must meet this geographic code in accordance with the US Code of Federal Regulations (CFR), 22 CFR 228.

## **SECTION 6: Proposal Validity, Submission Deadline and Instructions**

Proposals should have a 90-day validity period from the proposal submission date, as provided in the Cover Letter.

Proposals must be submitted electronically by the deadline listed on the cover page of this RFP by E-mail to [Bangladesh.procurement@hki.org](mailto:Bangladesh.procurement@hki.org) indicating in the subject line of the e-mail the company name and the RFP number.

A full proposal submission will include the following documents, all of which must reference the RFP number as stated on the cover page of this document:

- Cover Letter
- Technical Proposal
- Cost Proposal
- Conflict of Interest Disclosure Form
- USAID Contract Provisions
- Copies of Offeror legal registration documents
- Other pertinent information relevant to the proposal submission

Any questions related to this RFP should be addressed to [Bangladesh.procurement@hki.org](mailto:Bangladesh.procurement@hki.org) and submitted no later than the date prescribed on the cover page of this RFP. To ensure fairness, HKI's response to all questions deemed relevant will be communicated to all potential Offerors, ensuring the original requestor's anonymity.

## **SECTION 7: Negotiations**

Best offer proposals are requested. It is anticipated that an award will be awarded solely on the basis of the original offers received. However, HKI reserves the right to conduct discussions, negotiations and/or request clarifications prior to awarding a contract. Furthermore, HKI reserves the right to conduct a competitive range and to limit the number of offerors in the competitive range to permit an efficient evaluation environment among the most highly-rated proposals. Highest-rated offerors, as determined by the technical evaluation committee, may be asked to submit their best prices or technical responses during a competitive range. At the sole discretion of HKI, offerors may be requested to conduct oral presentations. If deemed an opportunity, HKI reserves the right to make separate awards per component or to make no award at all.

**SECTION 8: Terms of the Solicitation**

1. All rights to work produced under the Contract resulting from this RFP will be the property of HKI. Contractor use of work, including but not limited to data, results or materials, produced or obtained under the Contract (“work”) are limited to use for the scope of work under the Contract. Use of work outside of the Contract will be limited to prior approval by HKI.
2. Contractor will treat as confidential all data, records, accounts and other information regarding HKI and its affiliates and SAPLING participants that become known to the Contractor through its activities under the resulting Contract, including information regarding HKI’s and its affiliates’ operations, policies, procedures, faculty, employees, students, information technology systems and financial information and plans (HKI Confidential Information). The Contractor must obtain agreement to this term in writing from any entities or individuals engaged by the Contractor to work under the awarded Contract.
3. Issuance of this RFP does not constitute an award commitment on the part of HKI, nor does it commit HKI to pay for costs incurred in the preparation and submission of a bid.
4. Attached files are integral part of this RFP.
5. HKI may contact Offerors to confirm contact person, address, bid amount and to confirm that the proposal was submitted for this solicitation.
6. False Statements: Offerors must provide full, accurate and complete information as required by this solicitation and its attachments.
7. Conflict of Interest Disclosure: Offerors must provide disclosure of any past, present or future relationships with any parties associated with the issuance, review or management of this solicitation and anticipated award. Failure to provide full and open disclosure may result in HKI having to re-evaluate selection of a potential Offerors.
8. Right to Select/Reject: HKI reserves the right to select and negotiate with those firms it determines, in its sole discretion, to be qualified for competitive proposals and to terminate negotiations without incurring any liability. HKI also reserves the right to reject any or all proposals received without explanation.
9. Reserved rights: All RFP responses become the property of HKI and HKI reserves the right in its sole discretion to:
  - a. To disqualify any offer based on Offeror’s failure to follow solicitation instructions;
  - b. To waive any deviations by Offerors from the requirements of this solicitation that in HKI’s opinion are considered not to be material defects requiring rejection or disqualification or where such a waiver will promote increased competition;
  - c. Extend the time for submission of all RFP responses after notification to all Offerors;
  - d. Terminate or modify the RFP process at any time and re-issue the RFP to whomever HKI deems appropriate;
  - e. Issue an award based on the initial evaluation of offers without discussion;
  - f. Award only part of the activities in the solicitation or issue multiple awards based on solicitation activities.
10. Offerors and its proposed personnel shall disclose any factors that could limit the organization’s ability to independently perform the services such as relationship with counterpart employees, past employment, etc.



## **ANNEX A: Scope of Work**

Under the Sustainable Agriculture and Production Linked to Improved Nutrition Status, Resilience, and Gender Equity (SAPLING) project, Helen Keller International (HKI), Catholic Relief Services (CRS), and Caritas/Bangladesh work in partnership with local implementing partners (IPs), individuals, communities and the Government of Bangladesh (GOB), to apply a multi-sectoral, integrated approach to reduce food insecurity and malnutrition in all unions of the upazilas of Thanchi, Ruma, Lama, Rowangchari, and Bandarban Sadar, within the Bandarban District of the Chittagong Hill Tracts (CHT). These areas have a high proportion of people living in extreme poverty, combined with high rates of stunting, undernutrition, and food insecurity.

The project is funded by the United States Agency for International Development (USAID) for a five-year period, 30th September 2015 to 29th September 2020. The total project value is USD \$28,777,000. The project anticipates assisting approximately 55,925 households (HHs) across three project “Purposes” in all unions within the five upazilas.

The three high-level purposes of the SAPLING project are as follows:

- iv. **Purpose 1:** *Increased income and access to nutritious foods attained equitably by both women and men;*
- v. **Purpose 2:** *Improved nutritional status of children under five years of age, pregnant and lactating women and adolescent girls; and*
- vi. **Purpose 3:** *Sustained gender equitable ability of people, households, communities, and systems to mitigate, adapt to and recover from human-induced, and natural shocks and stresses*

### **SAPLING Logical Framework (LogFrame/ LF)**

SAPLING’s Theory of Change (TOC) forms the basis of the program logical framework, with both being organized around the three project purposes. Table 1 summarizes the SAPLING Purpose, Sub-Purpose, and Intermediate Outcomes, and a detailed Log Frame is included in the SAPLING Monitoring & Evaluation (M&E) Plan to be made available to the evaluator.

**Table 1: SAPLING LF: Goal, Purposes, and Sub-Purpose**

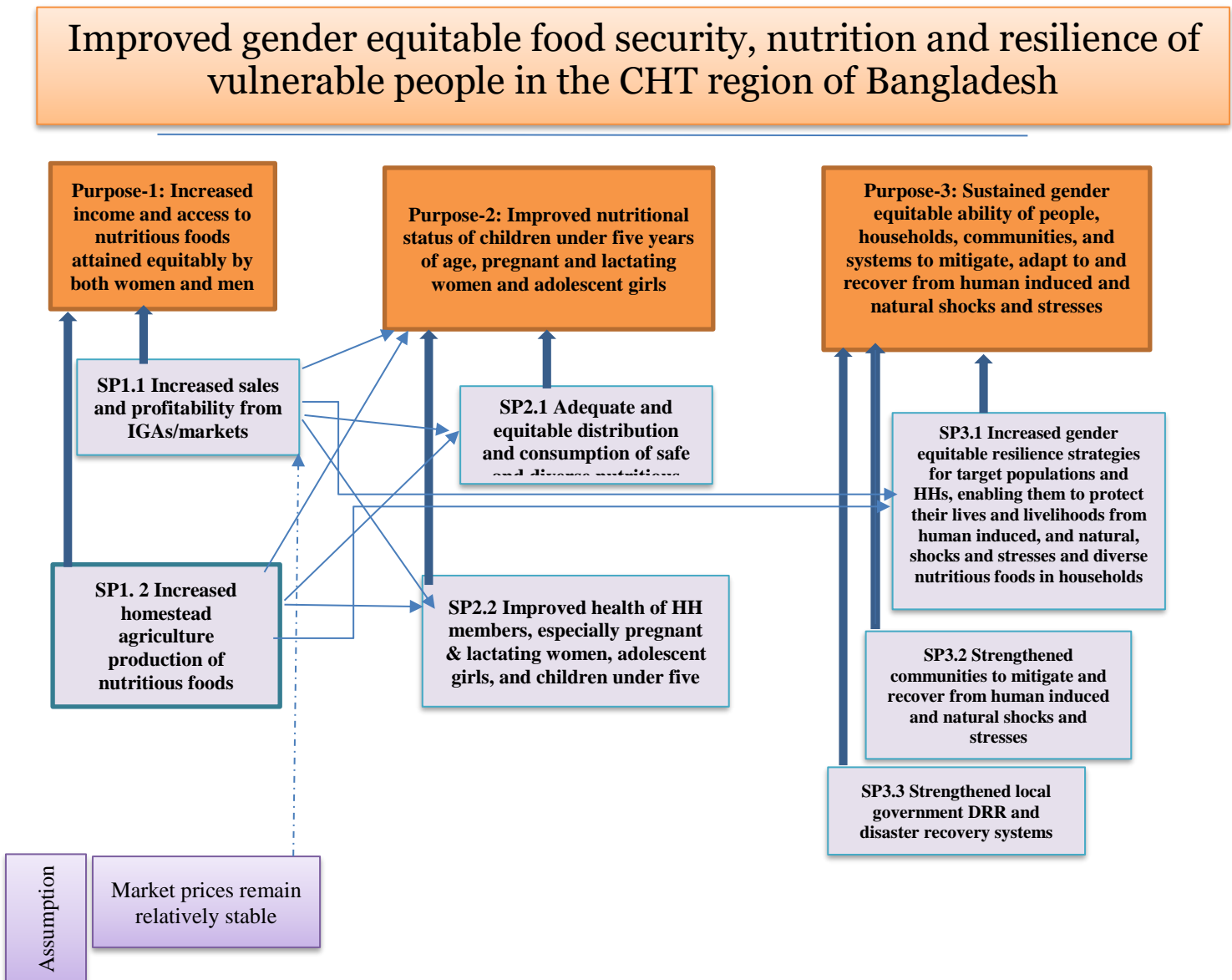
|   |   |
|---|---|
| <b>Goal: Improved gender equitable food security, nutrition and resilience of vulnerable people in the CHT region of Bangladesh</b>   |   |
| <b>Purpose 1: Increased income and access to nutritious foods attained equitably by both women and men</b>  |   |
| 1.1: Increased sales and profitability from income generating activities (IGAs)/markets   | 1.2: Increased homestead agriculture production of nutritious foods   |
| <b>Purpose 2: Improved nutritional status of children under five years of age, pregnant and lactating women (PLW) and adolescent girls</b>  |   |
| SP 2.1: Adequate and equitable distribution and consumption of safe and diverse nutritious foods in households  | SP 2.2: Improved health of HH members, especially pregnant & lactating women, adolescent girls, and children under five |
| <b>Purpose 3: Sustained gender equitable ability of people, households, communities, and systems to mitigate, adapt to and recover from human induced and natural shocks and stresses</b> |   |

