**Request for Proposals**

**“INCREASED ACCOUNTABILITY IN HAITI’S BUDGETARY PROCESS/GROUP CROISSANCE”**

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|  |  Prepared by Haiti ESS www.socialimpact.com |

**Request for Proposals:**

**“INCREASED ACCOUNTABILITY IN HAITI’S BUDGETARY PROCESS/GROUP CROISSANCE”**

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| **Project:** |  Increased Accountability in Haiti’s Budgetary Process/Group Croissance |
| **RFP number:** | SOL\_HESS\_2020\_003 |
| **Funder:** | USAID |
| **RFP Release Date:** | Thrusday, April 30, 2020 |
| **Deadline for Questions:** | Monday, May 04, 2020 |
| **Answers to Questions:**  | Wednesday, May 11, 2020 |
| **Deadline for Proposals:** | Monday, May 18, 2020 |
| **Contact:** | Ms. Louisena Louis, llouis@socialimpact.comcc: Mr. Antoine Wesner, wantoine@socialimpact.com |

## CONTEXT AND PURPOSE OF THE EVALUATION

In May 2017, USAID awarded Social Impact (SI) the Haiti Evaluation Survey Services (ESS) contract to conduct baseline surveys and, mid-term and final evaluations for a wide range of United States Agency for International Development (USAID)/Haiti projects currently being implemented throughout the country.

Under this contract, USAID is now commissioning a final performance evaluation of the “*Increased Accountability in Haiti’s Budgetary Process/Group Croissance*”**.** Findings, conclusions, and recommendations from this final performance evaluation will guide future USAID/Haiti programming, in areas such as fiscal transparency, government budgets and spending, leadership, financial management, and other aspects of good governance and government accountability.

The final performance evaluation will focus on how “*Increased Accountability in Haiti’s Budgetary Process/Group Croissance*” has been implemented, what it has achieved, and whether expected results have occurred according to the activity’s design and implementation. This final performance evaluation will also provide an opportunity to do an in-depth investigation and analysis of the issues, and to document project performance, results, impacts, lessons learned, and best practices from various stakeholder perspectives.

# BACKGROUND

The primary goal of the “*Increased Accountability in Haiti’s Budgetary Process”* project was to support the Haitian civil society in its efforts to increase government transparency and accountability in financial management. More specifically, the project focused on increasing citizens’ participation and engagement in Haiti’s national budget process. The project came at a very good timing, considering the significant role the Haitian civil society has to play in helping Haiti to become an emerging country and also considering the need for transparency in the execution of the national budget for a better and fair allocation of resources and for preventing corruption, which can undermine Haiti’s development process..

*The project was implemented under these assumptions:*

•The political environment is stable; •Funds are available on time; •Civil Society Organizations are motivated to attend the project’s events and to be engaged in the advocacy process; •Journalists are interested in creating a budget-sensitive network and keeping it active; •The public is responsive through the project’s social media; •The “Observatoire” will be able to mobilize necessary resources in order to be self-sufficient; •Project’s beneficiaries are actively engaged in the advocacy process and make recommendations regarding the budget; •Funds are available to conduct the Open Budget Survey; •The population understand the importance of the mobile app and are willing to use it; •Mayors understand the importance of having local budget and are willing to adopt this new approach in their municipalities; •The government is willing to observe the budgetary process.

# SCOPE OF WORK FOR THE EVALUATION

The result framework indicates the anticipated outputs and outcomes for this activity to help increase accountability in Haiti’s budgetary process. Through planned activities, Group Croissance works to contribute to one of the four pillars of the US government’s Post-Earthquake Haiti strategy, which is Governance and Law. Under this component the project aims to strengthen public administration and financial accountability through sound budget formulation and financial reporting, and remedy underperforming administrative and procurement systems. The objective that derives from this goal and corresponds to the project is: “Increase accountability into Haiti’s budgetary process”. The project helps achieve this goal through activities under three components. Therefore, each of these components constitute an intermediate result:

* Public consultation takes place and broad-based civic input is encouraged during the budget preparation and formulation stage
* Public participation is increased in the budget process as people are educated through awareness activities
* The population is aware about public monitoring and analysis of budget execution and budgetary impact

Ultimately, the final performance evaluation of "Increased Accountability in Haiti’s Budgetary Process" will allow USAID/Haiti to see to what extent Groupe Croissance has achieved these results.