|  |   |   |
|--|---|---|
| SP 3.1: Increased gender equitable resilience strategies for target populations and HHs, enabling them to protect their lives and livelihoods from human-induced, and natural, shocks and stresses | SP 3.2: Strengthened communities to mitigate and recover from human induced and natural shocks and stresses | SP 3.3: Strengthened local government DRR and disaster recovery systems |
|--|---|---|

**Theory of Change (TOC)**

Figure 1 illustrates the top-level summary of the project’s Theory of Change (TOC). A detailed diagram of the TOC, showing the interconnections between the various components of the project and how the Sub-purposes and Outcomes contribute to the Purposes and the overall Goal, is included in the M&E Plan to be made available to the evaluator.

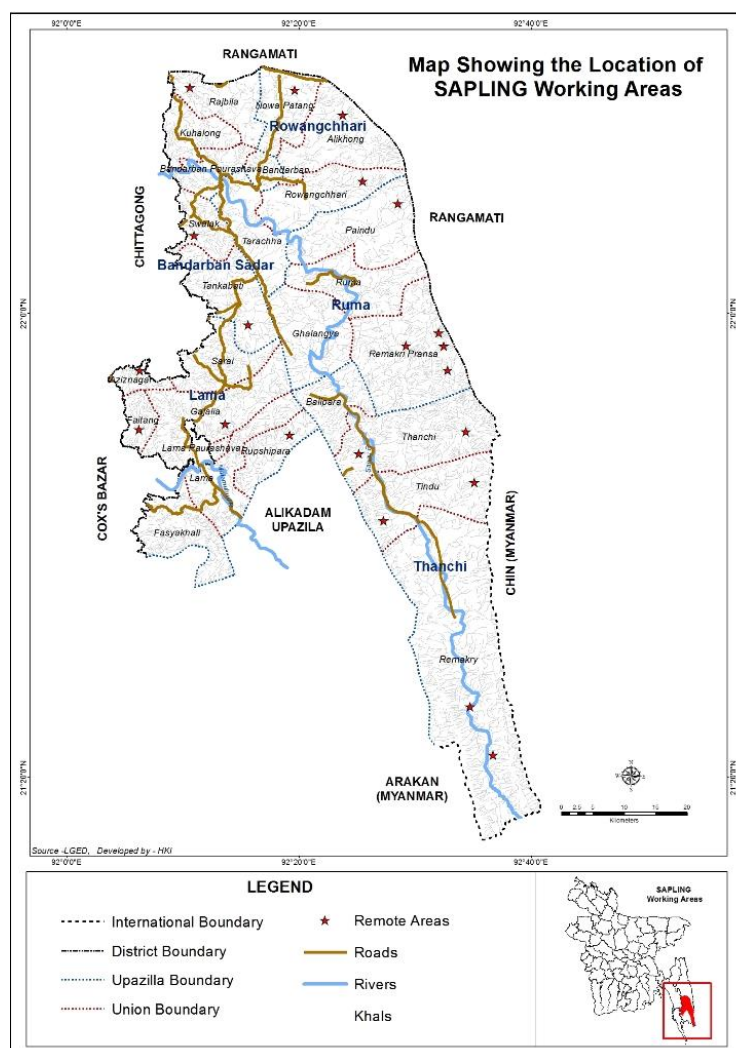
Figure 1: Summary of purposes and sub-purposes as illustrated in the SAPLING TOC



### **Project Coverage and Context**

Interventions are being carried out in all 24 unions and two pourashovas within five upazilas of Bandarban District: Thanchi, Ruma, Lama, Rowangchhari, and Bandarban Sadar. The target area includes the district capital, which facilitates coordination with the local government, and is also the location of the main SAPLING project office. Detailed maps of the project area, together with data on the poverty level and nutrition status for the populations within each area, will be made available to the evaluator.

**Figure 2: Geographic coverage of SAPLING**



The five SAPLING upazilas have a high proportion of people living in poverty (45%), with many in extreme poverty (22%), combined with high rates of stunting, under-nutrition, and food insecurity. At least eleven different indigenous groups, plus Bengalis, reside in these five upazilas. Minority groups are particularly vulnerable to environmental degradation and geographic isolation, together with structural exclusion from social services and training opportunities. There are few non-farm job opportunities and limited access to value chains and markets.

In alignment with the project objectives, SAPLING targets:

- All HHs with pregnant and lactating women (PLW) with children under two years of age
- All poor and extreme poor HHs
- All adolescent girls, elderly, disabled, and female-headed HHs

In addition to these targeted HHs, community members will benefit

from new technologies, community-based microenterprises, improved natural and social resource management, improved government health services, and strengthened outreach services provided by and through the Department of Livestock Services, Department of Agriculture Extension, the Bangladesh Agricultural Research Institute, business trainers, and private vendors.

### **SAPLING ACTIVITIES**

#### **Activity Background**

SAPLING is being implemented in partnership with five local Non-Governmental Organizations (NGOs). Local NGOs implement technical interventions, monitor results, and share project learning, bringing specific technical expertise and a long and successful experience improving food security and resilience in each targeted upazila. In addition, SAPLING is comprised of a consortium of international organizations.

To facilitate implementation and ensure alignment with national and local policies and initiatives, the SAPLING project works closely with various levels of the GoB. At the highest level the project maintains a National Program Steering Committee (NPSC), which maximizes efficiency and effectiveness, and enables a stable progression toward achieving SAPLING's objectives. This body also ensures support both at national and operational levels from other GoB ministries and relevant departments and institutions. The ministries/institutions include, but are not exclusively: Ministry of CHT Affairs (MOCHTA), Local Government Division-Ministry of Local Government, Rural Development and Cooperatives (MOLGRDC), Ministry of Food, Ministry of Disaster Management and Relief (MODMR), Ministry of Finance, Ministry of Health and Family Welfare, Ministry of Agriculture, Ministry of Fisheries and Livestock, Ministry of Land, Ministry of Women and Children Affairs, Ministry of Youth and Sports, Ministry of Social Welfare, Ministry of Primary and Mass Education, Ministry of Education, Economic Relations Division, Ministry of Civil Aviation and Tourism, CHT Development Board, National Board of Revenue, CHT Regional Council (CHTRC) and Bandarban Hill District Council (BHDC).

At the district level, the project is overseen by the Program Advisory and Coordination Committee (PACC) consisting of SAPLING implementation partners (HKI, Caritas Bangladesh, CRS), BHDC representatives, representatives from the Upazila Parishad, relevant line government agencies, and traditional ethnic institutions. The committee is chaired by BHDC Chairman and the Chief Executive Officer is the Member Secretary. This committee is responsible for monitoring, coordination, and troubleshooting for the program.

At the upazila level, SAPLING is supported by Upazila Coordination Committees (UCC), one in each upazila. The UCC consists of the Upazila Parishad Chairman, all Union Parishad Chairmen within the upazila, HKI, Caritas Bangladesh, CRS, representatives from relevant government agencies and traditional institutions. The UCC is chaired by the Upazila Chairman. The Vice Chairmen of upazila parishad serve as advisers as well as advise the UCC to facilitate program implementation. One person from SAPLING is the Member Secretary. The UCC assists in coordination, to avoid duplication, ensure partnership and improve sustainability.

#### ***Participant Selection Criteria and Inclusion Strategy***

SAPLING used participatory rural appraisal (PRA) methods to identify poor and extreme poor HHs. Ethnic leaders and the majority of community members participated in the PRA process. Poor HHs with children under five, female-headed HHs, HHs with disabled persons, and HHs with PLW were prioritized for SAPLING activities. HKI and Caritas have learned from previous experience in the CHT that it is difficult to target the extreme poor as so many HHs have only marginal landholdings with limited assets and resources. Therefore, the PRA was used to identify *the most vulnerable* HHs for inclusion in the SAPLING project. Communities also help recruit adolescents to participate in youth clubs for natural resource management (NRM), climate change awareness and disaster preparedness.

The most vulnerable, including female-headed HHs, the disabled, the elderly, or those living on marginal land, are often the least able to participate in formal community decision-making process, but the most severely affected by food insecurity, poor nutrition and sanitation, and natural disasters. To alleviate this, the SAPLING project ensures that all vulnerable and marginalized groups participate in community activities and provide input into planning processes.

#### **Key Activities under each of the Three Project Purposes**

Each purpose is being achieved through the implementation of core activities with cross-cutting themes of gender, environment, water, sanitation and hygiene (WASH), institutional strengthening and local capacity building. All technical activities are reinforced through the application of a comprehensive social and behavior change communication (SBCC) approach aimed at improving gender equitable food security, nutrition and resilience.

**Purpose 1: Increased income and access to nutritious foods attained equitably by both women and men**

***Microenterprise development for poor and extreme poor households (HH):*** Building on the Market Governance and Value Chain/Agribusiness Assessment which will be carried out in August 2017, SAPLING is supporting economic activities with the greatest potential for project participants. The approach mobilizes poor and extreme poor project participants to form marketing committees for collective marketing of their products, collect and disseminate market information, and develop women as direct market actors to gain more control over their own income and enterprises.

Participants' crop yields and income-generating capacities are being improved through better agricultural production techniques promoted by SAPLING. For example, decreased soil fertility has been identified as an underlying cause of food insecurity. Soil fertility management includes rehabilitation of lands that are already degraded, pre-emptive action on lands at risk of degradation, and maintaining fertility of productive land. Contour farming (hedge row technique) is one technique being promoted by SAPLING that reduces soil erosion and helps to improve soil fertility, increasing yields significantly.

SAPLING focuses on the production of animal source foods, particularly poultry, with the objective of increasing the number of HHs raising poultry and the technical quality of existing and new production, decreasing poultry mortality, and disease. Examples of improved practices promoted by SAPLING include frequency of cleaning the chicken shed, separating sick chicks from healthy one and introduction of creep feeding (a system to separate the chicks from the mothers and separate chicks by age). Distribution events are held with participant HHs, traditional leaders, Upazila Livestock Officers, the veterinary surgeon, and others, to educate the broader community on poultry rearing practices and the need for proper vaccination.

IGA participants receive training in key skills needed to manage their micro-enterprises successfully, including training on developing a record keeping system, marketing and business planning, improved production technology, and post-harvest processing, packaging, and storage. Participants learn how to get price information, create vendor linkages, create linkages with private and government input sellers, create aggregation/collection points in coordination with the vendors, and grading, sorting and other value addition process for agricultural products. The value chain and market governance assessment helps to understand the prevailing market governance structure (coordination structures, rules and regulations, and control mechanisms) and market opportunities of the selected value chains (both on and off-farm) and challenges faced by producers related to production, post-harvest handling, marketing, labor, inputs, finance, support services and institutions in the targeted upazilas of Bandarban District of the CHT. The study will also inform potential market-based solutions/interventions through the identification of constraints faced by the value chain actors.

***Promote Integrated Enhanced Homestead Food Production (IEHFP):*** SAPLING expanded the HFP curriculum to better serve the diverse needs of an estimated 55,925 participants, and reduce the need for separate participant-level meetings. IEHFP incorporates gender; WASH, nutrition, family health, savings, HH preparedness, disaster risk reduction (DRR) and natural resources management into sessions that promote increased production and improved practices in horticulture, poultry, livestock, aquaculture (in select unions w/in two upazilas) and marketing. To facilitate these trainings, all project participants are formed into groups of 10 to 15 HHs on average. The IEHFP base is used as an organizing body to enable the introduction of new technologies, such as composting and integrated pest management, and create an enabling environment for the adoption of positive behavior changes.

***Introduce Savings and Internal Lending Communities (SILC):*** Opportunities for communities to establish savings and draw down on credit when necessary is available through CRS' Savings and Internal Lending Communities (SILC) model. SILC groups are user-owned, self-managed savings and credit groups that are accessible, transparent and flexible, offering poor HHs safe and frequent

opportunities to save in the convenience of their own community. The project introduced the model to community leaders as part of the larger package of livelihood activities, identifying those communities who have an interest in forming SILC groups. Although the objective is savings, the group members may take loans as per their needs once minimum saving targets are met. The loan amount will be decided by the group members and included in their constitution.

***Improve access to water for irrigation, livestock and aquaculture:*** SAPLING supports communities to seek out water sources for crop irrigation, livestock and aquaculture (primarily in two upazilas). Water supply activities tie into watershed protection activities, attempting to keep as much water within the system to replenish soil moisture, etc. As a pilot, the project will teach selected communities in two upazilas how to create small creeks and ponds that can be used for harvesting fish throughout the year as well as providing water access to the neighboring communities. Community-elected CFW mitigation projects improve access to surface water layers as well as the channeling of grey water run-off from HHs for productive assets such as agriculture or livestock.

## **Purpose 2: Improved nutritional status of children under five years of age, pregnant and lactating women and adolescent girls**

***Train government and non-government health service providers, including traditional birth attendants and traditional health care practitioners, as well as agriculture extension workers, on ENA/EHA framework:*** SAPLING increases the quality of health services and improves knowledge of appropriate nutrition behaviors by men and women and adolescents, including nutrition, water, sanitation and hygiene, and reproductive health. The project uses Essential Nutrition Actions (ENA) and Essential Hygiene Actions (EHA) framework as its core technical approach.

The ENA/EHA framework is integrated through training, into existing delivery platforms, including health service providers in the Community Clinics, and the Upazila Health Complexes, district hospital. SAPLING also trains its Community Health Service Workers (CHSW) and field facilitators (FF), and incorporates it incorporated both the courtyard and IEHFP sessions so all participants benefit. SAPLING directly provides ENA/EHA training to the Civil Surgeons Office, the health implementation arm of the BHDC, as well as the agriculture, fisheries, and livestock extension agents which provides another point of delivery for key nutrition messages as participants interact with these individuals. Finally, traditional health service providers, including village doctors and healers and Community Skilled Birth Attendants, will receive ENA/EHA training, including adolescent nutrition.

***Introduce the Nurturing Connections© gender transformative/sensitive approach across program elements:*** SAPLING uses a gender transformative approach developed and tested in Bangladesh called Nurturing Connections© to address gender and other social inequality issues that affect women's position and decision-making power in the HH. This approach engages men and women, separately and together, in a series of exercises to develop skills to negotiate communication dynamics at the basis of traditional harmful roles and behaviors, power relations, and decision-making patterns. Participatory and non-formal learning methods (e.g., role play, story-telling, drawing pictures, and games) are used to challenge intra-HH inequalities that contribute to food insecurity and malnutrition. Participants are invited at the end of each series of thematic sessions to join mixed groups, where they share their perspectives of their new learnings and how they can work for change in the community. These sessions are integrated into the IEHFP sessions and through husband and adolescent groups. The material was adapted to the local context through a contextual analysis taking into account ethnic differences.

SAPLING supports the gender sensitive approach through extensive training of project staff. The project first provides all staff with a sensitization training to challenge their own gender biases and norms. This is followed by facilitation skills training, highlighting the purpose of facilitated discussions versus top-down knowledge transfer and, finally, training on facilitating NC activities.

***Promote Essential Nutrition Actions (ENA), Essential Hygiene Actions (EHA) and Adolescent Nutrition at the community level:*** Following the “1000 Days” approach to prevent malnutrition, which begins at initiation of pregnancy and continues until a child is two years of age, all HHs in a community with PLW and women with children under two participate in group sessions facilitated by the CHSW to learn about nutrition and hygiene. The information in these sessions is also integrated into the IEHFP platform and adolescent groups.

***Organize Nutrition Fairs and Cooking Demonstrations:*** SAPLING organizes community activities to bring together several villages annually as a cross cutting activity. These fairs provide an opportunity for vegetable and poultry producers to show off and sell their products. Booths are set up for cooking demonstrations, farming demonstrations, nutrition information and DRR strategies. Local influential people (ideally from the Union Parishad) are invited, along with health service providers. SAPLING participants are encouraged to talk about their successes and challenges. There is also theater and games for children. Nutrition, hand washing, and other WASH strategies are promoted to reinforce messages received via other mechanisms. As part of the overall nutrition training strategy, SAPLING facilitates participatory cooking demonstrations at the village level, whereby people cook together and learn methods of optimal nutrient retention.