# EVALUATION QUESTIONS

1. To what extent did the activity improve civil society participation in Haiti’s budgetary process?
2. How did the activity contribute to improve public monitoring and Analysis of budget execution and budgetary management?

## TECHNICAL PROPOSAL REQUIREMENTS

1. *Introduction and Background*

The offeror should demonstrate in their proposal a thorough understanding of the objectives of the evaluation and activity being evaluated. This understanding should be congruent with the subsequent details of the proposal and approach.

1. *Evaluation Design*

The offeror will propose an overall research design to answer the evaluation questions including a preliminary evaluation design matrix (see Appendix E), which directly corresponds to the proposal narrative for sampling, collecting, and analyzing both qualitative and quantitative data, as relevant and useful, for each evaluation question.

1. *Methodology*

The offeror will summarize an evaluation design based mainly on qualitative research methods to address the evaluation questions. While this information will be further elaborated in the evaluation design, the proposal should include initial information on:

* **Data sources** - Civil Society Organizations, journalists, government officials, public administration financial institutions, Group Croissance, USAID/Haiti, etc.
* **Initial sampling strategy and justification** - After reviewing relevant documents, in collaboration with Haiti ESS, the sub-contractor will develop a design report outlining a detailed sampling plan. The specific sampling plan will be determined based on data collection events to be carried out. However, there should be enough information in the proposal to justify the budget.
* **Data collection methods** - Key Informant Interviews (KIIs), Focus Group Discussions (FGDs), and an in-depth review of relevant projects reports and secondary literature, are among the techniques that the evaluation team should consider. The offeror should plan to collect data in a manner consistent with restrictions imposed by COVID19 in the country.
* **Data management** - data recording methods and storage, data preparation and cleaning, data security.
* **Data analysis plan** - for both qualitative and quantitative data if any.

1. *Management and Logistics*

The offeror must describe how they will coordinate with ESS, SI home office staff, and the designated Program Manager on all aspects of this evaluation, as well as plan and facilitate data collector training, pre-testing and revision of data collection tools, and implementation and logistics of data collection activities. The following should be considered in the proposal:

* + - * **Clearances** – The offeror must describe how they will identify and liaise with the necessary contacts and institutions necessary to gain timely permission/clearances to perform all the tasks specified in this RFP.
* **Planning** - The Offeror must describe how they will support data collection events and identify and organize KIIs and FGDs within COVID19 restrictions, and based on the sampling plan developed with the input of the ESS. In addition, the Offeror must describe how they will coordinate with the ESS to identify KII participants, civil association responsible, institutions of the government, participants for the FGD and maximize the overall coverage of data collection for the study.
* **Translation** – The offeror must describe their process or approach to instrument translation. The offeror must describe how they will ensure translation quality, and appropriateness for specific respondent groups.
* **Pre-testing** – The offeror must describe their approach to pre-testing all instruments, and how they will ensure that no respondents from the study sample are included in pre-testing. The offeror must describe how they will coordinate with ESS to revise the instruments as needed based on the outcomes of the pretesting.
* **Develop Manuals for Field Staff** – The offeror must describe their process for developing comprehensive manuals for field staff with input from ESS and SI home office staff. ESS and SI home office staff must have a chance to review and approve the final manual at least five business days prior to the start of training.