***Provide Nutrition in Emergencies (NIE) training for Ministry of Health and Family Welfare (MOHFW) staff at supervisory positions and Disaster Management Committees:*** SAPLING strengthens the gender equitable ability of people to respond to, mitigate, adapt to, and recover from shocks and stresses under Purpose 3. Nutrition in Emergencies (NIE) is one way to help people recover physically, for example if mothers continue exclusive breastfeeding. Union Disaster Management Committee (UDMC) members are trained to disseminate messaging on ENA and EHA post emergency, and support Purpose 3 generally through improved knowledge and practice of nutrition-related behaviors. This activity convenes union and upazila disaster management committees (DMC) and MOHFW supervisory staff to discuss and learn about nutrition concerns, good practices, where to get information, during and after an emergency, being mindful of the needs of both men and women, children, and the elderly. It targets all UDMCs and MOHFW supervisors in all project upazilas with NIE trainings.

***Design and Implement Behavior Change Communication around Nutrition and Water, Sanitation and Hygiene (WASH):*** The behavior change communication (BCC) intervention aims to impact the first 1,000 days of life, changing the knowledge, attitudes and practices of pregnant and breastfeeding mothers on proper Infant and Young Child Feeding (IYCF), including early initiation of breastfeeding and exclusive breastfeeding for the first six months, with complementary feeding from six months onwards. Previously designed and tested BCC materials have been introduced to families, such as the 12-month pregnancy and postpartum calendar that begins in the fourth month of pregnancy and supports optimal behaviors and nutrition (including family support) for each month. Given the different languages among ethnic groups, SAPLING will adapt tools to limit the number with written words, using visual aids such as food cards with systems of colored stars that indicate nutritional value. BCC activities engage entire HHs whenever possible, highlighting women’s role in ensuring the family’s nutritional health.

SAPLING conducted an in-depth analysis of WASH practices among the various ethnic groups in order to fully understand the impact of cultural practices, land usage and available resources that impact uptake of good WASH practices. Based on this analysis and in collaboration with key stakeholders, the project is developing a communication strategy to introduce and encourage uptake of safe hygiene, water and sanitation behaviors. It employs a modified Community-Led Total Sanitation (CLTS) approach based on community champions, regular consultations and community monitoring of WASH projects and practices. When possible, the project leverages existing IEC materials by WASH actors such as the United Nations International Children’s Emergency Fund (UNICEF).

BCC takes place through several routes. Individual counseling of targeted mothers and caregivers (along with other key family members) is given by community health volunteers during their home



visits to promote proper IYCF practices. Social mobilization engages key community influencers and stakeholders. Trained or skilled birth attendants, community leaders, village doctors, representatives of union parishads, and local GoB line agencies from the project areas have been oriented on IYCF and nutrition issues.

SAPLING also builds on existing systems. Little Doctors (LDs) is a government program implemented in primary schools which SAPLING is supporting. Trainings cover food groups, Tippy Tap demonstrations, handwashing, safe water, Soil Transmitted Helminths (STH), diarrhea, and rabies. The SAPLING maternal and child health and nutrition (MCHN) specialists, in collaboration with the Health Inspectors/Assistants (HI/HA), work with the Heads of the primary schools to schedule orientations for the LDs, following which, the MCHN specialists and HI/HA jointly facilitate the sessions for LDs, class teachers and head teachers. After receiving training, the LDs disseminate knowledge among their peers. SAPLING is also coordinating with the STH Control Program in Bandarban Sadar. The SAPLING Tropical Disease and Eye Care Advisor and the CHSWs are working closely with MOHFW and Ministry of Education staff to support national deworming days and reach out of school children.

***Promote the use of improved sanitation technologies and systems:*** After building demand for better hygiene and sanitation through BCC, SAPLING presents HHs with a range of simple and appropriate technologies that can be purchased by poor HHs, as well as slightly more advanced options for others. Frequent visits by CHSWs and FFs reinforce the need to clean the toilets, fill water containers and Tippy Taps regularly, and to ensure soap is available in multiple locations throughout the HH, along with reminders about critical times to wash hands. FFs work closely with emergency task forces to confirm that safe hygiene practices are monitored and widely adopted in preparation for emergencies, when the potential for water-borne diseases rises. SAPLING will work with local HHs or private companies to source WASH materials, including replacement parts, and encourage development of rural sanitation marts.

***Increase access to safe water through appropriate water supply technologies and infrastructure:*** Starting in fiscal year (FY) 2018, SAPLING will introduce appropriate safe water supply technologies in communities, in coordination with the Department of Public Health Engineering (DPHE). Based on assessments of geographical and hydrogeological conditions, options may include protected shallow wells (to be raised in flood-prone areas), tube wells, ring wells, rainwater harvesting tanks and cisterns or possibly more elaborate systems, such as piped gravity-fed water systems, infiltration galleries or deep set pumps. For more elaborate systems, SAPLING will work with the DPHE to identify the appropriate standard designs. These efforts will also be linked with hygiene promotion around water treatment (e.g., boiling water, aqua tabs).

Communities will form Water User Committees (WUC), which are responsible for infrastructure maintenance. These committees are trained in the same financial management and accountability mechanisms currently used in the SILC model, for example, using locally-made lock boxes and record books. All HHs using the water sources are asked to contribute to a fund managed by the WUC for minor operation and maintenance repairs, which reduces the need for larger, more-expensive rehabilitation work in the future.

### **Purpose 3: Sustained gender equitable ability of people, households, communities, and systems to mitigate, adapt to and recover from human-induced and natural shocks and stresses**

SAPLING has identified unions based on vulnerabilities (high, moderate and low) using a structured method supported by the M&E team and will be piloting activities in the most vulnerable unions. As per the secondary data, and considering access to services, existing hazards and related consequences, food production and food shortages, the GoB's relief distribution in last five years etc., the SAPLING DRM team, in association with the District Relief and Rehabilitation Officer, has categorized 11 unions as most vulnerable, while 7 are moderate and 6 are less vulnerable. The number

of HHs targeted will be decided once the HH census is completed. Given the topography of the area, the population density varies thus impacting the number of HHs in every union.

***Assist vulnerable households in developing preparedness strategies for shocks:*** SAPLING works with men and women (together and separately) to promote HH preparedness and early warning. Early warning of emergencies is a key defense for all HHs vulnerable to storms and flash floods, especially those that depend on agriculture or rearing small livestock. SAPLING will first focus its efforts on the five most vulnerable unions to support target HHs with the identification of preparedness measures for existing hazards as well as other hazards experienced over the last 10 years, focusing on how these have impacted livelihood, health and nutrition status in these communities. During this process, SAPLING will consider the issues of most vulnerable groups i.e. women, including PLW, children, adolescent girls, aged individuals and people with disabilities (PWD). Once the preparedness measures are identified, session materials will be developed. The planning process will also explore disaster risk management (DRM) messages (such as tying down roofs, vaccinating livestock, income generation through agricultural production, savings of grain and cash, use of mosquito netting, and elevating latrines) that resonate with HHs from the most vulnerable groups mentioned above. These messages will be disseminated through appropriate IEC materials<sup>1</sup> and media such as songs, dances and dramas to further promote emergency preparedness. FFs will review important steps men and women should take after receiving an early warning notice from the UDMC or other sources (i.e. radio, television etc.).

***Assist households to develop a variety of strategies to protect productive assets:*** An important way to minimize the impact of shocks is by safeguarding livelihood and productive assets, such as land, crop fields, fruit orchards, poultry and livestock, and other natural resources, such as water and forests. SAPLING project will initially work with targeted vulnerable HHs in the five targeted unions to list their productive and livelihood assets, identify protective measures to be taken for each asset considering the existing hazards, and educate targeted HHs on how they can use this knowledge and skills at the HH or individual level to improve their resilience against disasters and climate change.

FFs will link community representatives with local authorities, such as Agriculture and Livestock Officers, to understand the services available to protect livelihood assets. HHs that are heavily dependent on agriculture or rearing small livestock for their livelihoods are particularly vulnerable to seasonal shocks. SAPLING will focus on training HHs to administer livestock vaccines to protect their livestock from existing hazard-related diseases. The project also assists them to diversify their livelihoods under Purpose 1.

***Assist vulnerable households to access social safety nets to recover from stresses:*** SAPLING supports vulnerable HHs experiencing disasters that push them beyond their absorptive capacity, by helping these families to explore resources they can turn to if and when these occur. Government safety net programs are functional in unions to support HHs during normal times and after natural disasters or other shocks. SAPLING FFs will train highly vulnerable HHs on how to access these safety nets as part of disaster preparedness training, involving Union Parishads and UDMC in this process.

***Form and support Ward Level Disaster Risk Management Group to lead DRM activities:*** While there is no specific guidance in the Standing Order on Disaster (SOD) regarding DMCs at community, ward or para levels, there is a provision for creating volunteer groups and training them on different issues related to DRM. Therefore, SAPLING will help establish Ward Disaster Risk Management Groups (WDRMG) in 99 wards within the 11 most vulnerable unions in the target project area, to serve as the coordination body for all development activities in their respective wards. SAPLING is also establishing a partnership with Bangladesh Red Crescent Society (BDRCS) which is responsible for forming and training volunteer groups to support the GOBs SOD. The WDRMGs created by SAPLING will be trained using BDRCS's trainers and modules and function as

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<sup>1</sup> The appropriate IEC materials will be developed using the findings of the Social and Behavior Change Communication (SBCC) study.

Community Disaster Response Teams (CDRT) within the BDRCS. These groups will be officially absorbed within the BDRCS (and renamed as Community Disaster Response Teams) and continue under this structure after SAPLING ends.

Each WDRMG will have 11-15 members, with a minimum of three women and the participation of Karbaris/Headmen to ensure alignment with local leadership structures. They will be formed and managed by the agreed guideline/protocol, including the election of a group leader. In addition to contributing to the Community Risk Assessment (CRA) process, the role of WDRMGs may vary due to diverse hazards and geographical features but will include: (i) training fellow community members in DRM; (ii) early warning dissemination (as appropriate); (iii) evacuation coordination and assistance; and (iv) performing emergency assessment. The WDRMG is a key link between communities and UDMCs.

***Assist Union DMC to facilitate CRA and Develop Risk Reduction Action Plan (RRAP) at Union level:*** CRA is a participatory process for assessing hazards, vulnerabilities, risks, ability to cope, and preparing risk reduction strategies. The CRA addresses the comprehensive resilience of a community regarding food security and nutrition issues, in addition to human induced and natural shocks. The project DRR & WASH Officer, Union Supervisor and FFs will work with UDMC members to facilitate inclusive DRR planning, starting with a CRA to prioritize local DRR challenges and develop a RRAP for the targeted 11 unions. A CRA consists of five steps:

1. Scoping the community (transect walk, wealth ranking/census, resource mapping, focus group discussions (FGD), key informant interviews (KII), etc.)
2. Identification of hazards, vulnerable sectors, elements, and locations
3. Risk analysis and evaluation
4. Specific risk reduction options and action planning
5. Consensus on options

SAPLING will use the GoB CRA tools (developed by the Comprehensive Disaster Management Program), which have been tailored for the CHT region. SAPLING staff will be trained on the tailored version before starting CRA at field. Besides natural hazards, SAPLING will consider human induced hazards in the CRA process.

***Promote community strategies to address/mitigate the hazards of environmental degradation through geo-spatial mapping and awareness raising:*** SAPLING is performing a comprehensive geo-spatial mapping indicating areas of vegetation, forests, crop land, rivers and infrastructure. Workshops led by the UDMCs and Ministry of Environment and Forest will review these maps with community members and discuss destructive environmental practices, such as slash and burn cultivation, deforestation and excessive tobacco farming. Once the maps are developed, SAPLING will launch a campaign to increase awareness of alternatives to traditional or adapted jhum cultivation, such as prohibiting burning, planting crops that enrich rather than deplete soil, reforestation and forest management approaches, watershed management practices, and use of non-chemical farm inputs, linking to activities under Purpose 1. Demonstration plots will be promoted to test new practices, led by key community agriculture champions. The spatial maps will provide Union and Upazila DMCs the opportunity for future analysis and development of strategies to improve environmental safeguards.

***Facilitate establishment of capable gender-equitable community task forces to prepare for and respond to disasters:*** To increase resilience of HHs against shocks, SAPLING will work with WDRMGs to form village or ward-level task forces (depending on the distance between villages). SAPLING has proposed 3 types of task forces: Early Warning, First Aid, and Search & Rescue. The number of task forces in each ward will be based on the need and existing hazards. Each task force will be led by a WDRMG member and will include community volunteers that represent a cross section of the local population, including women and youth and the most vulnerable, and is trained to carry out critical functions before, during and following a shock (e.g., early warning dissemination, search and rescue, first aid, water and sanitation, and livelihoods). As the partnership between

SAPLING and BDRCS is established, and WDRMGs transition to become CDRTs, the task forces will be eliminated since CDRT members will be responsible for the same critical functions.

***Increase community knowledge on approaches to mitigate human-made stresses for strengthening social cohesiveness:*** The CHT is home to 11 distinctive ethnic groups, in addition to the Bengali population, each with their own distinctive language, culture, and tradition. The region is geographically distinct from the plains, made up of very steep, rugged hilly terrain and in many places, dense bamboo forests. The rough terrain, remoteness of villages and various political issues associated with a protracted conflict have seriously impeded the economic development of the region.

Disputes between Bengali settlers and indigenous communities over access to land is one of the most deeply rooted issues impacting social cohesiveness. Discrimination and harassment are thought to occur because Bengalis consider indigenous people inferior and underdeveloped. Indigenous people, especially women, report experiencing discrimination and rudeness from public service providers. Despite the peace accords, non-Bengali ethnic groups do not trust the Bengali-dominated formal justice structure, turning more to their internal traditional structures headed by ethnic *Karbaris*, Headmen and Circle Chiefs.

The lack of social cohesiveness is considered one of the major barriers to building community resilience to natural and human induced shocks and stress. In addition to improved environmental management, SAPLING will also help communities to increase social cohesiveness, which it hopes will mitigate potential violence, including land disputes and domestic violence through different events (i.e. training, awareness raising, HH level IEHFP sessions, etc.) and the materials/messages.

***Facilitate funding of government approved mitigation projects from community DRR plans, using project, community and government contributions:*** SAPLING will consult with UDMCs to identify small-scale infrastructure improvements from the RRAPs that can be supported through Cash-for-Work projects during the project period.

***Form and train Union DMCs to develop Disaster Management Plans, with support from Regional and Upazila DMCs:*** SAPLING collaborates closely with UDMCs, including training on roles and responsibilities, coupled with consistent accompaniment to prepare them to assume oversight after the end of the project. SAPLING assessed whether there were functioning UDMCs in each of the target unions in accordance with the Disaster Management Act (DMA), and reactivated them as all were dormant. CRS's assessment tool was adapted to identify the barriers preventing UDMCs from assuming their functions to inform a capacity strengthening plan. SAPLING will also work with DMCs at upazila and pourasova level, providing support to revitalize them and providing training on the DMA, SOD and their roles during DRM scenarios (as stated in the SOD).

***Link communities to District, Upazila and Union DMC structures and to national Climate Early Warning Systems:*** SAPLING strengthens systems through a community-led approach to developing RRAPs with local government and promoting linkages with existing efforts and information at higher levels so that the different nexuses in the system effectively support one another to prepare for and respond to the range of climactic and human-induced shocks that affect CHT communities.

***Establish a community-based Early Warning System:*** SAPLING is working with MODMR and Dhaka University to develop a community-based early warning system for floods and landslides.

## **SAPLING MANAGEMENT STRUCTURE**

SAPLING is being implemented through a consortium approach, engaging the strengths of nine proposed organizations to meaningfully transform the lives of approximately 240,000 people within an extremely complicated, post-conflict environment. As the prime, HKI is responsible for representation with various stakeholders in addition to overall strategic vision, management,

compliance and quality control. HKI is also the technical lead on MCHN, livelihoods, gender and environment. CRS provides strategic direction and oversight of DRM, WASH, local capacity building, and SILC. WorldFish (WFC) is proposed as the technical lead responsible for aquaculture including activity design, training IP staff, and quality control.

Caritas Bangladesh's role has been adjusted since the initial award in response to the CHTRC's observations in relation to the GOB circular, "Subject: Working procedure for foreign and foreign-assisted Bangladeshi non-governmental organizations (NGOs) working in Bangladesh", Letter number: 03.070.022.03.00.013.2010-90(500). Caritas will no longer be an IP; instead, it will be responsible for the day-to-day operational and technical management of field-level activities in the upazilas of Lama, Ruma and Bandarban Sadar, while also providing technical oversight to WASH, DRM and SILC in the upazilas of Rowangchari and Thanchi. Per negotiations with the CHTRC, five local NGOs will be selected as IPs for SAPLING (one per upazila) instead of the previously planned two, for Rowangchari and Thanchi. These IPs will directly implement all field-level activities in SAPLING's target areas, with three managed by Caritas and two by HKI.

## **MID-TERM EVALUATION (MTE): OBJECTIVES AND METHODS**

The overall aim of this evaluation is to assess the extent to which the services and interventions of SAPLING are delivering, or likely to deliver, against project objectives and targets, and to identify specific strategies for improvement when and where this is not the case. In doing this, the MTE will assess the effectiveness of the processes through which services and interventions are being delivered and the extent to which they align with USAID approved plans. It will look at the scope and scale of activities, as well as their quality, and identify factors that contribute to success or, conversely, are acting as barriers.

The MTE will be a mixed methods approach that draws upon both the experiences and perceptions of stakeholders (e.g., implementing staff members, participants, other community members, local experts, external partners) and the various forms and sources of monitoring data collected by the program to date. As such, the MTE will provide a platform from which SAPLING can revisit program strategies and implementation, with a view to strengthening these where there are opportunities to achieve greater impact through alternative approaches, and/or through the refinement of existing approaches.

### Specific objectives of the MTE

The specific objectives of the MTE are as follows:

7. To identify and document evidence of changes (intended and unintended, positive and negative) that have resulted from SAPLING interventions, and identify key factors in their design, implementation and context that either impede or promote the observed changes.
8. Analyze the extent to which the current implementation strategies adopted by SAPLING are likely to deliver against agreed project outcomes and targets. Where this is not the case, the MTE should provide specific recommendations as to how activities can be strengthened, and/or where more substantial changes are required to achieve project outcomes and targets.
9. Assess the extent to which program activities have been implemented as set out at the project outset, including the timing, scope and scale of activities, and where modifications have been made.
10. Assess the extent to which the activities being implemented accurately reflect the TOC and the extent to which there is evidence that the hypotheses articulated in the TOC are holding true (i.e. the relationship between activities and outcomes), and, where this is not the case, summarize the reasons why.
11. Evaluate the functions, effectiveness and quality of partnership between all implementing and technical partners, including: government, local institutions, technical partners, and various community level groups.