* **Staff Training** – The offeror must describe how they will ensure adequate and appropriate training in line with the restrictions imposed by COVID19. In addition, the offeror must detail all training regimes for this evaluation including use of all data collection tools and all types of data collectors. All facilitators and notetakers are required to receive training prior to data collection. The training should be led by the Team Leader (TL) and include principles learned in their required online EQUI trainings. Training should include both theoretical/best practice education as well as practice sessions administering FGDs and KIIs using approaches in line with restrictions imposed by COVID19. Offerors are required to specify the recommended duration and content of field staff training as part of the technical approach. Offerors shall describe in their technical proposal their approach to assessing facilitators’ and notetakers’ readiness to conduct data collection during and after the training. ESS representatives will be available to assist with the training and may test facilitators and notetakers as needed and may require, at their discretion, replacement of facilitators and notetakers deemed to be performing inadequately in training or in the field
1. *Quality Assurance*

The offeror must describe their internal Data Quality Assurance processes. These are required to be implemented in real-time during all phases of this evaluation. The sub-contractor is required to provide significant oversight of data collectors during data collection and how they plan to identify, communicate, and mitigate problems in any phase of the evaluation in close coordination with ESS. Offerors should integrate into their proposals the following QA requirements:

* **The Offeror** must describe how they will conduct quality control during data collection, at minimum, following the requirements listed below.
* Daily team debriefs: Check-ins with the facilitators, notetakers and field staff to review any challenges faced, allow for questions and clarifications, and provide feedback to the wider group. These are especially important early in the data collection activity to ensure that proper interviewing habits are formed.
* Facilitator checks: Facilitators will check their teams’ notes daily before they are submitted to the server to ensure completeness and spot-check for errors.

* **ESS and SI home office staff** will be performing independent Quality Assurance activities during the entire evaluation, including, at a minimum, the following actions:
	+ Haiti ESS will delegate a Program Manager (PM) and a Program Director (PD) to oversee the overall evaluation process, including reviewing deliverables, providing guidance and support in the data collection process, and conducting additional quality assurance. The sub-contractor should work closely with Haiti ESS staff, providing updated information about logistics, plans, and insights during their supervision visits.
	+ ESS and SI home office staff will conduct independent quality checks of the data downloaded directly from the server up to three times a week, summarizing any questions or feedback for the sub-contractor from each check. The sub-contractor will be required to respond to these questions within one business day of receiving them.
1. *Respondent Protection & Data Security*

The offeror must describe how all research participants including research subjects and data collectors will be protected from any potential harm resulting from participation in the research and abide by all US, Haiti, and International standards regarding research ethics, informed consent, the use and protection of personally identifying information (PII), and safety. SI’s respondent protection and data security protocols will be provided upon award. The sub-contractor will be given an opportunity to comment on the protocol and provide feedback that allows ESS to better contextualize the protocol (without modifying SI’s “required minimums”).

The offeror must describe how all field staff will be trained in and committed to ethical research practice (all staff will be asked to sign a non-disclosure agreement to be provided upon award) signifying their understanding of ethical behavior in the field and proper handling of respondents’ confidential and private information. The offeror must describe the measures that will be taken in the field to monitor facilitators’ and notetakers’ behavior with respect to respondent protection and data security (including interviewing, handling of devices, etc.). The sub-contractor will also be responsible for ensuring that detailed summary notes and other documentation.

1. *Personnel*

The offeror must provide CVs for required team member (key personnel in an annex) positions as listed below, which meet the minimum qualifications. In this section, the offeror should also provide a summary of key personnel qualifications, describe their recruitment strategy for other field staff and should specify the total number of facilitators and notetakers that will conduct the activity. The offeror should specify the name, title and role of any non-key personnel who will work directly on this project as well, and who is/are anticipated to interact with the client at some point during the evaluation.

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| Key Personnel | Qualifications |
| Team Leader  | Required 10-15 years of relevant experience conducting evaluation in Haiti, managing data collection exercises, conducting analysis and writing reports **in English**. |
| Facilitators | Required 5 years of relevant experience leading qualitative data collection in Haiti |
| Notetakers | Required 3 years of relevant experience in qualitative data collection in Haiti |

The TL will ultimately be responsible for the overall evaluation team management, coordinating the evaluation implementation, assigning team members responsibilities and tasks, and authoring the final evaluation report in English, in conformity with this SOW. The TL must be an experienced evaluation expert, with a documented track record of 10-15 years of experience. S/he should have a strong background in the governance and capacity building field. . S/he should be familiar with the Haitian administration, government budgets and spending and financial management. S/he must possess excellent writing and interpersonal skills and must be familiar with USAID programs, objectives, and reporting requirements. S/he should be fluent in French and English. S/he should have at least a master’s degree in Economics, Statistics, Political Science, Public Administration or other relevant degree.