12. Make specific recommendations for adjustments, resource allocation, management structures and monitoring and evaluation activities that will increase the likelihood of SAPLING achieving desired outcomes and targets by project end.

Given the relatively short period over which activities will have been implemented before the MTE, Food for Peace (FFP) does not anticipate that evaluators will find large or widespread adoption of practices and changes in behavior and circumstances. Nevertheless, evaluators should look for evidence of whether and how members of target groups have changed their ideas, attitudes, intentions, or practices in any way since activity initiation and seek to understand why some participants have started to apply learning from the activity or use activity outputs, while others have not. The MTE team should also observe the local ecology and context for signs of change. Based on what they find, they should consider the accuracy and relevance of the pathways and critical assumptions of the activity's TOC and LogFrame (LF).

### **MTE Methods**

The MTE will need to employ a mix of methods to achieve the objectives described above, including, but not exclusively:

- I. An in-depth desk review of key project documentation;
- II. Primary data collection from key stakeholders, including program participants, using a variety of approaches, including in-depth interviews, FGDs, and observation.
- III. Review and analysis of monitoring and implementation data collected by the program to date.

The evaluator will work closely with program staff to ensure that they can identify the key stakeholder groups - target groups and participants, IPs, government partners, and other external collaborators - who should be a source of primary data for the MTE. In addition to those individuals typically thought of as participants, evaluators should include individuals who live in targeted communities, but who have not been directly targeted by SAPLING interventions. This is important to assess likely intervention coverage and the extent to which interventions and activities may be bringing about wider, community level, transformations.

It is expected that evaluators will have the appropriate expertise and understanding of the contextual factors that shape implementation, engagement and outcomes, for example, socio-economic factors, geographical circumstances, cultural practices, seasonality, and inter-group tensions.

### ***Secondary Data***

The project proposal, activity and study reports, annual and quarterly reports, various research studies and other relevant qualitative and quantitative information will be provided to the MTE consultant. A full list of these documents will be provided to the consultants selected to conduct the MTE.

### ***Primary Data***

The following is a list of stakeholders that must be included in the primary data collection as a minimum:

- SAPLING staff
- USAID/Bangladesh Mission Staff
- FFP in Bangladesh
- GoB Officials - National to Union/Village level
- Traditional leaders
- Partner NGO (PNGO) staff and executives
- International NGOs (INGO), local NGOs
- Community volunteers
- IEHFP/MCHN/SILC/MC and other groups
- Technical and implementing partners

In the proposal for this MTE, the evaluator should include a matrix that clearly identifies how they propose to answer the questions/objectives for the MTE, linking each objective to the range of methods and data sources they see as being appropriate and necessary for answering each. The table below is illustrative; interested parties should set information out in a format they think most appropriate. The evaluator should tailor the matrix to the details and objectives of each activity. SAPLING and USAID will use this matrix to clearly communicate to the evaluator the general and specific features and components of activity implementation that should be investigated and the level of detail that is desired. It should highlight areas of concern and optimism, as well as new or different approaches that were implemented in the activity. A template for this matrix – with illustrative text – is provided below.

**Table 2: Matrix template for activity implementation components and level of detail in MTE**

| Areas of focus   | Aspects to consider  | Illustrative methods of investigation/evaluation   |
|--|--|--|
| <b>Objective/question:</b> <i>Assess the extent to which program activities have been implemented as set out at the project outset, including the timing, scope and scale of activities.</i> |  |  |
| Adherence to planned schedules for each activity   | Start dates for each key activity, coverage to date, and extent to which these have been implemented according to plan, or how and why they have been modified | <ul style="list-style-type: none"> <li>– Interviews with project staff</li> <li>– Implementation reports</li> <li>– Routine monitoring data</li> <li>– Routine participant surveys/annual surveys</li> <li>– Interviews with participants</li> </ul> |

All data collection tools and interview guides should be provided to the SAPLING team in advance, and be drafted in both English and Bengali. The evaluator should keep in mind that there are 11 other languages (besides Bengali) spoken in the CHT and data collection with project participants will need to be conducted in the language of the ethnic group to which they belong, although written drafts are not required because most do not have a written script. The evaluator must obtain approval prior to their use in the field.

## EVALUATOR RESPONSIBILITIES

### Summary

The evaluator must adhere to all requirements, including USAID/ FFP M&E Policy and Guidance, relevant Automated Directive System (ADS) Chapters, Development Experience Clearinghouse (DEC), etc. They must maintain completeness, integrity, timeliness and overall quality. They must submit a comprehensive professional report in Standard English. This section itemizes the key deliverables (neither inclusive nor organized by order of priority) required from the evaluator within the agreed timeline.

The deliverables include, but are not limited to:

1. A draft and final MTE plan, draft and final MTE reports
2. An executive summary of the final MTE report
3. Presentations for specified audiences (including USAID)
4. Primary data sets, where feasible/reasonable, data collection instruments and protocol (English and all translations in Bengali<sup>2</sup>)
5. Descriptions of data analyses conducted to support conclusions
6. Lists of sites visited with types and numbers of informants at each, list of stakeholders interviewed and consulted, and transcripts of interviews including quantitative and qualitative, and discussions, such as in-depth interviews and FGDs.

<sup>2</sup> The primary product should be in English and then finalize the Bengali version after forward and backward translation.

The MTE contractor must follow USAID's Evaluation Policy<sup>3</sup> which requires that the report describe the strengths and limitations of the evaluation methods and how and to what degree these factors influenced the process and findings of the evaluation. The report must clearly separate in different sections the evidence (i.e., raw data) collected by the evaluation team and the conclusions and recommendations based on the presented evidence. All evidence must be identified, conclusions must be based only on evidence presented in the report, and recommendations must directly correspond to the conclusions.

After the MTE data collection is completed, the contractor/firm will submit a draft report to the SAPLING Chief of Party and to USAID within 30 calendar days. After responding to the comments, the contractor will submit the final report within 30 calendar days for further review and approval by the project and FFP. The final report must adhere to the requirements in USAID's Evaluation Policy.

### **MTE Final Report**

The evaluator will produce a comprehensive report that assesses the achievements, relevance, coherence, coverage, effectiveness, efficiency, outputs and early outcomes of SAPLING's interventions so far, and provide prioritized recommendations to maximize results during the remainder of the project. Sources of all evidence must be identified, conclusions must be based only on evidence presented in the report, and recommendations must directly correspond to the conclusions. Recommendations must be prioritized and categorized, with justification for the prioritization and classification. They should also mark recommendations that are sequential, have huge resource implications, or for which external support is needed to execute.

The evaluator should deliver all files, data sets (raw and refined products, in proprietary and non-proprietary format), transcripts and notes in an easy-to-read, organized format, and maintain naming conventions and labeling for the use of SAPLING and key stakeholders. The evaluator will continue to revise documents until the submissions are found satisfactory by SAPLING and USAID. The report must not exceed 50 pages (excluding all annexes) in MS Word and use standard page set-up, margin, fonts, line spacing, etc. The final submission will include the following key elements with appropriate analysis, interpretation and evidence:

- Cover Page, Table of Contents, List of Acronyms
- Executive Summary - must be a clear, specific and concise stand-alone document that states the most salient findings, conclusions, and recommendations of the evaluation and gives the readers the essential contents of the MTE in two to four pages. The Executive Summary should help the readers to build a mental framework for organizing and understanding the detailed information within the report
- Introduction - must include MTE objectives, purpose, audience, and synopsis of task and MTE questions
- Methodology and Study Design- must describe the methodology and design of the MTE, constraints and limitations to the study process and rigor, and issues in carrying out the study
- Project Background and Current Food and Nutrition Security Situation – must provide a brief background and overview of project and the current food and nutrition security situation related to food availability, access, and utilization
- Tabular summary and graphical presentation of quantitative and qualitative evaluation results - must present findings of the MTE in table and graphical forms, as suitable
- Findings and Evidence - must present results from the MTE and associated evidence. Results must be analyzed and discussed, using findings from the qualitative and quantitative investigations in a complementary fashion. The source of each finding must be clearly identified.
- Conclusions and Recommendations - must provide high-level conclusions about the food security situation, vulnerabilities, and capacities of the population and sub-groups, and contextual, cultural, and individual factors that influence the current situation. All

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<sup>3</sup> <https://www.usaid.gov/sites/default/files/documents/1868/USAIDEvaluationPolicy.pdf>



conclusions must be based solidly on the presented findings. If information from other sources is used to reach these conclusions, valid references must be provided, and reference documents or internet links to these included. Recommendations for the design and implementation of future midterm and final evaluation surveys and studies in each country must be derived from and supported by the findings and conclusions presented. Recommendations must be relevant to project and context and include concrete and realistic steps for implementing or applying the recommendations.