*The TL will be expected to complete SI evaluation quality, use, and impact (EQUI) online TL training. This one-day training should be included in the work plan and cost proposal.*

## The offeror should designate a point of contact to oversee the interface with Haiti ESS and at times with USAID, but planning all activities and reporting remain the responsibility of the TL. All team members will be required to provide a signed statement attesting to a lack of conflict of interest or describing any existing conflict of interest. The evaluation team shall demonstrate familiarity with USAID’s evaluation policies and guidance included in the USAID Automated Directive System (ADS) in Chapter 200.DELIVERABLES AND REPORTING REQUIREMENTS

In their proposal, offerors must consider the required deliverables and timeline for this evaluation. The sub-contractor will be required to submit eleven main deliverables to ESS, all of which ***MUST* be in *English***, unless otherwise specified, namely:

1. **Workplan**: The sub-contractor shall submit to Haiti ESS, within seven (7) working days after the contract is fully executed, a Work Plan that will include: (1) anticipated schedule and logistical arrangements; (2) key personnel delineated by roles and responsibilities with their level of effort;

(3) deliverable schedule.

1. **Inception Report:** The evaluation team will have one (1) week to review the project documents and produce an inception report that addresses what the evaluation team has learned based on program documents provided to them. The inception report should inform the evaluation design.

1. **Evaluation Design**: Within fifteen (15) working days of the fully executed contract, the sub-contractor must submit to Haiti ESS an Evaluation Design (which will become an annex to the Evaluation Report). The Evaluation Design will include: (1) description of the project demonstrating understanding of key components and current status; (2) detailed methodology clearly indicating: who will be the key stakeholder groups for data collection, how and why they will be selected, how many of each group will be included, data collection methodology for each participant group and rationale for using it, and a data analysis plan for each data collection methodology; (3) detailed evaluation design matrix that summarizes above information (data sources, methods, and data analysis plan) and links it to the evaluation questions in the SOW; (4) draft questionnaires and other data collection instruments or their main features; (5) a list of potential interviewees and sites to be visited, including the sampling approach; (6) known limitations to the evaluation design; and (7) a dissemination plan. Our client will take up to 10 business days to review and consolidate comments. Once the sub-contractor receives the consolidated comments on the initial Evaluation Design and Work Plan, they are expected to revise the reports within one business days.
2. **Field Manual**: The manuals will cover roles, responsibilities, and protocols for all research team members.
3. **Training, Pre-testing Report**: This report will describe the activities undertaken during the training and pre-testing, and identify problems, solutions, and the way forward.
4. **In-briefing Presentation**: Prior to undertaking fieldwork, the sub-contractor will have an In-briefing with our client (USAID/Democracy and Governance office and ESS COR). The sub-contractor will provide a PowerPoint presentation summarizing the evaluation design. In addition, the meeting will cover the sub-contractor’s understanding of the assignment, initial assumptions, evaluation questions, methodology, and work plan, and clarify any questions or logistic needs. An In-briefing note with any issues raised and new resolutions resulting from the In-briefing will be submitted to ESS prior to field deployment.
5. **Weekly Status Reports**: This report will cover activities undertaken during the data collection period, challenges faced, strategies adopted to overcome such challenges, programming of upcoming activities for the next reporting period, and any identified risks related to upcoming activities. Weekly updates will also include an updated draft Findings, Conclusions, and Recommendations (Data Analysis) Matrix (Appendix E) outlining what the team has learned to-date. The initial weekly version of the matrix should reflect data collected through a review of relevant project reports and other documents. Completing this deliverable weekly (in draft version) will ensure that the final Data Analysis Matrix, due on completion of data analysis, will include all data, and be shared with ESS for review to ensure that the matrix provides relevant information that is clearly grounded in the evidence to fully answer the evaluation questions.