- Limitations and Challenges - must provide a summary of key technical and/or administrative limitations for both the project and the MTE
- Annexes – must include annexes of tools, maps, and other supporting documentation to provide further details and explanations.

The final report, all the primary data sets, analyses and outputs must adhere to the requirements in USAID's Evaluation Policy and all relevant ADS Chapters. The contractor must submit both electronic and printed versions of the report (three copies of final report – color print) within the timeline and comply with internal policies and USAID ADS 579, ADS 597 and others as relevant.

### **Pertinent Permissions, Approvals, Insurance, and Other Required Permits**

The MTE team will be responsible for obtaining required permits related to data collection from human subjects, including necessary internal review board approvals, as well as travel documents to enter Bangladesh and health and accident insurance for MTE team members. USAID and SAPLING will help obtain permissions, if needed, for travel to the CHT.

### **Time Frame and Interim Submission**

The MTE contractor should identify the data collection period for the MTE, that suffices the MTE schedule agreed by the project and FFP (*see Section 4.2.1 of USAID'S Office of Food for Peace Policy and Guidance for Monitoring, Evaluation, and Reporting for Development Food Security Activities, December 2016*) and provide an illustrative time allocation for the various stages of the evaluation. This will help USAID, SAPLING, and the MTE team estimate the financial resources needed for the evaluation. The time allocation should consider the number of team members and the accessibility of intervention sites. The MTE Contractor should also specifically state that the time frame provided is illustrative and subject to adjustment until the MTE work plan is finalized and approved by SAPLING and USAID.

Time line for the MTE:

- Secondary data review and MTE work plan preparation: 4–6 weeks.
- Data collection: 6–8 weeks, excluding travel time
- Data analysis and drafting of report: 4 weeks
- Feedback from USAID and finalization of MTE report: 4 weeks

SAPLING will gain FFP's approval on the following deliverables:

- Final MTE scope of work (SOW) and estimated budget
- MTE team: The individuals selected to serve as team leader and sectoral experts
- Draft Detailed Evaluation Plan
- Final MTE plan: Before primary data collection begins
- Final report

The MTE team must review and analyze secondary data. The evaluation budget may include up to four weeks of paid time for this before arrival in Bangladesh. Before arrival in Bangladesh, the MTE team must submit a Detailed Evaluation Plan for review and approval by SAPLING and USAID. The Plan must contain evaluation methodologies, sampling strategy and plan (target numbers and bases for purposive sampling of sites, groups and individuals), draft evaluation tools and protocols for data collection, an analysis plan, and the evaluation timeline.

The project timeline must contain the following elements:

- Desk review
- Field test and finalization of the MTE data collection tools
- Data collection (field work) and processing
- A scheduled meeting to present the key results collected and preliminary conclusions to SAPLING and USAID Mission staff, preferably in Dhaka.
- Date for initial submission of an electronic draft of the MTE report for review and comment by SAPLING and USAID/FFP.
- Time to incorporate changes or additions based on the feedback received from the review of the draft report.
- Proposed data for final submission for approval by SAPLING and USAID/FFP.

The MTE consultant has the right to agree or disagree with any comment within 30 days of FFP approval by FFP/USAID, the Development Food Security Activity (DFSA) awardee will provide the Agreement Officer's Representative (AOR) with digital transcripts of interviews and discussions conducted as part of the MTE and data sets created or used by the evaluators, including copies of the monitoring database tables or other activity data, as analyzed by the evaluators.

- The DFSA awardee will submit the final MTE report to the DEC within 30 days of FFP approval and upload it to the Food for Peace Management Information System (FFPMIS) as part of the Annual Results Report (ARR) for the FY in which the report was approved.
- FFP will review and submit the files to the Development Data Library (DDL), as appropriate, in accordance with USAID ADS 579: USAID Development Data and the award's standard provisions. Section 4.3 describes the requirements for submissions.
- DFSA awardee will review these requirements to prepare the data sets and provide the requested information.
- Within 45 days of FFP's approval of the final report, the DFSA awardee and FFP will develop an agree to a plan of action in response to the MTE results and recommendations.

All reports and related data should be original and in English, including interviewee lists and detailed reports of the actual fieldwork. The MTE contractor will be responsible for finalizing these reports prior to the end of the contracting period.

#### **An illustrative timeline for the MTE**

The primary data collection must be completed by April 30, 2018. There is flexibility in the timing of milestones between the receipt of the secondary data and the submission of the draft report, which may be affected by team size and logistics. Intervals of 2-4 weeks are included where review, feedback, and approval by SAPLING and USAID are required for plans and reports.

**Table 3: Illustrative Timeline for MTE**

| Task / Deliverable  | Start Date – End Date                   |
|---|---|
| SAPLING will finalize the draft SOW and submit to FFP   | July 5, 2017                            |
| Review of the final Statement of Work of MTE by the responsible USAID/ FFP M&E Specialist   | July 2017                               |
| Approval of the final Statement of Work of MTE by the FFP AOR of the project  | August 3, 2017                          |
| Advertisement, Recruitment and Procurement of Evaluators  | August 7 – September 21, 2017           |
| The MTE Contractor receives Secondary Data from SAPLING and other sources   | September 21, 2017 – September 30, 2017 |
| Review and analyze secondary data and submit inception report, draft evaluation work plan and timeline to HKI for initial review and feedback by SAPLING partners and USAID | October 1 – October 20, 2017            |

|  |   |
|--|---|
| Identify indicators and variables for MTE and establish survey location, sampling design and other protocol for the MTE  | October 21, 2017 – November 10, 2017    |
| Present revised evaluation plan, including draft logistical plan, data collection tools, and timeline to project and USAID staff for feedback  | November 21, 2017 – November 30, 2017   |
| Submit final evaluation plan, data collection tools, timeline and logistical plan for approval   | December 1, 2017 – 31 December 2017     |
| Recruit translators and finalize logistics for evaluation  | January 1, 2018 – January 30, 2018      |
| Field work: collect primary data, conduct preliminary analyses, and validate findings with community members and other stakeholders  | February 1, 2018 – April 30, 2018       |
| Finish preliminary analyses and present key findings to SAPLING and USAID/Mission staff  | May 1, 2018 – May 31, 2018              |
| MTE complete the data analysis, interpretation and prepare a draft evaluation report and submit it to SAPLING  | June 1, 2018 – June 30, 2018            |
| De-briefing with SAPLING, USAID and other key stakeholders on preliminary observation and findings   | July 1, 2018 – July 15, 2018            |
| SAPLING submit the draft MTE reports to the AOR, who will review and provide feedback for the MTE team before the report is finalized  | July 16, 2018 – August 15, 2018         |
| SAPLING and FFP review the draft report and provide the MTE contractor feedback  | August 16, 2018 – September 15, 2018    |
| MTE Contractor submits final report revised based on feedback from SAPLING and USAID for approval  | September 16, 2018 – September 30, 2018 |
| MTE Contractor submit digital copies of all evaluation documents and data sets to SAPLING  | October 1, 2018 – October 15, 2018      |
| Awardee submit the final MTE report to the DEC within 30 days of FFP approval and upload it to FFP MIS   | Within 30 days of FFP Approval          |
| Within 30 days of FFP approval, the awardee will provide the AOR with digital transcripts of interviews and discussions conducted as part of the MTE and data sets created or used by the evaluators, including copies of the monitoring database tables or other activity data, as analyzed by the evaluators | Within 30 days of FFP Approval          |
| FFP will review and submit the files to the Development Data Library   | USAID will submit to DDL                |
| FFP will review and submit the files to the Development Data Library, as appropriate, in accordance with USAID ADS 579: USAID Development Data and the award's standard provisions. Section 4.3.1 describes the requirements for submissions.  | USAID will submit to DDL                |
| Awardees should review these requirements to prepare the data sets and provide the requested information   | Within 45 Days of FFP Approval          |
| Within 45 days of FFP's approval of the final report, the awardee and FFP will develop and agree to a plan of action in response to the MTE results and recommendations.   | Within 45 Days of FFP Approval          |

It is important to note that an early start increases the likelihood for ideal timing of data collection and a wider selection of well-qualified consultants, who are often booked months ahead, and allows for the possible need to re-advertise for a consultant. There is no need for the MTE data collection to match the seasonal timing of the baseline study or final evaluation. However, the MTE contractor

should consider the practicality of timing, such as seasonality with regards to planting and rains, religious festivals, travel time, type of transport, local context, weekends, etc.

### **ETHICAL GUIDELINES**

Every member of the evaluation team must adhere to ethical guidelines as outlined in the *American Evaluation Association's Guiding Principles for Evaluators*. A summary of these guidelines is provided below.

***Systematic inquiry:*** Evaluators conduct systematic, data-based inquiries.

***Competence:*** The evaluation team possesses the education, abilities, skills, and experience appropriate to undertake the tasks proposed in the evaluation. Evaluators practice within the limits of their professional training and competence, and decline to conduct evaluations that fall substantially outside those limits. The evaluation team collectively demonstrates cultural competence.

***Integrity/honesty:*** Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process.

***Respect for people:*** Evaluators respect the security, dignity, and self-worth of respondents, activity participants, clients, and other evaluation stakeholders. Evaluators regard informed consent for participation in evaluation and inform participants and clients about the scope and limits of confidentiality.