1. **Detailed Summary Notes**: After each KII and FGD, the team will meet to write a report that consists of the notetaker(s’) combined notes, enriched with details from audio recording. Separately, reflections and general observations from KIIs and FGDs can be written up and included in the summary notes following KII and FGD protocols. The summary notes will, thus, contain the raw qualitative data to inform ESS about findings. They can be in French or English but must stay as close as possible to what was actually said in the KII or FGD and contain as many quotes and explanations as possible. The notes must be anonymized to protect the identities of participants, and the sub-contractor must provide a separate spreadsheet that lists who participated in each KII and FGD with basic demographic data like age, gender, etc. Summary notes must be uploaded daily to the server.

1. **Audio Recordings**: Audio recordings of each FGD and KII must be submitted to ESS as a backup file that supports the summary notes. Audio recordings must be uploaded daily to the server.
2. **Evaluation Out-briefing Presentation:** The sub-contractor is expected to hold two final in-person presentations, one with the USAID/Haiti Democracy & Governance Office team and the second with the USAID mission at large, to discuss the summary findings and recommendations after the conclusion of the data collection and analysis.
3. **Draft Evaluation Report**: The draft evaluation report should follow the USAID Evaluation Report Template, which will be provided. The report will address each of the questions identified in the SOW and any other issues the team considers important to the evaluation objective. Any such issues can be included in the report only after consultation with USAID. Per USAID requirements the report will clearly distinguish between findings, conclusions, and recommendations and the logic among the three must be clearly evident. The submission date for the draft Evaluation Report will be determined in the evaluation work plan, generally two weeks after the mission-wide Out briefing. Once the draft Evaluation Report is submitted, USAID/Haiti will have 10 business days to review and comment, after which the USAID ESS COR will submit consolidated comments to ESS. ESS will communicate USAID feedback to the sub-contractor. Through ESS, the sub-contractor will then submit a revised final report within three business days, and again USAID/Haiti will review and send comments within five business days.
4. **Final Report**: The sub-contractor will be asked to take no more than 5 business days to respond/incorporate the final comments from the ESS COR and the Democracy and Governance Team. ESS will then submit the final report to the ESS COR. All project data and records (FGD and KII summary notes, audio files, etc.) shall be submitted in full and should be in electronic form in easily readable format, organized, and documented for use by those not fully familiar with the intervention or evaluation, and owned by USAID.

Anticipated Evaluation Activities and Payment Schedule

|  |  |  |  |
| --- | --- | --- | --- |
| **Activity** | **Deliverables** | **Tentative Due Date** | **Payment schedule** |
| Evaluation Planning | Evaluation Design due to SI | 3 weeks | 40% |
| In-briefing with USAID | 2 weeks |  |
| Data Collection and Analysis | Weekly Status Reports | **Weekly**  |  |
| Detailed Summary Notes of FGD | Weekly  |  |
| Data Analysis Matrix |  |  |
| Out-briefing to USAID | 6 Weeks | 30% |
| Reporting | Draft Report due to SI |   |  |
| Final Report due to SI | 3 weeks |  |
| USAID approves the final report | 2 weeks | 30% |

# Proposal Submission Format

The offeror must submit the following information or documents:

* Valid business license (Patente)
* Contact person, telephone, office address, and email
* Technical proposal, **not exceeding 10 pages of 11-point type minimum**, properly addressing the above SOW.
* Past performance showing data collection services provided in the country (Appendix A in Technical Proposal). Offerors should submit a summary of three past performance reports, including contact information for references. SI reserves the right to contact references provided in these past performance reports. Examples of specific past performance related to demonstrated experience in conducting evaluations in governance, accountability, and related areas, demonstrated experience in successfully conducting data collection (surveys, focus groups, etc.), conducting qualitative data analysis and writing reports in English. Experience working with US Government preferred, but not required.
* Data Collectors Qualifications: Please provide the qualifications of personnel that will be involved in providing the above services (a summary of specific qualifications and experience for the position, and a resume). (Appendix B in Technical Proposal)
* Cost proposal (in a separate excel file, template provided)
* Disclosure of Conflict of Interest for the firm, as well as for each team member (Appendix D in Technical Proposal)
* Proposals must be in English

## COST PROPOSAL REQUIREMENTS

The Offeror shall submit its best price as per the following requirements:

* Offeror shall submit quotes in US Dollars (USD) and must be presented, in totality.
* The Offeror shall propose a budget for the evaluation in Table 1. Prices shall include cost for staff transportation for data collection, travel fees for participants, mobilizer’s fees, refreshments, rooms for events, lodging and salaries for staffs.
* The rates quoted shall be for complete services inclusive of all taxes and charges for service contingent to the work
* Payment term: Net 30 days
* Proposals validity: Net 30 days from date of submission.

# Selection Criteria

All proposals received in response to this solicitation will be evaluated by the Haiti ESS bid review committee. **Awards will be made on best value** balancing the highest degree of technical merit (per the evaluation criteria below) at the minimum budget. Haiti ESS will conduct a source selection based on the evaluation factors listed below. These factors will serve as the standard against which all proposals will be evaluated, and therefore those which Offerors should address.

The firm should demonstrate proven capacity in collecting data in the relevant field and should have data analysis capabilities to perform all related data management and analysis functions.

Proposals will be evaluated according to the following criteria:

# Technical (50%) – Haiti ESS will consider the technical specifications of the Offeror to assess its ability to provide the services listed in the “Scope of Work for the Evaluation” section of the RFP.

1. Past Performance (20%) – Haiti ESS will consider Appendix A detailing past performance information (to be included in the technical proposal).
2. Personnel Qualifications (30%) – Haiti ESS will consider Appendix B detailing the qualifications of each Offeror’s evaluation team (summary of qualification and resume).

Offerors shall adhere to the timelines for questions and proposal submissions listed on the first page of this RFP**. Late submissions will not be considered.**

All questions, technical proposals, and price proposals should be submitted electronically to llouis@socialimpact.com and wantoine@socialimpact.com

# Appendix A

**Summary of Relevant Capability, Experience, and Past Performance**

 Include projects that best illustrate your experience relevant to this RFQ or similar activities, sorted by decreasing order of completion date.

Projects should have been undertaken in the past three years (i.e. 2017, 2018, and 2019). Projects undertaken in the past five years may be taken into consideration at the discretion of the evaluation panel.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Item #  | Project Title and Description of Activities  | Location  | Client Name and Contact Information | Cost in USD  | Completed on schedule (yes or no) |
| 1  |  |  |  |  |  |
| 2  |  |  |  |  |  |
| 3  |  |  |  |  |  |

# Appendix B

**Proposed data collection team and resumes**

# Appendix C

Disclosure of Conflict of Interest for the Chanje Lavi Plante Final Evaluation.

**Please fill one form for the firm as a whole and one for each proposed team member**

|  |
| --- |
| **Organization Name** |
| **Evaluation Position?**  |  |   |  Team Leader Team member \_ Service Provider  |
| **Evaluation Award Number** *(contract or other instrument)*  |  RFP #: SOL-HESS-2020- |
| **USAID Project(s) Evaluated** *(Include project name(s), implementer name(s) and award number(s), if applicable)*  |   |
| **I have real or potential conflicts of interest to disclose.**  |  |  X |  Yes X No  |
|  |
| **If yes answered above, I disclose the following facts:** *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.*
2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.*
3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.*
4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.*
5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.*
6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*
 |           |

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|  |  |
| --- | --- |
| **Signature**  |   |
| **Date**  |   |

# Appendix D

Budget Template: Please see separate Excel attachment

# Appendix E.

# Evaluation Design Matrix

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Analysis** | **Sample Questions** | **Data Sources** | **Data Collection Method** | **EQ** |
|  |  |  |  | 1. **To what extent did the activity improve civil society participation in Haiti’s budgetary process?**
 |
|  |  |  |  | 1. **How did the activity contribute to improve public monitoring and Analysis of budget execution and budgetary management?**
 |
|  |  |  |  |  |