***Responsibilities for general and public welfare:*** Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.

Further details are available at: [www.eval.org/p/cm/ld/fid=51](http://www.eval.org/p/cm/ld/fid=51).

### **Anticipated Contracting Period and Award Mechanism**

The anticipated period of the resulting award is expected to include about ten months of work per year, beginning on or about November 2016. Offerors must clearly what, if any, “start-up” support costs, would be needed to commence services.

HKI intends to award an all-inclusive firm fixed price contract to the winning offer. No profit, fees, taxes, or additional costs can be added after award. This solicitation is subject to all the terms and conditions of the resulting contract. Any resultant award will be governed by these terms and conditions. HKI reserves the right to make minor revisions to the content, order, and numbering of the provisions in the actual contract.

## **ANNEX B: USAID Contract Provisions**

### **Contract Provisions for Non-Federal Entity Contracts Under Federal Awards**

By signing below, the Offeror agrees to comply with these requirements, as applicable, in the event an award is made by HKI.

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

- (A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.
- (B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.
- (C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”
- (D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.
- (E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer

on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

- (F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.
- (G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).
- (H) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government-wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- (I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.
- (J) §200.322 Procurement of recovered materials. A non-Federal entity that is a state agency or agency of a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

By signing below, the Offeror agrees to comply with these requirements, as applicable, in the event an award is made by HKI.

**Offeror:**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**ANNEX C: Format of CV to Be Used for Personnel (One Document Per Person)**

**Name:**

**Title:**

**Nationality:**

**Home office address:**

**Professional qualifications:**

**Language skills:**

| <b>Language:</b> | <b>Reading:</b> | <b>Speaking:</b> | <b>Writing:</b> |
|------------------|-----------------|------------------|-----------------|
|                  |                 |                  |                 |
|                  |                 |                  |                 |
|                  |                 |                  |                 |

**Relevant work experience, including the duration and responsibilities:**

**References:**

*Name:*

*Position:*

*Organization:*

*E-mail:*

*Address:*

*Telephone:*

*Relationship:*

Certification:

*Name:*

*Position:*

*Organization:*

*E-mail:*

*Address:*

*Telephone:*

*Relationship:*

I declare that the information provided in this CV is accurate and hereby authorize HKI to undertake whatever inquiries HKI may consider reasonable and necessary in the course of the assessment process, in relation to the information in this curriculum vita relating to my suitability for the position for which I have been nominated

**Signed**

**Date:**



**ANNEX D: Cost Proposal Format**

**DETAILED BUDGET BREAKDOWN WORKSHEET (SAMPLE FORMAT)**

| <b>Cost Element</b>  | <b>Unit Cost</b> | <b>Quantity</b> | <b>Total Cost</b>    |
|--|------------------|-----------------|----------------------|
| 1. SALARIES<br>Position No. 1 {name}<br>Position No. 2 {name}<br>SUBTOTAL          |                  |                 | Unit Cost x Quantity |
| 2. FRINGE BENEFITS (If applicable)   | xx%              |                 | xx% of Base*         |
| 3. OVERHEAD (If applicable)  | xx%              |                 | xx% of Base*         |
| 4. EXTERNAL CONSULTANTS<br>Position No. 1 {name}<br>SUBTOTAL                       |                  |                 |                      |
| 5. TRAVEL & TRANSPORTATION<br>A. Travel<br>B. Per Diem<br>SUBTOTAL                 |                  | Number of trips |                      |
| 6. OTHER DIRECT COSTS<br>Communications<br>Duplication<br>[List Items]<br>SUBTOTAL |                  |                 |                      |
| 7. INDIRECT COSTS (If applicable)  | xx%              |                 | xx% of Base*         |
| 8. FIXED FEE   | x%               |                 | xx% of Base*         |
|  |                  | <b>Total</b>    |                      |

\_\_\_\_\_  
Principal's Signature

\*The Base for each of these percentages needs to be identified and documented through audited financial statements.

## **ANNEX E: Conflict of Interest Disclosure**

**HKI Code of Conduct & Ethics Policy:** In accordance with the HKI Code of Conduct and Ethics Policy, HKI requires full and open disclosure when dealing with procurement. As such, HKI employees must avoid any conflict of interest or the appearance of a conflict of interest. HKI employees must at all times provide full disclosure of their actions or relationships with prospective vendors, contractors, or consultants. HKI employees shall not solicit, request, accept, or agree to accept any gift from a vendor or prospective vendor.

HKI reserves the right to reject any or all quotes when considered to be in the best interest of the organization and/or the people it serves.

All parties submitting a proposal in response to this Request for Proposal are obligated to disclose the existence of any actual or possible conflict of interest relating to every country included within their proposal in the attached *Conflict of Interest Declaration Form*.

Failure to fully disclose such information could lead HKI to reject a proposal.

If a party has no conflict to declare for any of the countries covered in their proposal, they may submit one form, listing all of the countries covered.

“**Conflict of Interest**” means a situation in which an Offeror, or an Affiliate (as defined below), or a sub-contractor (if any) of an Offeror, has interests (financial, organizational, personal, reputational or otherwise) that would or may appear to make it difficult for an Offeror to fulfill its obligations to HKI in its role as the vendor in an objective, independent and professional manner, or a situation in which it is reasonable to foresee that such an interest would arise.

A Conflict of Interest may arise in the following circumstances, which are not exhaustive:

- i. an Offeror has been, or is involved in the design of a proposal or request for funding that has been, or will be submitted to HKI;
- ii. an Offeror has been, or is involved in the provision of advice to an entity that is a Principal Recipient or a Sub-recipient;
- iii. an Offeror has been, or is involved in, or has provided advice in relation to the procurement of goods and/or services by a Principal Recipient and/or a Sub-recipient;
- iv. an Offeror has been, or is involved in the provision of auditing services to a Principal Recipient and/or a Sub-recipient; or
- v. an Offeror has submitted an expression of interest, tender, bid or otherwise indicated interest in providing services of any nature to a Principal Recipient or a Sub-recipient that remains valid at the time of, and for the duration of the term of this Contract.

“**Affiliate**” means a business concern, individual or other entity that, directly or indirectly: (i) controls or can control an Offeror; (ii) is controlled by, or can foreseeably be controlled by, an Offeror; or (iii) along with an Offeror, is controlled by, or can foreseeably be controlled by, the same third party.

### **Conflict of Interest Declaration Form**

**Country: Bangladesh**

Please check one box below, as appropriate:

|                          |  |
|--------------------------|--|
| <input type="checkbox"/> | The Offeror hereby declares that it has read and understood the Conflict of Interest rules set forth in the Request for Proposals (RFP) and warrants that no Conflict of Interest exists on the part of the Offeror or an Affiliate of the Offeror, with regard to the services to be performed under the RFP. The Offeror hereby agrees to comply with the Conflict of Interest rules set forth in the Request for Proposals (RFP). |
|--------------------------|--|

|                          |  |
|--------------------------|--|
| <input type="checkbox"/> | The Offeror wishes to disclose a real or potential Conflict of Interest situation(s) and propose mitigating action(s). <i>Note:</i> if this box is checked, please describe, <i>in detail</i> , the situation and present a proposed mitigation plan / arrangement for consideration by HKI. |
|--------------------------|--|

**Requested information for the disclosure of a real/potential Conflict of Interest (CoI):**

2. The Offeror has a responsibility to **fully disclose** all relevant details relating to real and/or potential CoI situations that may incur in case the Offeror was awarded a contract to provide Services for HKI in the above-named country.
3. If conflicting work was performed in the past, please provide all relevant information pertaining to such work performed after 1 January 2012 (please also describe any significant work performed before 1 January 2012 if it was of an on-going nature which could present an actual or possible conflict of interest in the present day).
4. For the purpose of disclosing any CoIs, please answer the below questions and add any relevant information, as required, and attach this written analysis as an appendix to the signed and completed form.
5. As part of disclosing a CoI situation, and based on the facts of the situation, the Offeror must clearly provide its assessment of the CoI situation.
6. Where a CoI situation is identified, the Offeror must propose **realistic** and **effective** mitigation measures. Please note that not all CoIs can be mitigated. HKI therefore requests the Offeror to carefully evaluate the risk and/or the scope of the CoI before proposing mitigating measures.

Conflict of Interest disclosure questions: information to be provided by the Offeror

1. Who is the entity or Consultant selected to undertake the Services work in the country?
2. Who is the entity/client with whom the contract for performing the work causing the real/potential conflict of interest (referred to as 'the work') has been signed?
3. Who has been asked to bid or is already performing the work?
4. What is their relationship to the Offeror?
5. What is the nature and scope of the work, including Terms of References?
6. What is the entity for which the work will be/is being/has been performed? What is its relationship to HKI?
7. Who is paying for the work, and how much?
8. If the work is an audit, is the audit being performed as part of the fiduciary arrangements of HKI and if so, are program funds being used to pay for it?
9. Does the Offeror think that there is a conflict? Why? (Or why not?)
10. If there appears to be a conflict, does the Offeror think it can be mitigated? If so, please set out a mitigation plan for consideration by HKI.

**Offeror:**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_